STATE STRATEGIC PLANNING GUIDELINES

FOR

FISCAL YEAR 2015

Prepared by:

Governor's Office of Planning and Budget

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1.0 INTRODUCTION

OVERVIEW

The state strategic planning guidelines outline the strategic planning process and requirements for the agencies of Georgia state government. Under the direction of the Governor, Director of the Governor's Office of Planning and Budget leads the state strategic planning process. State and agency strategic planning are required by law (OCGA 45-12-73 and 175).

These guidelines were developed by an interagency team comprised of representatives from various enterprise support agencies (ESAs), including the Governor's Office of Planning and Budget (OPB), Georgia Technology Authority (GTA), Department of Administrative Services (DOAS), State Accounting Office (SAO), and the agencies of the State Property Officer (SPO) [1].

These guidelines revise and replace the April 2013 strategic planning guidelines.

STATE STRATEGIC PLANNING FRAMEWORK

The state strategic planning framework has three components. The first is the state strategic plan which provides the Governor's vision, direction, and priorities. The second component is the agency strategic plan. The agency strategic plan is a four-year agency plan and must align to the state strategic plan. The third component is the agency performance report. The agency performance report is submitted twice a year, with select agencies reporting quarterly, to track progress on the strategic plan and manage agency performance. The state strategic planning framework is described in detail beginning on page 4 of these guidelines.

INTEGRATED PLANNING PROCESS

The state strategic planning framework consolidates multiple planning processes and satisfies the statewide strategic planning needs of the enterprise support agencies.

The integrated planning process eliminates the need for separate agency information technology (IT) strategic plans and agency workforce plans. Strategic planning information is collected once in a centralized web-based system and then used by multiple agencies for statewide planning.

STRATEGIC PLANNING COORDINATING TEAM

The Strategic Planning Coordinating Team is responsible for coordinating and implementing the State of Georgia's Strategic Planning process. This includes revising the state strategic planning guidelines as needed and providing agencies with training and instruction.

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[1] The State Property Officer provides leadership for the State Properties Commission, Georgia Building Authority and Georgia State Financing and Investment Commission's Construction Division

Team membership consists of personnel from the following enterprise supporting agencies:

Enterprise Support Agency	Representative
Governor's Office of Planning and Budget	Alice Zimmerman, Chair Allen Fox Ashley Pandit Finis Whitt
Office of the Governor's Chief Operating Officer	Ashlee Aurandt
Georgia Technology Authority	Joe Coberly Michael Curtis
Department of Administrative Services	Patrick McKeon
State Property Officer (SPC, GSFIC, GBA)	Janet Wix
State Accounting Office (SAO)	Joan Schoubert

OPB is the lead agency for strategic planning. Within the strategic planning coordinating team are leads for facilities planning, information technology planning, and workforce planning. The leads for these planning components prepare recommendations for their assigned area. The coordinating team works to integrate the recommendations and requirements into a comprehensive set of instructions and annually reviews and updates the guidelines as needed. Team members also annually review agency plans and provide feedback to the agencies. These meetings serve as the focal point for managing the state's strategic planning process.

NEW IN FY 2015

Governor Deal's vision of a responsible and efficient government uses strategic planning as the basis for performance management and accountability. Under the Governor's leadership, OPB has strengthened the state planning process to improve alignment of agency activities with the state goals. Additionally, OPB worked with the Strategic Planning Coordinating Team to refine the data entry requirements in the state strategic planning database Horizon. These efforts resulted in significant changes to the strategic planning process in FY 2013, which remain essentially unchanged for the FY 2015 annual plan updates.

The FY 2015 updates will focus on plan refinement, rather than directional change. Agencies should approach the update as an opportunity to evaluate and refine their plans to ensure that the goals and strategies are still viable and relevant. Agencies will review their FY 2013-2016 plans and evaluate whether there are any gaps that need to be addressed. Examples of FY 2015 updates may include revising or adding strategies or goals, updating strategy cost information or technology specifications, and providing baseline or target data for measureable objectives.

OPB and the enterprise support agencies (ESAs) made minor adjustments to the information collected and reported in Horizon to facilitate improved agency performance reporting. Specifically, agencies are no longer required to link strategies to measureable

objectives. Objectives measure goal achievement and will be selected based on alignment to agency goals.

Additionally, to better track achievement of goals, agencies will now enter baseline and target data into numeric fields, which will capture the X and Y values. Finally, agencies will provide the dates for both baseline and target data.

As of FY 2014, agencies began reporting plan performance in Horizon. Because strategies will no longer be linked to measureable objectives, Horizon will collect the information in separate tables in FY 2015. This will eliminate duplicate data entry associated with measureable objectives being linked to multiple strategies. It will also improve reporting by separating achievement of the objectives from updates on strategy completion.

Finally, to assist agencies in their planning efforts, OPB will provide its annual strategic planning training in spring 2014. Agency strategic planners, fiscal officers and Horizon data entry staff are encouraged to attend. Additionally, OPB will meet with individual agencies to provide additional guidance on plan updates and progress reporting. OPB will contact agencies to provide agency-specific guidance and schedule meetings when appropriate. Agencies should contact Alice Zimmerman if they would like to request a one-on-one meeting with OPB.

DUE DATES

The state strategic planning process and timeline is designed to support the budget process and other statewide planning and performance management efforts. The following are the key dates related to strategic planning:

	Date	Who	Description
Mar	3/25 & 4/3	All Agencies	Attend training on Georgia's strategic planning framework and Horizon system
April-May	4/18	Select Agencies	Submit Agency Performance Report (3rd quarter status, 2014)
	4/18 - 5/2	Select Agencies	Meet individually with OPB to discuss plan updates, reporting and outcomes
	4/28	OPB	Horizon system opened for FY 2015 plan entry
June	6/13	All Agencies	Submit 2015 Agency Strategic Plan
	6/16 -7/31	ESAs	Review FY 2015 agency plans for budget, staffing, facility and technology impacts
July	7/31	All Agencies	Submit Agency Performance Report (Year-end status, 2014)
Oct.	10/17	Select Agencies	Submit Agency Performance Report (1st quarter status, 2015)
Dec.	12/31	All Agencies	Submit Agency Performance Report (Mid-year status, 2015)
April	4/17/2015	Select Agencies	Submit Agency Performance Report (3rd quarter status, 2015)
July	7/31/2015	All Agencies	Submit Agency Performance Report (Year-end status, 2015)

STATUTORY AUTHORITY

The Budget Accountability and Planning Act of 1993 established a comprehensive strategic planning process for state government. The table on the following page lists the strategic planning requirements in state government and identifies the lead agencies that are responsible for statewide planning. Excerpts from the Official Code of Georgia Annotated (OCGA) related to strategic planning are available in Appendix A of this document.

