

# PLANNING FOR SUCCESS: SHAPING KENTUCKY'S FUTURE

*A Handbook for Strategic Planning Teams*



# PURPOSE

The purpose of this handbook is to provide guidance and be a resource to assist agencies in the development of their strategic plans.

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## SECTION 1: Governor's Goals

- Wages
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*A statement of how the cabinet or administrative entity's strategic plan is aligned with the Governor's goals is linked to the budget request by program and the six year capital plan is required when submitting the four year strategic plan to the state budget director, the secretary of the Executive Cabinet, and the Legislative Research Commission with each biennial budget request.*

[KRS 48.810](#)

## **SECTION 2:     Developing the Strategic Plan: A Development Model**

The strategic plan presents the opportunity to focus on solving problems and increasing productivity, efficiency, and effectiveness in daily operations. A strategic plan is essential to an organization.

Strategic planning is an orderly sequence process that allows the team to:

- Clarify
- Document
- Communicate
- Implement priorities

### **Phase One: Analyze**

- Define the mission
- Conduct a SWOT analysis
- Create a vision
- Establish values
- State alignment to Governor's goals

### **Phase Two: Plan**

- Identify long-range goals
- Identify objectives
- Identify performance indicators

### **Phase Three: Implement**

- Develop operational plan
- Develop action plans
- Manage performance

### **Phase Four: Measure**

- Assessment
- Measure

### **Phase Five: Report**

## SECTION 3: Strategic Planning Glossary

*NOTE: \* Denotes components of the strategic plan required to be submitted to the state budget director, the secretary of the Executive Cabinet, and the Legislative Research Commission with each biennial budget request.*

<b><i>Action Plans</i></b>	are the steps to implement a strategy, i.e., specific tasks or activities assigned to individuals or groups and date of completion.
<b><i>Goals*</i></b>	are broadly defined end results and/or desirable strategic positions or conditions that provide direction for the agency.
<b><i>Mission*</i></b>	describes the agency's fundamental reason for being - its core purpose - and the functional role it plays in its environment.
<b><i>Objectives*</i></b>	are statements of specific, measurable achievements that will lead to the accomplishment of the agency's goals.
<b><i>Performance Indicators*</i></b>	are moment-in-time measures of desired conditions or results that help the agency track progress and success toward the fulfillment of its goals and objectives.
<b><i>Progress Report*</i></b>	contains data and information on the performance indicators set forth in the strategic plan.

<b><i>Situation Analysis*</i></b>	allows the planning team to determine where the agency has been and where it is today, including:
<b><i>-Strengths</i></b>	are specific organizational characteristics, attributes, or resources and things the agency does well in pursuit of its mission.
<b><i>-Weaknesses</i></b>	are things the agency does not do well and the specific <b>internal</b> organizational characteristics and attributes that are limiting the ability to effectively pursue the mission.
<b><i>-Opportunities</i></b>	are <b>possible</b> situations, conditions, resources, and people that the agency can capitalize on to achieve goals or objectives.
<b><i>-Threats</i></b>	are situations or conditions outside the agency that <b>may</b> occur and that <b>may</b> have a negative impact on the performance of the agency.
<b><i>Statement of Alignment*</i></b>	is a high level explanation of how the agency's strategic plan supports and aligns with the cabinet's strategic agenda by program.
<b><i>Strategies</i></b>	are statements of how the agency will deploy its resources to accomplish a specific objective.
<b><i>Values*</i></b>	are the fundamental ethical, moral, and professional business beliefs that guide organizational decisions and relationships.
<b><i>Vision*</i></b>	describes the agency's aspirations and ideal future.

## SECTION 4: Strategic Planning Phases

*A strategic plan is a detailed method worked out as preparation for the accomplishment of important business goals and objectives.*

### **Planning Guidelines**

To lay a foundation for a successful strategic planning process:

- Establish a planning team;
- Discuss the constructive purposes of strategic planning;
- Make sure everyone understands the process and expected outcomes;
- Allow sufficient time to go through the process;
- Discuss the agency's mission and your contribution to it;
- Build a foundation of information to lead to specific outcomes and outputs;

*The strategic planning process consists of a series of formative steps that begin with the contrast between present reality and a vision of the future. Its practicality and applicability determine the effectiveness of a strategic plan.*

