

Guidelines for Preparing the FY 2010-11 Annual Business Plan
Issued: February 12, 2010

Purpose:

- To identify, prioritize, and manage the work efforts of OGS business units toward achieving the agency's mission and goals.
- To describe a realistic set of activities to be carried out during the year, in light of known obligations and resource realities.
- To help integrate efforts across business unit lines where appropriate.
- To serve as a point of reference throughout the year between the Commissioner and First Deputy Commissioner's offices and the business unit leadership, and also between the business unit leadership and their respective program managers and staff. In addition, annual plans are a point of reference for personnel planning, fiscal resource planning, and IT planning.

Format:

A recommended template is attached; this template is very similar, but not identical, to the one provided last year. Please make every effort to incorporate in your plan all of the requested information. The template is available on the "V" drive at:

<V:\Public\AnnualPlanAndPerformanceReport\FY 2010-11 Performance Reporting and Annual Planning>

Key Inputs:

Annual planning is not simply a matter of copying the content of previous plans. Business unit managers should take the time to systematically identify, review, and address as needed several important potential inputs to their plan. These may include, but are not limited to:

- **OGS' six strategic goals and the associated objectives.**
- **Business unit key performance results.** Your organizational self-assessment of performance data and trends will point up opportunities for improvement in one or more service areas and/or projects. These should be addressed in the new plan.
- **Anticipated changes in resources.** Budgetary cutbacks will cause many business units to modify their services and projects. This should be reflected in the planning process.
- **Status of projects and activities included in the FY 2009-10 Plan** that may need to carry over.
- **Initiatives defined in the Executive Budget and Executive Orders** that directly affect the business unit, especially where there are specific deliverables and dates.
- **Findings and recommendations resulting from internal and external audits.**
- **Results from internal controls risk assessments** that may indicate the need for corrective action.
- **Other sources of known requirements (including new legislative mandates)** for the upcoming fiscal year.

Submittal:

Provide an electronic copy of your draft plan to Laurie Mitchell in the Office of Organizational Effectiveness (OE) by **April 30, 2010**. OE will coordinate the process of internal distribution and review within the Executive Offices and other key participants.

FY 2010-11 ANNUAL BUSINESS PLAN
(business unit name)
(date)

BUSINESS UNIT OVERVIEW

- **Mission**
State the function of the business unit (one or two sentences).
- **Key Goals**
In bullet format, list the broad goals or results areas that the business unit is focused on for success (e.g., minimizing costs to customers; maximizing tenant safety; fast and accurate service delivery). Tie your business unit's goals to the agency's six strategic goals.
- **Anticipated Staffing Level**
Consult with the OGS Budget Unit for the most up to date figures on staffing levels.

Beginning of year:
End of year:
(Address specifics in Section V.)
- **Anticipated Operating Budget**
Consult with the OGS Budget Unit to obtain budget information for FY 2010-11.

SECTION I: PLANNED BUSINESS UNIT ACTIVITY FOR FY 2010-11

This section is the main body of your annual plan and describes the work to be accomplished and delivered. Section I is to be divided into two major subsections – A., Ongoing Services; and B., Projects/Initiatives.

To make the distinction between what goes into which subsection, consider the following:

“**Services**” are ongoing and repetitive operations or functions, without definable start and end dates.

A “**project**” is a temporary endeavor undertaken to create a unique product or service. Every project has a definite beginning and end date and a fixed scope. For more information, see the Projects subsection.

A. ONGOING SERVICES:

This subsection describes the continuous services to be delivered.

Identify all **major core and routine services** that the business unit will maintain and deliver this year.

For each service, document the following:

- What are the **desired key results** for this service area?
- What is the specific **strategic connection** of this service to OGS' six strategic goals? If the activity is not linked, state why it is important, such as a statutory requirement.
- Are any **changes anticipated** in the workload volume and/or the expected output or service levels as a reflection of reduced resources during FY 2010-11? If so, describe.
- What amount of **personnel and financial resources** will be dedicated to this service area?
- What are the **key performance measures** for this particular service area? Are the requisite measures implemented with data being captured?
- What are the **primary barriers or risks** to successful delivery of the service? What **steps, processes, or controls** help you handle these barriers or risks?

B. PROJECTS:

This subsection of the plan describes the projects/initiatives that will be conducted during the fiscal year.

Identify all **projects and initiatives** to be worked on this year by the business unit.

For each project/initiative, document the following:

- **Name of the project**
 - What is the common reference name for the project?
- **Priority**
 - What is the priority level that the business unit (or OGS in the case of IT projects) assigns to this project in relation to other projects that the business unit plans to pursue during the fiscal year? (Use a simple indicator of A, B, C categories or rank order all projects in terms of priority, i.e., First, Second, Third, etc.)

- **Project objectives**
 - What is the project expected to accomplish?

- **Project scope**
 - What are the main tasks or activities that are going to happen within the project? List the key deliverables.

- **Project significance**
 - How will the project support and advance specific strategic goals and objectives of the agency?

- **Project timeline information**
 - What is the actual or planned beginning date?
 - What is the planned completion date?
 - If the project spans more than one year, what part of the project will be conducted this year? What are the key project milestones, with associated planned dates, that will occur during the year?

- **Project resource information**
 - Who is/will be serving as project manager or coordinator? If a project manager has not been named, who is the current lead or contact person?
 - Which OGS staff are/will be assigned to the core project team?
 - What staff external to OGS are/will be assigned to the core project team?
 - What are the projected costs, for this fiscal year and for the total project? Have these funds been earmarked for the purpose?

