



STRATEGIC PERFORMANCE MANAGEMENT

A COMMUNICATION LENS

Integrating Strategic Communications to
Improve SEA and LEA Performance Management

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Strategic Performance Management with a Communication Lens

Strategic Performance Management (SPM) is a multistep process that guides an organization’s leadership in designing and revising a system of strategic performance management. Communication is key to the success of any change initiative. A Communication Lens is applied to SPM to strengthen its implementation and success.

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Layland, A., & Redding, S. (2020). *Strategic performance management with a communication lens*. Rockville, MD: National Comprehensive Center at Westat.

The content of this publication was developed under a grant from the Department of Education through the Office of Program and Grantee Support Services (PGSS) within the Office of Elementary and Secondary Education (OESE), by the National Comprehensive Center at Westat under Award #S283B190028. This publication contains resources that are provided for the reader’s convenience. These materials may contain the views and recommendations of various subject matter experts as well as hypertext links, contact addresses, and websites to information created and maintained by other public and private organizations. The U.S. Department of Education does not control or guarantee the accuracy, relevance, timeliness, or completeness of any outside information included in these materials. The views expressed herein do not necessarily represent the positions or policies of the U.S. Department of Education. No official endorsement by the U.S. Department of Education of any product, commodity, service, enterprise, curriculum, or program of instruction mentioned in this document is intended or should be inferred.

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Acknowledgments

The authors wish to acknowledge the support, encouragement, and advice of Dr. Dean Nafziger, Director of the Building State Capacity and Productivity (BSCP) Center. Further, the authors thank our BSCP Center colleagues—Kristin Nafziger and Dr. Heather Zavadsky—for their expertise and work in strategic communications. We are appreciative of the Chief State School Officers, leaders, and staff in the following education agencies for engaging in SPM:

- » The Arkansas Department of Education
- » The Kansas State Department of Education
- » The Office of College and Career Readiness at the Missouri Department of Elementary and Secondary Education
- » The U.S. Virgin Islands Department of Education
- » The Hawaii State Public Charter School Commission
- » The District and School Effectiveness Office of the Oregon Department of Education
- » The Bureau of Indian Education
- » The Commonwealth of the Mariana Islands Public School System

We are grateful for the editing of Lori Thomas and Pam Sheley and for Pam’s design.



About Strategic Performance Management (SPM) and Communication

SPM provides a logically coherent process for linking strategic planning with performance management, ultimately engaging every person in a state education agency (SEA), local education agency (LEA), or similar entity in performance-guided, satisfying work connected to the agency's mission. Making full use of SPM on the way to becoming an SEA or LEA of the future requires the commitment and involvement of the Chief State School Officer (CSSO) or Superintendent as the key arbiter of change and direction. SPM may be especially useful for a new Chief or Superintendent, but it is also appropriate for the veteran Chief or Superintendent eager to move more dramatically toward performance and productivity.

Over the last four years, the Building State Capacity and Productivity Center (BSCP Center) at Westat implemented SPM in several SEAs and in similar agencies such as the Bureau of Indian Education and the Hawaii State Public Charter School Commission. During this same period, the BSCP Center and partner Regional Comprehensive Centers assisted SEAs in creating systemic communication practices using strategic processes.

The SPM process is a standalone process; however communication is a critical component of the development and implementation of a strategic performance system. Here we have integrated strategic communication practices throughout the SPM process to strengthen external and internal engagement and collaboration. The practices and tools are adapted from the BSCP Center Strategic Communications Toolbox (Zavadsky, Berry, & Savage, 2017). The communication practices are designated by a Communication Lens.



Strategic Communication Lens signals opportunities to disseminate or gather input, discuss concepts, and increase understanding.

The communication activities can be used or eliminated as appropriate to each SEA's or LEA's context and needs.



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Introduction

The work of a state education agency (SEA) or local education agency (LEA) has changed since the passing of the Every Student Succeeds Act in 2015. More emphasis is put on the SEA building the capacity of districts to support schools, and along with it more flexibility to create and provide such supports. SEAs and districts need to be strategic yet nimble to address the changing needs of students, families, and communities. Having a strong direction coupled with a performance management system to track progress provides the structure and processes to engage the talents of all staff and meet regulatory requirements while creating a culture of innovation to better address the needs of students.

At the helm of this ship of change is the Chief State School Officer (CSSO) or District Superintendent, the key arbiter of change and direction for the SEA or district and the many facets of education throughout the state or district. Setting the direction of constructive change requires vision, and getting results demands skills of communication and organization. Every person within the SEA must see the relevance of his or her work to the overarching goals of the agency and must know how progress is measured and how better ways of doing things are brought into the mainstream of practice. With the Chief or Superintendent lies the responsibility for establishing a culture of constructive change as well as the policies and processes by which vision becomes reality.

Setting a direction that builds such a culture and implementing the direction are keys to bringing the vision to life. Most leaders start with strategic planning. Strategic planning “defines where the organization is going, sometimes where it is not going, and provides focus” (Ginter, Duncan, & Swayne, 2013, p. 16). However, planning is just the first step, and a plan without action is just a document full of words. A system of performance management is needed to define the actionable work, engage staff in effectively carrying out the work, collect progress data, and use the data to make needed corrections in course. Performance management is “the systematic process by which an agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals” (U.S. Office of Personnel Management, n.d., para. 1). Strategic Performance Management (SPM-capitalized for the process created by the authors and specifically advanced by the BSCP Center) folds strategic planning and performance management into one, seamless process, combining systematic focus with opportunities to challenge the routine and discover more productive avenues to success.



SPM guides an agency’s Leadership Team and staff in

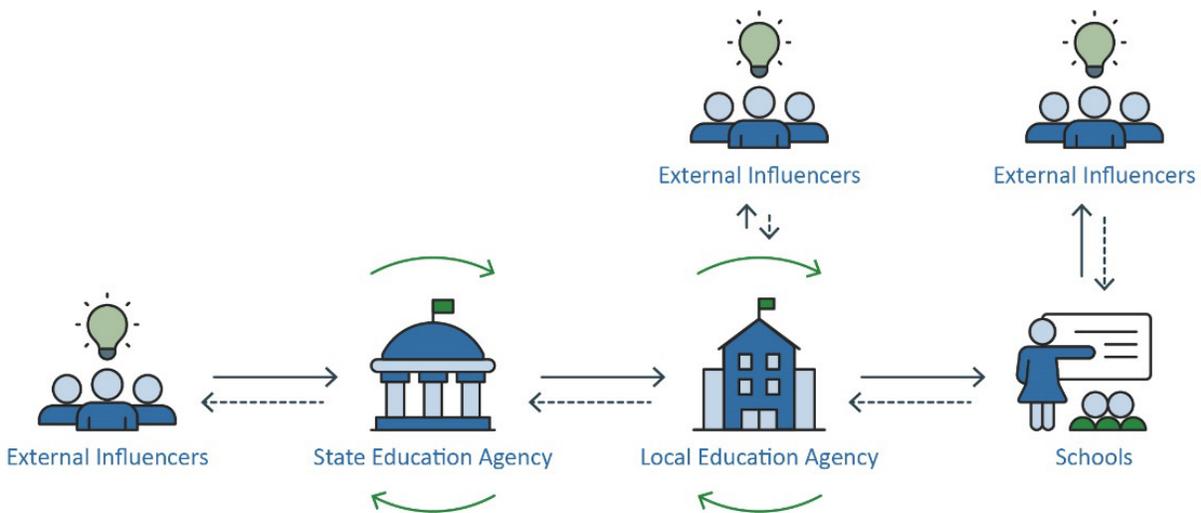
- » articulating vision, values, mission, and goals;

- » creating an organizational structure based on strategies and functions;
- » aligning resources with the structure;
- » addressing human capital and productivity;
- » establishing performance measures; and
- » using progress and results data to adjust for improved performance.

SPM results in an organization implementing a reiterative process using an adaptive performance management system with performance measures for goals and strategies, mile- stones for strategies, and action plans to meet milestones. It is a fluid process by which the SEA or LEA leadership develops and operationalizes a plan that goes beyond the basic elements of vision, mission, values, goals, and strategies to include careful analysis of the functions performed by the agency, its Units, and its positions (roles) to facilitate effective placement, assignment, and training of personnel. The emphasis is on planning through strategic thinking and synthesis that allows the SEA or LEA to make critical adjustments as needs and context change. It helps guide leadership in decisions about which ideas to pursue and which to lay aside. The strategies, what the SEA or LEA does to more closely approximate the organization’s goals, change as progress is made toward the goals and/or the context changes. The performance management system ensures effective implementation of the strategies, as well as means for ongoing modification to achieve better results.

SPM considers both the organization’s internal operations and its relationship to external entities to better leverage and provide equitable resources and improve results. (See Figure 1). (Layland & Redding, 2017).

Figure 1. The Context of a SEA or LEA



Through our experience engaging SEAs and other educational organizations with SPM, adaptations to the original SPM model have been made to meet varying contexts and needs. For example, when



an SEA or LEA is not ready to adopt a performance management approach, yet a Division or department is, SPM can be applied to improve performance within a single Division or department, thus planting the seeds for agency-wide application of SPM (see Redding & Layland, 2017). SPM can be applied with a network of organizations, for example, state, districts and schools. In an SPM network, implementation and results data routinely flow between the state and districts and districts and schools informing timely, responsive supports and interventions to improve performance and results at each level (see Layland & Redding, 2017).

The SPM process now includes four modules rather than three, with a stronger emphasis on the action planning phase of the process (see Figure 2).

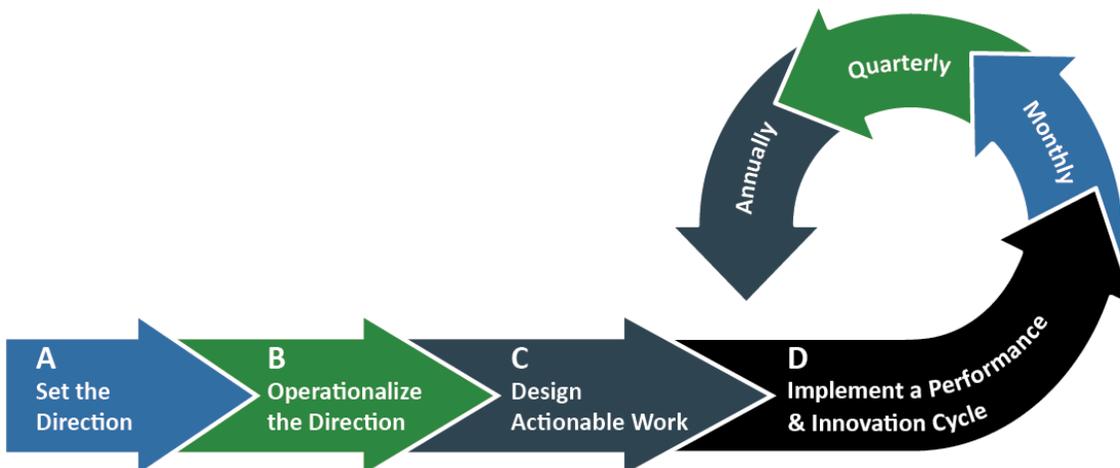
Module A: Set the Direction – building a strong foundation for performance-focused work through the organization’s vision, mission, values, goals, strategies, and performance measures.

Module B: Operationalize the Direction – creating or aligning the organization’s structure to support the functions needed to effectively implement its strategic direction.

Module C: Design Actionable Work – engaging all staff in determining the most effective and productive way to implement the strategies through milestones, actions, timelines, outputs, and responsible teams.

Module D: Implement a Performance and Innovation Cycle – the regularity with which progress toward milestones is reviewed, necessary adjustments in actions are made, and implementation and results data inform more innovative ways of working.

Figure 2. Strategic Performance Management Modules



Productivity Lens

SPM includes a “productivity lens” prompting the leadership to consider all options in the use of resources to achieve desired results. Productivity is not the same thing as efficiency. Efforts to improve productivity do not call for cutting spending or finding cheaper ways to do the same things as before. When an SEA or LEA raises productivity, it means *finding ways to leverage system resources to maximize agency goals*. Productivity includes a consideration of equity—providing appropriate resources to address differentials in need. To this end, SEA or LEA leadership should examine previous assumptions and use of resources—such as structural configurations (number and type of staff, use of external providers/contractors, organization of teams) and how technology and data might be used—to improve student outcomes. Most importantly, leadership should leverage the unique powers and limits of the state or district role to manage real and perceived restrictions at the school level placed by statutes, policies, regulations, and traditional practices that impair or boost efforts to improve student outcomes.

Strategic Communication Lens

In addition to the productivity lens, SPM includes a “strategic communication lens.” Change is defined as “any alteration or modification of organizational structures or processes” (Zorn et al., 1999, p. 10). SPM can be viewed as a change process because it leads to changes in structure, function, and practice at multiple levels of the organization. Key to any change is the process of sense-making, an “active attempt to bring one’s past organization of knowledge and beliefs to bear in the construction of meaning” (Spillane et al., 2002, p. 395). Individuals interpret change initiatives based on their prior knowledge, beliefs, and experiences, and how different the change initiative is from their current schema and understanding. Providing individuals with key messaging and opportunities to discuss the policies and practices related to the change initiative facilitates the sense-making process (Spillane et al., 2002; Spillane, 1998; Lewis, 2019).

Lewis (2019) notes that “organizations are socially constructed largely through the communicative interactions of internal and external stakeholders” (p. 6). Stakeholders are those individuals or groups who have a stake, can affect or are affected by an organization’s processes, outputs, or results (Lewis, 2019; Freeman, 1984). Organizational change is accomplished through formal and informal interactions with stakeholders through multiple channels and formats. Table 1 provides examples of formal and informal communication (adapted from Lewis, 2019, p. 54–55). Communication can alleviate job-related uncertainty and stress levels while strengthening commitment and increasing implementation success.



Table 1. Examples of communication during change process

Formal Communication	Informal Communication
Official announcements and updates about change	Asking and providing information about what the change means for the organization or groups
Declarations and policy set down by organizational leaders	Fostering support for the change among peers or other stakeholders
Instructions about the change timing and details	Confirming about formal communication about the change
Requests for specific information, updates, reports about change	Expressing hopes, values, wishes, and intentions relevant to change
Formal responses of leaders to stakeholders' questions or concerns	Providing supportive communication to those who are negatively impacted by change or who struggle to cope with change

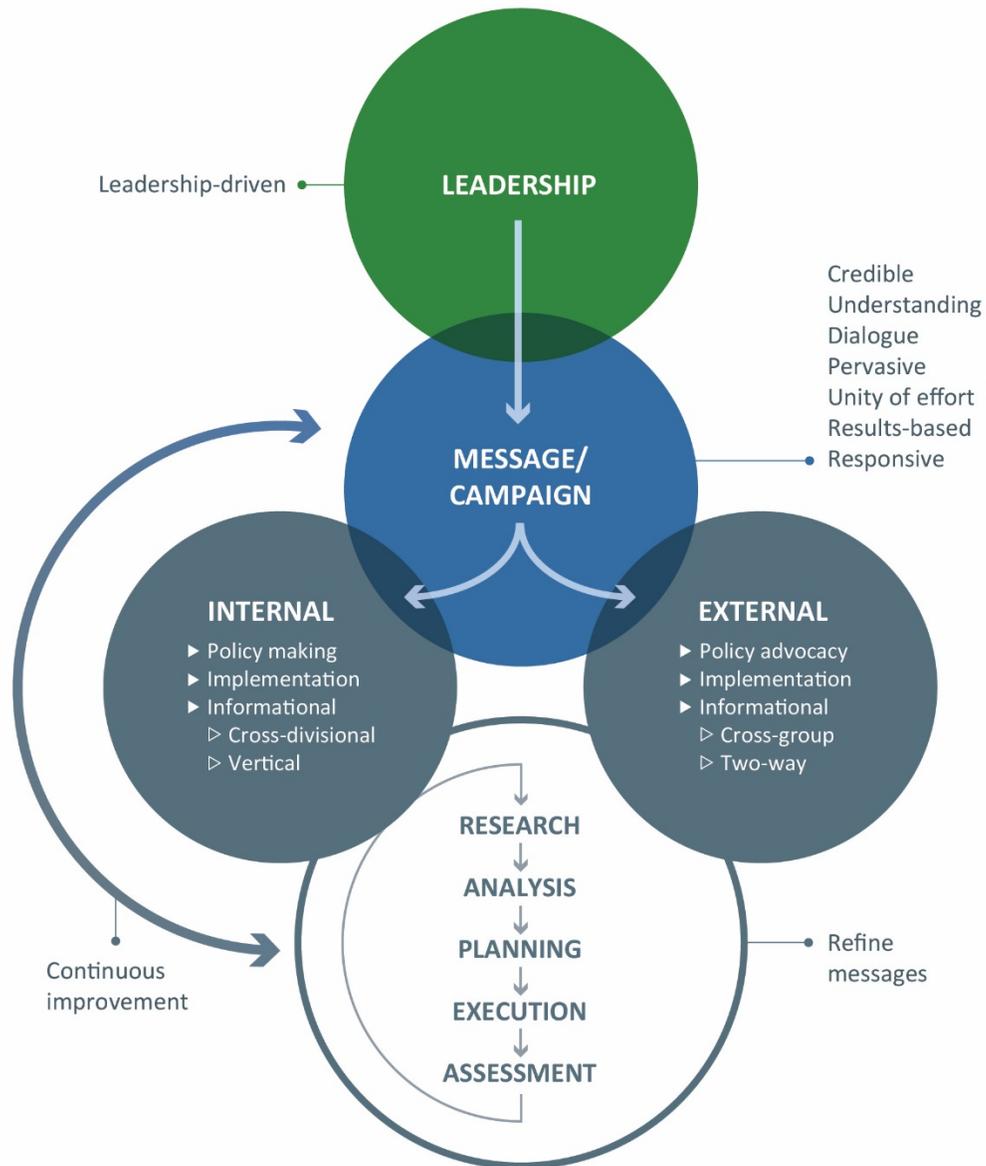
Some SEAs and LEAs turn to their tried and true traditional methods of providing one-way communication during change initiatives. Unfortunately, traditional methods “are not adequate for producing the necessary awareness and support to implement reforms statewide or at the local level,” let alone within the organization itself (Matta-Barrera & Nafziger, 2013, p. 1). SEAs and LEAs need to move beyond traditional communication methods to a more strategic, centralized approach across departments/Divisions that involves internal and external stakeholders. Zavadsky (2014) notes that “strategic communications are led and coordinated by top-level leadership who help devise the major elements that are conveyed within the messages and tailored for target audiences” (p. 4). She further defines key elements of strategic communications as:

- » **Leadership**—Leading and crafting major message points to be used for integrated communications efforts (by top leadership);
- » **Message/Campaign**—Developing carefully worded messages. Common core signal words that might be used include increased rigor, cross-disciplinary, clear and consistent guidelines, and preparation for college and career readiness;
- » **Internal and External Dissemination**—Identifying appropriate dissemination methods for internal and external stakeholders;
- » **Message Refinement**—Adjusting and refining messages to meet communications goals and the needs of various stakeholders; and
- » **Continuous Improvement**—Refining and monitoring the success of communications processes through a continuous feedback loop (p. 4–5).

