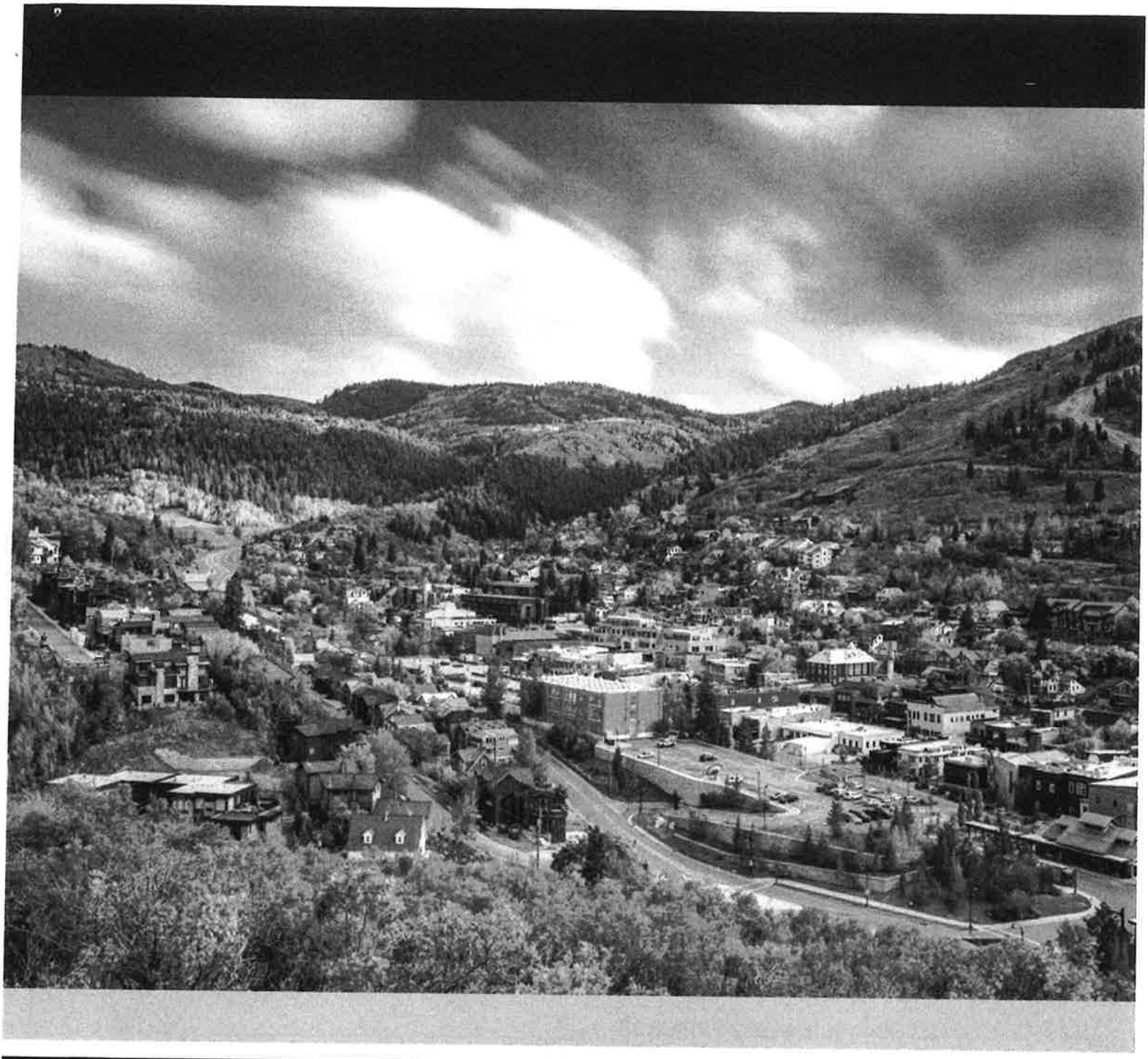


GOPB GUIDE TO STRATEGIC PLANNING

How to develop and use strategic plans to drive the best use of Utah's resources

Updated September 2023

GOVERNOR'S OFFICE OF
Planning & Budget

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EXECUTIVE SUMMARY

The Cox-Henderson administration prioritizes strategic planning and improving agency strategic plans to drive effective investments and best use of Utah's resources. These plans should include efforts to improve efficiency, productivity, and customer service.

This strategic planning booklet is meant to establish philosophy, structure, and best practices for creating an agency strategic plan, and help agencies align priorities for statewide coordination. GOPB's mission is to drive the best investment and use of Utah's resources-- we're here to help!

Expectations

In the past, agency strategic plans were in various stages of use and completion. After a focus on strategic planning in FY24 and a requirement to create a complete strategic plan by the FY25 budget cycle, all agencies will now continue to maintain strategic plans that:

- Guide performance measure development
- Consider future opportunity goals
- Drive budget development

Why develop a strategic plan?

While it takes time and focused attention to produce, strategic planning is one of the most valuable exercises that an organization can do. Developing and regularly referring to a strategic plan promotes effective work, facilitates performance measurement, and improves strategic budgeting.

How are strategic plans used?

Strategic plans are only useful when they are reviewed often, integrated into daily operations, and actively guiding decision making. The planning process is beneficial to highlight agency vision, mission, goals, and strategies, but real progress will only take place when the plan is put into action.

Strategic plans should be significantly refreshed and reviewed at least every four years. Agencies should perform an in-depth evaluation using observations from monitoring at least once a year. It may be helpful to do this in-depth review at the beginning of the fiscal year before determining budget requests.

What is included in a strategic plan?

Strategic planning is a long-term and future-oriented process of assessment, goal setting, and decision making. It includes a multi-year view of objectives and strategies for accomplishing agency goals. The strategic planning process requires each agency to clearly define the results it seeks to achieve. These desired results drive program performance and influence future planning, resource allocation, and operating decisions.

This guidebook will help your agency draft a strategic plan that effectively guides and empowers your organization. The completed document should be shared widely and used by all employees to understand how their work fits into the larger mission of your organization.

FIGURE 1: Strategic planning elements



SOURCE: *Governor's Office of Planning and Budget*

INTRODUCTION

The Cox-Henderson administration prioritizes strategic planning and improving agency strategic plans to drive effective investments and best use of Utah's resources. These plans should include efforts to improve efficiency, productivity, customer service, and should include the governor's principles on innovation. If needed, the Governor's Office of Planning and Budget (GOPB) will provide professional and technical assistance as agencies develop their strategic plans.

Expectations

In the past, agency strategic plans were in various stages of use and completion. After a focus on strategic planning in FY24 and a requirement to create a complete strategic plan by the FY25 budget cycle, all agencies will now continue to maintain strategic plans which:

- Guide performance measure development
- Consider future opportunity goals
- Drive budget development

In addition, agency strategic plans should tie into Cox-Henderson administration priorities of focusing on people, growth, and good government, including in the areas of:

- Economic advancement
- Education
- Rural issues
- Health security
- Equity and opportunity
- State government effieciency
- Innovation

This four-part strategic planning booklet is meant to establish philosophy, structure, and best practices for creating an agency strategic plan, and help agencies align priorities for statewide coordination. It is a reference guide to assist in the strategic plan creation process.

PART 1 Why develop a strategic plan?

PART 2 How are strategic plans used?

PART 3 What is included in a strategic plan?

