

**North Carolina Department of Labor
Occupational Safety and Health Division**

Administrative Information System

Administrative Procedure Notice 19L

Subject: Strategic Management Plan Committee Activity

- A. Purpose.** This Administrative Procedure Notice provides guidance for committee activity relating to the development, and management of specific goals contained in the Strategic Management Plan (SMP).
- B. Background.** The Strategic Management Plan is a document utilized by the North Carolina Occupational Safety and Health Division to provide guidance for allocating the division's limited resources in pursuit of established outcome goals. The strategic management planning process is designed to develop a five-year document that will best address the division goals of reducing injury and illness rates and the number of workplace fatalities in North Carolina. This approach is consistent with the Government Performance and Results Act of 1993 and the results-based budgeting process established by the North Carolina General Assembly. Both of these legislative mandates tie budget allocations to program performance and success in achieving specific outcome goals.
- C. Scope.** The requirements of this APN apply to all committees established as a result of the strategic management planning process. These are usually Special Emphasis Program (SEP) committees.
- D. Responsibilities.**
 - 1. The committee chair is responsible for coordinating all activity relating to a specific strategic management plan committee. This includes, but is not limited to, scheduling meetings (notifying committee members **and** alternate members of meeting date, time, location, and agenda), managing the meeting process, assuring that meeting minutes are placed on the One Stop Shop, Strategic Management Plan and Committee Activity page, and monitoring Strategic Management Plan and Special Emphasis Program (SEP) activity. The committee chair will also inform the Planning, Statistics and Information Management (PSIM) bureau chief if representation on the committee does not include an alternate chair and at least one member and an alternate member from each OSH Division bureau [excluding the Agricultural Safety and Health (ASH) Bureau]. The chair and alternate chair are considered as committee members to meet the requirement of bureau representation.
 - 2. Each bureau chief (excluding ASH) will ensure that there is at least one committee member (to include the chair and alternate chair) and an alternate member available to represent their bureau on each committee (see Appendix A).
 - 3. Committee members representing each bureau must attend each committee meeting or send the bureau alternate member. Committee members should also disseminate SMP related information to their bureau. They may also be asked to share information with division staff and others including federal OSHA about progress in achieving specific goals established in the SMP.
 - 4. The PSIM Bureau has the primary responsibility for managing the Strategic Management Plan and process. The PSIM Bureau assigned representative or alternate will provide statistical information and analysis to support committee activity.

5. The OSH Division's Leadership Team (LT) is responsible for reviewing and approving strategies and procedural changes developed by strategic management plan committees and assuring that committee members are aware of their responsibilities.

E. Committee Structure Overview.

Strategic management planning is a dynamic process that is designed to allocate the OSH Division's limited resources to those areas that will have the most impact on helping the division to achieve the overall outcome goals of reducing injuries, illnesses, and fatality rates. The success of the strategic management planning process is dependent on having input and involvement from each of the division's bureaus and employees within the bureaus. Strategic planning activities utilize a multidisciplinary approach that includes education and training, consultation, and compliance. A committee structure that includes representation from each bureau has been developed for the purpose of managing the individual performance goals in the plan. Initially committee leadership was assigned to senior management personnel. As the strategic management planning process developed, committee chairpersons were selected from field and staff personnel. This approach provides a viable opportunity to secure valuable input and involvement beyond the management staff. The Strategic Management Plan can be most successful when program knowledge and buy-in is provided division wide.