OCGA CITATIONS FOR STRATEGIC PLANNING

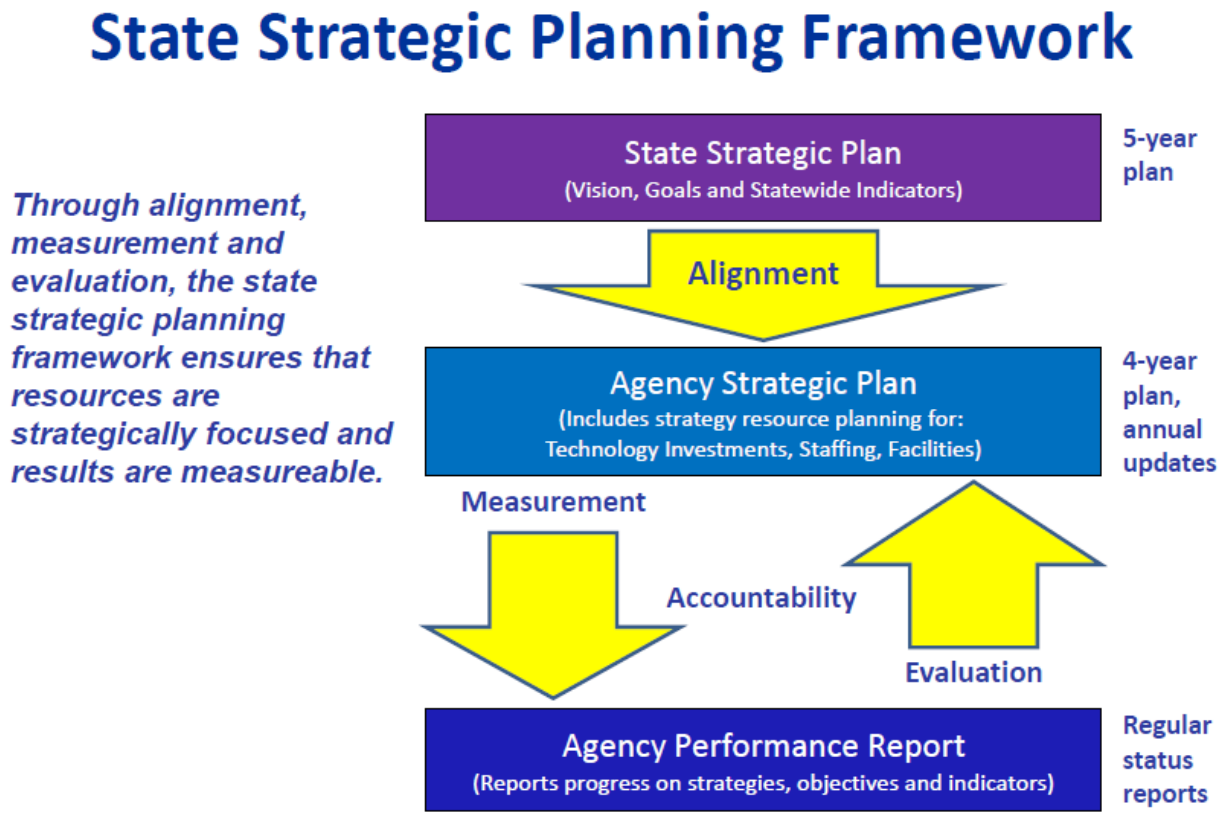
Planning Process	Lead Agency	Legal Authority
Strategic Planning Process	OPB	45-12-73
State Strategic Plan	OPB	45-12-175
Agency Strategic Planning	OPB	45-12-73
Information Technology	GTA	50-25-4 (a10), (13)
Capital Improvements	OPB	45-12-73 (6)
Space Management	SPO	50-16-35
Workforce Planning	DOAS	45-20-1(e) 45-12-177

2.0 STATE PLANNING FRAMEWORK

The state planning framework keeps a clear line-of-sight between state goals, agency goals, and agency performance. Just as alignment between state and agency priorities is important, alignment within an agency, between program managers, information technology, facilities, and human resources is just as critical. The state strategic planning framework emphasizes vertical alignment between state and agency plans and horizontal alignment within an agency and among its partners.

The basic framework of the state strategic planning process is as follows. The Governor starts the process by outlining his strategic agenda in a five-year state strategic plan. Next, each state agency develops and submits to OPB an agency strategic plan that is consistent with the overall state plan. Finally, OPB tracks progress on agency strategic plans through the agency performance reports.

The graphic on the next page shows how the Governor uses the state strategic plan, agency plans and performance reports to hold agencies accountable for achievement of state and agency goals.



3.0 STATE STRATEGIC PLAN

By law, the state strategic plan is, at a minimum, a five-year plan to improve the "fiscal responsibility and responsiveness of state government and the effective and efficient delivery of services throughout the state." The Governor communicates his strategic agenda by setting goals for the state strategic plan. To ensure that the state goals reflect the priorities of each governor, a comprehensive review of the state plan is conducted every four years.

GOVERNOR DEAL'S PRIORITIES

Governor Deal has developed goals for the State Strategic Plan to reflect his vision for Georgia. Governor Deal outlined six policy areas as priorities for state government: Educated, Mobile, Growing, Healthy, Safe, and Responsible and Efficient Government. Under each policy area are goals to give more focus and vision for the state. Additionally, the Governor's Office and OPB conduct collaborative meetings semi-annually for each of the six policy areas to review strategic priorities and performance indicators. State agencies align their agency strategic plans to the Governor's priorities. The Governor's Strategic Goals for Georgia are available on OPB's website at http://opb.georgia.gov/strategic-planning.

STATE PLAN USE

In a climate of finite resources, the state strategic plan helps OPB and the Governor's Office prioritize and justify investments. OPB and the Governor's Office also use the state strategic plan to evaluate the merits of agency budget requests and agency legislative proposals. Requests for funds should demonstrate how the funding with its companion strategy will help contribute to a performance improvement. Ultimately, the state plan will focus the state's strategic efforts to improve state services to our customers in all six policy areas.

4.0 AGENCY STRATEGIC PLAN

AGENCY PLAN DEVELOPMENT

By law, each state agency is required to develop an agency strategic plan that is consistent with the overall state plan. The agency strategic plan is a four-year plan that is updated annually. FY 2013 began a new four-year cycle. Governor Deal challenged agencies to include strategies that directly influence achievement of the state goals in their FY 2013-2016 agency strategic plans. FY 2015 provides agencies an opportunity to refine their strategic plans based on FY 2014 experiences and any changing circumstances or new legislative mandates.

The agency strategic plan is limited in scope. It should not cover everything the agency has to accomplish in the current four-year cycle from an operational stand point. Rather, the strategic plan is focused on a limited number of goals and related strategies that the agency will concentrate on to improve services and customer experiences, with a particular focus on Governor-identified priorities. Ideally, the agency strategic plan highlights what the agency will pursue that is new or different that will ultimately influence achievement of its measurable objectives.

Agencies may choose a strategic planning model that works best for the agency (e.g. Balanced Score Card, Baldrige, Results-Based Accountability, traditional approach, etc.). Appendix B provides one approach for developing the agency strategic plan.

REQUIRED CONTENT

Regardless of the strategic planning model used, agencies report content in a standardized way to OPB. The content provided meets the strategic planning requirements of OPB, GTA, DOAS, SAO and SPO.

In most cases, agencies will be able to advance their FY 2014 plan content over to their FY 2015 plan. Once advanced, agencies should confirm that their FY 2015 plans contain all required content as identified in Appendix C.

Appendix C of these Guidelines provides a worksheet for agencies to use to prepare the required strategic planning elements. OPB strongly encourages agencies to complete this worksheet before entering their plan into OPB strategic planning database. Using the worksheet will facilitate reviews, approvals and data entry of the agency strategic plan.

Required planning elements include:

- Agency Mission
- Agency Vision
- Agency Core Values
- Challenges
- Workforce Planning
- Enterprise Ideas
- Goals
  - Alignment to State Goals
  - Measurable Objectives
  - Strategies
    - Description
    - Anticipated Benefits
    - Budget Implications (e.g., costs, funding, critical timeframes, partners)
    - Staffing Implications
    - IT Dependencies
    - Facilities or Space Implications

Not all information that comes from a quality planning process is required for statewide planning purposes. On a case-by-case basis, the enterprise planning agencies may request additional information from the agency. Additionally, OPB encourages agencies to submit their published strategic plans or other support information to supplement the required planning elements.

Emphasis on Coordinated Planning

These strategic planning guidelines emphasize coordinated planning among the support functions within an agency and across the state. As part of the agency strategic plan, agencies explain what the agency plans to do to achieve its goals and what the implications will be on financial, staffing, information technology, and space or facility resources. Agency leaders should coordinate with the budget, human resource, information technology, and facility staff as part of the planning process. Coordination among agency partners is also critical as agencies come together to plan and implement statewide initiatives related to the state strategic plan. As plans are submitted, support agencies (OPB, DOAS, GTA, SAO and SPO) will review to take advantage of synergies and opportunities, and mitigate challenges. Final emphasis will be directed towards assisting agencies in achieving their desired strategic outcomes.

Comprehensive Plan Update and Reassessment

The agency strategic plan is a four-year plan, with annual updates. Following the release of the state plan during spring 2012, each agency issued a new agency-level plan. Agencies conducted comprehensive assessments of their plans and updated strategic goals to align with the Governor priorities and revised state goals.

As part of the annual update, the agency reevaluates its operating environment based on funding received and any legislative or policy changes impacting the agency in the past fiscal year. The agency also evaluates any relevant measures or other indicators to identify any emerging issues and updates its agency strategic plan accordingly.

DATA ENTRY IN HORIZON

Agencies will enter and update their strategic planning information in a web-based system called Horizon. As noted above, OPB encourages agencies to use Appendix C to develop the plan content, prior to entering data into Horizon. OPB will open Horizon for data entry and agency updates on April 28, 2014.

