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A Case Study of Factors That Lead to Successful Strategic Planning and Performance in The Public Sector

Paul George Van Buskirk

A CASE STUDY OF FACTORS THAT LEAD TO

SUCCESSFUL STRATEGIC PLANNING AND PERFORMANCE

IN THE PUBLIC SECTOR

DISSERTATION

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By

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ABSTRACT

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Barry University 2006

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This study represents a case study to investigate those factors that lead to successful strategic planning and plan performance in the public sector. The problem under investigation is to determine the empirical relationship between local government comprehensive planning as a form of strategic planning and plan performance. Boyne (2001) concluded in his research that the empirical relationship between strategic planning and performance in the public sector is unknown.

The purpose of this study was to conduct a two-phase sequential mixed-method case study to explore participants' views of successful factors for strategic planning in the public sector with the intent of using the results to develop and test an instrument. A sample of the research population responded to the instrument to determine the empirical relationship between strategic planning and performance.

The first phase of this study was a qualitative exploration of the strategic planning process in the public sector from the experiences of the public planners in Florida and New York. Grounded theory was the method of inquiry.

The second phase was a quantitative explanation of the relationship between strategic planning and performance in the public sector. The survey instrument generated data for the application of bivariate analysis, multiple regressions and path analysis. Approximately 261 planners were canvassed in Florida that best represented Florida's communities of which 167 responded to the survey instrument.

The results of the qualitative analysis revealed several factors and their properties for successful strategic planning. They were leadership, participation, resources, performance, process, consensus, buy-in and goals and objectives. The factors were abstracted into constructs (leadership, buy-in, and commitment) which were operationalized into independent variables.

For the quantitative study, a bivariate analysis demonstrated that the independent variables (leadership, buy-in, commitment) and the dependent variable (performance) all correlated at the 0.01 level. A causal model was developed to test for "goodness of fit". The model depicts the causal relationship that leadership causes buy-in, leadership and buy-in causes commitment, and that leadership and commitment causes performance. The results of the path analysis support the causal inference of the model and the underlying theory in which the reproduced coefficients match the empirical coefficients. A linear equation to predict future outcomes was constructed from a regression model of the determinants of performance. These predictors account for a significant amount of the performance variability, $R^2 = .401$, $F(3,102) = 22.73$, and $p < .001$.

Some recommendations focused on improving the model and survey instrument.

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My wife, Nancy, for her support and assistance throughout the process was instrumental and a valuable contribution to this study.

This dissertation is dedicated to my fellow members of the American Institute of Certified Planners (AICP) who are dedicating their careers in a complex environment to improve the quality of life in our communities.

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CHAPTER I

INTRODUCTION

Background of Problem

Many local governments are using strategic planning as a tool to generate future scenarios and to manage a community's future instead of reacting to events (William H. Hansell, Executive Director of the International City Management Association (ICMA) as cited by Gordon, 1993). Furthermore, Van Buskirk, Ryffel, and Clare (2003) noted that many communities across the nation are facing population growth that results in pressure for more services and with less revenue. In addition, according to Gabris and Golembiewski (1996), the demand for more services and the constraints on revenues continue to challenge local governments to innovate, and recent innovations are privatization, customer service, and strategic planning. There are over 79,000 local governments (ICMA, 1981) in the United States that could be affected by these challenges and provide potential opportunities for strategic planning to improve performance.

The Malcolm Baldrige National Quality Improvement Act of 1987, noted in its findings and purpose statements, the importance of strategic planning to improve performance. It states that strategic planning for quality improvement programs is becoming more essential to the well-being of our Nation's economy and the Nation's ability to compete in the global market place. While the private sector needs to compete in the global market place, the public sector needs to respond to economic considerations. Yet, the public sector has been behind the private sector organizations in moving toward more effective performance measurement tools (Schmuckler, 1997).

Strategic planning as a performance tool was recently described by Barry (1998) as the process of determining what the organization intends to accomplish and how to direct the organization and its resources toward accomplishing its goals. In addition, he distinguished strategic planning from operational and short range planning in that the organization updates its strategic plan and makes adjustments. Nevertheless, Barry identified limitations that come with using traditional strategic planning methods. He claims that strategic planning consumes time and resources, and can get off track. Other limitations include poor decision-making, the surfacing of other issues and being consumed by trivia.

Despite these potential limitations, Barry (1998) concludes in his guide of strategic planning that both large and small organizations with strategic plans outperform their counterparts without formal plans and that a clear plan for the future can also contribute to the organization's mission and performance. Other benefits of strategic planning, according to Barry, are building commitment, creating teamwork, and resolving issues that are interrelated in a structural and coordinated manner.

In support of Barry's (1998) assumption of the benefits of strategic planning, Boyne (2001) conducted research studies in the area of strategic planning by private organizations and concluded that strategic planning is generally associated with superior performance. In addition, he concluded in his research that the empirical relationship between strategic planning and performance in the public sector is unknown and that mandatory planning in the public sector could prove to be less successful than voluntary planning in the private sector.

In the public sector, according to Gabris and Golembiewski (1996), some scholars argue that since local governments have smaller and have less complex decision-making processes they are more likely to innovate than their counterparts, state and federal governments. An important finding from Ihrke, Proctor and Gabris (2003) research on innovation in municipal governments and more specifically, strategic planning, concluded that while we know that local governments are likely to engage in strategic planning, we do not know what contributes to their perceived success or failure. They concluded that future researchers may need to conduct more systematic case studies of municipalities to explore specific innovation attempts to better understand their causes and the factors leading to their success.

While local governments are using strategic planning as a performance tool, there are problems in analyzing their success or performance. According to Seasons (2003), the problems are monitoring and evaluation of strategic planning to measure performance in the public sector. He stated that many public organizations are change adverse, avoid constructive criticism, and are content with the status quo. Therefore, Seasons argues that monitoring and evaluation of public organizations is seen by them to be threatening and regarded with suspicion and hostility. As a result, he claims that municipalities have resisted evaluations that may be embarrassing or reveal short comings in their political decisions. This may be one of the reasons there is little, if any, research on the relationship between strategic planning and performance in the public sector.

However, planning literature has considered the nature and role of monitoring and evaluation in the context of strategic planning (Nutt, 1993). Nevertheless, according to Seasons (2003), few planners actually monitor or evaluate performance.

Statement of the Problem

Strategic planning has been determined to be essential for private organizations to improve performance in order to compete effectively in the global market place (Malcolm Baldrige National Quality Improvement Act of 1987). This statement is supported by Boyne (2001) in his meta-analysis research that concluded that in the area of strategic planning; planning is associated with superior performance in the private sector and has been investigated extensively. However, his research revealed that the empirical relationship between planning and performance in the public sector is unknown.

The International City Management Association noted that due to our rapidly changing economy, strategic planning is becoming a popular tool for many local governments to plan and manage a community's future. There are over 78,000 local governments in the United States that could be affected by these challenges. This provides opportunities for strategic planning to improve performance.

In addition for public organizations, Ihrke, et al. (2003) concluded in their research that while local governments are likely to engage in strategic planning, we do not know what contributes to their perceived success or failures. Therefore, they recommend that future researchers need to conduct systematic case studies to analyze specific innovations, such as strategic planning, to understand their causes and those factors that lead to their success.

The problem is that there is a need to understand the factors and causes that lead to success for strategic planning in the public sector. This problem can be addressed by exploring the central phenomena of strategic planning in the public sector and explaining

the outcomes. The results of this research will provide local governments a better understanding of those factors that lead to successful strategic planning as well as the empirical relationship between strategic planning and performance. These findings will assist local governments to meet the challenges they face.

Basic Research Question and Related Questions

The basic research question for this mixed-method research study is "W*hat are the factors that lead to successful strategic planning and performance in the public sector*? Other related questions that expand upon the basic question and will require data collection and analysis in support of the mixed-method research include the following:

1. What theory is used for an analytical generalization of case study results and as a template with which to compare the results of other case studies?

2. What operational variables are applied to determine the empirical relationship between strategic planning and performance in the public sector?

3. Is the model developed from the literature search consistent with the observed correlations among the variables?

4. What are the estimated direct, indirect, and total causal effects among the variables of the model?

5. Is the model useful in predicting future events?

Theoretical Framework

The theoretical framework for this study includes the following four components: (1) strategic planning consisting of leadership theories and practices, (2) the planning process and group dynamics; (3) organizational performance, and (4) the development

and testing of a model to compare case studies and relationships of constructs. Figure 1 on Page 27 shows a graphic representation of these components with the complete theoretical framework documented in Chapter II.

Purpose of the Study

Several research studies as well as a meta-analysis have concluded that strategic planning is generally associated with superior performance in the private sector (Boyne, 2001). In the public sector local government has been under increasing pressure to innovate and to improve performance with fewer resources. According to Gabris and Golembiewski (1996), scholars state that local governments are more likely to innovate than their state and federal counterparts and recent innovations included privatization, customer service, and strategic planning. An important finding is that according to Ihrke et al. (2003), researchers do not know what contributes to the perceived success or failure of these innovations. In order for the public sector to optimize its resources and improve performance to meet its challenges, an understanding of those contributing factors that lead to success is of great importance.

The purpose of this study is to conduct a two-phase sequential mixed-method case study to explore participants' views of successful factors for strategic planning in the public sector with the intent of using the results to develop and test an instrument. A sample of the research population will respond to the instrument to determine the empirical relationship between strategic planning and performance.

The first phase of this study will be qualitative exploration of the strategic planning process in the public sector as the central phenomenon from interviews of the experiences of the participants at their places of business. Data will be collected and

coded; then themes from this qualitative data will be operationalized into a survey instrument from those factors that lead to successful strategic planning and performance.

The second phase will be a quantitative explanation of the relationship between strategic planning and performance in the public sector. A survey instrument will be developed using a Likert scale to test the successful factors set of items as independent variables with performance as the dependent variable. The results will be analyzed so that theory and research questions can be tested that explain the relationship between the constructs of strategic planning and performance in the public sector from a larger sample of public planners at their places of business.

The findings will:

1. Assist the public sector in focusing its resources to improve performance through the application of strategic planning.

2. Develop a basis for the development and expansion of literature to address improvement in performance in the public sector through the intervention of strategic planning.

3. Assist in the design and implementation of successful strategic planning in the public sector.

4. Encourage further research in the understanding of the relationship between strategic planning and performance in the public sector.

5. Provide a template or model to compare other case studies for replication in support of selected theory as well as for performance improvement.

6. Assist human resource development practitioners in the design and implementation of training programs for strategic planning participants and organizational leaders.

Definition of Terms

This research study includes the use of specific terms that are defined as follows:

Case Study

Yin (1994), defines case study research as "empirical inquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of evidence are used" (p. 23). Yin uses theory in what he terms an analytic generalization of case study results which occur when previously developed theory is used as a template in which to compare the results of the case study. Yin points out that when two or more cases are shown to support the same theory, then replication may be claimed.

Factors

Factors are categories, themes or constructs that can be operationalized as items to be measured by a Likert scale in which a set of items can constitute an independent variable (i.e. leadership influence).

Local Government Comprehensive Plan

New York State statutes describe the local government comprehensive plan as written materials or graphics that identify goals, objectives, and policies, instruments for public and private investments, enhancement and growth (New York State Town Law). The local government comprehensive process calls for creating a vision, gathering information, setting goals and strategies, action steps, and implementation (City of

Rochester, 1996). Similarly, Florida's local governments describe comprehensive planning as activities that are consistent with goals, objectives, and policies that represent a vision. The local comprehensive plan and planning process incorporated the activities of conventional strategic planning and its planning process.

Operational Plan

An operational plan describes short-term strategies and explains how a strategic plan will be put into operation. It is usually the basis for an annual operating budget.

Performance

Performance enables one to compare how well your organization has performed against its stated goals, objectives, strategies, and actions. Performance evaluation facilitates benchmarking and sharing of best practices (Calhoun, 2002). According to Seasons (2003), monitoring and evaluation processes are associated with local government comprehensive plans and in the context of strategic planning using measurable outcome indicators for performance. Measures of goal achievement are indicators of performance.

Strategic Planning

Strategic planning will enable an organization to achieve its goals. The plan requires a disciplined approach that is outcome-focused, fact-based, measurable, and ongoing. The development of a strategic plan uses the following steps: environmental analysis to develop a vision statement, setting of goals and objectives, and identifying strategies to achieve the goals (Drohan, 1997). Strategic planning is a process of determining what an organization intends to accomplish and how to direct it and its resources toward accomplishing its goals in the short and long term (Barry, 1998).

Success

Success is a measure of performance. Strategic plan's goals and objectives make it possible to monitor and evaluate performance of the implementation of the plan (Wray & Marshall, 1998). Goals and objectives as criteria for performance are critical factors for achieving success (Calhoun 2002). Performance excellence in strategic planning requires benchmarking against similar organization (Calhoun). Success for strategic planning is a measure of plan performance as measured through the achievement of the plan's goals and objectives. For the purpose of this study, success is defined as the performance variable as a percent of the plan's goals and objectives achieved in which the case studies are categorized by quartiles. The upper quartiles are the measures of success.

Template

A template is a model for making comparisons according to Webster (1913). For this case study the template is a model framed from theory to translate factors to operational variables to test the relationship between strategic planning and performance and to compare other case studies for benchmarking and replication.

Delimitations

Delimitations to narrow the scope of this case study will focus on the central phenomenon of strategic planning in the form of local government comprehensive plans. The study will confine itself to interviewing ten professional planners in the public sector with extensive experience in comprehensive planning for local governments, an application of strategic planning. Five professional planners will be selected from the state of Florida in which local government comprehensive planning is mandatory and five

from New York State in which it is voluntary. This will provide an opportunity to explore their similarities and dissimilarities. Local governments in both states have been practicing local government comprehensive planning for decades.

In addition, 30 experienced professional planners, with experience in local government comprehensive planning, will be selected in Florida to respond to a survey instrument to determine the relationship between strategic planning and performance in the public sector. This pilot test is to determine the reliability and validity of the instrument.

When the survey has been determined to be reliable and valid, it will be sent to approximately 450 planners who are members of the Florida Chapter of the American Planning Association for a random sample of the population in order to collect data for the quantitative study.

The case study is also bounded by previously developed theory to test the relationship between strategic planning and performance in the public sector and as a framework to guide and design the study.

Limitations

The sampling procedure decreases the generalization of the findings. The study will not be generalized to all local governments throughout the United States. However, this limitation provides opportunities for future research in other geographic areas where the rules may be different for local government comprehensive planning and for other types of strategic planning in the public sector.

As a mixed-method research study the qualitative findings are subjective and could be subject to other interpretations by other researchers. The central phenomenon of

the study, strategic planning, has the potential to produce a multiplicity of variables. House (1996) points out that additional intervening and moderator variables result in methodological problems that are not directly applicable to the theory. However, for the quantitative finding, the independent variables are the key variables identified in the qualitative study that lead to successful strategic planning and performance.

Significance of Study

The American Society for Training and Development (ASTD) (President, 2003) in its recent publication stated that performance improvement continues to be an important topic among its members and organizations for solving problems using a variety of interventions. ASTD has seen an increased demand for tools and resources covering performance improvements.

This research study will provide information and insight from planners with extensive experience in successful strategic planning in the public sector that will be of value to future researchers, public policy makers, leaders and managers in the public sector as well as strategic planning participants. Few, if any, studies have investigated the empirical relationship between strategic planning and performance in the public sector even though it is practiced extensively.

Local governments are more likely to innovate because of their size and ability to make decisions decisively in order to improve performance (Gabris & Golembiewski, 1996). There are approximately 78,000 local governments in the United States consisting of counties, municipalities, townships, school districts, and special districts. However, researchers and practitioners have concluded that local governments do not know what

contributes to the success or failure of those innovations or understand the causes and factors leading to success (Ihrke, et al. 2003).

The literature is abounding in the area of strategic planning as one of those innovations that is being carried out by the public sector. Strategic planning involves a very large audience of elected officials and public managers as policy makers, professional planners, and stakeholders as practitioners. Currently there are over 10,000 professional planners qualified as members of the American Institute of Certified Planners (AICP) and hundreds, of thousands, of policy makers and stakeholders that have been directly involved in strategic planning for local governments.

Significance for Research and Literature

According to Boyne (2001) no systematic empirical research on the impact of planning on performance of public organizations has been completed, and according to Ihrke, et al. (2003) we do not know what contributes to the success or failure of innovations such as strategic planning for local governments. This study will provide an understanding of those factors that lead to successful strategic planning and performance in the public sector to serve as a baseline for comparing, replicating, and enhancing future research and expanding the literature in an area of an interested large audience.

This study will analyze and develop criteria for the selection of previously developed theory to be used as a template and guide to compare the results of the case study. Future research can test the selected theory for replication or rival theories to expand the literature on strategic planning and performance in the public sector. When two or more cases are shown to support the same theory, replication can be claimed and the empirical results may be considered more potent (Yin, 1994).

Information regarding performance improvement within various organizations needs to be the focus of research within human resource development (Torraco, 1999). This study examines the impacts of innovations in the public sector on individual and organizational performance to expand the research literature within the public sector areas of strategic planning process, plan performance, human resource development, and leadership theory.

Significance for Practice

Human resource development practitioners have taken the lead in the design, planning, and implementation of interventions to improve individual and organizational performance in the private sector. This study will profile the need for the public sector to develop and use human resource development practitioners to plan and design the training programs for leadership, group dynamics, team building, participative management, and other skills for leaders and planning participants in order to achieve improved organization performance in the public sector.

The results of this study will provide a better understanding of those factors that lead to successful strategic planning and performance. The results will provide tools for human resource training and development in order to improve individual and organizational skills that will help to optimize local government resources and minimize costs.

The study will enable professional planners and practitioners to understand the connection between theory and practice within the constructs of strategic planning in the public sector and performance. The principles and practices of leadership will be examined to identify the most appropriate theory to use as a framework for a template.

Significance for Policy

The results of this study could provide support and information to assist public policy makers in the allocation and optimization of resources to improve individual and organizational performance. For example, the design and implementation of interventions such as strategic planning.

The development of a template or model that translates successful factors into operational variables to measure and determine the relationship between strategic planning and performance can be used by policy makers to compare their planning and performance to the findings of this research study and in the future to other public organizations in support of policies to improve performance.

The results of this study may provide information for public policy makers not familiar with or engaged with strategic planning at the local government level, the value of strategic planning to improve performance.

Policy makers will have knowledge of those factors that lead to successful strategic planning and performance to assist them in the self-evaluation to forecast future outcomes.

Summary

Strategic planning is a future-oriented process of assessment, goal setting, and decision-making that maps an explicit path between the present and a vision of the future. It includes a multi-year view of objectives and strategies for the accomplishment of organizational goals. Outcomes and outputs provide feedback that leads to program performance that influences future planning, resource allocation, and organizational decisions.

The empirical relationship between strategic planning and performance in the private sector has been investigated extensively. Researchers have concluded that strategic planning in the private sector is generally associated with superior performance. The role of strategic planning has been discussed at length in the public administration literature. However, no systematic research has been conducted on the impact of strategic planning on public sector performance.

The private sector is motivated by competition and profits and is under constant pressure to perform. Many local governments, contrary to the private sector, consider monitoring and evaluation of planning activities and performance to be discretionary and resisted them because they may embarrass the local government by revealing errors made or inadequacies in political or technical decisions.

However, local governments are more likely than state and federal governments to innovate because of their size and capacity to make decisions quickly and decidedly. Researchers have concluded that local governments are currently under pressure to do more with less. The literature search demonstrates that local government has been practicing strategic planning for decades in the form of local government comprehensive plans. More recently the Baldrige National Quality Program and its criteria for performance excellence are being used as a role model for school districts applying strategic planning for organizational performance.

Researchers (Ihrke, et al.) have concluded that there is a need to know what contributes to the perceived success or failure of innovations, particularly strategic planning in the public sector, and to determine the empirical relation between strategic planning and performance.

The purpose of this research is to conduct a two-phase, sequential mixed-method study to explore participants' experiences with the intent of using this information to develop and test a survey instrument for sampling the research population. The first phase will be a qualitative exploration of strategic planning in the public sector as a central phenomenon by collecting data from interviews from planning professionals in the public sector. Themes from this qualitative data will be developed into operational variables so that a survey instrument can test the relationship between strategic planning and performance in the public sector and correlate the independent variables of planning to the dependent variable of performance from the sample population.

The significance of the study is to:

1. Expand the literature in the public domain for both researchers and practitioners in the area of strategic planning and performance in the public sector. This study will initiate research for other researchers to expand the research to other geographic areas nationally and internationally and to explore in more detail the causes and effects of strategic planning and performance in the public sector.

2. Provide leaders, practitioners, and the general public with a tool to compare similar case studies for benchmarking and improvement. The findings and results will also provide human resource practitioners needed information for the development and implementation of training programs in leadership and group dynamics to improve the design and implementation of strategic planning for organization performance.

3. Provide public policy makers the research and documentation they need to support the development and implementation of strategic planning and the evaluation of performance for improved organizational performance. Policy development and implementation would include provision for training and development programs.

CHAPTER II

REVIEW OF LITERATURE AND THEORETICAL PERSPECTIVE

Review of Literature

Introduction

      This chapter reviews the literature for the case study to identify those factors that lead to successful strategic planning and performance in the public sector with the intent of using the results to develop a test instrument. The test instrument will be given to a sample of the population of professional planners in the public sector so that research questions can be tested. Previously developed theory will be used as a template to guide the study. The findings of these two phases will then be integrated at the interpretation phase. The literature search provides information related to strategic planning to improve organizational performance.

      The subjects to be researched and discussed are as follows: (a) leadership styles and leadership theories, (b) planning process and group dynamics, and (c) organizational performance. A theoretical perspective is developed from the literature review to design and guide the study. A template or model is developed from the selective theory for designing a survey instrument and to compare the case study results.

