

FY 2011 Annual Strategic Implementation Plan and Progress Reports



Agency Instructions

REVISED
May 26, 2010

Governor's Office of Planning and Budget

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NEW for the FY 2011 AIP Process

Beginning in FY 2011, OPB will no longer be using the excel spreadsheet template for AIP reporting. The HORIZON system has been upgraded and the AIP will be entered into HORIZON.

The AIP information provided in HORIZON mirrors the information provided last year in the excel template. This document contains step-by-step instructions for completing the FY 2011 AIP.

To close out the FY 2010 AIP process, the FY 2010 Year-end Report will use the current FY 2010 AIP excel template.

1.0 Introduction

The annual strategic implementation plan provides the details about the strategies contained in the agency strategic plan that will be worked on during the next 12 months (FY 2011). The implementation plan highlights key milestones and additional details related to budget.

The 4 Disciplines of Execution and other implementation models provide a framework for agencies to implement their strategic plans. Each agency has the flexibility to use an execution model that works best for them. We encourage agencies to follow best practices when implementing their strategic plan. Examples of best practices include:

- Each goal, measure and strategy has an owner
- A set of action items or discrete tasks is developed to implement each strategy
- Weekly, Monthly or Quarterly targets are identified and progress is tracked (x to y by date)
- Managers and supervisors help employees identify the work they need to do to accomplish the strategy and move the measure toward the target
- Regular internal progress reports at all levels (Cadence of Accountability)

OPB will check on the progress agencies are making in implementing their plan through a mid-year progress report and a year-end report. The same process in Horizon will be used for the implementation plan, the mid-year progress report, and the year-end report. The new system eliminates a separate process and forms for reporting on customer and employee satisfaction initiatives previously submitted to the Office of Customer Service.

2.0 Annual Implementation (Beginning of the Year)

2.1 Complete the Agency Annual Implementation Plan

Instructions for completing the Progress Report and Year-End Report are provided in section 3.0 of this document. The AIP process has three steps:

1. Submit the initial **Beginning of the Year Phase** of the AIP – this indicates what you are planning to accomplish during FY 2011 for each strategy. In essence, it is your annual work plan for that strategy.
2. Submit the **Mid-year update** in January – this is a progress report that allows agencies to ask for assistance from an enterprise agency and note any other issues with the work plan.
3. Submit the **End of Year** report at the end of FY 2011 to indicate how much of your stated activities for the year were achieved.

The following are the steps for completing the **Beginning of the Year** phase of the Annual Implementation Plan:

Goals and Strategies

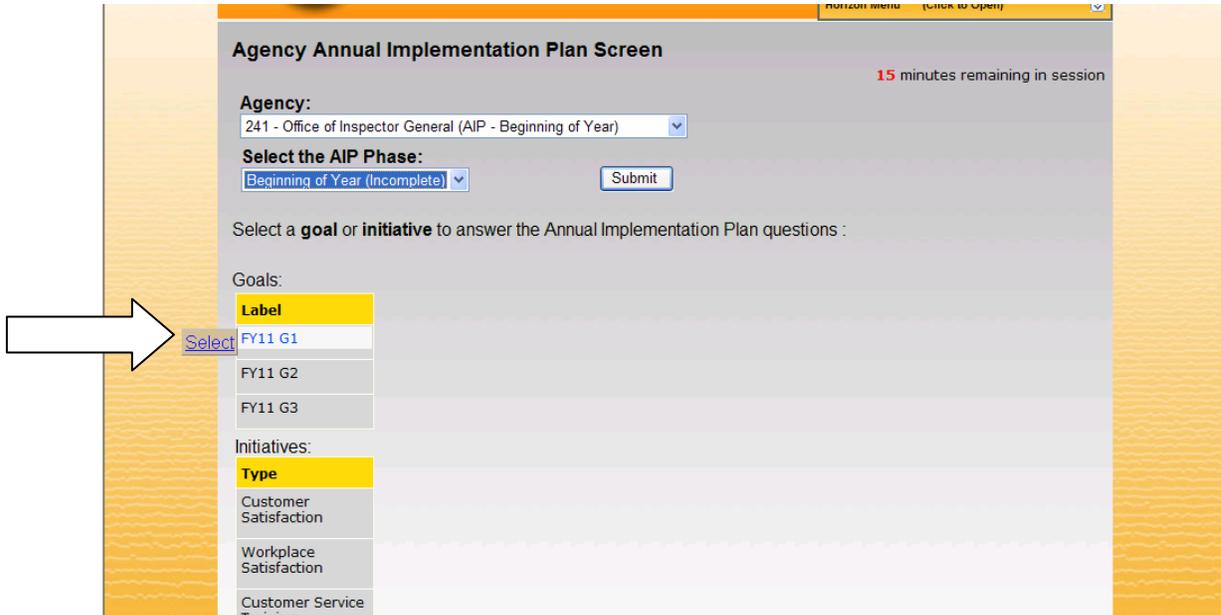
1. In Horizon, select the Annual Implementation Plan from the Main Options section of the drop down Horizon Menu.
2. Select your agency from the drop down list.
3. Select **Beginning of Year** from the drop down menu.