PART 4 How is a strategic plan developed?

PART 1: WHY DEVELOP A STRATEGIC PLAN?

Promotes effective work

A strategic plan sets direction, establishes priorities, and clearly defines the best route for agency efforts in day to day practices as well as future endeavors. It is backed by clear reasoning and good data. Efficacy of employee work increases with clear direction and coordinated efforts.

The planning process itself benefits agencies by simplifying decision making, improving self-awareness, and investigating agency strengths and weaknesses. Planning processes require conversations among employees and stakeholders, and promote a synergized effort to improve internal processes, make the best use of resources, and provide customer-focused services and products.

A successful strategic plan is a powerful communication tool. As a written document, it clearly communicates what the agency is doing, what it hopes to do, what employees are working on, and in what order goals are being pursued.

When employees understand the agency plan and their part in it, there is a shared sense of purpose, motivation, and desire for success. Members of the public, decision makers, stakeholder groups, and staff use the plan to learn about the agency's statute, mission, vision, activities, goals, and performance measures. Likewise, agency leadership use the plan to inform major decisions, updating the plan when necessary, so employees easily understand the direction their work is moving.

Facilitates performance measurement

A strategic plan helps an agency regularly review goals and assess progress. Agencies can evaluate what strategies are effective and make adjustments to the overall plan. As employees work on specific strategies, progress should be tracked to help plan future efforts.

Agency strategic plans should demonstrate the link between agency strategies and performance measures required by HB 326, Performance Reporting and Efficiency Requirements (M. Ballard) from the 2021 General Session. GOPB and the Office of the Legislative Fiscal Analyst (LFA) have created a Performance Measures Playbook to guide agency compliance with these requirements. It states:

> "...Utah has moved to align the performance measures set by the legislative and executive branches. These measures are meant to tell the story of investments of taxpayer dollars. Performance measures help stakeholders navigate and understand state government and facilitate data-driven decision making within agencies."

Through strategic planning, agencies can establish meaningful measures that fulfill statutory requirements, demonstrate good stewardship of state resources, and show progress toward the agency's mission.

Improves strategic budgeting

Strategic plans should determine an agency's budget priorities and performance measures, so the needs, goals, and accountability of an agency are effectively communicated. Strategic plans should demonstrate which performance measures have the most value and provide supporting justification for budget requests.

PART 2: HOW ARE STRATEGIC PLANS USED?

Strategic plans are only useful when they are reviewed often, integrated into daily operations, and actively guiding decision making. As the plan is being developed, agencies should consider how the plan will be used. The planning process

FIGURE 2: Strategic plan poster

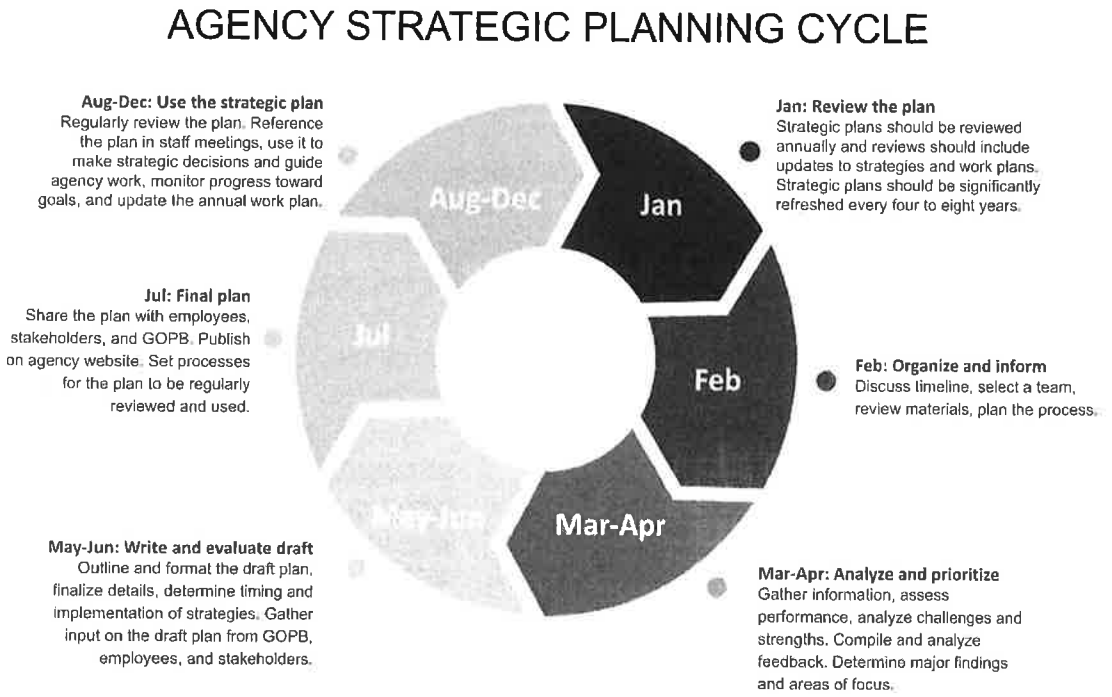


SOURCE: *Department of Cultural and Community Engagement*

Ideas for Implementation

- *Spotlight core values in staff meetings*
- *Tie employee evaluations to department goals and strategies*
- *Review relevant goals in team meetings and when evaluating new projects*
- *Display visual reminders of mission in email signatures, common areas, presentations, and document branding*
- *Utilize the plan to tell the agency story to stakeholders and build relationships*
- *Highlight strategic plan accomplishments in quarterly reports*
- *Use the plan to build agency culture and unite employees around the agency vision*
- *Base budget discussions and requests on strategic plan elements*

FIGURE 3: Cyclical nature of strategic planning



SOURCE: *Governor's Office of Planning and Budget*

is beneficial to highlight agency vision, mission, goals, and strategies, but real progress will only take place when the plan is put into action.

Agencies should review strategies and action plans at each staff meeting, or at least monthly. Some agencies may have advisory boards review strategies and action plans at board meetings as well. This review should have a permanent spot on meeting agendas, and can help ensure that agency leaders are focused on strategic priorities.

Agencies are strongly encouraged to develop annual work plans that map out how the agency will implement strategies identified in its plan. A champion (one or more employees who are responsible for tracking and advocating individual strategies to ensure accountability) should be assigned to each strategy. These champions should be specified by position or title, such as commissioner, division director, public information officer, etc., rather than by name. When the strategic plan is reviewed in a staff meeting, champions should be asked to report on the status of the strategy efforts, current trends pertaining to that strategy, and any metrics being tracked.

New initiatives, projects, or efforts should be evaluated using the agency strategic plan. New policies, such as performance management, should be incorporated into strategic plans. Every new activity should relate back to the strategic plan, be deliberate, and advance agency goals.

Budget request forms will include a requirement to connect the request to the agency's goals as outlined in their strategic plan. Agencies should review their strategic plans before making budget requests to ensure that budget requests are actively advancing implementation of the plan.

Budget request forms will include a requirement to link the request to the strategic plan. Agencies should review their strategic plans before making budget requests.



Budget request forms will include a requirement to link the request to the strategic plan. Agencies should review their strategic plans before making budget requests.

Monitoring progress

While developing the strategic plan, agencies should include metrics for monitoring progress. The strategic planning team determines who will monitor progress and how often monitoring will take place. At these predetermined regular intervals, evaluate the following:

- How is the plan being used?
- What goals, objectives, and strategies have progressed or been accomplished?
- What annual work plans have progressed or been accomplished?