Strategic Planning and Organization Performance

      Strategic planning has a long history that begins with the military. According to Webster's New World Dictionary, strategy is "the science of planning and directing large-scale military operations, of maneuvering forces into the most advantageous position prior to actual engagement with the enemy." (Guralnic, 1986). Earlier models

of strategic planning took their name and roots from the military in that they reflected the hierarchical values and linear systems of traditional models (Wall & Wall, 1995).

According to Mintzberg (1994), strategic planning in private organizations originated in the 1950's and was very popular and widespread from the 1960's to the mid 1970's, when corporate America had been obsessed with strategic planning. Next he points out that the strategic planning fad grew out of favor and was abandoned for over a decade, and then finally was revived in the 1990's as a process that has particular benefits.

Gouillart (1995) provides an account of several generations of strategic planning in the private sector. He begins with the Strengths, Weaknesses, Opportunities and Threats (SWOT) Model which was the dominant strategic planning model in the 1950's, followed by the qualitative and quantitative models of strategy in the 1960's. Next came the Porter's strategic planning competitive performance models of the 1980's (Draft, 2004) and finally the business transformation of the 1990's. The SWOT Model, designated the design school model by Mintzberg (1994), consists of external appraisal (threat and opportunities), internal appraisal (strengths and weaknesses), creation of a strategy, evaluation, choice, and implementation of strategy. Next, Ansoff (1965) attempted to routinize the design school model with a detailed checklist of factors. This complex model included criteria on weighing those factors for establishing priorities along with numerous decision flow diagrams in which the model contained fifty-seven boxes.

Then, Steiner (1969) developed a more conventional and less sophisticated model than Ansoff and was the mainline thinking in the 1970's (Mintzberg, 1994). The basic

components of Steiner's (1969) model are evaluation of external and internal opportunities, problems, strengths and weaknesses; as well as mission, long-range objectives, goals, policies, strategies, programmed plans, implementation, and evaluation.

More Recently, Drohan (1997) described the strategic planning model as one that enables businesses and associations to achieve their goals, that requires a disciplined approach that is out come-focused, measurable, and on-going. The model incorporates a vision statement that describes where the organization intends to be in ten years, while the plan is developed with a five year horizon. In addition, McNamara (1999) describes strategic planning as ensuring the most effective use is made of organization's resources by focusing the resources on key priorities and that the plan serves as a framework in which an organization mobilizes its resources to achieve its goals. Other researchers have described similar models as the conventional strategic planning model that is being used by organizations (Bryson, 2004; Phillips, 1999; Barry, 1998).

Strategic Planning: Private and Public Organizations: Similarities and Dissimilarities

A strategic planning model for public and nonprofit organizations is typically a model consisting of the elements of the organization's mission, goals, strategies to achieve the goals, and evaluation (Bryson, 2004). In the private sector, Phillips, (1999) describes a similar strategic planning model from a variety of models that is practical for private organizations that is similar to Bryson that includes developing a vision, setting goals and objectives, selecting strategies, and evaluation. Research by Mercer (1991) concluded that the elements and process of strategic planning in the private and public sector are similar.

However, while the processes are similar, Mercer (1991) identifies other dissimilarities in their environment. For example, he points out that the dominating force in the private sector is economic and in the public sector politics; decision making in the private sector is centralized and in the public sector is pluralistic; and the criteria for evaluation in the private sector is specific, whereas in the public sector it is ambiguous. In addition, Boyne (2001) also raises the issue that mandatory planning in the public sector could prove to be less successful than voluntary planning in the private sector.

Furthermore, Barry (1998) identifies limitations that come with traditional strategic planning such as poor decision-making, latent problems surfacing, and participants becoming emerged in minutiae. He also points out those critics of strategic planning noted that some groups develop poor plans, make faulty assumptions about the future, overestimate an organization's capabilities, and over plan.

Despite these limitations, Barry (1998) concluded in his guide to strategic planning that organizations large and small with strategic plans outperform their counterparts without formal plans and that a clear plan contributes to a better understanding of the organization's purpose, direction, and accountability. He further emphasizes that strategic planning is a way to resolve an interrelated set of issues in a structured and coordinated manner that helps to create teamwork, promote learning, and build commitment across the organization. More recently, Boyne (2001) conducted a meta-analysis and review of 47 empirical studies in the area of strategic planning and performance in private organizations and concluded that planning is generally associated with superior performance in the private sector and has been investigated extensively.

Despite the benefits of strategic planning, Schmuckler (1997) noted that while the public sector has been practicing strategic planning it is behind private sector organizations in moving toward more efficient performance tools. Schmuckler's observations are reinforced by Boyne (2001) when he concluded in his research that while the role of planning has been discussed at length in the public administration literature, there was no systematic empirical research on the impact of planning on the performance of public organizations.

However, as for public organizations, scholars argue that local governments are more likely to innovate than state or federal counterparts because of their size and capacity to make decisions (Gabris & Golembiewski, 1996). They concluded in their research that governments are likely to engage in innovations, but we do not know what contributes to their perceived success or failure of innovations such as strategic planning. They concluded that future researchers need to conduct more systematic case studies of municipalities to explore specific innovations such as strategic planning. Research could lead to a better understanding of the causes and factors leading to success.

Local Government Strategic Planning

Most states have passed legislation authorizing their local governments to develop and implement strategic plans. For example, the New York State, Department of State (Coon, 1999) described the process of comprehensive planning for local government to include statement of goals, objectives, and policies as well as resources and strategies. New York State's comprehensive plan for local governments provides a process for identifying community resources, long range needs and goals as well as a process for developing consensus and serves as a blueprint for future actions (Coon). However, the

adoption of a comprehensive plan by local government in New York State is voluntary.

An example of a local government comprehensive planning process is the City of

Rochester's Comprehensive Plan (City of Rochester, Comprehensive Plan 1992) that

calls for creating a vision, gathering information, setting goals and strategies, action

steps, and implementations.

The state of Florida, according to Chapter 163, Part II, Florida Statutes (1985),

requires all of Florida's 67 counties and 408 municipalities to adopt local government

comprehensive plans. The statues describe the elements of the plan such as future land

use, housing, transportation, and capital improvements. However, some local

community's comprehensive plans simulate the strategic planning model. For example

the comprehensive plan for Lee County (The Lee Plan, 2003) states that activities must

be consistent with the goals, objectives, and policies in the adopted plan and represent the

community's vision. The City of Sarasota (1999) organizes its plan incorporating

analysis, purpose, goals, objectives, and action strategies. It recognizes that planning is

continuous and an ongoing process that needs to be periodically assessed.

Local governments in the states of Florida and New York provide opportunities

for case studies to determine those factors that lead to successful strategic planning and

performance in the public sector because their comprehensive planning processes are

generally consistent and similar to the conventional strategic planning models described

by Bryson, Minizberg, Phillips and others. In addition, according to Gabris and

Golembiewski (1996), local governments are more apt to innovate than state and federal

governments. Finally, Ihrke, et al. (2003) concluded in their research that there is a need

for local government to conduct systematic case studies into specific innovations such as strategic planning to better understand the causes and factors leading to their success.

Overview of Theoretical Framework

Empirical studies have examined the relationship between planning in the area of strategic planning and performance in private organizations and concluded that planning is generally associated with superior performance. However, there has been no systematic empirical research on the impact of planning and performance of public organizations (Boyne, 2001). There are dissimilarities in strategic planning in the public and private sector such as the dominating force, decision making, and criteria for evaluation (Mercer, 1991). While we know that local governments are engaged in strategic planning, we do not know what contributes to their perceived success or failure, and future researchers need to conduct systematic case studies of local governments to explore and better understand the causes and factors leading to success (Ihrke, et al., 2003).

In order to address this need for research in the public sector, a theoretical framework (See Figure 1 on Page 27) has been developed as a model for this study and responds to the basic research questions. In order to determine those factors that lead to successful strategic planning and performance for public organizations, these four areas will be researched and analyzed: (a) strategic planning, (b) leadership theories and practices, (c) planning process and group dynamic theories and practices, and (d) performance as outcomes theories and practices. From this archival research and analysis it is the purpose to frame and select a theoretical model or template. A template and

survey instrument will be developed from the selected theory to determine the empirical relationship between strategic planning and performance in the public sector.

The populations to be studied are professional planners with experience in local government comprehensive planning in the states of New York and Florida. A qualitative inquiry will be conducted to determine those factors that lead to successful planning and performance in the public sector. From the results of the literature search a theory will be selected and a theoretical framework developed to guide the study. A psychometric instrument will be developed to test the research population to determine the relationship between strategic planning and performance in the public sector

Any literature research and analysis of strategic planning and performance should include an examination of leadership influence and theories and how they would apply to this case study. Any discussion on organizational performance needs to examine leadership theories and related factors that are most effective for strategic planning and performance. Leadership creditability has significant positive statistical relationship with strategic planning and its success (Ihrke, et al., 2003). Additionally, leadership theories have been applied to design and implement training programs for the purpose of improving organizational performance (Northouse, 2001).

Strategic planning is a process to resolve an interrelated set of issues in a structured and coordinated manner (Barry, 1998). The planning process presents unique challenges to determine those principles and practices from the literature review that determine those factors that lead to successful strategic planning and outcomes. These challenges incorporate an examination of group theories and dynamics of planning participants to achieve their group's goals.

Factors That Lead to Successful Strategic Planning and Performance for Public Sector Organizations

Strategic Planning

Performance

Local Government

Leadership Theory and Research

Planning Process & Group Dynamics Theory and Research

Outcomes Theory and Research

Psychometric Issues

Template for Strategic Planning and Performance Theory and Research

Qualitative Inquiry
Knowledge, Experience and Reflection- Themes and Factors

Research on Tests Items

Quantitative Analysis on the Relationship Between Strategic Planning and Performance

Development and Testing of Instrument on Relationship Between Strategic Planning and Performance for Local Governments

Figure 1: Theoretical framework for the study

Furthermore, outcome statements are tools of performance that transfer goals into measurable statements (Wray and Marshall, 1998). An examination of performance and performance standards or measures is necessary to determine the success of strategic planning and the relationship between strategic planning and performance.

The key factors of leadership and the behavior of participants during the planning process to achieve successful performance will be constructed into a template based on selected theory and to aide in the design of the study.

A qualitative inquiry will be conducted to explore the phenomena of strategic planning in order to determine those factors necessary to construct a psychometric instrument to explain the relationship between strategic planning and performance.

Leadership Theories and Models

Leadership is a complex process with multiple dimensions that address the leadership-member relationship and has been defined as a process that involves influence, working with people, and concern with effective goal accomplishment (Northouse, 2001).

In support of leadership, as a key factor for successful strategic planning, Ihrke et al., (2003) conducted quantitative research to test three factors that influence the success of strategic planning at the local government level. Their results indicated that leadership credibility had significantly positive statistical relationship with strategic planning and concluded that credible leadership helps to guide local governments toward innovations.

In addition, Gabris, Grenell, Ihrke & Katz (2000) noted that positive perceptions of managerial innovations in the public sector such as strategic planning are a function of perceived creditability of administrative leaders. Likewise, McClamroch, Byrd and

Sowell (2001) in their case study, analyzed a strategic planning model formulated for not-for-profit organizations derived from Bryson's model. They state that while the model encouraged consensus, buy-in, and collaboration, that such a change effort will not succeed without effective leadership. These researchers have identified leadership effectiveness and creditability as key factors that influence the success of strategic planning.

Yin (1994), a proponent of the case study method, uses theory in what he terms an analytic generation of case study results which occur when previous theory is used as a template with which to compare the results of the case study. Several leadership theories are analyzed to determine which one is the most appropriate theory to serve as a template to compare the results of this case study. Theory is important to explanatory case studies for generalizing the results to other case studies, as well as to help delineate the case study inquiry as to design (Yin, 1994).

Literature research reveals that there are seven main classical theories of leadership that tend to follow a progression in a sequential path that enhances previous research and practices (Northouse, 2001). These classical models are trait, behavior, situation, contingency, path-goal, transactional and transformational theories.

Trait Theory

The trait theory professes that leaders are born with specific traits that differentiate them from followers, the so called "great person theory" (Northouse, 2001). In support of the trait theory, Mann (1959) examined 1,400 findings on personality and leadership in small groups and concluded that personality traits could be used to identify leaders from followers.

However, Stogdill (1948) conducted research that identified important leadership traits or characteristics. The results indicated that an individual becomes a leader solely because they possess leadership traits and that the traits the leaders possess should be relevant to the situation in which they are functioning. A key finding, according to Northouse (2001), was that Stogdill's research marked the beginning of a new approach to research that not only focused on leadership behavior, but also on the situation in which the leader was functioning.

The shortcomings of the trait approach as analyzed by Northouse (2001) is that it does not layout a set of hypotheses or principles about what kind of a leader or leadership style is effective in a certain situation. He points out that the trait theory focuses exclusively on the leader and not on the followers or the situation and that the leadership construct is composed of leader, followers, and situations. Nevertheless, he states the theory is useful in assessing an individual's leadership traits for personal awareness and development.

Behavior Theory

The most well-known model of leadership behavior is the Leadership Grid which appeared in the early 1960's, has been refined several times (Northouse, 2001), and is used in organizational training and development. The Leadership Grid is designed to demonstrate how leaders achieve organizational goals by two factors: concern for results and concern for people (Blake & Mouton, 1964). The horizontal axis of the grid represents the leaders' concern for results and the vertical axis represents the leaders' concern for people. The leadership grid identifies five leadership styles of behavior such as authority (high concern for results), country club (high concern for people),

impoverished (low concern for results and people), middle of the road (moderate concern for results and people), and team (high concerns for results and people). Then according to Blake and Mouton (1964) a person usually has a dominant grid style which they use in most situations.

Northouse (2001) concluded that the leadership behavior theory makes several positive contributions to researchers' and practitioners' understanding of the leadership process. This process includes the behavior of leaders, what they do in various situations and the understanding of the complexities of leadership. However, research on behaviors has not adequately demonstrated how leaders' behaviors are related to performance outcomes (Bryman, 1992; Yukl, 1994). Nevertheless, the Blake and Mouton's Leadership Grid is a popular model employed by many training and development organizations to teach managers to improve their effectiveness (Northouse, 2001).

Situational Theory

The widely recognized model for situational leadership was developed by Hersey and Blanchard (1969). The model is based on the theory that leaders should vary their style of leadership based on each organizational or group member's level of maturity. This situational leadership model is developed around the theory that organizational or group members as followers move back and forth along a development continuum. For leaders to be effective, they need to diagnose where members are on the development continuum and apply the leadership style to the development level of members (Hersey and Blanchard, 1969).

According to Northouse (2001) this model is composed of a directive and supportive dimension which in various combinations comprises the various leadership

styles of directing, coaching, supporting, and delegating, and is applied in accordance with the development level of followers. However, he concluded that this approach lacks strong research on situational leadership and raises questions about the theoretical basis of this approach.

Whereas the trait and contingency leadership theories supported a fixed style for leaders, the situational leadership theory requires leaders to demonstrate a strong degree of flexibility. The situational leadership model has several strengths for practitioners and has been a factor in training leaders within organizations for over 400 of the Fortune 500 companies (Hersey & Blanchard, 1993).

However, there are other criticisms of the model in that Hersey and Blanchard do not make clear how commitment is combined with competence to form distinct levels of development (Graeff, 1997; Yukl, 1989). The situational leadership model is also criticized because it does not fully address the issue of one-to-one versus group leadership in an organizational setting (Northouse, 2001). An interesting finding is that Carew, Parisi-Carew, and Blanchard (1990) suggest that groups go through development stages that are similar to individuals and those leaders need to match their style to the group's development level.

Contingency Theory

Contingency theory is a "leader-match" theory (Fiedler & Chemers, 1974), in which it tries to match leaders to appropriate situations. Effective leadership is contingent on matching a leader's style to the right setting. Fiedler (1974) developed contingency theory to make empirically grounded generalization concerning which style of leadership was best and worst for the given organizational or group context. It

provides a framework for matching the leader and the situation. Then, Fiedler's contingency model suggests that situations are characterized as (1) leader-member relations which refers to a group's atmosphere, confidence, and loyalty that members feel for their leader, (2) task structure in which the degree to which they are clear, and (3) power position which refers to the authority of the leader to reward or punish members of the group. Together these factors determine the favorableness of situations in organizations and groups with the leader's style. To measure a leader's style, Fiedler developed the Least Preferred Co-Worker Scale (LPC) in which leaders who score high on this scale are described as relationship motivated and those who score low are task oriented. By measuring the leader's LPC score and the three situations variables, one can predict whether or not the leader will be effective for a particular situation. It is important to note that Fiedler (1974) believed that leadership style was inflexible and that leaders must change the situation to suite their style.

According to Northouse (2001) this contingency theory is supported by a great deal of empirical research. Northouse points out that the strengths of contingency theory are that researchers have tested it and found it to be a valid and reliable approach to explaining how effective leadership can be achieved and the theory is grounded in research. In addition, Northouse claims that contingency theory is predictive in regard to the type of leadership that will be effective in certain contexts versus other leadership theories.

Nevertheless, Fiedler (1993) refers to his theories as a "black box" problem, because it fails to explain why individuals with specific leadership styles are more effective in some situations than others. In addition, Fiedler states that the LPC scale

does not correlate well with other leadership measures. Other criticisms of the contingency theory are that it is cumbersome to use in real-world settings, and it would require changing the situation to fit the leader (Northouse, 2001).

Path-Goal Theory

The path-goal theory is based on the relationship between the leader's style, the characteristics of the members and the situation. It incorporates leadership theory, expectancy motivation theory, and contingency factors (House & Mitchell, 1974)

The path-goal theory is in contrast to the situational approach, where the leader must adapt to the development level of organizational or group members (Hersey & Blanchard, 1969); and to the contingency theory, which promotes the match between the leader's style and specific situational variables (Fiedler, 1974).

In addition, the path-goal theory is rather complex and is designed to explain how leaders can help group members along the path to their goals by selecting behaviors that are best suited to member's needs and to the situation in which members are working in order to increase group members' expectation for success (Northouse, 2001).

House & Mitchell (1974) identified for their model four leadership behaviors. These are:

1. *Directive Leadership.* This behavior characterizes a leader as one who gives subordinates instructions about the task, what is expected, how it is done, and a time line to complete the task.

2. *Participative Leadership.* This behavior characterizes leaders who invite organizational members or stakeholders to share in the decision-making.

3. *Supportive Leadership.* This behavior characterizes leaders who are friendly, approachable, and treat organization members as equals.

4. *Achievement-Oriented Leadership.* This behavior characterizes a leader who shows a high degree of confidence that organizational members are capable of establishing and accomplishing challenging goals.

House & Mitchell (1974) suggest that leaders may exhibit any or all of these four styles with various subordinates and in different situations. Path-goal theory is not a trait approach but one in which the leader adopts a style that addresses the situation or the motivational needs of group members to achieve their goals (Northouse, 2001).

In summary, the path-goal theory requires the leadership to define goals, clarifies the path, removes obstacles, and provides support for organizational or group members as they follow the path or process to achieve organizational or group goals (Northouse, 2001).

Nevertheless, Evans (1996) claims that the path-goal theory remains tentative because research findings do not provide a full and consistent picture of its basic assumptions and corollaries. Northouse (2001) states that a weakness of the path-goal theory is that it is complex and incorporates so many aspects of leadership that interpreting the meaning of the theory can be confusing and that placing a great deal of responsibility on the leaders may promote dependency of members.

However, according to Jermier (1996) the path-goal theory provides a useful theoretical framework for understanding how various leadership behaviors affect the satisfaction of members and their performance by building on prior research. The path-

goal theory was one of the first situations-contingency theories of leadership that attempts to integrate the motivation principles of the expectancy theory into a leadership theory.

A substantial amount of empirical research on the path-goal theory, since House's 1971 path-goal theory and the enhanced House-Mitchell (1974) path goal theory, suggested a need to reformulate his theories (House, 1996). He describes his initial theory as a dyadic theory of supervision that does not address the effects of leaders on groups.

Therefore, House (1996) reformulated the path-goal theory as a theory of work unit leadership in which group oriented decision-making process is a work unit leadership behavior and requires a special case of participative leadership skills in contrast to the dyad model. He points out the need for all members to participate in discussions, to ensure that member participation is balanced, to deliberate alternatives, to defer problems to subgroups with special expertise, and to evaluate alternatives strategies. This consensus-building approach requires a more complex leadership style.

Furthermore, according to House (1996), research suggested the proposition that when decisions require group member's acceptance for implementation that the participation of group members in the decision-making process will increase commitment and improve outcomes.

Transactional and Transformational Theory

Burns (1978) distinguishes between transformational and transactional types of leadership. Transactional leadership focuses on the exchanges that occur between leaders and their followers such as rewards and promises for results. It is interesting to note that Vera and Crossan (2004) concluded in their research that transactional leadership follows

House and Mitchell (1974) path-goal theory closely. According to Burns (1978), transformational leadership refers to the process in which leaders engage with followers to create a connection and raise the level of motivation and morality for both leader and followers. Then, Bass (1985) states that transformational leadership motivates followers to do more than expected by raising followers' levels of consciousness about the importance of specific and idealized goals. This can result in having followers transcend their self-interest for a higher purpose for the sake of the team or organization. In addition, Avolio (1999) states that transformational leadership is fundamentally "morally uplifting" and places a strong emphasis on followers' needs, morals, and values (Burns, 1978).

However, there are criticisms of transformational leadership in that it lacks conceptual clarity and that it overlaps with other leadership practices such as supporting, clarifying, and team building (Tracey & Harkin, 1998). Another criticism is that transformational leadership treats leadership as a personality trait rather than a behavior which people can learn and apply (Bryman, 1992). In addition, the charismatic nature of transformational leadership presents risks for organizations, because it can be used to promote negative or destructive agendas (Howell & Avolio, 1992).

There is evidence that leaders may possess both transactional and transformational behaviors (Dusya & Crossan, 2004). Recent research suggests that transformational leadership builds on the exchange of rewards in transactional leadership (Avolio, Bass, & Jung, 1999).