Figure 3 depicts a framework based on strategic communications work with five SEAs.



Figure 3. Strategic Communications Framework (Zavadsky, 2014)



Zavadsky, Berry, & Savage (2017) created a communications toolbox to assist SEAs in developing communication strategies or processes that can be integrated into an existing communications plan or used to create a new strategic communications plan. We have integrated strategic communications in the SPM process for a cohesive approach to utilizing communication to support the changes that result from SPM. A few of the communication tools included have been adapted from the BCSP Toolkit at <http://www.bscpcenter.org/toolbox/>.



Synopsis of Modules and Steps

Module A: Set the Direction

Step 1. Create or Revisit the Direction (Vision, Mission, Values, Goals, and Measures)

The SEA or LEA Leadership Team and any other selected key personnel create vision and mission statements or revisit existing ones to determine if they still represent the purpose of the SEA and the direction it will take. Values, which represent the ethos of the organization and its people, are identified or reviewed. Next, goals are created based on stakeholder input. In most organizations, goals are time-bound, usually three to five years corresponding to the length of most strategic plans; however, SEA or LEA goals may not be restricted by time as they express an ongoing execution of the mission and what the agency aspires for all students, families, and communities across the state or district. In the SPM process, SEA or LEA leadership is encouraged to create a manageable set of broad goals that:

1. highlight desired results for all students;
2. consider both the student outcomes at the time of graduation and the ongoing progress during the years of schooling; and
3. include academic outcomes and student competencies (desired personal attributes not measured by academic markers).

Because the ultimate aim of an SEA or LEA is the success of students, SPM stresses the importance of aligning goals to student outcomes. However, it is common for an agency to add a goal that focuses internally, on outcomes for the agency's operations, including the satisfaction and productivity of its personnel.

Performance measures are defined for each goal so that progress can be determined. Progress toward goals demonstrates that the mission is being carried out and the SEA or LEA is closer to reaching the ideal state of its vision.

Step 2. Delineate Roles and Responsibilities

Delineating the roles and responsibilities of the state, district, and schools in relationship to the SEA or LEA's goals brings needed clarity to what the SEA or LEA should and should not undertake. It is important for the SEA or LEA to focus on goals, strategies, and actions that are within its purview and to clarify its role and relationship with districts and schools within the context of what it wants to accomplish. Bringing clarity to the SEA or LEA's role and responsibilities in relationship to districts and schools is helpful when later identifying the agency's goal-aligned strategies.

Step 3. Appraise Current Situation

Although data are used to articulate agency goals, a deeper dive into data and analysis using a SWOT (Strengths, Weaknesses, Opportunities, Threats) approach is completed to determine goal-aligned strategies. Data are gathered and presented in a user-friendly format. The analysis is



conducted with a productivity lens: strengths include finding ways to leverage system resources to maximize agency goals; weaknesses include the identification of inefficiencies and inequity in resource utilization. Do the opportunities capitalize on productivity, or can productivity increase with the opportunity? What threatens productivity? Analysis of data, recognition of patterns, and discussion lead to a consensus listing of three to five organizational strengths, weaknesses, opportunities, and threats for each goal. Completing a SWOT sets the stage for determining goal-aligned strategies.

Step 4. Determine Goal-Aligned Strategies

Strategies focus on the “what” and “how” of the SEA or LEA’s work and the direct and indirect impact of implementing each strategy. A strategy is not as specific as a milestone or action, yet it leads to the type of activities that need to occur to advance the mission and move closer to realizing the goals. Strategies do not necessarily represent what the SEA or LEA has been doing but what it could do to effectively pursue each goal, carry out its mission, and realize its vision. Strategies focus on how the SEA or LEA contributes to student results stated in each goal. Viewing each possible strategy through a productivity lens helps to narrow in on a few powerful strategies to maximize results.

Step 5. Establish Measures and Milestones

Performance management is nimble, enabling the organization to adjust plans and processes in response to data that provide information about progress toward quantitative markers. These markers are called “performance measures” and are tied to each goal and each goal-aligned strategy. Baseline performance measures are set at the beginning of the SPM process. Identifying performance measures is also a reality check for the goals and strategies. If it is a struggle to identify performance measures, then a goal or strategy may need to be reworked.

A strategy takes multiple years to implement, and milestones are the annual increments to implementing a strategy. Milestones represent what the SEA or LEA hopes to accomplish in one year. Annual milestones are identified for at least two years. Subsequent milestones are identified at the end of each year based on progress, learnings, and a deepened understanding of the work. Activities (actions) to reach milestones are added later in Module C. Performance measures and milestones are adjusted annually.

Module B: Operationalize the Direction

Step 6. Conduct a Functional Analysis

Form follows function. A functional analysis is a key step in the SPM process. Pursuing goals and executing strategies requires the performance of specific functions—the work to be done. By identifying the unique and overlapping functions required to effectively implement the strategies, personnel in the SEA or LEA can be more productively organized and utilized to accomplish the work.



Step 7. Conduct a Structural Analysis

Sometimes the existing organizational structure—how departments or Units and positions are arranged on the organization chart—is not ideal for carrying out the agency’s functions to execute its strategies and pursue its goals. Organizational structures evolve over time, become conflated with funding streams, and are often modified to meet the interests and abilities of specific personnel. SPM suggests mapping out an organizational structure aligned to the SEA or LEA’s functions first, and then massaging the structure as resources and restrictions dictate. The basic structure consists of functional Units (teams) organized into clusters (Divisions) with a common purpose.

Step 8. Assign Personnel to the Structure

Personnel are placed within each Unit according to their competencies and the functions needed in the Unit. In determining the fit of personnel for specific positions within the newly created structure, competency and ability to take on new responsibilities are given greater weight than experience or length of service in a particular job category. By determining the roles and assigning personnel to them, the need for specific training and professional development is made apparent. Funding sources are identified for each position. The ultimate goal is to align knowledge, learning, and work so the organization has the capacity to realize its vision and carry out its mission.

Step 9. Establish Coordination and Assign Milestones

All too often, Divisions and Units work in silos, duplicate efforts, or treat related initiatives as isolated projects. This can impact productivity and results. It is, therefore, critical to communicate, coordinate, and establish conditions for collaboration for work and progress monitoring on an ongoing basis. SPM suggests a three-tier organizational structure to coordinate the SPM process:

1. Leadership Team (Division leaders and key, high-level staff with the chief or superintendent),
2. Division Teams consisting of the leader(s) from each Unit in a Division, and
3. Unit Teams consisting of all the team members of a Unit.

The Division Team maintains communication and coordination across Units within the Division. A Unit Team maintains communication and coordination among the members of the Unit.

The Leadership Team assigns milestones to accountable Divisions and lead Units within assigned Divisions. The assigned Division is **accountable** for the thorough completion of that milestone. The **lead** Unit within the Division is **responsible** for the day-to-day work leading to milestone completion. Others needed to assist the accountable Division and responsible lead Unit in action planning are identified, logistics for planning are determined, and expectations are communicated.



Module C: Design Actionable Work

Step 10. Align Current Work with Goals, Strategies, and Milestones

Before action planning begins by Units, the Leadership Team identifies current work that supports the goals, strategies, and milestones. Always, there are existing initiatives, projects, and routines that support the new direction of the agency. The Leadership Team aligns current with appropriate milestones so that the Units can create actions for it to move forward. Goal and strategy explanation statements and an evolving glossary of terms used in the process facilitate common understanding as more personnel are engaged in the SPM process. The deeper the understanding of the goals, strategies, and milestones, the more accurate the alignment of current work will be.

There may be an initiative, project, or routine that just does not fit under any milestone. If that is the case, reexamining the intent of the goal and strategy may provide clarity. It is also possible that the milestone has been assigned to the wrong unit. Is this work required? If the answer to this question is “yes,” then there may be a need to add a milestone. Issues such as this are noted during the discussion and actions identified to address the lack of alignment.

Step 11. Establish Collaboration Process

Coordination of work efforts in and of itself is not enough to effectively implement strategies and produce the kinds of results most organizations need to move their strategic agendas forward. Highly effective, innovative organizations are those in which personnel collaborate to learn, create, solve problems, and innovate. Collaboration is not the same as coordination or communication, so it is critical to have a clear understanding of what it means within the context of the agency.

In Module C, the Leadership Team defines “collaboration,” what it would look like when teams collaborate, and how decisions will be made regarding the formation of ad hoc teams. This prepares the teams for the next phase of the work, Module D.

Step 12. Engage Personnel in Action Planning

The lead Unit assigned to a milestone, and collaborating personnel it has identified, develops actions to reach the milestone at the end of the project year. An action plan details the actions (what is to be done), timeline (when the work begins and is completed), resources, personnel, outputs (work products), and supports (resources from outside the agency) needed to accomplish the milestone. Each Unit team engages as many of the people who will be doing the work as possible in the action planning. This creates ownership of not only the actions, but the milestones and strategies themselves. Action plans are created using an action plan template so progress can be documented on a monthly basis, challenges can be noted and shared, and adjustments can be made to ensure all milestones are completed by the end of each year.



Module D: Implement a Performance and Innovation Cycle

Step 13. Create Performance and Innovation Cycle

Based on its action plan, each Unit engages in a cycle of implementation, performing the actions it has planned each month, reporting progress, and adjusting actions to ensure milestones are met efficiently and effectively. This cycle enables continuous improvement and encourages innovation at multiple levels in the organization:

- » **Monthly Unit Team Performance Review.** Each month, each Unit meets to review progress on actions in which the Unit Team is involved. Successes and challenges are noted in the Monthly Status Report to inform the Leadership Team.
- » **Monthly Division Performance Review.** Each month, each Division Leader meets with Unit Leaders to review monthly progress data, discuss successes and challenges, and determine solutions to address the challenges. Items to bring to the Leadership Team are identified and shared by the Division Leader.
- » **Quarterly Milestone Performance Review.** Each quarter, the Leadership Team meets to review progress of each Division and Unit relative to its action plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.
- » **Annual Leadership Team Performance Review.** Each year, the SEA or LEA leader and Leadership Team meet to review performance data relative to milestones, strategies, and goals. Staff are engaged in adjusting milestones for the coming year if needed and adding performance measures and milestones for the following year.

Step 14. Tell the Story of Progress

At least annually, the SEA or LEA's strategic direction work and impact are told based on data collected through the multiple measures identified throughout the SPM process. Actions, outputs, and milestones tell the implementation part of the story: Did we do what we said we were going to do? The goal and strategy measures tell the results part of the story: Did the work have the anticipated impact? Together, the implementation and results data inform a narrative that tells the organization's performance story. Figure 4 depicts the entire SPM process.



Figure 4. Strategic Performance Management Process

Module A

Set the Direction



Module B

Operationalize the Direction



Module C

Design Actionable Work



Module D

Implement a Performance and Innovation Cycle



What follows is a step-by-step guide to SPM. The guide includes a Strategic Communication Lens that signals opportunities to engage in communication activities related to the SPM process. Each opportunity is used or discarded based on each SEA's or LEA's context and needs.



Examples provide samples, without endorsement, as a reference for specific steps.



Productivity Lens looks to leverage inputs for maximum outcomes or results.



Strategic Communication Lens signals opportunities to disseminate or gather input, discuss concepts, and increase understanding.



Tools refer to corresponding forms or protocols found in the Appendices.



Quality Check list items to confirm the quality and completeness of the step.

Finally, there is a boatload of terms, so a glossary can be found at the end of this document.



Preparing for SPM

Gathering Input

Gathering the opinions and perceptions of key stakeholder groups is a valuable activity prior to an agency's consideration of a change in strategic direction. As members of the agency are in touch with stakeholder groups such as parents, community members, students, principals and teachers, Institutions of Higher Education, partners, and employees, they might ask a few questions to gain an understanding of current perceptions about education and the agency, as well as what is needed for the future. Questions might include:

- » What do you want for students, families, the community, the state (or district)?
- » What do you expect from the state or local education agency?
- » How do you currently perceive the quality of education? How should it be?
- » What are the key issues in education facing us today?
- » How should we address these issues?

Engaging an SPM Facilitator

Prior to engaging in SPM, the CSSO or Superintendent meets with the SPM facilitator to prepare for SPM work and provide important context. A schedule is set for the meetings and consultations necessary to the process. Each module calls for specific people, starting with the Leadership Team and eventually expanding to as many employees as possible. With the SPM facilitator, the CSSO or Superintendent determines the personnel to serve on the task forces assembled to initiate SPM.

Task Forces and Teams

Table 2a details the needed task force members for the first two modules. The two task forces exist for the purpose of initially establishing SPM. Additional members are identified by the CSSO or Superintendent. It is critical that the CSSO or Superintendent attend all sessions and be engaged as a participant. Also, when the leader refrains from responding first, others speak more freely and put forth ideas that may not have been offered had the leader provided his or her opinion or idea first.

Each group establishes meeting norms building upon what the Direction Task Force creates. Norms are more than words on a poster or handout. Task force members need to hold themselves and each other accountable for the norms agreed upon. It's a good idea to designate a process observer during each session to provide feedback on the group's adherence to the norms and time allotments.



Table 2a. SPM task forces for Modules A and B

SPM module	Task force and members
Module A	<i>Direction Task Force (DTF):</i> CSSO or Superintendent and Leadership Team, Division Leaders, Communications Director, SPM Lead Contact for the organization
Module B	<i>Operations Task Force (OTF):</i> CSSO or Superintendent, Leadership Team, Human Services Director, Communications Director, SPM Lead Contact for the organization

Table 2b illustrates the transition from two task forces assembled for initial establishment of SPM to teams that will carry SPM forward. Action Planning Teams correspond with the agency’s organizational Units; in other words, they are typically already defined as working teams within larger Divisions. The agency’s Leadership Team also is typically an existing team consisting of the CSSO or Superintendent, and heads of Divisions. The Leadership Team conducts the periodic progress reviews and recommends adjustments in course once SPM is established. SPM also recommends a Communications Team if one does not exist. In addition, a group of personnel particularly adept at performance measures can be assembled as a Measures Team to oversee the construction, tracking, and reporting of goal and strategy performance measures.

Once established, three levels of team form the heart of the ongoing performance management for the agency.

1. Leadership Team, consisting of the Division leaders and key, high-level staff with the chief or superintendent;
2. Division Teams consisting of the leader(s) from each Unit in a Division; and
3. Unit Teams consisting of all the team members of a Unit.