Progress can be monitored in a variety of ways, such as shared dashboards or stocktake reports. No matter what system is chosen, agencies should be able to illustrate action plan status and progress on goals over a period of time.

Updating the plan

Strategic plans should be significantly refreshed and reviewed at least every four years. Agencies should perform an in-depth evaluation using observations from monitoring at least once a year. It is helpful to do this in-depth review at the beginning of the fiscal year before determining budget requests. This review should include:

- Progress toward goals, objectives, strategies, and work plans
- Needed modifications for goals, objectives, strategies, and work plans
- Additional funding or resources needed
- Timing adjustments
- Discussion on potential modifications

PART 3: WHAT IS INCLUDED IN A STRATEGIC PLAN?

Strategic planning is a long-term and future-oriented process of assessment, goal setting, and decision making. It includes a multi-year view of objectives and strategies for accomplishing agency goals. The strategic planning process requires each agency to clearly define the results it seeks to achieve. These desired results drive program performance and influence future planning, resource allocation, and operating decisions.

The strategic planning process requires each agency to be bold and think out of the box. Innovation is an overarching key principle to be incorporated in strategic planning. Plans should be developed with a lens of innovation to help agency employees overcome perceived or real challenges in their work and make the best use of state resources.

A strategic plan is typically organized into standard sections including:

- Vision statement
- Mission statement
- Core values
- Goals
- Objectives
- Strategies
- Performance measures
- Annual work plan

Each of these key elements should nest within one another, beginning with long-term desired outcomes, breaking down into actionable implementation steps, and then evaluation of agency progress to determine effectiveness.

A traditional strategic plan includes several levels of organization: vision, mission, core

FIGURE 4: Elements of a strategic plan and why they matter

	What It Is	Why It Matters
Innovation		
Vision	What we aspire to	Motivates and inspires change from "here" to "there"
Mission	What we do and how we do it	Identifies our reason for being and how we serve
Core Values	Enduring, non-negotiable principles that we are truly committed to	Provides a purpose driven foundation to guide our attitudes and behavior
Goals	Long-term outcomes that lead to the fulfillment of the vision	Aligns efforts toward an end
Objectives	Mid-range target that creates a bridge between high-level goals and tactical strategies	Hightlights focus areas to assist in prioritizing resources to achieve the goal
Strategies	Short-term tactics to implement our goals	Provides a plan of action
Performance Measures	Quantifiable representation of an end result or goal	Assesses and tracks progress
Annual Work Plan	Maps out how the agency puts the strategic plan into action	Coordinates strategy resources, responsbilities, and timeline

Source: *Adapted from a graphic by the Utah State Board of Education*

values, goals, objectives, and strategies. However, agencies may choose to condense the organization of their plan. For example a mission and vision may be combined into a single statement, or the objectives and strategies may be combined.

Agency description

Strategic plans often begin with an introduction of the agency. This can include a letter from the director about the agency, planning process, agency involvement in current events, or a brief history of the agency and why it is relevant. The introduction should include an overview of what the agency does and a description of divisions within the agency. It is an opportunity to tell the agency's story.

Vision statement

A vision statement briefly describes the agency at its most effective level. The vision statement should be appealing, descriptive of future service levels, and focus on how the agency would like to be known to its customers. It is enduring, inspiring, aspirational, and challenging, but should also be relatable to daily work:

- What should the agency look like in five years? Ten years?
- What are the desired goals and outcomes for the agency in five years? Ten years?

FIGURE 5: Vision example

> The vision of the Division of Technology is to be a technology leader that delivers value and simplifies the lives of Utah residents.

Source: *Division of Technology*

Mission statement

A mission statement is a broad, comprehensive statement of the agency's purpose. Agencies should review their statutory functions when creating a mission statement.

- Why does the agency exist?
- Who does the agency serve?
- How are those services provided?

FIGURE 6: Mission example

> Safeguarding and improving Utah's air, land, and water through balanced regulation.

Source: *Division of Environmental Quality*

Core Values

Core values are the deeply ingrained principles, beliefs, and behaviors that guide all of a company's actions; they serve as its cultural cornerstones. Core values can be practiced daily through all agency interactions.

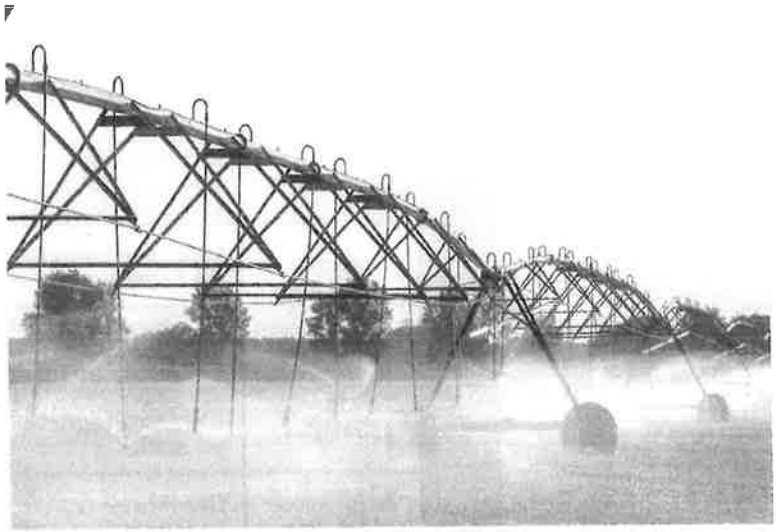
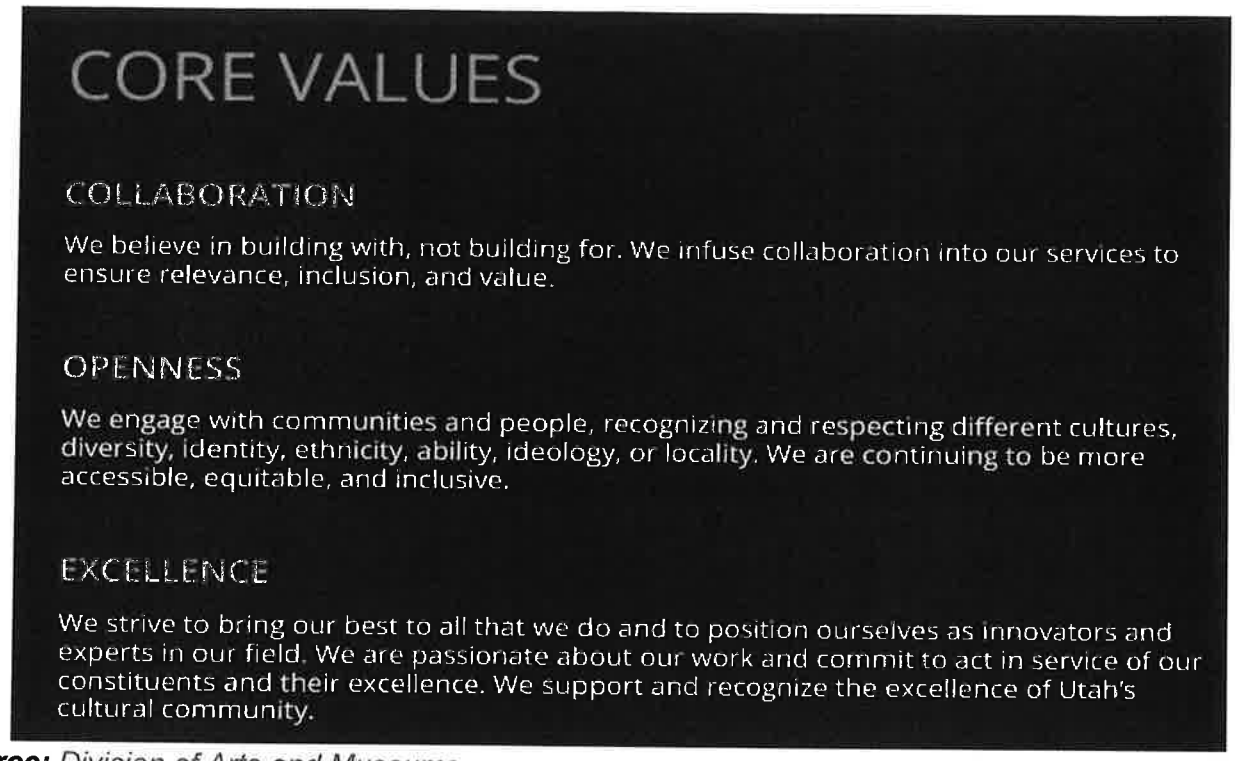


