

SECTION 212—SUBMISSION OF STRATEGIC PLANS

Index for Section 212

- Section 212.1 Timing of strategic plan submissions.
- (a) Submission of an initial strategic plan by a new agency.
 - (b) Requirement for submission of updated and revised plans.
 - (c) Submission date for updated and revised plans.
 - (d) Advanced copies of submissions.
 - (e) Early submission of draft, updated strategic plan to OMB in 2003.
- Section 212.2 Consultation and outreach.
- Section 212.3 Transmittal of plans to Congress and OMB.
- (a) The transmittal letter.
 - (b) Contrary views.
 - (c) Use of non-Federal parties.
 - (d) Public availability of plans.

212.1 Timing of strategic plan submissions.

Summary of Requirements: Agencies submit an updated and revised strategic plan to Congress within three years of submitting their initial strategic plan. Thereafter, an updated and revised strategic plan is submitted every three years. Transmittal of updated and revised strategic plans will be no later than September 30, 2003 for most agencies. Agencies are to provide OMB with an advance copy of the plan at least 45 days before transmitting the plan to Congress.

(a) Submission of an initial strategic plan.

GPRA required agencies to submit their initial strategic plan to OMB and Congress not later than September 30, 1997. In the future, newly established agencies or agencies previously exempted from GPRA requirements should use the provisions of this subpart when preparing and submitting their initial strategic plan. The date for submitting an initial plan is coordinated in advance with OMB.

(b) Requirement for submission of updated and revised plans.

As an agency, you must submit an updated and revised strategic plan (an updated plan) at least once every three years. This three-year revision cycle has the effect of updating your existing plan for its remaining years, as well as chronologically extending it by three or more years. (See also [section 211.3](#) on the period that a strategic plan covers annual performance plans.) The revision incorporates policy, programmatic, or other changes to any element of the agency's current plan. An updated plan will often retain, unchanged, the elements of a previous strategic plan, such as the mission statement.

(c) Submission date for updated and revised plans.

GPRA does not set a specific calendar date for these submissions. Agencies submitting plans in September 2000 would subsequently submit their second updated plan no later than September 30, 2003. Agencies transmitting an updated plan other than in September 2000 would have three years from their submittal date.

For newly established agencies, the three-year cycle begins with the submittal of the initial strategic plan to Congress. For example, a new agency submitting its initial strategic plan on June 15, 2002 would submit an updated plan no later than June 15, 2005.

(d) Advance copies of submissions.

Consistent with current policy and practice regarding interagency clearance of certain material being sent to Congress, you provide OMB with an advance copy of an updated strategic plan at least 45 days prior to the date for transmitting the plan to Congress and making it available to the public (see [section 212.2](#) on recurring consultation with OMB during plan development).

(e) Early submission of a draft, updated strategic plan to OMB in 2003

The importance of the strategic plan's general goals in developing a programmatic budget account structure for the FY 2005 budget will require agencies to provide OMB with a completed draft of their updated strategic plan by March 1, 2003. To be useful, this updated plan must, at a minimum, include the following elements: the mission statement; descriptions of the general goals; an identification of those outputs in an annual plan that directly relate to the general goals (particularly, goals being used to assess program effectiveness); and a preliminary program evaluation schedule. Agencies are encouraged to submit a draft updated strategic plan earlier than March 1, 2003, so that efforts to restructure the agency's budget account and define informational displays in the budget documents may commence as soon as practicable. (See [section 221.2](#) on budget account restructuring and informational tables.)

212.2 Consultation and outreach.

Summary of requirements: When preparing a strategic plan, agencies must consult with Congress and solicit and consider the views of interested and potentially affected parties. This consultation and outreach may result in contrary views being expressed .

In developing a strategic plan, your agency must consult with Congress, and also solicit and consider the views and suggestions of entities—such as customers and other stakeholders—potentially affected by or interested in the plan.

You have discretion in how this consultation and outreach is conducted. An agency's existing consultation processes may be used. The development of strategic plans is not subject to the Administrative Procedures Act.

Some general goals may relate to cross-agency functions, programs, or activities. In such instances, agencies may have a shared responsibility for defining and achieving general goals for these cross-cutting areas. Agencies should ensure that appropriate and timely consultation occurs with other agencies during development of strategic plans with cross-cutting goals.

To help ensure that an updated strategic plan conforms with statutory requirements and is consistent with national policy, continuing interaction should occur between OMB and agency staff over the full course of plan preparation.

212.3 Transmittal of plans to Congress and OMB.

Summary of requirements: The plan is transmitted to Congress by the agency head. Transmittal letters are addressed to the Speaker of the House of Representatives, the President and the President pro tempore of the Senate, and the Director of OMB. Distribution is also made to relevant committees of the Congress. The letter transmitting the agency strategic plan to Congress includes a summary of the consultation and outreach processes, and any contrary views. Strategic plans are made available to the public.

(a) The transmittal letter.

A letter from your agency head formally transmits the strategic plan. A transmittal letter is also prepared for a strategic overview containing only a summary presentation of overall mission and goals (see [subsection 211.2\(b\)](#)). A transmittal letter will include:

- A summary of the general scope and nature of the consultation and outreach, and the types of entities consulted; and
- A summary of contrary views received.

Transmittal letters are addressed to the Speaker of the House of Representatives, the President and the President pro tempore of the Senate, and the Director of OMB. Copies will be provided to the chairmen and ranking minority members of the relevant authorization, oversight, or budget committees and appropriation subcommittees, and the chairman and ranking minority members of the Senate Committee on Governmental Affairs and the House Government Reform Committee. Copies may also be distributed to other members of Congress or committees.

(b) Contrary views.

A strategic plan will often reflect hard choices, with a plan's usefulness often corresponding to the difficult policy and programmatic decisions that were made during its development. In many instances, there may be disagreement about particular goals, or the means by which the goals will be achieved. The transmittal letter should summarize those views received from entities outside the Executive Branch of the Government that disagree, in a substantive and germane way, with the programmatic, policy, or management courses-of-action presented in the plan. The summary should generalize the degree of disagreement and the source(s). Contrary views should not be individually attributed or listed.

An agency may wish to concentrate principally on summarizing those contrary views offered as the proposals in the plan became more specific, and less on those generated during its initial, more formative stage.

(c) Use of non-Federal entities.

GPRA states that the preparation of a strategic plan is an inherently governmental function, and the plan is to be drafted only by Federal employees. However, when preparing a plan, agencies may be assisted by non-Federal parties, such as consultants or contractors. Their role may include collecting information,

conducting studies, analyses, or evaluations, facilitating outreach, or aiding in the presentational aspects of the plan. The transmittal should include an acknowledgment of the role and a brief description of any significant contribution made by a non-Federal entity in preparing the plan.

(d) Public availability of plans.

Strategic plans are a matter of public record; the public should be afforded the opportunity to access the completed plan. Your agency should place the strategic plan on its WorldWideWeb site, or make it available through other electronic media. On request, a paper copy should be provided. Generally, a strategic plan should become publicly available when the plan is transmitted to Congress.