Table 2b. SPM ongoing teams for Modules C and D

SPM module	Teams and members
Module C	<i>Action Planning Teams:</i> Unit Leaders and team members
Module D	<i>Leadership Team:</i> CSSO or Superintendent, Division Leaders, Communications Director, SPM Lead Contact for the organization



Strategic Performance Management

SPM Module A: Set the Direction

Estimated Completion Time: 24 hours total in three or more sessions

Participants: *Direction Task Force* - CSSO or Superintendent and Leadership Team, Division Leaders, Communications Director, SPM Lead Contact for the organization

In Module A of SPM, the Direction Task Force designated for this module by the CSSO or Superintendent: (1) creates, modifies, or confirms the organization’s vision, mission, values, goals, and goal performance measures; (2) delineates the roles of the state, districts, and schools relative to the goals; (3) appraises the current situation with a SWOT analysis; (4) determines goal-aligned strategies; and (5) establishes performance measures and milestones for the strategies.

Agenda for Module A: Set the Direction (Estimated Times)

Session 1 (8 hours)	
Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 1. Create or Revisit the Direction (Vision, Mission, Values, Goals, and Measures)	5 ½ hours
Step 2. Delineate Roles and Responsibilities	1 ½ hours
Preparation for Session 2	30 minutes
Before Next Session: Gather data and stakeholder input relative to the goals	
Session 2 (8 hours)	
Recap of Session 1	15 minutes
Step 3. Appraise Current Situation SWOT Analysis	2 hours
Step 4. Determine Goal-Aligned Strategies	4 hours
Session 3 (8 hours)	
Recap of Session 2	15 minutes
Step 5. Establish Measures and Milestones	5 hours
Wrap-Up and Review of Module A	1 hour



Module A Session 1

Agenda Item	Time
Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 1. Create or Revisit the Direction (Vision, Mission, Values, Goals, and Measures)	5 ½ hours
Step 2. Delineate Roles and Responsibilities	1 ½ hours
Determine data and stakeholder input to be collected for next session	30 minutes

Step 1. Create or Revisit the Direction (Vision, Mission, Values, Goals and Measures)

Framing Discussion. The Direction Task Force thinks about the ideal education system and considers what it would look like for a student going through school in this ideal system. What would happen for a student who is struggling (academically, socially, personally), or who has a disability, or whose primary language is not English? Or is especially talented? Or has strong interests and aspirations that deserve to be nurtured? What would be the experience of the student’s family, teachers, and the school principal? How is this ideal education system different from the one that currently exists? This discussion brings meaning to the vision and mission.



See the Vision, Mission, Values, and Goals Tool (Attachment A) to record the vision, mission, values, and goals with performance measures.

Vision

The vision portrays the organization in its ideal form. Thus, the vision statement paints a picture of the optimally functioning SEA or LEA—what it looks like. It instills in personnel a sense of purpose, inspires them to give their best, and shapes stakeholders’ understanding of the SEA or LEA and how and why they should engage with it. A vision statement illustrates the SEA or LEA at its best and the greater good it serves. The statement is typically a solid sentence or two in length and is vividly descriptive. It is expressed from the perspective of someone describing the agency, such as:



The Department of Education is respected and valued by the citizens for its leadership and service in effectively and efficiently providing every student an excellent education from pre-K through high school in preparation for success in life.

The School District is a premier educational institution producing self-directed learners prepared for emerging economic opportunities as part of a twenty-first century workforce.



Mission

The mission statement succinctly presents the organization's purpose. It describes what the organization does and for whom. It aims at the vision statement and provides direction for its employees, clients, partners, and other stakeholders. The purpose of all SEAs is to provide resources, information, and assistance to LEAs and schools to ensure that every student is prepared for college and/or career (Redding & Nafziger, 2013). Similarly, the purpose of all LEAs is to provide resources, information, and assistance to schools to ensure that every student is prepared for college and/or career. Specific SEA or LEA vision and mission statements are crafted to reflect the values of that state or district, the leadership, and stakeholders.

More than likely, the vision and mission statements were constructed some time ago; therefore, it is essential to revisit the vision and mission to ensure they still apply in current and anticipated future contexts without out-of-date language. Standard English devoid of jargon, clean and clear, is always best.



The Department of Education advocates for state policy; develops and implements state regulations; conducts effective oversight of school districts; and provides high-quality technical assistance to maximize educational opportunities throughout the state.

The School District works in partnership with students, families, and the community to ensure that each student acquires the knowledge, skills and core values necessary to achieve personal success and to enrich the community.

Values

Many organizations also define **values or beliefs** that provide a foundation of the organization's ethics or expressions of the ethos of the organization. The values typically express how the SEA or LEA expects its personnel to relate to each other and to the field as well as core beliefs about the agency's ways of operating. Values, together with the vision and mission, provide a clear picture of where the organization is and what it strives to be for all stakeholders. Value statements often include descriptions of the personal qualities expected of personnel.



- » Integrity through honesty, transparency, and highly ethical behavior
- » Respect through being courteous and considerate of others
- » Dedication to excellence through high standards, high expectations, and great results
- » Efficiency by minimizing waste of time, effort, and resources
- » Continuous improvement by always learning, being innovative, and seeking improvement
- » Customer focus by understanding needs, delivering quality service, and exceeding expectations



Goals

Goals, when accomplished, make the vision a reality. They demonstrate that the organization’s mission is being carried out and the organization is moving toward the ideal of the vision statement. In most organizations, goals are time-bound—usually three to five years, corresponding to the length of most strategic plans. For SEAs or LEAs, goals are broad, representing the ultimate state of educating all students, and therefore may not be restricted by time. In other words, a goal may be continuously more closely approximated, but may never be fully met because the focus is on ALL students.

In the SPM process, the Direction Task Force is encouraged to create a manageable set of broad goals that: (1) highlight desired results for all students; (2) take into account both the student outcomes at the time of graduation and the progress during the years of schooling; and (3) include student, personal competency skills (desired personal attributes not measured by academic markers) as well as academic outcomes.



Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.

Every student will make at least a year’s growth in literacy, math, and science each year of school as measured by state assessments.

Every student will develop and apply the personal competencies that foster learning, happiness, and success in life.

Every student will graduate high school ready for postsecondary study and/or careers.

In addition to the student-focused goals, the LEA or SEA includes at least one organizational goal focused on improving the organization and its operational functions. The goal is broad enough to call for strategies related to both required functions (e.g., monitoring and reporting) as well as functions related to emerging strategies (e.g., communications).



All students attending the public charter schools will benefit from a well-managed, effective system that shares its success with the broader education community.

All students will benefit from an education system that is effective, efficient, transparent, and accountable.

The State Department of Education will build the capacity of each employee to provide efficient and effective customer services that benefit students, respects taxpayers, and serves stakeholders.

The district will provide efficient and effective customer service that benefits students, respects government and local resources, builds meaningful partnerships, and serves all stakeholders.



Once goals are created, the Direction Task Force identifies what each goal will mean for students, families, and employees. This discussion builds a deeper understanding of the goal and tells why each goal is so important. The Direction Task Force also engages employees and other stakeholders in this same discussion when they share the goals and gather feedback during listening sessions.

Goal Performance Measures

Goal performance measures (indicators, data sources, baseline, and annual targets) are then defined for each goal. Because goals are aspirational in referring to “every” or “all” students, the steady progress in their direction is mapped in the performance measures. For example, a goal would not be limited to say “72% of our students will graduate ready for college and career,” but a performance indicator for the goal could be tied to the percentage of students who are prepared, with annual targets for improvement. The SEA or LEA may already have identified measures as part of the state or district accountability system. If measures do exist, align them with the goals and add other measures as needed to ensure multiple measures are used to determine growth in reaching each goal.



Goal: *Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.*

Goal Performance Measure

- » **Goal Performance Indicator:** *Percentage of students testing proficient or better in reading and math on state standards assessments in Grade 3*
- » **Goal Data Source:** *State standards assessment test results in reading and math for Grade 3*
- » **Goal Baseline:** *2014 – 73.6% of third graders tested proficient or better in both reading and math*
- » **Year 1 Goal Target:** *77%*
- » **Year 2 Goal Target:** *80%*





QUALITY CHECK

1. The vision statement portrays the ideal or optimal organization. _____ Yes _____ No
2. The mission statement clearly expresses the purpose of the organization. _____ Yes _____ No
3. The values express the ethics that are the underlying foundation of the organization’s vision and mission. _____ Yes _____ No
4. Goal statements demonstrate that, as the goals are more closely approximated, the mission is being carried out and the organization is moving toward the ideal of the vision statement. _____ Yes _____ No
5. Goal Performance Measures provide multiple, quantitative ways to estimate progress toward the goals and include indicators, data sources, baseline, and targets. _____ Yes _____ No

Step 2. Delineate Roles and Responsibilities

The identified goals bring meaning to the vision and mission of an SEA or LEA; however, it takes more than the SEA or LEA to move more closely to broad, student-focused goals. A SEA is a multilevel system involving the state education agency, school districts across the state, schools within each district, and many service and advocacy organizations. The SEA is the furthest removed from the students and their learning experiences, and yet it influences much that occurs at the classroom level. The LEA is the go between for the state and the schools with more direct influences on the schools. The complexity at each level of the system often leads to disconnects, blurred boundaries, and miscommunication. It is important for the SEA and LEA to engage in a discussion of the roles and responsibilities of the state, district, and school in relation to each goal to bring clarity in what the SEA or LEA can or should do and what it should stop or not do. It also provides insight into how its relationships with the districts and schools, or schools and classrooms, could be strengthened or leveraged to move closer to each goal.

See the Roles and Responsibilities Tool (Attachment B) to record state, district, and school roles and responsibilities related to each goal.



STATE A	DISTRICTS in State A	SCHOOLS in Districts in State A
Adopt or develop standards	Develop curriculum frameworks and provide core and supplemental curriculum resources	Design lessons aligned to standards Utilize core and supplementary resources and provide feedback on effectiveness





QUALITY CHECK

1. For each goal, the state, district, and school roles and responsibilities are identified. Yes No
 2. Discussions included input from district and school stakeholders. Yes No
 3. Conflicts are identified and are either resolved or a plan for resolution has been identified. Yes No
 4. Gaps are also identified. Yes No
-



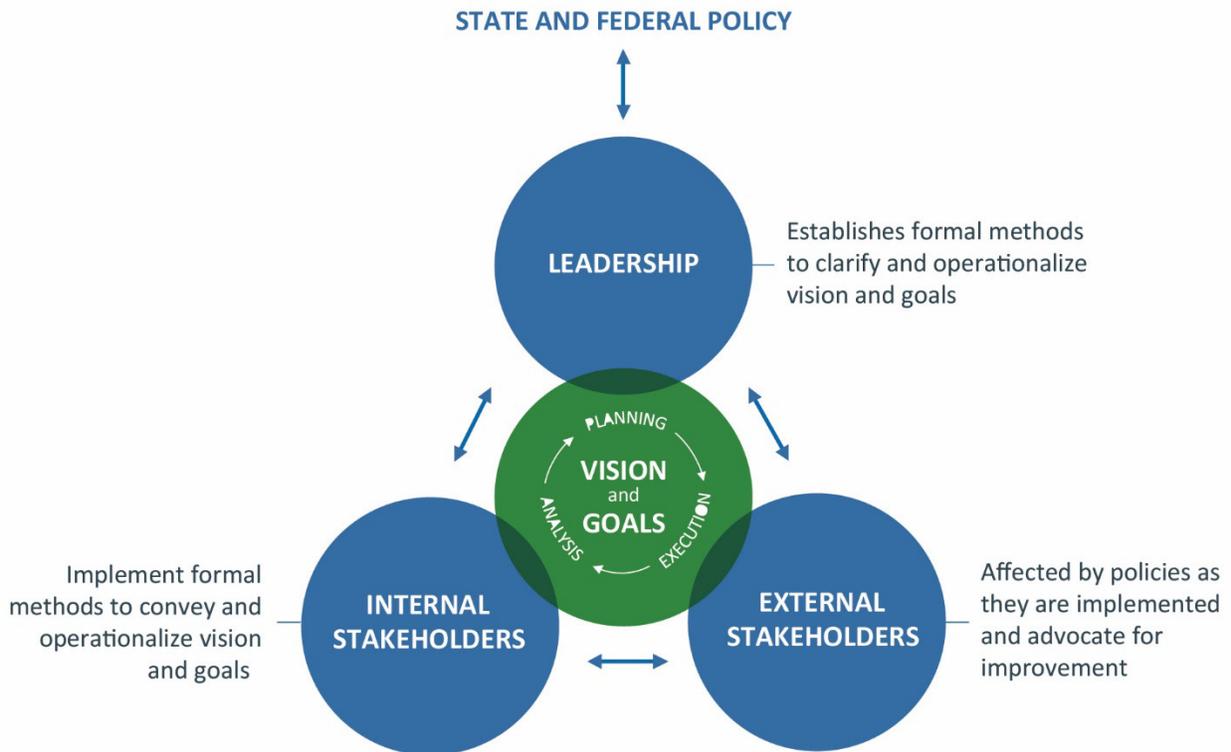
Strategic Communication Lens

The vision, mission, values, and goals are created or revised with ample input from internal and external stakeholders, especially internal stakeholders. As the Direction Task Force works through the steps to formulate the vision, values, mission, goals, and strategies, the evolving body of information is vetted with assembled groups of personnel. The strategic direction is **not** presented as the product of leadership, done in the dark, but is formed with sufficient engagement of personnel along the way. That said, the leadership, represented in the Direction Task Force, maintains the final responsibility for the end product.

Figure 5 depicts a framework for formulating and operationalizing the SEA or LEA's direction (Zavadsky, 2016). It is critical that leadership provide opportunities for internal stakeholders to engage in sense-making of the vision, mission, values, and goals. Intentional engagement in providing feedback and making meaning as it relates to each individual's role and responsibilities is needed, rather than traditional dissemination of the vision, mission, values, and goals.



Figure 5. BSCP Strategic Communication Framework



At the end of Session 1, the Direction Task Force engages staff in refining the vision, mission, values, goals, and measures by

- » Conducting small group discussions with mixed groups of employees using discussion questions such as
 - › What does the vision, mission, and values mean to you?
 - › How would we demonstrate our values in our day-to-day work and interactions?
 - › What would achieving our goals mean to our districts and schools? Our students, families? To you as an employee?
 - › How does your role support our Strategic Direction?
 - › Is there anything missing in our vision, mission, and values?
- » Reviewing draft goal performance measures and aligning these with accountability and other measures already in place.
- » Identifying a Performance Measures Team to oversee the measures related to the strategic plan.
- » Gathering a small select group of district and school leaders to gather input on the goals, measures and roles and responsibilities. A broader communications action will engage more representatives at the end of Module A.



Preparation for Session 2

Baseline data previously identified for each goal as well as any relevant additional data, including input from stakeholders, are gathered before the next session and organized for use in the SWOT analysis. Often the challenge in this preparation is not in finding the data, but in determining what data are most useful in this analysis. Therefore, time and attention should be given to this important preparation. Who will gather what data? Is there current data on stakeholder perception and satisfaction? If not, how can this information be gathered (e.g., survey, focus groups)? What is the best way to present the data? Will the data be shared to SWOT analysis participants ahead of time?

Module A Session 2

Agenda Item	Time
Recap Session 1	15 minutes
Step 3. Appraise the Current Situation	2 hours
Step 4. Determine Goal-Aligned Strategies	4 hours

Recap Session 1

Gather and review feedback and response from the various group discussions. Make any adjustments to the vision, mission, values, goals, and measures based on input. Compose follow-up communication to stakeholders who were engaged, thanking them for their time and informing them of how input was used or will be used to strengthen the work and process.

Step 3. Appraise Current Situation

Framing Discussion (15 minutes)

After creating or reviewing the goals, the Direction Task Force engages in a candid discussion regarding the agency’s current situation in relation to the goals. Previously, the group discussed what it would look like if it reached its ideal state, what the student might experience, his or her family’s experience, and the teacher’s or principal’s experience. Now the SEA and LEA examine what the current, actual experience is for a student and his or her family. What are the perceptions about schooling of various stakeholders including students, families, clients (districts and schools), and partners? How does the perception vary from school to school, place to place, student to student? This discussion creates the context and sets the stage for conducting a SWOT analysis and identifying powerful strategies through which the SEA or LEA can meet its responsibility in pursuing each goal.



SWOT Analysis

Conducting a **SWOT** analysis for each goal is helpful in providing a clear picture of what is happening now. The information obtained can then be used to identify strategies and performance measures later in this process. SWOT stands for **Strengths, Weaknesses, Opportunities, and Threats** (Harvard Business School Press, 2006a; Harvard Business School Press, 2006b).

