PLAN REVIEW and PRIORITY RANKING

- ☐ **What strategic initiatives should the Court accomplish?**

- ☐ **When should these initiatives occur?**
  - ■ **1 yr (2009)**
  - ■ **2 yr (2010)**
  - ■ **3 yr (2011)**
  - ■ **4 yr (2012)**
  - ■ **Long-Term**

- ☐ **How do the strategic initiatives link to the State's initiatives?**

State Strategic Planning Guidelines

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LETTER TO AGENCY LEADERS

February 5, 2008

Dear Colleagues:

Governor Sonny Perdue is committed to achieving results for Georgians and changing the culture of state government to be value-driven, customer-focused, and results-oriented. Continuing our work to transform how the state manages its business requires focus on specific goals, new ways of addressing long-standing issues, and strengthening partnerships. In short, we must change the way we do business.

Georgia's government must have an enterprise approach and be focused on improving the public value of the services we provide. We must plan for the future, and consider the long-term implications of policy and budget decisions. The work from this strategic planning approach will help us in our continued effort to be good stewards of the state resources. It will require coordination among agencies that serve the same customer. And it will require coordination among all the support functions (e.g., Budget, HR, IT, Facilities, Planning) both within an agency and within the state.

With our aspirations for continually better results and greater public value, the state strategic plan sets forth a road map to target areas where state government can improve and where we as a state can rally to bring about better results. As state agencies execute plans and strategies that align to the state strategic goals, we hope to see our collective efforts as even more effective than our individual efforts.

To achieve results for Georgians, we must continually enhance our efforts to innovate, plan, and execute. These state strategic planning guidelines are a tool we will all use to focus our efforts, measure our progress, and hold ourselves accountable. Aligning our resources and taking a strategic approach is the best way to achieve results for Georgians.

Sincerely,

Trey Childress
Governor's Office of Planning and Budget, Director

1.0 AUTHOR'S NOTE

Under the direction of the Governor and the OPB director, a State Strategic Planning Steering Committee comprised of representatives from various agencies was organized to develop a state strategic plan and a new integrated strategic planning process. This set of agency guidelines is the result of this collaborative work. The new state strategic planning framework satisfies the statewide strategic planning needs of the Governor's Office of Planning and Budget (OPB), Georgia Technology Authority (GTA), State Personnel Administration (SPA), Office of Customer Service (OCS) and the State Property Officer (SPO).

These guidelines replace the Strategic Planning Guidelines issued by OPB in August 2004.

State Strategic Planning Steering Committee

Trey Childress, Chair	Joe Doyle, OCS
Jim Lientz, COO	Sid Johnson, CNG
Tommy Hills, CFO	Brad Douglas, DOAS
Hannah Heck, Governor's Office	Lynn Vellinga, SAO
Patrick Moore, GTA	Chris Clark, GEFA
Steve Stevenson, SPA	B.J. Walker, DHR
Kevin Clark, SPO	Shelley Nickel, Board of Regents

Strategic Planning Coordinating Team

Governor's Office of Planning and Budget (OPB)
- Elaine DeCostanzo
- Debbie Dlugolenski
- Ron Nawrocki
- Brenda Purcell
- Craig Southern
- David Tanner

Georgia Technology Authority (GTA)
- David Hightower
- Robert MacFarland
- Charlie Sasser

State Personnel Administration (SPA)
- Lee Rudd
- Frank Heiny

State Property Officer (SPO)
- Chris Tomlinson — Georgia State Finance and Investment Commission (GSFIC)
- Frank Smith — State Properties Commission (SPC)
- JoAnn Chance — Georgia Building Authority (GBA)

<u>Office of Customer Service (OCS)</u>
- Carol Veihmeyer

<u>Commission for New Georgia (CNG)</u>
- Jeff Strane

<u>Department of Administrative Services (DOAS)</u>
- Charles Petty

<u>State Accounting Office (SAO)</u>
- Jarnice Anderson

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Workforce Planning	Bill Folsom	SPA	404-657-2841
Capital Construction	Ron Nawrocki	OPB	404-656-3820
Space Planning	Frank Smith	SPC	404-656-5602
Training Request	Craig Southern	OPB	404-656-3820

State of Georgia

Strategic Planning Framework

State Strategic Plan

- Covers 4- to 5-year time span
- Defines Governor's strategic goals for each of the five policy areas
- Statewide indicators for each goal

Agency Strategic Plan

- Mission
- Vision
- Core Values
- Enterprise Issues, Barriers, Opportunities
- Goals
  - Alignment to State Goal
  - Measurable Objectives and other measures
  - Strategies
    - Financial Impact
    - Staff Impact
    - IT Impact
    - Facilities/ Space Impact
    - Benefit to Customers

- Covers 3- to 4-year time span
- Agency goals align to state strategic goals
- Includes a description of what will be done to achieve the goal
- Includes a high-level assessment of the resources impacted or necessary to implement the strategies
- Integrates strategic planning requirements from OPB, GTA, SPA, SPC, and OCS

Annual Strategic Work Plan

- Strategy
  - Goal(s) aligned to
  - Description
  - Measurable Objective
  - Cost by Program
  - Staff Impact
  - IT Impact
  - Facilities/ Space Impact
  - Measures that will be used to demonstrate benefit to customers or employees
  - Key Partners and their roles
  - Project Milestones

- Covers 1-year time span
- Includes a description of what will be done to implement a given strategy from the agency strategic plan
- Specifically addresses the specific performance improvements the agency aims to achieve over the next fiscal year
- Proposed version due with the budget request
- Final version due with the AOB

2.0 WHAT'S NEW?

BACKGROUND

OPB published the last version of strategic planning guidelines in 2004. Since then, many other management tools have been employed to administer public resources and evaluate program performance including:

- Balanced Scorecards
- Four Disciplines of Execution and Wildly Important Goals (WIGS) by the Georgia Leadership Institute and FranklinCovey
- Customer service plans
- IT planning processes
- Program-based performance measurement
- Program Budgeting
- Workforce Planning

The state is moving in the right direction, but it is time to focus these efforts toward a uniform approach to strategic management. The Results for Georgians project was created to align these various management initiatives into a deliberate and encompassing strategic planning process that provides decision-makers the information necessary to make better informed investment decisions and provide Georgians with tangible results.

The Results for Georgians project had two initial deliverables:
1. Develop a state strategic plan and state planning process
2. Integrate the agency strategic planning processes

The new strategic planning process incorporates these deliverables and addresses gaps between our current budget and planning process and best practices.

STATE STRATEGIC PLAN

The state strategic plan outlines goals and statewide indicators for each of the Governor's five policy areas. Ultimately, the state strategic plan should steer the development of agency strategic plans. Agencies will be asked to come together and develop common initiatives that will "move the needle" on statewide indicators. Strategic investments proposed during the budget process will be evaluated against the state goals and indicators.

INTEGRATED PLANNING PROCESS

This new strategic planning process and accompanying agency guidelines streamlines and consolidates multiple planning processes.

The new integrated state strategic planning requirements satisfy the statewide strategic planning needs of the:
- Governor's Office of Planning and Budget (OPB)
- Georgia Technology Authority (GTA)
- State Personnel Administration (SPA)
- Office of Customer Service (OCS) and
- State Property Officer (SPO)

Agencies will no longer submit separate strategic plans to various agencies. The need for a separate agency IT strategic plan and customer service plan is eliminated. Strategic planning information will be collected once and then used by multiple agencies to do statewide planning. A new centralized web-based system called "HORIZON" is being developed to collect agency strategic planning information. Training on HORIZON will be available the last week of March 2008.

NEW EMPHASIS ON COORDINATED PLANNING

These strategic planning guidelines place new emphasis on coordinated planning among the support functions within an agency and across the state. As part of the agency strategic plan, agencies will be asked to 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 will find it necessary to coordinate with the budget, human resource, information technology, and facility staff as part of the new 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.
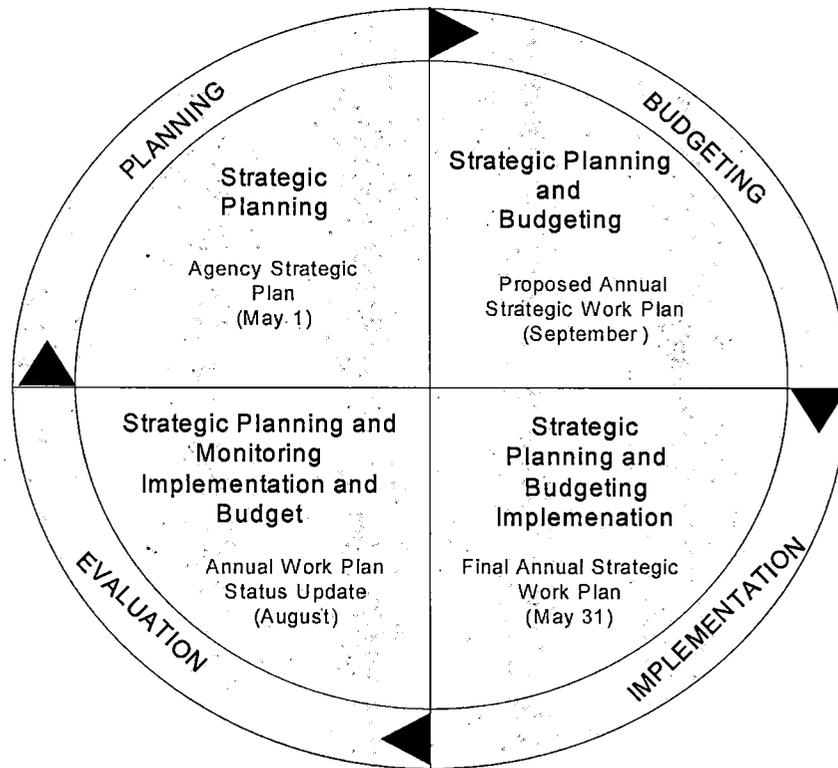
STRATEGIC PLANS WILL INFORM THE BUDGET PROCESS

A strategic plan is a document that communicates an agency's vision, goals, strategies and direction to its employees, customers and partners. The strategic plan is used in all phases of the budget cycle. As shown in the figure above the strategic plan establishes a road map for the agency on the strategic activities that the agency wants to do new or different in the next three years. The strategic investments in the agency's budget are guided by the agency's strategic plan. The initiatives from the agency strategic plan are assessed to see if they are achieving the results anticipated.

The Governor, the CFO, the COO, and OPB will use the agency strategic plan to assess (1) how the agency is contributing to meeting the state's strategic goals and (2) 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 to distinguish the strategic investments from the requests to maintain operations.

# NEW DUE DATES SYNCHRONIZED WITH THE BUDGET PROCESS

The state strategic planning process and timeline is designed to support the budget process and other statewide planning and performance management efforts. For the agency strategic plan to inform the budget process the due dates for the strategic planning information have changed.

The following are the key dates related to strategic planning:

Document	Due Date
Agency Strategic Plans (3-year time horizon) **[FY 2009 – FY 2011]** It is a 3-year plan that is reassessed annually.	May 1
Annual Strategic Work Plans (12-month plan) **[FY 2009]** The strategic implementation plan for the fiscal year that starts July 1.	May 31
Annual Operating Budget (AOB) **[FY 2009]** Agency budget for the fiscal year that starts July 1.	May 31
Strategic Work Plan Year-End Update **[FY 2009 – Due August 2009]** Provide an update. What is the status of the work outlined in the annual strategic work plan submitted at the beginning of the fiscal year?	August 15
Agency Budget Request **[FY 2010]** Proposed version of an annual strategic work plan that explains the strategies/initiatives that would be implemented in the future fiscal year.	September 1
Agency Program Budget Performance Measures **[For fiscal year that just ended - FY 2008]** Report at least two performance measures per program.	September 1

3.0 FOCUS ON THE STRATEGIC ACTIVITIES

The agency strategic plan focuses on specific strategies and initiatives that will improve services and outcomes for the agency's customers. A clear distinction must be made between ongoing operations and strategy. The FranklinCovey organization has coined the term "whirlwind" to describe the work done every day to keep things 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.
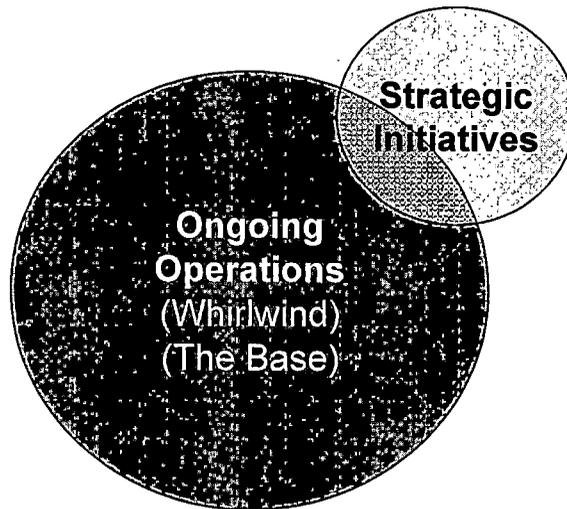
> "An organization's top goals...have to do with what is ultimately more important and often lack the feel of urgency. You have to carve out time for the top goals or they don't happen. Urgency almost always trumps importance."[2]

These 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 (AOB), budget program performance measures, and agency project requests (APR) focus on the management and resource planning related to agency operations.

4.0 STATUTORY AUTHORITY

The Budget Accountability and Planning Act of 1993 established a comprehensive strategic planning process for state government. The table below lists the strategic planning requirements in state government and identifies the lead agencies that are responsible for statewide planning.