F. Committee Activity.

1. The strategic management plan committees are responsible for pursuing the specific goals established for the five-year duration of the SMP.
2. Each strategic management plan committee should meet at least quarterly.
3. Committee minutes will be prepared and posted on the One Stop Shop under OSH Resources, Strategic Management Plan and Committee Activity. The committee chair will submit the minutes to ETTA for posting.
4. Each committee must review annually the current Strategic Management Plan and submit any suggested plan revisions for the next federal fiscal year to the PSIM bureau chief by June 30th. These recommendations will be discussed by the OSH Division Leadership Team and the committee chairs and considered as part of the annual revision of the Strategic Management Plan, which is submitted to federal OSHA along with the grant applications. Success in achieving the goals contained in the Strategic Management Plan is one criterion federal OSHA uses to justify continued funding of the state program.
5. Statistical data and other available information should be reviewed to verify the validity of the established goals and to document any progress toward achieving the outcome goals established and any activity related to the goals. The statistical data could also be useful in determining what specific work activity to plan within the parameters of a specific performance goal.
6. Each committee must develop strategies to achieve their specific performance goal. Strategies must continuously be reviewed and revised as necessary. Any lack of success in meeting a performance goal might dictate the need for revising or changing strategies. Strategies must be documented in the plan and accurately reflect activity to support the performance goal item. Part of the monitoring process of the plan is determining what strategies were successful and which were not.

7. The strategic management plan document reflecting a specific plan goal must include sufficient detail to make it clear to anyone reviewing the document what is being measured and which outcome measures are being used to define plan success. This should include specifically defined indicators and baseline data.
8. The committees must review annually and update as necessary OPNs, the FOM, and other documents required to facilitate required activity related to the specific goal.
9. The committees should secure input and assistance from internal and external customers as strategies are developed and activities are planned in order to leverage the division's limited resources. This could include coordinating training and consultation with employer associations and employee groups.
10. The committee chair is responsible for monitoring SMP activity throughout the OSH Division on a monthly basis. Although the committee chair does not have supervisory authority over OSH bureau chiefs and supervisors, the chair does have the responsibility to keep bureau chiefs and supervisors informed of each bureau's status toward achieving their goals (and should draw attention to any areas where it appears the bureaus are doing well or if it appears they are not on pace to achieve their annual goals).
11. The F: drive spreadsheet is a document used to track specific OSH Division goals and SMP activity. The committee chair will review the spreadsheet after the entry deadline of the 20th of each month and make sure all statistics relating to their specific committee activities have been entered on the document. If statistics have not been entered, the committee chair will contact the respective bureau chief for information.
12. Committee members may be required to plan and participate in SMP activities. This could include training sessions and preparation of plan related documents.
13. If the committee has questions related to their committee responsibilities, goals, or other SMP activities, the committee chair will forward these types of questions or comments to the PSIM bureau chief who will in turn bring any significant recommendations before the LT for discussion and a decision. If the committee wants to make a recommendation to place a performance goal in maintenance mode if outcome goals are realized before the five-year cycle is completed, the committee chairperson will also bring this to the attention of the PSIM bureau chief who will bring this recommendation before the LT for discussion and a decision. The affected committee chairperson should be part of these discussions with the LT.
14. Each committee chairperson will verify with the PSIM bureau chief the list of all committee members by October 15th of each year.
15. The chairperson and alternate chairperson of each committee will serve a minimum of one year. If after one year either would like to relinquish their responsibilities, they will advise their respective bureau chief. The bureau chief will be responsible for making sure a replacement is named. The current chairperson or alternate chairperson will remain on the committee until a replacement is named and will assist the new chairperson or alternate chairperson during the transition. The current chairperson or alternate chairperson can also remain on the committee as a member. The new chairperson or alternate chairperson should be nominated from the current committee

members, if possible, and should have a minimum of one year's prior experience as a member of the applicable committee. Any new chairperson, alternate chairperson, or committee member changes will be submitted to the PSIM bureau chief by the respective bureau chief and will then be discussed as needed with the OSH Division LT members.

16. Materials reflecting committee activity should be submitted to the state plan coordinator for reference during the Federal OSHA monitoring process and to assist in the preparation of the State OSHA Annual Report (SOAR).
17. All committee chairpersons and members will need to obtain approval from their respective supervisor for their routine travel expenses **prior to** attending any SMP committee meeting or **prior to** incurring any basic supply expenses that might be associated with their respective committee activities. Any SMP committee travel or supply expenses related to attending a committee meeting that would be considered beyond the scope of basic expenses will need **prior approval** by the respective bureau chief. These types of expenses will be covered through the respective bureau's budget. Videoconference, teleconference and e-mail meetings are encouraged where possible to reduce costs.
18. Any SMP committee activity (outside the realm of basic travel or supply costs covered by item 17 above), which will result in a potential expense for the department or division (such as printing, postage, conferences, booth displays, course development, etc.) will be requested through the PSIM bureau chief. These types of request will be discussed with and approved or denied by the LT. If approved, the LT will also decide on the funding source from existing, available funds.
19. Each strategic management plan committee members' annual work plan will include an evaluation of their committee's activities and their individual participation. Committee chairs will provide feedback regarding committee participation to each committee member's supervisor prior to their annual evaluation. Supervisors should also take into consideration the success or failure of the strategic plan goals as part of each committee member's evaluation (see Appendix B).
20. The work plans of bureau chiefs and supervisors should reflect strategic management plan responsibilities.