- » **Strengths** are capabilities that enable the organization to perform well, ones that should be leveraged to sustain or increase performance.
- » **Weaknesses** are characteristics that hinder the organization's performance and need to be addressed.
- » **Opportunities** are trends, variables, events, and forces that could be capitalized on.
- » **Threats** are forces or events outside the organization's control that need to be planned for, responded to, or mitigated.



See the SWOT Analysis Tool (Attachment C) to record the strengths, weaknesses, opportunities, and threats related to each goal.

Analyzing the internal factors affecting an SEA or LEA reveals strengths and weaknesses in policies, practices, operational systems, culture, resource allocation, and human capital. By analyzing the external factors in achieving each goal, the Direction Task Force also uncovers and better understands threats and opportunities, which, in turn, help to reveal strategic options. Consider the evolving needs of districts and schools, the changing demographics of students and families, and the ever-changing technology that is redefining the classroom environment. Include a deeper look at the legislators crafting policies, current and future vendors and consultants, as well as the various institutes of higher education and professional organizations and advocacy groups. Examine the needs of business and industry in the state today and what they are expected to be in the future.

Strengths are what the SEA or LEA does especially well and is most valued by its constituents. The analysis examines the SEA or LEA's core capabilities and processes, financial condition, management, culture, and services to the field. The Direction Task Force candidly identifies inefficiencies and areas of ineffectiveness. How can strengths be leveraged to take advantage of opportunities? How can weaknesses be addressed to minimize high-priority threats? Only then can the SEA or LEA truly see the critical changes needed and what it should stop doing.

Figure 6 lists possible external and internal factors to consider. The list is not all-inclusive and should be expanded or shortened based on the context of each SEA or LEA. A discussion, starting with the external analysis, leads to a consensus listing of three to five organizational strengths, weaknesses, opportunities, and threats and sets the stage for the strategic process (Harvard Business School Press, 2006a; Harvard Business School Press, 2006b).



Figure 6. Internal and External Factors for SWOT Analysis by SEA or LEA



INTERNAL

EXTERNAL

COMMUNICATION

Strengths	Weaknesses
We use technology infrastructure to provide more communication and professional development	We have limited communication access to districts and schools We have limited internal communication; do not have a good internal process for communication of expectations
Opportunities	Threats
We have the expertise to communicate the goal	Districts and schools are not utilizing technology infrastructure to capacity Districts and schools are not receiving full and accurate information and have misinformation





Productivity Lens

A Productivity Lens is applied during the SWOT. Is the SEA or LEA using available resources in the most productive ways in pursuit of the stated goals? Are resources being allocated in an equitable way? If not, what are the barriers or challenges preventing greater productivity and equity in resource allocation? Are those challenges related to external or internal factors? Are there partners or other organizations that model productive and equitable resource allocation? Are there schools or districts that are models for equity? What schools or districts are getting high results with less? Are there schools or districts with low results, yet, they use more resources? Why?



QUALITY CHECK

1. The Direction Task Force gathered and used information from stakeholders, including parents, institutes of higher education, community, and business representatives, in SWOT analysis. _____ Yes _____ No
2. Data from multiple sources were analyzed to identify strengths, weaknesses, opportunities, and threats. _____ Yes _____ No
3. Strengths and weaknesses were identified and accurately reflect the current state of the organization. _____ Yes _____ No
4. Opportunities and threats represent current context, including community, business, financial, and technology environments. _____ Yes _____ No
5. Analysis included examination of strengths with opportunities and weaknesses with threats. _____ Yes _____ No

Step 4. Determine Goal-Aligned Strategies

Strategies describe what the SEA or LEA will do to more closely approximate the goals. Strategies tell how the SEA or LEA gets from “here” (the current state) to “there” (the ideal state represented by the vision). Strategies are constructed with the understanding that meeting the performance measures attached to all of the strategies associated with a goal will move the dial on the goal’s performance measures—more closely approximating the goal itself.



See the Strategy Development Tool (Attachment D) to guide the process of strategy development.

A strategy is not as specific as a milestone or action, yet it leads to the type of milestones and actions that need to occur each year to move closer to realizing the goals. Some strategies are “intentional,” related to routine, mandated, and established work of the SEA or LEA. Other strategies



are “emergent,” enabling the agency to adapt, innovate, and respond to changes (Mintzberg, 1994; O’Donovan & Flower, 2013). A strategy focused on finance would be considered an intentional strategy because there are set standards and procedures that must be followed. The strategy sometimes is in response to state legislation attached to funding. An emergent strategy might be one focused on technical assistance because the clients, topics, and delivery methods are subject to considerable change. Figure 7 provides detail on the difference between intentional and emergent strategies.

Figure 7. Strategy Types



To encourage innovative thinking, the Direction Task Force uses the following steps: (1) create possible strategies; (2) identify conditions, barriers, and alternatives for each; and (3) determine the most powerful strategies that can be realized.

Generate Possibilities

The Direction Task Force begins by generating possible strategies to move closer to the goal. What are all of the possible ways to get the job done, again, thinking in broad strokes and not specific actions? Possible strategies need to have internally consistent logic and plausibility. A possibility is much like a hypothesis or **theory of action**: “When we do this, this will result” or, more simply, “If we ..., then...”. The emphasis is on what might be viable, not what won’t work and why. A possibility might be an improved version of a strategy currently being implemented or something new. A list of three to six possible strategies is generated for each goal. A *word of caution*: reach high when thinking about possibilities, but they must not be so high that they are unrealistic.

Consider Conditions, Barriers, and Alternatives

For each possible strategy, the Direction Task Force identifies the conditions that must occur for the strategy to become a reality (Lafley, Martin, Rivkin, & Siggelkow, 2012). What would have to be true for the strategy to be supported and succeed? The agency should think about the “must haves” versus the “nice to haves” and focus on the “must haves,” for these represent the minimum conditions that must be in place for the strategy to be effectively implemented. At the same time,



the agency also identifies the barriers to success. What barriers can be overcome or removed, and which ones are outside the purview or influence of the SEA or LEA? What might be another way to achieve the same end—an alternative strategy to this one?

Select Powerful Strategies

After examining each possible strategy, the SEA or LEA selects those few bold strategies that may be challenging yet attainable. These are strategies that the SEA or LEA feels confident enough to make a reality, with the fewest barriers that cannot be removed or overcome. When the process is followed, decisions about which strategies to choose are evident.



Productivity Lens

A productivity lens is applied when deciding on a strategy. Would the strategy effectively use available resources? What additional resources would be needed to successfully implement the strategy in an efficient and timely manner? What restrictions are placed by statutes, policies, contractual obligations, and regulations that could impact implementing the strategy? What would be the most productive means for achieving the goal performance targets within the bounds of these restrictions? Does looking at the strategy through a productivity lens evoke a deeper understanding of the value of the strategy?

Theory of Action

Once selected, each strategy is stated using the **If we..., then...and...** format (the “and” connects the strategy to the goal) to show impact on each goal that the strategy is designed to pursue. The stronger the logic, the easier it will be to define actions and outputs to achieve annual measurable targets and thus successfully implement the strategy. Formulating a Theory of Action brings deeper meaning to the strategy for those not only doing the work, but those who will be impacted by the work. It can also provide clarity when considering how to measure the work’s impact. Figure 8 details a Theory of Action.

Figure 8. Strategy Theory of Action



Later in the SPM process, in Module C, strategies will be used to create milestones along with the *inputs* (resources including time, competencies, and tools), the *actions* (specific tasks), *outputs* (concrete products), and *outcomes* (strategies) to formulate action plans.





Goal 1: *Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.*

Strategy: *If we increase access to high-quality preschool for all eligible children, then the level of school readiness of students will increase across the state, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.*

Goal 2: *All students will develop the knowledge, skills, and behaviors needed to successfully progress through school and be prepared for postsecondary and career opportunities.*

Strategy: *If we implement a responsive system of school support, then schools will implement school improvement plans to increase the quality of instruction, and all students will develop the knowledge, skills, and behaviors needed to successfully progress through school and be prepared for postsecondary and career opportunities.*

Goal 3: *Each student will meet or exceed growth targets to move to the next learning level.*

Strategy: *If we provide professional development on designing language-enriched instruction within varying sociocultural context, then schools will provide learning experiences that build relationship between what students bring to the learning environment and the language of each learning task, and each student will meet or exceed growth targets to move to the next learning level.*

Goal 4: *The State Department of Education will provide customer service that benefits students, respects government resources, builds meaningful partnerships, and serves stakeholders.*

Strategy: *If we establish clear, consistent communication processes, then stakeholders will have up-to date information and opportunities to provide input, and we will provide customer service that benefits students, respects government resources, builds meaningful partnerships, and serves stakeholders.*





QUALITY CHECK

1. For each goal, at least two but no more than six possible strategies were suggested without judgments. _____ Yes _____ No
2. Minimum conditions were listed for each possible strategy and represent what must happen for the strategy to become a reality. _____ Yes _____ No
3. Barriers that can and cannot be removed were identified for each strategy. _____ Yes _____ No
4. Decision-making included analysis of conditions in relation to barriers. _____ Yes _____ No
5. No more than three or four strategies were chosen for each goal. _____ Yes _____ No
6. A productivity analysis was applied to each strategy before approving it to determine if a better outcome could be achieved by allocating resources of time and money differently. _____ Yes _____ No
7. The cumulative effect of all the strategies associated with a goal is that the SEA is successfully carrying out the strategies and getting closer to achieving the goal. _____ Yes _____ No

Module A Session 3

Agenda Item	Time
Recap Session 2	15 minutes
Step 5. Establish Measures and Milestones	5 hours
Wrap-up Module A and Prepare for Module B	1 hours

Recap Session 2

Review the strategies and measures within the context of the vision, mission, values, goals, and measures. Altogether these should set a strong direction for the SEA or LEA.

Step 5. Establish Measures and Milestones

Similar to goal measures, strategy performance measures are comprised of one or more **indicators**, **data sources**, **baselines**, and **targets**. The focus of the strategy measures is the “then” part of the Theory of Action statement (see Figure 9).



The indicators are the measurements used to determine progress in implementing the strategy. The baseline performance is set for each indicator at the beginning of the period for the plan, and annual targets are established for at least two years. The strategy performance measures are a check for the goals and strategies. If measures cannot be defined, then perhaps the goal or strategy is not clearly worded. The Performance Measures Team that was identified after Session 1 should review the strategies and measures with the goal and goal measures to determine if there is clear alignment. Will they provide a clear picture of the impact of the SEA or LEA work’s impact on changing adult practice and improving student results? The Performance Measures Team communicates with the Direction Task Force to provide feedback and suggestions to strengthen the measures and their alignment.



See the Strategy Performance Measures Tool (Attachment E) to guide development of strategy measures.

Figure 9. Strategy Theory of Action with Performance Measure Focus



In Step 5, milestones are created for each strategy. Milestones are the incremental steps to be completed to effectively implement a strategy and are set at one-year intervals. If the number of milestones per strategy is more than three or four, the level of detail may be too fine; more specific actions will be created in Module C by Unit Teams. The Direction Task Force examines the decision-making data and productivity analysis related to each strategy (including the SWOT analysis) and identifies the annual milestones to effectively implement the strategy. Milestones express the achievement of major steps in carrying out a strategy and are typically descriptive rather than quantitative. Multiple milestones may be assigned to each strategy.





Goal: Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.

Strategy: If we increase access to high-quality preschool for all eligible children, then we will increase the level of school readiness of students across the state, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3. (Note: There may be other strategies related to this goal.)

Current Situation: Current state funding for preschool programs is \$47,742,255 (\$2,290 per child) and is provided directly to school districts and through grants to community-based organizations. As a result, 32% of 4-year-olds in the state are enrolled in state-funded preschool programs; 10% in Head Start; 3% in other public pre-K programs; and 4% in special education preschool services.

Strategy Performance Measure

- » **Strategy Performance Indicator:** Enrollment numbers of preschool compared to number of eligible preschool-age children
- » **Strategy Data Sources:** Annual enrollment in preschool programs and census estimates of number of eligible children
- » **Strategy Baseline:** 21% of eligible preschool children are currently enrolled in a preschool program
- » **Year 1 Strategy Target:** 24% of eligible preschool children enrolled in preschool program
- » **Year 2 Strategy Target:** 34% of eligible preschool children enrolled in a preschool program

Strategy Milestones

- » **Year 1:** SEA advocacy will result in proposed legislation to increase preschool funding annually over the next five years.
- » **Year 2:** Funding will be in place.

Goal: The State Department of Education will provide customer service that benefits students, respects government resources, builds meaningful partnerships, and serves stakeholders.

Strategy: If we establish clear, consistent communication processes, then stakeholders will have up-to date information and opportunities to provide input, and we will provide customer service that benefits students, respects government resources, builds meaningful partnerships, and serves stakeholders.



Strategy Performance Measure

- » **Strategy Performance Indicator:** Increase in timely communications, increase in opportunities for stakeholder engagement, percentage of stakeholders who indicate improvement in communications efforts and results
- » **Strategy Data Sources:** Communications data, participation data, and survey results
- » **Strategy Baseline:** To be established at the end of the 2019-2020 school year
- » **Year 1 Strategy Target:** Increase of 8% over baseline
- » **Year 2 Strategy Target:** Increase of 15% over baseline



QUALITY CHECK

1. Performance measures include indicators, data sources, baseline, and annual targets. _____ Yes _____ No
2. Measures can realistically be collected, analyzed, and used in making decisions related to the strategies and goals. _____ Yes _____ No
3. Specific, relevant performance milestones were identified for each strategy. _____ Yes _____ No
4. The milestones are necessary for the strategy to be implemented. _____ Yes _____ No
5. The milestones are specified for at least two years. _____ Yes _____ No
6. The cumulative effect of achieving the performance measures for all the strategies associated with a goal is that the goal itself will be more closely approximated. _____ Yes _____ No



Strategic Communication Lens

Gathering feedback on the vision, mission, and values from the employees, and checking roles and responsibilities with a small group of district or school leaders occurred during Module A. Now the Direction is ready to be shared and discussed with broader stakeholders.



See the Communications Team Logistics Tool (Attachment F) to document Communications Team members and procedures.



If the SEA or LEA has an established Communications Team, they are given the task of rolling out the Strategic Direction. If a Communications Team does not exist, the CSSO or Superintendent and Leadership Team identify a core Communications Team along with key competencies needed by each team member. In addition, team logistics are identified. How often will the team meet? How is each Division represented on the team? What process will be used to obtain approval for communication materials and activities? How will materials and activities be evaluated?

Next, the Communications Team develops internal and external communications processes. The goal of the internal communications is to foster open communication and outline communication expectations across the SEA or LEA. Communication assists in:

- » Understanding key messages around the SEA’s vision, mission, goals, values, and strategies.
- » Creating mutual understanding and information-sharing across and between organizational levels and Divisions.
- » Engaging others in supporting the SEA or LEA strategies, milestones, and actions.

The goal of external communications is to gain support for the SEA or LEA’s Direction, encourage partnerships for implementation of strategies and milestones, and inform progress and engage in problem solving to ensure success. It is best to map the external stakeholders who need to be engaged in supporting or implementing the Strategic Direction. Effective stakeholder mapping considers a stakeholder group’s influence, level of interest, and anticipated reaction to communications and outreach efforts. Where a stakeholder falls in terms of interest and attitude will inform message development. An influential stakeholder group that has a high level of interest but has traditionally been a non-supporter of the SEA or LEA may need a message with robust evidence that will stand up to scrutiny. However, a stakeholder group that has a low level of interest but a positive attitude toward the SEA or LEA would need a succinct yet engaging message (Zavadsky, Berry, & Savage, 2017). Table 3 can assist in stakeholder mapping.



See the Internal and External Messaging and Activity Tools (Attachments G and H) to plan communication activities.

When selecting activities, keep in mind that providing the same message in multiple ways multiple times is recommended during any change initiative. Activities should be matched to the stakeholder group, be relevant to acquire the desired outcome, be culturally appropriate, and accessible.