Not surprisingly Tushman and O'Reilly (1996) had concluded that there is a need in today's complex organizational environment for strategic leaders to be ambidextrous,

which is for leaders to possess both transactional and transformational leadership styles. This approach includes not only the exchange of rewards but gives attention to the needs and growth of members.

Leadership Practices

Harrison and Pelletier (1997) conducted a study of 61 Chief Executive Officers (CEO) to determine those factors that contribute significantly to successfully implemented strategic decisions using a conceptual framework of strategic leadership orientations. Given the small amount of empirical studies on strategic leadership at the CEO level, Harrison and Pelletier felt it is important to emphasize the significance of the CEO's perception of what is effective strategic leadership. The focus of their study was directed toward ascertaining the significant leadership factors that contribute to the success of implemented strategic decisions through the lenses of the CEO. Their study concluded that the determinants of strategic leadership constitute the following factors and that these factors of strategic leadership were deemed to be highly important by the responding CEO's (Harrison & Pelletier, 1997). These factors are:

Well Defined Objectives.   In their research CEO's respondents placed considerable importance on well defined objectives that result in explicit task definitions for implementing successful strategic decisions within their organizations. Similar research by Hosmer (1982) concludes that objectives define the tasks that are essential for strategic decision success.

Opportunity for Participation. CEO's placed a high value on the opportunity for participation and regarded participative decision-making as conducive to strategic decision-making. Likewise, Likert (1967) in his system for leadership style of group

participation concluded that work groups that are highly involved in setting goals and making decisions, will result in a high level of productivity and member satisfaction. In addition, Lewin, Lippitt and White (1939) concluded that the democratic style of leadership was found to be efficient in dealing with complex problems in uncertain environments. Similarly, House (1996) identifies participative leadership behaviors as a key leadership style for successful group performance.

Delegation of Authority. The delegation of authority begins with the assessment of tasks and is implemented through the organizational structures. According to respondents the CEO pursues strategic success through the interaction of their members and this is accomplished by the process of delegation.

Focus of Accountability. Accountability for results is identified in ways that are clear and unequivocal. This determinant for success for strategic decisions as seen by the respondent CEO's has a structural orientation that is clear, well defined, and fair.

Formal Task Assignment. According to respondents' perceptions, assignments are routinely made through the organization structure in which leadership provides a directive style to achieve their outcomes.

Harrison and Pelletier (1997) concluded in their study that these factors provided meaningful insight into the perceptions of CEO's regarding the significant determinants of successful implementation of strategic decisions.

Strategic planning calls for flexibility in planning and implementation. However, according to Cummings and Worley (2001) little attention was being given to the change process in strategic planning to achieve performance.

Kirkpatrick (1985) identifies and describes three major strategies for leadership dealing with resistance to change that is experienced in the strategic planning process. These strategies, according to Kirkpatrick are:

1. *Support and Empathy.* Identify people who are having trouble accepting change and ways to overcome by having participants feel that those stakeholders that are responsible for managing changes are genuinely interested in their perceptions. Then they are less likely to be defensive and will share their concerns. This open relationship provides a basis for joint problem solving and overcoming barriers. Theorists (Hersey & Blanchard, 1969; House & Mitchell, 1974) promote the supportive leadership style to improve performance.

2. *Participation and Involvement.* The most effective strategy is to involve organizational members directly in planning and implementation of change. This is one of the most effective strategies for overcoming resistance and assures participants that their interests and needs will be considered. Theorists (Blake & Mouton, 1964; House & Mitchell, 1974; Likert, 1967) advocate the participative style of leadership to improve performance.

3. *Communication.* Effective communication about change can help organizational members or stakeholders realistically prepare for change. Stakeholders resist change when they are uncertain about its consequences, and this adds to their anxiety associated with change.

The importance of communications as a leadership style was best stated by Neher (1997) in that "Communication skills are the basis for effective leadership in organizations" (p. 21). He further stated that leadership is involved in activities that influence desired behavior in other people and these activities occur only as they are carried out in a communication and concluded that "communication is the key to sound decision-making" (p. 21).

Leadership is a complex process with multiple dimensions of the leadership-member relationships (Northouse, 2001). Barron and Henderson (1995) conducted research on strategic leadership and concluded it can be conceptualized by focusing not only on content, but also on process in four key areas.

The four key areas are:

Participation. Direct and active participation from practitioners at all levels is needed and can be accomplished by empowering those who participate through collective action. As previously stated, several theorists promote the participative style of leadership for successful performance.

Sensitivity. While active participation by each person involved is crucial for the development of a sense of ownership, in addition the reflection of sensitivity by the leader is essential for creating and achieving goals and objectives. The sensitivity style of leadership is similar to the supportive style described by House & Mitchell (1974) and Hersey & Blanchard (1969).

Trust Among Stakeholders. Trust among policy makers and stakeholders imply responsibility, competence, respect, and dedication to enhancement. Trust is a fundamental characteristic for successful organizational change.

Openness and Fairness. Defined as the leadership styles and techniques that promote greater feelings of openness and fairness. Strategic leadership needs to create an atmosphere of accessibility that promotes creative ideas to serve its clients. Trust, openness, and fairness reinforce the communicant style of leadership.

Comparing Leadership Theories with Leadership Practices for Strategic Planning

Table 1 compares the leadership styles of theories with those of practice to improve performance. Harrison and Pelletier (1997) in their analysis of 61 CEO's perceptions of those styles or factors of strategic leadership that contribute to successful implementation of strategic decisions are (1) opportunity for participation or the participative style, (2) formal task assignments or the directive style, and (3) well defined objectives, delegation of authority, and focus of accountability: the achievement oriented style. Kirkpatrick (1985) also identifies participation and involvement, the participative style, as a major strategy for leaders for successful performances. He also promotes support and empathy, the supportive style, and communication: the communicative style. Barron and Henderson (1995) likewise identified participation, the participative style, as an area in which strategic leadership may be conceptualized as a process along with sensitivity, the supportive style. Delegating and trust supports the achievement oriented style along with openness and fairness which, in turn, supports the communicative style. Comparing and analyzing the various leadership styles from the conclusions of the theorists and practitioners as shown on Table 1 result in a composite representing the directive, participative, supportive, achievement, and communicative styles as key leadership styles or factors for successful performance.

Table 1

Comparing Leadership Styles by Authors of Leadership Theories and Authors of Leadership Practices

Authors of Theories				Authors of Practice		
Blake and Mouton (1964)	Hersey and Blanchard (1965)	Fielder (1974)	House and Mitchell (1974)	Kirkpatrick (1995)	Barron and Henderson (1995)	Harrison Pelletier (1997)
Task	Directing	Task	Directive			Task Assignment
Participation	Coaching		Participative	Participative	Participative	Participative
Relationship	Supporting	Relationship	Supportive	Support Empathy	Sensitivity	
	Delegating		Achievement Oriented		Trust	Delegation of Authority and Well Defined Objectives
		Power				
				Communicative	Openness and Fairness	

Planning Process and Group Dynamics

Most authors of strategic planning models present them in detail graphics with explanations of the model's specifics, but they provide little if any information on the planning process (Mintzberg, 1994). Recently Boyne (2001) concluded from his literature search that the effect of the planning process on organizational performance in the public sector has been neglected.

Bryson (2004) describes a strategic planning model for public and nonprofit organizations as one in which the strategic planning process is broken down into distinct steps. He emphasizes that the process is about planning because it involves setting and achieving goals.

According to Mercer (1991) strategic planning in the public sector is a leadership instrument as well as a process for making strategic decisions, developing consensus, and developing a long-range plan. He identifies the key elements of the plan as environmental scanning, mission statement, set of strategies, objectives, tactics, and evaluation. He concludes that effective strategic planning also requires a structured methodology and a group or team approach.

In addition, Barry (1998) described strategic planning for nonprofit and government groups as the process of determining what your organization intends to accomplish and how to direct the organization and its resources toward accomplishing their goals in the coming months and years. He distinguished strategic planning from operational or short range planning in that operational plans as usually more narrow in scope than strategic plans. Gordon (1993) further describes the strategic planning process for local governments as a process of formalizing its mission statement,

forecasting scenarios, and setting goals for the organization through meetings and forums with participants inside and outside the government who are key stakeholders. The process is a systematic examination of the organization and its environment by those who have a stake in its future success. Group decision-making is very important in the process of strategic planning for local governments when issues are complex and require a range of problem solving approaches and building consensus (Gordon).

Shani and Lau (2004) define group dynamics as a pattern of interactions among group members as a group develops and achieves goals; the factors that affect group development and performance are context, purpose, composition and diversity, process, and leadership. According to Johnson and Johnson (2000) there are several sequential-stage theories of group development to achieve group performance. Tuckman's sequential theory identifies the stages of group development in sequential order as the forming, storming, norming, performing, and adjourning stages. In each stage the group focus on specific issues and their focus influence member's behavior (Johnson & Johnson).

Tuckman (1965; Tuckman & Jensen, 1977) describe the sequential stages for group development of their theory as follows:

The forming stage. This is the initial stage in which periods of uncertainty members try to determine their place in the group and the procedures and rules under which the group will operate.

The storming stage. In the next stage conflicts begin to arise as group members resist the influence of the group and resist accomplishing the task.

The norming stage. This is the stage in which the group establishes consensus in relation to the role structure and a set of group norms for appropriate behavior. Group members' cohesion and commitment increases.

The performing stage. During this stage group members become proficient in working together to achieve the group's goals and become more flexible in working together on their tasks.

The adjourning stages. This is the final stage in which the group is completing its task, accomplishes it goals, and then disbands.

A major pitfall for organizations engaging in strategic planning is the lack of conceptual commitment to the process at all levels of the organization. By involving key members through the planning process they will enhance their commitment as in Tuckman's norming stage of group development (Gordon, 1993). In addition, Mercer (1991) notes that leaders can encourage commitment by making strong and visible commitment themselves to the planning process, by setting realistic expectations, and by commitment to train others in planning.

Furthermore, McClamroch, Byrd & Sowell (2001) concluded that in strategic planning consensus and teamwork require commitment to a process and shared goals and that it provides opportunities for buy-in and ownership by internal stakeholders. Tuckman's norming stage provides opportunities for buy-in and ownership in which the group establishes consensus for role structure and group norms (Tuckman & Jensen, 1977). Likewise, Boyne (2001) distilled from his meta-analysis that one of the key dimensions for successful planning and performance is commitment by the organization

and those stakeholders who participate. Tuckman's performing stage is when group members work together to become committed to achieve group goals.

Stakeholders are defined as individuals, groups, or institutions that have an explicit or implied claim on the organization (King & Cleland, 1978). Furthermore, according to Mercer (1991) stakeholders are individuals, groups, and organizations who will be affected by or who are likely to be interested in the organization's strategic plan and the planning process. In summary, stakeholders have a vested interest in the outcome of strategic decisions made within a given organization (Harrison & Pelletier, 1997).

Consensus is considered a key dimension for producing an innovative, creative, and high quality decision that all members will be committed to implement (Johnson & Johnson, 2000). In order to reach consensus, leaders should encourage all members to participate and respect differences of opinions (Torrance, 1957). In addition, Mercer (1991) argues that strategic planning is a dynamic tool that can assist policy makers in gaining consensus on what is important to a public organization. Furthermore, Gordon (1993) states that one of the key benefits of strategic planning is that it promotes goal-setting and reaching consensus that enhance the likelihood of achieving goals. Also, this process is more critical in local government than private organizations because of the nature of the many functions for which it is responsible.

According to Innes (1998) communication is central to planning, and as researchers we should give more definitive and systematic attention to this dimension. He further states that the complex interactions and communications of policy decision making are actions and reactions in which a communicative model emerges for action planning.

In support of Innes claim, Neher (1997) has stated that "communication skills are the basis for effective leadership in organization" and "communication is the key to sound decision making" (p. 21). Good communications are essential for successful planned change (Kirkpatrick, 1985) and can be implemented through linking pins (Likert, 1967) for horizontal and vertical integration.

It is not surprising that Redding (1972) best characterized the ideal communication climate in an organization as one that is supportive, has participative decision-making, creates trust and confidence, is open and candid, and pursues high performance goals. Communication is a key dimension for leadership influence through various leadership styles (Redding).

Several key dimensions for the design and implementation of the planning process that influences successful performance have been distilled from a meta-analysis study by Boyne (2001).

These dimensions according to Boyne are:

1. *Formality.* The procedures used are prescribed and the steps and tasks in the process are controlled against a time table. Objectives are stated and strategies are expressed in a written document

2. *Completeness.* All stages of the planning cycle are undertaken, desired outcomes are defined, strategies are evaluated, and results are monitored.

3. *Intensity.* The level of resources is committed to each stage of the planning cycle.

4. *Quality.* Each stage of the cycle is undertaken to a satisfactory standard.

5. *Comprehensiveness.* All organizational functions are included in the plan.

6. *Commitment.* Planning is taken seriously and takes on value only as committed people infuse it with energy.

7. *Implementation.* The plan is actually put into practice.

8. *Flexibility.* Plans are revised.

In summary, the strategic planning process is a leadership instrument in which internal and external stakeholders as a group formalize its mission or vision statement, set goals and objectives, design actions and strategies to achieve those objectives, allocate resources, and evaluate performance. The process requires a structured methodology that produces a strategic plan for implementation in which the key stakeholders buy into the process and as a group use consensus building to commit to the plan.

Researchers (Gordon, 1993; McClamroch et al., 2001; Bryson, 2004) noted that the buying-in phase and the commitment phase (Mercer, 1991; Boyne, 2001) are key concepts for successful strategic planning and performance.

Performance

The strategic plan acts as a plan for action by local government in which strategic planners identify benchmarks that indicate progress toward the plan's objectives (Gordon, 1993). These performance measures provide a means to determine if the organization is on track and achieving its targets. In addition, Gordon states that in most strategic plans measurements of the objectives are actions accompanied by dates or numeric targets.

Furthermore, Wray and Marshall (1998) describe goals, strategies, benchmarks, outcome statements, and outcome indicators as tools for performance planning and say that outcome statements or objectives transform goals into concrete and measurable

statements. They emphasize that measurable outcomes make it possible to monitor performance against the plan, while Frink and Ferris (1998) state that goal theory and research suggest that goals are performance driven and that performance evaluation can be discussed in terms of goal setting.

An interesting finding was that Calhoun (2002) in her research on organizational self-assessment using the Baldrige Criteria suggested that self-assessment enables policy makers and members to compare how well the organization has performed against its stated goals, objectives, strategies, and actions and can provide a common language for comparing your organization to others. This observation is consistent with Yin's (1994) case study description in which previously developed theory is used as a template to compare case studies. Goals and objectives as measurable statements make it possible to monitor performance of plan implementation (Wray and Marshall, 1998).

In summary, Bryson (2004) and Gordon (1993) advocate the need for stakeholders to buy into the process and the plan for successful strategic planning. Several researchers and practitioners including Boyne (2001) and Gordon (1993) conclude that a key construct for successful planning and performance is commitment by leaders and those who participate. Measurable outcomes are used to evaluate performance to achieve plan goals and objectives. (Wray & Marshall, 1998).

Theoretical Perspective

A theory explains what a phenomenon is by describing its concepts and their relationship (Creswell, 2003). However, the theoretical perspective for qualitative research uses theory to provide a lens to guide the study, and for quantitative research the theory becomes a framework and an organizing model for the study (Creswell).

For this mixed-methods study the qualitative inquiry is an inductive approach to test if an existing theory is grounded in the views and experiences of the participants. According to Strauss and Corbin (1998) the grounded theory method can use existing theory as a guide that may be enhanced or modified from the results of the qualitative study. This approach is consistent with the theoretical model for a qualitative study in which the researcher modifies an existing theory based on the views of the participants (Creswell, 2002). For the quantitative phase of this study a deductive approach is used in which theory becomes the framework for the study, as well as an organizing template for the research questions and for data collection procedures (Creswell, 2003). The theory is tested by examining the research questions. An instrument is designed to measure behaviors of the participants, and the scores are collected to confirm or disconfirm the theory (Creswell, 2003). The theoretical perspective explores and explains the case study.

Selection of Theory for Study

In the formulation of a theoretical perspective, the leadership practices in Table 1 on Page 43 were analyzed to match the leadership theory that was most relevant for strategic planning and decision-making.

The authors of leadership practices identified directive, participative, supportive, communicative, and delegating or achievement oriented as key leadership factors for successful performance for strategic decision-making for strategic planning. These leadership factors best match Hersey and Blanchard's 1993 situational leadership model in which the various styles of leadership are applied in accordance with the development level of follower and the path-goal theory of House and Mitchell 1974 in which their

model is based on the relationship between the leader's style and the characteristics of followers and the work setting.

From the literature review and analysis of the strategic planning process and theories and practices, the path-goal theory of the previously two selected theories is best suited for selection as a leadership theory for the theoretical framework for this study. The path-goal theory requires the leadership to define the group's task or goals which is a structured methodology, clarifies the path or process, removes obstacles, and provides support for group members as they follow the path to achieve their goals. The path-goal theory not only calls for leadership to select behaviors that are best suited for members' needs and the situation, but also support and guide them through the process or path to achieve their goals. The theory best matches strategic leadership styles and the strategic planning process for an organizing template for the study.

Description of Theory

The path-goal theory incorporates leadership behavior theory, expectancy motivation theory, and contingency factors (House & Mitchell, 1974). The authors identify four leadership behaviors for their model. They are directive, participative, supportive, and achievement oriented. Leaders may exhibit any or all of those styles with various subordinates and in different situations. This theory is appropriate for local government comprehensive planning, because generally the participants are diverse in their work experience, positions, and experience with strategic planning and group dynamics.

The theory is complex and is designed to explain how leaders can help members along the path to achieve their goals by selecting the behaviors best suited to members'

needs and their situation and to increase their expectations for successful and personal satisfaction. Furthermore, in House's reformulated theory of 1996, he incorporates the group oriented decision process in lieu of his original dyad theory and shared leadership in which the participative style of leadership is emphasized. This progression by House of his path-goal theory from the initial dyad theory to groups reinforces its application to the strategic planning process.

Use of Theory

According to Northouse (2001) the path-goal theory can be used by leaders at all levels within an organization as well as for all types of tasks. Since the original publication of the path-goal theory, there have been 40 to 50 studies to test propositions of the theory and the results of these empirical studies are mixed (House, 1996).

One of the objectives of this study is to test the path-goal theory as applied to a central phenomena, specifically strategic planning and performance as a theoretical perspective and to build on this existing theory. The path-goal theory will be enhanced and modified through the literature review and the results of the qualitative study. The literature review does not reveal any previous application of the path-goal theory as a theoretical framework to test the relationship between strategic planning and performance.

Explanation of Variables of Theory

The independent variables for the path-goal theory for leadership influence are directive, supportive, participative, and achievement oriented. If a leader scores high for these variables, they do very well in uncertain situations where they could set high

standards, challenge subordinates to meet these standards, and help them feel confident (Northouse, 2001).

However, other independent variables will be identified to enhance the theory. House (1996) points out that there is a multiplicity of intervening variables that affect performance. This observation is consistent with Northouse's (2001), in which he observes that researchers use multiple instruments to study the path-goal theory and include other measurements such as task structure. The dependent variable is performance.

It is the intent of this study to use the leadership styles of the path-goal theory and other key variables from the literature search and the result of the qualitative study that explore the successful path or process of strategic planning to achieve performance. These additional variables will be used to enhance or modify the path-goal theory as a template and to explain the relationship between strategic planning and performance in the public sector.

The Study Template

As a result of review, analysis, and synthesizing of the literature search, this author proposes an enhanced path-goal theory template or model as a dynamic and systems model to test those factors that lead to successful strategic planning in the public sector and to test the relationship between strategic planning and performance. This is consistent with Cummings and Worley's (2001) observation that the recent innovation of Integrated Strategic Change (ISC) calls for one integrated process of commitment, support, planning the implementation, and the execution for strategic planning for organizations. The constructs of this study template are shown in Figure 2 and are (1)

leadership influence, (2) the characteristics to buy into the planning process and the plan as an outcome, (3) characteristics for those with a vested interest to commit to the plan and its implementation, and (4) performance.

| Leadership Influence | → | Buy-in Phase | → | Commitment Phase | → | Performance Outcomes |

Leadership ————————→ Path ——————————→ Goal

Strategic Planning ——————————————————→ Outcomes

Figure 2. Template for strategic planning and performance as an enhanced and modified path-goal theory.
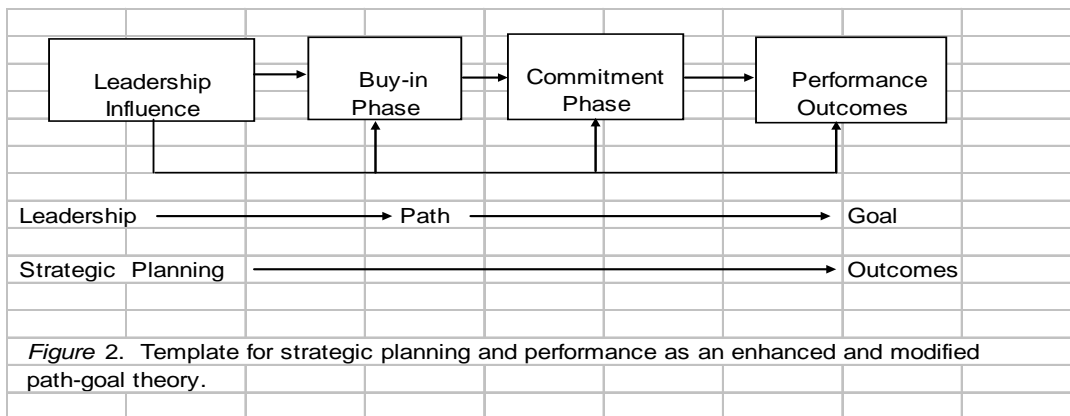
In support of the leadership influence as a key construct, Ihrke et al. (2003) concluded from their quantitative research that leadership creditability had significant positive statistical relationship with strategic planning and success. Additionally, Mercer (1991) states that strategic planning in the public sector is a leadership instrument.