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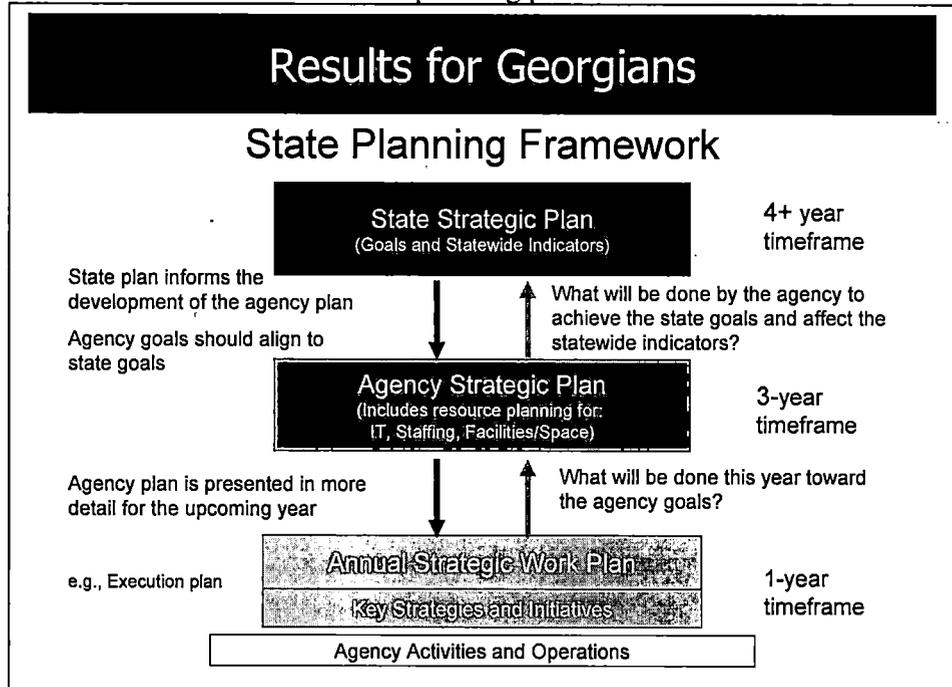[2] Execution Essentials, p. 4

Excerpts from the Official Code of Georgia related to strategic planning are available in appendix E of this document.

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

5.0 STATE PLANNING FRAMEWORK

Achieving results for Georgians is the purpose of strategic planning. Results come by having a clear line-of-sight between state goals, agency goals, and annual work plans. Just as alignment between state and agency priorities is important, alignment within an agency between program managers, information technology, facilities, and the human resources is just as critical. The new state strategic planning framework emphasizes vertical alignment between state and agency plans and horizontal alignment within an agency and between agencies in a policy area.

The basic framework of the state planning process is as follows:

Results for Georgians

State Planning Framework

State Strategic Plan
(Goals and Statewide Indicators)

4+ year timeframe

State plan informs the development of the agency plan

Agency goals should align to state goals

What will be done by the agency to achieve the state goals and affect the statewide indicators?

Agency Strategic Plan
(Includes resource planning for: IT, Staffing, Facilities/Space)

3-year timeframe

Agency plan is presented in more detail for the upcoming year

What will be done this year toward the agency goals?

e.g., Execution plan

Annual Strategic Work Plan

Key Strategies and Initiatives

1-year timeframe

Agency Activities and Operations

STATE STRATEGIC PLAN

State goals are organized into five policy areas: Educated, Healthy, Safe, Growing, and Best Managed. The state strategic plan outlines broad goals for each of these five policy areas. For each goal, a series of statewide indicators are highlighted. The latest version of the state goals is provided in Appendix A. Agencies should align their agency goals to the goals in the state strategic plan. See the section "Aligning to State Strategic Plan" later in this document for more information on how the state strategic plan will be used.

AGENCY STRATEGIC PLAN

By law, each state agency is required to have a strategic plan. The agency strategic plan is, at a minimum, a three-year plan and must align to the state strategic plan. Agencies may choose a strategic planning model that works best for the agency (e.g., Balanced Score Card, Baldridge, Result-Based Accountability, traditional approach, etc). The agency strategic plan explains what the agency is focusing on to affect statewide indicators by improving services, operational efficiencies, and customer experience. The agency strategic plan also includes a high-level assessment of the resources needed to implement the agency's strategies.

ANNUAL STRATEGIC WORK PLAN

The annual strategic work plan provides the details about the strategies from the agency strategic plan that will be worked on during the next 12 months. This plan should explain the relationship between the state strategic plan and the agency strategic plan and what is being implemented that year.

A proposed version of the annual strategic work plan is to be submitted in September with the agency budget request. Major investments requested in the budget request should be explained within the context of the agency strategic plan.

6.0 ACHIEVING THE GOALS OF THE STATE STRATEGIC PLAN

STATE GOALS AND STATEWIDE INDICATORS

The state strategic plan is organized into the five policy areas identified by Governor Sonny Perdue: Educated, Healthy, Safe, Growing, and Best Managed. Under each policy area are goals to give more focus and vision for the state.

<u>Policy Area</u>	<u>State Goal</u>

Educated
- Improve student achievement
- Enhance the quality of the education workforce
- Improve workforce readiness skills

Healthy
- Encourage healthy lifestyles through preventive care, disease management and early intervention
- Improve access to quality health care at an affordable cost
- Promote the most productive and independent lifestyle possible for Georgia's vulnerable citizens
- Efficiently and effectively deliver health care programs

Safe
- Promote safe communities and stable families where children can thrive
- Provide a safe environment where Georgians live, work and play
- Provide a safe and secure state by effectively managing and rehabilitating offenders
- Promote homeland security and emergency preparedness for natural and man-made disasters or acts of terrorism
- Reduce loss of life and injury on Georgia's roads

Growing
- Increase quality jobs and promote innovation and investment in Georgia
- Expand the economic impact of tourism and recreation throughout the state
- Improve mobility of people and goods within and through the state and metro Atlanta area
- Improve overall environmental quality and conservation practices

Best Managed

- Employ an enterprise approach and best practices in Georgia's financial management
- Deliver state services faster, friendlier, and easier
- Strategically manage the state's infrastructure and be stewards of the state's assets
- Provide an attractive place to work and build a career in state government
- Improve decision maker's access to quality enterprise information through integrated enterprise systems

For each goal a number of statewide indicators are being developed. Each statewide indicator will be displayed as a trend line. The trend lines tend to be "population" level trends meaning that no one program or state agency or even state government in most cases has *complete* control over the outcomes being tracked. However, state programs and services can have a significant influence on the population outcomes being sought. Agencies should consider any leading indicators or contributing factors related to the statewide indicators, that they can influence.

COLLABORATIONS AND PARTNERSHIPS

To achieve results for Georgians, agencies must work together to improve performance on statewide indicators. Statewide indicator trend lines show past results and the potential future direction. Through collaborations, partnerships, law changes, policy changes, and strategic investments, we can change problematic trends.

Put another way, working together is the best way to turn the performance curve. Alignment of agency strategies and measures to affect the statewide indicators is how we can achieve results for Georgians.

GOVERNANCE

GOVERNOR

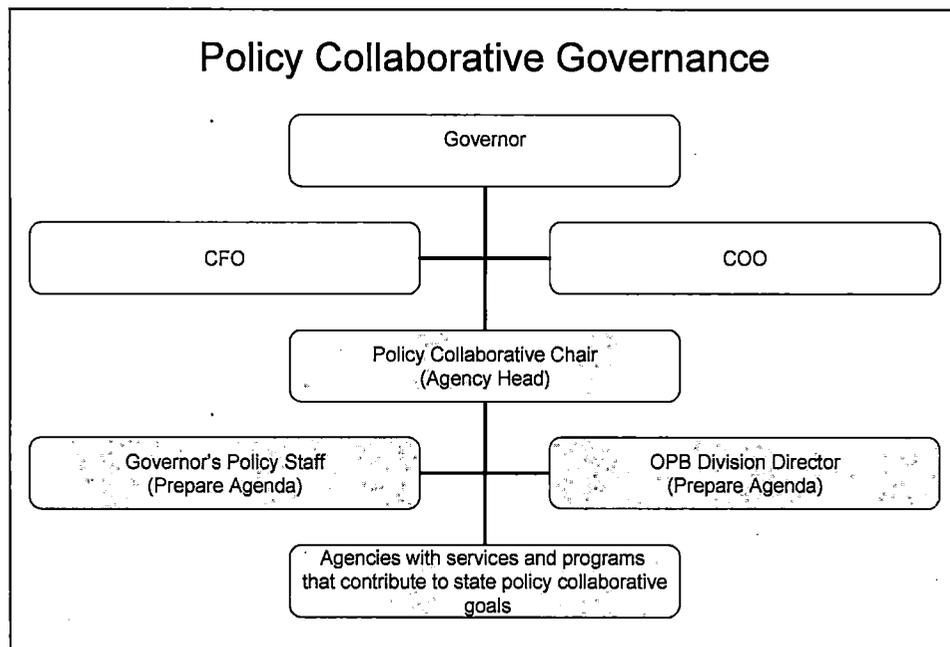The Governor oversees and directs the strategic work and investments of the state.

CHIEF FINANCIAL OFFICER (CFO) AND CHIEF OPERATING OFFICER (COO)

The CFO and COO provide leadership to policy collaboratives. Agency heads that report to the CFO and COO will be accountable for how their agencies are contributing to state goals as part of their annual reviews. Policy collaborative chairs report quarterly to the CFO and COO on progress being

made on the goals within their responsibility. Accountability efforts may also include quarterly meetings between the CFO and COO and the individual agency heads where progress on agency and state strategies would be discussed.

POLICY COLLABORATIVES

As part of the state strategic planning process the role of the current policy collaborative groups will be enhanced. Policy collaboratives are comprised of agency leaders who are organized around the Educated, Healthy, Safe, Growing, and Best Managed policy areas. Each policy collaborative is chaired by an agency head. A given agency may be part of more than one collaborative because they provide services that impact more than one state goal in more than one policy area. The role of the policy collaboratives will now center on the state strategic efforts, partnerships, and common strategies to make a positive impact on results for Georgians as measured by the statewide indicators.

Policy Collaborative Governance

Governor

CFO

COO

Policy Collaborative Chair
(Agency Head)

Governor's Policy Staff
(Prepare Agenda)

OPB Division Director
(Prepare Agenda)

Agencies with services and programs
that contribute to state policy collaborative
goals

GOVERNOR'S POLICY STAFF

Each individual on the Governor's policy staff is assigned to work as a staff lead with one of the policy collaboratives. The policy staff in partnership with the OPB division director helps set the meeting agenda, follows up on assignments, and is a liaison with the Governor on the designated policy area. The policy staff may broker or negotiate conflicts that may arise between agencies or programs.

GOVERNOR'S OFFICE OF PLANNING AND BUDGET (OPB)

Each policy area is assigned to an OPB Division Director or senior analyst. The OPB division director in partnership with the Governor's policy staff guides the work of the policy collaborative. The division director may broker partnerships or negotiate conflicts that may arise between agencies or programs. OPB staff may provide assistance in facilitating discussions and developing joint initiatives.

> *OCGA 45-12-73 (10) In an effort to improve responsiveness of government and the effective and efficient delivery of services, [OPB shall] provide leadership in initiating, organizing, and operating partnerships and collaborations among public and private entities having common or overlapping missions, purposes, roles, responsibilities, clients, or other similar relationships;*

THE STRATEGIC WORK OF THE POLICY COLLABORATIVES

Meetings of the policy collaboratives will center on agency efforts to improve performance on the statewide indicators. Members of the work group should think outside their agency boundaries and focus on the common customers they serve and the outcomes they can best achieve by working together.

In policy collaborative meetings agency representatives will assess the trend lines related to the state strategic goals. The work group will consider questions such as:[3]

- Where is the trend headed?
- What is the story behind the trend line? What additional research is needed to understand the root causes and contributing factors?
- Who are the partners with a role to play to address the issues?
- What would work best to turn the curve of this statewide indicator?
  - What are the no or low cost options?
  - Are there any "off the wall" ideas?
  - What law, policy or budget changes should be recommended?

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[3] Trying Hard is Not Good Enough, by Mark Friedman, p.47.
http://www.resultsaccountability.com/

**State Strategic Planning
Policy Collaborative Governance**

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                    ┌──────────────┐
                    │    Chair     │
                    │ (Agency Head)│
                    └──────────────┘
   ┌──────────────────┐      ┌──────────────────┐
   │ Governor's Policy│──────│   OPB Division   │
   │      Staff       │      │     Director     │
   └──────────────────┘      └──────────────────┘
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                    │    Agency    │
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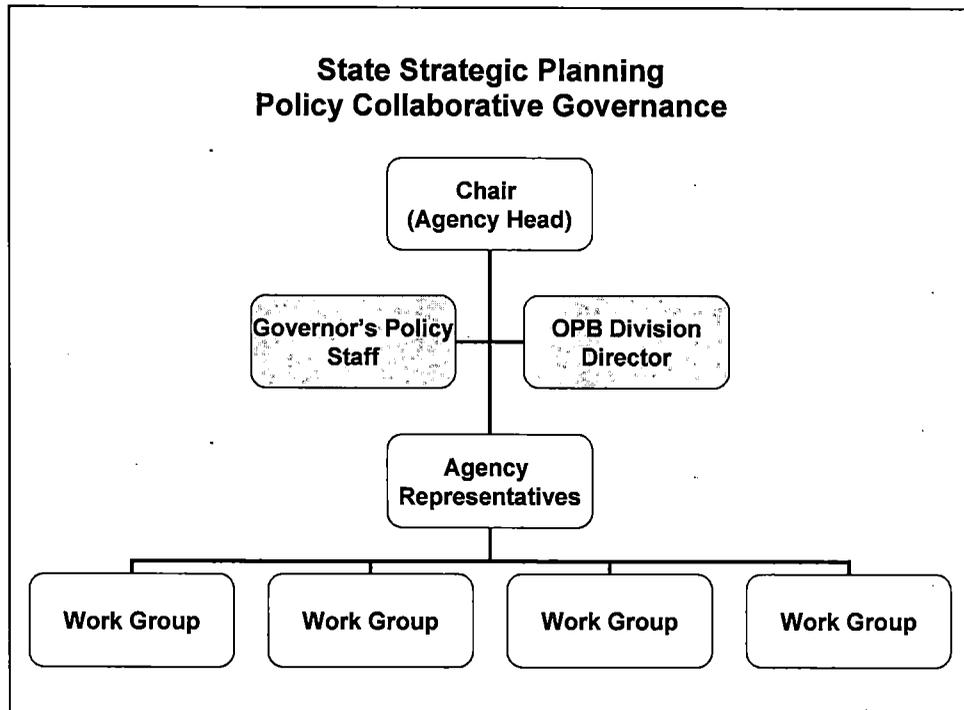
The policy collaborative will then develop an action plan and track performance related to the state indicators. Joint initiatives (e.g., budget requests, legislative packages), are expected to come from this process. Each agency's role and contribution to improving performance should be documented and then reflected in the agency's strategic plan. The strategies the agency identifies that are aimed at improving a given statewide indicator should be coordinated with the strategies in partner agencies who are working toward the same outcome.

