MANAGING PERFORMANCE STRATEGICALLY
in Education Agencies

A GUIDEBOOK FOR

Strategic Performance Management (SPM)

ALLISON LAYLAND, Ph.D.
SAM REDDING, Ed.D.

Strategic Performance Management
SPM
Purpose to Practice®

Editing: Lori Thomas & Grace Sheley
Design: Emily Sheley

Allison Layland, Ph.D.

ADDRESS:	121 N KICKAPOO, LINCOLN, IL 62656
CELL PHONE:	1-859-533-5595
ADI TOLL FREE:	1-800-759-1495
ADI PHONE:	217-732-6462 EXT. 19
ADI FAX:	1-217-732-3696
EMAIL:	ALAYLAND@ADI.ORG

WWW.ADI.ORG

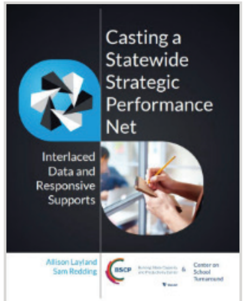
MANAGING PERFORMANCE STRATEGICALLY
in Education Agencies

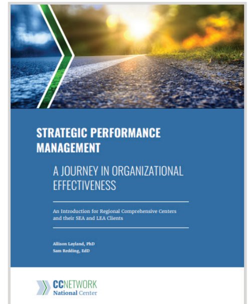
A GUIDEBOOK FOR
Strategic Performance Management (SPM)

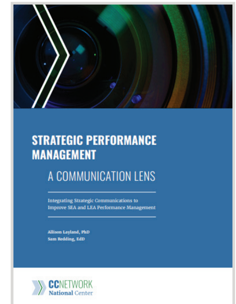
ALLISON LAYLAND, Ph.D.
SAM REDDING, Ed.D.

This guidebook describes Strategic Performance Management (SPM), including lessons learned through its implementation in several education organizations. SPM 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.

Managing Performance Strategically in Education Agencies is one of a series of guidebooks on Strategic Performance Management (SPM).







- *Strategic Performance Management: Organizing People and Their Work in the LEA or SEA of the Future* (Redding & Layland, 2015) – This manual describes the process by which SPM is installed agency-wide in a SEA.
- *Casting a Statewide Strategic Performance Net: Interlaced Data and Responsive Supports* (Layland & Redding, 2017) – Casting shows how SPM methods guide a statewide system of support for district and school improvement.
- *Strategic Performance for Your Branch: Organizing People and their Work in an LEA or SEA Division or Strand* (Redding & Layland, 2017) – This publication illustrates how an agency division (LEA or SEA), or a team responsible for a strand of work that runs across divisions can apply the SPM process.
- *Strategic Performance Management: A Journey in Organizational Effectiveness* (Layland & Redding, 2019) – This document provides a summary of successes and lessons learned throughout the last four years in working with state and local education agencies.
- *Strategic Performance Management: A Communication Lens* (Layland & Redding, 2020) – This guidebook integrates strategic communication practices throughout the SPM process to strengthen external and internal buy-in, collaboration, implementation, progress reporting, and using data to adjust for better performance.

SPM was first developed by Dr. Sam Redding and Dr. Allison Layland for the Building State Capacity and Productivity (BSCP) Center at Westat, one of seven national content centers then supported under the U.S. Department of Education's Comprehensive Centers program. From 2012 through 2019, the BSCP Center assisted 15 Regional Comprehensive Centers (RCCs) and the state education agencies (SEAs) throughout the country to meet the daunting challenge of improving student performance with diminishing resources. The BSCP Center developed publications and tools on Strategic Performance Management (SPM) and provided technical assistance to a number of state education agencies to implement SPM: (1) agency-wide; (2) in a division or strand of work; or (3) across SEAs, LEAs, and schools in a Multi-Agency System (MAS).

This work has been expanded through the Academic Development Institute (ADI), a nonprofit, tax-exempt corporation founded in 1984 to develop and provide transformational services to improve individual and organizational performance to enhance children's academic and personal development.

More information and resources about Strategic Performance Management can be accessed on the ADI website at www.adi.org.

ABOUT THE **AUTHORS**

ALLISON LAYLAND, Ph.D.

Dr. Layland is currently the Chief Education Strategist for the Academic Development Institute (ADI) and served as a consultant for the Building State Capacity and Productivity Center (BSCP), providing technical assistance to state education agencies, districts, and schools in areas related to the Elementary and Secondary Education Act. She has consulted with more than 11 state education agencies on effective implementation of the Individuals with Disabilities Education Act and has more than 20 years of teaching and leadership experience in general and special education at the school, district, and state levels. As an adjunct professor, Dr. Layland facilitated special education teacher preparation at the undergraduate and graduate levels. She has also worked at the corporate level in the telecommunications industry as a Communications Director and has a number of publications on strategic performance management. Dr. Layland received a bachelor's degree in elementary and special education from Mount Saint Mary College in New York, a master's degree in special education from James Madison University in Virginia, and a doctorate in education administration and policy studies from the University of Denver.

SAM REDDING, Ed.D.

