

**Functional Strategic Planning:
Driving Operational Results**

Richard Aragon, Ph.D.
Director
Office of Program Planning, Analysis and Evaluation (OPAE)
Acting Director, Division of Data Integration, Modeling, and Analytics (DIMA)
NIGMS NIH
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Some "Ideas" About Strategic Planning

Strategic Planning

- An Non-Scientific Exercise, Usually A Very Painful One.
- An Output Process: objective is the production of a written document.
- Function/Utility: Shelf Filler, Door Stop, or Something Like a University View Book (e.g., "Nice Glossies").

Functionally....

- Constructed in isolation or with limited input.
- Insufficient metrics, measures; No tracking of implementation.
- Contractual / Third-Party.

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An Alternative View

- Strategic Plans are *management* tools.
- As such, they are reflective of:
 - **Directionality** – the direction in which an organization would like to proceed as measured by its goals and objectives.
 - **Timeliness** – the timeframe in which an organization expects to achieve these goals and objectives.
 - **Methodology** – the strategies, procedures, processes, materials, and methods that an organization will use or leverage to achieve its time-bound goals and objectives.
 - **Measurement** – the means by which an organization will assess (analyze) progress (including necessary course corrections / adaptability) and achievement.
 - **Accountability** – to the organization, scientific community, public, and taxpayer.
- Among the objectives of integrated strategic plans is to **shift organizational culture toward a more active/proactive (versus reactive) form of management** through the application of *scientific principles* to areas of *organizational management*.

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Why Important?

- **We exist in a highly dynamic environment that increasingly demands that we do more with less.**
- **With less resources, we are required to demonstrate heightened levels of: a) Transparency, b) Accountability, and c) Efficiency.**
- **GPRA, GPRAMA, FMFIA, OMB-Circular A-11, OMB Circular A-123.**

NATIONAL INSTITUTES OF HEALTH
Highlights
 Department of Comprehensive Risk Management
 Program Executive Office for Enterprise Strategy
 May 2018 (1st Draft)
 What We Found
 The program is a complex, multi-faceted effort to manage risk across the NIH enterprise. It involves a wide range of stakeholders and is subject to frequent changes in requirements and priorities. The program is currently in the early stages of implementation and is facing significant challenges in terms of resource allocation, data integration, and cross-agency coordination.

CIRCULAR NO. A-11
 PART 4
 PERFORMANCE PLANS AND ANNUAL PERFORMANCE REPORTS
 "The proper stewardship of Federal resources is an essential responsibility of agency managers and staff. Federal employees must ensure that Federal programs operate and Federal resources are used efficiently and effectively to achieve desired objectives. Programs must operate and resources must be used consistent with agency missions, in compliance with laws and regulations, and with minimal potential for waste, fraud, and mismanagement."
 - The White House, OMB Circular A-123

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NIGMS Strategic Plan: Structure

- **Goal 1:** Discretionary Grants Portfolio
- **Goal 2:** Scientific Training, Workforce Development, and Diversity (TWD)
- **Goal 3:** Provision of Research Resources and Institutional Development Award (IdeA) Program
- **Goal 4:** Communications and Public Liaison Activities
- **Goal 5:** NIGMS Workforce
- 19 **Representative Performance Measures** Aligned to:
 - a. Representative Programs (e.g., R01 Portfolio, R35 MIRA, IdeA COBREs) or
 - b. Representative Activities (e.g., Feedback Loop Blog, BioBeat Magazine).
With each program or activity having a designated Program Director or Lead.
- Goal Distribution: Mix of Internal (20%) and External (80%) Goals
- Measure Diversity: Blend of both Traditional Performance Approach (80%) and ERM (20%)
- Contributed to Goals 4 and 5 of NIH Strategic Plan and Goal 4 of the HHS Strategic Plan.



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Strategic Plan Structure

Alignment

Strategic Goal


Strategic Objective

Performance Measure 1, etc.