The comparison and synthesis of leadership theories and leadership practices illustrated in Table 1 resulted in the selection of directive, participative, supportive, achievement oriented, and communicative as the key leadership characteristics for leadership influence for successful strategic planning. This sub-template is illustrated in Figure 3 and these factors will be operationalized to determine their relationship between strategic planning and performance in the public sector. These factors are multi-dimensional with communicative linked to the other factors.
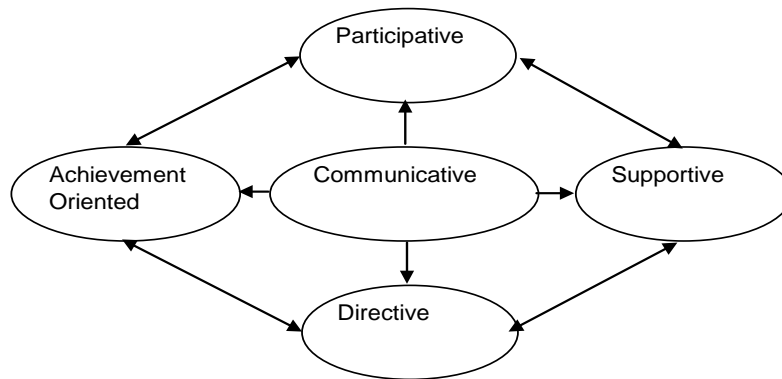
Figure 3. Sub-template of leadership styles for influence.

Next, the buying-into the process and the outcomes by stakeholders has been advocated as a key construct by researchers (Bryson, 2004; Gordon, 1993) for successful strategic planning. Furthermore, Gordon (1993) describes buy-in as meaning that stakeholders must buy-in to the planning process, and then broad base stakeholder participation transforms the process into one bought into by the entire community. In addition, in strategic planning, opportunities for buy-in and ownership by internal stakeholders results from consensus building (McClamroch, et al., 2001).

Good communications are an essential factor for success for planning (Kirkpatrick, 1985), and the ideal communication climate is one that has leadership support, participation decision-making, is open, and creates trust (Redding, 1972). In addition, task assignments supported by leadership direction and participation by stakeholders are key factors essential for successful planning (Harrison & Pelletier, 1997).

As a result of the analysis and synthesis of the literature review, the key factors for the buy-in phase are the planning process, stakeholder's participation, leadership

support, communications, and consensus building for a plan document outcome. This sub-model of the buy-in phase and its factors are shown in Figure 4 and these factors will be operationalized for the study.
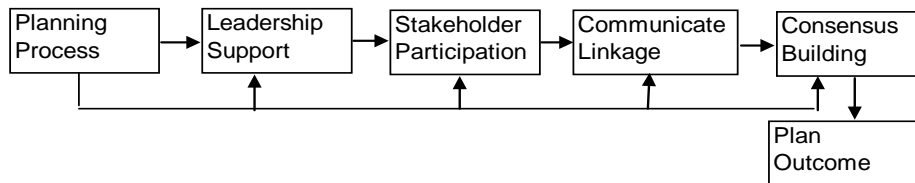
Figure 4. Sub-template of buy-in phase.

After the buy-in phase, a commitment by leaders and stakeholders are key factors for successful strategic planning and performance according to researchers (Boyne, 2001; Gordon, 1993). These researchers are supported by Mintzberg (1994) who claims that most popular pitfall of planning is the concern for commitment. Leaders can encourage commitment by making a strong and visible commitment themselves to planning and its expectations (Mercer, 1991).

However, an organization commits to its strategic plan when resources as a key factor are allocated to specific activities that are designated to achieve plan objectives (Enderele & Travis, 1998). Well defined outcomes as operational dimensions for planning performance are key according to Boyne (2001). Measurement is central to good performance-based planning through goals, objectives, and outcomes (Wray & Marshall, 1998). More specifically, outcome statements and objectives transform goals to concrete and measurable statements (Wray & Marshall).

As a result of the analysis and synthesis of the literature review, the key factors for the commitment phase as shown on Figure 5 are: goals and measurable objectives,

leadership commitment, stakeholder commitment, resources, and outcomes. These

factors will be operationalized for the study.

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| Goals Measurable Objectives | → | Leadership Commitment | → | Stakeholder Commitment | → | Resources | → | Implementation Outcomes |
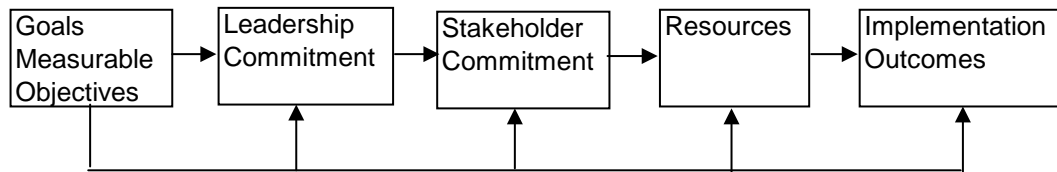
Figure 5. Sub-template for the commitment phase.

The sub-templates of leadership influence, the buy-in phase, and the commitment

phase constitute the template to compare the results of the case study and for replication

of other case studies. This template represents an enhanced and modified path-goal

theory model and will be confirmed, revised, or modified from the results of the

qualitative inquiry. The template will address the research questions and test the

relationship between strategic planning and performance.

CHAPTER III

METHODS

Introduction

The problem statement and research questions call for a need to explore the central phenomena of the strategic planning process and to predict its outcomes. This mixed-method approach to research best addresses the problem statement and research questions. The mixed-method approach uses both qualitative and quantitative research methods to empirically test the themes from the qualitative exploratory phase in order to develop a quantitative instrument to be used in a regression analysis for generalization (Creswell, 2002). It is interesting to note that initially the multiple method approach to research within a single study was advanced by Campbell and Fiske (1959). Then the combination of in-depth case studies and surveys created a new style of research within a single study (Sieber, 1973).

According to Creswell (2003) as a result of the need to explore and explain, published articles using mixed-methods research are becoming more popular in social and human science journals and entire books have been written about the procedures for conducting mixed-method studies. He noted that mixed-methods research is a good design to build on the strengths of both qualitative and quantitative data so as to provide a complete picture of a research problem and to assess both outcomes and process of a study.

There are several types of mixed-methods strategies in which the four criteria of implementation, priority, integration, and theoretical perspective are used to guide the choice of inquiry (Creswell, Plano Clark, Gutmann & Hanson, 2003).

In the implementation of this mixed-method study, qualitative data will be collected first with the intent to explore the central phenomena of strategic planning from the experience of participants to determine those factors that predict successful strategic planning and performance. In the second phase an instrument is derived from the factors and used to determine the empirical relationship between strategic planning and performance to determine relationships and predict outcomes as reported by a large sample of the population.

The design of this study is a sequential exploratory method in which the qualitative data is collected first, and then analyzed to develop themes to construct an instrument for the collection of quantitative data for analysis; then followed by the interpretation of the entire analysis (Creswell, 2003). This design is illustrated in Figure 6.

Equal priority is given to the qualitative and quantitative study. The qualitative study will produce data that will identify factors for successful strategic planning, and the quantitative study will determine relationship between variables and outcomes. The factors are necessary to develop the instrument, and the instrument is necessary to determine the relevancy of the factors. As a result, both methods carry equal weight.

Qualitative   ⟶   Quantitative

Qual Data Collection	→	Qual Data Analysis	→	Quant Data Collection	→	Quant Data Analysis	→	Interpetation of Entire Analysis
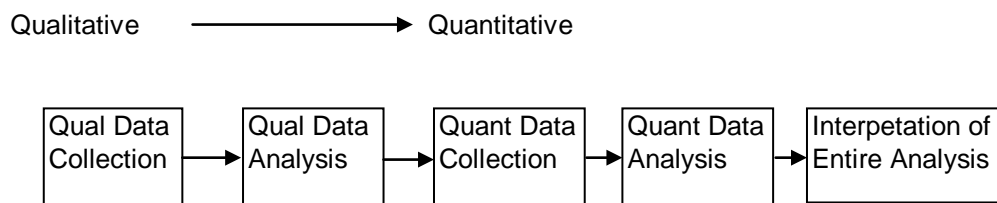
Figure 6.   Sequential exploratory design based on studies by Creswell (2003)

Integration will involve transforming qualitative themes into quantitative numbers and comparing that information with quantitative results in an interpretation section of the study. An explicit leadership theory, the enhanced path-goal theory, is the theoretical perspective that is the guiding framework for the study. Yin (1994) uses theory in what he terms an analytic generation of case study results which occur when previous theory is used as a template with which to compare results of other case studies for replication.

Qualitative Study

Grounded theory is the method of inquiry to be applied for the first phase of this study. According to Strauss and Corbin (1998), grounded theory is a general methodology that is grounded in the data systematically gathered and analyzed. They describe it as an inductive approach to allow research findings to emerge from the common, dominant, or significant themes inherent in the raw data from the experiences of the participants. In this method, data collection, analysis and theory stand in close relationship with one another (Strauss & Corbin, 1998). In addition, theory may be initially generated from the data, or existing theory may be enhanced or modified as new data become available. For this research study an enhanced and modified path-goal theory is used as a framework to guide the study and as a template.

Participants

Participants selected for the qualitative phase of this study are professional planners who are members of the American Planning Association (APA) and the American Institute of Certified Planners (AICP) with 5 years or more experience in local government and specifically in local government comprehensive planning. AICP certifies professional planners based upon academic degree, experience, and a written

exam. This researcher is a Charter Member of APA and AICP and has over 30 years

experience in local government comprehensive planning in Florida, New York,

Connecticut, Massachusetts, and Puerto Rico. The roster for the Florida Chapter of APA

(FAPA) and the New York Chapter of APA (NYAPA) will be canvassed by the

researcher to identify professional planners with 5 years or more experience in local

government comprehensive planning. Five participants as a non-probability sample shall

be selected from Florida and five from New York that provide the greatest opportunity

for discovery across regions and between states with varied strategic planning histories.

This will provide an opportunity to explore the similarities and dissimilarities with states

that have voluntary and mandatory comprehensive planning.

Data Collection

Unstructured interviews will be conducted that are face-to-face and when

necessary, by telephone. All interviews are audio-taped and then transcribed. Interviews

will range from 30 minutes to one hour. Standardized interview techniques are used to

insure depth and authenticity. Rubin and Rubin (1995) guidelines for in-depth interviews

suggest the use of three types of qualitative questions: main questions, probe, and follow-

up questions.

The main question is an open-ended question that addresses the research question,

"What are the factors in your experience that lead to successful strategic planning and

performance in the public sector?" Probe questions will be verbal prompts which serve

to enhance the richness of the data. For example, if a participant states that leadership

support is a factor in their experience but does not elaborate, probe questions will be

asked. The interviewer would ask a prompting question such as "Could you explain

leadership support from your experience?" Follow-up questions will explore new issues that emerge from the participant's response. For example, if the participant identifies a factor not revealed in the literature search such as visionary leadership, a follow-up question might be "Can you explain the context in which visionary leadership is a factor?"

A letter would be prepared and sent to each selected participant informing them of the purpose of the study, the research methods, the benefits, their autonomy, publication, and their willingness to participate. The letter would be followed up by a five to ten minute telephone pre-interview to secure their participation, answer questions, and arrange for an interview.

Data Analysis

According to Creswell (2002) a systematic design in grounded theory emphasizes the use of data analysis steps of open, axial and selected coding of the transcripts of the participants' interviews.

In open coding from the transcripts, words, phases, expressions, or sequences that answer the research question are labeled by codes and then categorized by themes. Themes have labels that generally consist of two to four words. Then open coding is followed by axial coding in which the researcher will select one open coded category and position it at the center of the process being explored and then relate other categories to it (Creswell, 2002). Then for selective coding the researcher will compare the path-goal theory from the interrelationship of the categories in the axial coding.

The results of the coding will be compared with and intergraded with the findings of the literature search and the construct of the template for the enhancing or modification of the path-goal theory.

Research Validity

In addition to the rigorous techniques and methods used to gather and analyze the data, for example, using open ended interview question in which the participant can freely express themselves, other measures are taken.   All interview transcripts will be sent to participants to verify and edit their authenticity for comments. One or more participants will be asked upon completion of their interview to volunteer for member checking. These volunteers will receive a copy of the qualitative study and then be interviewed as to the accuracy of the report. For example, is the report complete and realistic, are the themes accurate, and are the interpretations fair and representative?

Quantitative Study

From the results of the qualitative study, the factors that lead to successful strategic planning and performance in the public sector will be translated into operational variables. An operational definition is the specification of how the variable is defined and measured (Creswell, 2002). The exploratory qualitative data are used to identify categories or themes to be combined with continuous data in a statistical analysis and used in a correlation or regression analysis to determine the empirical relationship between variables and to predict outcomes (Creswell 2002).

The instrument that is developed and tested can be applied to other case studies for comparison and replication. Replicating studies are a common practice in research

where studies are repeated using different groups in different settings to provide a basis for broadly generalizing findings.

Instrument

The comparing and integrating of the results of the literature search and the qualitative study will produce those factors to be used as items as constructs for creating a template based on the enhanced path-goal theory. The factors will be operationalized to develop a survey instrument with closed-end questions and scoring data for quantitative analysis. Likert technique is used to construct the survey instrument for this study. A Likert scale is used to measure subjective evaluations of participants of each factor or item. Each degree of evaluation is given a numerical value of one to five. Likert scales are commonly used with interval procedures, provided the scale item has at least five categories for the Likert questionnaire (Salkind, 2003). Statements are written that express opinion about the events; then items that have clear positive and negative values are to the right of each statement in a space to indicate degree of agreement or disagreement (Salkind, 2003). A sample survey instrument was constructed by the researcher from the literature search as an illustrative example of the type of instrument, derived from the qualitative study that will be used for this study and is shown in the Appendix A.

Content validity is the degree a test measures an intended content area in which the test items are relevant to the measurement of the content and how well the test samples the total content of the area being tested (Gay & Airasian, 2000). For content validity, four or five experts will be selected that are members of FAPA with five years experience in local government comprehensive planning and its implementation. They

will analyze the statements and measures to determine in their judgment that the items and measures appear to be good measures of the constructs. Their input will be assessed for appropriate revisions of the instrument.

Upon completion of the survey instrument by the researcher, a pilot test will be conducted to test the reliability, construct validity, and criterion validity to determine the consistency of the instrument and to demonstrate that the measures behave as theoretically expected.

A pilot test would be conducted to test for reliability and validity. A non-probability sampling is used in which the researcher selects the individuals because they are available, convenient, willing, and represent the characteristics of the study. At least 30 individuals will be selected that are members of the FAPA with five or more years of experience in local government comprehensive planning and its implementation.

A letter would be prepared and sent to each participant informing them of the purpose of the study, data collection process, guarantees for protecting participants, instructions on how to fill out the survey instrument, and a stamped return addressed envelope. The letter will be followed up by telephone pre-interview to secure their participation and answer questions.

Upon receipt of the surveys the pilot test data will be entered into a SPSS software file for testing.

Reliability Test. A number of methods can test the reliability of an instrument such as: test-retest, equivalent-forms, and internal consistency of estimates of reliability (Green, Salkind & Akey, 2000). For this instrument Cronbach's alpha of correlation coefficients for reliability on internal consistency among the items to estimate

the total scores with multiple items will be used. To compute the coefficient alpha, SPSS software will be applied using the reliability analysis. Generally alpha of 0.75 or above indicate appropriate instrument internal consistency.

Construct Validity. Construct validity has been traditionally defined as the experimental demonstration that a test is measuring the construct it claims to measure.

A factor analysis using SPSS software will be conducted to assess the number of constructs and the items associated with the constructs. Factor analysis requires two stages: factor extraction and factor rotation. The next test is a correlation analysis between the independent variables and the dependent variable using SPSS software to determine if a statistical association exists that demonstrates that the measures behave as expected.

Criterion Validity. Criterion validity is concerned with how well the independent variables (predictors) predict the dependent variable (criterion) (Salkind, 2003). Multiple regressions are a statistical technique where two or more independent variables are used to predict the dependent variable (Creswell, 2002). A multiple linear regression analysis will be conducted using SPSS software to determine the statistical significance of the prediction equation for the variables. In addition, the results will be analyzed to determine that the measures behave as theoretically expected according to the enhanced path-goal theory.

The survey instrument was revised to reflect the results of reliability and validity testing for a final survey instrument for the study. The scores and results of the final survey instrument are for testing the research questions and the selected theory.

Participants

The population selected for this study is members of FAPA that have or are serving Florida's local governments (67 counties and 408 municipalities) that are required to adopt local government comprehensive plans. FAPA will provide a list and addresses of their members. The entire population of 400 to 500 will be solicited to complete the survey instrument, and it is expected that 50% will return the survey. The State of Florida was selected for the quantitative study because comprehensive planning is mandatory for its counties and cities and will provide for a more consistent and representative sample for study.

The survey instrument and a cover letter will be sent to each perspective participant. The cover letter informing them of the purpose of the study, data collection process, guarantees for protecting participants, instructions on how to fill out the survey instrument and a stamped return addressed envelop will be included.

Design

The design of the quantitative study is to conduct a bivariate correlation analysis of the independent variables and the dependent variable to determine if there is a statistical correlation between the independent variables (construct) and the dependent variable (performance) to test the research question. The next step will be to conduct the statistical procedures for path analysis which are basically those methods to test the appropriateness of a causal model using multiple regression equations (Leclair, 1981). It is recommended that there be at least 15 respondents for each variable. It is anticipated that the model will have 4 constructs or variables requiring a total of 60 respondents. The study will canvass the total population of 400 plus.

Path analysis was developed by Sewall Wright (1921), and he stated that this method can be used to find the logical consequences of any particular hypothesis for causal relationships. For traditional multiple regression, causal relationships among variables can only be inferred. Whereas, using path analysis to test a theoretical model can postulate causal linkage among a set of variables (Leclair, 1981). Causal modeling examines whether a pattern of intercorrelations among variables matches the researcher's theory of which variables are causing other variables (Aron & Aron, 1997), and path analysis can estimate both direct and indirect causal effects (Mertler & Vannatta, 2001).

In order to use path analysis, Kerlinger and Pedhazur (1973) recommended four assumptions:

1. Relations among variables are linear, additive, and causal.

2. Residuals are not correlated.

3. One-way causal flow exists.

4. Variables are measured on an internal scale.

Miller (1977) developed a six-step approach to apply path analysis. The steps are:

1. Develop a causal model.

2. Establish a pattern of associations between the variables in sequence.

3. Draw a path diagram.

4. Calculate path coefficients for the basic model.

5. Test for "goodness of fit" with the basic model.

6. Interpret the results.

Path analysis begins with the researcher developing a diagram with arrows connecting the variables or constructs and demonstrating the causal flow of cause and

effect (Mertler & Vannatta, 2001).   Figure 7 is an example of causal model for the

enhanced path-goal theory from the literature search.
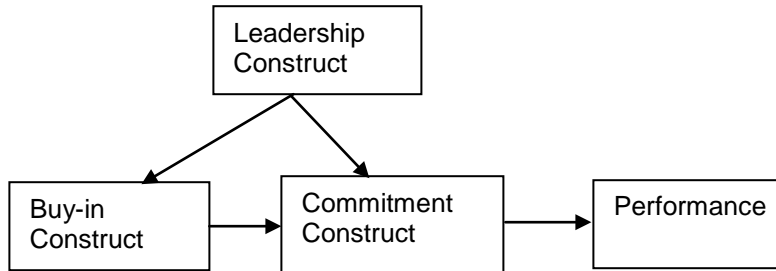
Figure 7. Example of a causal model.

Procedures

Procedures for instrumentation and the quantitative study are:

1. Operationalize the independent (items) and the dependent (performance)

    variables from the results of the qualitative study and literature search in

    order to address the second research question.

2. Develop a Likert scale survey instrument to measure operational variables

    to test the research questions and recruit four experts to review for content

    validity.

3. Conduct a pilot survey of 30 participants as a non-probability sample to

    obtain test scores for testing the reliability and validity of the survey

    instrument.

4. Revise the survey instrument from the results of the reliability and validity

    tests.

5. Conduct the final survey of approximately 475 participants that represent

    the population of professional planners who are members of FAPA for

those counties and cities in Florida in which local government

comprehensive planning is mandatory.

6. Send letter and survey to participants explaining the purpose of the study,

   protection of their rights, and instructions.

7. Upon collection of the data, apply SPSS statistical programs for bivariate

   correlation analysis to address the third research question and statistical

   tests for significance as well as multiple regression and statistical tests for

   path analysis to address the fourth and fifth research questions and test the

   selected theory.

8. Report results.

The researcher will interpret the analysis of the results of the qualitative and

quantitative studies to answer the research questions.

Time Table

The following is a proposed time table for the study methods, findings, and

summary (conclusions, recommendations):

1. Interviews for qualitative study, transcripts, and transcript reviews (4

   weeks).

2. Qualitative analysis of transcripts (2 weeks).

3. Content validity and development of survey instrument (2 weeks).

4. Pilot survey, data analysis for reliability and validity tests (2 weeks).

5. Final survey instrument, mailings, and returns (4 weeks).

6. Quantitative analysis (1 week).

7. Draft and final draft of Chapter 4 (findings) (3 weeks).

8. Draft and final draft of Chapter 5 (summary) (3 weeks).

The estimated total time from IRB approval to completion is 21 weeks.

CHAPTER IV

FINDINGS

Findings for the Qualitative Study

Introduction

The design of this research study is a mixed-method approach in which qualitative data was collected and analyzed in the first phase to explore the central phenomena of strategic planning in the public sector from the experience of participants to determine those factors that predict successful strategic planning and performance. As part of the first phase findings a grounded theory emerged, and its relationship to existing literature was examined.