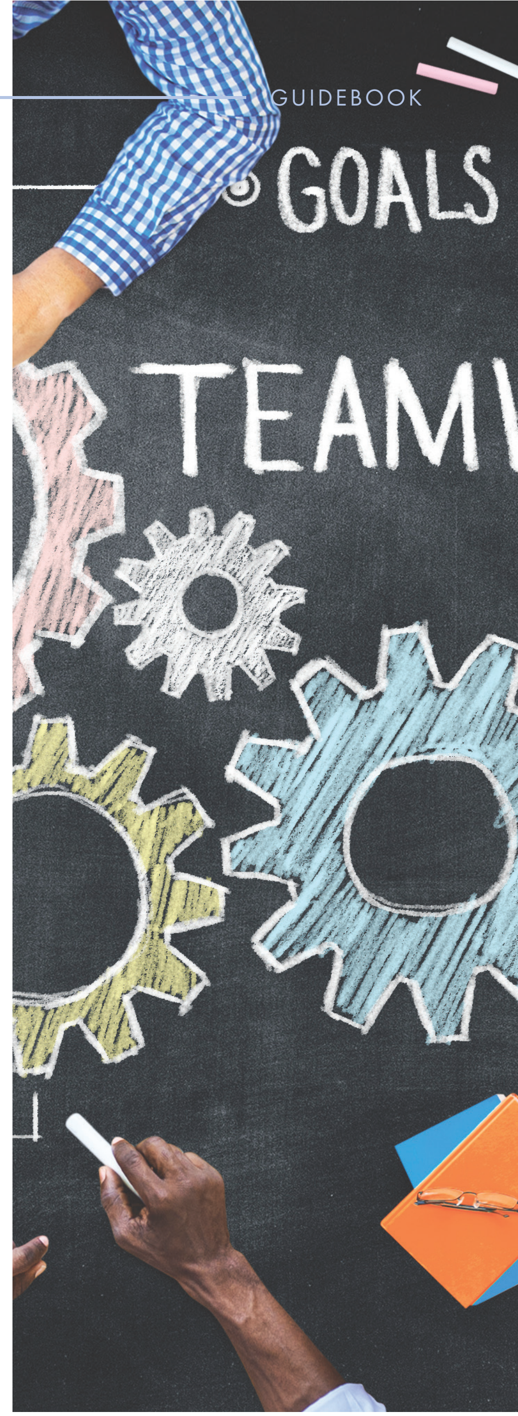
Dr. Redding is the former Executive Director of ADI, now serving as its Chief Learning Scientist. He was a consultant with the BSCP Center at Westat. Dr. Redding also served as the Associate Director of the Center on School Turnaround and as Senior Learning Specialist for the Center on Innovations in Learning. A former high school teacher and college dean, Dr. Redding has published in the areas of statewide systems of support, performance management, school improvement and turnaround, personalized learning and personal competencies, change leadership, innovations in education, and family and community engagement. He has consulted with more than 30 state education agencies and many districts and schools across the country. As a Senior Research Associate at the Laboratory for Student Success, he headed the Lab's research and implementation of comprehensive school reform. He holds master's degrees in psychology and English and a doctorate in educational administration from Illinois State University, and is a graduate of Harvard's Institute for Education Management.

ACKNOWLEDGEMENTS

We released our first manual on Strategic Performance Management (SPM) in the fall of 2015. We learned a great deal implementing SPM over the years since and wish to express our sincere thanks to the commissioners, leaders, and staff in the following education agencies, and the Regional Comprehensive Centers that then served them, for being the first to boldly embark on the SPM journey to improved performance:

- The Arkansas Department of Education
- The Bureau of Indian Education
- The Commonwealth of the Mariana Islands Public School System
- The District and School Effectiveness Office of the Oregon Department of Education
- The Hawaii State Public Charter School Commission
- 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

We are also grateful for the editing of Lori Thomas and Grace Sheley and for the design work of Emily Sheley.



ABOUT **STRATEGIC PERFORMANCE MANAGEMENT**

Strategic Performance Management (SPM) links strategic planning with performance management into one, seamless process, combining systematic focus with opportunities to challenge the routine and discover more productive avenues to success. SPM connects goals and strategies with performance measures to gauge progress and inform course correction. Special consideration is given to communication, productivity, and innovation. SPM engages every employee in performance-guided, satisfying work connected to the agency's vision and mission. Personnel strengthen coordination and collaboration through teams that plan, track, and revise their own work aimed at the agency's goals.

The SPM Process through which an agency implements management processes aligned to their goals and strategies is organized into four Modules or phases.

- Module A: Set the Direction builds a strong foundation for performance-focused work through the agency's vision, mission, values, goals, strategies, and performance measures.
- Module B: Operationalize the Direction guides leaders throughout the agency to analyze functions and structures so the agency's infrastructure is optimized to support its strategic direction.
- Module C: Design Actionable Work engages teams to work alongside leadership creating actionable work.
- Module D: Implementing a Performance Cycle establishes a performance routine of monitoring, reporting, and adjusting course based on data. It includes creating processes to gather feedback, disseminate information, and communicate within the agency and with stakeholders to continuously improve the system.

Upon completion of Module D, the agency has put in place an ongoing system of strategic performance management, with procedures and schedules for teams' regular review of progress toward milestones and performance measures. This performance management process enables the agency's personnel to stay on track, nimbly adjust course, and achieve desired results more efficiently.

Since the first release of *Strategic Performance Management: Organizing People and Their Work in the SEA of the Future* in 2015, SPM has been implemented in a variety of education agencies, including states, territories, insular areas, the Bureau of Indian Education, and a charter school commission. Adjustments to the process were made based on the context and starting point for each agency, but the basic path of SPM was followed in each case. A Strategic Performance Management Self-Assessment determines an agency's current performance management status as well as documents changes over time. The results from the Self-Assessment also help determine the time needed for each Module. Regardless of the variations in the path of implementation, each agency ended with a strong strategic direction and a performance management cycle in place.

We have learned a great deal about the power and effectiveness of the SPM process, what it takes to sustain implementation efforts, and the extent to which agencies have positively changed as a result. In this publication, we build upon the successes and learning from the agencies we have worked with and expand the use of SPM to districts, schools, and other organizations.

When we first designed the SPM process, our colleagues at the BSCP Center at Westat were assisting SEAs with strategic communication using the *BSCP Center Strategic Communications Toolbox* (Zavadsky et al., 2017). Arkansas was the first SEA to adopt both the Strategic Communications methods and implement SPM. We quickly learned that strategic communication is even stronger when it is woven throughout the SPM process rather than approached separately. In this publication, we have integrated strategic communication into SPM, utilizing communication as a means of building and sustaining a performance-focused agency.

This guidebook includes a Glossary to ensure common understanding of the terms used and to clearly convey concepts. It also includes field-tested tools and resources that may be adapted, as needed, to meet the specific purposes of the agency in implementing the SPM process.

Finally, **experience shows us that facilitation** of the SPM process should be provided by one or more trained consultants. The facilitator is external to the education agency and works alongside the designated leader and Leadership Team through the process of implementation. For more information or to secure a facilitator, contact Dr. Allison Layland at alayland@adi.org, Dr. Sam Redding at sredding@adi.org, or ADI at 217-732-6462, 121 N. Kickapoo St., Lincoln, IL 62656.