Strategies of the policy collaboratives can be communicated to the CFO, COO and OPB through a common document, but should also be reflected in the individual agency strategic plans and agency annual implementation plans.

HOW WILL THE STATE STRATEGIC PLAN BE USED

AGENCY HEAD PERFORMANCE EVALUATION

Agency head annual performance evaluations by the Chief Operating Officer (COO) and Chief Financial Officer (CFO) will be based on the agency's contribution to achieving state goals and more specifically the agency's accomplishment of goals within its strategic plan.

STATE STRATEGIC PERFORMANCE SCOREBOARD

The establishment of state goals and statewide indicators provides the necessary architecture for the development of a state strategic performance scoreboard. Over the next several months, OPB, the Governor's policy staff and the policy collaboratives will refine the statewide indicators for each state goal. The statewide indicators identified in the state plan will likely evolve as the state's performance management process matures. OPB will work with state and federal agencies and other partners to update and maintain the statewide indicators and provide regular reports on state progress.

CONTEXT FOR STRATEGIC INVESTMENTS

Governor Perdue has stated that policy must drive budget decisions. To bring about results for Georgians the resources of the state must be marshaled and focused on what state government can best accomplish or affect. OPB and the Governor's office will use the state strategic plan as a way of evaluating the merits of agency budget requests and agency legislative proposals. With finite resources, the state strategic plan will be used to prioritize and justify investments. Requests for funds should demonstrate how the funding with its companion strategy will help contribute to a performance improvement as measured by the statewide indicators.

SERVICE IMPROVEMENTS FOR OUR CUSTOMERS

Ultimately, the state plan will focus the state's strategic efforts to improve state services to our customers in all five policy areas. Specifically, the Office of Customer Service (OCS) will work with agencies that have strategies that align to the state goal of customer service improvement and offer planning, consultation, and customer service improvement support.

7.0 AGENCY STRATEGIC PLAN

Each state agency is required by law to have a strategic plan. The agency strategic plan is a three-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, Baldridge, Results-Based Accountability, traditional approach, etc).

The agency strategic plan is limited in scope. It should not cover everything the agency has to do in the next three years from an operational stand point. Rather, the strategic plan is focused on a limited number of goals and related strategies that the agency will work on to improve services and customer experiences. Ideally, the agency strategic plan highlights what the agency will do that is new or different that will ultimately influence a statewide indicator.

A general guide to developing an agency strategic plan is provided in Appendix B. Regardless of the strategic planning model used, specific standard content is to be reported to OPB. The content provided meets the strategic planning requirements of OPB, GTA, SPA, SPO and OCS.

STRATEGIC PLANNING CONTENT TO BE REPORTED

The statewide planning agencies (OPB, GTA, SPA, SPO, and OCS) require the reporting of common strategic planning information. Agencies will enter the common strategic planning information in a new web-based system called HORIZON by May 1, 2008.

HORIZON will be opened for data entry the first week of April 2008. 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.

Not all information that comes from a quality planning process is required for statewide planning purposes. On a case-by-case basis one of the planning agencies may request additional information from the agency.

See Appendix C for a detailed list of the information to be collected from the agency strategic plan and entered in HORIZON. For most items listed the agency will select from a predefined list of items or a series of check boxes. Additional detailed information will be provided in the HORIZON user manual available in late March 2008.

The following is a summary of the information that is to be provided from the agency strategic plan:
- Agency Mission
- Agency Vision
- Agency Core Values
- Enterprise Issues, Barriers, Opportunities
- Goals
  - Alignment to State Goal
  - Measurable Objectives and other measures
    - Strategies
      - Description and Impact
      - What is the cost magnitude?
      - When will you do it?
      - What is the benefit to customers?
      - What is the impact on staffing?
      - What is the impact on IT?
      - What is the impact on facilities/space?
      - What budget programs are impacted?
      - Who are the key agency partners?

USING THE AGENCY STRATEGIC PLAN

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 Governor, the CFO, the COO 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 head's annual performance review by the COO or CFO will include an assessment of how the agency contributed to achieving state goals and more specifically the agency's goals within its strategic plan.

OPB will also assess how an agency's budget request contributes to improving statewide indicators. 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 the strategic investments from the requests to maintain operations.

Each enterprise-planning agency (OPB, GTA, SPA, and SPO) will use the agency strategic plans as a basis for its 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 budget process so near-term decisions are made with a long-range perspective.*

OPB will use the agency strategic planning information to identify opportunities for collaboration or leveraging resources if agencies identify similar projects or strategies. OPB will then provide feedback to agencies on priorities and fiscal constraints.

OPB will also 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 weighted against projected available funds.

GTA will use the agency strategic plan as a basis for understanding the business case for IT investments. SPA will use the agency strategic plan as a basis for understanding how the demands on the workforce are changing and how that impacts competencies and job families statewide.

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

OCS will use agency strategic plans to identify those agencies with customer-focused strategies, to offer OCS planning and consultation services, such as customer service improvement, rapid process improvement, and call center improvement. OCS will use the results of this work to further develop the statewide customer service improvement strategies.

8.0 ANNUAL STRATEGIC WORK PLAN

The annual strategic work plan provides the details about the strategies from the agency strategic plan that will be worked on during the next 12 months. The annual strategic work plan should explain the relationship between the state strategic plan, the agency strategic plan and what is being implemented that year.

A proposed and a final version of the strategic work plan are to be submitted to OPB.

Agency Strategic Plan • 4-year time horizon • Reassess annually to reflect budget and business environment changes • Update by May 1 each year **Annual Strategic Work Plan** • 12 month time frame • Proposed version for next fiscal year due September 1 with the agency budget request • Final version for upcoming fiscal year due with AOB on May 31 • Details about strategies from the agency strategic plan that are being worked in the new fiscal year

To have a more integrated planning and budgeting process, agencies will submit to OPB a proposed version of an annual strategic work plan with their budget request to OPB by September 1. The proposed version would identify the strategies from the agency's strategic plan that the agency plans to work on in the next fiscal year pending any changes to agency policy, legislation, or budget by the Governor and General Assembly. Thus with the FY 2010 budget the agency will submit a proposed annual strategic work plan.

On May 31 of each year, the agency submits a <u>final</u> annual strategic work plan with the Annual Operating Budget (AOB) that explains what strategies will be implemented or worked on during the upcoming fiscal year. This version of the annual strategic work plan is based on the budget that was just approved and is a realistic picture of what the agency plans to achieve during the fiscal year that starts July 1. Thus with the FY 2009 AOB the agency will submit its first annual strategic work plan.

The 4 Disciplines of Execution and other implementation models provide a framework for agencies to assist in the implementation of their strategic plans. Each agency has the flexibility to use an execution model that works best for them.

3-Year Agency Strategic Plan	**Annual Strategic Work Plan**

Goal
   - Measurable Objective ⟶
      - Strategy #1
      - Strategy #2
      - Strategy #3
      - Strategy #4
	<u>Strategy #1</u> (1 year or less)
	What strategies from the 3-year plan are being implemented or worked on?

The annual strategic work plan, along with the AOB and any operational work plans, constitutes the periodic work program referred to in OCGA 45-12-82.

The information provided in the annual strategic work plan is similar to the information provided in the agency strategic plan, but is more specific. Rather than general information about cost and the duration of the project, cost by program and actual start and end dates are required. See Appendix D for an explanation of the information that is to be provided in the annual strategic work plan.

WORKFORCE PLANNING

The 3-year agency strategic plan includes a staffing implications section that specifically addresses the agencies' strategic initiatives. To understand the operational needs of the whole agency, the State Personnel Administration requires an annual workforce management plan that addresses the agency as a whole.

Workforce planning can be boiled down to two basic questions:
> 1. How many and what types of jobs and competencies will be needed to meet the mission and strategic goals of the agency?
>
> 2. What strategies will the agency use to hire, retain, train and develop to meet these needs?

For the 3 year agency strategic plan, the agency should answer these questions solely based on the agency's needs to meet its strategic initiatives.

For the annual workforce management plan, the agency should answer these questions for the agency as a whole.

INFORMATION TECHNOLOGY

The overall implications on technology should be provided as part of the narrative on the annual strategic work plan. Additional details needed by GTA are provided in the Agency Project Request (APR). The APR process is the tool GTA uses to collect the details about projects that are requested by agencies before they move forward. The APR is due at the time the project needs funding – usually this occurs in the fall of the year as part of the budget process for the next fiscal year. At other times of the year agencies submit APRs (for projects over $100,000) and GTA evaluates them and passes them by OPB for review.

FACILITIES, SPACE, CAPITAL ASSETS

As part of the agency operating and capital budget submission on September 1, 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.

9.0 QUARTERLY AND YEAR-END REPORTS

"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."[4] Is what was being planned being accomplished? On a case by case basis OPB may request quarterly reports on the implementation of the strategy or its component projects. At the end of the fiscal year, the agency will submit a year-end update on its annual strategic work plan.

A plan is only as effective as the extent to which it is used. Execution of the agency strategic plan is done a year at a time, and agencies should track their progress at least quarterly. For those agencies that are implementing a high priority customer service strategy, the Office of Customer Service requests that the agency report quarterly on any accomplishments and the progress being made as measured by customer satisfaction and employee satisfaction as well as other measures.

10.0 PROGRAM PERFORMANCE MEASURES

Agencies will continue to be required to report annual performance measures for budget programs. This process is part of OPB's responsibility to monitor the ongoing operations and performance of the budget programs in the agency. The "actuals" for program performance measures are due to OPB by September 1.

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

11.0 SUBMITTING THE AGENCY STRATEGIC 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. Agencies should submit to OPB its 3-year agency strategic plan or any update to its existing plan by May 1 of each year.

Standard planning content will be collected in HORIZON. Because databases limit the ability to communicate information graphically, agencies are encouraged to provide a copy of their published plan to OPB and any other supporting information.

OPB, SPA, GTA, SPO and OCS will each have the opportunity to review the agency strategic plan and at a minimum will provide the following response:

State Level Approval

☑ Meets state requirements. Comments are then provided by the planning agencies.

☑ Does not meet requirements (return to agency for revision). Comments are then provided by the planning agencies.

The agency strategic plan initiates a series of strategic conversations between OPB and the agency as well as internal resource planning discussion between OPB, GTA, SPA, and SPC.

REASSESS THE STRATEGIC PLAN

Progress on the agency strategic plan should be monitored regularly. Each spring the agency should reevaluate its operating environment based on funding received and any legislative or policy changes impacting the agency in the past fiscal year. The agency strategic plan should be updated annually to reflect any internal or external factors that affect the plan. The agency should evaluate any relevant measures or other indicators to identify any 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.

12.0 NEW STRATEGIC PLANNING PROCESS IMPLEMENTATION SCHEDULE

February 2008
- OPB issues the State Strategic Plan Draft
- OPB issues State Strategic Planning Guidelines
- Announce and discuss new process and requirements in CFO and COO direct report meetings

February/March 2008
- Information sessions and agency training

February/March/April
- Agencies work on revising their strategic plans
- Policy collaboratives meet to refine statewide indicators

May 1, 2008
- Agencies submit refreshed agency strategic plan (FY 2009 to FY 2011) where agency goals are aligned with state strategic plan goals

May 2008
- OPB, GTA, SPA, SPO provide feedback on initial agency plan submissions

May 31, 2008
- Agencies submit annual strategic work plans for FY 2009 with the FY 2009 AOB

June/July
- OPB, GTA, SPA, SPO provide additional feedback on agency strategic plans and the alignment with state goals

- Agencies may use the summer months to revise and improve their 3-year agency strategic plans to better conform to the new planning guidelines.

September 1, 2008
- Proposed annual strategic work plan due for FY 2010 with budget request

September/October
- Budgets are analyzed by strategy and key investments by policy area

October/November
- Governor discusses budget investments by policy area

January 2009	• Governor presents budget investments by policy area
May 1, 2009	• Agencies submit refreshed agency strategic plans
May 2009	• OPB, GTA, SPA, SPO provide feedback on agency strategic plans
May 31, 2009	• Agencies update annual strategic work plan for FY 2010 and submits them with the FY 2010 AOB

APPENDIX A: STATE STRATEGIC PLAN GOALS

VISION
A state government that is value-driven, customer-focused and results-oriented.

RESULTS FOR GEORGIANS

Educated

Improve student achievement

Enhance the quality of the education workforce

Improve workforce readiness skills

Healthy

Encourage healthy lifestyles through preventative care, disease management and early intervention

Improve access to quality health care at an affordable cost

Promote the most productive and independent lifestyle possible for Georgia's vulnerable citizens

Efficiently and effectively deliver health care programs

Safe

Promote safe communities and stable families where children can thrive

Provide a safe environment where Georgians live, work and play

Provide a safe and secure state by effectively managing and rehabilitating offenders

Promote homeland security and emergency preparedness for natural and man-made disasters or acts of terrorism

Reduce loss of life and injury on Georgia's roads

Growing

Increase quality jobs and promote innovation and investment in Georgia

Expand the economic impact of tourism and recreation throughout the state

Improve mobility of people and goods around the state and metro Atlanta area

Improve overall environmental quality and conservation practices

Best Managed

Employ an enterprise approach and best practices in Georgia's financial management

Deliver state services faster, friendlier, and easier

Strategically manage the state's infrastructure and be stewards of its assets

Provide an attractive place to work and build a career in state government

Improve decision makers access to quality enterprise data through integrated enterprise systems

STATE OF GEORGIA

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 three-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, Baldridge, Result-Based Accountability, traditional approach, etc). The agency strategic plan should explain the three to five things that the agency is focusing on to improve 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.

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.

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."[5]

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.

