FY-2020

Agency Program & Request Guide

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I. General Information

Introduction

Please submit your FY2020 Agency Program and Request documents no later than October 1, 2018. Your agency will use the two attached Excel spreadsheet documents to provide agency and program information and financial data, federal and non-federal revenue, and the projected needs of your agency's core programs and support services, including operating requests, supplemental funding needs, and legislative needs.

Strategic plans are required this year. Fields for providing strategic plan information for fiscal years 2023 through 2025 are included throughout the workbook documents. If the agency has prepared a separate Strategic Plan document, include it in your submission packet. Your agency does not have to provide this information more than once.

Agencies will receive a separate request from the State Comptroller for a Cost Assessment Survey. Submit the requested information along with all other required documents and spreadsheets.

Required documents include:

1. FY-2020 Agency Program Information & Strategic Plan (Workbook 1)
2. FY-2020 Budget Request & Strategic Plan (Workbook 2)
3. Agency Cost Assessment Survey (Requested separately by the Comptroller)

Please submit these documents, along with any additional support documentation, to:

- Your assigned Budget Analyst at OMES,
- House of Representatives Fiscal Analyst Mark Tygret (tygretma@okhouse.gov),
- Senate Fiscal Analyst Anthony Sammons (sammons@oksenate.gov), and
- The Cabinet Secretary for your agency. (Please coordinate with your Cabinet Secretary to determine their preference for receiving your documents.)

New and Noteworthy

Strategic Plans

Strategic Plans are due this year. Questions required by statute 62 O.S.§ 45.3 are distributed throughout the workbooks. If a strategic planning document already exists which addresses these questions, you may submit the document in lieu of completing these particular questions in the workbooks. In the workbook, please note the section in which we may find the information in your document. (For example, "Strategic Plan, Chapter 1.2")

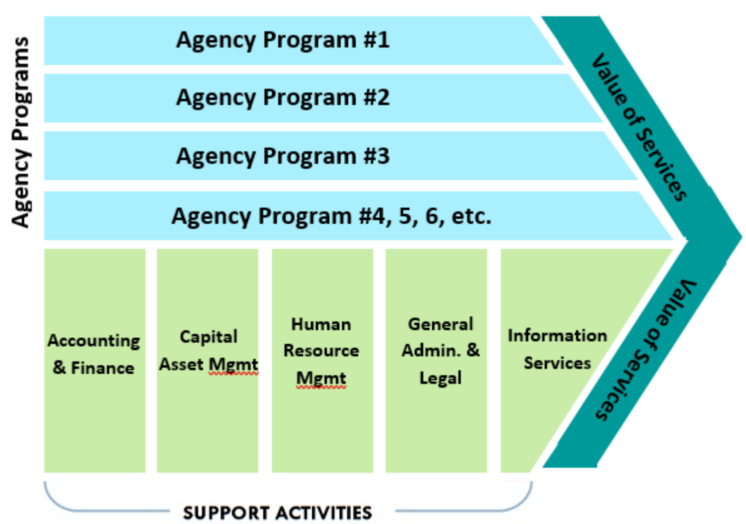
Agency Program Summary

In an effort to increase transparency and enhance the usefulness of financial data in the state system of record, agencies are required to submit a list of their programs and map the various programs to their departments. (62 O.S. § 34.35, 34.36(D), 34.42(C)(3), 35.6(B), and 45.3(B)). *The agency may list multiple programs per department and/or multiple departments per program.*

Separate Support Services Tabs

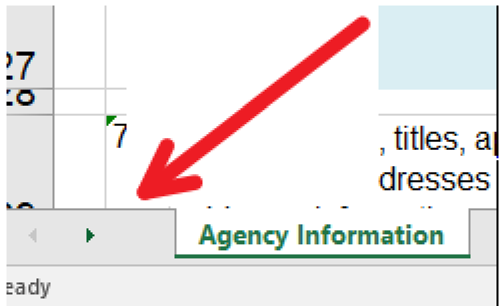
In an effort to separate mission-focused programs from support activities, agencies will describe and account for the following support services in separate tabs:

- Accounting and Finance
  - Accounts payable/receivable, procurement, budgeting, grant administration, etc.
- Capital Asset Management
  - Facility upkeep, property maintenance, fleet, capital projects, construction, etc.
- General Administration and Legal
  - General administration, office management, mail, communications, legislative liaisons, general counsel, etc.
- Human Resource Management
  - Human resources, payroll, training and development, recruiting and hiring, etc.
- Information Services
  - Information technology, telecommunications, system security, application development, technical support, etc.



Excel Workbook Tips

To navigate quickly between Excel tabs in your Budget Request and Program workbooks, right-click on the green arrow at the bottom left-hand corner of the spreadsheet.



Right-clicking in this location will bring up a shortcut menu with a full list of the tabs contained in the spreadsheet document. You can quickly select the desired tab in this menu.

To add additional detail tabs:

In both workbooks, multiple detail tabs have been provided for program information, operating requests, supplemental funding needs, etc. If additional tabs are needed, please use the following process:

1. Note: to reduce the need to delete information in your new tab, create a new tab before the tab you want to copy has been completed.
2. Right click on the tab you want to copy at the bottom of the Excel spreadsheet.
3. Click “Move or Copy.”
4. In the pop-up box, ensure that “Create a copy” is selected at the bottom.
5. In the “Before Sheet” area, select the tab that you want your new tab to appear before. Click OK.
6. When the tab is created, re-name it with the corresponding number from the summary tab for that topic.

Miscellaneous changes

- Agencies will need to list *all* sources of non-federal revenue in the “Fees, Fines, and Other Revenue” tab.
- The Federal Funds schedule, required by 62 O.S. 34.36.1, has been incorporated into the budget request process. Note that there are two columns in this sheet in which you may provide a link to the requested information rather than listing the information directly in the Excel spreadsheet. These columns are noted in red. You may list multiple federal grants per program and/or multiple programs per grant.

II. FY-2020 Agency Program Information & Strategic Plan (Workbook 1)

Please fill out all relevant tabs in this workbook. Contact your assigned Budget Analyst with any questions.

Agency Information

Start with this tab and enter the Agency number and name at the top. This action will populate the agency name in the other tabs.

Complete the basic agency information.

Agency Program Summary

Please list all Agency Programs by name and the corresponding Division or Department. Programs are activities that directly provide goods or services to customers, clients, and citizens. Examples include licensing, enforcement, investigations, medical/healthcare, supervision, education, and public outreach.

This list will map the various programs of each agency to the existing divisions or departments. In many cases, the name of the program will match the name of the division or department. If necessary, the agency may list multiple programs per department and/or multiple departments per program.

Support services should be listed separately in the designated location. If necessary, the agency may list multiple services per department and/or multiple departments per service. Please see below for a more detailed description of these support services.

Program Information (#1, #2, #3, etc.)

Each agency program requires a separate tab. Describe general program information, goals, and program performance measures in these tabs. There are five existing Program Information detail tabs. If more tabs are needed, please create a new tab and label the tab with the corresponding number from the summary sheet.

Answer the questions, then list and describe program goals and performance measures (KPMs) for this program. Goals are statements of broad intent or purpose. Performance measures describe what you are trying to accomplish in more specific and measurable terms, usually within a certain time frame. These measures are established after the agency develops program goals and objectives and are subsequently used by management to determine whether programs are meeting their goals and objectives.

List the measures you've developed and the benchmarks or progress the agency has achieved under the years noted as “actuals.” List the progress you expect to achieve during the current budget year under the year marked “budget” and expected progress during the next six years under the years marked “targets.”

Support Services Detail Tabs

Support services assist and enhance the agency’s programs but typically are not directly involved in providing services to customers and citizens. Due to the statutes detailed under Appendix A, agencies will now describe support services separately from the primary or core programs of the agency.