TABLE OF **CONTENTS**

PART A:
UNDERSTANDING STRATEGIC PERFORMANCE MANAGEMENT

CHAPTER 1 **INTRODUCTION**

The leader of any organization is the key arbiter of change and direction for the organization. Strong leaders inspire their work force while successfully juggling the demands of stakeholders. With the organization's leader lies the responsibility for establishing a culture of constructive change as well as the policies and processes by which vision becomes reality. Communication and organizational skills are required for setting the direction of constructive change and getting results. In education, the Chief State School Officer (CSSO), Commissioner, or Superintendent, is responsible for the many facets of educational services throughout a state or territory, and the district Superintendent commands the same vantage point for the schools that constitute the district. Most leaders engage in some form of strategic planning to set the organization's direction; sometimes that effort captures the thinking of many people in the organization, and sometimes it results in a well-constructed plan. Too seldom, however, does it extend to a system that guides and supports the day-to-day work of everyone in the organization.

LEADERSHIP

"Change is inevitable, but leaders must be adept at intentionally choosing what change to initiate and anticipating its consequences on the people charged with implementing it. Introducing change into an organization calls for leadership skill and demands analysis of information from within and outside the organization. Change may be the introduction of new practices and processes or the termination of unproductive ones."

From *Change Leadership: Innovation in State Education Agencies* (Redding, 2012, p. 7)

AN HISTORICAL PERSPECTIVE OF STRATEGIC PLANNING

The word *strategy* comes from the Greek word *strategos* and literally means "army leader." Blackberry (as cited in Candy & Gordon, 2011) noted that each Greek tribe elected a strategos to head its regiment each year. The strategoi formed a council and gave strategic advice to the ruler in battles and wars. The great military leaders—including Hannibal Barca, Alexander the Great, Napoleon, and George C. Patton—were masters of strategy within the context of war, and their principles are still studied today.

In time, strategy moved out of the war room and into the board room where strategic planning became a tool for executive leaders seeking to edge out competition and increase productivity and profits. Strategic planning has been defined in various ways. Alfred Chandler (1962) defined strategic planning as "the determination of the basic long-term goals and objectives of an enterprise, and the adoption of courses of action and the allocation of resources for carrying out these goals" (p. 13). Chandler observed that strategic planning is itself a strategy. Peter Drucker, the management guru, viewed strategic planning as "the continuous process of making present entrepreneurial (risk-taking) decisions systematically and with the greatest knowledge of their futurity; organizing systematically the efforts needed to carry out these decisions; and measuring the results of these decisions against the expectations through organized, systematic feedback" (as cited in Swaim, 2010). The United Nations Educational, Scientific, and Cultural Organization (UNESCO) defines strategic planning as "a management tool to help an organization to improve its performance by ensuring that its members are working on the same goals and by continuously adjusting the direction of the organizations to the changing environment on the basis of results obtained" (p. 10). Henry Mintzberg (1994) notes that strategic planning is really "*strategic programming*, the articulation and elaboration of strategies, or visions, that already exist" (p. 107). Most definitions refer to a plan that points to the future, includes the organization's vision and mission, and contains goals and strategies or objectives that are based on an analysis of the organization's strengths and weaknesses.

A strategic plan points to the future, incudes the organization's vision and mission, and contains goals and strategies or objectives that are based on an analysis of the organization's strengths and weaknesses.

One of the first models of strategic planning, the Harvard Policy Model, was developed by the Harvard Business School in the early 1920s for use by private business as a means of creating or identifying a foundational logic to bring together the business's purpose, resources, management, market information, and social obligations (Candy & Gordon, 2011). During the 1950s, planning shifted from organization policy and structure to a focus on risk management, industry growth, and market share (Mintzberg et al., 2009). This led to the development of the industrial economics model in which strategic decisions are based on an analysis of competitive power relations. By the 1960s, strategic planning was a standard tool used by most companies. Management experts including Alfred Chandler, Peter Drucker, Igor Ansoff, and Henry Mintzberg contributed greatly to the study and refinement of strategic planning.

It wasn't until the mid-1980s that strategic planning was used as a management tool in the public sector (Blackerby, 1991). This is not surprising since there are fundamental differences between businesses and public agencies and organizations. Marketing, industry growth, profit, and competition were foreign concepts to the public sector; more familiar were concepts of management, internal controls, and government regulations. The governmental sector soon caught on to the benefits of strategic planning. In 1993, Congress passed the Government Performance Results Act (GPRA) requiring all federal agencies to submit a strategic plan for program activities to the Office of Management and Budget. The plan had to include a mission statement, goals and objectives for major functions of the agency, description of how goals and objectives are to be achieved including skills and resources needed, identification of key external factors beyond the agency's control, and a description of program evaluations. The GPRA Modernization Act of 2010 (GPRAMA) made substantial changes to GPRA, establishing new products and processes focused on goal setting and performance measurement in policy areas that cross agencies.

In the late 1970s, universities, colleges, and large districts were using strategic planning. By the mid-1980s, "an estimated 500 districts were practicing some form of strategic planning, and special handbooks were prepared and widely disseminated by professional organizations such as the American Association of School Administrators" (UNESCO, 2010, p. 2). In 1988, UNESCO's International Institute for Educational Planning held a workshop on educational planning (UNESCO, 2010). By the 1990s, some form of organizational planning was occurring at the state, district, and school levels.

Unfortunately, many strategic plans reiterate what the organization has already been doing and fail to take advantage of innovative thinking needed for change. Hamel (1996) emphasized that most strategic planning is not strategic, but "a calendar-driven ritual that is ritualistic, elitist, and easy rather than being inquisitive, inventing, and demanding" (p. 70). Current planning results in a well-written, polished, static, budget-driven document that often sits on a shelf or resides on a website until it is time to report progress at the end of the five years. This planning typically isn't explicit about what the organization chooses to do or not do and why. It does not question current assumptions and challenge leadership to innovate (Martin, 2014).
Even when an organization has a great strategic plan, if it is implemented poorly, little improvement will be seen in performance. After more than 10 years of research focused on companies and private organizations, there is conflicting evidence as to whether strategic planning impacts organizational performance even though many leaders continue to see it as a valuable process (Begun & Kaissi, 2005; Swayne, Duncan, & Ginter, 2008). "Most companies [in the study] indicated firm commitment to strategic planning, even though 87% of chief executive officers, business unit heads, and corporate planning directors reported feelings of disappointment and frustration" (Gray, 1985, p. 90).