The strategic planning sessions should directly involve the agency's senior leadership and managers, as well as involving 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

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

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. In developing the Annual Agency Implementation Plan, program managers and staff involved in evaluation, research, and data analysis are appropriate participants in coordinating the agency's resources as well as defining the indicators that will be used to track program performance.

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

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 implications on IT, the workforce, and facilities/space*
*Content to be reported to the statewide planning agencies

- ☐ 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.
- ☐ 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 and beliefs.

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:

- 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 the statewide indicators
- Facilities/Space needs and physical and functional condition and capacity

OPB, SPA, GTA, SPC and other enterprise-supporting agencies 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. ESAs include OPB, GTA, SPA, SPC, SAO, DOAS, GSFIC, GBA, OTFS, and OCS.*

OPB

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

SPA

- Analysis of national and state workforce trends
- Analysis of job classes
- Retirement trends
- Analysis of competencies

GTA
- Insights on emerging technologies
- Planned enterprise activities

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

OCS
- Analysis of employee and customer satisfaction and call center statistics relevant to agency programs and services

Customer Service: These strategic planning guidelines integrate the work of the state's customer service initiative into the overall state strategic planning process. The Office of Customer Service (OCS) highly recommends that agencies include a survey of both customer and employee satisfaction indicators as part of their environmental scans. Surveys should focus on the strategic activities the agency selected to build its strategic plan around. OCS prefers that agencies use the State GSQI and WPSI surveys – since these are validated survey tools or work with OCS if using another tool to make sure the data collection process is comparable. Most agencies will likely use FY 2008 or FY 2009 as a baseline year for customer and employee feedback and then re-measure annually.

Workforce Scan: 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.

IDENTIFY CRITICAL ISSUES

"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)

When identifying critical issues, the agency should consider the goals and statewide indicators in the state strategic plan and determine to which state goals the agency's goals align.

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. Goals 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) Goals should be customer focused (derived from internal and external customer data included in their environmental scan). Agency goals must be prioritized.

Agency goals and strategies supporting the goal should be prioritized. Best practice is that an agency should have between three and five goals. An agency's goals may align to state goals in more than one policy area.

DEVELOP MEASURABLE OBJECTIVES

MEASURABLE OBJECTIVE: X to Y by Date

"Objectives are specific, measurable results to be achieved." (GFOA)

For each goal, the agency should have measures or indicators that will be used to determine if the goal is being met.
- At least one measure should be a "measurable objective" stated as "X to Y by Date"

- At least one measure should show how the customer will be better off

The agency is encouraged to identify and report other measures or indicators that will demonstrate performance improvements.

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 (What will you do?).

The strategies are the things the agency will do to achieve its goals and affect the measurable objectives in the intended direction.

"Strategies relate to ways that the environment can be influenced (internal or external) to meet broad goals. A single strategy may relate to the achievement of more than one goal. 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.

- What is the cost magnitude to implement, and associated long-term costs/savings?
- What are the benefits to the customer benefits (measured by what tool, baseline measure and expected results)?
- Will implementation of this strategy require a budget enhancement or will it be done with funds within the agency base?
- What fund sources will be used to fund this strategy (State, Federal, Other, Bonds)?
- Who will do the work (workforce impact and resources required)?
- What are the technology implications and resources required?
- What are the impacts on space and facilities? What additional capital asset investments are required?
- When will you do it?
- What budget programs are impacted?
- Who are the key partners?

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

Progress on the agency strategic plan should be monitored regularly. Each spring the agency should reevaluate its operating environment based on funding received and any legislative or policy changes impacting the agency in the past fiscal year. The agency strategic plan should be updated annually to reflect any internal or external factors that affect the plan. The agency should evaluate any relevant measures or other indicators to identify any 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.

State Strategic Planning Process Hierarchy

State Vision, Mission, 5 Policy Areas

Statewide Goals and Indicators

Agency Mission

Agency Goals

Measurable Objectives

Strategies
Funding and Benefit to Customer

Resources
- Staffing
- IT
- Facilities/ Space,
- Capital Assets

12 month
Strategic Work
Plan

Action Plans

Statewide

Agency Develops

Maintained at Agency
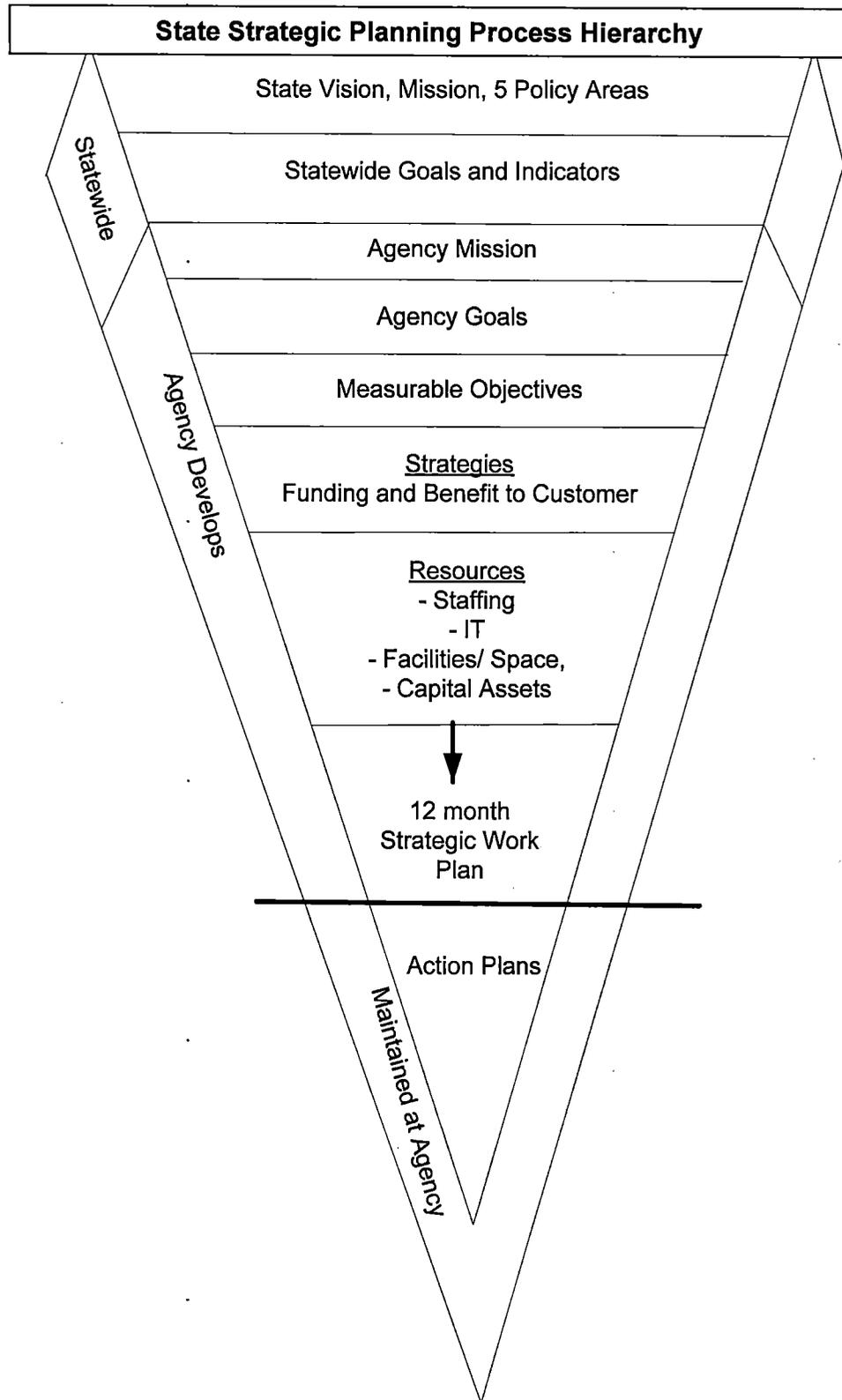
APPENDIX C: AGENCY STRATEGIC PLANNING CONTENT TO BE REPORTED

The statewide planning agencies (OPB, GTA, SPA, SPO, and OCS) require the reporting of a set of common strategic planning information. Not all information that comes from a quality planning process is necessarily reported for statewide planning purposes. On a case-by-case basis one of the planning agencies may request additional information from the agency.

A new web-based strategic planning data collection system called "HORIZON" is being developed. Training on the system and a technical manual will be available in late March 2008.

Regardless of the strategic planning methodology or model the agency uses, the following are the common strategic plan elements that should be reported to OPB and the other planning agencies:

☐ Agency Mission
☐ Agency Vision
☐ Agency Core Values
☐ Enterprise Opportunities, Obstacles, and Issues
☐ Agency Goals (in priority order)
   For a given goal the agency should identify the high-level resource needs for the various strategies and projects identified to achieve the goal.
   ▪ State goal supported
   ▪ Measurable objectives and other indicators
      • Strategy/Initiative and priority [Note: the following information is required for each strategy]
         o Describe the agency strategy/initiative:
            • How will the strategy affect the measurable objective?
            • Will the strategy affect a statewide indicator?
            • Explain any relationship the strategy has to any statewide or policy collaborative initiative.
         o Impact of the Strategy
         o Cost Magnitude of implementation or start – up cost
         o Estimated annual cost magnitude – ongoing/maintenance
         o Will implementation of this strategy require a budget enhancement, bonds, or will it be done with funds within the agency base?
         o What fund source (State, Federal, Other, Bonds) would be utilized to implement the strategy?
         o When do you plan to start work on this strategy?

o When do you plan to finish implementation of this strategy?

o What are the benefits to customers (measured by what tool, baseline measure, and expected results)?

o Who are the key agency partners?

o <u>Staffing Implications?</u> (Yes or No) If yes, the agency must provide additional information for each strategy.

o <u>IT Implications?</u> (Yes or No) If yes, the agency must provide additional information for each strategy. The agency may have multiple IT projects for a given strategy. Also a given IT project may relate to more than one strategy.

o <u>Facility/Space or Capital Asset Implications</u> (Yes or No) If yes, the agency must provide additional information for each strategy. The agency may have multiple facility/space projects or asset needs for a given strategy. Also a given facility/space project or asset may relate to more than one strategy.

o What agency budget programs are impacted?

o Provide any additional comments

Staffing Implications (If Yes above, the agency should provide additional information for each strategy)

As part of the development of the agency strategic plan, the agency should clearly articulate what will be done in terms of human resources in the current year and future years to effectively implement the identified strategies and projects in the agency plan.

<u>The following information is to be reported:</u>

- Agency Goal → Agency Strategy → Staffing
- When do you plan to start work on the staffing issues related to this strategy?
- When do you plan to finish implementation of the staffing activities related to this strategy?
- Check the type of staff affected by this strategy [Contractors, State Employees]
- Impacted Job Family Categories (17 to choose from)
- What competencies that you don't have (or have enough of) would be needed to implement this strategy?
  [Select as many as apply from a defined list of 13 competencies]
- Would training be needed?
- Comments

How is the information used?

The law requires SPA to produce an annual report on the state workforce. SPA uses the workforce related content submitted in the agency strategic plan and the agency annual strategic work plan to generate options and recommendations related to the workforce to OPB and the Governor as part of the fall budget process.

Collecting plans in May allows SPA to have a better understanding of workforce plans and issues in the coming fiscal year, as well as what may come up in the budget development discussion. SPA uses the agency strategic plans to develop an annual state workforce plan.

IT Implications (If Yes above, the agency should provide additional information for each strategy)

The IT implications section of the agency strategic plan is considered the agency IT strategic plan by GTA. Each agency IT project should align with an agency strategy and goal as well as a State IT goal and objective.

The following information is to be reported:

- Agency Goal →Agency Strategy → IT Project
- Project/Initiative Name
- Brief Description of Project/Initiative
- Project/Initiative Cost Magnitude [set cost ranges provided]
- Annual Maintenance/Ownership Cost [set cost ranges provided]
- When do you plan to start work on this project/initiative?
- When do you plan to finish implementation of this project/ initiative?
- Current Phase of Project [Initiation, Planning, Design, Procurement , Execution, Other]
- APR Status [Choose from: Submitted, Approved - Not started, Approved - In process, Not Approved - Not started, Not Submitted]
- State IT Goal Supported [choose from list]
- State IT Objective Supported [choose from list]
- Comments

How is the information used?

GTA uses the IT projects information from the agency strategic plan and maps and groups the various agency projects by state IT goal and state IT objective. These views are used to see where agencies have similar projects envisioned and to see if there are projects that do not align with state IT goals and overall state strategic goals. By seeing all the projects and the common goal and objective they align to, GTA can make better recommendations to OPB about state IT investments. Agencies are encouraged to run statewide reports that are organized by state goal and state IT goal to see groupings of projects. The intent is that this will lead to more partnerships and collaborations among agencies. The information provided helps the enterprise-supporting agencies have advance notice of envisioned projects, and help them coordinate efforts in the current year and future years.

Capital Asset/Facilities/Space Implications (Yes/No) (If Yes above, the agency should provide additional information for each strategy)

It is anticipated that many strategic initiatives and decisions will have an impact on an agency's facility/space assets and needs. Thus, it is critical to ensure that an agency's strategic physical assets and needs are also explicitly identified and aligned to fully support the strategies in the agency strategic plan.

The components and characteristics of the facilities/space plan may come in different topics, forms, and priorities as suited to each agency's strategic plan, addressing potential issues such as:
- Good stewardship of existing assets
- Specialized vs. flexible space needs
- Growth, expansion, additional functions and capacity
- Renovation, re-missioning of assets
- Geographic redistribution, consolidation, decentralization
- Co-location with other functions / agencies
- Contraction, disposition, surplusing
- Alternative acquisition and financing methods
- Total cost of ownership and occupancy

Effective capital asset planning will align the physical needs of an agency with its business needs, thus working to ensure that facilities/space are considered as assets that support agencies' mission, rather than be perceived as liabilities that hinder overall goals.