Table 3. Stakeholder Mapping

	Positive Attitude	Neutral Attitude	Negative Attitude	
High Interest	<ul style="list-style-type: none"> They will engage with the message even if it isn't aimed directly at them They are likely to take action and will also share your message with likeminded colleagues/friends 	<ul style="list-style-type: none"> They will engage with the message even if it isn't aimed directly at them They are likely to take action and will probably share your message with likeminded colleagues/friends 	<ul style="list-style-type: none"> They will engage with the message even if it isn't aimed directly at them They are likely to resist any action unless the evidence is convincing 	Key:  Messages should focus on theory and innovative ideas  Messages should focus on a mixture of theory and evidence  Messages should feature a robust evidence base
Neutral Interest	<ul style="list-style-type: none"> They will engage with the message if it isn't aimed directly at them relevant to their work They may take action and share your message with likeminded colleagues/friends 	<ul style="list-style-type: none"> They will engage with the message if it relates very closely to their work/interests They are more likely to share with colleagues/friends which have a higher interest than they are to take action 	<ul style="list-style-type: none"> They will engage with the message if it relates closely to their work/interests They rarely take action and are unlikely to share your message with likeminded colleagues/friends 	
Low Interest	<ul style="list-style-type: none"> They will engage if they have the time They are more likely to share with likeminded colleagues/friends than take action 	<ul style="list-style-type: none"> They will engage with the message if it relates closely to their work/interests and is seen as necessary They are more likely to share with colleagues/friends which have a higher interest than they are to take action 	<ul style="list-style-type: none"> They will engage with the message if it relates closely to their work/interests and is seen as necessary They rarely take action and are unlikely to share your message with likeminded colleagues/friends 	

(Zavadsky, Berry, & Savage, 2017, p. 79)

Once stakeholders have been identified, creating a rollout plan with specific materials and activities ensures attention is being paid to building understanding, buy-in, and creating the conditions for successful implementation partnerships.



See the Communications Plan Template (Attachment I).





Productivity Lens

Leverage past and current communication efforts and channels to reach stakeholders. For example, stakeholder engagement has been a requirement of ESSA and a key part of implementing the Individuals with Disabilities Education Act (IDEA). Review what worked and which channels or modes of communication worked best. Include students in the stakeholder group, after all it is their education! Review the SWOT analysis. Are there opportunities to engage a group that has not been engaged previously? If so, what is the best means for engagement?

Finally, establish the means to collect input and reporting use of input BEFORE implementing the communication activities. This will build authenticity in the communication process.



Communications Place	Brief Description	Format	Comments/Notes	Additional Thoughts
Strategic Direction 2018-2023 Executive Summary	Executive Summary	PDF	Can we make one of these?	
Letterhead for Strategic Direction	Black letterhead template for use when communicating about Strategic Direction	MS Word Template		
PowerPoint template for Strategic Direction	PowerPoint template with slides to use when communicating about the Strategic Direction	PowerPoint template used for all stakeholders when talking about the Strategic Direction		
Timeline Graphic	Features timeline for the Strategic Direction	PDF	Are these the same, or just front and back?	
Tri-fold	Summarizes the Strategic Direction goal areas and strategies	PDF – two sided and must be folded if sent electronically		
Vision, Mission, Core Values	Features vision, mission and values for the Strategic Direction	PDF one pager and poster (11 x 17)	Are these the same or back and front?	
FAQ-SEA or LEA staff	FAQs to help internal staff understand their role in the Strategic Direction and how it will impact their work	2-page PDF		
SPM Unit Leaders Toolkit	Supports Unit Leaders to lead their teams to implement, complete and report on actions and milestones	Formatted in MS Word so Unit Leaders can use tools in their work		Would be best practice to test these with representative district and school leaders
School Support Toolkit	Set of tools to provide all districts and schools to help them understand, plan and communicate the Strategic Direction to staff, families and community	Includes announcement letter with link to Strategic Direction website, Tri-fold brochure, timeline, PowerPoint presentation, and two flyers for staff and families/communities		

Wrap-Up Module A and Prepare for Module B

Complete all communication activities and use any feedback to finalize goals, strategies, and measures. Identify staff for the Operations Task Force for Module B, review Module A work, and discuss roles and responsibilities for Module B.



Attachment A: SEA’s Vision, Mission, Values, and Goals Tool

Use this tool to record the vision, mission, values, goals, and measures. Targets for a minimum of two years are identified.

PART I: MISSION, VISION, AND VALUES

Mission:

Vision:

Values:

- 1.
- 2.
- 3.
- 4.
- 5.

PART II: SEA GOALS

Goal	What does this goal mean for students?	What does this goal mean for families?	What does this goal mean for employees?
1.			
2.			
3.			

PART III: GOAL PERFORMANCE MEASURES					
SEA Goals	Performance Indicator	Data Source(s)	Baseline	Indicator Targets	
1.				Year 1	Year 2
				Year 1	Year 2
2.				Year 1	Year 2
				Year 1	Year 2
3.				Year 1	Year 2
				Year 1	Year 2
4.				Year 1	Year 2
				Year 1	Year 2
5.				Year 1	Year 2
				Year 1	Year 2

Note: At this point, the targets may be tentative. They can be adjusted as the rest of the plan evolves.

Attachment B: Roles and Responsibilities Tool

The SEA or LEA leadership may choose to seek input from district or school representatives when delineating state, district, and school roles and responsibilities related to each goal. Use the table below to chart the goals, roles, and responsibilities.

Goal #:		
State Roles & Responsibilities	District Roles & Responsibilities	School Roles & Responsibilities
Current Conflicts and Gaps		
Conflicts		Gaps



Attachment C: SWOT Analysis Tool

The SEA or LEA conducts a SWOT analysis for each goal. SWOT stands for Strengths, Weaknesses, Opportunities, and Threats. Record the results of the SWOT analysis below.

Goal #:

Strengths	Weaknesses
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
Opportunities	Threats
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

Analysis

What connections can be made between the Strengths and Opportunities?

What connections can be made between the Weaknesses and Threats?

What are the key learnings from the analysis of this goal? How can these inform strategies to move closer to realizing the goal?



Attachment D: Strategy Development Tool

Using a *possibilities approach*, identify possible strategies for each goal. For each possible strategy, list the conditions that must occur for the strategy to be accepted, supported, and implemented, and the barriers. A strategy may appear for more than one goal.

Goal	Possible Strategies	Must Have Conditions	Barriers
1.	1.		
	2.		
	3.		
	4.		
	5.		
2.	1.		
	2.		
	3.		
	4.		
	5.		
3.	1.		
	2.		
	3.		
	4.		
	5.		
4.	1.		
	2.		
	3.		
	4.		
	5.		

Discuss the conditions and barriers and determine which strategies will have the most significant impact on achieving the goal, have conditions that are right for implementation, and have the fewest barriers that cannot be removed. Selected strategies are then written in **If we...then...and...** statements to articulate the impact each will have on the goal. Conduct a productivity analysis before finalizing the strategies by applying productivity concepts to the strategy: Is this strategy the best way to achieve the goal? Does the strategy raise efficiency and effectiveness levels of the organization? Will the cumulative effect of the strategies move us closer to realizing the goal?

SEA Goals	Strategies (State as If We...then...and...statements)	Productivity Analysis
Goal 1:	1.	
	2.	
	3.	
Goal 2:	1.	
	2.	
	3.	
Goal 3:	1.	
	2.	
	3.	
Goal 4:	1.	
	2.	
	3.	



Attachment E: Strategy Performance Measures Tool

After analysis of available data from multiple sources, develop performance measures (performance indicators, data sources, baseline, and targets) for each strategy. Add milestones for the first two years. Milestones express the achievement of major steps in carrying out a strategy and are typically descriptive rather than quantitative. Multiple milestones may be assigned to each strategy.

Vision: _____

Mission: _____

Values: _____

SEA Goals	Strategies	Strategy Performance Measures			
		Strategy Performance Indicators	Data Sources	Baseline	Strategy Indicator Targets
Goal 1:	Strategy 1.1				Year 1
					Year 2
	Strategy 1.2				Year 1
					Year 2
	Strategy 1.3				Year 1
					Year 2
Goal 2:	Strategy 2.1				Year 1
					Year 2
	Strategy 2.2				Year 1
					Year 2
Goal 3:	Strategy 3.1				Year 1
					Year 2
	Strategy 3.2				Year 1
					Year 2

Attachment F: Communications Team Logistics

Use the chart below to assign personnel needed to develop and implement specific communication activities to rollout the Strategic Direction. Some suggested positions are listed.

Communication Role	Responsibilities	Required Competencies	Schedule	Procedures
Director of Communications				
Communications Manager				
Webmaster				
Photographer/Videographer				
Graphic Designer				
Copy Editor				
Legal Representative				
Division Representative				
Division Representative				
Division Representative				
Division Representative				

Attachment G: Internal Stakeholders and Communication Activities

Use this tool to detail messaging and activities related to the Strategic Direction for internal stakeholders.

Message/Activity	Channel	Staff Targeted	Timing	Cost	Responsible Person(s)	Results
	<input type="checkbox"/> Intranet <input type="checkbox"/> Newsletter <input type="checkbox"/> Email <input type="checkbox"/> Staff Meetings <input type="checkbox"/> Memorandums <input type="checkbox"/> Trainings <input type="checkbox"/> Other					
	<input type="checkbox"/> Intranet <input type="checkbox"/> Newsletter <input type="checkbox"/> Email <input type="checkbox"/> Staff Meetings <input type="checkbox"/> Memorandums <input type="checkbox"/> Trainings <input type="checkbox"/> Other					
	<input type="checkbox"/> Intranet <input type="checkbox"/> Newsletter <input type="checkbox"/> Email <input type="checkbox"/> Staff Meetings <input type="checkbox"/> Memorandums <input type="checkbox"/> Trainings <input type="checkbox"/> Other					
	<input type="checkbox"/> Intranet <input type="checkbox"/> Newsletter <input type="checkbox"/> Email <input type="checkbox"/> Staff Meetings <input type="checkbox"/> Memorandums <input type="checkbox"/> Trainings <input type="checkbox"/> Other					

Attachment H: External Stakeholders and Communication Activities

Use this tool to detail messaging and activities related to the Strategic Direction for external stakeholders.

Message/Activity	Channel	Stakeholder(s) Targeted	Timing	Cost	Responsible Person(s)	Results
	<input type="checkbox"/> Internet <input type="checkbox"/> Newsletters <input type="checkbox"/> Email <input type="checkbox"/> Community Forums or Meetings <input type="checkbox"/> Articles <input type="checkbox"/> Trainings <input type="checkbox"/> Other					
	<input type="checkbox"/> Internet <input type="checkbox"/> Newsletters <input type="checkbox"/> Email <input type="checkbox"/> Community Forums or Meetings <input type="checkbox"/> Articles <input type="checkbox"/> Trainings <input type="checkbox"/> Other					
	<input type="checkbox"/> Internet <input type="checkbox"/> Newsletters <input type="checkbox"/> Email <input type="checkbox"/> Community Forums or Meetings <input type="checkbox"/> Articles <input type="checkbox"/> Trainings <input type="checkbox"/> Other					

Attachment I: Communications Plan Template

Communications Piece	Brief Description	Format	Comments/Notes	Additional Thoughts/Strategies

SPM Module B: Operationalize the Direction

Estimated Completion Time: 10 hours total in two or more sessions

Participants: the CSSO or Superintendent, Leadership Team members, and other key directors or managers identified by the CSSO or Superintendent

In Module B of Strategic Performance Management, the Operations Task Force designated for this module by the CSSO or Superintendent: (1) conducts a functional analysis of the strategies; (2) conducts a structural analysis of the organization; and (3) assigns personnel to Units and identifies their funding sources.

Agenda for Module B: Purpose and Direction (Estimated Times)

Session 1 (8 hours)	
Step 6. Conduct a Functional Analysis	3 hours
Step 7. Conduct a Structural Analysis	4 ¾ hours
Session 2 (2 hours)	
Recap of Session 1	15 minutes
Step 8. Assign Personnel to Structure	2 hours
Step 9. Establish Coordination and Assign Milestones	4 hours
Wrap-Up and Review of Module B	4 hours

Module B Session 1

Agenda Item	Time
Welcome and Introductions	15 minutes
Step 6. Conduct a Functional Analysis	3 hours
Step 7. Conduct a Structural Analysis	4 ¾ hours

Step 6. Conduct a Functional Analysis

Form follows function. Executing strategies to more closely approximate goals requires the performance of specific functions—the types of work to be done. To achieve maximum performance, it is important to align the organizational structure with the functions required to carry out strategies. Identifying the functions necessary to carry out a strategy adds clarity in creating an organizational structure. Functional analysis prior to determining or revising the organizational structure is a step that is critical yet overlooked by many organizations. In this step, the Operations Task Force identifies the functions that relate to each



Use the Functional Analysis Tools (Attachment J) to guide the Operations Task Force through the analysis.

strategy. A function may be common to several strategies or could be unique to one. For example, a function may be channeling state dollars to districts. More than one strategy may involve funding, and so functions related to the processing of funds may be aligned with multiple strategies. For each strategy that the Operations Task Force has previously identified, look at the “**If we...**” portion of the statement. That portion of the statement provides a broad description of the work (functions) to be done to carry out that strategy. In this exercise, the strategies are aligned with functions (the kind of work required). Table 4 contains a list of common SEA and LEA functions.

Additional functions may be added, and those stated may be amended to suit the organization. One function may appear in multiple strategies.

Function statements provide specificity about the types of work the SEA or LEA performs in carrying out its strategies. Once functions for each strategy have been identified, a comparison with current SEA or LEA functions is completed to identify gaps. A function may be identified that the SEA or LEA does not currently perform or may not have current capacity to perform. There may be a function that a partnering agency could perform. Is this function within the role of an SEA or LEA, and should it be? Could a partnership be leveraged to accomplish the work? Are too many personnel on staff for some functions but not enough for others?

Table 4. SEA and LEA functions

SEA Functions	LEA Functions
Leadership	
1. Advocacy	1. Advocacy
2. Policy development and research	2. Policy guidance and research
3. Establishment and maintenance of partnerships	3. Establishment and maintenance of partnerships
4. Consultancy/advisement	4. Consultancy/advisement
5. Communication	5. Communication
Management	
1. Resource/facility management	1. Resource/facility management
2. Finance management and procurement	2. Finance management and procurement
3. Cost benefit and cost effectiveness analysis	3. Cost benefit and cost effectiveness analysis
4. Performance monitoring and reporting	4. Performance monitoring and reporting
5. Compliance management and reporting	5. Compliance management and reporting
6. Contract management	6. Contract management
7. Direct state management of programs	
Service to the Field (Districts or Schools)	
1. Policy and practice guidance	1. Policy and practice guidance
2. Standards, licensure, program evaluation	2. Curriculum, staffing, program evaluation
3. Resource allocation	3. Resource allocation
4. Continuous improvement support	4. Continuous improvement support
5. Intervention	5. Intervention





Management	Service to Field	Leadership & Advocacy	Support
1. Resource/facility management 2 instances	1. Resource allocation 3 instances	1. Advocacy 6 instances	1. Professional Learning 5 instances
2. Finance management and procurement 1 instance	2. Intervention 1 instance	2. Policy Development 7 instances - REDUNDANCY	2. Continuous improvement support 7 instances - INCONSISTENCY, REDUNDANCY
3. Cost benefit and cost effectiveness analysis 2 instances	3. Consultancy, advisement, technical assistance 3 instances	3. Standards, licensure, and program evaluation 2 instances	3. Communication 8 instances - INCONSISTENCY, REDUNDANCY
4. Agency performance management, monitoring and reporting 1 instance	4. Information/data management 5 instances	4. Compliance management and reporting 4 instances	4. Establishment and maintenance of partnership 5 instances
5. Contract management 0 instances - GAP		5. Research 0 instances - GAP	
6. Direct state management of programs 2 instances		6. Policy and practice guidances 6 instances - REDUNDANCY	



Productivity Lens

Productivity is a key factor to consider when analyzing functions. There may be functions that are redundant across the agency. The Operations Task Force identifies those redundant functions that are needed and those that are overtaxing resources or result in inconsistencies. Are there gaps that critically impact productivity in implementing the strategy? For example, having communication be carried out by each office could result in mixed messages or inconsistencies that confuse stakeholders. If research is required but there is not a research function currently being carried out by an office or Division, innovation could be stifled. Perhaps a partnership with a University could address this gap.



Use the Structural Analysis Tool (Attachment K) to guide the Operations Task Force through the analysis.





QUALITY CHECK

- | | |
|--|--------------------|
| 1. Functions have been identified that clearly relate to each strategy. | _____ Yes _____ No |
| 2. Functions include those related to management, service to the field, and leadership and advocacy. | _____ Yes _____ No |
| 3. Gaps are identified, including those related to capacity. | _____ Yes _____ No |
| 4. Possible solutions to address gaps were explored. | _____ Yes _____ No |

Step 7. Conduct a Structural Analysis (Organizing Units to Do the Work)

Sometimes the existing organizational structure—how departments or Units are arranged on the organization chart—is not ideal for carrying out the agency’s functions to effectively implement the strategies and more closely approximate its goals. Organizational structures evolve over time and become conflated with funding streams and are modified to meet the interests and abilities of specific personnel. Leadership needs to structure the SEA or LEA to optimize the implementation of strategies and pursuit of goals. Structures for effective performance management:

- » align the organization to best follow its strategic direction;
- » allow for clearly defined roles and responsibilities;
- » clarify who makes decisions;
- » minimize handoffs that affect clients or create confusion over who is responsible for what (district or parent is passed on from one department to another to the point of frustration);
- » pull together people who need to work closely with each other;
- » allow information to flow unrestricted to those who need it;
- » create manageable mechanisms of monitoring and reporting; and
- » ensure they are easily augmented by informal channels of crossboundary communication (Rhodes, 2011).