### **Strategic Phases**

Strategic steps from vision to outcomes are:

- Phase One: Analyze
- Phase Two: Plan
- Phase Three: Implement
- Phase Four: Measure
- Phase Five: Report

## Planning Questions

An effective process provokes answers to the following questions:

- What is our purpose for existing?
- Who are our customers and stakeholders?
- What are our strengths and weaknesses?
- What trends affect our work environment?
- What factors are critical to our success?
- What fundamental policy decisions must we make?
- What values and principles must guide our decisions?
- What actions are required to implement our decisions?
- What are our priorities?
- What resources will we need?
- What will be the impact on our target groups or customers?
- How will we know that it is worthwhile?
- How will we analyze and explain that we are on or off track?
- How will we make necessary corrections during implementation?

# Phase One: Analyze

*The first phase analytical activities ground your plan in the realities of the current situation so you can apply practical criteria to the goals and objectives of the strategic plan. Think in terms of what it takes to do the work.*

## Step 1: Define the Mission

An agency's mission statement should provide a general description of its fundamental reason for being--the core purpose--and the functional role the agency plays in its environment. This statement will:

- Identify your customers and their expectations; and
- Clarify your responsibility for providing meaningful products or services.

## Formulating a Mission Statement

1. What "business" are we in? What is our core purpose?
2. How do we achieve our purpose?
3. Why is it important or valuable?
4. Who do we serve? Who are our key customers, clients, and stakeholders?

## Examples of Mission Statements

*To provide leadership, guidance, and benefits to attract, develop, motivate, and retain a talented, diverse workforce; foster an understanding of adherence to regulatory requirements; and create a positive, inclusive work environment that values all employees.*

*To deliver quality services that enhance the health, safety and wellbeing of all people in the Commonwealth of Kentucky.*

## Step 2: Conduct a SWOT Analysis

Ground the plan by examining your current environment. Identify *Strengths*, *Weaknesses*, *Opportunities* and *Threats*.

- Strengths and opportunities are positive factors that suggest competitive advantages, support current strategies and improve performance.
- Weaknesses and threats impede performance and suggest risks in the current strategies.
- Strengths and weaknesses indicate internal conditions.
- Opportunities and threats indicate external conditions.

### What is a Situation Analysis?

Situation analysis is the process of determining where the agency/organization area has been, where it is today, and where it wants to go. Completing a situation analysis allows you to identify and evaluate factors that have contributed to past successes and shortcomings and that must be taken into account for a successful future.

### Why Is a Situation Analysis Important in Strategic Planning?

Situation analysis allows you to look inside and outside the agency/organization in order to identify factors that are critical to future success. Understanding these factors helps identify strategic issues that must be addressed during the planning process. These issues provide a framework for setting goals and objectives.

Situation analysis is the foundation of strategic thinking and planning. The analysis, however, must be larger than mere “fact finding.” It must provide *situation insights*.

If the situation analysis is right, then all that follows will be right.

## How Do We Conduct a Situation Analysis?

Use the worksheets in this packet as a guide for thinking and research. Each person involved in the situation analysis process should work through the packet; however, you may not be able to answer every single question.

Don't limit yourself to the questions listed here. Use them to spur your own strategic thinking about the important issues and challenges we face.

After you have had an opportunity to think about and respond to the questions, you may participate in a facilitated session to develop your agency/organization's key *strengths*, *weaknesses*, *opportunities* and *threats*. This information will then be used in the development of the goals, objectives, strategies and action plans for the cabinet and your department.

		<b>Internal</b>			
		<b>STRENGTHS</b>		<b>WEAKNESSES</b>	
		Strengths are things the agency/organization does well and the specific organizational characteristics, attributes, and resources that help us achieve our mission.		Weaknesses are things the agency/organization does not do well and/or the <i>internal</i> (cabinet or state level) organizational characteristics and attributes that limit our ability to pursue our mission.	
<b>Positive</b>	<b>OPPORTUNITIES</b>			<b>THREATS</b>	<b>Negative</b>
	Opportunities are <i>possible</i> situations, conditions, resources, and people that the agency/organization can capitalize on to achieve goals or objectives.			Threats are <i>possible</i> situations or conditions <i>outside</i> (external to the enterprise) the agency/organization that <i>may</i> occur and that may have a negative impact on the performance of the agency/organization.	
		<b>External</b>			

## Gather Important Data

To be most effective, a situation analysis should rely on facts and data, not just opinion. You may have to conduct some research to discover these facts.

