

SECTION 230—AGENCY STRATEGIC PLANNING

Table of Contents

- 230.1 What is an agency Strategic Plan?
- 230.2 What is the purpose of strategic planning?
- 230.3 What content is included in the agency Strategic Plan?
- 230.4 What timeframes for goals are included in Strategic Plans?
- 230.5 When must agencies next update their Strategic Plan according to the GPRA Modernization Act and what is the timeline for Strategic Plan development?
- 230.6 Who should prepare the agency Strategic Plan?
- 230.7 How will agencies obtain input from OMB on the Strategic Plan?
- 230.8 What input should agencies solicit outside the Executive Branch in the development of Strategic Plans and when?
- 230.9 How should agencies publish Strategic Plans and deliver them to Congress?
- 230.10 Can Strategic Plans be updated in the interim, before the end of the four-year revision cycle?
- 230.11 How should interim updates be communicated or published?

Summary of Changes

Describes Strategic Plan content and timeframes for development with the FY 2015 Budget as required by GPRA Modernization Act 2010

Addresses alignment with the existing Administration's strategic goals and objectives because the law shifts the timeframes to four year cycles by the first Monday in February of the first full year after the term of the President commences

230.1 What is an agency Strategic Plan?

The GPRA Modernization Act 2010 aligns strategic planning with the beginning of each new term of an Administration, requiring every Federal agency to produce a new Strategic Plan by the first Monday in February following the year in which the term of the President commences. The Strategic Plan, therefore, presents the long-term objectives an agency hopes to accomplish at the beginning of each new term of an Administration by describing general and longer term goals the agency aims to achieve, what actions the agency will take to realize those goals, and how the agency will deal with challenges and risks that may hinder achieving result.

The Strategic Plan will define the agency mission, long-term goals, strategies planned, and the approaches it will use to monitor its progress in addressing specific national problems, needs, challenges, and opportunities related to its mission. It explains the importance of the goals, appraises the agency's capabilities, assesses the operating environment and provides for evaluations and other studies to inform agency actions. The Strategic Plan should explain why goals and strategies were chosen, discussing the relevant evidence.

An agency's Strategic Plan should provide the context for decisions about performance goals, priorities, and budget planning. It should provide the framework for the detail published in agency Annual Performance Plans, Annual Performance Reports and on Performance.gov. Agencies need to translate the long-term goals in their Strategic Plans to [strategic objectives](#) and then to [performance goals](#), including Agency Priority Goals, in their Annual Performance Plans.

230.2 What is the purpose of strategic planning?

In addition to fulfilling the GPRA Modernization Act requirements, the Strategic Plan serves a number of important management functions related to achieving an agency's mission. An agency's Strategic Plan is a valuable tool for communicating to agency managers, employees, delivery partners, suppliers, Congress, and the public a vision for the future. An agency's Strategic Plan should be used to align resources and guide decision-making to accomplish priorities to improve outcomes. It should inform agency decision-making about the need for major new acquisitions, information technology, human capital development, evaluations, and other evidence-building investments. Strategic Plans can also help agencies invite ideas and stimulate innovation to advance agency goals. An agency formulates its Strategic Plan with input from Congress, OMB, the public, and the agency's personnel, partners, and stakeholders and makes the plan easily accessible to all. The agency plan should fulfill these important roles:

- **Leadership.** The Strategic Plan establishes the Administration's priorities and direction through a unified vision, long-term goals, and supporting strategies. The Strategic Plan features strategic goals and objectives that state what the agency wants to accomplish in terms of outcomes or results.
- **Planning.** The Strategic Plan is the foundation of an agency's planning system because it provides direction for all programmatic and management functions used to execute the strategies needed to reach goals. Executives should use the Strategic Plan to provide guidance to agency components for planning their program implementation, including the alignment of information technologies and human capital resources to support improved outcomes and cost-effectiveness. The Strategic Plan should not, however, be a binding document that prevents agencies from learning from experiences and adapting their plans to changing circumstances.
- **Management.** After the planning process, the agency uses the Strategic Plan to guide implementation and management. Each strategic goal should be supported by a suite of strategic objectives and performance goals. These, in turn, should be supported by other [indicators](#) used to monitor and interpret progress. The annual performance planning and budget processes jointly support the agency's implementation of the Strategic Plan by establishing resource allocations, refined strategies, activities, indicators, targets, and milestones in more detail. Agency Strategic Plans provide the framework for other plans and reports where agency performance goals and related analyses are communicated and monitored.
- **Engagement.** The goals and strategies in an agency Strategic Plan are a tool to engage external entities to enlist their ideas, expertise, and assistance, including Congress, the public and the agency's stakeholders. For example, because [delivery partners](#) external to the Federal Government can be critical in accomplishing agency objectives, agencies may want to engage them in identifying potential goals and strategies to accelerate progress.

230.3 What content is included in the agency Strategic Plan?

For the FY 2015 President's Budget publication in February of 2014, all agencies' must publish new Strategic Plans on [Performance.gov](#). Data standards for this central website continue to be refined, but agencies should plan to address the content as established in section [210.14](#) for the February 2014 publication of the new agency Strategic Plan.

230.4 What timeframes for goals are included in Strategic Plans?

The Strategic Plan will cover a period of not less than four years forward from the fiscal year in which it is published, starting the first Monday in February of any year following the year in which the term of the

President commences. Agencies may set Strategic Plan goals for longer periods of time. See section [230.10](#) regarding interim updates.

230.5 When must agencies next update their Strategic Plan according to the GPRA Modernization Act and what is the timeline for Strategic Plan development?