Functional structures bring people with common functions together and enable better collaboration, effective application of expertise, and clear standards of performance. The Operations Task Force looks at the functions it has listed to carry out the strategies and creates or redefines structural Units—Divisions, departments, branches, or whatever they are called within the SEA or LEA—to do the work. Rather than forcing functions into existing Units, try naming Units to reflect the nature of the functions they perform. What is the work that the Unit performs? What are the inefficiencies and gaps in the current structural Units? What structure is needed to address gaps and inefficiencies to more efficiently and effectively accomplish the work?



The SEA or LEA maps out an organizational structure or revisits the current organizational chart aligned to the SEA or LEA's functions first and then massages the structure as resources and restrictions dictate. The chart may begin with the entities and positions that transcend the structural Units. For example, the state or school board and the CSSO or Superintendent are over all Units, thus an organization chart begins with these two items. Table 5 lists key questions to guide analysis discussions.

Table 5. Structural analysis questions

1. Do the names of Units state the services, functions, or funding source?
2. Key terms and concepts are in the new strategic direction. Would any of these terms or concepts be useful replacements for the names of some of the current Divisions or Units? Is there a need to create a new Division or Unit?
3. Could any of the smaller Units (few people) be combined for greater effectiveness in teaming?
4. Is the span of responsibility exceptionally large for any one Division?
5. Are similar functions clustered structurally so that the people who perform them are in close working relationship to each other?
6. There are a number of functions across all Divisions that are the same. Is there coordination? If not, is there a better way to structure so there are stronger connections and coordination?

It is important that the Operations Task Force not force functions into existing Units, but rather they should try naming Units to reflect the nature of the functions they perform. As the Operations Task Force works on naming Units and defining each Unit's purpose, they may discover that a number of structural Units are related in function. These Units could then be clustered or grouped together to form a larger entity, such as a Division. Thus, the Operations Task Force is building the structural levels as well as the structure within the layers, which results in the organization's hierarchy. High-performing organizations have clearly defined structures that are flatter than others. In other words, there are fewer layers in the hierarchy. An Operations Task Force of a more bureaucratic hierarchical organization, such as a government agency, will experience much discomfort with this task. It is not easy to change a well-established hierarchical structure where everyone in the organization reports to someone with the exception of one, the leader. In these organizations, higher levels are typically associated with greater superiority, and positions imply power, which is used over others. Flattening the organization may feel very threatening to some yet be necessary to optimize performance and get results.





Productivity Lens

A productivity lens is applied to the structural analysis. What are the inefficiencies and gaps in the current structural Units? What structure is needed to address gaps and inefficiencies to more efficiently and effectively accomplish the work? Will this organizational structure maximize efficiency and get the work done more effectively? Does the structure effectively support staff carrying out the functions? Does the organizational structure minimize redundancies?



Division Title Director's Office

Division Purpose: Provides executive leadership in executing the mission by providing culturally relevant, high-quality educational services that address the holistic needs of all students. The Director's Office achieves this by collaborating with key stakeholders, including schools and communities

FUNCTIONS <i>(list the functions of the unit)</i>	RESPONSIBILITIES (Work)	CRITICAL COMPETENCIES <i>(list any key critical competencies needed)</i>
Policy and guidance development	Conduct Strategic Planning and Implementation	Knowledge of legislative procedures, processes and policy analysis
Strategic Communications	Research, develop and implement policies to operate	Expertise in federal, state and local structure, regulations, and laws
Interface with federal, state, local leaders and national state organizations	Serves as key point of contact for the organization	Understanding of national and state political context and relationships
Oversight of personnel and program management	Responds to inquiries	Strong written and oral communication skills
Oversight of research, and outreach	Oversees activities to meet fiduciary responsibilities	



QUALITY CHECK

1. Structural Units are defined according to the functions required to implement strategies. _____ Yes _____ No
2. Similar or related Units are clustered for efficiency and effectiveness. _____ Yes _____ No
3. Current structure is compared to needed structure, and gaps and redundancies are identified. _____ Yes _____ No
4. A productivity lens is applied to make decisions regarding Unit clusters and relationships. _____ Yes _____ No
5. An organization chart reflects the realigned structure. _____ Yes _____ No



Module B Session 2

Agenda Item	Time
Recap Session 1	15 minutes
Step 8. Assign Personnel to Structure	¾ hours
Step 9. Establish Coordination and Assign Milestones	1 hour
Wrap-Up and Review of Module B	

Step 8. Assign Personnel to Structure

The effective deployment and use of human resources correlate with better results (Huselid, 1995; Ulrich, 1997). However, the human resource function in most organizations is administrative and focused on cost control and administrative activities (Lawler & Boudreau, 2012). In order to accomplish goals related to successfully educating all children, knowledgeable, skilled, talented professionals are needed at all levels, including SEAs and LEAs. Sometimes, however, staffing decisions at an SEA or LEA are made in isolation and not aligned to its strategic direction. Strategy, no matter how powerful and appropriate, cannot be effectively implemented without the right people in the right places. Aligning human resources means integrating decisions and processes about people with decisions and processes related to the goals the organization wants to pursue. In addition, the process of assigning, reassigning, or acquiring staff with the needed competencies to implement strategies should be collaborative, involving leadership beyond the human resources department.



Use the Personnel Assignment Charts and Funding Sources Tool (Attachments L and M) to assign staff to structure and identify each position’s funding source(s).

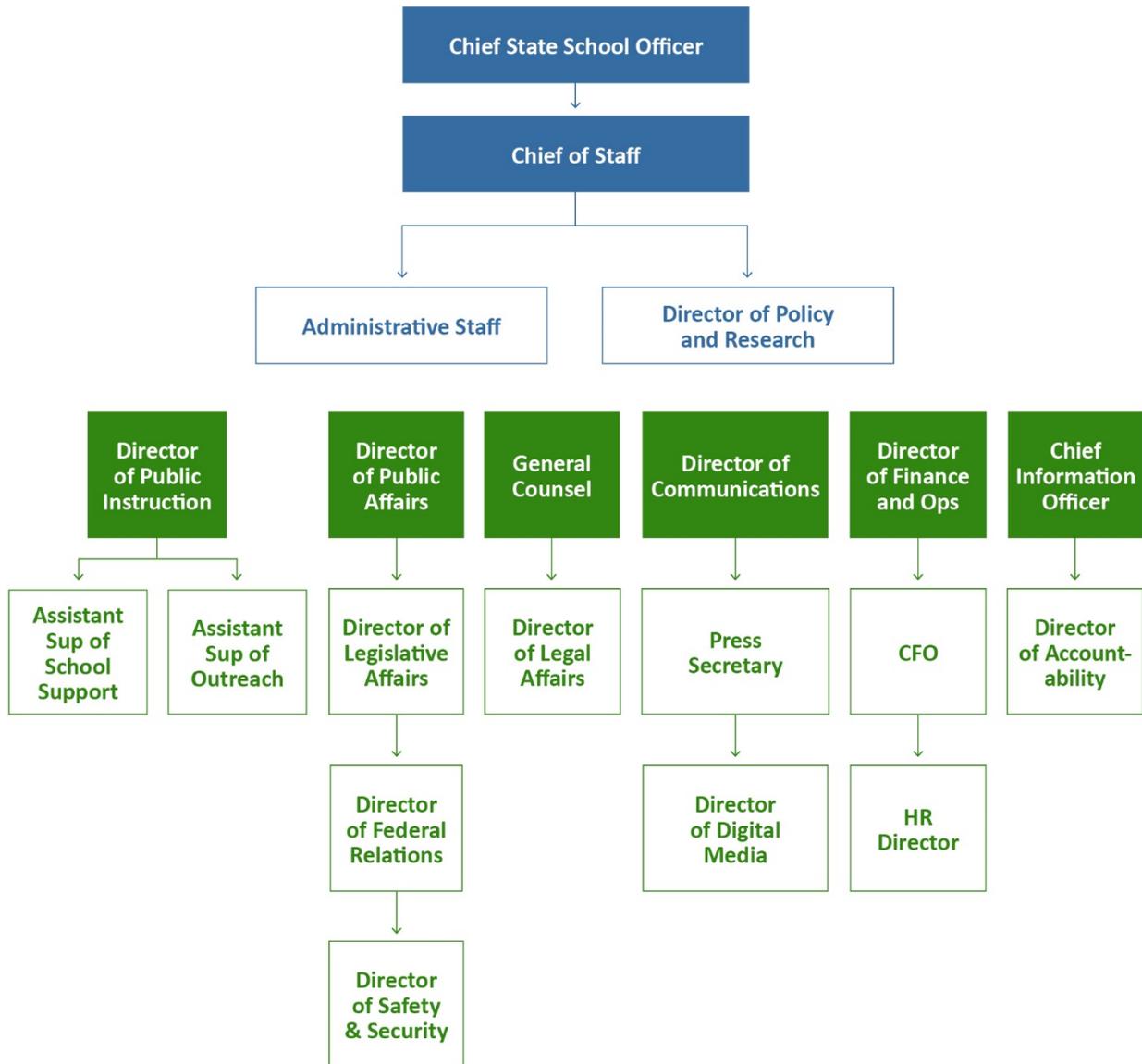
The Operations Task Force must place within each Unit the personnel with the competencies to perform the appropriate functions of their role within the Unit. In determining the fit of personnel for specific positions within the newly created structure, competency and ability to take on new responsibilities is given greater weight than experience in a certain job category.

When assigning personnel, the Operations Task Force may find vacant positions. In those cases, it is critical to define the responsibilities and competencies needed to effectively perform the function to ensure recruitment and hiring results in the right fit. It may mean shifting people or retraining those already in a position. Also, by determining the roles and competencies, the need for specific training and professional development is made apparent, and a personnel evaluation system can be aligned to the role’s functions. Lastly, funding sources are identified for each position.

Once people are assigned to the structure, an organization chart can be created or revised. Figure 10 is an example of an organization chart.



Figure 10. Organization Chart Example (Zavadsky, Berry & Savage, 2017, p. 47)



Productivity Lens

What is the best way to get the person with the right competencies in the most efficient and effective way? Is it more effective to wait for the right candidate for a position or to place a less skilled employee and provide the necessary training to develop the necessary skill? How can funding sources be leveraged to staff positions aligned to the strategic direction? Consideration to productivity may indicate that a position would be better filled by a contractual person or consultant.





QUALITY CHECK

- | | |
|--|--------------------|
| 1. Responsibilities and competencies identified for each position. | _____ Yes _____ No |
| 2. The Operations Task Force assigned personnel to each Unit. | _____ Yes _____ No |
| 3. Vacancies are identified and responsibilities and competencies for each vacant position are identified. | _____ Yes _____ No |
| 4. Gaps in training and professional development are identified. | _____ Yes _____ No |
| 5. Funding sources are identified for each position. | _____ Yes _____ No |

Step 9. Establish Coordination and Assign Milestones

Coordination

All too often, Divisions and Units work in silos, duplicate efforts, or treat related initiatives as isolated projects. It is, therefore, critical to coordinate work efforts and communicate progress on an ongoing basis. The Operations Task Force creates (or defines) three kinds of permanent teams: (1) A Leadership Team consisting of the leader(s) from each Division with the CSSO or Superintendent and other key, agency-level positions; (2) Division Teams consisting of representatives from each Unit within each Division; (3) Unit Teams consisting of the members of a specific work Unit within a Division. The teams establish a collaboration process, conduct action planning (see Module C), and implement a cycle of performance management (see Module D). Even though this, or a similar, team structure may already exist, the purpose of each team is defined here and its role in the ongoing implementation of SPM is established.

Use the Coordination Tool (Attachment N) to document the team membership, schedule, and processes.

Assigning Milestones

The next task is to assign each milestone to a Division and Unit. The Division assigned to a milestone is **accountable** for the thorough completion of that milestone by the end of the year. Reaching a milestone typically requires the work of more than one Unit and, at times, Units within other Divisions; however, there needs to be one accountable Division. A Division is made up of Units with common functions; therefore, the accountable Division should be one representing one or more Units whose functions are primary to complete the milestone. The accountable Division then determines what Unit within the Division **leads** the day-to-day work leading to milestone completion.



The Operations Task Force assigns milestones to a Division first, and then the Division assigns the milestones to Units. This process is completed by the Operations Task Force because discussions need to take place in terms of all of the milestones related to a strategy. What is the relationship of each milestone to the rest of the milestones? Does the work of one milestone need to occur before work in another can start? What is the primary function or functions needed to complete this milestone? In what Division do the primary functions reside? Not all Divisions and Units will have milestones assigned to them, and this is okay. They will have a role in action planning or may be identified for collaboration on an action during the action planning process in Module C. The important thing to keep in mind is that the assigned Division and Unit align with the major functions of the milestone and it is not a forced fit.



Use the Milestone Assignment Chart (Attachment O) to document the team membership, schedule, and processes.

Next, the Operations Task Force with the Division Teams identify others from Units across the organization that need to be part of the action planning process. It could be that someone in another Unit has information that could inform the action development for a milestone. For example, the legal Unit may be needed to provide information about policy development for an accountable Division and lead Unit as they plan actions for a milestone that calls for policy revisions. It is important to note that needing others to plan actions may or may not lead to a need for collaboration on the actual work. It depends on the context, milestones, and actions identified.



Use the Action Planning Logistics Tool (Attachment P) to prepare for action planning.

Once all milestones have been assigned to Divisions, lead Units have been selected, and others have been identified to assist in action planning, a schedule, location, and logistics are identified so that action planning can take place in Module C.



Productivity Lens

It is recommended that action planning take place in groups based on milestones for each strategy. It is more effective to establish connections, the need for collaboration, and sequence of actions of one milestone in relation to other milestones up front during the planning process. For example, the Unit leads, Unit members, and any others identified for action planning of each milestone related to one strategy should work together or in the same proximity on action plans. That way action discussions can occur, and connections can be made related to the milestones, and strategies.





QUALITY CHECK

1. Division and Unit Teams have been identified as well as an ongoing process of communication, schedule of meetings and reporting, and decision-making processes. Yes No
 2. Accountable Divisions and lead Units have been identified for each milestone. Yes No
 3. Additional Units have been identified to assist in action planning for each milestone, as appropriate. Yes No
 4. A schedule, location, and logistics have been identified for action planning. Yes No
-



Strategic Communication Lens

Staff need to understand any functional, structural, and personnel changes and needs that are contemplated, and be given ample opportunities to make sense of the changes. This can best be accomplished in small, homogenous groups led by members of the Operations Task Force, as well as one-on-one discussions by those whose role or position is directly impacted. People also need to know and understand how the organization now defines its teams' roles, responsibilities, membership, and logistics. Finally, all need to be informed of the action planning logistics. There is a great deal of information to be shared and digested, and ample time needs to be allotted for this work before the next session.

Wrap-Up Module B and Prepare for Module C

Complete all communication activities and use any feedback to adjust action planning logistics. Include communication with personnel impacted by planned changes in organizational structure as a result of alignment with the strategic direction. Secure the locations, tools, and materials for action planning in Module C.



Attachment J: SEA or LEA Functional Analysis Tool

Use the codes below to identify SEA or LEA functions to carry out each strategy.

SEA or LEA Functions

Leadership

1. Advocacy (LAD)
2. Policy development and research (LPR)
3. Establishment and maintenance of partnerships (LPA)
4. Consultancy/advisement (LCA)
5. Communication (LC)

Management

1. Resource/facility management (MRM)
2. Finance management and procurement (MFM)
3. Cost benefit and cost effectiveness analysis (MCB)
4. Performance monitoring and reporting (MPR)
5. Compliance management and reporting (MCR)
6. Contract management (MCM)
7. Direct state management of programs (MDM)

Service to the Field (Districts or Schools)

1. Policy and practice guidance (SPG)
 2. Standards, licensure, program evaluation (SLP)
 3. Resource allocation (SRA)
 4. Continuous improvement support (SCI)
 5. Intervention (SI)
-



Using the codes on the previous page, identify SEA or LEA functions needed to successfully implement each strategy.

Goals (Number)	Strategies (short phrase)	SEA or LEA FUNCTIONS																
		LAD	LPR	LPA	LCA	LC	MRM	MFM	MCB	MPR	MCR	MCM	MDM	SPG	SLP	SRA	SCI	SI
Goal 1																		
Goal 2																		
Goal 3																		
Goal 4																		
Goal 5																		
Goal 6																		

Using the codes on page 62, identify SEA functions currently carried out by each Division.