1. How is our agency/organization doing in our key performance areas?  
*(For example: customer service, productivity, meeting deadlines, etc.)*
  
2. What are some of the key trends in the kind of work we do – national, state, programmatic, etc.? *(For example: aging population, increased use of technology, decentralized services, etc.)*
  
3. What legal, legislative and statutory/regulatory issues do we need to pay attention to? *(For example: new legislation, case law, regulatory updates, etc.)*
  
4. What impact does the current political/legislative climate have on our ability to serve our customers? *(For example: program highlighted in legislative session, increased/decreased budget, etc.)*

## Complete SWOT Analysis

**STRENGTHS** are things the agency/organization does well and the specific organizational characteristics, attributes, and resources that help us achieve our mission.

Questions to consider:

1. What do we do best?
2. What do customers compliment us on most frequently?
3. Do we have employees with extensive institutional/program knowledge?
4. Do we have programmatic areas that have served as models within the state or nation?

List below the STRENGTHS of your agency/organization:

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

**WEAKNESSES** are things the agency/organization does not do well and/or the *internal* (cabinet or state level) organizational characteristics and attributes that limit our ability to pursue our mission.

Questions to consider:

1. What do we have the most trouble doing?
2. What do clients routinely voice complaints about?
3. Do we have high turnover rate?
4. Do we have inefficient processes and/or outdated technology?

List below the WEAKNESSES of your agency/organization:

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

**OPPORTUNITIES** are *possible* situations, conditions, resources, and people that the agency/organization can capitalize on to achieve goals or objectives. Current strengths may suggest opportunities for the future. Weaknesses may also suggest opportunities for the future if their effects can be minimized.

Questions to consider:

1. How does legislation positively affect the manner in which we are able to serve our clients?
2. Do we have access to additional resources through special grants, funding matches, etc.?
3. Do we have strategic partnerships with organizations outside state government?
4. Is there technology available that will help us serve our customers better and more efficiently?

List below the OPPORTUNITIES that can be developed by your agency/organization:

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

**THREATS** are *possible* situations or conditions *outside* (external to the enterprise) the agency/organization that *may* occur and that may have a negative impact on the performance of the agency/organization.

Questions to consider:

1. How does legislation negatively affect the manner in which we are able to serve our customers?
2. How do the overall state and cabinet budgets affect us?
3. Has the customer population increased greater than our resources?
4. How will the retirement window affect our agency/organization?

List below the THREATS that must be addressed by your agency/organization:

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

## Step 3: Create a Realistic Vision

### What is a vision?

Vision starts with the future, not the present. It describes where you want your organization to be in the future. It is a statement of the organization's preferred or desired future. A vision provides a Technicolor picture of what the organization aspires to be, to have or to achieve. A realistic vision should accomplish improvements in efficiency or effectiveness to support your mission.

The vision is:

- An inspiring view of your desired future state; and
- The basis for your goals and objectives.

### Development of a Vision Statement

This description of the vision you want to achieve is a concise statement of what the organization wants to be at the end of the planning cycle.

The vision statement:

- Becomes your benchmark or blueprint for the future;
- Extends the range of your performance potential to improve or be efficient; and
- Advances the mission with goals emerging from the vision.

### Examples of Vision Statements

Governmental Services Center

*To provide learning opportunities and performance consulting services that assist individuals and organizations in Kentucky state and local governments to continuously improve performance.*

Transportation Cabinet

*Working together to lead the Southeast in providing a transportation infrastructure and transportation services for the 21<sup>st</sup> century that deliver new economic opportunities for all Kentuckians.*

## Create Your Agency's Vision

A. Identify aspirations and define success.

1. What are your aspirations for the agency?

2. How do you define "success" for the agency?

B. Using your responses to the questions listed above, develop a list of vision statements that describe your ideal image or desired future of the agency.

For example, you might consider such statements as:

Our agency's vision is to

Be . . .

Achieve . . .

Have . . .

## Step 4: Identify Core Values

### What are core values?

Core values are the fundamental ethical, moral, and professional beliefs that guide your business decisions. They are the foundation on which you build your internal and external business relationships. Core values are the measure by which you determine the “rightness” of your vision and direction.