Agencies are required to publish an updated Strategic Plan, which meets requirements of the GPRA Modernization Act, concurrent with the publication of the FY 2015 President's Budget in February 2014. After the February 2014 publication, agencies must issue a new Strategic Plan in February 2018. For agency planning purposes, a summary timeline for the new strategic plan that will be developed with the FY 2015 President's Budget is in section [230.7](#).

With the passage of the GPRA Modernization Act requiring agency goals and objectives on a central website by certain deadlines, agencies will need to accelerate the overall timeline previously used to develop the agency Strategic Plans and should begin the agency's process for the development of the new Strategic Plan accordingly. Agencies may work with OMB to make adjustments to the initial Strategic Plan draft submission schedule if needed; however, it is strongly recommended that agencies prepare the Strategic Plan initial draft in summer 2013 in order to inform the development of the FY 2014-2015 Agency Priority Goals, the Annual Performance Plan and the FY 2015 budget submission. Continued refinements to the initial draft Strategic Plan will be expected prior to publication in February 2014.

230.6 Who should prepare the agency Strategic Plan?

The preparation of a Strategic Plan is an [inherently governmental](#) function, and the plan is to be drafted only by Federal employees. Agencies should engage their organizational components (employees), Congress, OMB, delivery partners and other stakeholders in the development of the Strategic Plan.

When preparing a plan, agencies may be assisted by non-Federal parties, such as consultants or contractors who are hired specifically to provide technical input on the design and assembly of the plan, and who are not solicited for their input on policy or budget issues. The Strategic Plan should include an acknowledgment and brief description of the contribution by a non-Federal entity in preparing the plan, if applicable.

230.7 How will agencies obtain input from OMB on the Strategic Plan?

Agencies should provide the initial draft Strategic Plan to OMB no later than June 3, 2013, using the content described in section [210.14](#). The planned schedule provides four weeks for the initial OMB review and feedback starting in June 2013. Draft Strategic Plans for OMB review should be submitted via Performance.gov and if needed, by posting the draft document on MAX at <https://max.omb.gov/community/x/C5VxIQ>.

After incorporating initial OMB comments and external stakeholder input, agencies must provide the final draft Strategic Plan to OMB for clearance, no later than December 20, 2013, providing a minimum of two weeks for the final OMB clearance.

230.8 What input should agencies solicit outside the Executive Branch in the development of Strategic Plans and when?

When preparing a Strategic Plan, agencies must consult with the Congress and should consider the views of other interested and potentially-affected parties, including non-Federal stakeholders and delivery partners.

Consultation with external stakeholders could include hosting public meetings on the draft plan or draft goals or posting the draft plan on the internet and inviting comment after OMB has been provided an initial draft. Agencies may consider using the existing published Strategic Plan to begin earlier consultations with Congress and other stakeholders before a more fully-developed revision is completed. This approach should allow stakeholders to engage early in the Strategic Plan development process. Agencies must consult with Congress at least every two years on their Strategic Plans and should briefly note how feedback was integrated in the Strategic Plan.

230.9 How should agencies publish Strategic Plans and deliver them to Congress?

The GPRA Modernization Act of 2010 requires agencies to make the Strategic Plan available on a central website in machine readable format, and notify the President and Congress of its availability. In February 2014, agencies that were required to establish Agency Priority Goals will publish Strategic Plans on the central website. These agencies should also provide a link on the agency's website to the agency's Strategic Plan as published on Performance.gov.

All other agencies, that were not required to establish Agency Priority Goals, will publish Strategic Plans on the agency's website, and will provide a hyperlink for publication on Performance.gov that directs readers to the agency plan on the agency's website.

Agencies will notify the OMB Director of the agency's final Strategic Plan by approving the content on Performance.gov, (or by providing the plan link to OMB at performance@omb.eop.gov if the content was not provided in Performance.gov). Related submissions or questions may be emailed to the same address.

Notification to Congress of the availability of the Strategic Plan on Performance.gov (or the agency website, if applicable) is transmitted electronically by the agency head. Transmittal emails are addressed to the Speaker of the House of Representatives, the President of the Senate, and the President pro tempore of the Senate.

230.10 Can Strategic Plans be updated in the interim, before the end of the four-year revision cycle?

Yes. Agencies may make adjustments to their Strategic Plan in advance of the four-year revision cycle prescribed by GPRA Modernization Act. Interim adjustments do not alter the four-year revision cycle for Strategic Plans.

An agency does not need to consult with Congress or conduct outreach to potentially interested or affected parties when preparing interim adjustments, unless such adjustments reflect significant changes. Significant changes to an agency's Strategic Plan should be made using a more extensive update process with review by OMB. Congressional consultation requirements apply in these instances of significant change.

In general, any updates to the agency strategic goals and strategic objectives should be made during the annual update of the Annual Performance Plan, concurrent with the release of the President's Budget in February.

230.11 How should interim updates be communicated or published?

Interim adjustments to the Strategic Plan, such as new Agency Priority Goals, generally will not require a new publication of the full Strategic Plan. For example, an agency may append an interim adjustment (e.g., newly defined Priority Goals) to its budget submission to OMB as a separate, easily found section that presents the needed adjustments to the Strategic Plan if any. Such interim adjustments should be

communicated in the Annual Performance Plan that is sent to OMB in September and to Congress in February and should be made easily accessible to the public.

Until the 2014 publication of the agency Strategic Plan on a central website, interim adjustments (e.g., addendum) to the Strategic Plan should be made available on the agency website with the most current Strategic Plan so that readers can access the most current agency plans.