Grounded theory is the method of inquiry applied to the first phase of this study. According to Creswell (2002) a grounded theory design is a systematic, qualitative procedure to explore phenomena and to generate a theory to explain a process about a substantive topic such as strategic planning. The systematic design as described by Strauss and Corbin (1998) for grounded theory is the basis for this study because it emphasizes the data analysis steps of open, axial, and selective coding and the development of a paradigm of the theory to be generated.

Eaves (2001) documents in her research the criticism of Strauss's and Corbin's work as being procedural and unmanageable and cites the common methodological mistakes of researcher's application of grounded theory. She points out that Strauss's and Corbin's works are highly commended and of high value. However, she recommends the

development of analysis by synthesizing the works of leading grounded theorists that best apply to the study.

Strauss's and Corbin's (1998) model of grounded theory was modified using a synthesis incorporating studies of Charmaz (2000), Creswell (2002), Eaves (2001), Glaser (1992), and Strauss and Corbin (1998); and the analytical steps are illustrated in Figure 8.

In-vivo coding was done on the transcripts of the respondents and then shorter labels were developed (Creswell, 2002). Initial categories about the phenomenon being studied are formed that address the research question. This data was analyzed after each interview to develop and refine the categories as the categories approached saturation (Creswell).

Subcategories, which are characteristics and properties of categories along a dimensional continuum, also emerged from the coding process (Strauss & Corbin, 1998). Linkages were developed that are logical between the categories to explain relationships in the data and to provide a framework or path for the phenomenon. This is accomplished by revisiting the data. Then a core category was selected based on its relationship to other categories, frequency of occurrence, saturation, and its characteristics for theory development (Glaser, 1992).

Memo writing was used throughout the process to explore the data, interpret the transcripts, and identify categories, subcategories, and relationship between categories and to develop theory (Creswell, 2002). Finally, a theory was developed that explains the relationships of the core category and the other categories from the analysis of the linkage (Strauss & Corbin, 1998).

In-Vivo Coding

Categories → Emerging Design

Sub-Categories ⟶ Properties

Memo Writing → Linkage Between Categories

Core Category

Development of Theory
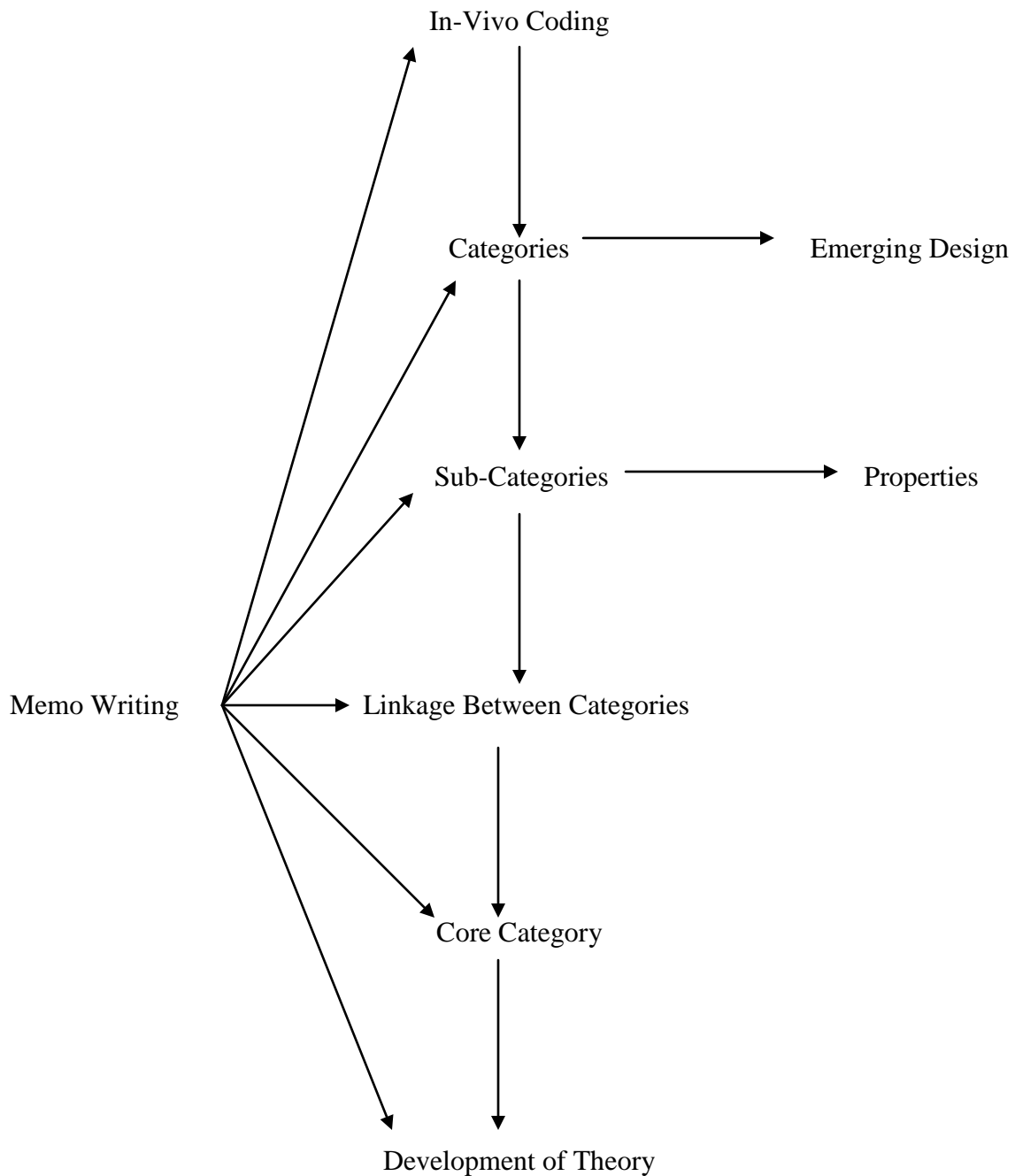
Figure 8. Synthesis with analytical steps of the model for grounded theory analysis based on studies of Strauss and Corbin (1998), Charmaz (2000), Creswell(2002), Eaves(2001), and Glaser (1992).

Subjects

Purposeful sampling of individuals to interview was used in which the data was sequentially collected and analyzed toward saturation of categories. In the state of Florida the respondents were selected on their years of experience in public planning, the size of the community in which comprehensive planning took place, and the type of local government (i.e. county, city) in order to achieve a cross section of planners' experience. For selection of respondents in New York State, criteria were similar except comprehensive planning takes place in cities, towns, and villages (normally not in counties). Predominately, those with experience in local government comprehensive planning in Florida were public planners and those in New York were consultants. Table 2 illustrates the demographics of the respondents for the state of Florida and New York, and in order to maintain confidentiality, pseudonyms are used.

The Interview

The interview is designated to explore the experiences, knowledge, and perceptions of the participants in strategic planning in the form of local government comprehensive planning in the public sector. The process is guided by an open-ended question, "What are the factors in your experience that lead to successful strategic planning and performance in the public sector?" Probe questions are used as verbal prompts to enhance the richness of the data and follow-up questions to refine, develop, and clarify the meanings of categories.

Eight interviews were conducted face-to-face, and two over the phone. All interviews were audio taped and then transcribed verbatim. The interview varied from 20 to 45 minutes in length. The transcribed interviews were e-mailed or mailed to the

respondents for verification, corrections, or additions. The transcribed interviews were then coded for categories.

Table 2

Demographics of Respondents for Florida and New York

Florida

Respondent	Years Experience in Public Planning	Type & Population Range of Communities	Position
FL 1	30	Large, Medium and Small Cities 6,000 - 120,000	Public Planner
FL 2	22	Large County Small City 8,000 – 400,000	Public Planner Consultant
FL 3	32	Large, Medium and Small Cities and Counties 20,000 – 300,000	Public Planner
FL 4	12	Medium County and City 20,000 120,000	Public Planner
FL 5	10	Medium County Small and Large City 10,000 – 250,000	Public Planner

Table 2 (continued)

Demographics of Respondents for Florida and New York

New York

Respondent	Years Experience in Public Planning	Type & Population Range of Communities	Position
NY 1	30	Small Cities 8,000 – 18,000	Public Planner
NY 2	14	Small and Large Towns 5,000 – 100,000	Consultant
NY 3	15	Small and Large Towns Large Cities 2,000 – 150,000	Consultant
NY 4	13	Small and Large Towns 5,000 – 150,000	Consultant
NY 5	15	Small Towns	Consultant

Results

   Categories

   Interview transcripts were analyzed and coded for concepts or categories. The

categories were arranged and rearranged until they approached saturation. Table 3

reports the categories that emerged from the analysis of the interviewees' transcripts and

the number of participants who identified and described each category. Properties as

sub-categories along a dimensional range provided more detail about the categories. All

Table 3

The Results of the Open Coding Process
The Categories of Factors for Successful Comprehensive Planning and Performance and Their Properties

Category	Number of Participants Who Elicited Each Category ($n = 10$)	Categories & Properties

Leadership	10	Leadership source:
		    Political (elected officials)
		    Management (city or county manager)
		    Staff (planning staff)
		    Department Heads
		
		Leadership type:
		    Directive
		    Participative
		    Supportive
		    Communicative
		    Visionary

Participation	10	Participation by:
		    Elected officials
		    Management
		    Planning staff
		    Department heads
		    Public

Table 3 (continued)

The Results of the Open Coding Process
The Categories of Factors for Successful Comprehensive Planning and Performance and Their Properties

Category	Number of Participants Who Elicited Each Category (n = 10)	Categories & Properties
Resources	10	Time and money Elected officials commitment to fund Process and implementation Experienced staff
Performance	10	Goals & Objectives, Policies Capital improvement program Bench marks Performance assessment Incentives to implement Support (political) Monitoring and evaluation Graphic illustrations
Process	7	Consensus leader Framework Design workshops Traditional planning Timeframes

Table 3 (continued)

The Results of the Open Coding Process

The Categories of Factors for Successful Comprehensive Planning and Performance and Their Properties

Category	Number of Participants Who Elicited Each Category (n = 10)	Categories & Properties
Consensus	6	Model to build Public Political Media
Buy-in	5	Public Public workshops Elected officials Process Department heads
Goals and Objectives	5	Qualitative measures Quantitative measures Monitoring Evaluating Outcomes

participants elicited the categories of leadership, participation, resources, and performance. Also, these categories approached saturation, and the information about these categories was becoming repetitious.   Although some categories were not as highly represented as the others, their inclusion is critical in order to provide a complete picture of those factors that lead to successful planning and performance.

Leadership

The first category "leadership" refers to the source of leadership as well as leadership styles necessary for a successful plan and its performance. There is very little research on the source of leadership for strategic planning in the public sector. The coding process identified the participants' references to the sources of leadership as political (elected officials), management, and staff. The participants surmised that these sources either individually or in combination were necessary for successful planning and implementation. There are several theories and considerable research on leadership styles. The situational, contingency, and motivating theories generate a diversity of styles for successful performance by organizational members. Leadership styles varied based on the planners' experience of a successful plan and the situation. Leadership commitment and support also emerged from the coding process as part of the leadership concept.

Participation

The second category "participation" was defined as those groups or stakeholders that need to participate in the decision-making process and plan implementation in order to achieve success. The groups that needed to participate were elected officials, management, planning staff, department heads, and the public. Several planners focused

on public participation and described techniques and activities for inclusion of the public as well as a means for the public to buy into the process. Planners also profiled the need for public participation and stated that involving the public through workshops, educating the public on the comprehensive plan, and involving the public in the decision making process foster an environment for public participation and support of the plan.

Resources

The third category "resources" was another category that approached saturation. The characteristics of this category that emerged from the data were time, money, and personnel that need to be committed by the elected officials and management to the planning process and the plan's implementation. Resources were considered critical to support an effective strategic planning effort and its outcomes. Resources were necessary to implement action plans and were described as capital improvement programs, allocation of experienced staff, and program budgets.

Performance

The fourth category "performance" was described by the planners as the implementation of the plan and its outcomes. The achievement of the plan's policies, goals, and objectives were measures of performance. Performance activities such as capital improvement programs and tools such as incentives, monitoring, and evaluation were elicited from the planners. While goals and objectives emerged as a separate category, it was a key component of performance, in that it provided a framework for action and a measuring tool to monitor.

Process

The fifth category "process" refers to the traditional sequential strategic planning activities of challenges and opportunities, data collection, analysis, goals and objectives, policies, strategies, activities and programs. The process was structured with techniques such as workshops and charrettes, and formalized by work tasks and timelines. Process, according to the planners, was critical to an orderly development of a successful plan and for the participation of key stakeholders to develop consensus and provide opportunities for buy-in and ownership by stakeholders. Boyne (2001) described process as one in which procedures are prescribed, the steps and tasks are controlled against a timetable that results in stated objectives, and strategies are expressed as a written document.

Consensus

The sixth category "consensus" refers to the development and application of a consensus-building model for quality decision-making to gain support and commitment from the diverse stakeholders, such as the elected officials and the public, through a series of activities during the planning process and the dissemination of information. Some techniques that were elicited from the data analysis for inclusion in a consensus-building model were public involvement, use of media and web sites. Johnson and Johnson (2000) considered consensus a key dimension for providing an innovated, creative, and quality decision that all members will be committed to implement. Gordon (1993), in support of the planners' testimony, stated that consensus is more critical in local government than private organizations because of its many functions.

Buy-in

The seventh category "buy-in" refers to buying into the process and the plan in order to accept ownership by the elected officials, management, department heads, and the public. This, according to the planners' testimony, is accomplished through public workshops, the planning process, leadership, and stakeholder support. Research demonstrates that stakeholders must "buy-in" to the planning process, and then broad based stakeholders participation transforms the process into one bought into by the community (Gordon, 1993).

Goals and Objectives

The category "goals and objectives" is defined as measures, qualitative or quantitative, that are developed through the planning process in which actions and strategies are designed to achieve objectives. The objectives provide a framework for the plan and a framework in which to derive policies and strategies and to monitor and assess performance through outcomes to determine success.

Discussion

The objective of the qualitative phase for this research was to identify and describe those factors that lead to successful strategic planning and performance in the public sector through categories and subcategories; then, to describe the linkage between categories, select a core category, and then to develop a theory grounded in the experiences of the participants.

Examples of testimony of the respondents are provided to illustrate the data supporting each category. The discussion focuses on each category, elicited from the coding process, as it relates to the experiences of the planners and corroborated by the

literature search. Although the examples of the testimony are referred to and illustrate

the data in support of the categories provided, they represent only a portion of the data.

After categories are established, the researcher documents examples of the data that

support the linkage between categories. Linkage connects or interconnects categories to

display a chronology or sequence of events to generate a conceptual model (Creswell,

2002). Then, the core category was defined as the central theme. Finally, an explanatory

model and a substantive theory were derived from the grounded theory approach.

Although the difference between mandatory planning in Florida and voluntary

planning in New York was discussed in the interviews, it was not a variable that was

pervasive within each category.

Leadership

Planners described leadership sources and styles they considered were critical for a

successful plan and its performance. All ten planners cited the leadership source for a

successful comprehensive plan as the City Manager. For example, referring to a

successful plan, FL2 stated:

> The City Manager knew a lot about planning, understood planning, and was able
>
> to convince them (City Council) to spend money. The City Manager provided the
>
> leadership and was the leader of commitment . . . . It helps to have elected
>
> officials who care about planning, who consider it important. However,
>
> leadership should come from the City Manager or County Manager. This is
>
> important to the City or County Manager and, therefore, you have the resources.

Other planners such as FL5 supported this concept and commented that, "It takes

strong political leadership in order to get a comprehensive plan in place . . . ideally, the

Mayor or City Manager." Likewise, planner FL4 commented that, "In this case [comprehensive plan] the leadership came from staff [City Manager]. It didn't come from the public. It didn't come from council members."

The paradigm of the City Manager as the source of leadership for a successful plan is supported by research conducted by Ihrke, et al. (2003). Their quantitative research concluded that there is a positive correlation between perceived success of strategic planning and the perceived creditability and effectiveness of the City Manager or Mayor, as well as the perceived effectiveness of the relationship between the policy board and the administration. Ihrke et al. summed up their findings by stating that the creditability of the Chief Administrative Officer (CAO) goes a long way in both adopting and successfully implementing a strategic plan.

In New York State, the planners identified the Town Supervisor, (who in effect is the CAO) as the source of leadership. This was illustrated by the following planners:

> Leadership is a key factor and usually someone in the Town has a real
> understanding of the comp plan and embraces it. That generally is the Supervisor
> [CAO] if he has some kind of planning background or he has been involved with
> it. (NY3)

> I think that the designated leader for the comp plan has to be someone in the
> Town, whether it is the supervisor or planning board chairman, and be the
> champion of the process. (NY5)

Other sources of leadership necessary for a successful plan were also cited by the planners. These sources included the planning director, the planning staff, and the political leadership for support and resources. Planner NY2 illustrated other sources in

the following words, "The leadership must support the implementation of the plan. Hard decisions need to be made by the policy makers [elected officials]. Resources and funds need to be committed for plan implementation." Planner FL4 simply stated, "In this case the leadership came from the staff; it was staff generated." In some communities that did not have a planning staff, the planning board chairman assumed the leadership role. This was illustrated by NY5 statement. "The planning board chairman was seen as a real leader in the town and really drove the process." However, the experiences of the planners generally supports the research finding of Ihrke et al. (2003) in that the leadership source for successful strategic planning in the public sector is the CAO who has creditability with the policy board.

The coding process and data analysis reveal a paradigm for leadership source for successful planning and implementation. It consists of the CAO for support and commitment to the process and its outcomes, as well as a conduit to elected officials; staff (planning) for directing the process, and the policy makers (elected officials) for support and commitment of resources for the process and plan implementation. This paradigm was elicited for the coding process. The literature search reveals very little research on the sources of leadership for successful strategic planning in the public sector.

Leadership theories have correlated the positive relationship between leadership styles and individual or group performance. The situational model (Hersey & Blanchard, 1969) comprises the various leadership styles of directing, coaching, supporting, and delegating, and the leader needs to diagnose where members of the group are on a development continuum and apply the style of leadership to the development level.

The path-goal theory calls for four leadership styles (directive, participative, supportive, and achievement-oriented) in which the leader may exhibit any or all of the four styles to provide support for organizational or group members as they follow the process to achieve organizational or group goals (Northouse, 2001). For a complex activity such as strategic planning in the public sector, the planner's testimony reveals that several leadership styles play important roles for successful planning and performance.

Several leadership styles as subcategories have emerged from the coding process and were cited by the planners as necessary for success. For example, planner FL4 called for participative, directive, and transactional styles as necessary and illustrated as follows:

> A leader for a successful plan needs to build consensus [participative], educate [directive] the public about the necessity for having a comprehensive plan, and be a power broker [transactional] to be able to effectuate change.

The supportive style was illustrated by planner NY2:

> The second factor is strong leadership. The leadership needs to buy-in and take the lead so the process can be completed. When problems arise the leadership cannot duck them. The leadership needs to be supportive, follow the process and to understand the issues. The leadership must support the implementation of the plan and support the plan's vision.

Other styles cited were situational, transformational, visionary, and communicative as expressed by the following planners:

> The leadership needs to educate [directive] the public on what we are planning and convince the public they are going to be listened to and their voices will be

heard. Leadership must sell [communicative] the idea that the plan is a blueprint

for the future and show how we are going to do it. (NY1)

The leadership style needed to be situational. (FL2)

I think it helps to have one person that has an almost charismatic

[transformational] type leadership style and in the position of political

leadership, ideally the mayor or city manager. (FL5)

I believe you need strong leadership. You need elected officials who can see

beyond their elected term of office and the ability to make decisions [supportive]

that are difficult because they cost money. (FL4)

A leader engages the commitment of other people toward some shared vision

that's well articulated. (FL3)

A good leader is little of both. He can listen to people and take in what he is

hearing them say and at the same time give the bad medicine. (NY4)

You need a very strong leader and a very strong communication because in

order to have participation from several other key departments it is important they

be educated as to the long term value. (FL5)

I think the leader is really in the position to be a change agent. (FL5)

I was committed from the city manager as the leader of commitment. (FL2)

Several leadership styles are important factors. The styles of participative, directive,

supportive, communicative, transactional, and visionary were identified by the

respondents and emerged as subcategories from the data analysis. House's (1996)

reformulated path-goal theory includes most of these styles with emphasis on the

participative style for group performance. The category, participation was one that approached saturation in the coding process.

Participation

All respondents identified participation as a key factor for success. Theorists Blake & Mouton, (1964); House & Mitchell, (1974), and Likert, (1967) advocate the participative style of leadership for successful performance. For example one planner (FL3) emphasized the need for public participation:

> The public needs in one form or another to invest an effort in understanding directly this planning process. It is good to have a pretty coherent set of what constitutes different stakeholders to make sure that no one is being excluded. There were always citizens coming forward to participate, to offer their time and talents.

This was reinforced by FL4 observation that: "I think it really starts with some type of public participation program. If the public policies go bad, it is because the initial planning didn't listen to the people." While public participation is an important factor, the participation by other groups such as staff and boards was essential. This was illustrated by the following testimony:

> In order for it to be successful, it requires the participation from several key departments. It is important that they be educated as to the long term value of participating in the process and how it benefits them. (FL5)

Planner FL2 pointed out not only the importance of public participation for the success of their plan, but also that of the planning board. He stated:

> Lots of public attention, lots of public meetings and that's when the public gets
>
> excited and it becomes their plan. I was really lucky to have a good planning
>
> board that was a cross section of the community.