Disappointment with strategic planning can spring from many sources, including lack of commitment, misunderstanding of environmental influences or conditions, little focus on measures and results, inability to change course when needed, inadequate use of resources including human capital, and lack of alignment. In education, the failure of strategic planning and implementation is even more pronounced, resulting in a disconnected set of policies, processes, and activities at multiple levels that fail to have a significant impact on schools, educators, and students. The lack of success may lie in the inefficacy of the plan itself or in the inadequacy of its implementation. Gray (1985) noted that "59% of leaders reported discontent due to difficulties encountered in the implementation of plans" (p. 90).

PERFORMANCE MANAGEMENT HISTORICAL BACKGROUND

Performance management continues to be a high priority for most leaders as a means to improve the results of individuals and the organization as a whole. As early as the third century, performance appraisals were being used to evaluate employees (Murphy & Cleveland, 1995). During the industrial revolution, managers focused on worker performance to improve productivity on factory lines (Grote & Grote, 1996; Murphy & Cleveland, 1995). Performance was then understood to center on individual employees, which was improved through evaluations of their work and measures of their outputs. By the 1960s, most American companies were using some form of a performance appraisal process for employees. Performance appraisals, however, typically continued to evaluate and report on individual productivity in a job (usually annually), not the performance of the entire organization or even units within the organization. The performance appraisal process did not include checkpoints and feedback loops for the individual to adjust course during the year, and often the employee had little control over the variables that impacted his or her work.

Through the work of Peter Drucker, Henry Mintzberg, and others, performance management evolved to focus more on the entire organization and the subunits which constituted it. Performance moved beyond the individual to include the way teams and organizations carry out work based on the organization's goals. Through the 1990s, performance management systems rapidly developed in private and public organizations throughout the world. England implemented performance management systems in higher education, and the British Secretary of State at that time considered the systems a "necessity and rational course of action" (Forrester, 2011, p. 6). However, these systems utilized staff and teacher evaluations in order to implement effective pay-for-performance rewards rather than to monitor and measure the performance of the education institutions. In the last quarter of the twentieth century, the literature on performance management exploded with articles, books, and how-to manuals on designing effective performance management systems. Most recently, organizations, including federal and state departments of education, shifted from being compliance-focused to results-driven, elevating the need for more performance-oriented approaches for overall management. They are moving beyond rules and outputs and concentrating more on effective practice, outcomes, and impact.

Unfortunately, as with strategic planning, the implementation and effects of performance management systems on organizational productivity are mixed at best (Behn, 2002; De Waal & Van Der Heijden, 2015; Potocki & Brocato, 1995). Performance management systems fail for a number of reasons including manager ambivalence; failure to understand the connection between improvement and cost-savings; implementing a menagerie of disconnected tools, practices, and techniques; losing sight of the original construct being measured; and lack of adequate alignment with overall goals and strategies (De Waal & Van Der Heijden, 2015; Milosavljevic et al., 2016; Potocki & Brocato, 1995). "If these [performance management] activities do not add value to an organization or align with its strategic direction, they will fail to make meaningful contribution to the bottom line, and they will be discarded" (Potocki & Brocato, 1995, p. 403). Similar results are noted in education where SEAs, LEAs, and even schools are utilizing pieces of performance management with little attempt at creating and implementing a coherent system. Some schools have been successful in building a systematic approach to improvement; however, few approaches have reached up to the district or state.

Even when an organization is utilizing a performance management system and collecting performance measurement data, the data are often not utilized in a way that provides meaningful feedback to improve performance. Behn (2002) noted that, "if you examine closely what public managers are actually doing, it often looks more like a hoop-jumping exercise than a real adaptation of even a few of the basic ideas of performance management to the challenge of actually producing more and better results" (p. 7). Often the data captured in the performance management process are not delivered in a timely fashion and do not readily inform changes in practices and processes to garner improved results.

Strategic planning, particularly as it is applied in the public sector and education, too often becomes a pro forma process to generate a static document that soon loses its currency. Performance management, unattached to a clear strategic direction, is given to aimless tallying of data with little traction. What would be a better approach?

PRODUCTIVITY

Productivity has been defined as the ratio of outputs to costs. It is not the same as efficiency. Productivity involves increasing outcomes for a given cost, whereas efficiency is achieving the same outcomes at a lower cost (Roza, 2016). "Efforts to improve productivity do not call for cutting spending, increasing efficiency, or finding cheaper ways to do the same things as before" (BSCP, 2016, para. 1). Productivity is improved by achieving greater results for the same cost. When an organization raises productivity, it means *finding ways to leverage system resources to maximize organization goals*.

Businesses have studied productivity since Frederick Taylor launched the scientific management movement in 1881. As a foreman of a machine shop in Philadelphia, he experienced first-hand how employees worked less than they could thus producing less. Through his observations of the steps it took an individual worker to perform a metal-cutting task and identifying steps that could be eliminated, he developed a set of principles to increase worker productivity (Drucker, 1991; Wren, 2011). Productivity became known in the context of making and moving things with a productivity index of outputs (what is produced) compared to inputs (capital, labor, materials; Chew, 1988). As the economy shifted from manufacturing to service industries, productivity analysis became more complex with even further complications in the information age. In the public sector, raising productivity means working smarter to achieve greater gains with the same level of inputs, including people.

Part of the productivity equation is equity, which does not mean equality. For example, equity is reached when resources are assigned for maximum effect based on need. Equity has been a long-standing focus of education, especially since two pivotal federal legislative acts: The Civil Rights Act of 1964 and the Elementary and Secondary Education Act of 1965 (ESEA, P.L. 89-10. 79 Stat. 27, 1965). The Civil Rights Act prohibited segregation in public schools and other facilities and made it illegal for employers to discriminate based on color, religion, and national origin. ESEA provided funding to schools and districts serving a high number of students from low-income families as defined by Title I. These two acts were followed by the release of the Equality of Educational Opportunity report to Congress (Coleman et al., 1966), a required study in the Civil Rights Act. The Coleman report summarized data and findings from surveys completed by 600,000 students and 60,000 teachers from 4,000 public schools across the country and concluded that differences in school resources (i.e., curriculum, tests, facilities) only account for a very small difference in achievement between minority students and their non-minority peers. The report changed the conversation from equality in resources to equity in opportunity commensurate with the needs of the student.