FIGURE 7: Elements of a strategic plan and why they matter



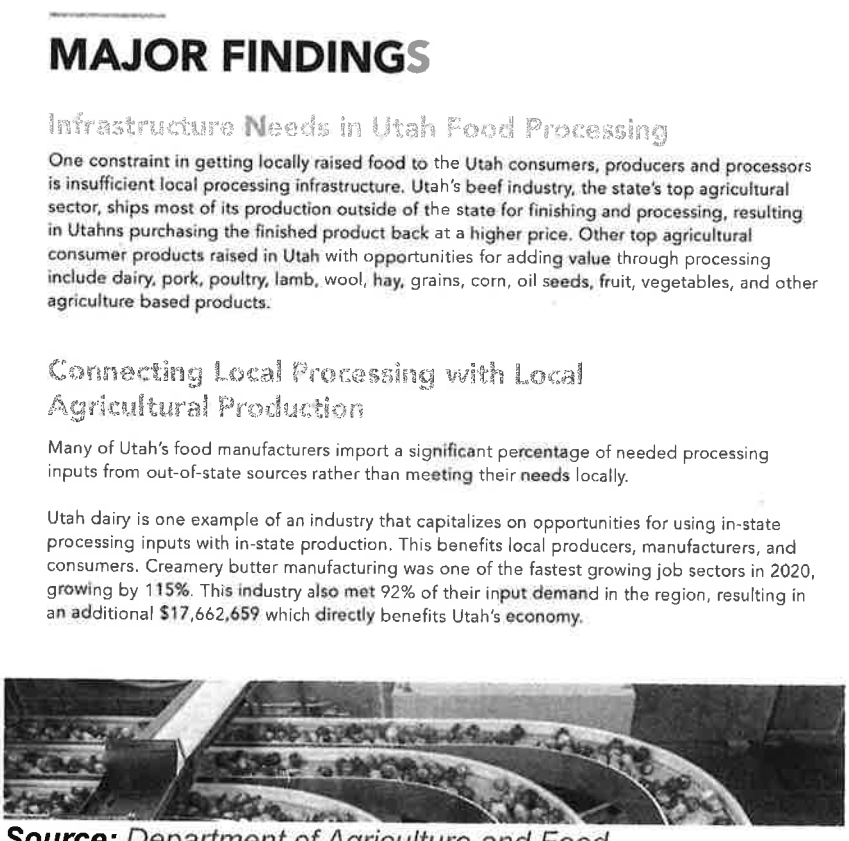
Source: *Division of Arts and Museums*

Major findings

As part of the strategic planning process, information is gathered from internal and external sources. Agencies may choose to include a section in the strategic plan detailing major findings from this information gathering phase. Sharing key themes and findings gives context to why particular goals and strategies were chosen as areas of focus. In the report, major findings should focus on:

- Analysis of past and current performance
- Gaps in service or data needed to make decisions
- Assessment of external challenges and opportunities
- Assessment of internal capabilities and financial health

FIGURE 8: Major findings example



Source: *Department of Agriculture and Food*

FIGURE 9: Major findings, gaps in services example

Gap 1: Affordable Housing, Permanent Supportive Housing and Emergency Beds

- **UTAH NEEDS AFFORDABLE HOUSING TO SUCCESSFULLY IMPLEMENT A HOUSING FIRST APPROACH**

Research and practice strongly support a Housing First approach to addressing homelessness. This means providing stable housing as a first step and following up with an appropriate continuum of supportive services. Utah's Housing First approach is challenged by the lack of housing that is affordable for individuals and families currently facing homelessness, particularly in urban areas where jobs are available. With increased pressure on the housing market, landlords prefer to rent to individuals who can pay a higher rate instead of accepting housing vouchers. Landlords are also less likely to rent to individuals and families with poor credit, an unfavorable renting history (i.e., eviction), a criminal history or have limited income. Lack of affordable housing increases the length of time that individuals spend homeless, which continues to increase the number of people who qualify as chronically homeless.

- **URBAN AND RURAL UTAH NEED PERMANENT SUPPORTIVE HOUSING**

Permanent Supportive Housing (PSH) is an effective way to stabilize and house individuals experiencing homelessness who are in the most need and who subsequently are our highest priority. PSH offers chronically homeless individuals housing and supportive services that help build independent living. The lack of available PSH seriously undermines efforts to minimize the number of chronically homeless. This gap diverts housing resources needed for less vulnerable individuals experiencing homelessness and sets the high-need/high-priority individuals up for failure.

- **RURAL COMMUNITIES NEED INCREASED EMERGENCY BEDS AND SHELTER CAPACITY**

The lack of available shelter beds contributes to the rising number of transient homeless populations, or those that move from their home community to another in search of shelter. Utah communities share how individuals experiencing homelessness lose their network of social support (i.e., relatives and friends) in their transition, which further challenges their ability to step out of homelessness.

Gap 2: Mental Health Services, Substance Use Disorder Treatment and Healthcare

- **UTAH NEEDS GREATER ACCESS TO MENTAL HEALTH SERVICES AND SUBSTANCE USE TREATMENT**

According to the 2018 Point in Time Count (PIT), one in three individuals experiencing homelessness in Utah is severely mentally ill, and one in four have a substance use disorder. LHCCs identify the lack of specialized substance use services and mental health services for individuals experiencing homelessness as a direct obstacle to reducing the number of homeless. Additionally, individuals who experience homelessness are less likely to access healthcare systems and to suffer from preventable diseases. The service gap is particularly pronounced in Utah's rural areas.

Gap 3: Case Management

- **THE UTAH HOMELESS SERVICE SYSTEM NEEDS TO FUND AND RETAIN CASE MANAGERS**

Case management is an essential service and component of health and human service organizations. In homeless services, case management focuses on assessing the individual needs of a client, developing treatment or service goals and plans, monitoring those services and compliance, connecting clients to the homeless service system and providing emotional support to those experiencing homelessness.