The screenshot shows the 'Georgia's Strategic Planning Support Tool' interface. At the top, there is a header with the Georgia state seal and the text 'GEORGIA'S STRATEGIC PLANNING SUPPORT TOOL'. Below the header is a 'Horizon Menu (Click to Open)' button. The main content area is titled 'Agency Annual Implementation Plan Screen' and includes a session timer showing '20 minutes remaining in session'. The 'Agency:' dropdown is set to '241 - Office of Inspector General (AIP - Beginning of Year)'. The 'Select the AIP Phase:' dropdown is set to 'Beginning of Year (Incomplete)', with a white arrow pointing to it from the left. A 'Submit' button is located to the right of the dropdown. Below the dropdowns, the text reads 'Select a goal or initiative to answer the Annual Implementation Plan questions :'. There are two sections: 'Goals:' with a table listing 'FY11 G1', 'FY11 G2', and 'FY11 G3'; and 'Initiatives:' with a table listing 'Customer Satisfaction'.

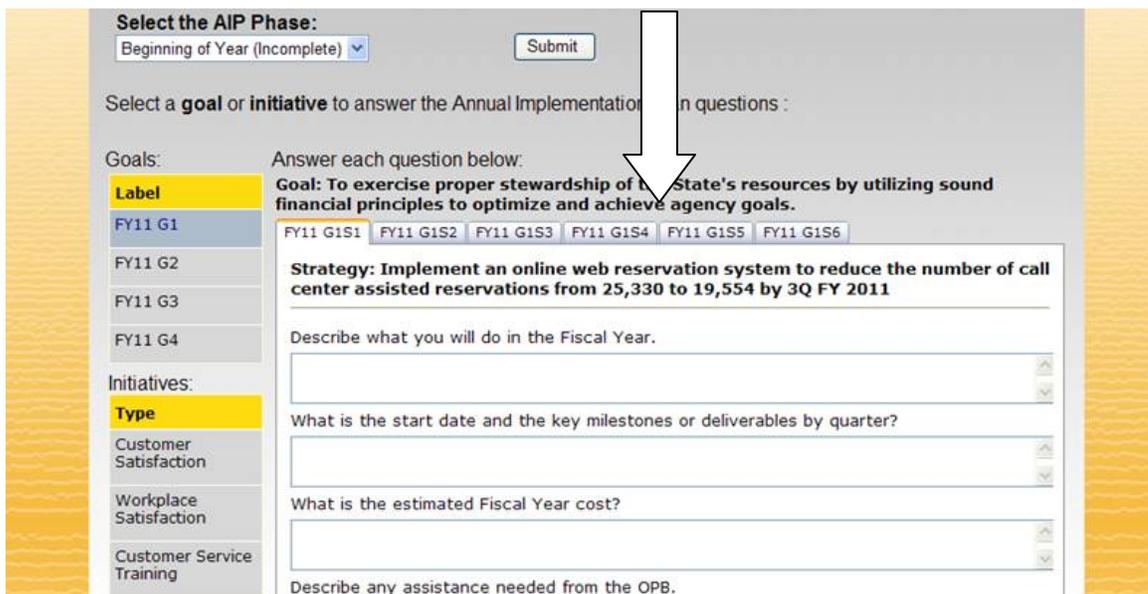
Label
FY11 G1
FY11 G2
FY11 G3

Type
Customer Satisfaction

- From the Goals section on the left, hover over the Goal name, and click Select from the pop up menu to edit the strategies associated with that goal. This must be completed for each goal.



- Complete the questions for **each strategy** being worked on in FY 2011. (Switch Strategies by choosing the appropriate tab at the top of the edit field).



Click Save after you are finished

Customer Service Initiatives

Customer service initiatives (how we deliver state services) should be integrated into agency strategic goals and linked to the state goal of “Deliver state services faster, friendlier and easier.”

Strategic Planners should work with Agency Leadership and Agency Customer Service Champions (where applicable) to determine appropriate customer service goals and strategies.

Customer service initiatives **not** already included in agency goals and strategies **should be added to the “Initiatives” section of the Annual Implementation Plan** and updated with the semi-annual and end of year plans. Customer Service initiatives already included in the Strategic Plan Goals and Strategies do not need to be repeated in the Customer Service Initiatives section.

Customer service initiatives include but are not limited to:

Customer Satisfaction, such as:

- Agency and Statewide Customer Service Communications
- Call/Contact Center Improvement
- Internet Optimization for customer accessibility
- Customer Service Survey including follow-up for Continuous Improvement