Cook-Harvey et al. (2016) define equity as "the policies and practices that provide every student access to an education focused on meaningful learning—one that teaches the deeper learning skills contemporary society requires in ways that empower students to learn independently throughout their lives"

(p. 1). Jenlink (2009) describes equity in education as being composed of three standards: equity of access, equity of participation, and equity of outcomes. Lincoln (2015) noted three layers of education equity: appropriateness, adequacy, and attainment. More recently, the Council of Chief State School Officers defined equity as "every student has access to the educational resources and rigor they need at the right moment in their education across gender, ethnicity, language, disability, sexual orientation, family background, and/or family income," and published 10 Equity Commitments as a call to action (Aspen Education & Society Program & Council of Chief State School Officers, 2017, p. 3).

Equity involves all of the components of the above stated definitions. Providing students access not only includes rigorous instruction, but also facilities, resources, programs, and services. Beyond access is participation: equitable opportunities to participate in programs, instruction, and even assessments. It also includes expectations and outcomes regardless of gender, ethnicity, language, disability, sexual orientation, family background, and/or family income. Building each student's skills for learning based on their individual needs and aspirations is the foundation of equity. As Lincoln (2015) so aptly stated, "...the goal of educational equity is for everyone to possibly reach his/her potential" (p. 202).

Productivity and the concept of return on investment are becoming a pivotal part of discussions related to improving outcomes for students. ESEA, reauthorized in 2015 as the Every Student Succeeds Act (ESSA), requires states and their LEAs to annually report per-pupil expenditures of federal, state, and local funds, including actual personnel and non-personnel expenditures, on SEA and LEA report cards, disaggregated by source of funds. Per-pupil expenditures must be reported for the LEA as a whole and for each school served by the LEA for the preceding fiscal year [ESEA §1111(h)(1)(C)(x), (h)(2)(C)]. A recent survey of a sample of highly productive districts, based on productivity metrics conducted by the Center for American Progress, indicated these districts engaged in a number of practices including

HAVING A SHARP FOCUS ON OUTCOMES,

BUILDING STRONG COMMUNITY RELATIONS,

MAKING TOUGH CHOICES,

PRIORITIZING QUALITY INSTRUCTION, AND

USING DATA-MINING PRACTICES TO REDUCE INEFFICIENCIES (BOSER, 2011).

However, these high-productive districts are not the norm. Despite efforts to improve, we have a significant productivity problem across the nation that is also a management issue due to a lack of performance-focused practices and policies being utilized at the state, district, and school levels. Boser put it best when he stated that "to increase productivity, school leaders will need to fundamentally reinvent the way that they do business and create an outcomes-based school culture that sets high goals—and gives employees the strategies to achieve them…it will also require states, districts, and schools to embrace transformational ways of delivering a cost-effective education that reduces spending while boosting performance" (p. 2). This includes

- promoting education efficiency;
- creating performance-focused management systems that are flexible on inputs and strict on outcomes;
- providing educators with the tools, technology, and training that they need to succeed;
- increase the authority that principals and superintendents have over budgets,
- employees, and other operational decisions; and
- encouraging smarter, fairer approaches to school funding, such as student-based funding policies (Boser, 2011).

The goal must be nothing short of a breakthrough in performance that guarantees that every dollar produces high achievement for all students (Boser, 2011, p. 2).

SPM focuses on increasing productivity by addressing challenges; identifying strategies; empowering employees to create, manage, and adjust the work; and providing the flexibility to innovate and learn. The productivity focus includes implementing practices such as the equitable distribution of resources to meet district, school, student, family, and community needs. Working smarter begins with explicitly defining the task at hand, making a distinction between busywork (activities that have little value to the task) and critical tasks. It is easy to recognize the paperwork required by regulations, an endless number of mandated meetings that occur only for the sake of meeting, and the myriad of ancient procedures that must be followed because it has "always been done this way." Productivity is enhanced by constantly questioning previous assumptions about the equitable use of resources (including staff time), structural configurations (i.e., number and type of staff, use of external providers/contractors, organization of teams), and how technology and data might be used to enhance equity. Productivity requires deft management of often restrictive influences such as statutes, policies, regulations, and traditional practices. Applying a productivity lens throughout the SPM process ensures that available resources are applied in equitable ways that achieve optimum results.

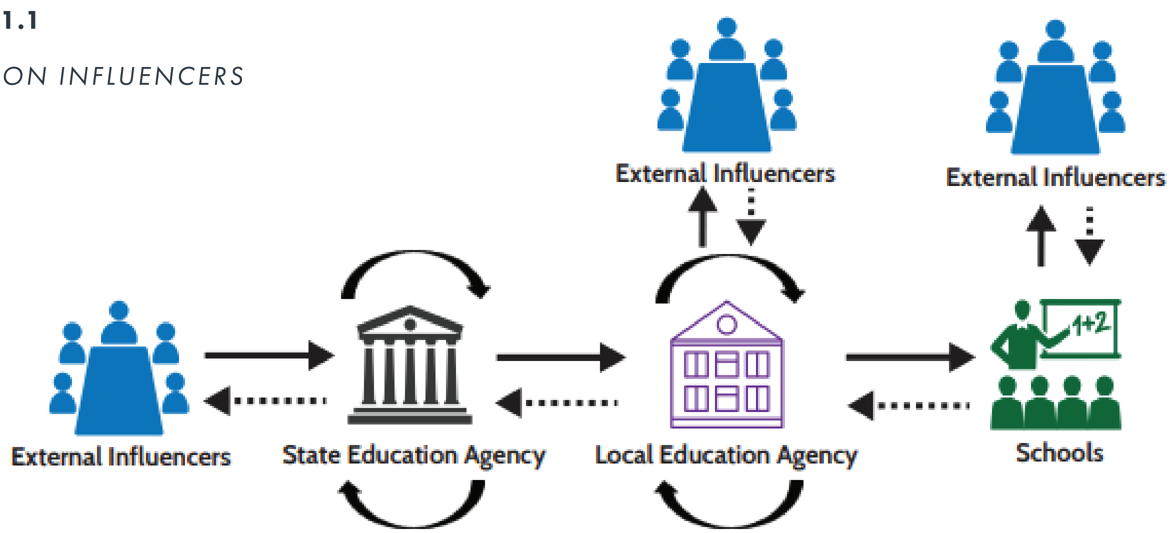
COMMUNICATION

Communication is key to any change process. "SPM can be viewed as a change process because it often results in changes in structure, function, and practice at multiple levels of the organization" (Layland & Redding, 2019, p. 4). 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. They assess 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 assists in the sense-making process (Lewis, 2019; Spillane et al., 2002).