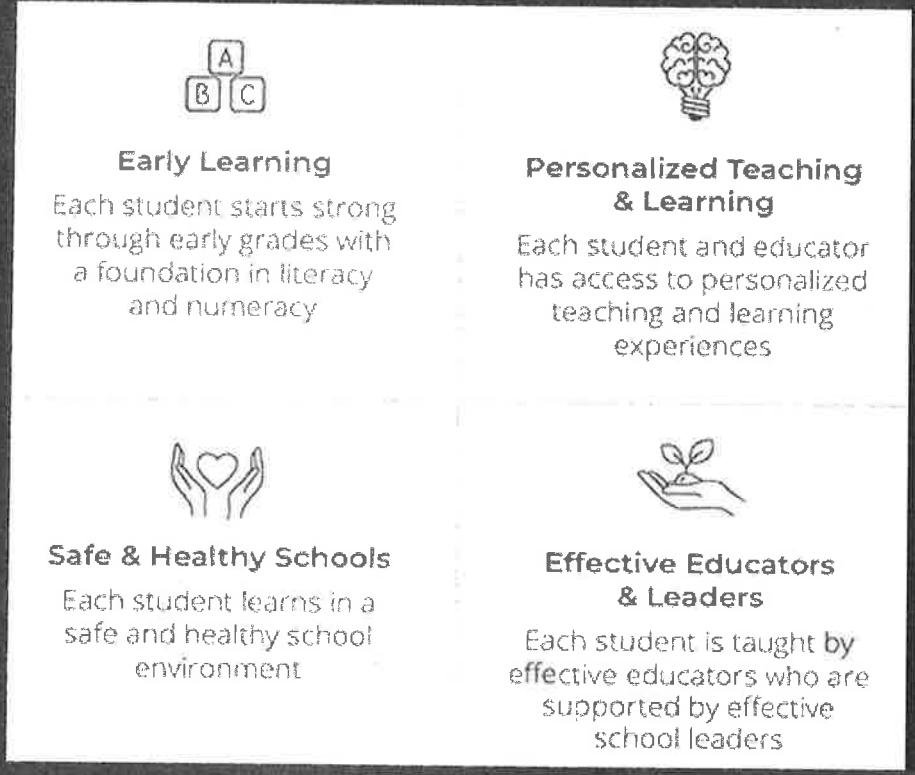
Source: *State Homeless Coordinating Committee*

Goals

Goals are broad, high-level statements of outcomes that the agency strives to achieve over a long planning horizon. These should be high-level, aspirational targets that are critical components to achieving the agency's vision. Long-term goals may reflect projections of trends, technologies, opportunities, and demographics related to the agency five to ten years into the future.

When crafting goals, agencies should think about the biggest fundamental changes or issues they want to address. When developing goals, agencies should ask, "What high-level items are we working on to fulfill our vision?"

FIGURE 10: Goals example



Source: *Utah State Board of Education*

Opportunity goal

Agency strategic plans should support and actively work toward Gov. Cox's vision of opportunity for all, no matter their gender, ethnicity, identity, religion, or zip code.

> "History teaches us that progress doesn't just happen. It requires forethought, commitment and deliberate action. These principles reflect a firm resolve toward racial justice, a direction toward equity and inclusion that will continue during my administration. This isn't about political correctness, it's about human correctness. It's about kindness, decency and love for our fellow travelers. Indeed, it is about striving to deliver on the self-evident truths recognized from our founding: 'That all men are created equal and endowed by their Creator with certain unalienable Rights'."

All agencies are required to include equity, diversity, inclusion, and access efforts in their strategic plans. At a minimum, agencies should include at least one opportunity-related goal, with corresponding objectives and performance measures. Agencies should use the Toolkit for Equity & Opportunity-Minded Decisions & Policies created by the Utah Division of Multicultural Affairs and the One Utah Inclusive Leadership Council as a resource for making assessments about gaps and disparities, and creating goals, objectives, and performance measures.

Additional resources, including the One Utah Expanding Opportunity Framework, will be released later on to help agency leaders identify internal and external opportunities to better serve our employees, constituents, and stakeholders.

Plans should seek to effectively address disparate outcomes, improve service delivery and organizational culture, attract and retain diverse talent, and create practices for equitable resource distribution to increase opportunities for all Utahns to thrive. Opportunity principles are incoporated within agency priorities, funding decisions, workplace culture, and service delivery models.



When our organizations become truly equity-minded, they become like a swinging door, understanding the need to consider both internal and external efforts. We value asking how we can improve and better serve those who belong to our organization, our brand ambassadors (internal), and those who we have a mission to engage with dignity and respect, our clients, constituents, and stakeholders, all who call Utah home (external).

Nubia Peña, senior advisor for equity and opportunity to Gov. Cox and director of the Division of Multicultural Affairs

FIGURE 11: Opportunity focused goal example

Goal 2: Create an equitable and accessible insurance market for all Utahns.

Objective: Increase communication and education with underrepresented groups. Examples may include language learners, racially and ethnically diverse populations, rural communities, people with disabilities, lower socioeconomic levels, and those simply unaware of how to access insurance.

Strategy: Review existing data, literature, and qualitative input from community, industry, associations, and/or community organizations, to understand the barriers underrepresented Utahns experience from becoming insured.

Strategy: Reach out to the community, in partnership with industry, associations, and/or community organizations, to identify culturally responsive and inclusive strategies to better assist underrepresented Utahns with insurance needs. This can include policy and practice reform.

Strategy: Develop, invest in, and implement strategies to extend Department resources to underrepresented groups in order to increase equitable access, outcomes, and service delivery to underserved Utahns.

Source: *Department of Insurance*

Objectives

Objectives describe a measurable result within a certain goal and cover three to five years. Each goal should have several objectives detailing how a goal will be achieved. A good objective statement provides a standard by which agencies can measure their progress toward the targeted goal. In order to create a quantifiable measurement of progress, begin each objective statement with a verb, ideally one that can be measured, such as increase, decrease, or maintain.

Strategies

After the strategic planning committee determines the goals and objectives of the agency, the next step is to develop strategies. Strategies are methods that will be used to accomplish agency goals and objectives. Strategies should be connected to a specific objective and guide agency work in the short term (annual plan) and medium term (included on multiple annual plans). Strategies should be reviewed at least every two years.

- How will the agency achieve a given objective?
- Who, what, when, why, and how to implement each of the strategies?
- What budget is needed to succeed? Future budget requests should link back to strategies.
- Who will be the champion, or leader, for the goal?
- What FTE or other resources are needed to succeed for short-term objectives?
- What big budget requests are anticipated in future years?
- What are the other big initiatives that will take time to plan or prepare?

SMART framework

Great strategies are based on elements of the SMART framework: specific, measurable, attainable, relevant, timebound.

- Specific:
  - What do we want to accomplish?
  - Why is this strategy important?
  - Who is involved?
  - Where is it located?
  - Which resources or limits are involved?
- Measurable:
  - How much?
  - How many?
  - How will we know when it is accomplished?
- Attainable:
  - How can we accomplish this strategy?
  - Does the strategy reflect an appropriate balance between being ambitious and realistic?
  - How achievable is the strategy, based on constraints such as statutory and budgetary factors?
- Relevant:
  - Is the strategy worthwhile?
  - Is this the right time?
  - Does it match our other efforts?
  - Is this the right agency to accomplish this strategy?
  - Does it fit in with the One Utah vision?
- Timebound:
  - When will the strategy be accomplished?
  - What are the short, medium, and long time steps to accomplish this strategy?
  - What is the starting point?