Each agency should designate one person in the agency to coordinate the strategic planning process and be responsible for entering the agency strategic planning information in Horizon.

Agencies should refer to the *FY 2015 Horizon User Manual* for detailed information on how to enter plan data into Horizon. OPB expects to post the updated Horizon user manual to its website before opening the system for data entry. Statewide planning agencies will also be available to answer questions and provide assistance with Horizon.

PLAN SUBMISSION

The agency senior leadership should have consensus on the content and direction of the agency strategic plan. Agencies must submit their agency strategic plans to OPB in the Horizon system **by June 13, 2014**.

OPB provides a strategic plan self-assessment guide, which agencies should use to assess the quality of their strategic plans prior to submission to OPB. A copy of the evaluation template is provided as Appendix E of this document.

Once submitted, agency plans are considered final and are posted to OPB's web site for public access. OPB encourages agencies to proof content for spelling and readability prior to submission.

ESA PLAN REVIEW

OPB, DOAS, GTA, SAO and SPO will each have the opportunity to review the agency strategic plan from their own perspective. OPB uses the evaluation template (i.e., Appendix E) to review the agency strategic plans. If the plan is not complete or needs to be revised, OPB will notify the agency to unsubmit its plan, revise it and resubmit. During the resubmission process agencies can contact the appropriate support agency to obtain assistance prior to resubmitting the plan.

In some cases, OPB may suggest optional improvements to agency plans. For optional improvements, agencies are not required to unsubmit and revise their plans. However, agencies should consider the suggestions when updating their plans for the next fiscal year.

The agency strategic plan initiates a series of strategic conversations between OPB, the Governor's Office, and the agency as well as internal resource planning discussions between OPB, GTA, DOAS, SAO and SPO.

PLAN USE

AGENCY PLANNING

The agency strategic plan is first and foremost for the use of the agency. The strategic plan is a valuable tool for agency leadership in charting the course for the agency and communicating its priorities to its employees, its customers, and its stakeholders. The plan provides the context for new investments, redirection of funds, organizational change, and process improvements.

The enterprise-planning agencies will use the agency strategic plans as a basis for their own statewide planning efforts. They will also use the plans to identify and align similar strategies across state government, and to coordinate the timing and implementation of investments and policy changes. Strategic planning guides the state planning processes so near-term decisions are made with a long-range perspective.

BUDGETARY PLANNING

The Governor and OPB will use the agency strategic plan to assess how the agency is contributing to meeting the state strategic goals and how well the agency's budget request aligns to the agency's strategic plan. The agency strategic planning information initiates discussion with the agency and analysis and coordination between OPB and the Governor's Policy Staff for the next budget and policy development cycle. The strategic plan will help distinguish strategic investments from requests to maintain operations.

OPB will use the plans to better understand the future environment and factors for which an agency is planning. The envisioning of the future – how services should be delivered, trends, demographics, opportunities and threats – provides critical input and necessary context for policy and budget analysis. As OPB works on a state financial plan, agency strategic plans provide the inputs necessary to help decision makers know the order of magnitude of potential future costs, so they can be weighed against projected available funds.

OPB will also use the agency strategic planning information to identify opportunities for collaboration or leveraging of resources if agencies identify similar projects or strategies. OPB will then provide feedback to agencies on priorities and fiscal constraints. DOAS and SAO also use the plans to identify enterprise issues and solutions. DOAS reviews the plans for large projects that may benefit from DOAS assistance as well as enterprise procurement opportunities for statewide contracts. SAO reviews agency plans to identify common agencies goals or strategies, which could be addressed through enterprise solutions.

INFORMATION TECHNOLOGY PLANNING

GTA relies on agency strategic plans to better understand how agencies use information technology (IT) to achieve state goals. This enterprise view of technology use is instrumental in creating the Georgia Enterprise IT Strategic Plan. It also provides Georgia leadership information that is used to make decisions for technology acquisitions. In addition, GTA reviews the plans to better understand individual agency technology needs and improve security, business continuity and capacity planning. Finally, GTA reviews

agency business needs to identify opportunities to improve services through innovative technology solutions.

Workforce Planning

DOAS uses the agency strategic plans to assess agencies' workforce needs and to develop the enterprise workforce plan. Agencies no longer submit a separate workforce plan. Agencies develop their workforce plan as a component of their strategic plan. The four-year agency strategic plan includes workforce planning questions to help agencies develop strategies for closing staffing, diversity, and competency gaps. The agency plan also includes information about recruitment and retention challenges related to critical positions and job families.

Facilities, Space, Capital Asset Planning

SPO uses the strategic plans to identify and coordinate similar projects and space needs across state government. Planning information is used to coordinate the timing and implementation of infrastructure investments and to establish a uniform vision that ensures the highest and best use of State assets. OPB and SPO use the agency strategic plans to understand the business need for addition or reduction in space.

As part of the agency operating and capital budget submission, the agency should reference the agency strategic goal and strategy in the project description for any project related to the agency's strategic plan. The description should explain how the items requested relate to the implementation of the agency strategy.

Agency Strategic Plan

- 4-year time horizon
- Supports state goals
- Focuses on strategic activities and areas for improvement
- Updated annually to reflect changes in budget and business environment
- Due June 13, 2014

Agency Performance Report

- Measures achievement of state and agency goals
- Communicates fiscal year priorities
- Reports progress on strategies
- Mid-Year Report due December 31, 2014
- Year-End Report due July 31, 2015

5.0 AGENCY PERFORMANCE REPORT

The agency performance report is used to track progress on the strategic plan strategies and objectives. All agencies submit performance reports twice a year, with select agencies submitting quarterly. The FY 2015 updates are due in Horizon on the following dates:

- October 17th (1st Quarter: Select Agencies Only)
- December 31st (Mid-Year Report: All Agencies)
- April 17th (3rd Quarter: Select Agencies Only)
- July 31st (Year-End Reports: All Agencies)

Appendix D provides detailed instructions for preparation of the agency performance report, and Appendix E provides criteria to evaluate quality of reporting.

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."[2] The agency performance report formalizes the evaluation process and allows agencies to regroup and change course as needed to ensure goals are met.

At the state level, OPB synthesizes the agency performance reports by policy area into mid-year and year-end state performance reports. OPB shares these policy-specific performance reports with the Governor's Office and relevant agency planning and budget personnel. The performance reports provide state leadership with information to assess progress toward achieving state goals as well as aid in legislative and budgetary decision making.

[2] Recommended Budget Practice on the Establishment of Strategic Plans (2005) http://www.gfoa.org/downloads/budgetStrategicPlanning.pdf

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APPENDICES

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APPENDIX A: STATUTORY AUTHORITY FOR STRATEGIC PLANNING

The following are sections of the Official Code of Georgia (OCGA) related to strategic planning.

STATE AND AGENCY STRATEGIC PLANNING

The Governor, through OPB, is responsible for developing and maintaining a state strategic plan. Each state agency in state government is required to align its agency strategic plan to the state strategic plan (see OCGA 45-12-175 and OCGA 45-12-73).

OCGA 45-12-73. The Office of Planning and Budget, at the direction and under the control of the Governor and subject to this part, shall … (1) Develop and implement a process of strategic planning to establish and periodically update an overall plan for state government and require all state agencies to develop a strategic plan that is consistent with that overall state plan. The Office of Planning and Budget may assist departments, boards, bureaus, commissions, institutions, authorities, and other agencies in developing those plans and in tailoring them to those organizations' program needs;

OPB is charged with the responsibility of coordinating the strategic planning process for state government. The law outlines the specific content that is required in an agency strategic plan:

OCGA 45-12-175. The goals and strategies contained in this state strategic plan shall be reflected by the various departments, boards, bureaus, commissions, institutions, authorities, and other agencies of state government, as respectively applies, in the development of their own strategic plans which specifically deal with their respective future directions and organizational missions. Each strategic plan developed by each department, board, bureau, commission, institution, authority, and other agency of state government shall contain a description of its future direction; a statement of its organizational mission; a description of the current and anticipated future needs being addressed by its preferred future direction and organizational mission; a description of planned actions designed to address these needs; a description of the goals for the program or services to be improved; a course of action for achieving the planned improvements, including an implementation timetable; a description of the evaluation system to be used to determine if the goals are being attained; an estimated annual cost for each planned improvement of a program or service; all efforts to decentralize its administrative and operational functions; and all other items as the Office of Planning and Budget may deem necessary.