The following information is to be reported:
- Agency Goal → Agency Strategy → Project
- Type of project [Choose all that apply: New Construction/Facility, Space, Land Acquisition, Major Equipment]
- Project Name
- Project Description
- Project Cost Magnitude [set cost ranges provided]
- Annual Maintenance/ Ownership Cost [set cost ranges provided]
- When do you plan to start work on this project?
- When do you plan to finish implementation of this project?
- Current Phase of Project [Not Started, Planning or Being Implemented]
- Location
- County
- Type of Space/ Facility [choose from list of 13 types]
- Provide the estimated number of housed staff/people affected
- Comments

How is the information used?

The information presents a plan for the associated actions and resources needed to be committed and implemented to support achievement of the strategic initiatives. This will help insure that the agency budget requests are well thought out to include the costs of these facility and space needs, and assist OPB in reviewing and recommending appropriate financial resources. This will also assist SPC in assessing and anticipating statewide facility and space needs, and changes due to planned expansions, reductions, and geographic redistributions of agency operations.

LISTS USED FOR WORKFORCE AND FACILITY PLANNING

JOB FAMILIES (SPA)

State Job Families
1 Education, Instruction, and Testing
2 Engineering/Technology Support
3 Facilities, Materials, and Equipment
4 Financial Management/Revenue
5 Food Services/Farm Services
6 General Support Services
7 Health Care
8 Information Systems/Telecom. System
· 9 Laboratory Services/Physical Sciences
10 Legal
11 Parks, Recreation, and N.R. Management
12 Personnel Administration
13 Public Safety/Corrections/Investigations
14 Real Estate/Property Management
15 Regulatory Compliance
16 Social Services/Counseling
17 Transportation

COMPETENCIES (SPA)

SPA Core Competencies (All Employees)
1 Service Orientation
2 Teamwork and Cooperation
3 Results Orientation
4 Accountability
5· Judgment and Decision Making

SPA Leadership Competencies
1 Leadership - Talent Management
2 Leadership - Transformers of Govt.

SPA Behavioral Competencies
3 Communication
4 Conflict Management
5· Creativity and Innovation
6 Cultural Awareness
7 Flexibility
8 Initiative
9 Negotiation and Influence
10 Professional Development
11 Project Management
12 Teaching Others
13 Team Leadership

Agency Strategic Planning
Strategy Worksheet[1]

State Policy Area/Goal:
Agency Goal:
Measureable Objective: (x to y by date) and other key measures

Agency Strategy/Initiative:

1. Describe the agency strategy/initiative *(How will the strategy affect the measureable objective? Will th strategy affect a statewide indicator? Explain any relationship the strategy has to any statewide or policy collaborative initiative.)*

2. Anticipated Impact (Check all that apply)
   ( ) Increase access to services   ( ) Eliminate services
   ( ) Increase utilization of services   ( ) Add new services
   ( ) Efficiency improvements   ( ) Other

3. Cost Magnitude – Implementation or start-up cost
   ( ) Cost savings over $100k   ( ) $1M to $5M
   ( ) Cost savings under $100k   ( ) $5M to $10M
   ( ) No cost   ( ) $10M to $20M
   ( ) $ 0 to $100K   ( ) $20M to $50M
   ( ) $100K to $500K   ( ) $50M to $100M
   ( ) $500K to $1M   ( ) Over $100M

4. Estimated Annual Cost Magnitude – (Ongoing/Maintenance)
   ( ) Cost savings over $100k   ( ) $1M to $5M
   ( ) Cost savings under $100k   ( ) $5M to $10M
   ( ) No cost   ( ) $10M to $20M
   ( ) $ 0 to $100K   ( ) $20M to $50M
   ( ) $100K to $500K   ( ) $50M to $100M
   ( ) $500K to $1M   ( ) Over $100M

5. Are there any associated long/term cost savings? If so, explain.

6. Will implementation of this strategy require a budget enhancement or will it be done with funds within the agency base? (Check all that apply)
   ( ) Base Budget
   ( ) Enhancement
   ( ) Capital Outlay

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1 Thanks to Linda Stevens at DOAS for developing this worksheet.

1

7. What fund source will be utilized to implement this strategy?
   ( ) State   ( ) Federal
   ( ) Other   ( ) Bonds

8. When do you plan to start working on this strategy?
    ( ) Prior to FY 2009
    ( ) FY 2009
    ( ) FY 2010
    ( ) FY 2011

9. When do you plan to finish implementation of this strategy?
    ( ) FY 2009
    ( ) FY 2010
    ( ) FY 2011
    ( ) After 2011

10. What are the benefits to the customers? (measured by what tool, baseline measure, and expected result

11. Who are the key Agency Partners? (Check all that apply – does not include stakeholders)
    ( ) Office of Planning and Budget (OPB)   ( ) Other _____
    ( ) Georgia Technology Authority (GTA)   ( ) Other _____
    ( ) State Personnel Administration (SPA)   ( ) Other _____
    ( ) State Properties Commission (SPC)   ( ) Other _____
    ( ) Office of Customer Service (OCS)

12. Agency budget programs impacted or key to implementation of this strategy and percentage of impact.
13. Comments:

Staffing Implications
1. Staffing implications: ( ) Yes or ( ) No (If yes, go proceed to next question.)

2. When do you plan to start working on the staffing issues related to this strategy?
    ( ) Prior to FY 2009
    ( ) FY 2009
    ( ) FY 2010
    ( ) FY 2011

3. When do you plan to finish implementation of the staffing activities related to this strategy?
    ( ) FY 2009
    ( ) FY 2010
    ( ) FY 2011
    ( ) After FY 2011

4. Check the type of staff affected by this strategy.
    ( ) State Employees
    ( ) Contractors

5. Job Family Categories Effected – FTE increase or decrease by job family

( ) Education, Instruction, and Testing	( ) Laboratory Services/Physical Sciences
( ) Engineering/Technology Support	( ) Legal
( ) Facilities, Materials, and Equipment	( ) Parks, Recreation, and N.R. Management
( ) Financial Management/Revenue	( ) Personnel Administration
( ) Food Services/Farm Services	( ) Public Safety/Corrections/Invest.
( ) General Support Services	( ) Real Estate/Property Management
( ) Health Care	( ) Social Services/Counseling
( ) Information Systems/Telecom: System	( ) Transportation

6. What competencies that you don't have (or have enough of) would be needed to implement this strateg

All Employees	Behavior
( ) Service Orientation	( ) Communication
( ) Teamwork and Cooperation	( ) Conflict Management
( ) Results Orientation	( ) Creativity and Innovation
( ) Accountability	( ) Cultural Awareness
( ) Judgment and Decision Making	( ) Flexibility
	( ) Initiative
Leadership	( ) Negotiation and Influence
( ) Leadership – Talent Management	( ) Professional Development
( ) Leadership – Transformers of Govt.	( ) Project Management
	( ) Teaching Others
	( ) Team Leadership

7. Are there extraordinary training needs related to this strategy? ( ) Yes or ( ) No

8. Is training of staff in other agencies needed for implementation? ( ) Yes or ( ) No

9. Comment:

IT Implications
1. IT implications: ( ) Yes or ( ) No (If yes, go proceed to next question.)
2. Brief description of IT Project/Initiative

3. Project/Initiative Cost Magnitude (Cost ranges)

( ) Cost savings over $100k	( ) $1M to $5M
( ) Cost savings under $100k	( ) $5M to $10M
( ) No cost	( ) $10M to $20M
( ) $ 0 to $100K	( ) $20M to $50M
( ) $100K to $500K	( ) $50M to $100M
( ) $500K to $1M	( ) Over $100M

4. Annual Maintenance/Ownership (Cost ranges)

( ) Cost savings over $100k	( ) $1M to $5M
( ) Cost savings under $100k	( ) $5M to $10M
( ) No cost	( ) $10M to $20M
( ) $ 0 to $100K	( ) $20M to $50M
( ) $100K to $500K	( ) $50M to $100M
( ) $500K to $1M	( ) Over $100M

5. When do you plan to start working on this project/initiative?
- ( ) Prior to FY 2009
- ( ) FY 2009
- ( ) FY 2010
- ( ) FY 2011

6. When do you plan to finish implementation of this project/initiative?
- ( ) FY 2009
- ( ) FY 2010
- ( ) FY 2011
- ( ) After FY 2011

7. Current phase of project

( ) Initiation	( ) RPF
( ) Planning	( ) Execution
( ) Design	( ) Other

8. Agency Project Request (APR) status

( ) Submitted	( ) Not approved – not started
( ) Approved – not started	( ) Not submitted
( ) Approved – in process	( ) Not required

9. State IT Goal supported

( ) **Customer Service** – Assure faster, friendlier, easier delivery of government services based on customers' needs.

( ) **Service Delivery** – Deliver market-competitive IT products and services.

( ) **IT Governance** – Improve the governance of State IT decision making, investment and implementation.

( ) **Enterprise Collaboration** – Increase effective and efficient use of State IT assets through forums that promote opportunities for interagency collaboration, interoperability, and resource sharing.

( ) **IT Workforce** – Attract, support, recognize and retain an engaged, high-performing technological workforce.

( ) **Security** – Protect the confidentiality, integrity, and availability of the State's information resources.

10. State IT Objective supported

Customer Service

( ) Increase scope, quality, availability and usability of electronic services for all customers.

( ) Foster partnerships between state and local government agencies to provide seamless services to constituents.

( ) Effectively market available services and how to access them.

Service Delivery

( ) Improve cost and quality of IT products and services while meeting agreed upon service levels.

( ) Develop public-private relationships (enterprise wide preferably) to provide market-competitive IT products and services.

( ) Increase efficiency and cost savings through innovated uses of existing and new technologies.

IT Governance

( ) Develop and implement portfolio management and oversight processes at the enterprise and agency levels.

( ) Formulate IT life cycle management guidelines (define, design, develop, deploy, support).

( ) Improve project management practices, tools, and execution to ensure efficient, effective, and appropriate use of state, federal, and local funds.

Enterprise Collaboration

( ) Share data, knowledge, and services easily across all boundaries of government.

( ) Promote IT solutions that support common business processes across the enterprise.

( ) Leverage enterprise architecture to take advantage of emerging trends and support IT initiatives.

IT Workforce

( ) Improve attraction and retention of critical skills within the State's IT workforce.

( ) Improve IT workforce knowledge and skills through training and development opportunities.

( ) Increase workforce flexibility through mobility, teleworking, and flex-work initiatives.

( ) Improve overall workforce knowledge, skills, and productivity in the use of technology.

Security

( ) Provide statewide systems, applications and infrastructure to enable secure information collection, storage, retention, and exchange.

( ) Support the State in its ability to recover all IT services that are critical to business in the event of disaster or other significant event.

( ) Build and deploy secure e-government initiatives.

11. Comment:

Facilities/Space/Major Equipment Implications
1.   Facilities/Space/Major Equipment Implications ( ) Yes or ( ) No   (If yes, go proceed to next question.)

2.   Type of project:
     ( ) New Construction/Facility
     ( ) Space
     ( ) Land Acquisition
     ( ) Major Equipment

3.   Project Name:
4.   Project Description:

5.   Project Cost Magnitude (Cost estimate ranges)
     ( ) Cost savings over $100k   ( ) $1M to $5M
     ( ) Cost savings under $100k   ( ) $5M to $10M
     ( ) No cost   ( ) $10M to $20M
     ( ) $ 0 to $100K   ( ) $20M to $50M
     ( ) $100K to $500K   ( ) $50M to $100M
     ( ) $500K to $1M   ( ) Over $100M

6.   Annual Maintenance/Ownership
     ( ) Cost savings over $100k   ( ) $1M to $5M
     ( ) Cost savings under $100k   ( ) $5M to $10M
     ( ) No cost   ( ) $10M to $20M
     ( ) $ 0 to $100K   ( ) $20M to $50M
     ( ) $100K to $500K   ( ) $50M to $100M
     ( ) $500K to $1M   ( ) Over $100M

7.   When do you plan to start working on this project?
     ( ) Prior to FY 2009
     ( ) FY 2009
     ( ) FY 2010
     ( ) FY 2011

8.   When do you plan to finish implementation of this project?
     ( ) FY 2009
     ( ) FY 2010
     ( ) FY 2011
     ( ) After FY 2011

9.   Current phase of project
     ( ) Not started
     ( ) Planning
     ( ) Being Implemented

10. Location (Space/Facility)
11. County (Space/Facility)

12. Type (Space/Facility)

( ) Offices
( ) Classrooms with faculty offices, etc.
( ) Dormitories
( ) Libraries
( ) Storage building warehouse
( ) Detention housing
( ) Hospitals, medical centers, nursing homes, medical labs, clinics

( ) Open sheds or pavilions for work, storage, display, sales, recreation
( ) Athletic facilities
( ) Garages or repair shops
( ) Maintenance and custodial operations, shops
( ) Armories
( ) Parking facilities
( ) Other

13. The estimated number of housed staff/people affected (Space/Facility):

14. Comment:

TYPES OF FACILITIES

Type of Space/Facilities
1 Offices
2 Classrooms with faculty offices, etc.
3 Dormitories
4 Libraries
5 Storage building warehouse
7 Detention housing
8 Hospitals, medical centers, nursing homes, Medical Labs, Clinics
9 Open sheds or pavilions for work, storage, display, sales, recreation
10 Athletic facilities
11 Garages or repair shops
11 Maintenance and custodial operations, shops
12 Armories
13 Parking facilities
14 Other

STATE IT GOALS AND OBJECTIVES

FY 2008-2011 State IT Goals and Objectives Dropdown Reference List			
Goal Reference in Dropdown List	Goal	Objective Reference in Dropdown List	Objective
Customer Service	Assure faster, friendlier, easier delivery of government services, based on customers' needs.	Increase/improve electronic services	Increase scope, quality, availability and usability of electronic services for all customers.
		Foster partnerships	Foster partnerships between state and local government agencies to provide seamless services to constituents.
		Market available services	Effectively market available services and how to access them.
Service Delivery	Deliver market-competitive IT products and services.	Improve cost/quality of services	Improve cost and quality of IT products and services while meeting agreed upon service levels.
		Develop public-private partnerships	Develop public-private relationships (enterprise wide preferably) to provide market-competitive IT products and services.
		Innovative use of existing and new technology	Increase efficiency and cost savings through innovative uses of existing and new technologies.
IT Governance	Improve the governance of State IT decision making, investment and implementation.	Portfolio management/oversight	Develop and implement portfolio management and oversight processes at the enterprise and agency levels.
		Life cycle management	Formulate IT life cycle management guidelines (define, design, develop, deploy, support).
		Improve project management	Improve project management practices, tools and execution to ensure efficient, effective and appropriate use of state, federal and local funds.