Each support service tab lists a set of questions specific to that particular service. Note that the following support services are included in separate tabs:

- **Accounting and Finance**

  Services include how the agency procures resources, pays vendors, manages funds, forecasts revenue, budgets expenses, and records transactions.

- **Capital Asset Management**

  Capital assets are the physical foundation that enable agencies to accomplish their missions. Effective asset management—including property acquisition, operation, maintenance, and disposition—requires alignment with the agency’s core mission and key decisions.

  An agency’s fleet is defined as any vehicles owned or leased by the agency, including vehicles leased from OMES.

- **General Administration and Legal**

  These services include office management, legislative tracking, mail delivery/receipt, and communications, along with legal services provided by either internal counsel, through the Office of the Attorney General, or outside counsel approved by the Attorney General.

- **Human Resource Management**

  These services include recruiting, hiring, training, and management of payroll for agency employees.

- **Information Services**

These services include the purchasing, set-up, development, maintenance, security, and support of software, hardware, networks, and telecommunications.

Note: Please see Appendix A for more details on this section.

III. FY-2020 Budget Request & Strategic Plan (Workbook 2)

Note: If your agency is requesting additional operating funds, supplemental funding, or legislative needs, please fill out the corresponding summary and detail tabs for these topics. If the agency has no operating requests, supplemental funding or legislative needs, please skip to the Cash & Carryover tab and complete all other required tabs.

Operating Request (#1, #2, #3, etc.)

This series of templates requests information about any funding changes your agency anticipates or is requesting during the period covered by the request (other than supplemental funding needs which are addressed separately). Please indicate the priority of the request at the top numerically.

There are five existing Operating Request detail tabs. Each Operational Request listed on the Summary tab requires a corresponding detail tab. If more tabs are needed, please create a new tab and label the tab with the corresponding number from the summary sheet.

Operating Request Summary

List all operating requests from the prior detail tabs in order of priority. Include additional funds needed (this should match the totals found on the operating request detail tab). Specify the funding needed in each request year, in thousands of dollars.

Supplemental Request Detail

Supplemental requests are funding needs for the current fiscal year that were not included in your original Budget Work Program.

Currently, there are two existing supplemental request detail tabs. If more tabs are needed, please create a new tab and label the tab with the corresponding priority number from the summary sheet. Each supplemental request requires a corresponding detail sheet.

If this supplemental funding needs to be annualized and continued in subsequent years, include an expanded request in the Operating Requests tabs.

Supplemental Request Summary

List FY2019 supplemental funding needs in order of priority. The totals should match the totals found on the supplemental request detail tabs.

Legislative Needs

Summarize the legislative changes that the agency's management, controlling board, or program managers are seeking during the next legislative session. Complete the information for each legislative change request.

Cash and Carryover

The information on this tab assists in planning for special cash needs in FY-2020 and indicates how much carryover will be used in the FY-2019 budget. A special cash appropriation is the amount of cash the agency requires at the beginning of the fiscal year.

Please indicate how much, if any, of your total FY-2020 request for annual appropriated funding needs to be provided as cash as opposed to funding you receive 1/12th per month. For each request,

- Identify each cash funding need by program,
- Indicate how much is needed, and
- Explain why you would not be able to absorb the cash-flow needs without a cash appropriation.

Federal Funds Schedule

The Federal Funds schedule, required by 62 O.S. 34.36.1, has been incorporated into the budget request process. Note that there are two columns in this sheet in which you may provide a link to the requested information rather than listing the information directly in the Excel spreadsheet. These columns are noted in red.

You may list multiple federal grants per program and/or multiple programs per grant.

The cost to implement is defined as the administrative costs to run the program, not the total cost of delivering services through the program.

Federal Program Funding Detail

There are four existing federal program detail tabs. If more tabs are needed, please create a new tab and label the tab with the corresponding number from the summary sheet. Provide details for each federal program which funds programs at the agency.

Federal Funds Summary

List all federal funds that the agency receives.