The New York planners also emphasize the need for public participation. For example:

> The public needs to comprehend the intangibles. There is a need to express to the
>
> public the importance of strategic planning and the process. We need to educate
>
> the public on what we are planning. The public must be convinced they are going
>
> to be listened to. The public needs to know that they will be involved in the
>
> decision-making process. (NY1)
>
> The public needs to understand the benefits of the plan to support and pay for
>
> its implementation. We need to have them involved. You need to involve the
>
> public throughout the process. The public needs to understand problems and
>
> participate in solutions. (NY1)
>
> The participation process is critical. The public participation process is
>
> important. (NY3)

Participation is a key factor for success and involves several key stakeholders as sub-categories that emerged from the coding process, such as the public, administrative staff, and policy boards. Ihrke et al. (2003) (p. 84) research supports the planners' testimony in which he stated, "With strategic planning, citizens are asked to participate with council members and administrators in determining the long-term future of their communities."

Resources

A successful comprehensive plan is dependent on the allocation of resources necessary to carry out the process and to support activities and projects to achieve the plan's objectives. The commitment of resources defined as time, money, and personnel emerged as a key factor for success. The following testimony of the planners supports this finding for resources for both planning and implementation:

> I think the basic problem is resources, time and money. I keep talking about money and I am not focusing on money but how else are you going to do a plan. It helps to have elected officials who care about planning. If they think it is important, suddenly you have the resources available to do an incredible amount of technical and public relations work. (FL2)

> I think for a comprehensive plan to be successful, it needs to be one where you have to put your money where your mouth is. (FL4)

> The resources must be committed to do the job or else the document will not be worth much. Need to provide the expenditures . . . . We need to spend resources on the future. (NY1)

> Resources and budgeted funds need to be committed for plan implementation. Hard decisions need to be made by policy makers. For example, funds to extend utilities, provision for open spaces and changes in zoning. (NY2)

Enderele & Travis (1998) support the planners' assertions by concluding in their research that an organization commits to strategic planning when resources as a key factor are allocated to specific activities that are designated to achieve the plan objectives.

Performance (Outcomes)

All respondents identified performance as a key factor for success. Performance is the outcome as a result of the implementation of the plan's policies, programs, and activities to achieve the plan's goals and objectives. The objectives and outcomes describe how to determine or measure performance as a result of implementations for a measure of success. Wray and Marshall (1998) emphasized that measurable outcomes make it possible to monitor performance against the plan. In support of Wray and Marshall, for instance, planner FL2 stated:

> Like all comprehensive plans, there was a series of goals, series of objectives, and a series of policies. Goals are not measurable, objectives had to be measured because of state laws, and policies are very specific such as capital improvement programs that are analyzed annually according to plan goals.

Other citations for measuring performance were:

> There needs to be progress reports, semi-annual to see if it is working. There has to be clear measures to determine how it is working. You need measures to validate the plan. (FL1)

The New York planners also cited the need to measure and evaluate performance:

> The implementation plan should have goals and objectives, initiatives we're going to undertake with milestones accordingly. That you've met them in one form or another, two or three years after the plan and look back at that laundry list and say we've done x, y, and z. We have not done these other couple things. (NY4)

I think truly for it to be implemented which is a measure of its success…and

providing details of the implementation plan. It is really critical that it comes

from those that are going to implement. (NY3)

The importance of implementation to achieve performance was illustrated by planner

FL1. He stated:

The council and implementation agencies need to have the political courage to

stand up and make it work. Create incentives to implement policies for

implementation need to be enforced. Obviously you have goals and objectives

that you set forth and hopefully you are evaluating those and monitoring them

to see, if in fact, they have been met.

Buy-in

Bryson (2004) and Gordon (1993) advocate the need for stakeholders to buy-in to the

process and plan for successful strategic planning. While McClamroch et al. (2001)

concluded that in strategic planning, it provides opportunities for buy-in and ownership

by internal stakeholders. Buy-in is more abstract and its definition was not as definitive

as the other categories. Planners described it as buying into the process and the plan

through knowledge, participation, and consensus. Several of the planners cited buy-in as

a necessary factor for a successful plan.

One Florida planner described buy-in in the following words:

We get the public to buy-in at the public workshops. The first part of strategic

planning is the buy-in and support of the participants and good public

relations. (FL1)

Another Florida planner described buy-in as:

They [department head] must be educated as to the long-term value of

participating in the process. I think this is how you can be successful in getting

the buy-in necessary and the participation necessary from them to assist you in

achieving your comprehensive plan. I think you have got to have across the

board   buy-in. (FL5)

New York State planners also noted the need for buy-in for a successful plan:

When we develop the recommendations, we need to have buy-in . . . . The

leadership needs to buy-in and take the lead so the process can be

completed. (NY2)

For the plan to be implemented which is a measure of its success . . . you

need to have the key stakeholders that are very interested in following

through and buying into the plan and projects. (NY3)

For the dimensions for buy-in, the subcategories that emerged from the data analysis

were: leadership, the public, department heads, and participation through the process.

Consensus

Johnson & Johnson (2000) in their research considered consensus a key dimension

for producing high quality decisions that all participants are committed to implement.

Gordon (1993) stated that reaching consensus enhances the likelihood of achieving goals

and that the process is more critical in local government than for private organization.

Consensus as a key factor was expressed by planner FL1. "You need a consensus

building strategy type of model. We need to get consensus all the way around. Get

public and political consensus. We had good press which helps to develop consensus."

The leadership role in building consensus was illustrated by FL5, "Someone in the role of

the City Manager to build consensus, educate the public about the necessity for having a comprehensive plan."

The New York planners also cited consensus as a key factor:

> The process that must provide for one segments to work together to agree on the solutions to problems [consensus]. Everyone will not get what they proposed; but they will be considered before a decision is made. The plan needs to be defensible and easily understood. (NY1)

> The hard part is the end of the process which requires consensus on recommendations on the action plan. We realize that there will not be 100% agreement among the participants and policy makers. (NY2)

Subcategories that are the characteristics of consensus emerged from the coding process and were leadership, process, participation, and information.

Process

Mercer (1991) described strategic planning as a process for making decisions, developing consensus, and developing a long-range plan using a structured methodology and a group approach. Likewise, Barry (1998) described strategic planning as a process to resolve an interrelated set of issues in a structured and coordinated manner.

However, the literature search revealed that most authors of strategic planning models provide little, if any, information on the planning process (Mintzberg, 1994). According to Boyne (2001) the effect of the planning process on organizational performance has been neglected in the public sector. However, seven planners revealed that process was a key factor for success which emerged from the data analysis. The following examples cited the need for a formulized process using the traditional strategic

planning model. This process involves the public and other stakeholders in decision making as illustrated by the following planners:

A formulated process. Having a framework. I think as a planner it enforces you to go back to the traditional planning model of identifying the problems, developing the supporting data analysis, identifying alternatives, selecting one, implementing it and going back through the feedback loop to see if you have been successfully addressing the problem. (FL4)

My initial assignment from the City Manager was that everything about the future of the City rests on how this process involves the public and how it formulates a new plan. (FL2)

There is a need to express to the public the importance of strategic planning and the process. The public needs to know that they will be involved in the decision-making process. The process must provide for all segments to work together. (NY1)

Several planners describe the tools or activities such as public workshops that were part of the planning process for a successful plan. Workshops, charrettes, and surveys were mechanisms cited as part of the process and illustrated as follows by the planners.

We had four public workshops and some members of the council came. We asked the public what do you want to see. They broke out into groups and each group had a leader. The group listed and ranked their suggestions. All groups placed their list on the wall for all to review. They refined and a discussion of the suggestions. A report was developed that tabulated the results. (FL1)

As part of the process we used a planning charrette as the central public involvement mechanism. A week long planning event; very intense. At the front end it involved taking 200 people on a five hour rolling educational event about planning. (FL2)

Surveys are a good foundation to getting a feel of what's important to the public and workshops on the topic by topic basis. (NY5)

Several subcategories that described process emerged from the coding process and included traditional strategic planning, workshops, and a formalized process.

Goals and Objectives

According to Gordon (1993), the strategic plan acts as a plan for action in which strategic managers use benchmarks that indicate progress toward the plan's objectives and most strategic plans' measurements of the objectives are actions accompanied by dates or numeric targets. Wray and Marshall (1998) concluded that goals, strategies, and outcome indicators are tools for performance planning and that objectives transform goals into concrete and measurable statements.

Goals and objectives were key factors in the formulation of the action plan for implementation and to monitor performance. They emerged from the data analysis as a key factor for successful planning and performance. Simply stated by planner FL2 in his observations that, "There has to be a series of goals, series of objectives, and a series of policies." His observations were supported by NY4 citation that, "The implementation plan should have goals and objectives, initiatives we're going to undertake with mile-stones accordingly. That you've met them in one form or another."

Goals and objectives as a mechanism for monitoring and evaluating performance was illustrated by planner FL5 comments, "You have goals and objectives that you set forth and hopefully you're evaluating those and monitoring them to see, if in fact, they have been met." Planner NY5 also identifies goals and objectives for measures of performance and outcomes experience and stated, "So I think it's pretty typical to have a vision statement and establish goals and objectives in the comp plan so those are measures that you can use to go back and see whether you're successful or not."

The subcategories as properties of goals and objectives that emerged from the data analysis were measures, monitoring, and evaluating action plans.

Summary

The coding process elicited the categories of leadership, participation, resources, performance, process, consensus, goals and objectives and their characteristics. The result of this phase of the qualitative study supports and enhances the results and findings of the literature review.

However, the qualitative analysis did produce two important findings that were not elicited from the literature review. These findings that emerged from the qualitative study were:

1. Leadership sources for strategic planning in the public sector emerged as an important leadership characteristic for a successful plan. The literature search reveals that there is very little research of leadership source with the exception of research by Ihrke et al. (2003). Through synthesizing of the data, a leadership source paradigm emerged for successful comprehensive planning in the public sector. The multi-source leadership paradigm calls for the political leadership

(elected officials) for support and commitment of resources, the CAO for support,

commitment, and direction, and as a creditable conduit to the policy board

(elected officials) and staff to direct the planning process. Then, in sequential

order for the CAO and department heads to implement the plan.

2. Process emerged from the data analysis as a key factor for successful planning.

However, according to Mintzberg's (1994) most authors of strategic planning

models provide little, if any, information on the planning process. Boyne's

(2001) research supports Mintzberg's finding in that he concluded that the effect

of the planning process on organizational performance has been neglected in the

public sector. This may be the reason process did not emerge from the literature

review as a key factor for success.

   The planners cited the need for a formulated process, activities necessary to

develop a plan, how the process involves the public, and that the process provide

for all segments to work together. Also, that the process include work tasks and

timelines and have sufficient resources allocated for a successful outcome. The

planner's citied techniques for implementing the process, such as public

workshops and charrettes. Not only did process emerge as a key category, but

also as a category for linkage to several other categories.

The next step in the analytical process is to determine and describe the linkage

connecting or interconnecting categories to generate a conceptual model.

Linkage

Each category may have a link or relationship with other categories. Researchers

connect categories to describe a chronological or sequential flow of activities (Creswell,

2002). The data is analyzed for linkage or relationship between categories and the analysis is then layered using interconnected levels of categories (order of abstractions). Linkage for the study will be based on relationships between categories elicited from the data, the logical sequence of activities, and the literature review.

From the planners' transcripts, the planners' citations that describe the linkage between categories were coded and inventoried according to the categories linked. Figure 9 illustrates the number of linkages elicited from the transcripts between categories. Each line represents an identified linkage between categories by the planners.

First Level of Abstraction from the Linkage Analysis

The first level of abstraction is based upon the relationships between categories as elicited from the data, logic, and the sequence of activities or events. The open coding process revealed that the categories of leadership, participation, resources, and outcomes were cited as key factors by all ten planners interviewed and approached saturation. This indicated that they are key factors with linkage that results in outcomes. Figure 9 reveals moderate linkage between leadership and participation; strong linkage between leadership and resources; strong linkage between resources and performance; and strong linkage between leadership and performance.

The logical sequence of events for these categories is for the leadership to emerge to identify and solicit the key stakeholders and the public to participate in the development of the plan. Then the plan needs resources to implement which produces outcomes that result in performance. However, there is a disconnect between participation and resources for a logical sequential linkage. Therefore, two groups of categories are forming within the model. The first group is leadership and participation, and the second
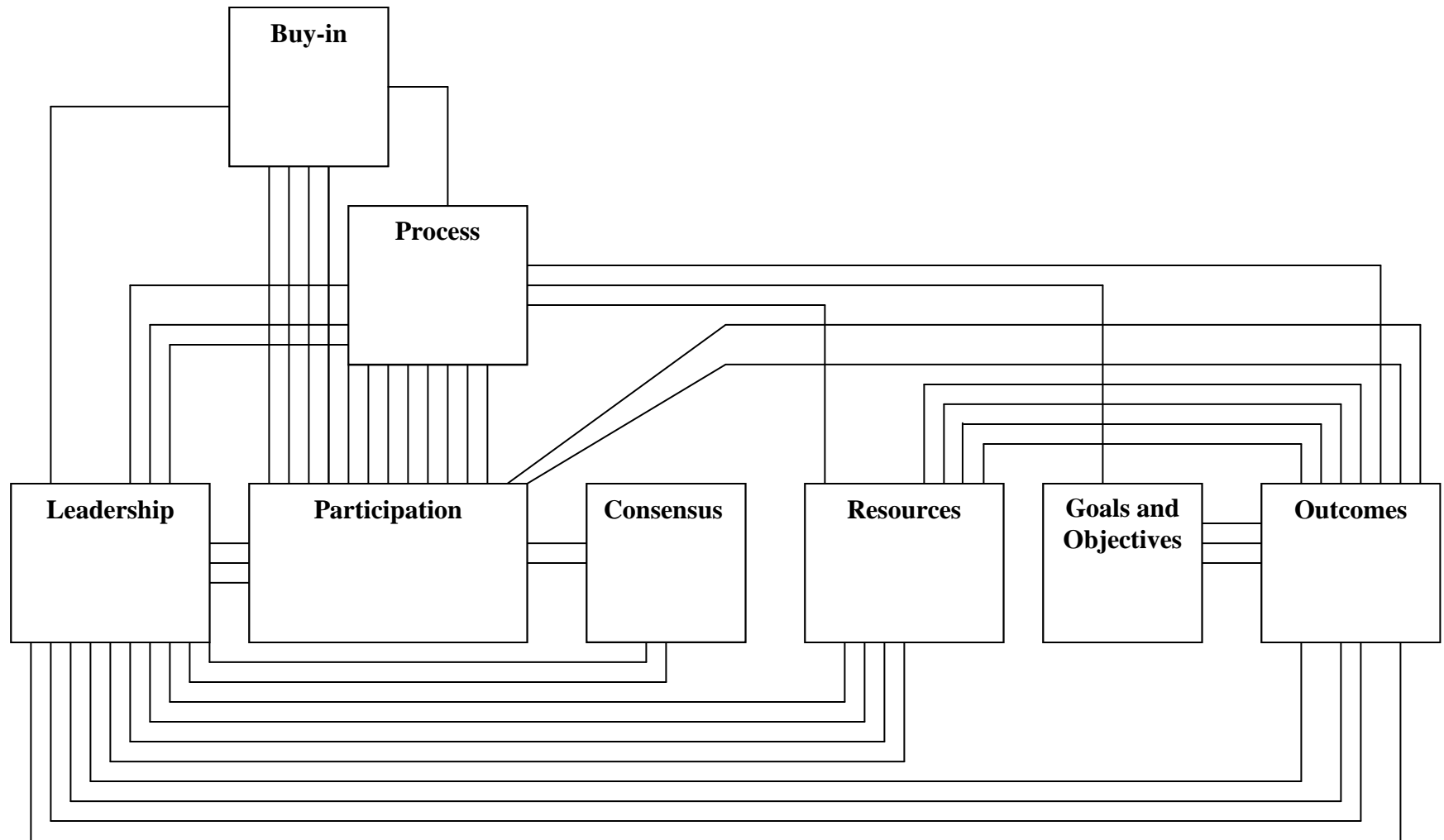
Figure 9. The linkage between categories from the analysis, illustrated by the numbers of lines linking categories.

is leadership, resources and performance? Leadership is the category that links these two

groups together. This first stage in the first order of abstraction is illustrated in Figure 10.

This model of the four predominant categories also supports the leadership source

paradigm. The leadership of the CAO and the planning staff are linked to participation,

the political leadership (elected officials) is linked to resources, and the leadership of the

CAO and department heads is linked to performance. The model also supports the

template for strategic planning and performance illustrated in Figure 2 elicited from the
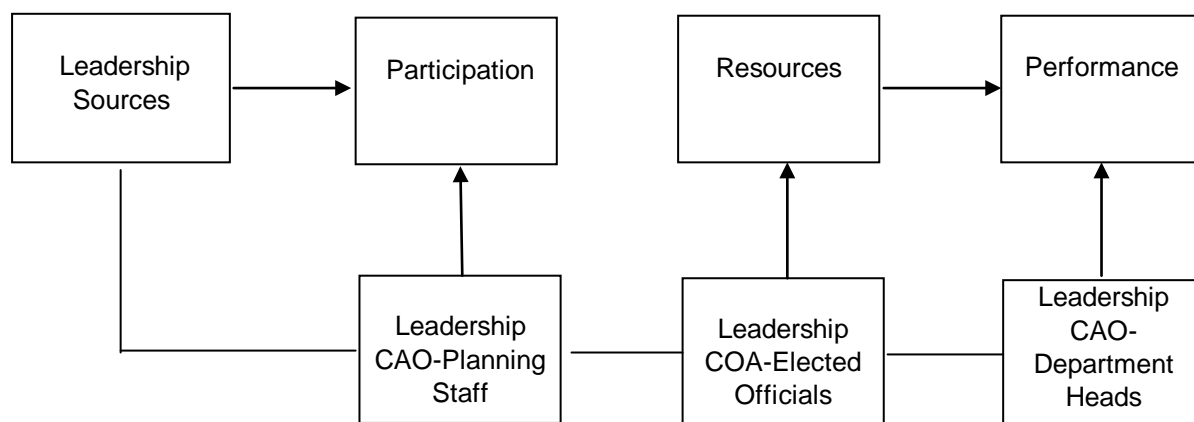
Figure 10. 1st stage of abstraction, analyzing the linkage between the categories that approachig saturation, the sequential order and leadership sources   .

literature search and described in the theoretical perspective in Chapter 2. The template

in Figure 2 also calls for two phases; similar to the two groups of categories cited above

in which leadership is linked to the groups.

The linkage between leadership and participation was observed by planner FL3 in

which he stated, "Local leadership, local involvement; the public participation comes in

trying to play out what would be now best with their future." Likewise planner NY1

cited the link between leadership and participation as, "Good leadership and an interested public….The public needs to know that they will be involved in the decision-making process."

The linkage between leadership and resources was best described by NY2 as, "The need for linkage between leadership and resources is that the policy makers (elected officials) need to make hard decisions about resources. Resources and budget funds need to be committed for plan implementation. Hard decisions need to be made by policy makers."

The strong linkage between the leadership category and performance is supported by planner NY1 observations in that, "The leadership must support the implementation of the plan and support the plan's vision." When planner FL1 identified implementation as a factor, he immediately described the linkage between the political leadership and the leadership of the department heads as they are linked to implementation. He noted that, "The next factor is implementation. The Council and implementing agencies [department heads] need to have the political courage to stand up and make it work."

The categories of consensus, goals, and objectives also play a sequential role in this series of events to achieve outcomes. After the leadership recruits the key stakeholders and the public to develop a plan, the participants need to reach consensus on the plan's goals, and objectives. Then resources are committed to achieve the plan's objectives, which results in outcomes. Figure 9 reveals that there is linkage between leadership and consensus; and participation and consensus. The linkage supports the sequential order of these categories. The explanation of the linkage between goals and objectives and performance is that the goals and objectives are the framework for the action plans for

implementation and the tools for monitoring and evaluating performance. However, they are also the outcome of consensus and the framework for the plan. The planners' testimony supports these series of relationships as illustrated:

> You need a consensus building strategy type model. We need to get consensus all the way around. After the plan is completed, have a public workshop to invite the public back. Look at the final product, keep consensus. Rewrite the plan if necessary, keep consensus. (FL1)

> The implementation plan should have goals and objectives, initiatives they are going undertake with milestones accordingly. That you have met them in one form or another. (NY4)

> Obviously you have goals and objectives that you set forth and hopefully you are evaluating those and monitoring them to see, if in fact, they have been met (implemented). (FL5)

In summary, Figure 11 illustrates the first order of abstraction from the analysis of the linkage and the sequential order of activities between the categories of those factors that lead to successful comprehensive planning in the public sector.

Second Order of Abstraction from Linkage Analysis

The second order of abstraction focuses on the category "process." The category process is more abstract in its definition as derived from the coding process. However, the category process has more links to the category participation than between any other categories. This was illustrated by planner NY1 statement that, "The process must provide for all segments to work together to agree on solutions to problems" and was supported by several planners such as planner NY2 observation that, "You need to
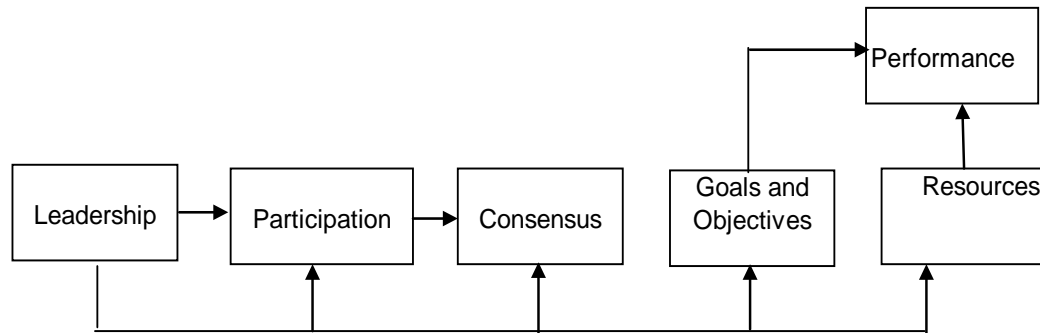
Figure 11. The 1st order of abstraction of the linkage and sequential order of categories of those factors that lead to successful comprehensive planning and performance in the public sector.

involve the public throughout the process." The category participation is linked to the category consensus and the category goals and objectives is an outcome of consensus. All these categories are part of the process.