- Process Improvement projects (e.g. Rapid Process Improvement, Six Sigma, Total Quality, etc.)
- Customer Service Recognition Programs

Workplace Satisfaction, such as:

- Employee Satisfaction Survey including follow-up for Continuous Improvement (e.g. A Great State To Serve)
- Customer Service Recognition Programs

Customer Service Training, such as:

- The Art of Exceptional Customer Service Foundational, Advanced and/or CBT courses
- Other Customer Service Training

For questions about statewide or agency customer service initiatives or how to include them in your plan contact Katie Christopherson (kchristopherson@ocs.ga.gov) or Kevin Gecowets (kgecowets@ocs.ga.gov) with The Governor’s Office of Customer Service or call 404-463-8793.

Select the initiative you wish to edit by hovering over initiative type and choosing Select from the pop up menu. Multiple initiatives may be entered under each Customer Service Initiative Type.

Answer the questions listed for each initiative or project.

- (1) Provide a brief description of the work you will do in FY 2011.
- (2) List by quarter the key milestones or deliverables.
- (3) Fill-in the Estimated FY 2011 cost.
- (4) Other than assistance with funding, list any assistance that the agency may need from OPB, or other enterprise supporting agencies to implement.
- (5) Comments

Click Save after you are finished

When data for all goals-strategies and Customer Service Initiatives are entered click the Submit button.

3.0 Agency Progress Report

A plan is only as effective as the extent to which it is used. “Progress toward planned goals should be monitored at regular intervals. Organizations should develop a systematic review process to evaluate the extent to which strategic goals have been met.”¹ Execution of the agency strategic plan is a year at a time, and agencies are encouraged to track their progress at least quarterly. The purpose of the mid-year and end-of-year progress reports is to learn if what was planned was accomplished. OPB requires agencies to complete a mid-year progress report in January. At the end of the fiscal year, the agency will submit a year-end progress report on its annual strategic implementation plan.

For agencies with Customer Service Champions who partner with the Governors Office of Customer Service, you are requested to submit a progress report **twice a year** – Mid-Year and at Year-End (this is a change from the quarterly customer service improvement report in FY09). The report should reflect on accomplishments, challenges and any progress being made on customer satisfaction and employee satisfaction.