WORKFORCE PLANNING

The Department of Administrative Services (DOAS) is responsible for preparing a workforce plan for the state.

OCGA 45-20-1(e). Each agency shall develop a work force plan as a component of the strategic plan required by Code Section 45-12-177.

INFORMATION TECHNOLOGY PLANNING

The Georgia Technology Authority (GTA) is responsible for developing a state technology plan.

OCGA 50-25-4 (a 10). To set technology policy for all agencies except those under the authority, direction, or control of the General Assembly or state-wide elected officials other than the Governor;

(13) To develop such plans and reports as are deemed necessary and useful and to require agencies to submit periodic reports at such frequency and with such content as the board shall define.

Facilities / Space / Capital Asset Planning

One of OPB's roles and responsibilities is to develop a long-term capital improvement budget. This requires a long-term capital plan.

OCGA 45-12-73 (6). Develop a long-term capital improvements budget which emphasizes decentralization of state government and which is consistent with the overall strategic plan for consideration by the General Assembly.

The state property officer has responsibilities for managing the portfolio of real property.

OCGA 50-16-35 (a)(1). The Governor shall appoint a state property officer who shall serve as the executive director of the commission. The state property officer shall:

(A) Advise the Governor on opportunities to achieve the goal of state-wide real property management;

(B) Develop policies and procedures for state-wide real property management;

(C) Maintain a state-wide real property management system that has consolidated real property, building, and lease information for state entities;

(D) Develop and maintain a centralized repository of comprehensive space needs for all state entities including up-to-date space and resource utilization, anticipated needs, and recommended options;

(E) With the advice and counsel of state entities, board members, and industry groups, provide state-wide policy leadership, recommending legislative, policy, and other similar changes and coordinating master planning to guide and organize capital asset management.

APPENDIX B: HOW TO DEVELOP A STRATEGIC PLAN

Each state agency is required by law to have a strategic plan. The agency strategic plan is a four-year plan and should align to the state strategic plan. *Agencies may choose a strategic planning model that works best for the agency* (e.g., Balanced Score Card, Baldrige, Result-Based Accountability, traditional approach, etc.). The agency strategic plan should explain the top three to five things that the agency is focusing on to improve operations, services and customer experiences.

The following guidelines provide general instruction to agencies in doing strategic planning. Regardless of the strategic planning model used, specific standard content is expected to be reported to OPB. See Appendix C for a list of the specific content to be reported.

FOCUS ON THE STRATEGIC ACTIVITIES

The agency strategic plan focuses on specific strategies that will improve services and outcomes for the agency's customers and employees. A clear distinction must be made between ongoing operations and strategy. The Franklin Covey organization has coined the term "whirlwind" to describe the work done every day to keep the operations of the agency going. The whirlwind is the urgent priorities that come to you and demand your immediate attention.[1] For the purposes of this document, the "whirlwind" is the ongoing operations of the agency. "Strategy" means the energy used to achieve the goals for improving performance.

The strategic planning guidelines are designed to focus agency efforts in planning the time, energy and resources necessary to achieve the agency's strategic goals. Other state processes such as the annual operating budget and budget program performance measures focus on the overall management and resources related to agency operations.

GENERAL GUIDELINES FOR AGENCY STRATEGIC PLANNING

The process should be participatory and use team consensus to arrive at decisions whenever possible. While it is unlikely that every team member will totally agree with every decision, members should be able to "live with and support" the outcomes from the planning sessions.

[1] Execution Essentials: The 4 Disciplines of Execution, FranklinCovey, 2006, p. 4

GETTING STARTED

According to the Government Finance Officers Association (GFOA), "It is essential that the strategic plan be initiated and conducted under the authorization of the organization's chief executive (Agency Head), either appointed or elected. Inclusion of other stakeholders is critical, but a strategic plan that is not supported by the organization's chief executive (Agency Head) has little chance of influencing an organization's future."[2]

To get started, the agency must first get organized and plan to plan. The plan-to-plan phase is logistical—allowing time for specifying participants, process duration and location, and determining if a specific strategic planning model will be used.

Preparing the Agency Strategic Plan

- ☐ Plan to plan
- ☐ Prepare mission statement
- ☐ Develop a vision statement
- ☐ Define the agency's core values
- ☐ Assess environmental factors
- ☐ Identify critical issues
- ☐ Identify enterprise obstacles or issues
- ☐ Establish strategic goals
- ☐ Establish measurable objectives
- ☐ Develop strategies for accomplishing the measurable objective(s)
- ☐ Identify impacts on IT, the workforce, and facilities/space

The strategic planning sessions should directly involve the agency's senior leadership and managers as well as employees at varying levels throughout the organization. Considerable thought should be given to selecting the participants for all phases of the strategic planning process. It is crucial that the head of the agency and the executive leadership team be committed and willing participants. They should take the lead in developing the agency's mission, vision, goals and strategies.

In addition to agency senior leadership, program and operational managers may be appropriate participants for defining measurable objectives and strategies. Program managers and staff involved in evaluation, research, and data analysis are appropriate participants for coordinating agency resources and defining the indicators used to track program performance.

During the plan-to-plan phase, the agency should complete the following tasks:

- ☐ Identify the member of the executive leadership team who will lead the process and serve as the internal strategic planning coordinator.
- ☐ Select a strategic planning facilitator and decide if the facilitator will be agency staff or an external consultant.
- ☐ Identify the focus area planning coordinator(s) for IT, workforce, and facilities.
- ☐ Determine who is to be included in each phase of the planning process and for each focus area.
- ☐ Find a location for the planning sessions.

[2] Recommended Budget Practice on the Establishment of Strategic Plans (2005) http://www.gfoa.org/downloads/budgetStrategicPlanning.pdf

- ☐ Decide the number of sessions to be held.
- ☐ Identify individuals responsible for coordinating the plan's development, tracking the process, and making subsequent changes to keep the plan current.
- ☐ Collect and analyze data and information that will be used as part of the environmental scan process. Helpful information may include: demographic trends, service provision trends, customer and employee satisfaction survey results, facility trends, and workforce trends.
- ☐ Identify any statewide strategies coming from the work of the policy collaboratives that needs to be embedded in the agency plan.

Prepare a Mission Statement

Mission: The purpose of the organization; why the agency exists.

The agency mission is a broad statement of why the agency exists. Statutory and regulatory requirements provide the foundation for the mission statement.

"The mission statement should be a broad but clear statement of purpose for the entire organization. One of the critical uses of a mission statement is to help an organization decide what it should do and, importantly, what it should not be doing. The organization's goals, strategies, programs and activities should logically cascade from the mission statement." (GFOA)

Develop a Vision Statement

Vision: A picture of a desired future, one that is both challenging, yet possible to attain. Defines where the organization wants to be in the future. It reflects the optimistic view of the organization's future.

The vision is a clear and concise statement and inspiring declaration of the direction that an agency plans to take into its preferred future, focusing on its customers and desired outcomes.

Define Agency Core Values (Optional)

Core values: Those things that really matter to the organization: the ideas, beliefs and enduring tenants that guide the work of the organization.

Assess Environmental Factors

Environmental scan: A thorough analysis of the organization's internal and external environment and relevant trends.

The environmental scan is a review of external and internal factors that affect the environment in which an organization operates. The environmental scan examines these factors and their impact on Georgia citizens, state agencies, and the services they provide.

"A thorough analysis of the agency's internal and external environment sets the stage for an effective strategic plan. A frequently used methodology for conducting an environmental assessment is a "SWOT" (Strengths, Weaknesses, Opportunities, and Threats) analysis. Strengths and weaknesses relate to the internal environment, while analysis of opportunities and threats focuses on the environment external to the organization.

"Local, regional, national, and global factors affecting the community should be analyzed, including (a) economic and financial factors, (b) demographic trends, (c) legal or regulatory issues, (d) social and cultural trends, (e) physical [infrastructure needs] (e.g., community development), (f) intergovernmental issues, and (g) technological change.

Agencies should develop mechanisms to identify stakeholder concerns, needs, and priorities. Among the mechanisms that might be employed to gather such information are (a) public hearings, (b) surveys, (c) meetings of community leaders and citizen's interest groups, [and] (d) meetings with [agency] employees…" (GFOA)

External scan: The external scan reviews information about events, trends, and relationships in an organization's external environment that impact how the agency conducts its business. This information may include, for example, recent legislative mandates that alter the agency's mission. Information from the external scan assists agency leadership in planning the organization's future course of action.