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 can affect or are affected by an organization's processes, outputs, or results (Freeman, 1984; Lewis, 2019). There are a number of external and internal stakeholders that influence each layer of an education system, as depicted by Figure 1.1.

FIGURE 1.1

EDUCATION INFLUENCERS



Organizational change is accomplished through formal and informal interactions with stakeholders through multiple channels and formats. Formal communication includes official announcements, updates, and responses to stakeholders. Informal communication is spontaneous interaction that provides interpretations about what the change may mean; shares opinions, views, or concerns about the change; or provides supportive information to those feeling uncertain about the change (Lewis, 2019). Informal communication is just as important as formal communication and can play a larger role in the outcomes of change. Formal and informal communication practices can often resolve environmental, emotional, and even political issues during the change process.

Bordia et al. (2003) refers to three types of uncertainty during change: strategic, structural, and job-related. Uncertainty related to structural (an organization's structure, operations, and culture) and job-related (the "what's in it for me" factor) elements can be particularly disruptive to changes in education organizations. These uncertainties can also negatively impact the implementation of a performance management cycle. Strategic communication practices are embedded throughout the SPM process to address the uncertainties and decrease resistance to change while increasing stakeholder satisfaction and engagement. Harrison and Mulberg (2014) note that communication can strengthen efforts to achieve outcomes through

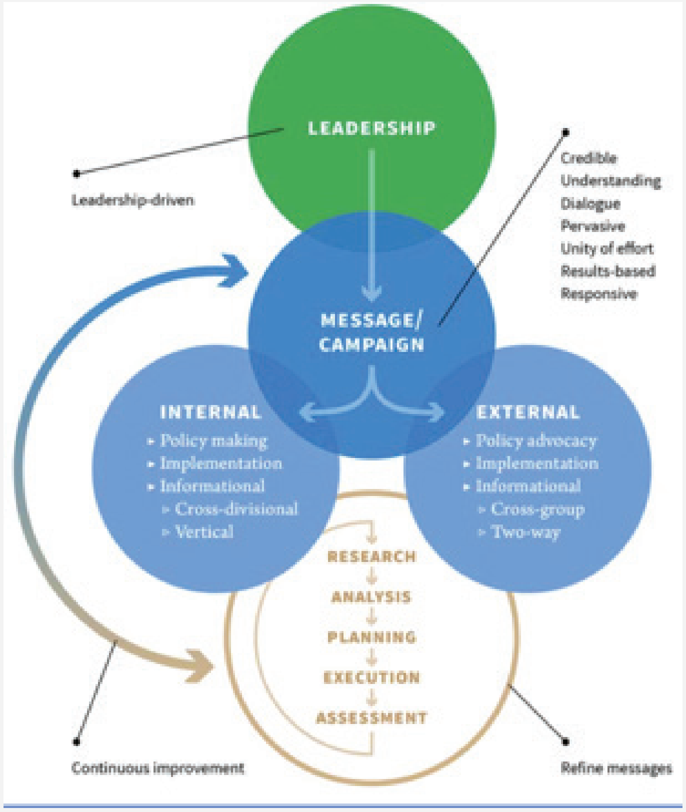
- the accuracy and timeliness of an ongoing, two-way, trust-building flow of information;
- an accurate understanding of key stakeholders; and
- implementing the advocacy of a workplace culture that is informed, motivated, productive, open to change, and to the extent practicable, autonomous. (p. 9)

Zavadsky (2014) created a strategic communications framework for education organizations (see Figure 1.2) and noted 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 the key elements of strategic communications:

- **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.
- **CONTINUOUS IMPROVEMENT**—Refining and monitoring the success of communications processes through a continuous feedback loop. (pp. 4–5)

FIGURE 1.2

STRATEGIC COMMUNICATIONS FRAMEWORK (ZAVADSKY, 2014)



During the SPM process, communications start when the leader shares and solicits input on the vision, mission, values, and goals of the agency, which have been constructed or reviewed and revised (as necessary) by a leadership team. However, communication quickly involves all personnel in the agency as they design their strategy-aligned work, determine and report progress, and push beyond the norm to more innovative practices to realize goals. Through the SPM process that is described in Chapter 3, a communication lens is thoughtfully applied to leverage strategic communication to support and sustain the agency's set direction and its ongoing performance management procedures.

INNOVATION

An "innovation" lens is applied in SPM to drive productivity forward by encouraging everyone in the agency to seek out better practices and processes based on routine examination of feedback data. Drucker (1991) defines innovation as "the effort to create purposeful, focused change in an enterprise's economic or social potential" (p. 6). The National Science Foundation (2013) defined innovation as a process, a series of steps that begins with imagination, and results in the creation of something of value for society. Redding, Twyman, and Murphy (2013) define innovation within the context of education as "a deviation from the standard practice that achieves greater learning outcomes for students than standard practice given equal (or lesser) amounts of time and resources" (p. 3). It is a better way of doing something!

Too often innovation is equated with technology; an innovation, however, need not involve a digital device. It can be anything that when applied in a specific context improves upon the practice currently used. The application of the innovation is just as critical as the innovation itself. Take technology and the myriad of devices currently available today. Tablets, laptops, smart locks and bulbs, and smart assistance devices abound, but their presence does not constitute innovation unless they improve upon an existing product or process.