3.1 Mid-Year Progress Report

The mid-year progress report is an opportunity for the agency to assess its progress on its strategic, critical initiatives, and customer and employee satisfaction and report its progress to OPB and OCS. It is also a vehicle to communicate to the other enterprise supporting agencies any challenges that need to be addressed to achieve success in the second half of the year.

The following are the steps to complete and submit the mid-year progress report in **HORIZON**.

1. In Horizon select the Annual Implementation Plan from the Main Options section of the drop down Horizon Menu.
2. Select your agency from the drop down list.
3. Select Mid Year from drop down menu.

¹ Recommended Budget Practice on the Establishment of Strategic Plans (2005)
<http://www.gfoa.org/downloads/budgetStrategicPlanning.pdf>

4. From the Goals section on the left, hover over the Goal name and click Select from the pop up menu to edit.
5. Complete the questions for **each strategy** being worked on in FY 2011. (Switch Strategies by choosing the appropriate tab at the top of the edit field).
 - (1) Select the status of each goal (red: stopped, yellow: behind schedule, or green: on time).
 - (2) Provide a brief description of the current status of the corresponding strategy..
 - (3) Describe any challenges or lessons learned so far in the implementation of your strategy.
 - (4) Describe planned actions and any anticipated changes in deliverables or key milestones.
 - (5) Other than funding, list any assistance that the agency may need from OPB or other enterprise supporting agencies to implement.
 - (6) Comments.
- 6 a. Select the Customer Service initiative you wish to edit by hovering over initiative type and choosing Select from the pop up menu.
 - b. Answer the questions listed for **each initiative** or project.
 - (1) Provide a brief description of the current status of the corresponding strategy.
 - (2) Describe any challenges or lessons learned so far in the implementation of your strategy.
 - (3) Describe planned actions and any anticipated changes in deliverables or key milestones.
 - (4) Other than funding, list any assistance that the agency may need from OPB or other enterprise supporting agencies to implement.
 - (5) Comments.

Click Save after you are finished

When data for all goals-strategies and Customer Service Initiatives is entered click the Submit button.

3.2 Year-End Progress Report: FY 2011

At the conclusion of each fiscal year the agency will submit to OPB a year-end progress report. This report highlights the accomplishments and challenges of the agency in implementing its annual plan. This report is timed to inform OPB, OCS and the other support agencies of the progress on strategic and critical projects just prior to the submission of the agency's proposed budget in September. To complete the year-end progress report in **Horizon**, follow the steps outlined as follows:

1. In Horizon select the Annual Implementation Plan from the Main Options section of the drop down Horizon Menu.
2. Select your agency from the drop down list.
3. Select Year End from drop down menu.

4. From the Goals section on the left, hover over the Goal name and click Select from the pop up menu to edit.
5. Complete the questions for **each strategy** being worked on in FY 2011. (Switch Strategies by choosing the appropriate tab at the top of the edit field).
 - (1) Select the status of each goal (red: stopped, yellow: behind schedule, or green: on time).
 - (2) List any accomplishments associated with this strategy.
 - (3) Describe any challenges or lessons learned so far in the implementation of your strategy.
 - (4) Discuss the impact on the customer.
 - (5) Other than funding, list any assistance that the agency may need from OPB or other enterprise supporting agencies to implement.
 - (6) Comments.

6. Select the initiative you wish to edit by hovering over initiative type and choosing, then select from the pop up menu. Answer the questions listed for **each initiative** or project.

- (1) List any accomplishments associated with this initiative.
- (2) Describe any challenges or lessons learned so far in the implementation of your initiative.
- (3) Discuss the impact on the customer.
- (4) Other than funding, list any assistance that the agency may need from OPB or other enterprise supporting agencies to implement.
- (5) Comments.

Click Save after you are finished

When data for all goals-strategies and Customer Service Initiatives is entered click the Submit button.

3.3 Year-End Report: FY 2010

FY 2009 was the first year under the new state strategic planning guidelines. In June 2008, agencies submitted implementation plans to OPB. This task will not be completed in Horizon. Please complete last year's excel document with the Year End information.