Internal scan: The internal scan is a process of reviewing the agency's resources, assets, and day-to-day operational structure, such as organizational climate or internal communications. Factors identified in the internal scan are more agency-specific than the broad, environmental factors identified in the external scan. This information must include employee feedback and may also include internal factors ranging from an assessment of appropriate resources to accomplish mission-critical tasks to the pending retirement of a significant portion of the agency's workforce.

An agency should also consider how future conditions may impact space, facility, and other capital investment needs. In turn, the physical condition, functionality and location of current facilities may impact how well services are being delivered. This process demonstrates the relationship between the agency's strengths and weaknesses and the challenges the agency must address to develop its course of action.

The team members participating in the environmental scan may come from any level of the organization; however, members of the agency's leadership must be present if the process is to be meaningful.

The team assembled to conduct the environmental scan will typically include individuals who:

- Have strong institutional knowledge
- Understand the agency's current mission, vision, strategic goals, and strategies
- Are knowledgeable of current issues and developments in the agency's field.

Typical information sources that may be used in the agency's environmental scan include:

- Governor's state strategic goals (see http://opb.georgia.gov/strategic-planning)
- New statutory, regulatory, and/or judicial mandates
- Governor's speeches and legislative initiatives
- Previous program results
- Customer feedback
- Employee feedback
- State and national legislative trends
- Workforce trends
- IT initiatives and needs

- Technology applications and trends
- Comparisons to similar functions in other states
- Economic indicators
- Demographic data analysis, including workforce
- Information from conferences
- Internet or library research
- Budgetary and staffing data
- Internal and external audits
- Performance trends as shown by statewide indicators
- Facilities/Space needs and physical and functional condition and capacity.

The Governor's Office of Planning and Budget (OPB), the Department of Administrative Services (DOAS), the Georgia Technology Authority (GTA), the agencies of the State Property Officer (SPO) and other enterprise-supporting agencies (ESAs) can provide valuable information and technical assistance that will help agency management in their planning process. Examples include:

Enterprise-Supporting Agencies (ESA): Agencies in state government whose primary purpose is supporting the business functions of state government and whose primary customers are state agencies.

OPB

- Population projections
- State demographics
- Census data
- General guidance on Governor's intent and focus

DOAS

- Analysis of national and state workforce trends
- Analysis of job classes/compensation
- Analysis of turnover/turnover trends
- Analysis of diversity (generational differences & demographic)
- Analysis of competencies
- Analysis of employee and customer satisfaction and call center statistics relevant to agency programs and services
- Assess enterprise procurement opportunities for statewide contracts

GTA

- Insight on emerging technologies
- Planned enterprise activities
- Successful uses of technology in state business processes

SPO

- Facilitate analysis of space utilization and appropriate use of facilities and space.

Identify Workforce Issues

Workforce planning is a systematic process for ensuring that the right people with the right competencies are in the right place at the right time. As part of the environmental scan, the agency should look at workforce trends and future business priorities. The first step in this process is the accumulation of data on the make-up of the workforce. Among the data included is information on diversity, turnover, learning needs, knowledge management strategy, and succession planning. Workforce planning uses these components to provide refined information on the changes to be anticipated; the competencies that retirements may take from the workforce; key positions that may need to be filled; and strategies to fill the gaps.

Agencies are no longer required to submit separate agency workforce plans. Rather, state personnel staff will use the agency strategic plans to supplement other state workforce data.

Identify Critical Issues and Challenges

"Once the environmental analysis has been completed, the next step is to use the resulting information to identify the most critical issues. Issue recognition should reflect stakeholder concerns, needs, and priorities as well as environmental factors affecting the community [and the clients the agency serves]." (GFOA)

The strategic plan process requires agencies to document in Horizon the critical issues or "challenges" facing the agency. These challenges are the foundation upon which the agency develops its strategic goals.

Identify Enterprise Opportunities, Obstacles or Issues

As part of the environmental scan process agencies may identify obstacles, opportunities or issues for which they have limited control or is a statewide or population issue where a collaborative approach is needed. Agencies are encouraged to identify and report enterprise obstacles and opportunities. The enterprise supporting agencies will then assess and aggregate the information provided and develop strategies to address the issues agencies identify. This will facilitate communication from outward facing agencies to the enterprise supporting agencies so the enterprise supporting agencies can better serve their customers. It will also highlight potential opportunities for improved collaboration.

Agree on a Small Number of Broad Goals

Goal: A result or outcome one is trying to achieve.

Goals should be focused on outcomes. The Governor has identified specific outcomes that he would like achieved during his administration. Additionally, agencies may identify other outcomes that are of specific importance to the agency. An agency should align its goals to one or more state goals, where appropriate, or the agency mission for agency priorities.

Goals should be customer focused (derived from internal and external customer data included in their environmental scan) and should address "the most critical issues facing the agency and its customers. It may be necessary to define priorities among goals to improve their usefulness in allocating resources." (GFOA) The agency should prioritize its goals and select the top three to five goals for the plan.

Develop Measurable Objectives

Measurable objective: "Specific, measurable results to be achieved." (GFOA)

For each goal, the agency should have measureable objectives that will be used to determine if the goal is being met. Objectives should not be another goal or strategy statement but a quantifiable measure or indicator. The agency tracks measureable objectives to help demonstrate performance improvements.

- Measurable objectives are stated as "X as of Date to Y by Date," where "X" is the baseline performance and "Y" is the target performance. Typically, the "by Date" is the last year of the four-year strategic planning cycle.
- Measureable objectives show how the customer will be better off.
- Measurable objectives are "SMART" (Specific, Measurable, Attainable, Relevant, Time-bound).

Identify, Develop, and Refine Strategies to Achieve Broad Goals

Strategy: A coherent set of actions that has a reasoned chance of working to improve results (How will agency achieve its goal? What will it do?).

The strategies are the things the agency will do to achieve its Measurable Objectives.

"Strategies relate to ways that the environment can be influenced (internal or external) to meet specific measurable objectives. There should be a relatively small number of specific strategies developed to help choose among services and activities to be emphasized. Use of flowcharts or strategy mapping is encouraged in the design of strategies. To optimize the success of these strategies, opportunities should be provided for input from those who will be affected." (GFOA)

For each strategy, the agency must consider the resources required and impacts on the organization. Questions include:

- What is the cost to implement? Are there ongoing maintenance costs? Will it require procurement?
- What are the benefits of implementation? … to the customer? …to the agency? …to the State?
- Will implementation of this strategy require a budget enhancement or will it be done with funds within the agency base?
- How will this strategy be funded (e.g., state, federal, grant funds, other)?
- Which budget programs are impacted?
- When will you do it? Are there any critical external deadlines?
- Who are the key partners?
- Who will do the work (workforce impact and resources required)?
- What are the technology implications and what IT projects (current, planned and proposed) support the strategy?
- What are the impacts on space and facilities? What additional capital asset investments are required?

Obtain Approval of the Plan

The agency senior leadership should have consensus on the content and direction of the agency strategic plan. The agency head must approve the document prior to submittal to OPB.

Reassess the Strategic Plan

The plan is a four-year plan. Progress on the agency strategic plan should be monitored regularly. Each spring the agency reevaluates its operating environment based on funding received and any legislative or policy changes impacting the agency in the past fiscal year. The agency then updates the agency strategic plan to reflect any internal or external factors affecting the plan. The agency should evaluate any relevant measures or other indicators to identify emerging issues. While the direction of the plan may not change significantly from year to year, the pace and priorities may be adjusted based on resources, changing mandates, and other constraints.

APPENDIX C: AGENCY STRATEGIC PLANNING HORIZON WORKSHEET

This worksheet contains all the fields in Horizon. Agencies should complete this worksheet before entering their plan data into Horizon. Using the worksheet will facilitate review, approval and data entry.

