

# **OMB CIRCULAR NO. A-11**

## **PART 6**

### **PREPARATION AND SUBMISSION OF STRATEGIC PLANS, ANNUAL PERFORMANCE PLANS, AND ANNUAL PROGRAM PERFORMANCE REPORTS**



**EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
JUNE 2005**



**SECTION 200—OVERVIEW OF STRATEGIC PLANS, PERFORMANCE BUDGETS, AND  
PERFORMANCE AND ACCOUNTABILITY REPORTS**

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**Summary Schedule**

Updated and revised strategic plan sent to Congress and OMB.....	within three years of the date of transmittal of the previous updated and revised strategic plan to Congress
FY 2007 performance budget to OMB.....	Fall
FY 2007 performance budget completed .....	October-December 2005 (after final appropriations action and budget appeals)
FY 2005 performance and accountability reports to President and Congress.....	by November 15, 2005
FY 2007 congressional justification (incorporating performance budget) sent to Congress.....	February 2006
Interim adjustments to strategic plans sent to Congress.....	February 2006 (with performance budget for FY 2007)

Agencies should note that OMB Circular No. A-19 on legislative coordination and clearance applies to plans and reports sent to Congress.

**200.1   Overview.**

Strategic plans, annual performance plans, and annual program performance reports comprise the main elements of the Government Performance and Results Act (GPRA, or the Results Act). Together, these elements create a recurring cycle of reporting, planning and execution.

Beginning with the budget for FY 2005, agencies prepared performance budgets in lieu of the annual performance plans. *The performance budget should satisfy all statutory requirements for the annual performance plan.* Please see sections [51](#) and [220](#) for further information on performance budgets. Sections [26](#) and [230](#) cover the preparation and submission of annual performance reports, particularly the performance report portion of the combined performance and accountability report.

## 200.2 Definitions.

**Strategic Goal or Strategic Objective.** A statement of aim or purpose included in a strategic plan (required under GPRA). In a performance budget/performance plan, strategic goals should be used to group multiple program outcome goals. Each program outcome goal should relate to and in the aggregate be sufficient to influence the strategic goals or objectives and their performance measures.

**Performance Goal.** Sets a target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value or rate. A performance goal is comprised of a performance measure with targets and timeframes.

**Performance Measures.** Indicators, statistics or metrics used to gauge program performance.

**Target.** Quantifiable or otherwise measurable characteristic that tells how well a program must accomplish a performance measure.

**Outcome Measures.** Outcomes describe the intended result of carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the public. For a tornado warning system, outcomes could be the number of lives saved and property damage averted. While performance measures must distinguish between outcomes and outputs, there must be a reasonable connection between them, with outputs supporting (i.e., leading to) outcomes in a logical fashion.

**Output Measures.** Outputs describe the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered). For example, an output could be the percentage of warnings that occur more than 20 minutes before a tornado forms.

**Efficiency measures.** While outcome measures provide valuable insight into program achievement, more of an outcome can be achieved with the same resources if an effective program increases its efficiency. The President's Management Agenda (PMA) encourages agencies to develop efficiency measures. Sound efficiency measures capture skillfulness in executing programs, implementing activities, and achieving results, while avoiding wasted resources, effort, time, and/or money<sup>1</sup>. Simply put, efficiency is the ratio of the outcome or output to the input of any program<sup>2</sup>.

**Program assessment:** A determination, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives.

**Performance budget.** A budget presentation that clearly links performance goals with costs for achieving a target level of performance. In general, a performance budget links strategic goals with related long-term and annual performance goals (outcomes) with the costs of specific activities to influence these outcomes about which budget decisions are made.

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<sup>1</sup> [www.cogsci.princeton.edu/cgi-bin/webwn](http://www.cogsci.princeton.edu/cgi-bin/webwn)

<sup>2</sup> [www.cogsci.princeton.edu/cgi-bin/webwn](http://www.cogsci.princeton.edu/cgi-bin/webwn)

For additional information on developing performance measures and definitions, please see [www.whitehouse.gov/omb/part/](http://www.whitehouse.gov/omb/part/) for Instructions for Completing the PART, Examples of Performance Measures, and Performance Measurement Challenges and Strategies.

**200.3 Applicability.**

For the purposes of sections 220 and 230 of this Circular, "agency" means cabinet departments and other establishments of the Federal Government, including independent agencies and Government corporations. A Government corporation is a corporation owned or controlled by the Federal Government. The Legislative Branch and the Judiciary are not subject to GPRA requirements.

Except as noted below, agencies are required to submit strategic plans, annual performance budgets, and annual performance and accountability reports to the President, Congress, and OMB in accordance with these instructions. The Central Intelligence Agency and the Postal Rate Commission are not subject under this statute to the requirements for strategic plans, annual performance plans, or program performance reports. These instructions also do not apply to the Postal Service; preparation and submission of the Postal Service's strategic plan and performance plan are covered by section 7 of GPRA.

OMB may exempt independent agencies with \$20 million or less in annual outlays from the requirements for a strategic plan, annual performance plan (performance budget), and annual program performance report. GPRA does not authorize any exemption of a component of a department or independent agency, such as a bureau or office that annually spends \$20 million or less.