- **Project accountability information**
 - How will the ***progress of the project*** be tracked and measured? (In most cases, project progress indicators should include scope, schedule, and cost.)
 - How will the ***business impact*** of the project be tracked and measured? (To measure project outcomes or impact, it may be appropriate to create measures specifically for the project; alternatively, it may be appropriate to draw on pre-existing performance measures used by the business unit or OGS.)

Additional guidance regarding the projects/initiatives subsection:

- Projects may be in different statuses. Include all **new and carryover projects** that will be worked on by the business unit during the fiscal year.

- Projects may be of different types. Some of the projects may be **projects accomplishing major programmatic objectives** while others may be **projects enhancing organizational capacity, productivity, or effectiveness**.

- Include any IT projects that your business unit plans to initiate, has initiated, or is currently implementing within **OGS' IT (Information Technology) governance process**. All such projects are now expected to use project management methodology.

- It is extremely helpful to users of the plan to have the projects/initiatives subsection **organized in a logical manner**. Consider organizing the projects by type, status, and/or priority.

- If there are many projects, include a **master chart** for easy reference.
- **Project or initiative?** Sometimes in OGS we have temporary undertakings that fit into the “project” frame of reference in some respects but not others. For example, your business unit may be pursuing a change that may spawn one or more projects as the initiative matures. Or the business unit may lack the resources to apply formal project management practices to a particular objective but nevertheless hopes to progress the initiative during the year through a more informal approach. The goal is to have the annual plans be comprehensive in outlining the planned work for the year and also to specify how performance will be accounted for. Therefore business units are encouraged to include all major initiatives, whether or not formal project management methods will be used to manage the work involved.

SECTION II: SERVICE LEVEL REDUCTIONS AND PHASE-OUT ACTIVITY

This section of the plan identifies and describes plans for any significant change in service delivery.

What services, if any, does the business unit plan to reduce, discontinue, or phase out this year?

For each item, document the following:

- What is the rationale for the phase-out/discontinuance?
- What is the expected impact on budget, personnel, and customers?
- What actions will be taken to accomplish change in an orderly manner, including customer notification?
- What is the timeline for this phase-out or discontinuance plan?

SECTION III: EXPLORATORY ACTIVITY

This section of the plan identifies and describes topic areas that the business unit has identified as areas for exploration during the year.

Identify any areas in which you will explore innovation possibilities that, if pursued, could lead to new services to be introduced or projects to be undertaken in future years.

For each item, document the following:

- What is the topic?
- Why is it an important area to explore?
- How will the topic be studied/researched this year?
- When and in what manner will you bring together the learning or recommendations from the exploratory period?

Note: If your business unit’s pursuit of the topic has already reached the stage of a defined project, include it in Section I, not here.

SECTION IV: COMMUNICATION PLANNING

This section of the plan identifies and describes planned activity for the year relating to communication with internal and external stakeholders. Identify challenges and opportunities and discuss how you will address them.

Internal communication includes communication and knowledge transfer within and across OGS business units, both horizontally (peer to peer) and vertically (between supervisors and subordinates). External communication includes how you showcase your unit's accomplishments, parlay successes into longer-term opportunities, transfer knowledge, and develop partnerships.

Discuss your specific communication challenges and opportunities and explain your plans for addressing them.

A. INTERNAL COMMUNICATION

- Which business units are your key internal partners? How do you plan to strengthen these internal partnerships? What are you doing to share knowledge (practices, networks of partners, skills, etc.) across business units?
- Within your unit, what are the biggest communication challenges and what do you plan to do to address them in **FY 2010-11**?

B. EXTERNAL COMMUNICATION

- What do you plan to do in **FY 2010-11** to make OGS' services and accomplishments more visible to other agencies and the general public?
- Which organizations are your key external partners? How do you plan to strengthen those partnerships in **FY 2010-11**?

Note: In developing Section IV, consultation with OGS Executive/Public Information Office is advised (e.g., Heather Groll, Paul Larrabee, Becky Meyers, Jennifer Warner).

SECTION V: STAFFING

This section of the plan identifies and describes planned activity for the year relating to maintaining and maximizing human resources capacity.

Discuss your specific plans and expectations with respect to staffing using the following subsections:

A. STAFFING CONFIGURATION FOR FY 2010-11

- How well do the staffing level and distribution or organization of staff in the business unit align with the work planned for **FY 2010-11**?

- Is the business unit proposing or implementing any changes in staffing structure to support achievement of your annual plan? What changes do you expect to get into place during **FY 2010-11**?
- What are your plans to address diversity?

B. STAFF SUCCESSION

- What specific activities are underway or planned for **FY 2010-11** that are aimed at ensuring continuity in light of potential loss of critical staff due to retirements or other reasons?
- If your unit is facing a loss of key staff, how are you planning for necessary knowledge transfer?

C. STAFF DEVELOPMENT

- What are the specific plans for staff development within the business unit during **FY 2010-11**?
 - What are the current **priority** learning needs within the business unit and what is your estimate of the demand in each need area?
 - What **means** will be used to address each of these priority learning needs during the year?
 - How you will track, **measure** and reassess the business unit's investment in training and development for the year?

D. FORECASTED STAFFING NEEDS FOR FY 2011-12

- Budget planning for **FY 2011-12** begins *this summer (FY 2010-11)*. Looking ahead to business unit requirements for next year and beyond, do you anticipate a need for changes in your staffing configuration? If so please describe.

Note: In developing Section V, consultation with the OGS People Department and Budget Unit is advised.