1.	Agency: *Select the agency name from the drop down menu.*
2.	Mission: *The mission explains the purpose of the organization and why the agency exists.*
3.	Vision: *The vision paints a picture of a desired future, one that is both challenging, yet possible to attain. It defines and provides an optimistic view of where the organization wants to be in the future.*
4.	Core Values: *Core values are those ideas and beliefs that really matter to the organization; the enduring tenants to guide the work of the organization.*
5.	Challenges: *Identify the key challenges facing your agency for this planning cycle. The challenges are the critical issues that result from the agency's environmental scan. Consider changes to federal and state laws; policies or mission changes; trends affecting services, workforce and technology; risks identified through audits or disaster planning; demographic trends; customer needs; budget allocations; workforce gaps; and other internal and external factors affecting operations and services.*
6.	Workforce Planning: *The Department of Administrative Services (DOAS) relies on workforce planning data from the agency strategic plans to develop the state's enterprise workforce plan.* Workforce Gaps: *What workforce gaps have you identified that may impede achievement of the agency mission or strategic goals? (Check all that apply.)* ( ) Skill levels/competencies ( ) Diversity/EEO gaps (age, race, gender, ADA) ( ) Staffing levels

	( ) Turnover/retirements ( ) None ( ) Other: [ ]
7.	Critical Positions: *Which critical positions and job families are most difficult to fill, develop and retain?*
8.	Workforce Strategies: *What strategies will you implement to ensure your workforce is equipped to carry out its mission and strategic goals? (Check all that apply.)* ( ) Employee development (e.g., training, mentoring, job shadowing) ( ) Succession planning ( ) Rewards and recognition (e.g., incentive pay, pay for performance, acknowledgement of accomplishments) ( ) Work-life Balance (e.g., telework, alternate work schedules) ( ) Recruitment ( ) Re-structuring programs or positions (e.g., consolidate or automate functions) ( ) None ( ) Other [ ]
9.	Annual BLLIP Updates *Georgia state agencies enter facility and real property information in a consolidated building data warehouse called Building, Land and Lease Inventory of Property (BLLIP). The State Properties Commission uses this data for facility and space planning. Therefore, it is important that agencies update the system data regularly.* *Indicate below whether the agency's facility manager has updated BLIPP for the current fiscal year. If not, please ask the agency facility manager to update the agency facility and space information at: https://www.realpropertiesgeorgia.org/bllip/Home.do;jsessionid=BECF0520851BECCE49599F7916CEA4A8.tomcat02f* ( ) Yes, agency updated BLLIP this fiscal year. ( ) No, BLIPP has not been updated. I have contacted the facility manager to request completion of the annual BLLIP update.
10.	Enterprise Ideas: *Agencies are encouraged to share ideas and solutions that would improve state services. List any ideas and suggestions for cost saving measures and efficiency improvements that can be implemented in your agency or across state government.*

11.	List of Documents Attached *Agencies are encouraged to attach supplemental information that will enhance or support the content of the strategic plan information in Horizon. For example, many agencies prepare formal strategic plan documents for their stakeholders and oversight boards. Other agencies may have performance reviews, program evaluations or other assessment tools that provide contect for their strategic goals.*
12.	Agency Goal: *A result or outcome one is trying to achieve. Typically, agencies have between 3 to 5 high-level goals in an agency strategic plan.*
13.	Measurable Objective (X as of Date to Y by Date): *Each goal is required to have at least one measurable objective to gauge the agency's success at achieving the strategic goal. Measurable objectives need to be "SMART" (Specific, Measurable, Attainable, Relevant, Time-bound). Measurable objectives are to be stated as from "X as of Date to Y by Date," where X is the baseline performance and Y is the performance you hope to achieve by the end of the four-year planning cycle.*
14.	State Policy Area/Goal: *Review the state strategic goals and identify up to two state strategic goals to which the agency strategic goal best aligns.*
	Agency Strategy/Initiative *(Complete this section for each strategy.)* *A strategy offers a coherent set of actions that has a reasoned chance of working to improve results. The strategy articulates what the agency will do to achieve the goal.*
1.	Strategy: *Succinctly describe what the agency will do to achieve the strategic goal. The strategy appears in the Executive Summary report for the agency strategic plan. Please be descriptive enough that readers can understand how the agency plans to achieve its stated goals. A strategy starts with a verb; a title is not sufficient.*
2.	Strategy Detail: *The strategy detail provides additional information about the strategy and is accessed by enterprise support agencies and Horizon users seeking more explanation about the strategy or initiative.*

3.	Anticipated Benefits (Check all that apply) *Select the appropriate response describing anticipated benefits of the strategy once implemented.* ( ) Improved or enhanced services ( ) Improved operations or efficiency ( ) Improved client outcomes ( ) Risk mitigation (security, public safety, disaster preparedness, address audit findings) ( ) Additional revenue/cost savings ( ) Improved employee morale/more qualified workforce ( ) None of the above
4.	Contact Information: *Please provide contact information for the person responsible for the success of this strategy. This is the person OPB and other enterprise support agencies would contact in the event of follow-up questions.* ☑ (Click here to populate fields from staff currently listed in the Horizon system) Name: Title/Position: Telephone: Email:
	Budget Implications *(Complete this section for each strategy.)*
5.	Budget Programs Affected *Which agency budgeted programs are impacted by this strategy?*
6.	*Estimate the costs of implementing this strategy. Indicate what is included in this estimate and whether procurement is needed. Once implemented, will the project have ongoing maintenance or operational costs?* Cost Estimate: What does this cost estimate include? Will there be ongoing annual operating or maintenance costs? ( ) No ( ) Yes

7.	Budget Impact: *Will implementation of this strategy be done with funds within the agency base, require a state budget enhancement or be paid from another funding source?* ( ) Base budget ( ) State funding enhancement (includes capital outlay requests) ( ) Other funding source (e.g., federal funds or grant) ( ) None
8.	Start Date: *When do you plan to start working on this strategy?* ( ) FY 2013 or prior ( ) FY 2014 ( ) FY 2015 ( ) FY 2016
9.	Critical Deadlines: *Are there any critical external deadlines related to this strategy? This may include statutory implementation dates or mandatory compliance deadlines.* ( ) No ( ) Yes. If yes, provide date and explain
10.	Key Agency Partners (Check all that apply.) *Identify the key partners needed for successful implementation of the strategy. These should be partners, rather than stakeholders. If you will need technical assistance from the support agencies for procurements, staffing or technology investments, please include the appropriate enterprise support agencies among your agency partners.* State Agencies ( ) Office of Planning and Budget ( ) Department of Administrative Services ( ) Georgia Technology Authority ( ) State Properties Commission ( ) *(select from Horizon menu via BudgetNet)* ( ) Federal agencies ( ) Local governments (i.e., city or county) ( ) Non-governmental or non-profit organizations ( ) Private sector

	Staffing Implications *(Complete this section for each strategy.)*
11.	Staffing Implications: (Select all that apply.) *A strategy has staffing implications if it affects the amount, composition or effectiveness of the workforce, or if its implementation would be made more successful through strategic workforce planning. Select the staffing implications related to the strategy.* ( ) Increases staffing levels by ____ contracted/state FTEs ( ) Decreases staffing levels by ____ contracted/state FTEs ( ) Re-structures program or positions ( ) Requires development of skill sets or competencies ( ) Requires targeted recruitment ( ) Other [ ] ( ) None *(If none, skip to IT Dependencies.)*
12.	Description of Staffing Implications: *Provide additional information explaining the staffing implications selected above.*
	IT Dependencies *(Complete this section for each strategy.)*
13.	IT Dependencies: (Select all that apply.) *A strategy is IT dependent if its success depends on a technology solution or IT support. The Georgia Technology Authority uses this information to plan for enterprise-wide technology needs and help agencies use technology more effectively. This information is instrumental in creating the Georgia Enterprise IT Strategic Plan. Please indicate whether this strategy is IT-dependent and if so, which of the following categories best describe how technology will be used.* ( ) Re-design business processes (i.e., re-engineer or automate processes) ( ) Improve customer access to online services ( ) Improve workforce mobility (i.e., remote access to agency applications) ( ) Expand the use of data for decision making (e.g., business intelligence, big data, decision support, etc.) ( ) Expand the ability to share data with other organizations ( ) Establish or expand network connectivity ( ) Improve agency business continuity or disaster recovery ( ) Other (please describe briefly): [ ] ( ) None *(If none, skip to Facilities or Space Implications.)*

	Facilities or Space Implications *(Complete this section for each strategy.)*
14.	Facilities or Space Implications *A strategy has facilities or space implications if it requires acquisition of additional property, relocates or reconfigures an office space or state facility, or if it would be made more successful through strategic facility planning. The State Property Commission uses this information to identify and plan for enterprise and agency space management and property acquisition needs.* ( ) Requires new construction, facility renovation or facility consolidation ( ) Increases or decreases office space or other facility ( ) Requires a land acquisition ( ) None *(If none, skip to Plan Submission.)*
15.	Description of space or facility request: *Describe the space or facility project in greater detail, including any requirements or specifications related to the project.*
16.	Number of People Affected: [ ] *Estimate the number of people (e.g., staff, students, visitors) affected by this space or facility request.*
17.	Space or Facility Location: *Identify the county or counties in which the affected space or facility will be located.* ( ) [ ] county ( ) [ ] county
	Plan Submission
18.	Review/Approval *Once submitted, agency plans are considered final and are posted to OPB's web site. OPB encourages agencies to proof content for spelling and readability prior to submission.* ☐ Agency management has approved strategic plan content for submission to OPB.