Grants Program Detail Tabs

Provide detailed information about agency's non-federal grants and pass-throughs to local governmental entities and non-profit organizations. There are four existing grant program detail tabs. If more tabs are needed, please create a new tab and label the tab with the corresponding number from the summary sheet.

Local Grants Summary

Summarize all programs which provide grants and pass-throughs to local government and non-profit entities using non-federal dollars.

Fee, Fines & Other Revenue (Summary)

Please provide revenue information from all sources, aside from the federal sources accounted for on the previous federal tabs. Once this spreadsheet has been populated, the information from columns A –C will populate the details tab.

Other Revenue Details

The information from the Fees, Fines & Other Revenue (Summary) tab will flow to this sheet. Agencies will provide information for two fiscal years of actual revenues, the current year projections and estimates for the following year.

Capital Lease Debt (Bond Indebtedness)

Please list out each asset subject to a capital lease and itemize outstanding capital lease debt.

Appendix A: Overview of Integrated Agency Planning

Introduction

The Budget Work Program, Budget Request process, and Strategic Plan are designed to be integrated and complementary processes which together provide a clear picture of agency goals and needs for the current fiscal year and following six years. This overview provides a description of each planning process and the statutory references that require each process.

Budget Work Program

The Budget Work Program (BWP) is the agency's operational needs plan for the current fiscal year, which begins on July 1^{st}. This current plan was built using revenue and expenditure estimates available to decision makers last fiscal year-beginning each year in October when agencies submit plans for the upcoming years. (62 O.S. § 34.42).

Budget Requests

Agencies are required to submit their estimate of needs for the ensuing fiscal year and the following two fiscal years, along with an estimate of revenues from all sources to be received by the agency during the ensuing fiscal year and the following two fiscal years. Agencies are also required to include their estimated capital lease needs for the ensuing fiscal year and the following two fiscal years. Because we are currently in fiscal year 2019 (FY19), the estimates are therefore due for FY20, FY21, and FY22. (62 O.S. § 34.36)

Statutorily, these estimates shall also include, but not be limited to, a budget analysis of existing and proposed programs utilizing performance-informed budgeting techniques, program objectives and outcomes, number of personnel required to accomplish each program, a listing of all employees and resources dedicated to the provision of financial services, and an outline of the interactions between any other state, federal, or local agencies which administer a similar or cooperating program.

Strategic Planning

The focus on agency programs continues when agencies provide decision makers with their long-run strategic plans. The Oklahoma Program Performance Budgeting and Accountability Act requires agencies to prepare and submit their budgets in a program format, and all agencies are required to collect and identify data to measure performance of their programs. The purpose of this Act is to better prioritize state funding needs, reduce program duplication, enhance budgeting information necessary to improve the efficiency of state operations, and improve state services to the public. (62 O.S. § 45.1).

Agencies are required to submit their strategic plan for operations which shall cover five fiscal years beginning with the next odd-numbered fiscal year. Because we are currently in FY19, the next odd-numbered fiscal year would be FY21 with the remaining four years encompassing FY22, FY23, FY24, and FY25. (62 O.S. § 45.3)

Plans must include but not be limited to the agency's mission and goals, outcomes of agency programs, and descriptions of strategies for meeting the agency's needs and achieving the goals for each area of state government.

In addition to program and performance information, strategic plans statutorily shall also include an analysis of the use of agency resources to meet the stated mission, including an estimate of additional resources that may be necessary to achieve that mission. These plans shall also include summaries of any capital improvement needs of the agency.

Additional Information Required by Statute

In addition to these short-term and long-term plans, agencies are also required to submit additional information each year. These other submissions include, but are not limited to, reporting federal funds information (62 O.S. § 34.36.1), fee schedules (62 O.S. § 45.11), capital needs (62 O.S. § 901), as well as information regarding the use of the agency's fleet vehicles (74 O.S. § 78).