Goals (Number)	Division	SEA FUNCTIONS																
		LAD	LPR	LPA	LCA	LC	MRM	MFM	MCB	MPR	MCR	MCM	MDM	SPG	SLP	SRA	SCI	SI
Goal 1																		
Goal 2																		
Goal 3																		
Goal 4																		
Goal 5																		
Goal 6																		

Compare current SEA functions with identified functions needed to implement the strategies. Are there any conflicts? Are there any gaps? How can the conflicts and/or gaps be addressed?

SEA or LEA Current Functions Identified Functions Conflicts/Gaps Possible Solutions

SEA or LEA Current Functions	Identified Functions	Conflicts/Gaps	Possible Solutions

Attachment K: Structural Analysis Tool

The task now is to revisit or create structural Units—Divisions, departments, branches, or whatever they are called within the SEA or LEA—to do the work. A structural Unit may be aligned with more than one function. Rather than forcing functions into existing Units, try naming Units to reflect the nature of the functions they perform. What is the work that they do?

SEA or LEA

Division: _____

Division Purpose: _____

FUNCTIONS <i>(the type of work to be done, e.g., communication, policy development, standards)</i>	RESPONSIBILITIES	CRITICAL COMPETENCIES <i>(list any key critical skills or competencies needed)</i>

UNIT/OFFICE	PURPOSE <i>(describe the purpose of the Unit)</i>	FUNCTIONS <i>(list the functions of the Unit)</i>	RESPONSIBILITIES <i>(Work)</i>	CRITICAL COMPETENCIES <i>(list any key critical competencies needed)</i>

Attachment L: Personnel Assignment Charts

Use the charts below to assign personnel and identify training or professional development needs. In **Role Status**, indicate if current staff are likely to fill this position—Yes or No.

Division	Structural Unit	Role (Position Title)	Role Status	Responsibilities	Competencies Required
Division A:	Unit A1:	Role A1a:			
		Role A1b:			
		Role A1c:			
	Unit A2:	Role A2a:			
		Role A2b:			
		Role A2c:			
	Unit A3:	Role A3a:			
		Role A3b:			
		Role A3c:			
Division B:	Unit B1:	Role B1a:			
		Role B1b:			
		Role B1c:			
	Unit B2:	Role B2a:			
		Role B2b:			
		Role B2c:			
	Unit B3:	Role B3a:			
		Role B3b:			
		Role B3c:			

Division	Structural Unit	Role (Position Title)	Role Status	Responsibilities	Competencies Required
Division C:	Unit C1:	Role C1a:			
		Role C1b:			
		Role C1c:			
	Unit C2:	Role C2a:			
		Role C2b:			
		Role C2c:			
	Unit C3:	Role C3a:			
		Role C3b:			
		Role C3c:			
Division D:	Unit D1:	Role D1a:			
		Role D1b:			
		Role D1c:			
	Unit D2:	Role D2a:			
		Role D2b:			
		Role D2c:			
	Unit D3:	Role D3a:			
		Role D3b:			
		Role D3c:			
Division E:	Unit E1:	Role E1a:			
		Role E1b:			
		Role E1c:			
	Unit E2:	Role E2a:			
		Role E2b:			
		Role E2c:			

Identify staff competency needs and possible training as well as professional development. Training is short, intensive, and skill specific, whereas professional development focuses on ongoing growth to build broad capacity of staff.

Competency Gaps/Needs	Training (to acquire specific skills)	Professional Development (ongoing growth to build capacity)

Attachment M: Funding Sources for Roles (Positions) Tool

For each position, designate the funding source and the percentage of the position’s compensation that is contributed by that source.

Division	Structural Unit	Role (Position Title)	Source and %	Source and %	Source and %	Source and %
Division A:	Unit A1:	Role A1a:				
		Role A1b:				
		Role A1c:				
	Unit A2:	Role A2a:				
		Role A2b:				
		Role A2c:				
	Unit A3:	Role A3a:				
		Role A3b:				
		Role A3c:				
Division B:	Unit B1:	Role B1a:				
		Role B1b:				
		Role B1c:				
	Unit B2:	Role B2a:				
		Role B2b:				
		Role B2c:				
	Unit B3:	Role B3a:				
		Role B3b:				
		Role B3c:				

Division	Structural Unit	Role (Position Title)	Source and %	Source and %	Source and %	Source and %
Division C:	Unit C1:	Role C1a:				
		Role C1b:				
		Role C1c:				
	Unit C2:	Role C2a:				
		Role C2b:				
		Role C2c:				
	Unit C3:	Role C3a:				
		Role C3b:				
		Role C3c:				
Division D:	Unit D1:	Role D1a:				
		Role D1b:				
		Role D1c:				
	Unit D2:	Role D2a:				
		Role D2b:				
		Role D2c:				
	Unit D3:	Role D3a:				
		Role D3b:				
		Role D3c:				
Division E:	Unit E1:	Role E1a:				
		Role E1b:				
		Role E1c:				
	Unit E2:	Role E2a:				
		Role E2b:				
		Role E2c:				

Attachment N: Coordination Tool

Leadership Team

Members	Role	Communication Process	Meeting Schedule	Decision-Making Process

Division Teams

Members	Role	Communication Process	Meeting Schedule	Decision-Making Process

Attachment O: Milestone Assignment Chart

Use the charts below to document accountable Divisions, lead Units, and other Units that may be needed for action planning for each milestone related to a strategy and goal.

Goal	Strategy	Milestone	Accountable Division	Lead Unit	Others Needed for Action Planning
YEAR 1					
Goal 1	Strategy 1.1	Milestone 1.1.1			
		Milestone 1.1.2			
		Milestone 1.1.3			
		Milestone 1.1.4			
		Milestone 1.1.5			
	Strategy 1.2	Milestone 1.2.1			
		Milestone 1.2.2			
		Milestone 1.2.3			
		Milestone 1.2.4			
		Milestone 1.2.5			
	Strategy 1.3	Milestone 1.3.1			
		Milestone 1.3.2			
		Milestone 1.3.3			
		Milestone 1.3.4			
		Milestone 1.3.5			

Attachment P: Action Planning Logistics Tool

Date and Times	Location	Goal Strategy Milestone #	Teams	Facilitators	Materials

SPM Module C: Design Actionable Work

Estimated Completion Time: 8 to 12 hours total in two or more sessions

Participants: the CSSO or Superintendent, Leadership Team, Division Teams, Unit Teams

Agenda for Module C: Purpose and Direction (Estimated Times)

Session 1	
Recap Module B	½ hour
Step 10: Align Current Work with Goals, Strategies and Milestones	1 ½ hours
Step 11: Define Collaboration Process	1 ½ hours
Session 2	
Step 12: Engage Personnel in Action Planning	8 hours
Wrap-up Module C and Prepare for Module D	½ hour

In Module C of Strategic Performance Management, the Accountable Divisions, responsible Unit Teams, and any designated others create actions to complete each milestone at the end of the year.

Module C Session 1

Step 10. Align Current Work with Goals, Strategies, and Milestones

Before action planning begins, the Design Team (Division and Unit leaders) identifies current work that supports the goals, strategies, and milestones. In most cases, there are many initiatives, projects, and routines that personnel are already doing that support the newly defined strategic direction of the agency. The aligned current work will then be included as actions under the appropriate milestones. This task requires that the team have deep understanding of what each goal, strategy, and milestone means, so the Design Team should refer back to the goal and strategy explanations created during Module A. The glossary created in Module A can also help clarify or guide any discussions regarding unfamiliar terms or language. The deeper the understanding of the goals, strategies, and milestones, the more accurate the alignment of current work will be.

There may be an initiative, project, or routine that just does not fit under any milestone. It is possible that the milestone has been assigned to the wrong unit. Is this work required? If the answer to this question is “yes,” then there may be a need to add a milestone. The Design Team notes issues such as this during the discussion and recommends actions to address the lack of alignment.



Attachment Q:
Alignment of Current Work tool can be used to capture current work of the organization that supports its goals and strategies as well as any initiatives, projects, or routines that do not fit.





An agency performs many functions that do not seem to directly relate to student outcomes, as expressed in the agency’s goals. For this reason, some agencies add a goal to capture such activities as finance reports, facilities maintenance, nutrition services, and compliance work.



Productivity Lens

As everyone in the organization gains deeper knowledge of the goals, strategies, milestones and what they mean to current and future work, questions and issues arise. For one organization, current work included significant effort to prepare a report that seemed to no longer have a purpose. A productivity lens led them to examine this further. Was the report needed? Given the considerable time and manpower invested in the report, was there a better way to gather and use the information?

The issue of alignment of current work may come up again during action planning and action implementation. The performance management process is recursive, and the reporting, reviewing, and adjusting cycle developed in Module D will help address these issues as they rise to the surface during the implementation.



Strategic Communication Lens

Ongoing communication of the alignment of work to milestones helps all personnel build connections and meaning to their day-to-day activity and the organization’s vision, mission, and goals. Providing time for discussions will help the organization’s performance culture grow.



QUALITY CHECK

1. Current work has been aligned to goals, strategies, and milestones. Yes No
 2. Any lack of alignment has been identified and solutions created. Yes No
 3. Plans for ongoing communication of alignment and opportunities to capture pertinent examples of alignment, meaning, and learning are in place. Yes No
-



Step 11: Establish Collaboration Process

Highly effective, innovative organizations are those in which personnel collaborate to learn, create, and solve problems. Collaboration is time intensive, and the process, which includes the development of strong relationships between two or more entities, evolves over time through the development of organization, human, and resource structures. Collaboration occurs when the parties have a common goal or task, but no one person, group, or organization has all that is needed to accomplish the goal or task.



**Attachment R:
Collaboration**
Process can be used to capture the organization's definition of collaboration and process to create collaborative teams.

Collaboration is not always needed, and there are times when groups collaborate for the sake of collaboration because they were told or mandated to do so. People tend to over-identify the need for collaboration, resulting in misuse of resources (especially human capital), dysfunctional teams, or broken relationships.



Productivity Lens

Team dynamics can negatively impact the effectiveness of collaboration and impede productivity. The collaborating team must take full ownership of the work as well as the process. This includes ownership of problems with team dynamics. There needs to be a clear expectation that high performance and work completion is each member's responsibility. If a member is not fully contributing to the work required to meet the goals, complete actions, or produce high-quality outputs, then the team must also own the problem and commit to the resolution. The team must acknowledge when external support is needed to resolve conflict.



Innovation Lens

Does the process encourage collective engagement in sharing knowledge, learning, creative problem-solving, and risk-taking? Does the process allow for internal and external exchange of information to generate innovative possibilities?



Strategic Communication Lens

Communicating the shared definition of collaboration and the process developed by the Design Team to engage in collaborative work needs to occur prior to the next step, action planning. Personnel engage in discussions about what effective collaboration might look like, what it means to their role, responsibilities, and relationships, and how it can be utilized to improve productivity, innovation, and results. Individual, small group, and large group learning and sharing occurs within and across divisions and units to build understanding, recognize expectations, and prepare for upcoming opportunities for collaboration.





QUALITY CHECK

1. Collaboration has been defined and agreement has been reached on what it will look like and criteria for determining when it is needed. _____ Yes _____ No
2. Procedures for creating and terminating collaboration have been established. _____ Yes _____ No

Step 12. Engage Personnel in Action Planning

Now, in Module C, with the reservoir of information developed through sessions in Modules A and B, each accountable Division, lead Unit, Unit members, and others identified for action planning for a specific milestone work together and develop an action plan to complete the assigned milestone by the end of the year. An action plan details the actions, timeline, resources, personnel, outputs, and supports needed to accomplish the milestone. Each team engages as many of the people who will be doing the work as possible in the action planning. This creates ownership of not only the actions, but the milestones and strategies themselves. Ownership fosters commitment and productivity.

Action planning can take more than 1 day, especially if there are a number of milestones that need to be planned. Therefore, an additional session may be needed.

Actions

Actions are the incremental steps needed to meet the milestone, including the start date and anticipated end date (**timeline**) for completion of each action. An action takes more than a month to complete, but less than a year. There is no set number of actions needed to have a high-quality plan, however, if a milestone only has a couple of actions, the planning may not be detailed enough. If a milestone has more than a dozen actions, the planning may be too detailed. Actions should start with an action verb and generally describe the work to be completed. If personnel are not used to action planning, the team may want to generate a list of steps and review the list identifying any that should be combined, eliminating redundancy, ordering the steps, and turning the steps into actions.



Use the Action Planning Template (Attachment S) to plan the work for each annual milestone.

Resources and Budget

Resources and **budgets** are identified for each action. This is not a detailed budget, but a general representation of funds needed beyond the current or anticipated budget for the upcoming year. For example, if a media spot is needed, the funds may not have been included in the annual budget.



The estimated amount is noted here and discussed with the Division leader and others, as appropriate, when reviewing the final plan.

Resources are those outside of the organization, such as a university, business, or non-profit organization, which are needed to complete an action. Having resources included in an action plan is a reminder to pursue resources needed.

Outputs

Outputs are the tangible items created as a result of the completed action. Outputs could be documents, web postings, products, etc. They should not be confused with outcomes, which are the milestones themselves. Outputs provide evidence that the action was completed and contribute to the milestone and strategy. If the team is having difficulty identifying an output, they may want to review the action to determine if it is an action or minute step of a larger action. Is it stated as an action? Does the action support the milestone? The action statement may need to be revised.

Personnel

Personnel are specified as *Responsible Person* and *Supports*. A person within the lead Unit is identified as the *Responsible Person* for an action. The responsible person oversees the day-to-day action work of the team, monitors progress in completing the action, and provides updates to the Unit Leader so that monthly status reports can be completed and shared with the accountable Division leader. The responsible person does not do all of the action work but contributes to the work as a team member while also facilitating and supporting other team members in completing the action. *Supports* are those people within the Unit Team who contribute to completing the action by either completing the work or supporting others in completing the work.

Notes

A Unit Leader might want to **note** the connection of an action with another milestone or strategy. Perhaps the action cannot be started until another group completes their actions. Document any additional information that would assist others in understanding the action work, possible challenges, or needs.

Collaboration is also identified during action planning. The team identifies needed collaborators to complete the work. It is important to note that collaboration is not always needed, and there are times when we find groups collaborating just for the sake of collaboration because they were told to do so. People tend to over-identify the need for collaboration, which may result in misuse of resources, especially human capital, dysfunctional teams, or broken relationships. Collaboration is complex and occurs when the parties have a common goal or task, but no one person, group, or organization has all that is needed to accomplish the goal or task. It is time intensive and requires time working together. It is not a one-shot occurrence (Boswell & Layland, 2012). Remember, not all actions require collaboration!





Goal: All students and their families have opportunities to choose schools that provide high-quality, unique education opportunities to meet student needs and aspirations.

Strategy: If we deploy a strategic communications plan, then stakeholders will have increased knowledge of schools and their programs and performance, and all students and their families have opportunities to choose schools that provide high-quality, unique education opportunities to meet student needs and aspirations.

Milestone: A robust set of policies and protocols for communication are in place.

Actions:

1. Develop internal communications and documentation procedures.
2. Develop protocols for external communications.
3. Develop social media policies, protocols, and an internal team to implement the social media policies, protocols, and activities.

Goal: Each student will develop and apply personal competencies that promote learning and success in life.

Strategy: If we provide professional learning on the development of personal competencies and recognize excellent teachers and leaders in integrating personal competencies into learning, then educators will support their colleagues in integrating personal competencies in student-focused learning systems, and students will develop and apply personal competencies that promote learning and success in life.

Milestone: Professional learning opportunities and resources to educators to deepen their understanding of personal competencies have been provided.

Actions:

1. Create a tool kit to introduce and explain personal competencies.
2. Create a Q&A document or fact sheet that concerns personal competencies.
3. Identify existing supported PD to be updated with personal competencies content and resources.
4. Provide training and access to resources concerning personal competencies for regional centers to enhance or guide districts in the implementation process.





QUALITY CHECK

1. An action plan is developed for each milestone. Yes No
 2. All plans include actions, timeline, inputs, and outputs. Yes No
 3. Action plans are rigorous but attainable and support the completion of the milestones. Yes No
 4. The combined completion of the actions will result in completion of the milestone. Yes No
-



Strategic Communication Lens

If the SEA or LEA has not done so, now is the time for a rollout of their Strategic Direction. The rollout would consist of the vision, mission, values, goals, strategies, and milestones. Some of the stakeholder input may have informed actions and this can also be shared; however, the action plans are not typically shared as these represent the incremental internal work to implement the strategies. Actions are adjusted frequently based on progress, whereas milestones are set for at least a year, and strategies for longer.



Attachment Q: Alignment of Current Work

Use the charts below to document accountable divisions, lead units and other units that may be needed for action planning for each milestone related to a strategy and goal.