		Improve procurement processes/contracts	Improve efficiencies in enterprise-wide IT procurement processes and contracts.
Enterprise Collaboration	Increase effective and efficient use of State IT assets through forums that promote opportunities for interagency collaboration, interoperability and resource sharing.	Share data, knowledge, and services	Share data, knowledge, and services easily across all boundaries of government.
		Support common business practices	Promote IT solutions that support common business processes across the enterprise.
		Leverage enterprise architecture	Leverage enterprise architecture to take advantage of emerging trends and support IT initiatives.
IT Workforce	Attract, support, recognize and retain an engaged, high-performing technological workforce.	Improve skills retention in workforce	Improve attraction and retention of critical skills within the State's IT workforce.
		Improve workforce training/development processes	Improve IT workforce knowledge and skills through training and development opportunities.
		Increase workforce flexibility	Increase workforce flexibility through mobility, teleworking and flex-work initiatives.
		Improve workforce use of technology	Improve overall workforce knowledge, skills and productivity in the use of technology
Security	Protect the confidentiality, integrity and availability of the State's information resources.	Improve statewide system security	Provide statewide systems, applications and infrastructure to enable secure information collection, storage, retention and exchange.
		Support IT disaster recovery	Support the State in its ability to recover all IT services that are critical to business in the event of a disaster or other significant event.
		Secure e-government initiatives	Build and deploy secure e-government initiatives.

APPENDIX D: ANNUAL STRATEGIC WORK PLAN CONTENT TO BE REPORTED

For the FY 2009 AOB and the FY 2010 Budget Request, the annual strategic work plan will be completed using a template in Microsoft Word. The template will include the following fields:

Strategy/Initiative: Provide a brief explanation of the strategy.

Goal Alignment: Identify the agency goal the strategy aligns to in the agency strategic plan.

Cost: Describe the spending plan and amount by budget program. Explain all future costs for the initiative, initial and ongoing.

Measurable Objective(s):   "X to Y by Date." The measurable objective listed in the agency strategic plan should be restated within a 12-month or less time frame.

Why: Why is the strategy needed and being implemented? Describe how this strategy meets customer needs/provides value to customers. For example: What is the impact on customers? How will customers benefit? How does it contribute to improving performance on statewide indicators and achieving state strategic goals?

Staff Implications: Describe the effect this strategy has on staffing. How many new positions will be part of the initiative? Describe the mix of new staff versus contractors who will deliver services, and any associated hiring and training issues. Additional guidance related to annual workforce planning is provided below and on the State Personnel Administration website.

IT Implications: Identify any technology requirements for successful implementation (see GTA's APR requirements). Additional guidance is provided below.

Facilities/Space/
Capital Asset Implications: Explain how the new initiative impacts current facilities, space, property, and capital assets.
- Is this initiating something new?

- Is it continuing an effort started earlier (phase 2)?
- Is it completing something started earlier?

When submitting the agency's annual capital budget request, reference in COBS the agency strategic goal and strategy that relates to projects requested as part of the capital budget request.

Milestones: Identify the deliverables by quarter.

Who/Partners: List the key partners are and their role in the implementation. Explain any relationship this strategy has to any statewide initiative or policy collaborative strategy. Make sure the agency partners know they are partners.

Measures: When implementing or executing a strategy, there are measures tracked to see if progress is being made. Identify the performance measures and targets associated with this initiative.

Most strategies should ultimately impact either the customer or the employees or both. Provide baseline customer and/or employee satisfaction and document the instrument used to measure baseline/current employee satisfaction. Document baseline/current employee satisfaction measure and expected change, such as increasing employee satisfaction from x to y. Agencies could choose to impact an overall customer satisfaction and a specific employee satisfaction indicator.

Report the specific customer service measures that apply to the service selected for customer service improvement. The customer service measures should measure how the improvement will (1) speed up processes, (2) improve customer service standards and/or (3) make services more accessible.

Identify performance measures and targets for the strategy.

Task list: [For agency use only] How will the strategy be accomplished? This is not a required element in the annual strategic work plan, but the agency should have a step-by-step action plan or task list for how it will accomplish the work. This level of detail may be requested by OPB on a case-by-case basis. If the strategy has an IT component, GTA will want to know the specifics related to IT expenses and program management.

WORKFORCE PLANNING – Key Questions:

Key questions in doing strategic workforce planning and the annual workforce management plan include:

1. <u>What are your goals?</u>
   a. What is the issue, initiative or organizational unit that needs attention? Is it an immediate need or do you have time to plan?
   b. What is the agency's direction and how will it affect the issue, initiative or organizational unit?
   c. What functions will need to be performed? Will the work be the same, evolving or new?

2. <u>What are your needs?</u>
   a. What staffing levels, skill sets and competencies are needed to perform these functions?
   b. Where will the people come from to staff the functions (internal or external)?

3. <u>What are your strategies?</u>
   a. What positions, titles or functions require special action to ensure that the agency will be able to recruit and retain the right people?
   b. What is the order of importance in addressing any gaps identified?
   c. What specific actions will be taken to address these priorities/gaps?

4. <u>What are your outcomes?</u>
   a. Implement solutions, monitor, evaluate, and improve.

APPENDIX E: 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;

WORKFORCE PLANNING

The State Personnel Administration (SPA) is responsible for preparing a workforce plan for the state.

> OCGA 45-20-1(f) Each agency shall develop an annual work force plan according to state-wide criteria and guidelines and shall provide a report of such plan annually to the state merit system for incorporation into the state-wide work force plan to be submitted to the Governor and the General Assembly.

INFORMATION TECHNOLOGY PLANNING

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

> OCGA 50-25-4 (a.9) To provide and approve a technology plan to include strategic planning and direction for technology acquisition, deployment development, and obsolescence management as well as a communications plan to manage costs for voice, video, data, and messaging services for all agencies. The state technology plan shall incorporate plans from agencies and other sources;
>
> (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;
>
> OCGA 50-25-5.1. Chief information officer; (4) To submit an annual and a three-year technology plan, updated annually, and an annual budget for approval and adoption by the board;

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;

GLOSSARY OF TERMS

Agency Project Request (APR)	Information required 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 communicates how the agency will improve services and results for Georgians over the next three 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.
Annual Strategic Work Plan	A document submitted with the budget that explains what the agency is working on or implementing during the fiscal year from its agency strategic plan.
Balanced Score Card	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
Baldridge 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.

Contractor	A person or company that is hired to complete a project or perform a defined service.
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, SPA, SPC, SAO, DOAS, GSFIC, GBA, OTFS, and OCS.
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.
Four Disciplines of Execution (4DX)	A management tool to implement a strategy or initiative. This methodology is taught by FranklinCovey and the Georgia Leadership Institute.
Goal	A result or outcome one is trying to achieve.
HORIZON	The new integrated state strategic planning data collection tool
Initiative	See strategy.
Job Family	One of seventeen categories of jobs as identified by the State Personnel Administration.
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	X to Y by date.
Milestone	A series of intermediary deliverables that are 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 five policy areas: Educated, Healthy, Safe, Growing, and Best Managed.
Policy Collaborative	A collection of state agencies that have a common policy purpose. Policy collaboratives are organized around the Educated, Healthy, Growing, Safe and Best Managed 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 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
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 forecast(s) 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.

VERSION CONTROL

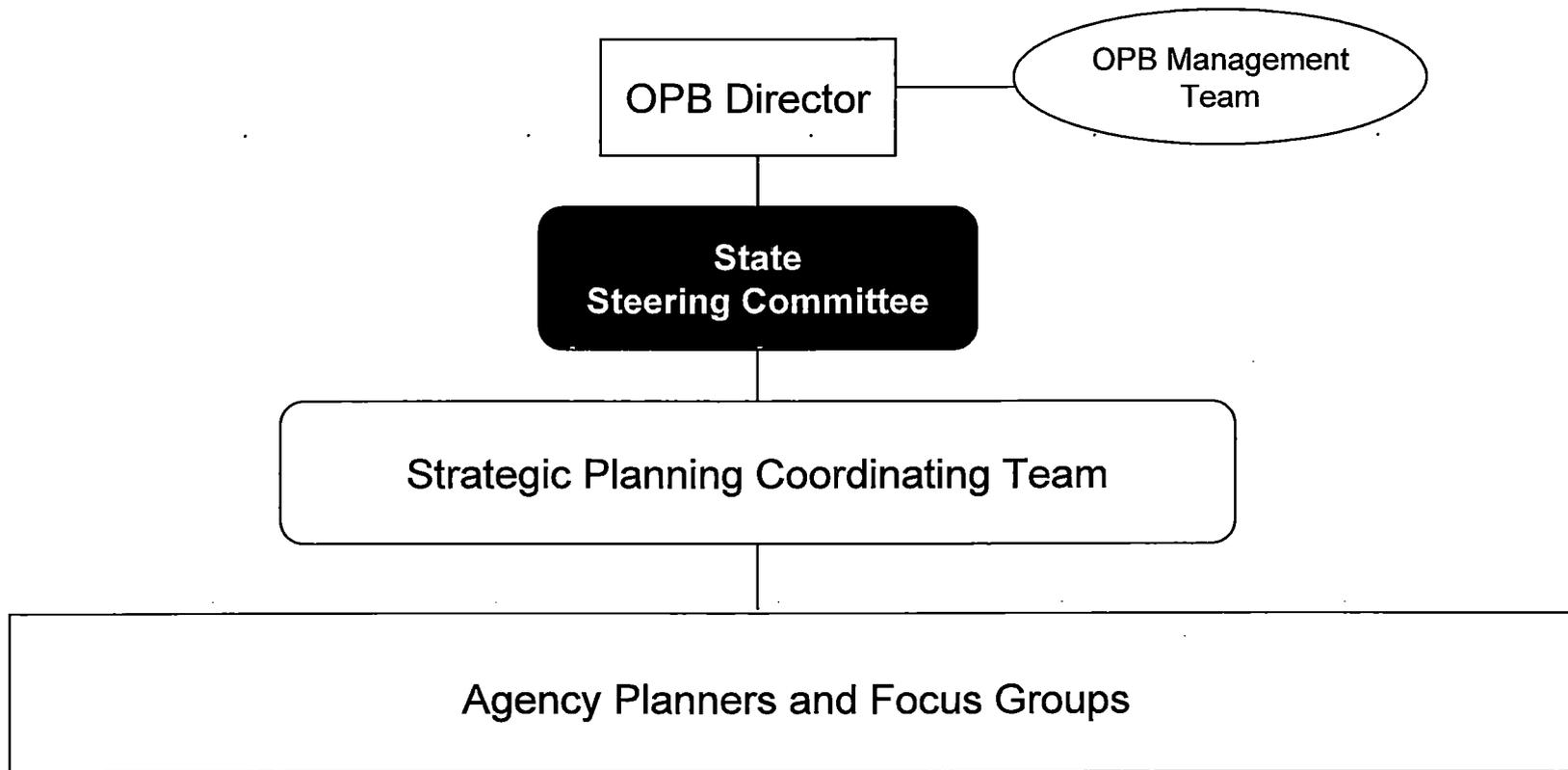|	
Version February 5, 2008	- Original Document sent to agencies
Version February 8, 2008	- Updated error in the section numbering - Added foot note to page 17

Results for Georgians

State Strategic Planning Process

Version February 13, 2008

Results for Georgians

Project Governance

Results for Georgians

## Agency Focus Groups and Participants

Agency Planners

- Phil Foil – DCA
- Shelley Nickel – BOR
- Allen Meyer – DOE
- Mark Waldron – DOC
- John Prevost – Parole
- Jim Davis – DOT
- Debbie Royal - DOT
- Douglas Chambers – GTA
- Khari Hunt – DHR
- Leslie Lowe – DECL

Focus Groups

- DJJ (Budget, Planning, HR, Facilities, IT)
- DDS (Budget, Planning, HR)
- OPB Analysts
- DNR (Budget, Planning, HR, IT)
- Presentations:
  - CIO Council (GTA)
  - Customer Service Champions
  - REMAT - Facility & Lease Groups (SPC – Facilities)

Results for Georgians

Focus on Strategic Direction

Strategic Initiatives

Ongoing
Operations
(Whirlwind or the Base)
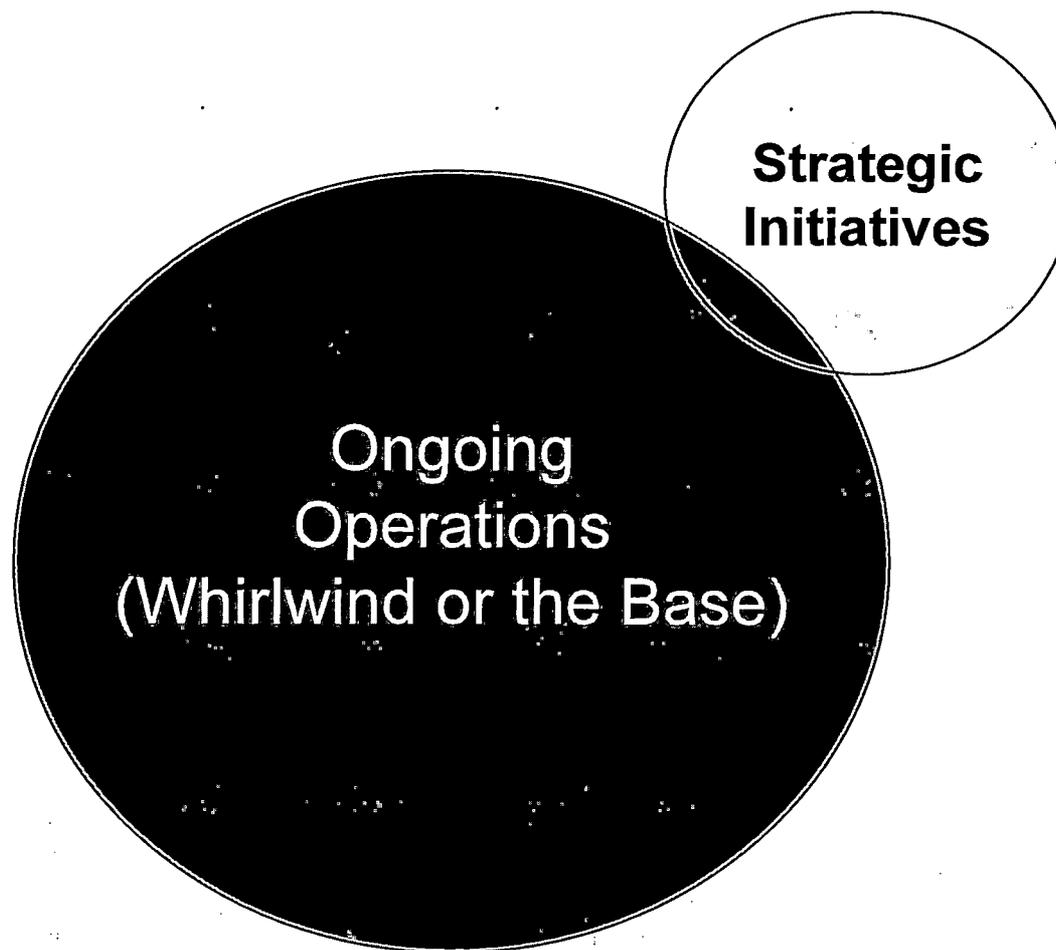
Results for Georgians

Focus on Strategic Direction

Operational

OPB	- AOB
	- Budget Request
	- Program Performance Measures
GTA	- Annual Project Request (APR)
SPC	- Space Portfolio Management
OCS	- Quarterly progress report
SPA	- Annual Workforce Management Plan

Strategic
3-year plan

Annual Strategic Work Plan

AGENDA

1. State Strategic Plan

2. Integrated 3-Year Agency Strategic Plan

3. Annual Strategic Work Plan

4. How the new process is different

5. How the content will be used

State Strategic Goals

VISION
A state government that is value-driven, customer-focused and results-oriented.