Figure 12 shows the second order of abstraction in which the category process consists of the categories of leadership, participating, consensus, and goals and objectives. This model continues to support the grouping of categories. One group is leadership and process, and the other group is leadership, resources, and performance.
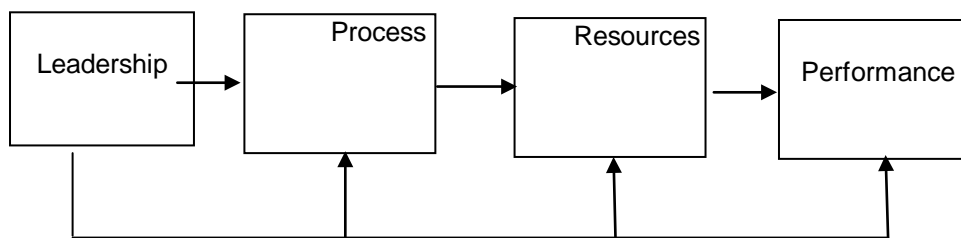
Figure 12. The second order of abstraction of the linkage and sequential order in which the process consist of categories of participation, consensus, goals and objectives.

The Third Order of Abstraction from the Linkage Analysis

The third order of abstraction focuses on the category of "buy-in" which is a more abstract category from its definition as it was elicited from the data. For example, planner FL1 describes buy-in and linked it to participation:

> They must be educated in participating in the long term value of participating in the process. I think that is how you can be successful in getting the buy-in necessary and the participation necessary from them…. think you have to have across the board buy-in.

Buy-in is rather a broad concept, however, planner FL1 describes strategic planning as two parts in which the first part is buy-in and is linked to participation. He stated that, "The first part is buy-in and support of the participants and good public relations. The second part, if the first part does not sell, walk away from it. We got the public to buy-in at public workshops."

Buy-in is a construct with strong linkage to participation, which has linkage to process, leadership, and consensus. These categories form a group or first phase within the model, which was referred to as the "buy-in" phase in the theoretical perspective. Commitment did not emerge from the data as a category. However, the data reveals citations in which the planners referred to commitment as a linkage in which leadership commits resources for plan performance through implementation. Commitment is another broad concept cited by some planners. Examples of commitment by policy makers to the comprehensive plan are cited by a New York and a Florida planner. Planner FL2 quoted a city council member as saying, "I've already gotten the comprehensive plan and started to read it and I am going to read it front to back, every

page, to prepare for this job." He called this a planner's dream, that the plan is

considered the source of what a policy maker needs to know where the City is going.

Likewise, planner NY5 stated:

> The commitment of the Town Board and the Planning Board to refer to the comp
>
> plan during their deliberations…a board that refers to the comp plan in almost
>
> every deliberation is a tribute to the success of the plan.

Other citations in which commitment is described as a concept were:

> A leader who actually engages the commitment of other people toward some
>
> shared vision . . . commitment to the future in our comprehensive planning.
>
> Someone who has demonstrated the ability to see it through. (FL3)

> That they [stakeholders] develop the commitment through the process that they
>
> are ready to take on the challenge. (NY3)

> The resources must be committed to do the job or else the document will not
>
> be worth much….resources and budgeted funds need to be committed for plan
>
> implementation. (NY1)

Commitment is a construct for the second phase of the model and includes the

categories of resources and performance. Figure 13 is an illustration of this abstraction in

which the model has two phases and supports the template for strategic planning shown

in Figure 2 of Chapter 2.

Core Category

According to Creswell (2002) the core category represents the central phenomenon

for a theory and is the basis for writing a theory. Strauss and Corbin (1998) described the

criteria for the selection of the core category. The criteria are that the core category must

be central in which the other categories can be related or linked too. It should also appear

```
┌──────────────┐      ┌──────────────┐   ┌──────────────┐   ┌──────────────┐
│ Leadership   │─────▶│ Buy-in       │   │ Commitment   │   │ Performance  │
│              │      │ Phase        │   │ Phase        │   │              │
└──────────────┘      └──────────────┘   └──────────────┘   └──────────────┘
```
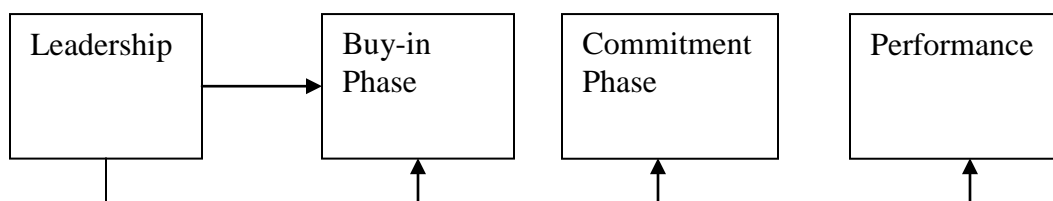
Figure 13. Final level of abstraction in which the buy-in phase represents the
category of process and the commitment phase represents the categories of
resources, goals and objectives

frequently in the data, that the rationale that evolves by linking categories is logical and

that the name is sufficiently abstract. Also, as the concept is refined, the theory grows in

explanatory power.

The category of leadership best meets these criteria for the core category.

Leadership concept consisting of leadership sources and leadership styles; and appears

frequently in the data. Leadership is logically linked to all categories and is the link

connecting the buy-in phase and the commitment phase that is necessary for plan

performance. Leadership sources and leadership styles direct and support the participants

throughout the process to achieve their goals and objectives for successful performance.

This concept is consistent with the reformulated enhanced path-goal theory that emerged

from the theoretical perspective.

In summary, the leadership concept in the public sector consists of leadership sources

and styles that are necessary to link the categories or factors that are necessary for

successful strategic planning and performance in the form of local government

comprehensive plan.

Development of Theory

Theoretical propositions or mini-theories are statements describing the relationships

of categories (Creswell, 2002). The following are propositions that are interrelate to the

categories and the core category of the conceptual models.

1. The public, planning staff, CAO, and department heads need to participate in the

   planning process for a successful plan.

2. A formalized process with tasks and time lines for a framework are necessary for

   a successful plan.

3. The sources of leadership for successful comprehensive planning and

   performance in the public sector are CAO and staff to direct the planning process,

   political leadership to commit resources to implement the plan, and CAO and

   agency heads to implement the plan.

4. The leadership needs to direct, support, and guide the participants through the

   planning process for a successful outcome (plan document).

5. The leadership needs to commit resources for a successful planning process and

   plan implementation (outcomes).

A theory explains what a phenomenon is by describing its concepts and their

relationships (Creswell, 2002). A synthesis of the literature review resulted in the

enhancement of House's (1996) reformulated path-goal theory as the theoretical

perspective for this study. The path-goal theory requires the leadership to define the

group's task or goals which is a structured methodology, clarifies the path or process, removes obstructions, and provides support for group members as they follow the path to achieve their goals.

The results of the qualitative data analysis, including the emergence of categories, the selection of a core category and the linkage among categories, support the path-goal theory and its enhancement as described in the theoretical perspective outlined in Chapter 2. However, the results of the qualitative study described two additional enhancements. These are the addition of the category of process in which the literature review noted there was a need for research, and the other area was leadership sources as a paradigm for strategic planning in the public sector in which there was very little research. These areas were incorporated into the propositions; models and theory for a more definitive model from the one that emerged from the literature search from the theoretical perspective.

Basic Research Question and Related Questions

In summary, the results and findings of the qualitative study address the basic research question, "What are the factors that lead to successful strategic planning and performance in the public sector?" The following categories along with their sub-categories were elicited from the data as factors necessary for success: leadership, participation, process, consensus, goals and objectives, buy-in, resources, and performance. These factors and items will be operationalized for the quantitative study to address the related research questions. The results and findings also address the first related question, "What theory is used for an analytic generalization of case study results and as a template with which to compare the results of other case studies?" The qualitative study supports and further enhances the findings and synesthsis of the

literature review for the theoretical perspective. Figure 13 illustrates the theory and

model that is grounded in the experiences of the participants and supports the theoretical

perspectives in which House's (1996) reformulated path-goal theory is enhanced.

Validity

Member checking is a process to validate the accuracy and creditability of the qualitative

findings (Creswell, 2002). The study's qualitative findings were e-mailed to three participants

who were interviewed for this study. They were asked to review and analyze the findings to

address three questions.

The questions were to determine whether the description of the study is complete and

realistic in their experience, if the categories are accurate, and if the interpretations are

representative.

All three members responded by stating that their answers were "yes" to all three questions.

One member stated that "It was interesting to see how similarly all the respondents conveyed

their various experiences."

Another member stated that "Thought process, logic, sequencing and language are fine" and

that "The description is complete and realistic based on my experience."

The member-checking process and analysis supports the validity of the findings.

Findings of the Quantitative Study

Participants

The analysis of the relationship between strategic planning and performance in the public sector is a complex and challenging activity. Likewise, identifying the target population is a complex and a challenging activity. For example, one problem is the large turnover of planners in communities.

There are 475 local governments (counties and municipalities) in the State of Florida. There are 111 counties and municipalities that are so small they do not support a planner or planning staff, resulting in an accessible population of 364. It is estimated from the responses of the survey instrument that 77 of the 364 counties and municipalities have adopted their comprehensive plans within the past 4 years. A comprehensive plan should have at least 5 years from adoption in order to implement programs and activities to evaluate performance. This would result in an available population of 287. From the responses it was estimated that 29 counties and municipalities had their planning director position vacant and were in the process of recruitment. This would result in an estimated available population of 258.

The objective was to canvass by e-mail and follow up by mail, those planners that best represented the estimated available population of 258 counties and municipalities. There were 167 responses to the survey instrument (64.7% of the available population) of which 31 were incomplete and 29 have less than 5 years from adoption. The net result was 107 responses or samples for analysis (41.5% of the available population). Stevens (1999) recommends about 15 samples for every predictor. Three predictors for this study call for a minimum of 45 samples.

Demographics

For the test sample, 77.3% of the respondents had more than 10 years of experience in public planning, while only 14.2% had 5 to 10 years experience, and 8.5% had less than 5 years of experience.

As for size of jurisdictions, 50% of the respondents represented communities with populations in excess of 100,000 people, while 11.3% represent communities from 51,000 to 100,000 in population. Another 24.5% represent communities from 11,000 to 50,000 in population and 14.2% represent populations of 10,000 or less.

Cities accounted for 50.0% of the sample, followed by counties at 39.6% and towns or villages at 10.4%.

Of the respondents, 46.2% adopted their comprehensive plan 10 or more years ago. It has been only 8 or 9 years since 7.5% of the respondents adopted their plans, and 46.2% adopted their plans 5 to 7 years ago.

Instrument

A sample survey instrument was constructed by the researcher from the literature search illustrating the constructs, items, questions, and type of instrument and was presented in the proposal as Appendix A (survey based on the literature search). The survey instrument was then reconstructed from the qualitative analysis as part of the mixed-methods approach and is presented in Appendix B (PVB Survey). One of the objectives in reconstructing the instrument is to determine the items (questions) that represent the universe of the constructs being measured (Salkind, 2003) and to test the underlying construct.

The properties of the categories (constructs) were elicited from the coding from the qualitative study and are identified in Table 2. These properties are characteristics of the construct along a continuum dimensional range (Strauss & Corbin, 1998). Questions for each construct were developed from the properties and the literature search. Surveys measuring the degree of underlying constructs require at least three items (questions) for each construct to promote the validity and reliability of the data (Passmore, Duboie, Parchman & Tysinger, 2002) and several items allow for item analysis.

For example, the construct of leadership as it is defined and measured for strategic planning in the public sector is constructed from theory (House's Path-Goal Theory) and from practice from the properties along a dimensional range of the construct. As a result, the theory and the properties of the category translated the construct of leadership into six items that best represented the universe of the construct to accurately operationalize and reflect the construct. This process was repeated for the constructs of buy-in and commitment to enhance content and construct validity.

Several demographic questions were developed such as years of experience, size, and type of community, and how long the plan has been adopted. The initial survey from the literature search was redesigned to incorporate these changes.

Content Validity

The process to operationalize the construct through the literature search and the results of the qualitative study enhanced the construct validity of the instrument.

A panel of 5 experts with extensive experience in local government comprehensive planning reviewed and commented on the survey instrument for content validity. The review addressed to what degree the questions represent the objectives of the survey,

should questions be eliminated or added, are the questions clear, and do they cover the universe of the constructs? There were recommendations to clarify and define leadership and buy-in. There were no recommendations for substance changes or additions to the questions. There was discussion on how to define performance. The general consensus was to use the measure of objectives and goals. One panelist felt the questions should be more definitive. The survey instrument was revised to reflect the consensus of the panelist and is present in Appendix B (PVB Survey).

Pilot Survey

A pilot survey was conducted for the PVB Survey with 30 participants selected by the researcher that have 5 or more years of experience in local government comprehensive planning and its implementation. A reliability test was conducted on the pilot data using Cronbach's Alpha of correlation coefficients on internal consistency using SPSS software for each construct.

The results were $\alpha = 0.8681$ for the leadership construct, $\alpha = 0.8790$ for the buy-in construct, and $\alpha = 0.8642$ for the commitment construct. Generally, alpha of 0.75 or above indicates appropriate instrumental internal consistency.

For criterion validity a bivariate correlation analysis was conducted. The correlation between leadership and performance resulted in an $r = 0.486$ and $\rho < .01$. For the relationship between buy-in and performance, $r = 0.578$ and $\rho < .01$; and for the relationship between commitment and performance, $r = 0.578$ and $\rho < .01$.

From this correlation analysis: high scores in leadership, buy-in, and commitment result in high scores in performance. Therefore, the measures behave as theoretically expected.

An item analysis was conducted in which 3 items were possible candidates for elimination or rewriting. However, due to the small sample size, the item analysis was not conclusive and they have been supported by the qualitative analysis.

Procedure

Path analysis and causal modeling examine whether a pattern of intercorrelations among variables fits the researcher's underlying theory of which variables are causing the other variables and the causal order among a set of variables (Mertler & Vannatta, 2001). The following procedures and steps were applied for the path analysis and causal modeling of the enhanced path-goal theory for the relationship between strategic planning and performance in the public sector:

1. Developed a causal model depicted in a path diagram in which effects between variables are represented by arrows.

2. Identified data screening and analyzed multi-variate outliers. Analyzed scatter plot matrix of all model variables and normality plots. Tested for linearity and normality.

3. Conducted a bivariate correlation analysis ($\rho < 0.05$) to determine the empirical correlations for the model variables.

4. Conducted a multiple regression analysis for the path analysis for each endogenous variable to determine path (beta) coefficients. Interpreted tolerance for collinearity and transferred path coefficients to path diagram for the model.

5. Calculated reproduced coefficients through path decompositions. Compared reproduced correlations to empirical correlations. If only a few reproduced correlations differ from the empirical correlations by more than .05, the model is

fairly consistent with the empirical path. If several differ from the empirical

correlation then the model needs to be revised by dropping paths and/or analyzing

missing paths.

6. Summarized the causal effects of the final model including the R^2 for each

endogenous variable.

7. Interpreted the results.

Results

The data from the survey results were put into a SPSS format. The sum of the scores

for each item for each construct were the raw scores for each participant and addressed

the second related research question, "What operational variables are applied to

determine the empirical relationship between strategic planning and performance in the

public sector?" A reliability test was run on the constructs of leadership, buy-in, and

commitment and produced alpha of .8840, .8922, and .8851 respectfully. They suggest

that the scale scores are reasonably reliable for respondents like those in this study.

A scatterplot of the model variables (Figure 14) shows that all variables are

generally elliptical shape plots representative of the linearity and normality and are not

extreme. The residual plot for the model (performance) variables shown in Figure 15, in

which the values are scattered about 0, consistently spread out and not to extreme,

supports the assumption of multivariate normality and homoscedasticity.
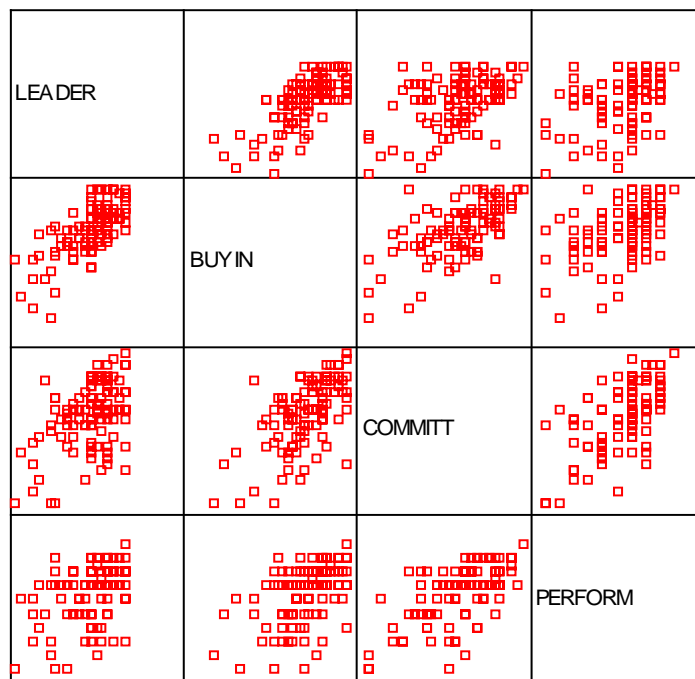
Figure 14. Scatterplot for Model Variables.
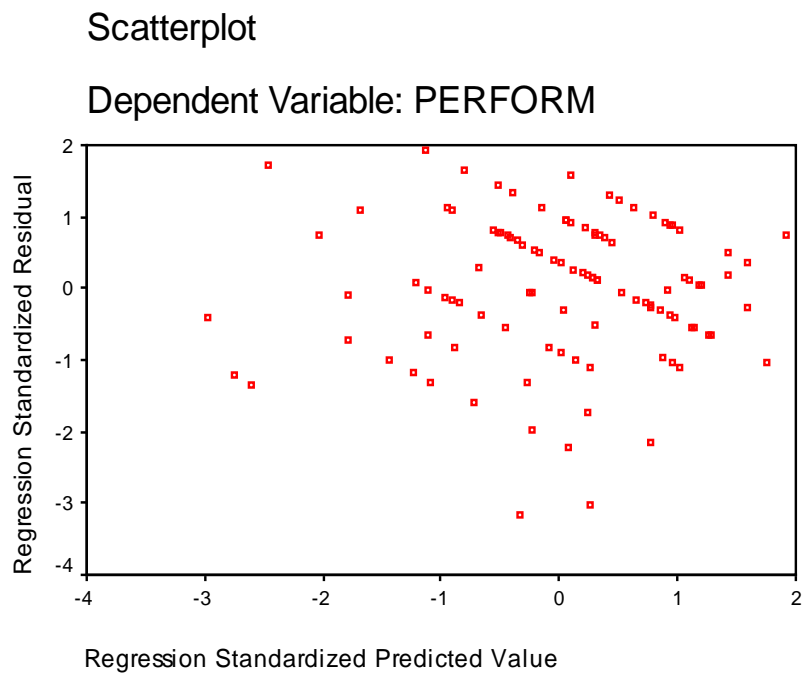
Figure 15. Residuals Plot for Model (Performance) Variables.

Figure 16 illustrates the path diagram for the model for the enhanced path-goal theory that theorizes that leadership has a causal effect on buy-in; leadership and buy-in have a causal effect on commitment; and leadership and commitment have a causal effect on performance, and the causal effects occur in that sequence.
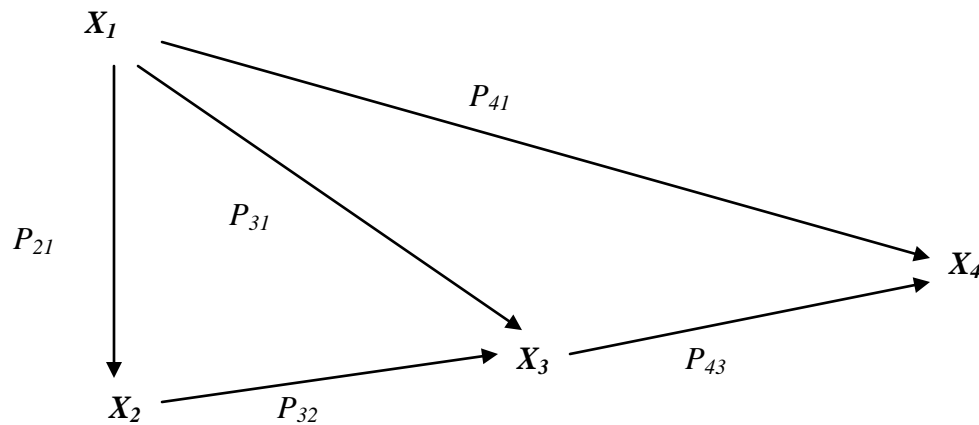
x_1 = Leadership

x_2 = Buy in

x_3 = Commitment

x_4 = Performance

Figure 16. Path Diagram for Model.

Regression analysis is applied to each structural equation that represents the model.

These equations are:

$$x_2 = p_{21} x_1 + e_2$$

$$x_3 = p_{31} x_1 + p_{32} x_2 + e_3$$

$$x_4 = p_{41} x_1 + p_{43} x_3 + e_4$$

p = path coefficient e = error and unexplained variance

These analyses are presented in Figure 17, 18 and 19. The observed or empirical

correlations are all significant to the .01 level and are shown in Figure 20.