### What are the characteristics of core values?

They are meaningful to everyone in the agency and are demonstrated in the decisions, actions, and behaviors of everyone who works there. They are visible but rarely quantified (although everyone knows whether they are being demonstrated). They are complementary; they do not conflict with each other.

### Why are core values important in the strategic planning process?

Core values influence an agency’s culture, leadership style, attitudes, behavior, performance, and operating standards. Core values help an agency choose effective strategies. Core values help an organization maintain its integrity.

### Examples of core values

#### **Personnel Cabinet**

*Integrity* - We adhere to the highest legal and ethical standards.

*Quality* - We are committed to providing quality customer service. We will continually review our business processes based on customer needs and establish measures by which we will monitor our effectiveness.

*Inclusion* - All employees should feel valued, respected, and supported. We will promote a diverse and respectful work environment. We will ensure equal access to the Commonwealth’s employment opportunities and other human resource services



# Phase Two: Plan

## Process Steps for the Planning Phase

### Step 1: Identify Motivating Long-Range Goals by program (where):

Goals broadly define end results and/or desirable strategic positions, or conditions. Goals reflect priorities.

Ideally, goals are:

- Strategically desirable
- General and broad
- Consistent with the mission
- Identified for the organization as a whole

### Step 2: Identify Objectives by program (what):

Objectives are statements of specific, measurable achievements that will lead to the accomplishment of the agency's goals by explaining (1) what must be done and (2) when it must be done. Objectives demonstrate exactly what the organization will do to reach its desired future and are linked to specific goals.

Ideally, objectives are:

- **S**pecific and supportive of goals
- **M**easurable (what)
- **A**ction oriented
- **R**ealistic and compatible with other agency objectives
- **T**ime related (when)

### **Step 3: Identify Performance Indicators (progress):**

Performance indicators are moment-in-time measures of desired conditions or results that help organizations track progress and success toward the fulfillment of goals and objectives.

- Quantitative performance indicators: percentages, ratios, amounts, or costs.
- Qualitative performance indicators: perceptions such as service quality, customer satisfaction, or program effectiveness.

There are different types of performance indicators such as output, outcome, efficiency, and input measures.

### **Step 4: Identify Strategies (how):**

Strategies are statements of how the organization will deploy resources such as people, money and time to accomplish a specific objective. They provide the boundaries for developing action plans.

### **Step 5: Create Action Plans (who and when):**

Action plans are the steps or tasks to implement a strategy, i.e., specific tasks and activities assigned to individuals or groups and date of completion.

## Example of a Goal, Objective, Performance Indicators, Strategy, and Action Plan

**Goal 1:** To achieve employee job satisfaction.

**Objective 1.1:** To implement a professional development plan for all employees and managers by January 2024.

### Performance Indicators:

**Output:** All employees and managers have completed their training plan by the end of 2024.

**Outcome:** 80% of participants surveyed rate how effectively the training met their needs back on the job as “Highly Effective” or “Effective”.

**Strategy 1.1.1:** Create a team to identify training needs and propose a training plan.

### Action Plan:

<b>Task/Activity</b>	<b>By When</b>	<b>Person/Team Responsible</b>
1. Develop training needs survey.	April	Team
2. Conduct survey of all employees/managers.	May	Commissioners
3. Develop and recommend a three-year training plan.	September	Team
4. Review the recommendation.	October	Agency Secretary
5. Revise if necessary.	November	Team
6. Implement training plan.	January	All Managers

## Identify Long-Range Goals by Program

Goals broadly define end results and/or desirable strategic positions or conditions which begin the process of closing the gap between the current situation and the desired future by establishing the organization's direction. Goals also provide a framework for identifying specific, measurable objectives. In addition, they provide direction about what the organization wants to be, have, achieve, etc. Goals do *not* direct resources or represent an activity or endeavor.

Ideally, goals are:

- Strategically desirable
- General and broad
- Consistent with the mission
- Identified for the organization as a whole

**GOAL # 1:**

**GOAL # 2:**

**GOAL # 3:**

**GOAL # 4:**

**GOAL # 5:**

## Identify Objectives

Objectives are statements of specific, measurable achievements that will lead to the accomplishment of the agency's goals by explaining (1) what must be done and (2) when it must be done. Objectives demonstrate exactly what the organization will do to reach its desired future and are linked to specific goals.