To innovate, the standard practice is identified and a determination is made as to whether a new way is indeed better (Redding et al., 2013). This is especially true in education; however, it is much more difficult than it sounds. Education is in a continual state of reform. A balance must be struck between the gold standard of research (randomized controlled trials) and emerging practices that show promise. Promising practices can be tested through iterative formative evaluations, and effective implementation practices are used to deliver what is intended to the students (Redding et al., 2013).

An innovation solves a problem or improves upon a current practice, condition, or state. It is an impetus for growth. What is sometimes referred to as an "innovation culture" arises from policies that encourage grounded experimentation. Such policies honor success while capitalizing on failures; they foster both external and internal information sharing and collaboration. Leaders of organizations with strong innovation behaviors apply skills such as questioning, observing, networking, and associating (Spruijt et al., 2013; as cited in Szymanska, 2016). Innovative organizations invest in human capital and tools, clearly communicate purpose, and engage all employees in the institutionalization of the innovative improvements. There is a climate of clarity and trust that encourages people to seek better ways, learn together, and correct course when evidence shows change is needed. "The culture of innovation values, assesses, and understands the potential for both reward (e.g., likely positive impact on learning within the organization's particular conditions) and risk (e.g., the chance for diminished learning, wasted resources, and loss of clarity and trust)" (Redding et al., 2013, p. 8).

Internal and external exchanges of knowledge and information are critical to innovation, and many businesses have taken this exchange to a higher level through "open innovation." Open innovation was introduced in 2003 by Henry Chesbrough who described it as knowledge exchange in order to accelerate innovation. Some businesses, such as Tesla, have embraced this concept. On June 12, 2014, Tesla's CEO, Elon Musk, posted the following blog opening Tesla's designs for others to use to quicken the innovation of electric cars:

> Tesla Motors was created to accelerate the advent of sustainable transport. If we clear a path to the creation of compelling electric vehicles, but then lay intellectual property landmines behind us to inhibit others, we are acting in a manner contrary to that goal. Tesla will not initiate patent lawsuits against anyone who, in good faith, wants to use our technology. (p. 1)

Innovation in public agencies, such as state and local government, is hamstrung by the weight of statutes, regulations, and long-established routines. In addition, public agencies must be responsive to numerous stakeholder groups, each with its own agenda, values, and expectations, which in many cases conflict with each other. Often these organizations tolerate fewer risks and experience dwindling resources and increased public scrutiny, all of which make innovation difficult. However, innovation is notable within some public organizations and institutions. A review of several non-governmental organizations (NGOs) and other nonprofit organizations indicates they are more effective in turning their challenges into their mission, have more inspirational leaders, and have more creativity and efficient processes to support innovation than many businesses (Spruijt et al., 2013).

EFFECTIVE PRACTICE

A "best practice" lens goes hand-in-hand with the innovation lens. Because an innovation begins with standard practice and improves upon it, the standard practice itself must be sound or evidence-based. This prevents people in the organization from chasing after the next new thing or fad with little evidence, thus wasting valuable time and resources. But what is an effective practice?

Effective practices in education have gone by many names (evidence-based, research-based, best practices, etc.), each with its own distinctions. Table 1.1 provides definitions for each term (Cook et al., 2008).

TABLE 1.1

DISTINCTIONS BETWEEN BEST, RESEARCH-BASED, EFFECTIVE, AND EVIDENCE-BASED PRACTICES

BEST PRACTICES	RESEARCH-BASED PRACTICES	EFFECTIVE PRACTICES	EVIDENCE-BASED PRACTICES
Instructional approaches recommended by experts or others that may or may not be supported by specific evidence of effectiveness	Educational approaches consistent with bodies of research rather than specific studies	Practices that actually result in meaningful outcome gains for the vast majority of students	Instructional approaches shown by high-quality research to result reliably in generally improved student outcomes

The earliest use of evidence in education was during the effective schools movement in the 1970s which found differences in school practices as a key factor in student outcomes, leading to the concept of "best practices" (Coleman et al., 1966; Edmunds & Fredrickson, 1978; Weber, 1971). Weber studied reading instruction in four urban schools and concluded that poor reading achievement was due to the school's failure, not the backgrounds of the students. The conclusions were confirmed in subsequent schools (Brookover & Lezotte, 1977), and six practices were identified that distinguished effective schools from schools serving similar students with poorer outcomes:

- Strong administrative leadership
- Climate of high expectations for all students
- An environment that is orderly and conducive to learning
- Highest priority is on learning basic skills
- Diversion of resources when needed to teach basic skills
- Frequent monitoring of pupil progress

ESSA defines evidence-based as:

> an activity, strategy, or intervention that demonstrates a statistically significant effect on improving student outcomes or other relevant outcomes based on (I) strong evidence from at least 1 well-designed and well-implemented experimental study; (II) moderate evidence from at least 1 well-designed and well-implemented quasi-experimental study; (III) promising evidence from at least 1 well-designed and well-implemented correlational study with statistical controls for selection bias; or (IV) demonstrates a rationale based on high-quality research findings or positive evaluation that such activity, strategy, or intervention is likely to improve student outcomes or other relevant outcomes; and includes ongoing efforts to examine the effects of such activity, strategy, or intervention.
> (ESSA, 2015)

What is the role of effective practice, regardless of what it is called, in SPM? Layland and Redding (2017) argue that the entire SPM process is sound practice because it provides a well-specified logic model informed by research or evaluation. Strategic planning and performance management have been studied over the years, as seen in the research literature contained in journals such as the *Global Journal of Management and Business Research, Strategic Management Journal,* and *Journal of Business Research*. Sound practice in SPM goes deeper than the overall process itself. "SPM guides decision makers in considering the triad of best practice, productivity, and innovation in making decisions at multiple points in the process" (Layland & Redding, 2017, p. 31).

Barriers and challenges to implementing evidence-based practices continue to be documented (Burns & Ysseldyke, 2009; Fixen et al., 2005), and the research-to-practice gap persists. Identifying practices is one thing; consistently implementing them with fidelity over time is another thing altogether. SPM uses a "best" practice lens to encourage the use of effective practices at multiple levels of the agency and across agencies.