Figure 21 illustrates the path diagram for the model with the path coefficients. The

path coefficients $p_{41} x_1$ and $p_{31} x_1$ are not significant at the .05 level. According to

Tate (1992) if a path coefficient is not significant, consideration should be given to

exclude that path from the model unless there is strong theoretical support for its

inclusion. Since the analysis of the qualitative study strongly supports its inclusion, they

will be included for the model. The bivariate correlation coefficient between leadership

and commitment shows a moderate relationship ($r = .471$); and between leadership and

performance a weak to moderate relationship to ($r = .396$). Both are significant to the

.01 level. However, for behavioral science, correlations of .10, .30, and .50 are

interpreted as small, medium and large coefficients (Green, Salkind & Akey, 2000).

Model Summary[b]

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.725[a]	.526	.521	4.3937

a. Predictors: (Constant), LEADER

b. Dependent Variable: BUYIN

Coefficients[a]

Model		Unstandardized Coefficients		Standardized Coefficients			Collinearity Statistics	
		B	Std. Error	Beta	t	Sig.	Tolerance	VIF
1	(Constant)	13.418	2.344		5.726	.000		
	LEADER	1.033	.096	.725	10.733	.000	1.000	1.000

Table Caption

a. Dependent Variable: BUYIN

Figure 17. Regression Output for buy-in on leader.

Model Summary[b]

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.610[a]	.372	.360	4.8200

a. Predictors: (Constant), BUYIN, LEADER

b. Dependent Variable: COMMITT

Coefficients[a]

Model		Unstandardized Coefficients		Standardized Coefficients			Collinearity Statistics	
		B	Std. Error	Beta	t	Sig.	Tolerance	VIF
1	(Constant)	5.570	2.948		1.889	.062		
	LEADER	8.618E-02	.153	.064	.562	.575	.474	2.108
	BUYIN	.533	.108	.562	4.956	.000	.474	2.108

a. Dependent Variable: COMMITT

Figure 18. Regression Output for commitment on leader and buy-in.

Model Summary[b]

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.627[a]	.393	.382	15.7322

a. Predictors: (Constant), COMMITT, LEADER

b. Dependent Variable: PERFORM

Coefficients[a]

Model		Unstandardized Coefficients		Standardized Coefficients			Collinearity Statistics	
		B	Std. Error	Beta	t	Sig.	Tolerance	VIF
1	(Constant)	-1.280	9.162		-.140	.889		
	LEADER	.570	.391	.127	1.460	.147	.778	1.285
	COMMITT	1.851	.289	.557	6.405	.000	.778	1.285

a. Dependent Variable: PERFORM

Figure 19. Regression Output for performance on leader and commitment.

Correlations

		LEADER	BUYIN	COMMITT	PERFORM
LEADER	Pearson Correlation	1.000	.725**	.471**	.390**
	Sig. (1-tailed)	.	.000	.000	.000
	N	106	106	106	106
BUYIN	Pearson Correlation	.725**	1.000	.608**	.484**
	Sig. (1-tailed)	.000	.	.000	.000
	N	106	106	106	106
COMMITT	Pearson Correlation	.471**	.608**	1.000	.617**
	Sig. (1-tailed)	.000	.000	.	.000
	N	106	106	106	106
PERFORM	Pearson Correlation	.390**	.484**	.617**	1.000
	Sig. (1-tailed)	.000	.000	.000	.
	N	106	106	106	106

**. Correlation is significant at the 0.01 level (1-tailed).

Figure 20. Correlation Matrix for Model.
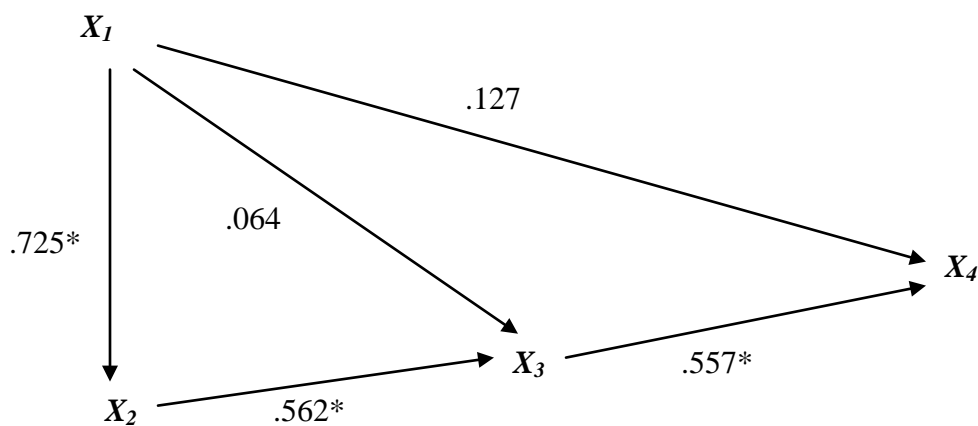
*Significant at the .05 level

X_1 = Leadership

X_2 = Buy in

X_3 = Commitment

X_4 = Performance

Figure 21. Path Diagram for the Model with Path Coefficients.

Reproduced coefficients are calculated through path decomposition and compared to empirical or observed correlations to determine "goodness of fit" of the initial model. If only a few reproduced coefficients differ from the empirical coefficients by .05, then the model is fairly consistent with the empirical path (Mertler & Vannatta, 2001).

 The results are as follows:

$$r_{12} \;=\; .725 \,[.725]$$

$$r_{13} \;=\; .471 \,[.471]$$

$$r_{14} \;=\; .390 \,[.390]$$

$$r_{23} \;=\; .608 \,[.608]$$

$$r_{34} \;=\; .617 \,[617]$$

$$r_{24} \;=\; .431 \,[484] \;*$$

* exceeds difference of .05

The results of the empirical correlations and the reproduced correlations are shown in Table 4. The reproduced coefficients and the empirical coefficient do not differ by more than .05 with the exception of one path. The difference between the reproduced and the empirical coefficients for this path is .053. According to Tate (1992), if the observed and the reproduced correlations are reasonably close (approximately .05), the model can be assumed to be consistent with the empirical data. Therefore, the model is consistent with the empirical data. The third related research question was, "Is the model developed from the literature search consistent with the observed correlations among the variables?" The model developed from the literature search and the qualitative analysis is consistent with the observed (empirical) correlations.

Table 5 shows the empirical and reproduced correlations for the model. Table 6 shows the summary of the causal effects for the model.

Table 4

Empirical and Reproduced Correlations for the Model

	x_1	x_2	x_3	x_4
Empirical Correlations				
x_1	1.00			
x_2	.725	1.00		
x_3	.471	.608	1.00	
x_4	.390	.484	.617	1.00
Reproduced Correlations				
x_1	1.00			
x_2	.725	1.00		
x_3	.471	.608	1.00	
x_4	.390	.431*	.617	1.00

* Difference between reproduced and empirical is greater than 0.05

Table 5

Summary of Causal Effect for the Model

_____

		Causal Effect		
		_____		
Outcome	Determinant	Direct	Indirect	Total
Buy-in $(R^2 = .526)$	Leadership	.725*		.725
Commitment $(R^2 = .372)$	Leadership Buy-in	.064 .562*	.407	.471 .562
Performance $(R^2 = .393)$	Commitment Leadership Buy-in	.557* .127	.263 .405	.557 .390 .405

*Direct Effect Significant at the .05 level

Summary of Results

The path analysis was conducted to determine the causal effect between the variables of leadership (x_1), buy-in (x_2), commitment (x_3), and performance (x_4). Before the analysis, one outlier was removed. The variables met the test of normality and linearity and there were no transformations.

The model, shown in Figure 21 was consistent with the empirical data. However, the path coefficients, leadership to commitment and leadership to performance, were not significant at the .05 level.

If the model accurately reflects the comprehensive planning process and plan performance, then the estimated direct, indirect, and total causal effects of the model are shown in Table 5. The fourth related research question states, "What are the estimated direct, indirect, and the total causal effects among the variables?" For the model the

determinants for performance as indicated by the total causal effects were commitment (.557), buy-in (.465), and leadership (.390). The model explained 39.3% of the variance in performance. The determinants for commitment as indicated by the total causal effects were buy-in (.562) and leadership (.371). This model explained 37.2% of the variance in commitment. The determinant for buy-in as indicated by the total causal effects was leadership (.725) which explained 52.6% of the variance in buy-in.

CHAPTER V

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

This study developed an enhanced path-goal theory model from the literature search and qualitative study to explain the relationship between strategic planning in the form of local government comprehensive plan and performance in the public sector in the states of Florida and New York. The qualitative study supported and enhanced the findings and synesthesis of the literature review. The results of the qualitative study also revealed the constructs and its properties, generated an enhanced path-goal theory, and addressed the research questions. Then results of the qualitative study were also incorporated in the redesign of the survey instrument. The quantitative study tested the PVB Survey instrument, canvassed the Florida target population, designed a causal model, tested for goodness of fit, and addressed the research questions. This study concluded by examining the results of the causal modeling and its recommendations for future research.

Conclusions

The mixed method approach to research provides opportunities to explore and develop a reliable and valid instrument to explain complex empirical relationships.

Causal modeling techniques examine whether a pattern of intercorrelations among variables "fits" the researcher's underlying theory of which variables are causing other variables (Aron & Aron, 1997). A causal variable must precede the variable it affects.

The model fits the enhanced path-goal theory. The results of the path analysis do support the causal inference of the model and the researcher's underlying theory. The path coefficients of leadership to performance and leadership to commitment did match the observed correlations; however they were not significant at the .05 level. All other paths were significant at the .01 level.

The model supports the causal inference that leadership affects buy-in, leadership and buy-in affects commitment; and that leadership and commitment affects performance. This demonstrates the importance of leadership which is linked to all categories and is the connecting link between the buy-in phase and the commitment phase, which is necessary for a successful plan. Leadership has both direct and indirect causal effects on commitment and performance.

The mini-theories generated from the qualitative study on page 111, describe the importance of the linkage of leadership to the other constructs for a successful program. For example, the mini-theory that the public, planning staff, CAO and department heads need to participate in the planning process for a successful plan, calls for a participative style of leadership. Another mini-theory calls for leadership to provide resources for a successful plan. These mini-theories describe the linkage between categories and their importance in order for local government to produce and implement a successful plan.

The model has predictive value and can be generalized for local comprehensive planning as a form of strategic planning and performance in the public sector in the state of Florida. The survey instrument has reliability and validity for the model.

The fifth related research questions states, "Is the model useful in predicting future events?" A linear equation to predict future outcomes can be constructed from a regression model of the determinants of performance. The equation is:

$$Performance = .220 \ _{leadership} + .436 \ _{buy\text{-}in} + 1.694 \ _{commitment} - 5.126$$

These predictors account for a significant amount of the performance variability, $R^2 = .401$, $F(3, 102) = 22.73$, and $p < .001$. The equation to predict performance and the degree of success can result in positive implications to improve comprehensive plan performance for local governments in the state of Florida. Communities that are preparing, updating or evaluating their comprehensive plans can canvass plan participants with the survey instrument, collect data and predict performance. The results can also provide opportunities to benchmark scores with other communities to create a competitive spirit to improve scores. However, caution should be used since the distribution of scores for performance are somewhat negatively skewed and may result in higher scores. The items on the survey instrument can also be used as a checklist for the design and implementation of the planning process.

If a community wanted to improve scores, it can have HRD practitioners plan, design and implement training programs in strategic leadership, participative management, group dynamics and team work, to improve organizational, group and individual performance.

Success is defined in Chapter I as the performance variable that has the percentage of the plans goals and objectives achieved that score in the upper quartile. A score for

performance of 80% or higher is within the upper quartile. Therefore, if one uses the predictive equation of future performance and scores 80% or better, then that would imply a successful plan.

Recommendations

The recommendations focus on improving the model and the survey instrument. The causal inference from the quantitative study of the relationship between leadership and commitment, and between leadership and performance needs further examination.

Future research needs to be conducted on the performance construct to determine if the single item of percent of plan objectives and goals represent the spectrum of its universe. Research may reveal the need for the definition and the operationalizing of more items that would best represent the universe of performance for strategic planning in the public sector. The distribution curve for the results of performance was somewhat negatively skewed. This may be due to participants' bias in scoring higher percentages of objectives achieved than actually achieved and additional items may mitigate this bias.

It is also recommended that further research be conducted on the leadership construct for strategic planning in the form of comprehensive planning in the public sector. For example, the leadership construct may have to be broken down into one leadership construct for buy-in, one for commitment, and one for performance. The complexity of leadership source in the public sector and its effect on the leadership construct need to be further investigated.

One of the problems in identifying the target population is that one planner can testify as to the process but not the outcomes, and another can testify to the outcomes but not the process. The survey instrument may be designed into two separate instruments,

one for the constructs of leadership, buy-in, and commitment, and the other for performance.

The analysis of items indicated that 4 items or questions may be candidates for eliminating or rewriting. A few participants did question these items. These items need to be investigated to determine if they need to be eliminated or rewritten.

The complex problem of identifying the target population for generalization can be addressed through replication. Future research should pursue replication of this study using the survey instrument developed in this study with different groups (i.e. New York). According to Yin (1994) when previously developed theory is used as a model with which to compare the results of other studies and support the developed theory, replication may be claimed. Then, the empirical results are more potent for generalization.

The survey instrument should be revised incorporating those changes that are appropriate from the recommendations. This may result in data that will enhance the causal influence and predictability of the model.

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Appendix A

Mixed Method – Quantitative Study

Illustration of a Mock-Up only
Based on the Literature Review

Survey of Strategic Planning and Performance
in the Form of Local Government Comprehensive Planning

Directions

This questionnaire contains questions about strategic planning and the planning process to develop and implement a local government comprehensive plan. Next to each statement, circle the number that represents how strongly you feel about the statement by using the following scoring system:

Almost Always True	5
Frequently True	4
Occasionally True	3
Seldom True	2
Almost Never True	1

Be candid about your choices, as there are no right or wrong answers. Do not write your name on the questionnaire so we can maintain confidentiality, and please return the questionnaire in the self-addressed envelop.

The objective of this study is to analyze the relationship between strategic planning and performance in the public sector. The components are leadership influence, buy-in stage, commitment stage, and performance.

All responses are to address a specific case study in your experience in a local government comprehensive plan.

<u>Leadership Influence</u>

	Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
Did the leadership communicate with you during the planning process?	5	4	3	2	1
Did the leadership assist you in your work task during the planning process?	5	4	3	2	1
Was the leadership supportive of you throughout the planning process?	5	4	3	2	1
Did the leadership encourage your participation and involvement in the planning process?	5	4	3	2	1
Did your leadership show a high degree of confidence that you were capable of achieving challenging tasks?	5	4	3	2	1

The Planning Process consists of two stages.
The buying-in stage is when the planning participants or
stakeholders are buying into the process and the plan.

	Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
Was the planning process well structured, clear with time lines to complete work?	5	4	3	2	1
Were you and the participants encouraged to participate throughout the process?	5	4	3	2	1
Did leadership continue to support the process throughout the planning period?	5	4	3	2	1
Was there good communication from the bottom up and the top down during the planning process?	5	4	3	2	1
Was there good communication across groups during the planning process?	5	4	3	2	1
During the planning process was there a continuous effort to build consensus among participants?	5	4	3	2	1
Was the plan document clear and concise?	5	4	3	2	1
Did the plan document reflect the consensus of the participants?	5	4	3	2	1

The second state is the commitment stage where the
planning participants and stakeholders are committing to the
plan and its implementation.

	Almost Aways True	Frequently True	Occasionally True	Seldom True	Almost Never True
Did the plan describe measurable goals and objectives for implementation & performance?	5	4	3	2	1
Was the leadership committed to the plan document?	5	4	3	2	1
In your opinion were the participants committed to the plan document?	5	4	3	2	1
Did the leadership commit resources to implement the plan?	5	4	3	2	1
Did key organizations or agencies commit resources to implement the plan?	5	4	3	2	1

Performance is the measurement of the achievement
of the Plan's Goals and Objectives

In your opinion, from the
time the plan was approved
until now, what percent of
the plan has been implemented?   100   90   80   70   60   50   40   30   20   10   0

PVB Survey

PVB Survey of Strategic Planning and Performance in the Public Sector

In the Form of Local Government Comprehensive Planning

DIRECTIONS

This questionnaire contains questions about strategic planning and the planning process to develop and implement a local government comprehensive plan. Next to each statement, select the number that represents how strongly you feel about the statement by using the following scoring system:

Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
1	2	3	4	5

Be candid about your choices as there are no right or wrong answers. Do not enter your name on the questionnaire so we can maintain confidentiality and please return/send the questionnaire after your responses on line.

The objective of this study is to analyze the relationship between comprehensive planning and performance in the public sector. The components of the survey are leadership, buy-in stage, commitment stage and performance.

SUBMIT

PVB Survey

1

Are you a member of AICP?

YES   NO

2

How many years of experience do you have in public planning?

- 0 – 4 Years

- 5 – 10 Years

- 11 – 15 Years

- 16 or more Years

ALL RESPONSES ARE TO ADDRESS A SPECIFIC CASE STUDY IN YOUR EXPERIENCE IN A LOCAL GOVERNMENT COMPREHENSIVE PLAN.

3

What is the size of the jurisdiction or type of jurisdiction you are using as a case study to respond to this questionnaire?

- 0 - 5,000 Population

- 6,000 - 10,000 Population

- 11,000 – 20,000 Population
- 21,000 - 50,000 Population
- 51,000 – 100,000 Population
- 101,000 + Population

4

- County
- City
- Town
- Village
- Other

SUBMIT

PVB Survey

Leadership Source

5

What were the sources of leadership during the planning process?

1	2	3	4	5
Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True

Elected officials

| 1 | 2 | 3 | 4 | 5 |

Chief Administrative Officer(City Manager, County Manager, Mayor)

| 1 | 2 | 3 | 4 | 5 |

Planning staff

| 1 | 2 | 3 | 4 | 5 |

Consultant

| 1 | 2 | 3 | 4 | 5 |

Other

| 1 | 2 | 3 | 4 | 5 |

6

What were the sources of leadership for plan implementation ?

1	2	3	4	5
Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True

Elected officials

| 1 | 2 | 3 | 4 | 5 |

Chief Administrative Officer(City Manager, County Manager, Mayor)

| 1 | 2 | 3 | 4 | 5 |

Planning staff

| 1 | 2 | 3 | 4 | 5 |

Consultant

| 1 | 2 | 3 | 4 | 5 |

Other

| 1 | 2 | 3 | 4 | 5 |

SUBMIT

PVB Survey

Leadership Influence

7

Leadership influence or style can come from any of the sources previously described for your case study and participants are anyone. (i.e., public, staff) who participate in the process.

| 1 Almost Always True | 2 Frequently True | 3 Occasionally True | 4 Seldom True | 5 Almost Never True |

Did your leadership encourage the public's participation and involvement in planning process?

| 1 | 2 | 3 | 4 | 5 |

Did your leadership communicate with participants during the planning process?

| 1 | 2 | 3 | 4 | 5 |

Did your leadership assist the participants in their work task during the planning process?

| 1 | 2 | 3 | 4 | 5 |

Was your leadership supportive of participants throughout the planning process?

| 1 | 2 | 3 | 4 | 5 |

Did your leadership show a high degree of confidence that the participants capable of achieving challenging?

| 1 | 2 | 3 | 4 | 5 |

Did your leadership provide an opportunity to develop a future vision of the community?

| 1 | 2 | 3 | 4 | 5 |

Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
1	2	3	4	5

SUBMIT

Survey Page 4

PVB Survey

The buying-in stage is when the planning participants or stakeholders are buying into the process and the plan.

1 Almost Always True	2 Frequently True	3 Occasionally True	4 Seldom True	5 Almost Never True

Was the planning process well structured, clear with time lines to complete work tasks?

1	2	3	4	5

Was the public encouraged to participate throughout the process?

1	2	3	4	5

Did the department heads participate in the planning process?

1	2	3	4	5

Were the participants involved in the problem analysis and the development of goals & objectives?

1	2	3	4	5

Did the leadership buy into the process?

1	2	3	4	5

Did the public buy into the process?

1	2	3	4	5

During the planning process was there a continuous effort to build consensus among participants?

1	2	3	4	5

Was the plan document clear and concise?

1	2	3	4	5

Did the plan document reflect the consensus of the participants?

1	2	3	4	5

Was the media used to disseminate information to the general public?

1	2	3	4	5

Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
1	2	3	4	5

SUBMIT ➤

PVB Survey

The second phase is the commitment stage where the leadership, stakeholders, and department heads are committing to the plan and its implementation.

9

1 Almost Always True	2 Frequently True	3 Occasionally True	4 Seldom True	5 Almost Never True

Did the plan describe measurable goals, objectives, and policies for implementation & performance?

| 1 | 2 | 3 | 4 | 5 |

Was the leadership committed to implement the plan?

| 1 | 2 | 3 | 4 | 5 |

In your opinion were the participants committed to the plan?

| 1 | 2 | 3 | 4 | 5 |

Did the elected officials commit resources to implement the plan?

| 1 | 2 | 3 | 4 | 5 |

Did key department heads or agencies commit resources to implement the plan?

| 1 | 2 | 3 | 4 | 5 |

Were capital improvement programs approved as a part of plan implementation?

| 1 | 2 | 3 | 4 | 5 |

Were incentives developed for plan implementation?

| 1 | 2 | 3 | 4 | 5 |

Were goals and objectives used for monitoring and assessing outcomes?

| 1 | 2 | 3 | 4 | 5 |

Almost Always True	Frequently True	Occasionally True	Seldom True	Almost Never True
1	2	3	4	5

SUBMIT

PVB Survey

**Performance is the measurement of the achievement
of the Plan's Goals and Objectives**

10

How long has it been since the Plan was adopted?

- 1 year or less

- 2 to 4 years

- 5 to 7 years

- 8 to 9 years

- 10 or more years

11

In your opinion, from the time the plan was approved until now, what percent of the plan's objectives has been implemented?

[▼]

SUBMIT ➤