

Annual Performance Plan Guidance

Purpose and Scope

The purpose of this document is to advise agencies of Annual Performance Plan requirements and to provide guidance on how to build a high quality Annual Performance Plan. These plans will ensure consistency with both a statewide performance management strategy and the budget process.

What is an Annual Performance Plan?

The Annual Performance Plan outlines the agency's projected level of performance to be achieved during the next fiscal year. By creating this one year snapshot of projected agency performance, agencies communicate expected progress toward the goals and objectives outlined in their broader, three year Strategic Plans. This is accomplished by using performance measures to identify success and opportunities for improvement. In order to stay on track with the Strategic Plan goals and objectives, agencies should develop specific annual targets for the previously established performance measures of the Strategic Plan.

How does the Annual Performance Plan relate to the Strategic Plan?

The goals and objectives in the Annual Performance Plan should be directly related to those in the Strategic Plan but can vary somewhat in order to include finer details as to how progress will be made in the upcoming year. The Strategic Plan involves the identification of strategic goals to help meet an agency's vision while Annual Performance Plan should provide a stronger linkage to the day-to-day activities of managers and their staff by specifying the division responsible for each goal. The Annual Performance Plan should provide context to the agency's budget request by identifying the key milestones that an agency will pursue in the coming year.

Annual Performance Plan Required Elements

In general, an Annual Performance Plan is completed at the agency level. In some instances, developing plans for individual divisions within the agency first and then combining these division plans into an overall agency Annual Performance Plan may better meet the agency's needs. Additionally, these plans may take on a hierarchical order, showing what goals need to be accomplished at each level in order for the next level to meet its own goals.

Regardless of individual agency preference, agency Annual Performance Plans must contain the following four elements to be submitted (Template B):

1. Reiteration of the agency **mission statement** from the Strategic Plan;
2. Reiteration of the agency **vision statement** from the Strategic Plan;
3. a) **Goals** and b) **objectives** for the upcoming fiscal year (directly related to the goals and objectives of the Strategic Plan but with flexibility to include more detail for plans in the upcoming fiscal year);
4. a) Reiteration of the performance **measures** from the Strategic Plan and b) **targets** for the goals and objectives of the upcoming fiscal year.

While the above elements that must be submitted, agencies should develop more comprehensive packages outlining their Annual Performance Plan in further detail. Although not required for submission, these more detailed plans can be useful documents to help guide the agency toward fulfilling its mission.

Element Descriptions

Element 1: Mission Statement

The Annual Performance Plan template asks agencies to reiterate their mission statement as outlined in the Strategic Plan in order to provide context to the Annual Performance Plan and allow it to be a stand-alone document.

Please see Attachment A, "Strategic Planning Guidance," for further detail on mission statements.

Element 2: Vision Statement

Similarly, the Annual Performance Plan template asks agencies to reiterate their vision statement as outlined in the Strategic Plan in order to provide context to the Annual Performance Plan document.

Please see Attachment A, "Strategic Planning Guidance," for further detail on vision statements.

Element 3: Goals and Objectives

a) Goals

Each Annual Performance Plan goal should directly correspond to a long-term Strategic Plan goal. However, an agency performance plan goal could include a more detailed statement about specific actions for the upcoming year. These goals should drive much of the daily operations of the agency. Collectively, these goals should touch on each core functional area of the agency.

In their Annual Performance Plan, agencies should identify the division responsible for ensuring that each goal is met.

b) Objectives

Each Annual Performance Plan objective should directly correspond to a long-term Strategic Plan objective. As with the goals, Annual Performance Plan objectives can also provide additional detail about what agencies plan to do specifically during the upcoming fiscal year.

Please see Attachment A, “Strategic Planning Guidance,” for further detail on goals and objectives.

Element 4: Performance Measures and Targets

In the Annual Performance Plan, agencies must utilize the same performance measures outlined in the Strategic Plan. The Annual Performance Plans will be used to incrementally assess progress toward achieving each set of strategic goals and objectives through the examination of explicitly established yearly targets for these measures. Annual Performance Plan targets should define the level of performance to be achieved in the next fiscal year (as an increment toward achieving the longer-term, 3-year targets outlined in the Strategic Plan).

Agencies need to determine the current performance level based on available data before identifying the optimal target level. The purpose of target setting is not to set arbitrary or easily achieved levels, but to achieve challenging outcomes that will drive progress towards the agency’s Annual Performance and Strategic Plan goals.

Please see Attachment A, “Strategic Planning Guidance,” for further detail on performance measures, targets, and the performance measurement process.

Example Agency Annual Performance Plan Elements *(for illustrative purposes only)*

1) Mission Statement (reiteration from Strategic Plan):

- As a scientific entity, it is our mission to serve the lifelong educational needs of visitors through our collections, exhibitions, scholarship, programs, media and publications. We strive to explore and express significant natural and cultural diversity, past and present.

2) Vision Statement (reiteration from Strategic Plan):

- Shaping the future by preserving our heritage, discovering new knowledge, and sharing our resources with the world.

- 3a) Annual Performance Plan Goal (reiteration from Strategic Plan, with added responsible unit and flexibility to include additional information regarding the upcoming fiscal year):
- Be the trusted, authoritative organization for credible, impartial scientific expertise and data to inform global initiatives and policy formulation related to the sustainability of biodiversity and ecosystems. This year, we are planning on applying for additional certification in various fields of study.
- 3b) Annual Performance Plan Objectives (reiteration from Strategic Plan with additional information regarding the upcoming fiscal year):
- I. Capitalize on the agency's reputation and status to convene conferences, symposia, and workshops of experts and policy makers on current issues. We are currently planning our largest conference to date for this upcoming fiscal year.
 - II. Digitize the agency's science collections and develop new ways to analyze, integrate, and share this information in formats appropriate to different audiences. This upcoming fiscal year includes plans for a new database on our homepage.
- 4a) Annual Performance Plan Performance Measure (Reiteration of Strategic Plan Measure):
- I. Attendance at symposia on key areas of global concern.
 - II. Rate of digitization
- 4b) Annual Performance Plan Target (1-year):
- I. Increase attendance at symposia by 10%.
 - II. Increase the current rate of digitization by 33%.

Definitions

Goals: broad statements of what an agency wants to achieve over a long period of time; should reflect the agency's major areas of responsibility for delivering services to New Yorkers; may be subdivided into multiple objectives.

Measures: describe *what* is being measured to ensure effective and efficient use of resources; enable agencies to objectively gauge and report progress in achieving their goals.

Mission Statement: the reason for an agency's existence; succinctly identifies what the agency does, why, and for whom.

Objectives: clear target for specific action; interim steps toward achieving an agency's mission and long term goals.

Targets: numerically define the desired level of performance for each measure to be achieved in a given amount of time.

Vision Statement: paints an aspirational picture of how the agency sees itself in the future; should be both realistic and challenging as this desired end-state will motivate and drive agency results.