Ideally, objectives are:

- Specific and supportive of goals
- Measurable (what)
- Action oriented
- Realistic and compatible with other agency objectives
- Time related (when)

### **GOAL #1:**

#### **OBJECTIVES:**

- 1.
- 2.
- 3.

### **GOAL #2:**

#### **OBJECTIVES:**

- 1.
- 2.
- 3.

### **GOAL #3:**

#### **OBJECTIVES:**

- 1.
- 2.
- 3.

## Performance Indicators

Performance indicators are moment-in-time measures of desired conditions or results that help organizations track progress and success toward the fulfillment of goals and objectives. Performance indicators meet a fundamental business need to know where you stand.

Quantitative performance indicators are based on objective data such as percentages, ratios, amounts, and costs. Qualitative performance indicators may be more subjective and relate to perceptions such as service quality, customer satisfaction and program effectiveness.

Measuring performance requires collecting, organizing, and analyzing quantitative and qualitative data and information related to indicators. When determining performance indicators, remember:

- What gets measured gets attention, so it is critical to measure the right things, i.e., results; not just effort.
- Set performance indicators for the *significant few*, rather than the *important many*.
- Recognize that performance indicators will not likely tell what caused the results or what actions to take to improve the results.
- Statements of activities or efforts are not performance indicators.

### Criteria for effective performance indicators:

- **Results oriented** — focus principally on outcomes.
- **Selective** — concentrate on the most important indicators of performance.
- **Reliable and timely data** — accurate and consistent over time.
- **Useful** — valuable information to both policy and program decision makers.
- **Accessible** — information and data are readily available.

## Performance Indicator Measurement Definitions

Each type of measurement is designed to answer different questions about a service, program, or activity.

### Output Measures

Focus on the level of activity in providing a particular program or service. Workload measures, which are designed to show how staff time will be allocated to respond to service demand, are the most commonly reported, e.g., number of tax returns processed, number of fire alarms answered, number of water pipe leaks repaired, number of claims processed, number of employees trained. Other output measures are concerned with the processes used in providing the activity, e.g., reviewing tax returns, developing a workshop, or interviewing a client.

Output measures are useful in defining the activities or units of service provided. A significant drawback is that they provide no indication of whether the goals established for the service are being met, nor can they be used to assess the quality of a program or service. In other words, cause-effect relationships cannot be determined by output measures.

### Outcome Measures

Focus on the actual impact or benefit of the programs and services. They are used to evaluate the quality or effectiveness of public programs, i.e., the effects that take place outside the agency and that relate to the customers of the program or service

**Output** defines the activity, **outcome** measures the success of that activity.

## **Efficiency Measures**

Measure the cost (in dollars or personnel hours) per unit of output or outcome. These measures are used to determine productivity trends in the provision of programs and services. They are also used to provide an indication of the cost-effectiveness of a program.

## **Input Measures**

Address the question of resources used to produce the programs or services and the factors that affect agency performance, i.e., information that helps explain why the latest performance measurement indicators are the way they are; for example, number of applications received, weather conditions, reduction in staff.

# Phase Three: Implement

Implementation gives credibility to planning because this phase is the crosswalk of strategic plans into daily operations.

A successful implementation mitigates crisis management by unifying daily operations with strategic processes. Strategy implementation promotes efficiency. Leaders cultivate a broader perspective and become more experienced by setting and managing the long-range view through action planning.

Leaders who direct implementation must create or adapt processes and tools that support their efforts to set standards and expectations for performance and manage and track progress.

Implementation involves three essential components:

1. Developing an operational plan (executive management tool)
2. Developing performance action plans (management tool)
3. Managing performance (supervision and project leadership tool)

## **Implementation Guidelines**

During the implementation phase:

- Communicate planning results.
- Determine who needs to be involved.
- Make specific assignments.
- Convert objectives into performance activities.
- Formulate a comprehensive operational plan to coordinate all performance activities.
- Define the scope of individual projects.
- Use project management tracking tools to detail activities of all critical projects.
- Conduct regular project reviews and evaluate progress.
- Integrate significant project tasks into management tools such as Individual Development Plan and Performance Planning and Review.
- Make changes and corrections necessary to achieve targets. Extend and revise action plans for the next phase.