Goal	Strategy	Milestone	Current Work Aligned to or Supporting Milestone	Current Units Engaged in the Work	Current Personnel Engaged in the Work
YEAR 1					
Goal 1	Strategy 1.1	Milestone 1.1.1			
		Milestone 1.1.2			
		Milestone 1.1.3			
		Milestone 1.1.4			
		Milestone 1.1.5			
	Strategy 1.2	Milestone 1.2.1			
		Milestone 1.2.2			
		Milestone 1.2.3			
	Strategy 1.3	Milestone 1.3.1			
		Milestone 1.3.2			
		Milestone 1.3.3			
Current Work not aligned to goals, strategies, milestones		Is work required? Yes or No	Action to address lack of alignment		

Attachment R: Collaboration Process

Use this chart to document the agency's collaboration process to create Collaboration Teams when needed.

Common Meaning of Collaboration	Examples of Collaboration	Conditions Indicating Need for Collaboration	Process to Create Collaborative Teams

Attachment S: Action Planning Template

Use the template below for action planning.

Goal:

Strategy:

Milestone:

ACTION: 1

Start Month:

End Month:

Budget:

Resources (one or more):

Outputs:

Personnel

Responsible Person (in Unit):

Supports (one or more):

Notes:

SPM Module D: Implement a Performance and Innovation Cycle

Estimated Completion Time: 4 hours initially then ongoing

Participants: the CSSO or Superintendent, Division Teams, Unit Teams, and Measures Team (Identified in Module A).

In Module D of Strategic Performance Management, the Leadership Team (1) creates a performance cycle with monthly, quarterly, and annual reporting; (2) applies an innovation lens to build conditions and encourage innovation, and practices become routine; (3) establishes schedule and meeting norms for reviewing ongoing progress data and making needed adjustments.

Agenda for Module D: Implement a Performance and Innovation Cycle (Estimated Times)

Session 1 (4 hours)	
Step 11. Create Performance and Innovation Cycle	3 hours
Session 2 (ongoing)	
Recap of Session 1	15 minutes
Step 12. Tell the Story	2 hours

Module D Session 1

Agenda for Module D: Implement a Performance and Innovation Cycle (Estimated Times)

Agenda Item	Time
Recap Module C	15 minutes
Step 11. Create Performance and Innovation Cycle	4 hours
	2 hours

Step 13. Create Performance and Innovation Cycle

A performance loop is created and implemented as part of a SPM process. The organization's Leadership Team and each Division Team manage, monitor, and adjust the work on a continuous basis. Data are used to identify issues, and teams work together to eliminate barriers and address challenges in meeting action plan timelines. Ongoing multi-way communication occurs to provide feedback and gather input from personnel at multiple levels. The feedback is used to improve processes, so productivity is increased, and innovation is encouraged and supported. It is critical that the performance loop be created and implemented with rigor throughout the process, or performance management will fall by the wayside. Status and performance reporting and frequencies are listed below, however, the frequencies may be adjusted based on the context and need. At a minimum, monthly status reporting by Unit Leaders and quarterly performance reporting should be completed.



Monthly Status Reporting

Every month, each lead Unit, Unit members, and collaborators, if identified, meet to review progress on their actions, report status, and adjust as needed. Unit Teams review progress and collaborations, make adjustments in people and resources, as needed, and identify any recommendations for the Division Team and leadership.

Quarterly Division Team Performance Review

Each quarter, the Leadership Team and each Division Team meet to review progress of each Unit relative to its action plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.

Annual Leadership Team Performance Review

At least once a year, the Leadership Team reviews performance data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year, if needed, and adds performance measures and milestones for the following year.

Some teams may need to meet more frequently, especially in the beginning. As actions are implemented in the first month or two, people are gaining deeper understanding of the work, connections with other work, accountability, and team dynamics. Unit Teams may find that the initial collaborators really represent those to keep informed. Adjustments can be made as actions continue to be implemented, however, feedback and progress monitoring should be used to determine the needed adjustments.

It is also recommended that the accountable Division leaders meet with the Unit Leaders the day before or right after the first status report. This is a good time to use the status report information to coach the Unit Leaders in assisting the continued work or to address any initial problems. If people are not used to the accountability and successfully addressing questions, concerns and problems will be critical in building trust and credibility with the process.

As work progresses beyond the first year, the performance loop continues to complete milestones, adjust the next year's milestones and actions based on progress, and create more milestones and action plans to complete strategies. As strategies are accomplished, others are developed to continue progress in moving closer to the overall goals. An example of a performance loop is provided in Figure 11.



Figure 11. Performance and Innovation Cycle



QUALITY CHECK

1. A performance cycle has been developed. _____ Yes _____ No
2. The performance cycle supports monitoring and reporting progress on actions and milestones. _____ Yes _____ No
3. The performance cycle supports the creation of new milestones and actions for two years, and beyond. _____ Yes _____ No
4. The performance cycle includes quarterly and annual performance reviews. _____ Yes _____ No
5. Performance measures have been reviewed, prioritized, and adjusted as needed. _____ Yes _____ No





Strategic Communication Lens

All Division and Unit Leaders need to understand their roles in the performance cycle and the importance of regularly reporting progress. Provide time for them to understand and embrace the accountability piece of the performance cycle. Provide opportunities for them to discuss the reporting and use of data with their team members.

In addition to reporting progress on the plan, progress on the communications strategy and activities need to be reported. Each communication activity needs to be evaluated. Areas of focus could be communication between executive-level and Division leaders (if they are different levels), between Division Team and Unit Team, or between Unit Leader and Unit Team Members. Tools to evaluate modes of communication (e.g., internal agency e-mail use, website, newsletter) might include surveys, questionnaires, or focus groups. The same methods could be used with external stakeholders and efforts to communicate and engage them in supporting and implementing the plan. Finally, the Leadership Team along with the Measures Team, “should consider how often the plan and metrics around the plan will be revised to make mid-course corrections, and might want to elicit support from any Division in the SEA involved in the development of evaluation tools” (Zavadsky, Berry, & Savage, 2017, p. 76).



Module D Session 2

Agenda for Module D: Implement a Performance and Innovation Cycle (Estimated Times)

Agenda Item	Time
Recap Session 1	
Step 12. Tell the Story of Progress Ongoing	3 hours

Recap Session 1

Recap Session 1 and verify that a performance cycle is in place and people are reporting progress as expected. If reporting is not occurring regularly, there will be insufficient data to tell the organization’s performance story. Address any issues as soon as they arise to ensure continuity and integrity to the cycle.

Step 14. Tell the Story of Progress

At the end of each year, the organization reports on its progress on implementing the strategies to move closer to actualizing its goal. The reporting is more than bottom line results. It is a story that tells about the work of the organization, its short-term impact, and adjustments to be made for the next year to positively impact its clients. For an SEA or LEA, the story not only includes student performance, but also the work of the organization and its impact on educators, schools, and districts. It focuses on the **If we... then ...** parts of the strategy statements. Therefore, it is important for leadership to understand the relationship between the goal performance measures, the strategy performance measures, and the action outputs, and how together they form the data to tell the story at the end of each year.

Once action plans are in place, the Leadership Team meets to review goal and strategy performance measures and discusses the story that needs to be told to its various stakeholders. Have they identified the right measures to tell the needed stories at the end of each year? Are there any adjustments that need to be made on the measures or collection and reporting? Are the data readily available? How is it collected and by whom? How is it reported?

In some cases, the goal or strategy performance measure may not be currently available or may require the creation of a measurement tool. What needs to happen to accurately measure progress? How will it be collected and by whom? How should it be reported?



Productivity Lens

Use a productivity lens when determining how to collect data on the new measures. What is the most efficient way to gather the data? What is the most effective means to report the data? What measures should be high priority? How can the team focus on the priority measures making them readily available the first year while the Measures Team are building the others?





Strategic Communication Lens

Zavadsky, Berry, & Savage provide examples of a score card for the communications part of the work. We have included it here as a reference for those building an annual report. For more information visit <https://www2.ed.gov/about/inits/ed/implementation-support-unit/tech-assist/communications-scorecard-march-2014.pdf#Page=1>

Communications Scorecard – March 2014			
CDE Goals: Start strong, read by third grade, meet or exceed standards, and graduate ready			SUCCESS FOR ALL STUDENTS
Strategy	Tactic	Metrics	Trends
General CDE Communications Support districts as they communicate about education topics	→ Create communications tools	→ 53.6% decrease in traffic to superintendent toolkit page this month; most accessed tools on assessment → Fourth month of increase to fact sheet page; most accessed fact sheets on assessment and standards	→ While traffic to the superintendent and principal tool page varies from month to month, traffic to fact sheet page continues to have a steady increase each month
	→ Publish relevant, useful and timely articles in The Scoop and CDE Update	→ The Scoop's weekly open rates are above the industry standard of 25.69%; weekly click rates vary greatly → The Scoop's subscription rates saw a slight decrease this month	→ The Scoop's open rates remain steady each week while the click rates vary greatly depending on content; most clicked on content continues to be trainings, conferences and professional development opportunities
Social Media Engage in two-way conversations, build brand awareness and increase outreach efforts	→ Leverage social media ambassadors to create more positive, online voice around education in Colorado	→ Second highest month of engagement rates on social media due to activating CDE social media ambassadors, COSPRA social media group and other partners by e-mailing suggested tweets to elevate the online conversation	→ Compared to one year ago, the social media engagement rates have increased by more than 113%; we continue to see an upward trend in engagement, followers and likes each month
	→ Increase opportunities for teachers to talk among peers about education reform	→ Hosted second #COedchat (monthly education chat on Twitter) on the topic of digital literacy. 180 tweets were sent by 17 participants during the live event.	→ The #COedchat is trending similar to a very successful statewide education Twitter chat in Ohio. Once more chats are held, we will have more trends to report.
Educator Effectiveness Increase educator support of educator evaluation requirements	→ Publish relevant, useful and timely articles in Educator Effectiveness e-Newsletter	→ Monthly subscription rates increased this month → Monthly open and click rates decreased slightly	→ The Educator Effectiveness click rates and open rates have remained relatively stable over the past several months
Standards Increase educator knowledge of standards	→ Increase teacher voice in supporting standards	→ Added all of the educator involved in the District Sample Curriculum Project to teacher voice database	→ While we continue to encourage educators to talk about how standards are supporting learning in the classroom, the sentiment of the online conversation has decreased dramatically in the last few months and now trends negative
Assessment Increase educator knowledge of assessments	→ Provide timely, targeted information and tools	→ Additional assessment resources on PARCC field tests were added to communications tools this month	→ For the third month in a row, the assessment fact sheets and superintendent tools were the most accessed

(Zavadsky, Berry, & Savage, 2017, p. 86)



Attachment T: Performance Measures Chart

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
Goal and strategy	Performance measure & source	Are data available?	If yes, enter the baseline data and year.	How is/will it be collected?	Who reports/will report it?	If no, what needs to happen to get the data?	Questions/Comments
Goal 1		<input type="checkbox"/> Yes <input type="checkbox"/> No					
		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 1: Strategy 1		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 1: Strategy 2		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 1: Strategy 3		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 2		<input type="checkbox"/> Yes <input type="checkbox"/> No					
		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 2: Strategy 1		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 2: Strategy 2		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 2: Strategy 3		<input type="checkbox"/> Yes <input type="checkbox"/> No					
Goal 2: Strategy 4		<input type="checkbox"/> Yes <input type="checkbox"/> No					

Conclusion

An SEA or LEA, whether large or small, is responsible for a complex system of work, responsive to a host of stakeholders, and charged with advocating for a multitude of clients. Much of the work is influenced or set by external entities, from the federal government to the state legislature, various boards, and even political figures. Other responsibilities of the agency arise from its personnel's estimation of what is needed to best serve clients.

The SPM process requires a considerable amount of time from busy people, but this time devoted to organizing the people and their work returns efficiencies in time saved down the road. It puts in place an ongoing process of Units, teams, and collaborators efficiently managing the work and finding better ways to achieve organizational ends.

SPM is a way to infuse the routine fulfillment of duties with a regard for the agency's vision to create a dynamic organization in which innovation thrives.

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Glossary

The glossary provides definitions to terminology within the context of an organization and strategic performance management.

Accountable Division or person	A Division or person whose job is to ensure thorough completion of a milestone. It is the one where the “buck stops.” It may not be the person or persons who do the work, but the ones who answer to leadership for the work accomplished.
Action	An incremental step in completing a milestone. Actions take more than one month but less than a year to complete.
Annual Leadership Team Performance Review	An annual meeting of the leaders of all Divisions within the organization to review performance data relative to milestones, strategies, and goals.
Baseline	As part of a performance measure, baseline indicates the current level of indicator performance related to a goal or strategy.
Competency	The set of knowledge and skills necessary to successfully perform a functional role.
Division	A group of structural Units that are similar in function.
Division Team	The Division leader and leaders of each Unit in the Division.
Emergent Strategies	Strategies that enable an organization to adapt, innovate, and respond to changes and differing contexts. They are formed and executed by groups in a bottom-up approach, rather than top-down, and are based on patterns and changing variables.
Function	A type of work needed to implement a strategy.
Functional Analysis	Process to identify all functions needed to implement strategies to accomplish the organization’s goals.
Goal	An ambitious, usually aspirational, outcome of the organization’s pursuit of its vision and mission. Goals represent the ultimate, desired state of the organization in relation to its clients and may not be restricted by time.



Indicator	The measurement element of a performance measure used to determine progress in implementing a goal or strategy.
Innovation	A deviation from a standard practice that achieves greater outcomes than standard practice given equal (or lesser) amounts of time and resources.
Intentional Strategies	Strategies often formed and executed in a top-down approach and are typically related to routine, mandated work of an organization.
Leadership Team	A team comprised of the leaders of each Division in the organization, which is comprised of similarly functioning Units and is charged with maintaining coordination and communication within and across organizational Divisions and Units.
Milestone	An incremental step in implementing a strategy, usually a year in duration. A milestone may also be referred to as an objective and is typically non-quantitative and descriptive.
Mission	A statement of an organization's purpose. It describes what the organization does and for whom to realize its vision.
Monthly Unit Team Performance Review	Each month each Unit meets to review progress with action plans the Unit is involved in and make adjustments in staff assignments and recommendations for adjustment in each action plan.
Performance Cycle	A reiterative process by which actions, milestones, and strategies are monitored; progress is reviewed, shared, and discussed at various levels; adjustments are made; and new milestones and actions are created as others are completed year to year.
Performance Management	The process by which accountable teams routinely examine data on progress toward milestones, strategies, and goals, and apply their ingenuity to achieve results (or exceed expectations) most productively.
Performance Measure	Means by which a goal or strategy is measured and includes indicators, data sources, baselines, and targets. Indicators are the measurements used to determine progress in implementing the strategy. The baseline performance is set for each indicator at the beginning of the time period for the plan, and annual targets are established for at least two years.



Productivity	Working with optimum efficiency and effectiveness to complete actions, milestones, and strategies, and more closely approximate goals.
Productivity Lens	A lens of efficiency, effectiveness, alternative routes, and high-quality outputs that when applied, results in decision-making to improve the organization's productivity.
Quarterly Team Performance Review	Each quarter, the Division Team and the Unit Team meet to review the progress of each Unit relative to its action plans and the annual milestones. Adjustments are made to actions and, if needed, to milestones in light of data.
Responsible Person or Unit	A person or Unit that does the actual work and is responsible for the specific actions they are assigned to complete.
SPM	Strategic Performance Management
Strategic Performance Management	A multistep process that combines <i>strategic planning</i> with <i>performance management</i> by creating an organizational structure based on strategies and functions, aligning resources with the structure, addressing human capital and productivity, and establishing performance measures.
Strategic Planning	Planning that involves the allocation of resources to programmed activities calculated to achieve a set of goals in a dynamic, competitive environment.
Strategies	Describe what an organization will do to move closer to achieving a goal. Strategies tell how an organization gets from "here" (the current state) to "there" (the ideal state represented by the vision).
Structure	The way the Divisions and Units are organized within the agency or organization.
Structural Analysis	Process by which a Leadership Team looks at the functions needed to implement the organization's strategies and creates or redefines structural Units (e.g., Divisions, departments, branches, etc.) to do the work.
Supporters	People in lead Units that provide resources and supports to get work completed, rather than doing the work themselves.



SWOT	Process by which an organization examines its strengths, weaknesses, opportunities, and threats to identify strategies that, when implemented, will move the organization closer to achieving its goals.
Theory of Action	A common form for a theory of action is “When we do this, this will result.” It is a linkage of the strategies to their outcomes in the goals.
Unit	Structures within the organization that carry out a specific function to complete milestones to effectively implement identified strategies.
Unit Team	The Unit Leader and all members of the Unit.
Values	Beliefs that provide a foundation of an organization’s ethics or expressions of the ethos.
Vision	A statement portraying an organization in its ideal form, illustrating an organization at its best and the greater good it serves.



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