**Strategic Plan Tracking System**

**February 28, 2022**

**Overview**

This system should be used to define 5 year strategic goals and the associated risks, progress, and annual plans related to each. Each school and administrative areas will have designated people, using the roles that have been defined below, who can use the system to enter the information.

**Roles**

In addition to the administrators for the system, there are 3 different roles that someone can have per school and/or administrative unit:

* *Administrator*: can add/update goals, risks, progress, and annual plans for the school/area assigned to them. Also has ability to review and approve/deny goals that have been entered by a contributor for that designed school/area.
* *Contributor*: can add/update goals, risks, progress, and annual plans for the school/area assigned to them.
* *View-Only:* can view goals, risks, progress and annual plans for the school/area assigned to them

If you or someone in your school/department needs to be granted access, either the *Administrator* or *Contributor* can use the “Access Request” option in the navigation to submit the name of the person and which role they need. The system administrators will be notified and process the request. The “school-wide” level should be used when goals need to be defined for an entire school/organization that has departments defined under it.

**Adding Goals**

Use the “Add Goal” option in the navigation to define a 5 year goal for your school, organization and/or department. You will need to select the Theme and Objective, then pick the outcome that is related to the goal you want to define.

When adding a new goal, you will need to enter the following:

* *School/Organization*: pick the designated area that the goal is for (if you have numerous assigned, a drop-down list will appear for you to select from)
* *Goal Title:* Short title explaining the goal
* *Goal Description:* Longer explanation of the goal
* Progress Measurement Criteria: explanation of how the progress will be measured
* *Keywords:* pick words/phrases that can be used/linked with the goal for reporting purposes
* *Save as Draft:* If you are still planning and drafting your goals, you have the option to save them as a draft before they will appear in the Pending Goals queue for the administrator assigned to the school/organization selected for review/approval. Goals that are saved as draft will have status of “In Progress” and any that are submitted will have status of “Pending Review”. If an administrator for a school/organization enters a goal, it will automatically be “Approved”.

**Pending Goals**

The Pending Goals queue contains any goals that have a status of “In Progress”, “Changes Needed”, and “Pending Review”. It can be used by administrators and contributors assigned to each school to define and update goals while they are being created.

After a goal has been added by a contributor for a designated area, it will appear in the “Pending Goals” queue. The administrator will be able to view the information entered for the goal, adjust if necessary, and then approve/deny the goal. There is also an additional Comments field that can be used to add notes and the administrator will have ability to update the status of the goal from “Pending Review” to “Changes Needed”, “Approved” or “Denied”.

Note: Once a goal has been “Approved”, the administrator and contributor for that school/organization will no longer be able to change the goal information. In the event a change is needed, the system administrator will need to make the changes. In addition, “approved” goals will also be visible for the system administrators to review and mark as “reviewed”.

**Goals**

Once a Goal has been “Approved” it will appear on the Goals queue. There are two separate tables on this page – the top one contains goals that have been approved and have initial risks/barriers defined. The lower table contains approved goals that still need the risks/barriers defined. Either the administrator and/or contributor for the associated school/organization linked to the goal will be able to update the goal’s initial risks/barriers.

The initial risks/barriers associated with the goal can only be defined once – immediately after the goal has been approved and appears on the goals queue page, by using the “Define Risks” link next to the goal in the lower table.

Once the initial risks/barriers have been defined; either the administrator and/or contributor associated with each school/organization linked to the goal will be able to provide additional risks, progress, updates and annual plan information per goal.

**Workflow & Timeline**

1. Define Goals: Unit/Dept Administrator or Contributor submits goal details
	1. Approve Goals: If contributor submitted a goal, the administrator for same area should review and approve once accurate
2. Define Initial Risks/Barriers: once a goal is approved, the unit/dept administrator or contributor will define initial risks/barriers for each goal for yearly period
3. Progress Updates: Unit/Dept Administrator or Contributor provides updates for each defined time period.
	1. A month prior to the end of each time period, biweekly reminder emails will be sent to the Unit/Dept Administrator and Contributors associated with each goal to remind them that the progress update is still needed – in the event is still hasn’t been provided. The reminder emails will be sent until the progress update is provided for the time period.
4. Annual Plans: Unit/Dept Administrator or Contributor provides annual plan details for each fiscal year period. More than one annual plan can be defined per fiscal year period. Information from a previous annual plan can be re-used when defining additional plans, or they can be created from scratch.
5. Risk Re-evaluation: Unit/Dept Administrator or Contributor completes risk re-evaluation for each fiscal year period. The previous year’s risks can be re-applied when defining next year’s risks or new risks can be selected. Once risks have been defined for a fiscal year period, they can't be updated/changed.