## Operational Planning

*Operational planning sets the implementation phase of the strategic plan in motion. This is the process through which we strategically manage the gap between the present and the vision of the future.*

### Process Steps for Operational Planning

#### Step 1: Develop an Operational Plan

The operational plan coordinates the overall scope of the implementation. It is the executive management tool for translating performance measures and targets from the strategic plan into performance initiatives. It is also the approved charter for authorizing initiatives and appropriating resources.

Use operational planning tools to coordinate all activities emerging from the strategic plan including:

- Operations (ongoing efforts or activities that are built into the daily routine to generate repetitive products or services);
- Projects (temporary and unique initiatives with definite perimeters); and
- Programs (service delivery systems).

#### Step 2: Develop Performance Action Plans

Performance (action) plans define and clarify details that link strategic plan objectives, performance measures, and targets to specific tasks and performance milestones.

Action plans formulate:

- Implementation activities into performance projects, ongoing operations, and programs;
- Assignments and responsibilities;
- Communication tools and methods;
- Resources; and
- Expected deliverables, timelines, and completion deadlines.

### Step 3: Manage Performance

Effective communication systems are essential to implementation. To maximize progress toward achieving goals, communicate standards, expectations, and guidelines for performance. Monitor and document progress.

Prove results and ensure continuous progress by:

- Demonstrating supportive management behaviors;
- Conducting ongoing appraisals of movement toward projected goals and outcomes;
- Emphasizing feedback;
- Making necessary modifications in direction; and
- Creating reports.

### Implementation Questions

- What is the overall scope of the work that we need to accomplish?
- What are our priorities?
- We will achieve our objectives as the result of what actions?
- What is the starting point and sequence for our actions?
- What projects, operations, or programs must we design?
- What activities and processes must we integrate into the daily operations?
- What resources will we need?
- What will be the impact of these actions on our customers or target group?
- What will be the impact of these actions on our internal organization?
- Who are the sponsors and stakeholders whose interests are affected?

**Implementation Phase: Operational Plan**  
*Executive Management's Overall Scope*  
Sample Form

Overall Time Frame: \_\_\_\_\_

<b>Strategic Objective</b>	<b>Major Performance Initiatives</b>	<b>Responsible Manager</b>	<b>Resources</b>	<b>Deliverables Outcomes/ Outputs</b>

## Develop Performance Action Plans

Many performance action plans can flow out of the operational plan. These plans advance the levels of detail and specific steps that are required to implement the strategic plan. Action plans:

- Link operational initiatives to performance activities such as projects or ongoing operations.
- Preplan each unique activity.
- Focus on what work it will take to accomplish that performance activity.
- Organize the work into a series of progressive steps or tasks that are logically related.
- Define completion dates for the delivery of tangible outcomes, estimate time requirements and material resources, and identify necessary team members.
- Organize tasks into performance plans that link the objective with individual or group responsibilities for outcomes.

## Action Planning Process Steps

To create an action plan:

- Step 1: Break initiatives into manageable parts.
- Step 2: Sequence interdependent activities.
- Step 3: Coordinate human and material resources.
- Step 4: Create schedules for completion for periods of up to a year.

## Implementation Phase: Action Plan

### *Manager's Tool*

#### Sample Form

<i>Description of Strategic Objective:</i>	<i>Measures:</i> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> </ol>
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<b>Performance Activities</b> <small>Projects/Operations/ Programs</small>	<b>Project Leaders</b>	<b>Resources</b>	<b>Status</b>	<b>Timeframe</b> <small>(Start Date/End Date)</small>

## Manage Performance

Communicate performance requirements to all staff who do the work. Create reporting processes and systems. When necessary, provide coaching, training, or performance feedback to support effective individual and group efforts. Use project management tools. To manage performance, track and manage all performance activities, including:

- Temporary projects, ongoing operations, or programs that create specific outcomes or outputs;
- Specific related tasks;
- Staff assignments and responsibilities;
- Resources;
- Expected deliverables; and
- Timelines and completion deadlines.