Performance measures

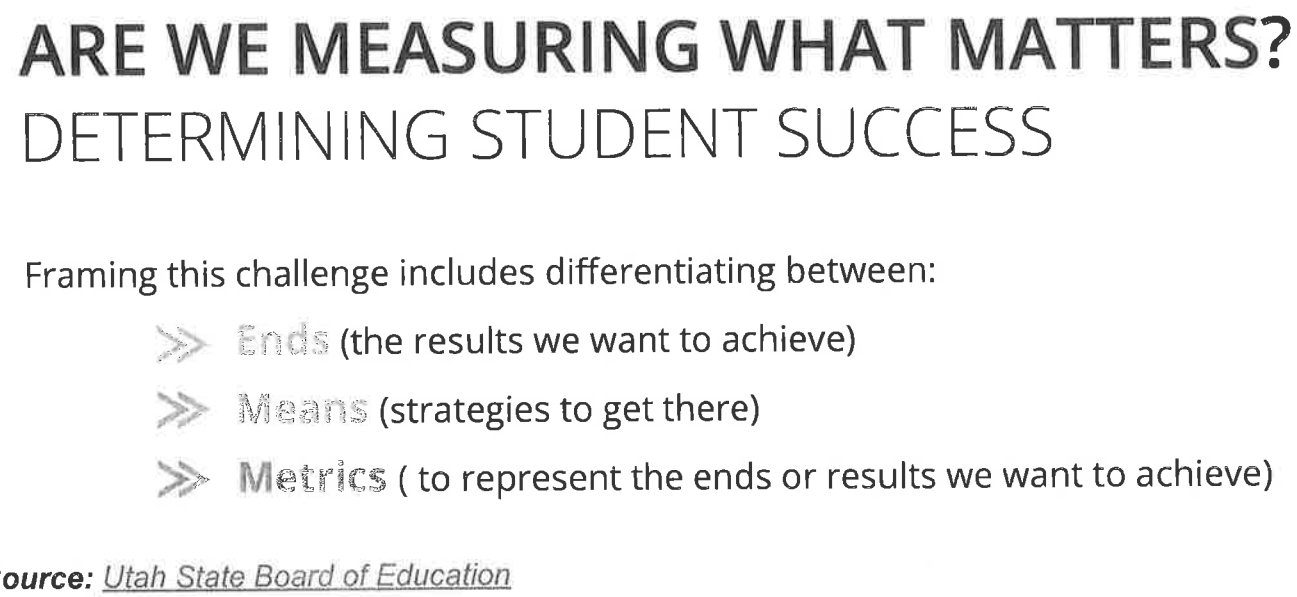
A performance measure is,"...a program objective, effectiveness measure, program size indicator, or other related measure" (Utah Code 63J-1-902). A good performance measure evaluates the desired outcomes of the agency, how effectively the agency produces those outcomes, and how well each individual contributes to those outcomes. Performance

FIGURE 12: Objectives example

Strategic Initiative #2 – Zero Suicides		
GOALS	**OBJECTIVES**	**METRICS**
Goal 2.1 Support UDOH and other stakeholders in implementation of the Utah Health Improvement Plan.	Objective 2.1.1 Increase availability and access to quality physical and behavioral health care- Goal: Promote the adoption of the 'Zero Suicide' framework by health and behavioral health care providers statewide. Objective 2.1.2 Increase social norms supportive of help-seeking and recovery- Goal: Train 10% of the Utah population in an evidence based gatekeeper training.	**Indicator:** Number of health systems/organizations formally adopting the Zero Suicide framework. **Baseline:** Zero organizations have adopted the Zero Suicide framework. **Target:** Ten health systems/organizations in Utah have formally adopted the Zero Suicide Framework. **Time frame:** 2017-2021 **Responsible:** UHIP/Suicide Prevention Coordinator (Ashley Donham)

Source: *Division of Substance Abuse and Mental Health*

FIGURE 13: Measuring what matters



Source: *Utah State Board of Education*

FIGURE 14: Performance measures example

Project	Goal	Output Measures	Outcome Measures
Permanent Supportive Housing Public-Private Partnership	Provide more units for people experiencing homelessness	• # of one-bedroom units produced • # of people housed	Organizational outcome: • % of clients in housing after six months (% not homeless)
Family Budgeting Awareness	Increase personal financial stability of families	• # of financial planning sessions • # of families served	Organizational outcomes: • # of families living on a budget (increased financial stability) • $ amount families put into savings
Parent-Child Relationship Course	Improve parent skills, knowledge, and emotional functioning in parenting to decrease child abuse	• # of families enrolled • # of courses completed	Organizational outcomes: • % change on parenting stress index score after taking course • % change on child-relationship scale score after taking course
Reduce the number of repeat offenders	Have inmates successfully complete their case action plans on time	• % of inmates that complete all of the milestones in their case action plans • % of attendance in post-incarceration support services • % of inmates with gainful employment	Population outcome: • % change in recidivism rate

Source: *Performance Measures Playbook*

measures are most meaningful when they are linked to achieving the vision of the agency. As There are three levels of performance measures.

1. Top level measures, sometimes called outcome measures, demonstrate how well the agency is achieving the desired outcomes.

2. Operational measures demonstrate how well the systems are working at producing the desired outcomes.

3. Individual measures show how each individual is contributing to the systems that produce the outcomes.

After a strategic plan outlines clear goals or outcomes for an agency, outcome measures should be created and tied to those goals so progress can be measured. These are the measures that are to be reported to GOPB and the Office of the Legislative Fiscal Analyst (LFA) annually in conjunction with budget line items. Operational measures are then instituted to measure how the supporting systems, processes, or strategies are contributing to the desired outcomes. These measures are to be used as an internal tool to evaluate the agency's progress towards implementation of the specific objectives and strategies of the strategic plan.

Individual performance measures should be clearly tied to these goals. Operational and individual measures are not always included in strategic plans but, in best practice, would be deployed in daily operations.

GOPB, in conjunction with the LFA, has produced a Performance Measures Playbook to guide agencies in the development of effective performance measures. Please refer to the playbook for more information about the philosophy, structure, and best practices for establishing state performance measures.

Annual work plans

The final section of the agency strategic plan is the annual work plan. Work plans may be included in the body of the strategic plan, attached as an annual update, or developed within the agency's existing project management system or software program. The purpose of the annual work plan is to map out how the agency will put the strategic plan into action. Every strategy will be assigned to a fiscal year work plan to aid in the budget process.

An action plan, or annual work plan, has several components, including:

- Strategies to be accomplished
- Budget and resources needed
- Timeline
- Champion for the strategy

The champion is the main contact for the strategy and tracks the progress of the strategy. Champions are responsible for agency work and coordinating efforts to accomplish the strategy. Budget and resource needs are a key component of annual work plans. As agencies develop annual work plans, they may want to consider related input measures to track on an annual basis to help evaluate resource needs. Thought should be given to solving probelms through means other than requesting funds, such as reducing inefficiences. Agencies evaluate budget elements needed to successfully accomplish each strategy. These budget items will link to the budget requests agencies submit to GOPB each year.