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APPENDIX D: HOW TO PREPARE A PERFORMANCE REPORT

OVERVIEW

As part of the state strategic planning framework, OPB tracks progress on the Governor's strategic priorities through agency performance reports. Regular reporting promotes accountability and helps state leadership track progress towards achievement of state and agency goals. Performance report information also provides agencies the opportunity to adjust course or revise strategies as needed to ensure achievement of state and agency goals.

REPORTING FREQUENCY

All agencies submit mid-year and year-end performance reports. The mid-year and year-end reports compile performance updates for all measureable objectives and strategies listed in the agency strategic plans. Additionally, certain agencies submit quarterly updates on select strategies that have been identified as most directly supporting the achievement of state goals.

ENTERING PERFORMANCE UPDATES INTO HORIZON

To submit a performance report into the Horizon system, an agency will log into Horizon and select "Enter Agency Performance Report" from the drop down menu. This displays the agency goals, measureable objectives and strategies. At midyear and year end, agencies provide current performance information for both measureable objectives and strategies. Quarterly reporting will be limited to select strategies only. Agencies enter the following data for their performance reports:

- For each measureable objective listed by agency goal, agencies enter:
  - Current performance, presenting performance data in a manner consistent with the X and Y values (e.g., if X and Y are integers, then current performance should be an integer as well).
- For each strategy listed, agencies enter:
  - Strategy status, selecting green, yellow, or red for active projects, and blue if the project is 100% completed or black if the project is closed and will no longer be pursued
  - Strategy status description, listing key milestones, challenges or accomplishments to date
  - Requests for assistance from the enterprise support agencies (e.g., OPB, GTA, SAO, DOAS, GBA).

Agencies may refer to the following link for additional assistance navigating the Horizon system: http://horizon.opb.state.ga.us/Documents/User%20Guide%20-%20Quarterly%20Status%20Updates.pdf

Due Dates

The agency performance report updates are due in Horizon on the following dates:

- Q1: Strategy Updates (Select Agencies Only) – Due October 17th
- Q2: Mid-Year Report (All Agencies) – Due December 31st
- Q3: Strategy Updates (Select Agencies Only) – Due April 17th
- Q4: Year-End Report (All Agencies) – Due July 31st

When is Quarterly Reporting Required?

OPB and the Governor's Office reviewed the agency strategic plans for alignment with the state plan and identified the strategies that most directly contribute to the achievement of the Governor's strategic goals for Georgia. These strategic priorities have been communicated to agencies, and the affected agencies have agreed to track these strategies quarterly. Additionally, OPB has flagged the strategies that require quarterly updates in Horizon.

When an agency enters its performance updates into Horizon a list of strategies is displayed. At midyear and year end, the agency will see its entire list of strategic plan strategies and measureable objectives and will provide a performance update for each. At the first and third quarter reporting periods, however, Horizon will only list those strategies for which quarterly updates are required. The agency will enter quarterly performance updates for the listed strategies only. If no strategies appear, then the agency does not report performance quarterly.

Indicators

OPB and the Governor's Office have asked select agencies to track state-level performance indicators. If an agency is responsible for reporting on state-level indicators, the agency will also provide quarterly or annual performance data for state indicators. Agencies do not enter state indicators in Horizon. Instead, agencies submit state indicator data via an automated email form, which OPB then compiles into a separate database.

APPENDIX E: STRATEGIC PLANNING EVALUATION WORKSHEET

Agency Name: [Subject] Plan Reviewed: FY 2014

Date: [ ]

Strategic Plan Evaluation	
Mission	✓
Is the mission statement specific to the agency?	✳
Does the mission statement reflect the agency's purpose, services, clients, and functions?	✳
Vision	
Is the vision statement specific to the agency?	✳
Is the vision statement consistent with the mission of the agency?	✳
Does the vision statement offer the employees a sense of purpose?	✳
Goals	
Is each goal specific to the agency and what it wants to accomplish?	✳
Does each goal directly contribute to the state goal(s) to which it is aligned?	✳
Do the agency goals collectively reflect the agency's top priorities to be completed?	✳
Measurable Objectives	
Does each measureable objective reflect achievement of the goal to which it is assigned?	✳
Is each measureable objective framed around a measureable, directionally specific, time bound, quantitative value with a baseline and a target? (X as of Date to Y at Date)	✳
Does each measureable objective include an identifiable outcome (rather than an activity)?	✳
Strategies	
Does each strategy directly contribute to the goal to which it is aligned?	✳
Does each strategy adequately describe the high level work to be done to achieve the agency goal?	✳
Does each strategy include a completed strategy detail that includes any budget, staffing, IT, and facility implications?	✳

Quarterly Update Evaluation	
Measurable Objective Updates	✓
Is the measure update a numerical value consistent with the measurable objective?	✳
Is the reported value in relation to the initial baseline?	✳
Does the reported value reflect YTD performance?	✳
Quarterly Status Updates	✓
Is each quarterly status description update strategy specific?	✳
Does color designation accurately reflect progress of each strategy?	✳

Strategic Plan Evaluation (Instructions)

MISSION STATEMENT:

The purpose of a mission statement is to briefly state the agency's overarching goals. The agency's mission statement should distinguish it from similar organizations and reflect the distinct competencies of the agency. It should be a complete sentence that is precise, clear, and provides a framework that can be used to align the agency's vision and goals.

Analysts will be evaluating agency mission statements for the following attributes:

1. Specificity to the agency and its core functions.
2. Descriptive of the services the agency provides.
3. Descriptive of the population the agency services.
4. Descriptive of the manner in which the agency provides their services.
5. Descriptive of the purpose for which the agency provides their services.

EXAMPLES:

Use: *The mission of the XYZ agency is to provide access to affordable, quality health care to Georgians through effective planning, purchasing, and oversight.*

Not: *To assist our customers by providing leadership, and reliable business services.*

VISION STATEMENT:

The purpose of a vision statement is to state an idealistic working status of the agency. The agency's vision statement should also be specific to the agency and describe the ideal model of the agency. In addition, the vision statement should be directly aligned with the mission statement. When read, the vision statement should provide employees with a sense of purpose that can serve to broadly guide decision making.

Analyst will be evaluating agency visions statements for the following attributes:

1. Specificity to the agency and its ideal image.
2. Alignment to the mission statement.
3. Provision of a sense of purpose to employees.

EXAMPLES:

Use: *The ABC agency will be recognized as the guiding force for innovative public policy and sound fiscal management.*

Not*:* *To be customer focused as we oversee agency finances.*

GOALS:

The purpose of a goal is to state the highest priority steps the agency needs to make in order to achieve its mission and reach its vision. Each of the agency's goals should be specific to the activities and core functions of the agency. All of the goals should be

consistent with the mission and vision statements and should collectively address each of the agency's top priorities. Agency goals will be aligned to one or two state goals and there must be a clear relationship between the agency goal and the state goal to which it is aligned.

The agency's goals should be few in number (three to five), high-level, and outcome oriented but not overly specific (no targets). Analysts will be evaluating agency goals for the following attributes:

1. Specificity to agency's activities and core functions.
2. Alignment to their respective state goals.
3. Reflection of the agency's top priorities.

EXAMPLES:

Use: *Improve the customer experience for licensing applicants.*

Not: *Improve customer service.*

MEASURABLE OBJECTIVES:

The purpose of a measurable objective is to objectively display achievement towards the goal to which it is aligned. Each of the measureable objectives should directly relate to their respective goals and be a reflection of the attainment of that goal. Measurable objectives should be specific, measurable, attainable, relevant, and time bound.