This information helps decision makers effectively prioritize state funding needs and improve the efficiency of state operations. In these efficiency efforts, OMES is combining the budget request and strategic planning submissions, while also placing more focus on agencies' programs.

Agency Programs and Support Services

Agencies are required to prepare and submit budgets and plans in a program format. Agency programs are activities that directly provide goods or services to customers, clients, and citizens. Examples of these types of programs include licensing, enforcement, investigations, medical/healthcare, supervision, education, and public outreach. (62 O.S. § 34.36, 34.42, 45.1, 45.3, and 45.11)

For each program, agencies are required to collect and identify data to measure relevant objectives, outputs, outcomes, and groups of people served. Agencies are also required to detail the revenues generated from each program, the number of personnel required to accomplish each program, and estimated resources, requirements, and needs of these programs during the upcoming fiscal years.

Support services assist and enhance the agency's programs but typically are not directly involved in providing services to customers and citizens. Agencies are required to describe support services separately from primary programs of the agency (pursuant to 62 O.S. § 45.11(A)(3).

- **Accounting and Finance**

  Services include how the agency procures resources, pays vendors, manages funds, forecasts revenue, budgets expenses, and records transactions.

  - 62 O.S. § 34.36(D)(11) requires agencies to detail the resources dedicated to providing such financial services.
  - All activities of any state agency, department, or institution related to purchasing are under the direction of the State Purchasing Director (74 O.S. § 85.3(D) and the Oklahoma Central Purchasing Act).
  - The Division of Central Accounting and Reporting is tasked with providing or assisting agencies in developing appropriate accounting methods and systems (62 O.S. § 34.11).

- **Capital Asset Management**

  Capital assets are the physical foundation that enable agencies to accomplish their missions. Effective asset management—including property acquisition, operation, maintenance, and disposition—requires alignment with the agency's core mission and key decisions.
  - Statutory requirements include 61 O.S. § 204, 62 O.S. § 34.36(G), 45.3(B)(7), and 901, and 74 O.S. § 61.8, 63, 78, and 110.1.
  - Provide a better understanding of how each agency's capital assets support its core mission; and
  - Help improve statewide capital planning.

- **General Administration and Legal**

  These services include office management, legislative tracking, mail delivery/receipt, and communications, along with legal services provided by either internal counsel through the Office of the Attorney General, or outside counsel approved by the Attorney General.

- **Human Resource Management**

  These services include recruiting, hiring, training, and management of payroll for agency employees.

    - Agencies are required to analyze how available resources (including human resources) are used to meet the agency's mission. (62 O.S. § 45.3(B)(4).)
    - Agencies are required to utilize shared IT systems for payroll and human resources (62 O.S. § 35.6(B)).
    - OMES is responsible for the development of an efficient and effective system of personnel administration that meets the management needs of the various agencies; assisting state agencies in implementing their duties and obligations pursuant to the Oklahoma Personnel Act; conducting studies on turnover rates and application pools, and many other related duties (74 O.S. § 840-1.6A).

- **Information Services**

  These services include the purchasing, set-up, development, maintenance, security, and support of software, hardware, networks, and telecommunications.

    - The Legislature requires OMES and the CIO to formulate and implement the information technology strategy for all state agencies (62 O.S. § 34.11.1(F)(1)) and to coordinate information technology planning through analysis of the long-term information technology plans for each agency (62 O.S. § 34.12(A)(1)).
    - Pursuant to the Information Technology Consolidation and Coordination Act and 62 O.S. § 35.2, it is the intent of the Oklahoma Legislature to:
        - Reform and consolidate the information technology structure, operations, and purchasing of the state;
        - Move state government forward with respect to electronic purchasing, billing, and payment services to ensure the state delivers essential public services to citizens in the most efficient manner at the lowest possible cost to taxpayers;
        - Streamline and consolidate systems for financial and administrative services; and
        - Coordinate and require central approval of state agency information technology purchases and projects to enable the state's Chief Information Officer (CIO) to assess the needs and capabilities of state agencies.