Regular updates on action plan progress should be reported through the agency's monitoring framework to inform agency leadership and staff, facilitate regular review, and focus employee efforts on strategic plan implementation. Status updates are also marked on the work plans in the strategic planning document.

Action plans are regularly updated to show the status and progress made for each strategy. Updated plans facilitate review in staff meetings to keep users informed and focused on strategic plan implementation.

FIGURE 15: Annual work plan example
FY2024 Work Plan

Goal #	Strategy	Champion	Budget & Resource Needs	Completion Timeline	Status
3	Twice every year, each division will give a presentation concerning its work to another division.	Division Directors	Staff time	June 2024	
3	Identify senior level employees, and assign them as a mentor to newer employees.	Division Directors, Supervisors	Staff time	July 2023	
3	Each division will seek commissioner approval to financially incentivize employees to complete the top priority certification from the list.	Division Directors	Existing budget, seek additional budget allocation	September 2023	
3	Internally elevate the Department's rules review process to ensure that rules meet statutory scope and facilitate fair regulation.	PIO	Staff time	June 2024	
3	Circulate a survey to the NAIC Western Zone about recent methods of enhancing access to the Department's services and innovations.	Deputy Commissioner, PIO	Staff time	January 2024	
3	Utilize fraud investigators to mentor analysts and examiners on how to investigate alleged violations of applicable law.	Deputy Commissioners, Fraud Director, H&L and P&C Directors	Staff time	June 2024	

Source: *Department of Insurance*

PART 4: STRATEGIC PLANNING PROCESS

The strategic planning process can be broken down into four steps: organize, inform, analyze & prioritize, and write.

Organize

A successful strategic planning effort requires the commitment of agency leadership and employees. The organization and structure of a strategic planning team will depend on the size, complexity, and organization of the agency. Agencies with advisory boards should evaluate whether a board member needs to be part of the planning team. Smaller agencies, divisions, or bureaus may be able to involve every employee in more hands-on planning work than a large department with thousands of employees.

Agency directors should begin with discussions with other relevant agency leaders and map out a process for the strategic planning effort. The core strategic planning team should include a representative of each team within the agency that will be responsible for carrying out the plan. The core strategic planning team may involve additional employees as part of a larger planning team for some parts of the planning process.

Some agencies may choose to develop their strategic plan with internal resources, while others may choose to work with an outside consulting firm to gather information or create the final product.

Regardless of the size or resources of the agency, any strategic planning process should include opportunities for all employees to provide input at key milestones:

- Initiation of planning process
- Review of draft mission, vision, and goals
- Review of complete draft plan

The process for developing the strategic plan should be adapted to the unique needs, capacity, and resources of each agency. Many strategic planning processes begin with a full or half-day retreat at an off-site location to allow participants to focus on strategic planning discussions without the distractions of day-to-day responsibilities. An alternative approach could be a series of shorter meetings.

Inform

Internal conversations

Conversations should begin with discussing critical questions:

- What are the statutory requirements for our agency?
- What do we do and for whom?
- What work are we doing that is not in our statutory requirements, or does not add value to our customer?
- What is the desired social outcome or public good we want to achieve?
- What are our main products and services?
- What communities aren't currently being served? Who needs to be reached?
- What are we currently achieving? What do we want to achieve in the future?
- How do we close the gap between where we are today and where we want to be?
- What resources will we need to implement these short term strategies?
- How will we know if we are succeeding? What data is needed to measure success? Are we currently collecting that data?
- What are the agency's federal funds obligations? Do stipulations of optional federal grants match agency priorities?
- What large technology, capital, or other expenses do we anticipate in the next five to ten years?
- What inputs are we monitoring that are used to develop, maintain, or deliver our products and services? What effect do our inputs have on our processes?

If the agency has an existing plan, questions should also include:

- Are the mission and business processes still relevant?
- Is there a clear relationship between the goals and outcomes?
- What do we want to increase, decrease, or maintain, and by how much? Have we met those targets?
- What process element did we focus on to make changes? Do we have a hypothesis about why it did or didn't work?
- What does our process element evaluation mean for strategies we should now pursue to achieve current performance targets?
- Has our statute changed since this plan was written?

Information collection

Strategic plan development begins with gathering information from involved parties inside and outside of the agency, such as employees, end users, internal customers, and advocates. Agency leaders should think about who the agency serves, reach out to groups associated with the agency, facilitate open communication, and ask for input about what is or is not working within the organization. As information is collected, the strategic planning team should meet regularly to assess incoming data. Information can be gathered in a variety of ways, including:

- Stakeholder interviews: to gain an outside perspective of agency work, environmental factors, and opportunities
- Employee interviews or surveys: to allow employees to contribute ideas and feedback on agency operations
- Customer or public surveys, meetings, or open houses: to gather information or opinions on current agency work and future areas of focus
- Areas of particular focus

Performance analysis

Performance analysis describes gaps between the agency's current and future desired operational capacity. Ask:

- What, if any, disparities exist between the mission statement and the vision statement?
- How well do we understand and measure our own performance?
- Is actual agency performance different from expected performance? Why?
- How do performance results compare to similar organizations or recognized industry standards?
- Which performance gaps are the most important to close?
- How will we close these performance gaps?

Assessment of external challenges and opportunities

Agencies should complete an assessment of external challenges and opportunities. This assessment describes external factors that affect the agency's ability to achieve goals and performance targets. These factors can include:

- Current economy
- Client populations
- Client demographics
- Underserved communities
- Existing data and data gaps
- Related markets or industries
- Regulatory environment
- Natural environment
- Client needs, preferences, or expectations
- Supplier and partner needs, preferences, or expectations
- Federal funds and grants opportunities and restrictions
- Costs of doing business

Special attention should be given to how these factors might impede or facilitate accomplishing the agency mission, goals, and objectives.

It is impossible to predict the future, but reasonable efforts should be made to identify how these factors might change in the coming months and years. Such analysis might include trend data and carefully chosen anecdotal information.

Assessment of internal capacity and financial health

Each agency should complete an assessment of internal capacity and financial health. This assessment describes strengths and weaknesses of internal operations that impact the agency's ability to accomplish plans. In particular, agencies must plan for large future budgetary needs. Other assessment questions might include:

- What workforce issues affect our performance?
- What work could we pause or stop to create additional capacity for more important goals and objectives?
- Do we have sufficient resources (staff, workspace, technology, transportation, etc.) to accomplish our mission, goals, and objectives?
- What future major software updates, technology purchases, or other budget items do we anticipate?
- Are there labor force trends that might affect our workforce in the future?
- Are there supply chain trends that might affect us in the future?
- Do we have sufficient funding to accomplish our mission, goals, and objectives?
- Are there revenue trends that might affect our funding in the future?

Opportunity for all

The Cox-Henderson administration prioritizes equality and opportunity. As a state, we are committed to improving life outcomes for people with historically and systemically less access to opportunity, including women, people of color, people with disabilities, and LGBTQIA+ individuals.

As agencies conduct an internal assessment and consider how best to identify gaps and incorporate an opportunity focus in their strategic plan, these initial questions should be addressed:

- How can we incorporate opportunity awareness in our strategic planning process?
- What existing data do we use to inform our efforts to improve life outcomes and opportunities for Utahns?
- What data is missing that could help provide information about existing gaps?
- What data tracking should be done to create new data sets?