Explain your accomplishments, challenges, and how the customer benefited for each strategy and initiative worked on in FY 2010. Provide any quantitative evidence of how your measurable objectives changed as a result of the strategies implemented.

The customer service related information for FY 2010 is provided on forms provided by the Office of Customer Service.

To complete the FY 2010 year-end progress report, follow the steps in **Excel** outlined as follows:

1. Access the Annual Implementation Plan from 2010 as saved on your system.
2. Hide or delete columns F to O. In columns under the header "Year End Report" of the Excel spreadsheet template, answer the questions for the strategies, operational initiatives for FY 2010.
3. Answer the questions for each **strategy highlighted**
 - (1). Explain your accomplishments and provide the data to show progress. Update your measurable objectives and provide any leading indicators (column P).
 - (2). Describe any challenges and lessons learned in implementing your plan in FY 2010 (column Q).
 - (3) Clarify who the customer (or employees) that benefit from the strategy or projects and what benefits have been realized (column R).
 - (4) Color code the overall status of the initiative: Green, Yellow, Red (column S).
 - (5) If needed, add a column and provide any additional comments.
4. Share your progress on each of the **operational initiatives or critical projects** by answering the question in columns under the header "Year End Report".
5. The year-end report for **customer service initiatives** is provided on the quarterly reporting forms provided by the Office of Customer Service.
6. Format the template to fit on legal size paper (11x14).
7. Save the Excel Spreadsheet as "AGENCY NAME_FY2010 Year End Report_date".
8. Note agency head approval and submit to OPB by email to planning@opb.state.ga.us and copy your OPB budget analyst.

Due August 15, 2010

A	B	C	D	E	P	Q	R	S
Agency Annual Strategic Implementation Plan Template					Year End Report			
Goal Priority	Agency Goal	State Goal	Measurable Objectives	Agency Strategies	Accomplishments: Quantify your results and/or accomplishments year (provide any leading indicators). Report your progress on your measurable objective.	Challenges: Describe any challenges or lessons learned to meeting your goals and/or objectives.	Who is the customer and how has the customer benefited?	Status Color (Green = Completed annual milestones; Yellow = Behind schedule, partial success; Red = No significant progress).
Other FY 2010 Operational Initiatives and Critical Projects:								
Other Customer Service Initiatives: List any other customer service initiatives planned for the coming fiscal year (surveys, projects, results, etc.)								
Customer Satisfaction:								
Workplace Satisfaction:								
Customer Service Training:								
Agency Head Signature:					Date Signed:			

4.0 Due Dates

Planning / Horizon Timelines for Calendar Year 2010

FY 2010 Planning Cycle		FY 2011 Planning Cycle	
Activity	Date	Activity	Date
January 2010			
Mid-Year Report Due	1/31/2010		
February 2010			
Agency Mid-Year Report information sent to Enterprise Agencies	2/15/2010		
March 2010			
Enterprise Agencies Follow-up on Mid-Year Status Reports	3/1/2010	Planning Guidelines Updated	3/15/2010
Apr-10			
		Horizon Instructions Updated	4/30/2010
May 2010			
		Agencies Begin Entering/ Advancing FY 2011 Planning Data in Horizon [See Note 1]	5/1/2010
		FY 2011 Horizon Plan Submission Deadline	5/31/2010
Jun-10			
		Enterprise Agency plan reviews complete	6/30/2010
Jul-10			
		FY 2011 Annual Strategic Implementation Plan (AIP) due	7/31/2010
August 2010			
Year-End Report Due	8/15/2010		

Note 1: The program structure used in the May 1, 2010 Horizon update schedule noted above will be based on the FY 2010 Appropriation Act. OPB will update the program structure to reflect the FY 2011 Appropriation Act for any agencies that have changes to their structure. Agencies with programs that are changed or eliminated will need to review and update the associated goals, measurable objectives and strategies.