RESULTS FOR GEORGIANS

Educated	Healthy	Safe	Growing
Improve student achievement	Encourage healthy lifestyles through preventative care, disease management and early intervention	Promote safe communities and stable families where children can thrive	Increase quality jobs and promote innovation and investment in Georgia
Enhance the quality of the education workforce	Improve access to quality health care at an affordable cost	Provide a safe environment where Georgians live, work and play	Expand the economic impact of tourism and recreation throughout the state
Improve workforce readiness skills	Promote the most productive and independent lifestyle possible for Georgia's vulnerable citizens	Provide a safe and secure state by effectively managing and rehabilitating offenders	Improve mobility of people and goods around the state and metro Atlanta area
	Efficiently and effectively deliver health care programs	Promote homeland security and emergency preparedness for natural and man-made disasters or acts of terrorism	Improve overall environmental quality and conservation practices
		Reduce loss of life and injury on Georgia's roads	

Best Managed

| Employ an enterprise approach and best practices in Georgia's financial management	Deliver state services faster, friendlier, and easier	Strategically manage the state's infrastructure and be stewards of its assets	Provide an attractive place to work and build a career in state government	Improve decision makers access to quality enterprise data through integrated enterprise systems

STATE OF GEORGIA

Educated Georgia

- ## GOAL: Improve student achievement
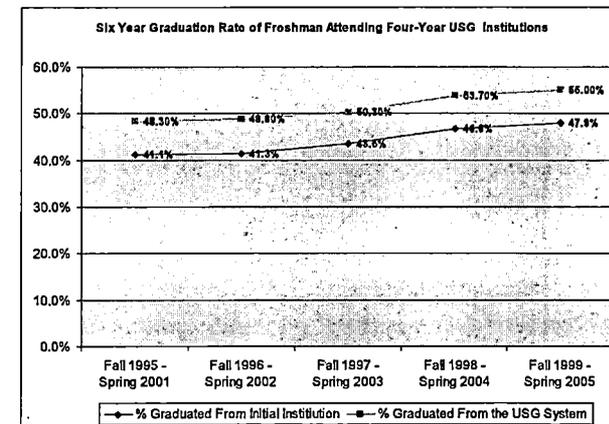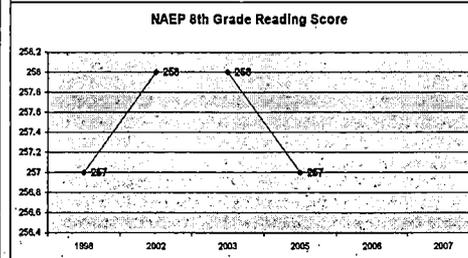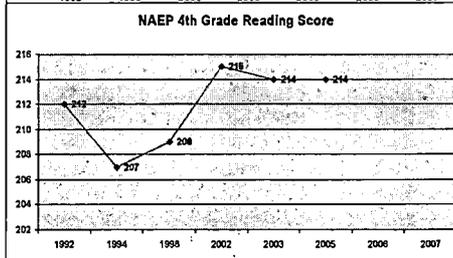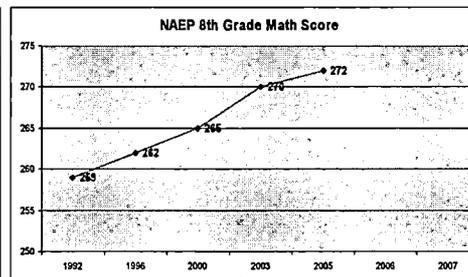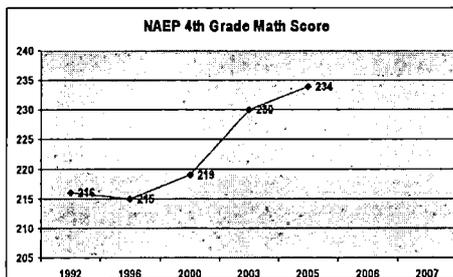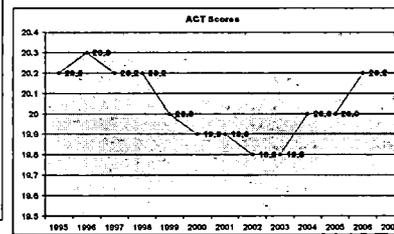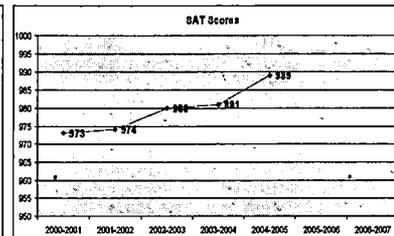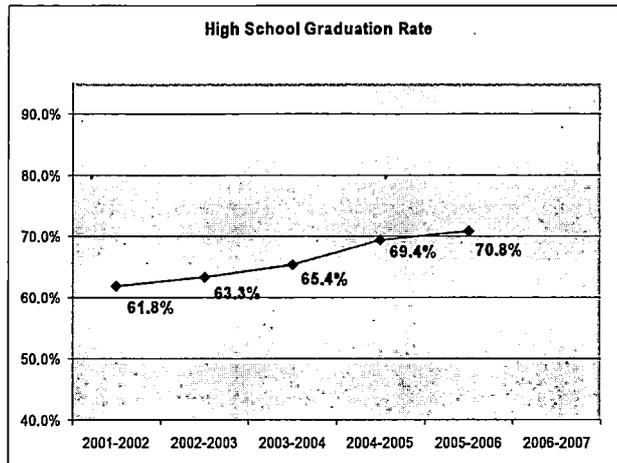
Policy Collaborative Governance
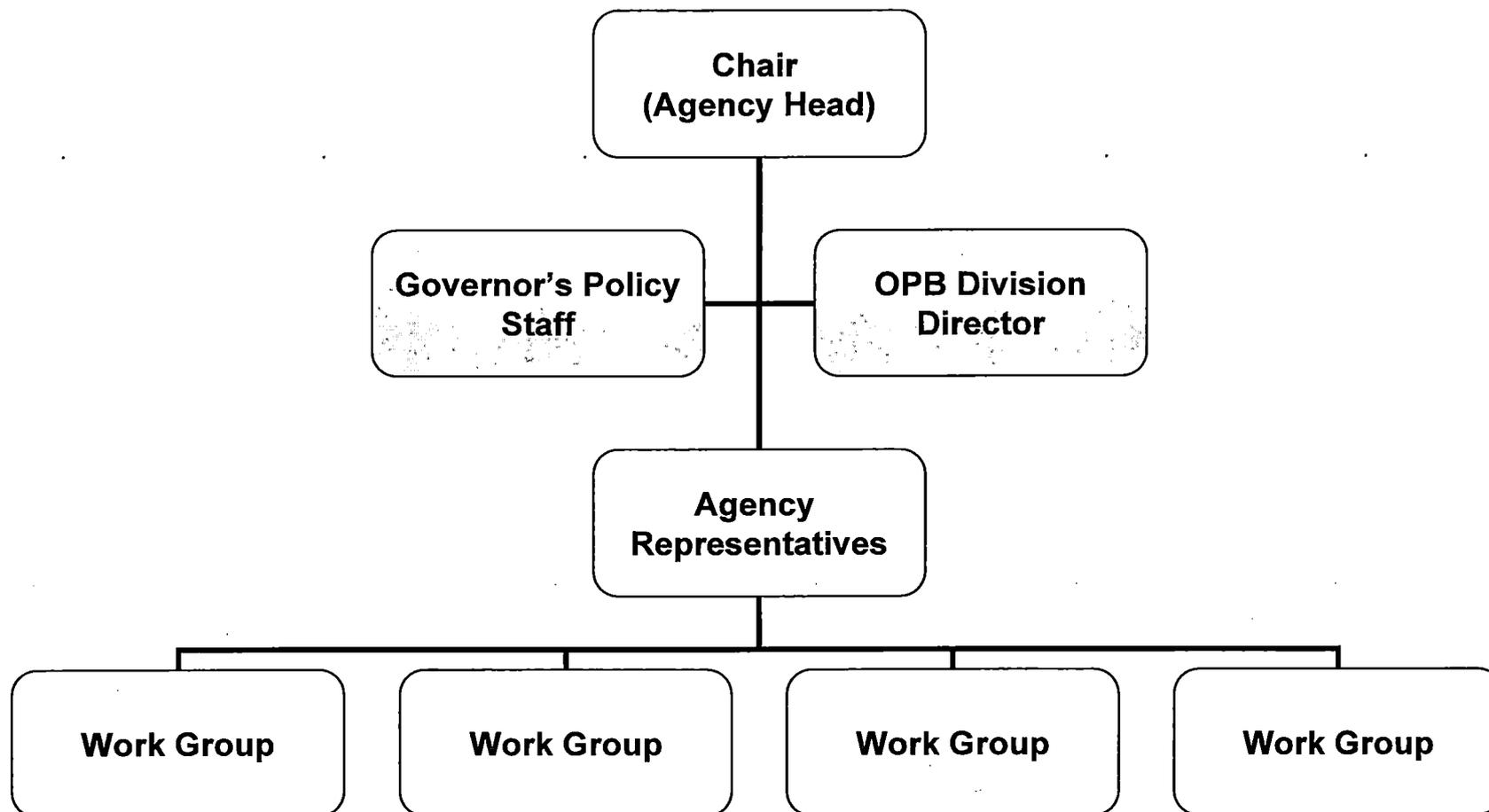
Action Items:

- Refine the statewide indicators

- Develop joint initiatives via policy collaborative to improve performance on statewide indicators

- Research root causes and leading indicators related to the statewide indicators

Results for Georgians

STATE
STRATEGIC PLANNING
FRAMEWORK

Results for Georgians

State Planning Framework

State Strategic Plan
(Goals and Statewide Indicators)

4+ year timeframe

State plan informs the development of the agency strategic plan

What will be done by the agency to achieve the state goals and affect the statewide indicators?

Agency goals should align to state goals

Agency Strategic Plan
(Includes resource planning for: IT, Staffing, Facilities/Space)

3-year timeframe

Agency plan is presented in more detail for the upcoming year

What will be done this year toward the agency goals?