If it's after July 1st, annual plan(s) AND risk re-evaluation must be defined for the upcoming fiscal year period for each goal before any additional goal updates can be completed.

Risk/Barrier Information:

In addition to defining the initial risk/barrier associated with the goal, each year (similar to annual plan), they will need to do a risk re-evaluation and identify what risks/barriers apply to that year (they can select the same risks as previous year or pick new ones). Once a risk re-evaluation is done, the risks that have been selected for that year will become the “active” risks for the goal and will appear in the top summary on all the goal details.

* *Risk Category:* drop-down list of options (also include link to reference chart of category and descriptions of each) - required
* *Overall, is the risk category listed:* (risk audience)
	+ More Internal to UMB
	+ More External to UMB
	+ Equally Internal and External to UMB
* *Details about the risk category selected:* can used to provide more information (optional)
* *Risk Impact:* what is the impact on the school/unit mission if the risk interferes with the goal? Consider financial, legal, health & safety, reputation, and other relevant impacts. (required)
	+ 5 – Severe
	+ 4 – Major
	+ 3 – Moderate
	+ 2 – Minor
	+ 1 – Incidental
* *Risk Likelihood and Detectability:*
	+ 5 – Very High
	+ 4 – High
	+ 3 – Medium
	+ 2 – Low
	+ 1 – Very Low
* *Risk Velocity: how much time will exist between the onset of the barrier impending the goal (or being forseeable) and feeling its effect?* (required)
* Secondary Risk Category (same as above)
* Secondary Audience
* Secondary Details (optional)
* Secondary Risk Impact
* Secondary Risk Likelihood
* Secondary Risk Velocity
* *Comments:* optional comments

Add Progress Information:

* *Date Range for Progress Update:* drop-down list of date ranges in which updates are needed
* *Percentage:* drop-down list to provide update on goal progress as a percentage, options are:
	+ 0% (Not Yet Started)
	+ 1-24% (Progress Started)
	+ 25-49% (Substantially Underway)
	+ 50-74% (Significant Progress)
	+ 75-99% (Near Completion)
	+ 100% (Completed)
* *Status:* drop-down list to provide update on goal’s progress, options include:
	+ Planning
	+ In Progress
	+ Cancelled
	+ Completed
* *Comments*: supporting explanation related to the status/progress update
* *How are you measuring your SMART goal?*: explanation required
* *Supporting Document(s)*: option to upload a file (if you have numerous documents, please combine them into one file). File can be in excel, word, powerpoint, PDF, jpg or gif format

Once the risks/barriers have been defined, then only progress updates and annual plans related to each goal can be entered/updated by either the administrator and/or contributor for the associated school/organization.

To provide additional progress updates and annual plans, use the “Progress Update” link in the top table. A form with a summary of the goal information, any annual plans, and progress updates already provided will be listed as well as the ability to provide addition annual plans and progress updates. Click on the annual plans and/or progress updates displayed in the summary section in order to view full explanation/details. It is possible to update annual plans; however, progress updates can’t be updated after they have been submitted.

Annual Plan(s):

An annual plan must be defined for each goal for each fiscal year, if it hasn’t been provided by April 1st – the ability to provide updates on goals will be temporarily disabled. Annual plan information includes:

* *Year Range*: drop-down list of fiscal years
* *Annual Plan Title*: short description
* *Description:* additional explanation of the annual plan
* *Who is Responsible for the Annual Plan?*: optional description/details
* *Comments*: optional comments
* *Supporting Document(s):* option to upload a file (if you have numerous documents, please combine them into one file). File can be in excel, word, powerpoint, PDF, jpg or gif format

**Reports**
In order to review goals and their progress, some additional reports are available, including:

* *Admin Approved Goals*: goals that have been reviewed and approved by the system administrators
* *Goals Without Risks/Barriers*: goals that have been approved but do not have risks/barriers or initial progress update yet
* *Goals needing correction*: goals that system administrators have marked as needing correction after being reviewed

**Search**
Search for goals based on school/organization, department, or goal title. In addition, you can also filter by title, outcome, goal status, and/or barrier. Results will be displayed in table format.