## Performance Management Process Steps

To manage performance:

- Step 1: Lay out specific initiatives to implement objectives.
- Step 2: Sequence activities for periods of up to a year.
- Step 3: Coordinate details such as tasks, staff assignments, and material resources.
- Step 4: Create schedules for completion
- Step 5: Support performance efforts with necessary material resources and skills training.

## Performance Management Questions

- What will be new or different as a result of the initiative?
- What tangible, measurable, verifiable outcome will be delivered?
- Are there project phases of related activities?
- Are there milestones or significant events or completions within the project?
- Which individuals will be actively involved?
- Which equipment and materials are needed to execute the project?
- What are the specific timeframes and completion end dates?

## Implementation Phase: Performance (Project) Plan

### *Project Leaders' Tool*

Sample Form

Team Leader:

Overall Time Frame:

Due Date:

Performance Activity <i>(Project/Operations/Programs)</i>	Deliverables <i>(Tangible Outcomes or Outputs)</i>	Strategic Plan Objective <i>(Link for Impact)</i>
--	---	--

Tasks	Responsible Staff	Progress Status	Issues	Date Finished
1.				
2.				
3.				
4.				
5.				
6.				

# Phase Four: Measure

*Measuring results is essential to the achievement of long-range goals. Your assessment data will reflect the direct effects of each strategy on your organization and on your customers. Continuous assessment of the impact of actions and strategic operations is critical to the success of plans because monitoring keeps plans on track. The process requires systems to measure results, monitor progress, and compile management information.*

## Assessment Tools

A variety of assessment tools and software may track:

- Processes related to performance of services or products;
- Internal and external customer satisfaction and feedback;
- Employee performance;
- Employee satisfaction; and
- Quality matrixes for error rates, efficiency, and effectiveness.

## Process Steps for Measure Phase

To measure results:

Step 1: Decide which aspects of your projects would benefit from comparative or benchmark information and data.

Step 2: Determine the appropriate quantity and type of data to collect.

Step 3: Select methods to assess and report progress.

## Measure Questions

- How will we measure results against our targets?
- How will we monitor and document progress?
- What will the impact be on our target groups or customers?
- How will we know that it is worthwhile?
- How will we analyze and explain that we are on or off track?
- How will we make necessary corrections during implementation?

# Phase Five: Report

## Progress Report: Getting Started

In order to begin a progress report, it is important to obtain the current strategic plan. Once obtained, copy the strategic plan's goals and objectives to a new document and title it, "**Strategic Plan Progress Report, Agency Number and Name, Origination Date, Revision Date, and Revision Number.**" The main purpose of the progress report is to **quantify and describe the agency's progress toward achieving each of the goals and objectives** in the strategic plan under which the agency operated in the prior year.

For each goal and its objective(s), the progress report should contain either a **quantified statement of progress** or one of the following explanatory notes:

- "The program/project has not yet begun;"
- "The program/project has begun but it is too early to see quantitative results;"
- "The program/project has been postponed and is expected to begin on \_\_\_\_\_ [insert expected start date] \_\_\_\_\_;" or,
- "The program/project has been cancelled or postponed indefinitely."

There is no formal template for the progress report because the number of goals and objectives will vary from one agency to another. However, a progress report format is required for the electronic submission to the Office of the State Budget Director or its designee.

**NOTE:** Sometimes the process of developing a progress report will uncover items in the agency's strategic plan that may have changed. An agency may update its strategic plan at any time and send a revised copy to the state budget director, the secretary of the Executive Cabinet, and the Legislative Research Commission.

## Progress Report Steps

1. **Goal:** Write the goal number and goal statement by program.
2. **Objective:** Write the objective number and objective statement under this goal.
3. **Objective:** Is there another objective under this goal?
  - a. If “YES” go to Step 2 again.
  - b. If “NO” go to Step 4.
4. **Goal:** Is there another goal in this strategic plan?
  - a. If “YES” go to Step 1 again.
  - b. If “NO” end the process.

## Format of the Progress Report

*Title block, top of page:*

[Title] “Strategic Plan Progress Report”  
[Insert Agency Number and Name]  
[Insert Progress Report Original Submission Date]  
[Insert Revision/Update Date]  
[Insert Revision Number]

*After the title block, **organize the progress report by goal.** Each goal by program is a primary section of the report.*

Goal number/statement by program

Objective number/statement by program

Agency progress on this objective

*[Repeat this for each goal]*