e.g., Execution plan

Annual Strategic Work Plan

Key Strategies and Initiatives

1-year timeframe

Agency Activities and Operations

State Planning Framework

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┌─────────────────────────────┐
│     State Strategic Plan     │
└─────────────────────────────┘
           │      ▲
           ▼      │
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┃    Agency Strategic Plan     ┃
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┌─────────────────────────────┐
│  Annual Strategic Work Plan  │
├─────────────────────────────┤
│   Strategies and Initiatives │
└─────────────────────────────┘
```

Timeframe:
- 3-year plan
- Agency annually reassesses

Contents:
- Mission
- Vision
- Enterprise Issues, Barriers, Opportunities
- Goals
  - Alignment to State Goal
  - Measurable Objectives and other measures
    - Strategies
      - Description and Impact
      - Cost estimate/order of magnitude
      - When will you do it?
      - Benefit to customers
      - Impact on staffing?
      - Impact on IT?
      - Impact on facilities/space?
      - What budget programs are impacted?
      - Key Partners

Used By:
- Agency to lead and communicate direction
- Policy collaborative to see each agency's contribution toward a statewide strategy
- OPB, GTA, SPA, SPC for statewide planning
- Stakeholders to see agency strategic priorities

Results for Georgians

State Planning Framework
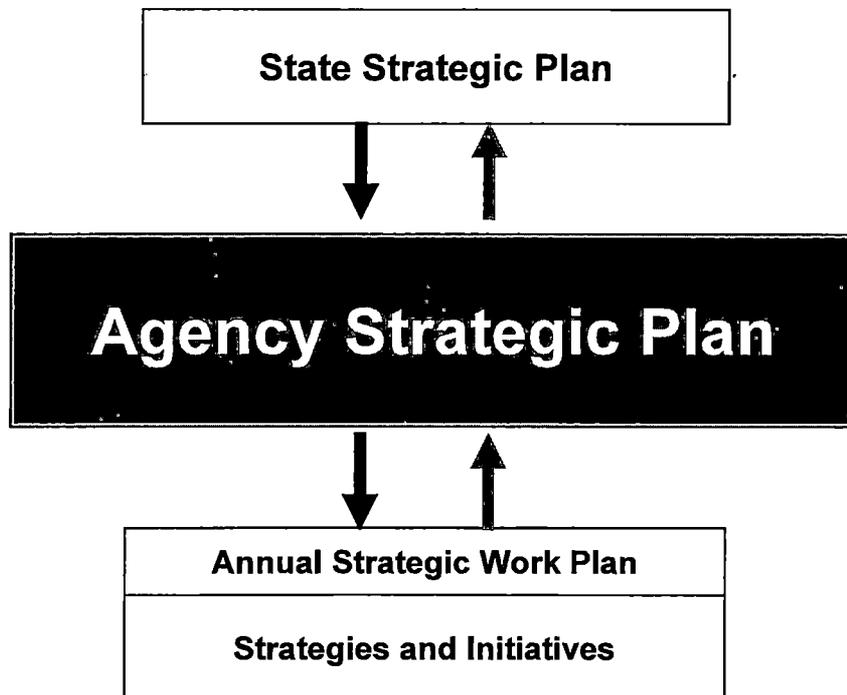
EXAMPLE: OPB

Goal

   → Strategy

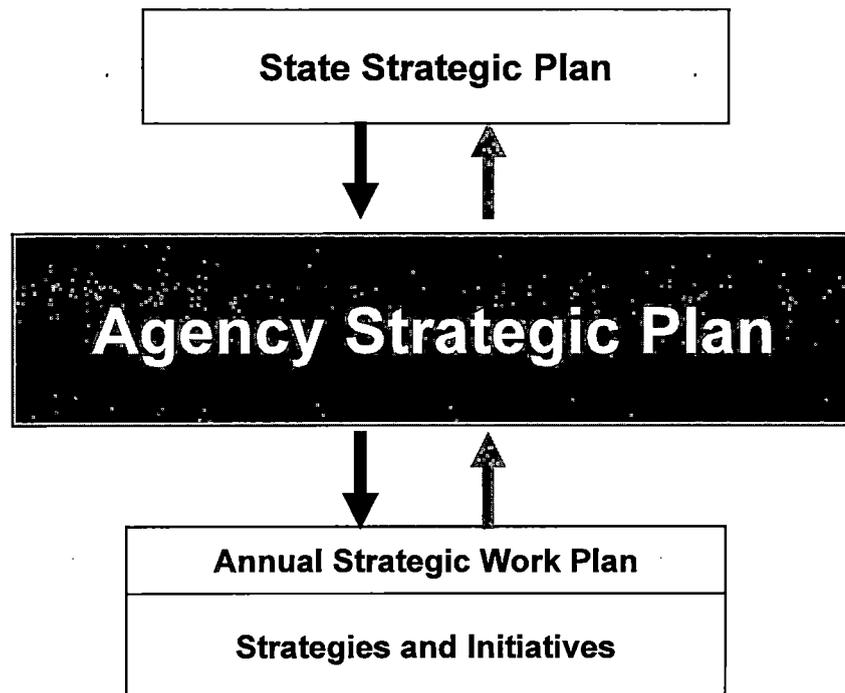   → Staffing Implications

      → IT Implications

         » Projects

      → Facility/Space Implications

         » Projects

State Planning Framework

State Strategic Plan

↓ ↑

Agency Strategic Plan

↓ ↑

**Annual Strategic Work Plan**

Strategies and Initiatives

Agency Strategic Plan

Action Items:

1. Identify a coordinator for strategic planning.

2. Align agency strategic goals to state strategic goals.

3. Identify the measurable objectives and strategies that will be employed to accomplish the agency strategic goals.

4. Coordinate internally and determine the resource implications of the agency strategic plan.

State Planning Framework

State Strategic Plan

↓ ↑

Agency Strategic Plan

↓ ↑

Annual Strategic Work Plan
Key Strategies and Initiatives
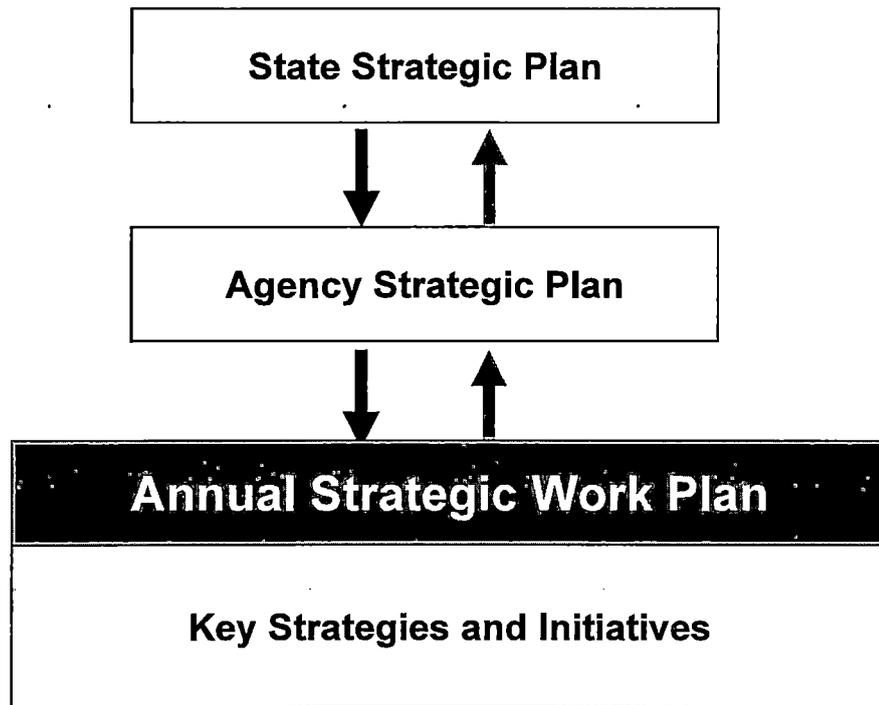
Timeframe
- 12 months
- Agency develops

Contents:
- Information about each strategy from the strategic plan that is being worked on or implemented

Used By:
- Agency
- OPB, GTA, SPA, SPC
- Policy Collaboratives

State Planning Framework

3-Year Agency Strategic Plan	Annual Strategic Work Plan

GOAL
  - Measurable Objective
    - Strategy #1
    - Strategy #2
    - Strategy #3
    - Strategy #4
	Strategy #1 (1 year or less)
	- How will a strategy from the 3-year plan be implemented?
	- What action is being taken toward the agency's strategies this year?

Results for Georgians

How this new process is different

Results for Georgians

What's Different?
<u>Focus on Strategic Direction</u>

<u>Strategic</u>

3 year plan

Annual
Strategic Work
Plan

<u>Operational</u>

OPB - AOB

- Budget Request

- Program Performance
  Measures

GTA - Annual Project Request (APR)

SPC - Space Portfolio Management

OCS - Quarterly progress report

SPA - Annual Workforce
  Management Plan

Results for Georgians

What's Different?
Integrated Strategic Planning Process

OLD WAY

Siloed Approach

- Agency Strategic Plan
- Agency IT Strategic Plan
- Customer Service Plan
- Facility Planning

Workforce Planning

Limited Emphasis on Implementation

NEW WAY

One Strategic Plan, One Process

- 3-year strategic plan
  - Enterprise Coordination

1-Year Strategic Work Plan (Covey 4DX)

Preliminary   →   Final

(September)   (May)

What's Different?

State Planning Due Dates in Sync

- Agency Strategic Plans [new]
  (3-year time horizon)
  - includes IT, Staffing, Facilities

  ➢ Due May 1, 2008   FY 2009-
  FY 2011

- Agency Strategic Work Plans
  (12-month plan)

  ➢ Due May 31, 2008   FY 2009

- Annual Operating Budgets and other
  operational plans

  ➢ Due May 31, 2008   FY 2009

- Agency Budget Requests and Proposed
  Annual Strategic Work Plan (Year 2)
  [Reflects the strategies that will be
  implemented in the next fiscal year]

  ➢ Due Sept. 1, 2008   FY 2010

- Year-End Strategic Work Plan Update

  ➢ Due Aug.15, 2009   FY 2009

Results for Georgians

What's Different?

Integrated Planning and Budgeting Process
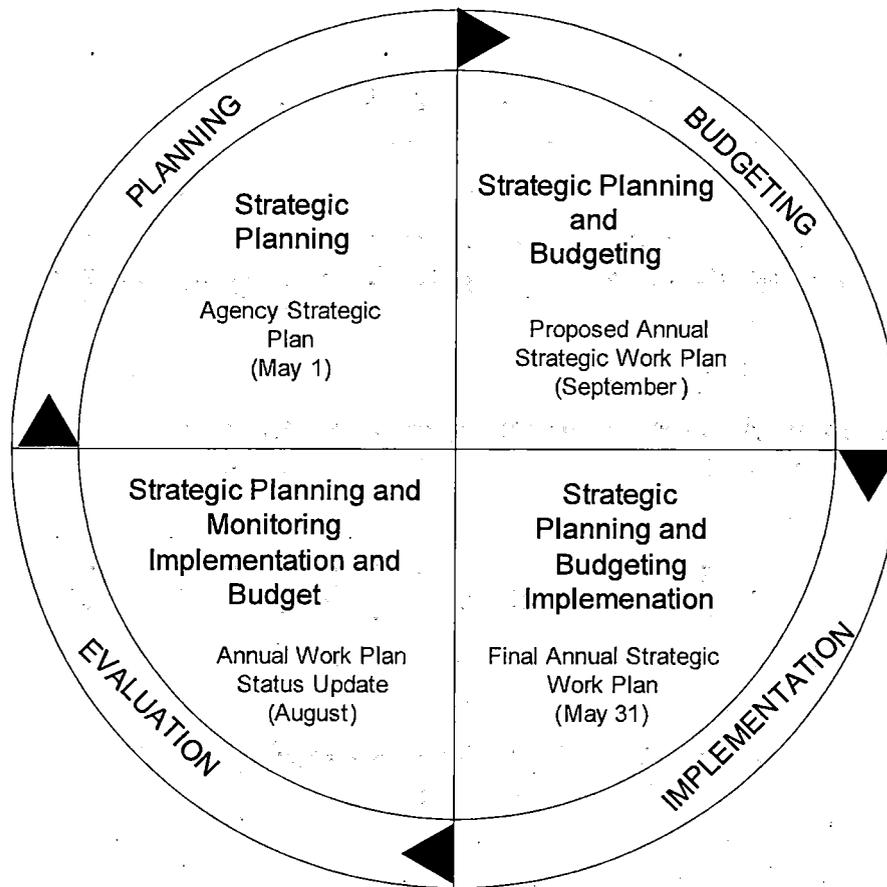
Results for Georgians

What's Different?
Enterprise Resource Planning

- Strategies
  - Staffing Implications
  - IT Implications
  - Space and Facility Implications
  - Financial Implications

Results for Georgians

What is Different?

- Clear distinction between strategic and operational efforts
- Integrated process
- Enterprise resource planning
- Due dates in sync

How the strategic planning content will be used

Results for Georgians

How the strategic planning content will be used?

- The agency strategic plan is for the use of the agency. It a document that communicates the agency's priorities and provides context for new investments, redirection of funds, process improvements and organizational change.

- The Governor, the CFO, the COO and OPB will use the agency strategic plan to assess how the agency is contributing in meeting the state strategic goals and the alignment of the agency's budget request to the agency's strategic plan.

- The agency head's annual performance review by the COO or CFO will include an assessment of how the agency contributed to achieving state goals and more specifically the agency's goals within its 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 the strategic investments from the requests to maintain operations.

- The Governor will be looking to see how agency strategic efforts will impact statewide indicators. How will an agency's budget request contribute to moving the needle on statewide indicators?

Results for Georgians

How strategic planning content will be used by the other planning agencies

Georgia Technology Authority (GTA)

- Separate agency IT strategic plan eliminated. GTA will use the agency strategic plan as a basis for understanding the business case for IT investments.

State Personnel Administration (SPA)

- SPA will use the agency strategic plan as a basis for understanding how the demands on the workforce are changing and how that impacts competencies and job families statewide. Plans also provide insight into future training needs.

Office of Customer Service (OCS)

- Separate customer service plan is eliminated. OCS will use agency strategic plans to identify agencies with customer-focused strategies and offer OCS planning and consultation services, such as customer service improvement, rapid process improvement, call center improvement, etc.

State Properties Commission (SPC)

- SPC will use the strategic plans to identify and coordinate similar projects and space needs across state government. Planning information will be used to coordinate the timing and implementation of infrastructure investments. To establish a uniform vision that ensures the highest and best use of the State assets.

Results for Georgians

Roll Out Timeline

February 2008	OPB issues the State Strategic Plan Draft OPB issues State Strategic Planning Guidelines Announce and discuss new process and requirements in CFO and COO direct report
February/March 2008	Information sessions and agency training
February/March/April	Agencies work on revising their strategic plans Policy collaboratives meet to refine statewide indicators
May 1, 2008	Agencies submit refreshed agency strategic plan where agency goals are aligned with state strategic plan goals
May 2008	OPB, GTA, SPA, SPO provide feedback on initial agency plan submissions
May 31, 2008	Agencies submit annual strategic work plans for FY 2009 with the FY 2009 AOB
June/July	OPB, GTA, SPA, SPO provide additional feedback on agency strategic plans and the alignment with state goals Agencies may use the summer months to revise and improve their 3-year agency strategic plans to better conform to the new planning guidelines.
September 1, 2008	Proposed annual strategic work plan due for FY 2010 with budget request
September/October	Budgets are analyzed by strategy and key investments by policy area
October/November	Governor discusses budget investments by policy area

Results for Georgians

Training and Communication Plan

January   - OPB Internal Training and Orientation

Early February   - COO and CFO agency head meetings

February   - Agency group presentations
                        - Integrated planning process

Late March   - Technical Training on HORIZON
                        - (Strategic Planning Data Collection Tool)

Balance Score Card Crosswalk

State Guidelines	Balance Score Card
Goal	Objective
Measurable Objective	Measure and Target
Strategy	Initiative

Provided by Leslie Lowe

Department of Early Care and Learning