Key Risk Indicator (1/KPI)

Representative Program or Activity 1 – Program Director 1
 Representative Program or Activity 2 – Program Director 2
 Representative Program or Activity 3 – Program Director 3

Prioritized Based on % Contribution to Measure



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NIGMS Dashboard Login Page

Sign In to SAS®

User ID:

Password:

Forgot Your Password? [SAS®](#) This



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NIGMS Strategic Plan Implementation Dashboard: Front Page





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Data and Metrics Associate with Goal 1

NIH Strategic Plan Dashboard v.2017 - GOAL 1

Goal 1: Maximize investments in investigator-initiated biomedical research that drive fundamental scientific discoveries that advance understanding of human and health issues.

[Link to Associated Enterprise Risk Statement](#)

Objective 1-1: Invest in and sustain a broad and diverse portfolio of highly meritorious research **Objective 1-2: Promote the ability of investigators to pursue new research directions, novel scientific insights and innovative ideas**

Operational Definitions:
 Invest in and sustain a broad and diverse portfolio of highly meritorious research.
 Publish a characteristic type of investigator-type of institution geographic distribution total funding grant number, number of awards.
 Receipt of scientific award portfolio analysis.
 Their research (institutional, clinical, research, clinical awards by other (G) or funding agencies).

Category	Established PI	New PI
Eligible PIs	~1000	~1000
Applicant PIs	~200	~200
Awarded PIs	~100	~100

Operational Definitions:
 Investigator-initiated (i.e., investigator-type, gender, race/ethnicity, early mid-career status, full award or non-award) funding as a share of total funding for the PI. Other (i.e., support center, other PI) funded research (i.e., non-PI award) from the PI project team in NIGMS research areas or in the country (not having our mission). Degree in biological/chemical/biomedical/health research (i.e., support center/other research, other PI award).

Response Detail:
 Investigator-initiated (i.e., investigator-type, gender, race/ethnicity, early mid-career status, full award or non-award) funding as a share of total funding for the PI. Other (i.e., support center, other PI) funded research (i.e., non-PI award) from the PI project team in NIGMS research areas or in the country (not having our mission). Degree in biological/chemical/biomedical/health research (i.e., support center/other research, other PI award).

Geography: Data view only. Congressional district.
 Their publications in which journals, citations, patents, research history of grant PI's track recordability to get grant/gate.

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Risk Statements for Goals

NIH Strategic Plan Dashboard v.2017 - ERM

Enterprise Risk Management

Risk Statement 1 Response: Reduce/Mitigate	Risk Statement 2 Response: Accept and Assure	Risk Statement 3 Response: Accept and Assure
If NIGMS is unable to promote greater creativity and flexibility through its grant mechanisms, then grantees may be unable to pursue novel scientific insights and new research directions that facilitates the probability of making important discoveries or innovations.	If NIGMS is unable to support the recruitment, training, and retention of a diverse and inclusive biomedical research workforce across all career stages, then its ability to achieve positive scientific outcomes may be compromised.	If NIGMS is unable to support the recruitment, training, and retention of a diverse and inclusive biomedical research workforce across all career stages, then its ability to achieve positive scientific outcomes may be compromised.
Risk Statement 1 Response Summary: In accordance with Goal 1 of its strategic plan, NIGMS has created and is piloting a new research project grant mechanism aimed at stimulating more creative and ambitious science by providing maximal flexibility and decreased administrative burden to principal investigators.	Risk Statement 2 Response Summary: In accordance with Goal 2 of its strategic plan, NIGMS is continuously assessing and evaluating components of its research training portfolio to ensure that adequate institutional, geographic, scientific, and career-stage diversity is achieved or maintained.	Risk Statement 3 Response Summary: In accordance with Goal 3 of its strategic plan, NIGMS is creating and implementing a new Training Needs Assessment to identify and address the specific competencies, skills, and abilities needed to ensure the achievement of a highly skilled, adaptable, and diverse

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Enterprise Risk Management FAQ

NIH Strategic Plan Dashboard v.2017 - ERM Primer

What is ERM?
 Enterprise risk management (ERM) is the process of planning, organizing, leading, and controlling the activities of an organization in order to minimize the effects of risk on an organization's goals and mission. Enterprise risk management includes financial, strategic, and operational risks, in addition to risks associated with accidental losses. ERM is designed to facilitate discussion on what the costly, big risks are!