Health equity

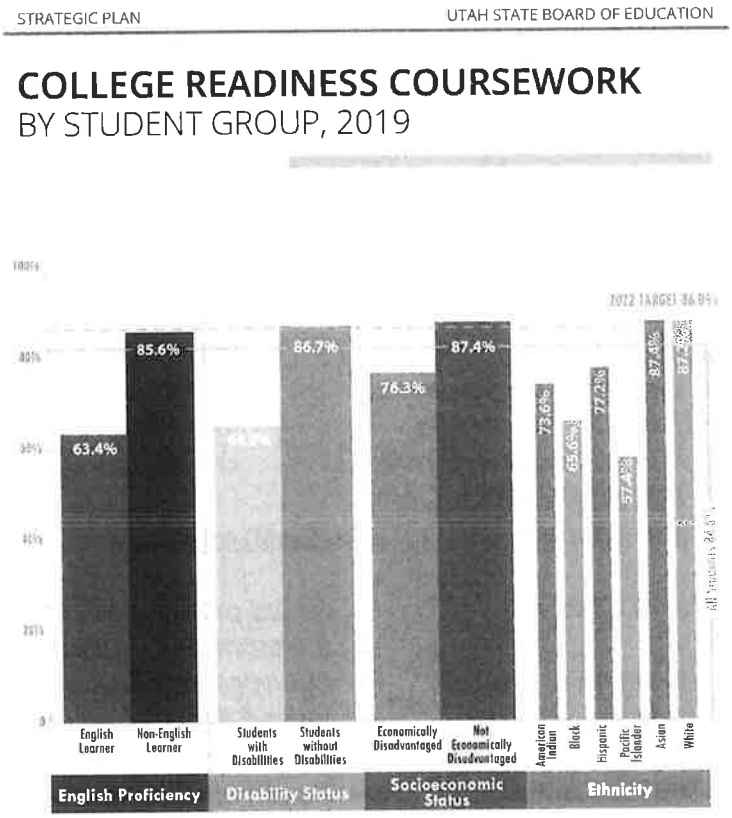
As we promote equitable practices in state government in general, we also encourage agencies that deliver or engage with health-related services as part of their mission to do so with an intentionality to improve health equity. Health equity helps ensure no one in Utah is denied the possibility to be healthy for belonging to a group that has historically been economically or socially disadvantaged.

The Strategic Practices Framework, developed by the Office of Health Equity in the Department of Health and Human Services, should be used by state agencies involved in public health or healthcare services. These agencies should incorporate strategies in planning to build the agency's internal capacity to advance health equity. The framework is organized around four foundational practices for evaluating and implementing strategies that promote health equity.

Analyze & prioritize

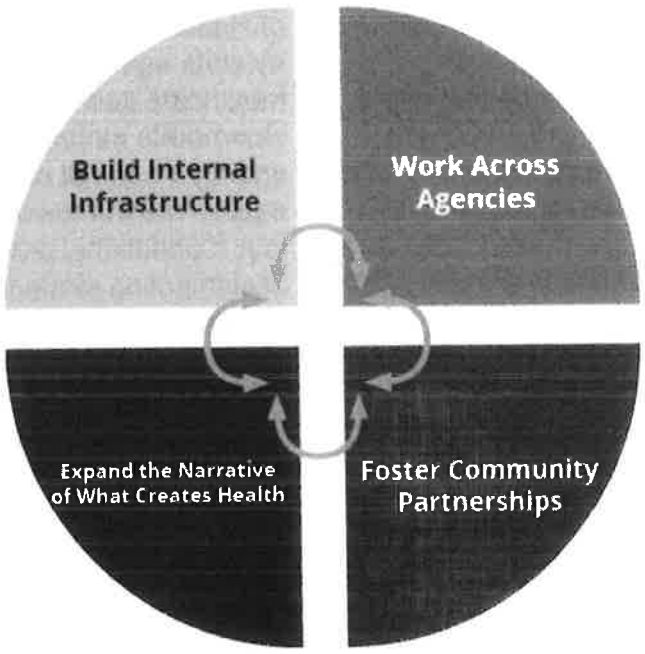
After input has been gathered from employees, the public, customers, and major stakeholders, the strategic planning team analyzes and compiles the feedback. This compilation should include areas of responsibility needing more attention, opportunities for growth, areas where the agency excels, areas where improvement

FIGURE 16: Existing gaps data example



Source: *Utah State Board of Education*

FIGURE 17: Foundational practices for promoting health equity



Source: *Department of Health and Human Services*

efforts are working, and recommendations for improvement. Agencies may need to follow up with additional information gathering or internal analysis.

Using information collected, the core strategic planning team determines priorities and selects areas of focus. A plan that lists every task every unit would like to accomplish is unlikely to be implemented successfully.

Write

The strategic planning team creates the outline of the plan based on the components detailed in Part 3 of this guidebook. The team also discusses building out the details from the outline, refines elements of the plan, decides on the format of the plan, and determines the timing of implementing each strategy.

Formatting

Agency strategic plans should be organized for ease of use, including a table of contents or executive summary if beneficial. Agency strategic plans should be brief, clear, avoid jargon, and define acronyms.

Strategic plans are often in paragraph form. Bullet lists, pictures, charts, tables, flowcharts, diagrams, and graphs may help provide information. It is helpful to nest objectives and strategies under each goal to show how efforts are coordinated to accomplish that goal.

Draft plan

Before publication, a draft plan should be released for review by a larger circle of employees and stakeholders, including advisory boards. The draft plan must also be submitted to GOPB.

Final release

While the direct audience for a strategic plan is internal, transparency with other state agencies, external stakeholders, members of the public, and the legislature is key to building trust. Making the plan easily accessible to the public allows the agency to promote its mission and communicate to taxpayers how the agency is working to fulfill its mission.

The completed plan should be shared widely within the agency so that all employees understand the strategic direction and goals of the agency, and see how their individual work fits within a larger mission. Plans should be published on the agency website, but agencies may decide how to make the plan public.

Agencies must also share their strategic plan with GOPB for use during the budgeting process. Agency strategic plans will be kept in a GOPB inventory. Budget requests must link to goals, objectives, strategies, and performance measures outlined in the strategic plan.

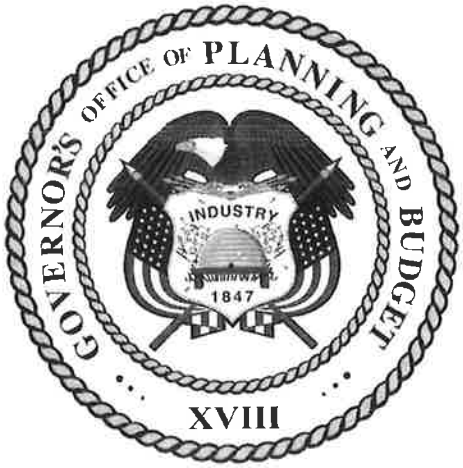
RESOURCES

GOPB contacts

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Jeff Mottishaw	Director of Operational Efficiencies
Evan Curtis	Senior Budget & Policy Analyst and Strategic Planner
Terrah Anderson	Budget & Policy Analyst

State resources

- The StEPs-UT guide, while tailored to cultural institutions, this resource provides helpful examples for agencies initiating a strategic planning process
- The Performance Measures Playbook guides agency performance measurement development and reporting
- The Toolkit for Equity & Opportunity-Minded Decisions & Policies helps state decision makers assess gaps and disparities in current and future programs


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