G. Expiration. APN 19K is canceled. This APN is effective on the date of signature. It will remain in effect until revised or canceled by the director.



Anne Weaver Kevin Beauregard
PSIM Bureau Chief Director

9/19/19
Date of Signature

Appendix A: Strategic Plan Committee Membership

http://10.35.133.11/ETTA_One_stop/userfiles/File/NCOSH_Resources/APN/APN19AppA.pdf

Appendix B: Goal Description: Ensure “Area of Emphasis” activities are carried out to meet the Division's strategic goals and federal guidelines (5%)

The OSH Division has developed a 5-year Strategic Management Plan (SMP) with specific goals that are reviewed and updated annually. Each Strategic Management Plan “Areas of Emphasis” Committee is led by a committee chair (or the alternate chair in their absence) and includes assigned committee members from each bureau within the OSH Division. Each SMP committee member is expected to fully participate in all SMP committee meetings (held at least on a quarterly basis and up to a monthly basis). Additionally, each committee member is expected to solicit bureau input regarding their assignment to the committee. This input should be shared with all committee members during regularly scheduled meetings. Each committee member is also responsible for disseminating committee related information throughout their bureau (this includes SMP activities, strategies, and bureau progress towards goal). Each committee chair will provide feedback to the supervisor of each committee member prior to interim and final evaluations. The director’s office will provide feedback to the bureau chief of each committee chairperson. The bureau chief needs to provide feedback to the supervisor of each “Area of Emphasis” committee chairperson, for inclusion in their evaluation. Each employee should receive recognition for SMP participation and should be evaluated in the tasks outlined below:

- a. SMP committee meeting attendance;
- b. Soliciting bureau input related to SMP committee meeting participation;
- c. Disseminating SMP activities, strategies and progress to their bureau;
- d. Participation in SMP outreach activities;
- e. Participation in development of Special Emphasis Program directive and related activity of OSH Division 5-year Strategic Management Plan;
- f. (SMP “Area of Emphasis” chair only) Committee chair duties such as, but not limited to, coordination of SMP activities, scheduling and overseeing SMP meetings, committee assignments, setting deadlines, monitoring division progress towards goals and keeping supervisors/bureau chiefs informed of deficient areas, ensuring information is being shared throughout division, posting of meeting minutes and establishing SMP industry relationships.

Appendix B: Performance Valuation Factors

Tasks: Supervisor observations, feedback from committee chairs, comments from other committee members, feedback from Director's Office, feedback from bureau chiefs, feedback from other bureaus, committee member correspondence to bureau staff, committee member briefings to bureau staff, and overall bureau familiarity with SMP activities.

TASKS	(1) <75%	(2) 75%	(3) 100%	WEIGHT
SMP MEETING ATTENDANCE	B	M	E	20%*
SOLICITING BUREAU INPUT	B	M	E	20%*
DISSEMINATING INFORMATION	B	M	E	20%*
PARTICIPATION IN OUTREACH ACTIVITIES	B	M	E	20%*
ANNUAL PLAN DEVELOPMENT	B	M	E	20%*
COMMITTEE CHAIR DUTIES	B	M	E	25%**

THIS GOAL IS TO BE USED ONLY FOR SMP COMMITTEE MEMBERS, COMMITTEE CHAIRS, AND COMMITTEE ALTERNATE CHAIRS

*The weight of this task will be reduced to 15% for committee chairs

**This task only used for committee chairs