In addition, measurable objectives should be framed in the **X as of Date to Y by Date** format, where X is the initial baseline set at the time the measurable objective is created, Y is the target or desired outcome (not activity), and the date is a static date that does not change from year to year.

Any measurable objectives containing past dates need to be met, revised, or deleted. Analysts will be evaluating measurable objectives for the following attributes:

1. Alignment to their respective agency goals.
2. Consistency with the X as of Date to Y by Date format.
3. Description of an identifiable outcome.

EXAMPLES:

Use: *Decrease call hold times from 20 minutes in 2014 to 5 minutes in 2016, based on monthly average.*

Increase customer satisfaction scores from 65% satisfied in 2013 to 80% in satisfied in 2016, using annual survey.

Not: *Decrease call hold times by 75%.*

Increase number of customers surveyed from 75% to 95%.

STRATEGIES:

The purpose of a strategy is to more specifically state the necessary action steps needed in order to achieve the goal. Each of the agency's strategies should be directly contribute to the achievement of the agency goals to which they are aligned. Agency strategies should describe the high level work an agency will do in order to make progress on the agency goal and achieve the measurable objectives.

Analyst will be evaluating measurable objectives for the following attributes:

1. Alignment and contribution to their respective agency goals.
2. High-level in nature and descriptive.
3. Inclusive of a completed detail describing budget, staffing, IT, and facility implications.
4. Is not phrased as a title; contains an action verb.

EXAMPLES:

Use: *Enhance website self-service options.*

Implement interactive voice recognition (IVR) technology.

Develop internal communication plan for complaint resolution.

Not: *Decrease call hold times.*

Use technology to answer more calls.

Complaint resolution.

APPENDIX F: GLOSSARY OF TERMS

4 DISCIPLINES OF EXECUTION (4DX)	A management tool to implement a strategy or initiative. This methodology is taught by Franklin Covey and the Georgia Leadership Institute.
AGENCY PROJECT REQUEST (APR)	A form developed by GTA for agencies to explain and justify IT projects that cost over $100,000.
AGENCY STRATEGIC PLAN	A document developed by the agency that aligns with the state strategic plan and communicates how the agency will improve services and outcomes over the next four years.
ANNUAL OPERATING BUDGET (AOB)	Based on the appropriations act, a financial plan for annual expenditures by agency, program and fund source. The plan details a level of expenditure by program object class, and fund source for a given fiscal year and must be approved by OPB before taking effect. Once an AOB has been approved, it becomes the agency's financial plan for the fiscal year and governs expenditures.
AGENCY PROGRESS REPORT	A bi-annual report that explains what the agency is working on from its agency strategic plan and helps state leadership monitor progress and measure achievement of state goals.
BALANCED SCORECARD	A strategic planning approach developed by Robert S. Kaplan and David P. Norton that focuses strategic planning in four perspectives: Fiduciary, Customer, Internal Processes, and Organizational Learning and Growth.
BALDRIGE AWARD	A quality improvement award given by the federal government. Organizations that apply and are judged to be outstanding in seven areas: leadership; strategic planning; customer and market focus; measurement, analysis, and knowledge management; human resource focus; process management; and results.
BUDGET PROGRAM	A unit of funding within the agency as defined each year by the appropriations bill and may include one or more related services, each of which consists of one or more activities. Non-activity based programs may be created in order to provide tracking information for specific budgetary concerns. A budget program is the unit of tracking, analysis and budget control.

CAPITAL ASSET	Real or personal property that has a value equal to or greater than the capitalization threshold for the particular asset classification (land, buildings, equipment, etc.) and has an estimated life of greater than one year.
COMPETENCY	An attribute, knowledge, skill, ability or other characteristic that contributes to successful job performance.
CONTRACTED EMPLOYEE	A person or company engaged to complete a specific project and/or perform a defined service, for the purpose of indicating staffing implications related to the agency strategic planning process.
COST MAGNITUDE	The cost estimate in thousands of dollars that the strategy may cost; both start-up and ongoing costs are required to be reported. The cost varies and gets more refined the closer the project is to its start date.
CUSTOMER	The person or organization that benefits from program or agency service delivery. A client is a customer.
ENHANCEMENT	Funding for services that are above the continuation budget level.
ENTERPRISE	Georgia state government.
ENTERPRISE-SUPPORTING AGENCIES (ESAS)	Agencies in state government whose primary purpose is supporting the business functions of state government and whose primary customers are state agencies. ESAs include OPB, GTA, SPC, SAO, DOAS, GSFIC, GBA, and OTFS.
ENVIRONMENTAL SCAN	A thorough analysis of the organization's internal and external environment and relevant trends. A SWOT (strengths, weaknesses, opportunities, threats) analysis is a common type of environmental scan.
GOAL	A result or outcome one is trying to achieve.
HORIZON	An integrated state strategic planning database used to collect and report standard data from the agency strategic plan.
INITIATIVE	See strategy.
LAG INDICATOR	Outcome measures that indicate achievement of a goal.

LEADING INDICATOR	A measure that has a significant effect on future performance; measures something that leads to the goal. Something we can influence. Predictive.
MEASURABLE OBJECTIVE	Measures goal attainment and are specific, measurable, attainable, relevant, time bound – X as of Date to Y by Date.
MILESTONE	A series of intermediary deliverables that is critical to complete a project successfully.
MISSION	The purpose of the organization; why the agency exists.
OUTCOME MEASURE	A measure that answers the question: "Is anyone better off?"
OPERATIONS	The ongoing activities and services of an organization.
PARTNER	A state agency or organization that has a critical role in implementing an agency strategy.
POLICY AREA	The state has six policy areas: Educated, Mobile, Growing, Healthy, Safe, and Responsible and Efficient Government.
POLICY COLLABORATIVE	A collection of state agencies that have a common policy purpose. Policy collaboratives are organized around the Governor's six policy areas. Sometime referred to as "policy clusters."
POPULATION	A group of customers that an agency(s) serves.
PROJECT	An effort with a defined cost and limited timeframe. A strategy may have multiple projects.
RESULTS-BASED ACCOUNTABILITY	A strategic planning process that is focused on improving results by focusing attention on outcomes and what individuals at any level within an organization, partnership or collaboration can do to produce measurable results for clients and communities.
STAKEHOLDER	A person or organization that has a significant interest in the performance of a program, agency or service system.

STATE EMPLOYEE	For the purpose of indicating staffing implications related to the agency strategic planning process, a person who performs work, on a part-time, full-time or temporary basis, under the direction and control of an agency, in an authorized position.
STATE STRATEGIC GOAL	A goal that is included in the state strategic plan and organized by policy area.
STATEWIDE INDICATOR	An outcome or result measure that is related to goals in the state strategic plan and shown as a trend line.
STRATEGIC PLANNING	The process through which a preferred future direction and organizational mission are established and periodically updated in light of changing trends and issues and goals, objectives, and strategies. Strategic plans are adopted and implemented to guide an organization toward that preferred future direction (OCGA 45-12-71 (14)).
STRATEGY	A coherent set of actions that have a reasonable chance of working to improve results (What will you do?).
TREND LINE	A visual display of the history and forecasts of a measure or indicator.
VISION	A picture of a desired future, one that is both challenging, yet possible to attain. Defines where the organization wants to be in the future. It reflects the optimistic view of the organization's future.

APPENDIX G: STATE STRATEGIC PLANNING ELEMENTS

State Strategic Plan

- Covers minimum 5-year time span
- Defines Governor's strategic goals for each of the six policy areas

Agency Strategic Plan

- Mission
- Vision
- Core Values
- Challenges
- Enterprise Issues, Barriers, Opportunities
- Goals
  - Alignment to State Goal
  - Measurable Objectives
  - Strategies

- Covers 4-year time span, updated annually
- Supports state goals
- Focuses on strategic activities and areas for improvement
- Includes resource planning for budget, IT, staffing, facilities
- Integrates strategic planning requirements for enterprise support agencies

Agency Performance Report

- Strategy Status Update
- Measureable Objective Performance

- Measures achievement of state and agency goals
- Reports progress on agency strategies
- Mid-year and year-end reporting for all agencies
- Quarterly status updates for select agency strategies