How does ERM work? What does it do?
 ERM development involves the following steps:
 1. Define scope: identify and prioritize the critical activities and processes in the Institute and their relative risk.
 2. Map risk: determine the areas with the most potential exposure and risk to strategic goals, where the information we can control is either to manage risk.
 3. Develop a strategic plan: assess risk treatment plans to monitor and identify acceptable risks and spend risk again over a specified period of time.
 4. Monitor, Measure, and Evaluate: establish metrics and measures to flag potential issues, evaluate risk based on metrics and measure data at regular intervals.

How does the dashboard support ERM?
 The NIGMS Strategic Plan Dashboard is designed to help in Step 4: Monitor, Measure, and Evaluate. Data relevant to the activities of the Institute and possible risks is gathered in one place. The dashboard is updated at the end of each calendar year to reflect prior year accomplishments and activities.

What is a risk?
 Anything that could happen to jeopardize the Institute's goals and mission is considered a risk. If the probability of a risk is high enough or the repercussions of a risk are significant enough, it should be included in the risk management work plan. Something unlikely to happen with minor repercussions could be excluded, while another issue which is very unlikely to happen but which would be disastrous for the Institute may be included.

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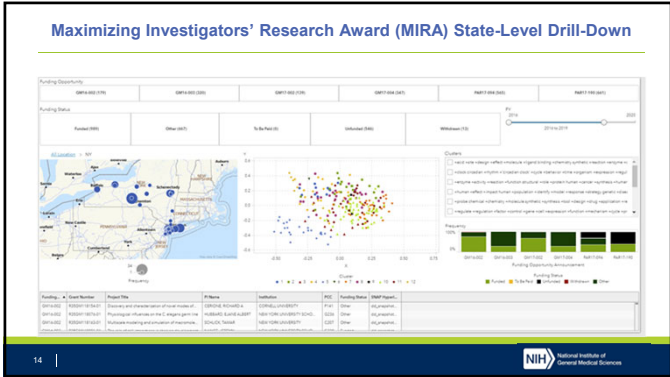
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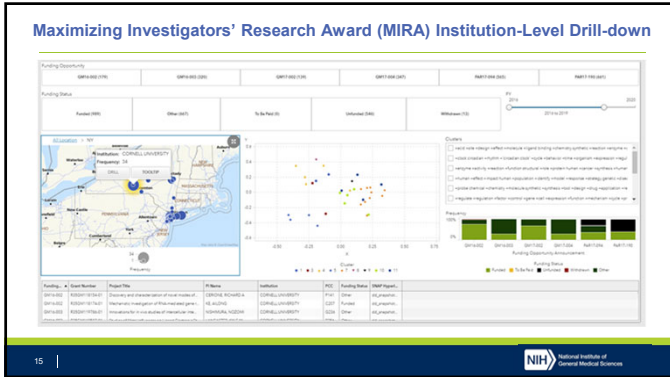
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Management

How Agency Leaders Can Turn Vision Into Action

The National Institute of General Medical Sciences is demonstrating how a functional strategic plan can serve as a powerful management tool.

OCTOBER 28, 2019

MANAGEMENT MATTERS

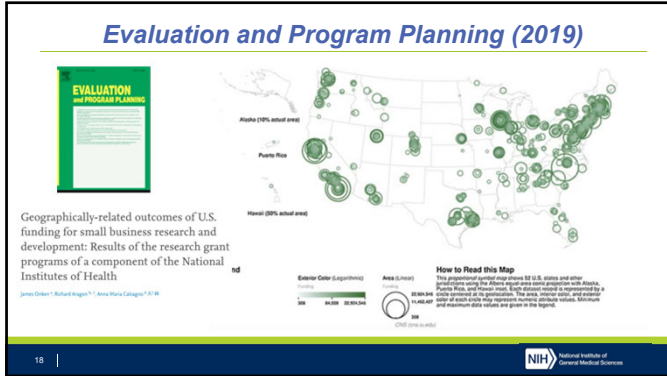
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By RICHARD ARAGON, ANDREW MIKLOS and CLAIRE SCHULKEY

The federal government has a recurring "strategic" problem: Too many officials spend too much time and effort developing annual strategic plans that do little more than collect dust on a shelf. The reasons are many: insufficient tracking and implementation; poor, incomplete, or regurgitated metrics;

NIH National Institute of General Medical Sciences

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THANK YOU
Richard.Aragon@nih.gov

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