STRATEGIC PERFORMANCE MANAGEMENT

Strategic Performance Management (SPM), capitalized for the process originally advanced by the BSCP Center at Westat, marries the best of strategic planning with the most effective principles of performance management to create a more systemic approach to improving an agency's performance. In SPM, the education agency (e.g., state education agency or local education agency) sets its direction by articulating its vision, mission, and goals, similar to a strategic planning process, then builds out its strategies and develops performance measures for goals and strategies. A number of practices incorporated into SPM have been shown to lead to better organizational results, when applied systematically, and to also enhance employee relations, operating procedures, and fact-based decision making (Potocki & Brocato, 1995). In a 2015 study, De Waal and Van Der Heijden found a strong correlation between strategic performance management principles and high-performing organizations. By aligning strategic constructs, milestones, and activities (strategic planning) with related performance measures and processes (performance management), an SPM framework is formed that synergizes an agency's information environment around its established direction—mission, goals, and strategies.

SPM enables an agency to move from a static plan to a reiterative process using an adaptive performance management system with performance measures for goals and strategies, milestones for strategies, and action plans to meet milestones. SPM sets in motion ongoing mechanisms for feedback and adjustment in course. It is a fluid process by which the agency's leadership develops and operationalizes a blueprint 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. In 2001, Charon noted that "an edge in execution comes from having the right people in the right jobs, synchronizing their efforts, and releasing and channeling their energy toward the right set of business priorities" (p. 86). This is exactly what can be accomplished through SPM. Further, SPM includes the application of several lenses—productivity, communication, innovation, and evidence-based practice—prompting the leadership to consider all options to achieve desired results.

KEY FEATURES OF STRATEGIC PERFORMANCE MANAGEMENT

A LIVING SYSTEM

SPM weds *strategic planning* with *performance management* in a living system that provides direction for people's work while allowing for innovation and adjustment in course to produce better results more efficiently. SPM includes elements of strategic planning and connects them to performance measures, productivity considerations, and ongoing processes for gauging progress, improving practice, and exceeding expectations.

MODULES AND STEPS

SPM is organized into four Modules, or phases, each with specific steps to complete to create a strategic performance management system.

MODULE A: SET THE DIRECTION— building a strong foundation for performance-focused work through the agency's vision, mission, values, goals, strategies, and performance measures.

STEP 1 CREATE OR REVISIT THE DIRECTION

The SEA or LEA Leadership Team and any other selected key personnel, along with representatives of key governance groups such as school boards, form a Direction Team to create vision and mission statements or revisit existing ones to determine if they still represent the purpose of the SEA or LEA and the direction it wants to pursue. Values, which represent the ethos of the agency 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, in the SPM process, SEA or LEA goals are not restricted by time as they express an ongoing execution of the mission and the agency's ultimate desires for all students in the state or district. In the SPM process, SEA or LEA leadership is encouraged to create a manageable set of broad goals, typically three to six, 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).

Although SPM advises that goals aim at desired outcomes for all students, some agencies add one goal that pertains to its internal operations, communication, and relationships with personnel.

Performance measures are defined for each goal so that progress can be determined at various points of time, producing trend lines and feedback for course correction. Progress toward goals demonstrates that the mission is being carried out and the SEA or LEA is closer to reaching the ideal state of the vision.

STEP 2 DELINEATE ROLES AND RESPONSIBILITIES

Delineating the roles and responsibilities of the state, district, and schools in relationship to the SEA's or LEA's goals brings needed clarity to what the SEA or LEA should or should not do. It is important for the SEA or LEA to focus on goals, strategies, and actions that are within its purview and to deeply understand its role and relationship with other levels of the education system. Bringing clarity to the SEA's or LEA's role and responsibilities in relationship to other levels is helpful when later identifying the SEA's or LEA's goal-aligned strategies.

STEP 3 APPRAISE CURRENT SITUATION

Although data of various kinds are used to identify goals, a SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis provides a deeper dive into the data and an exercise in needs sensing and clarification for the Direction Team. Data (quantitative and qualitative information) are gathered and presented in a user-friendly format. The SWOT 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 strengths, weaknesses, opportunities, and threats for each goal. Completing a SWOT analysis sets the stage for determining goal-aligned strategies.

STEP 4 DETERMINE GOAL-ALIGNED STRATEGIES

Strategies focus on the "what" and "how" of the SEA's or LEA's work, measured by the direct impact on the field and indirect impact on the student-based goals. A strategy is not as specific as an 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. Typically, two to five strategies are aligned to each goal. Strategies are not timebound and span years. Annual markers of progress relative to each strategy are called "milestones."

STEP 5 ESTABLISH MEASURES AND MILESTONES

Performance management in SPM is nimble, enabling the agency to adjust plans and processes in response to data that provide information about progress toward two kinds of markers. "Performance measures" are quantitative metrics tied to goal-aligned strategies. "Milestones" are usually qualitative descriptions of work to be completed by the end of the year, written in past tense, although they may include numerical metrics in some cases.

Baseline performance measures are set at the beginning of the SPM implementation. Identifying performance measures is 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 reworded. Performance targets for the measures are set for two years in advance, revised to record actual results each year.

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

MODULE B: OPERATIONALIZE THE DIRECTION— creating or aligning the agency's structure to support the functions needed to effectively implement its strategic direction. At this point, the external members of the Direction Team, such as school board members, are replaced by key agency personnel to work through Module B with the Leadership Team as an Operations Team. This Module includes candid discussion of how the agency is organized and how it might be better organized to operationalize the direction set in Module A. Because this can be a sensitive conversation, the Operations Team might be restricted to the executive cabinet, and it might be supplemented with key personnel such as the human resources officer.

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 personnel in the agency. By identifying the unique and overlapping functions required to effectively implement the strategies, personnel in the SEA or LEA can be more productively organized for their work.

STEP 7 CONDUCT A STRUCTURAL ANALYSIS (ORGANIZING UNITS TO DO THE WORK)

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 and become conflated with funding streams and modified to meet the interests and abilities of specific personnel. SPM suggests mapping out an organizational structure aligned to the SEA's or LEA's functions first, and then massaging the structure as resources and restrictions dictate. The basic structure consists of functional units organized into divisions with a common purpose.

STEP 8 ASSIGN PERSONNEL TO THE STRUCTURE

Personnel are placed within each unit according to their competencies aligned to the functions and their needed roles 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 in a certain 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 agency has the capacity to realize its vision and mission.

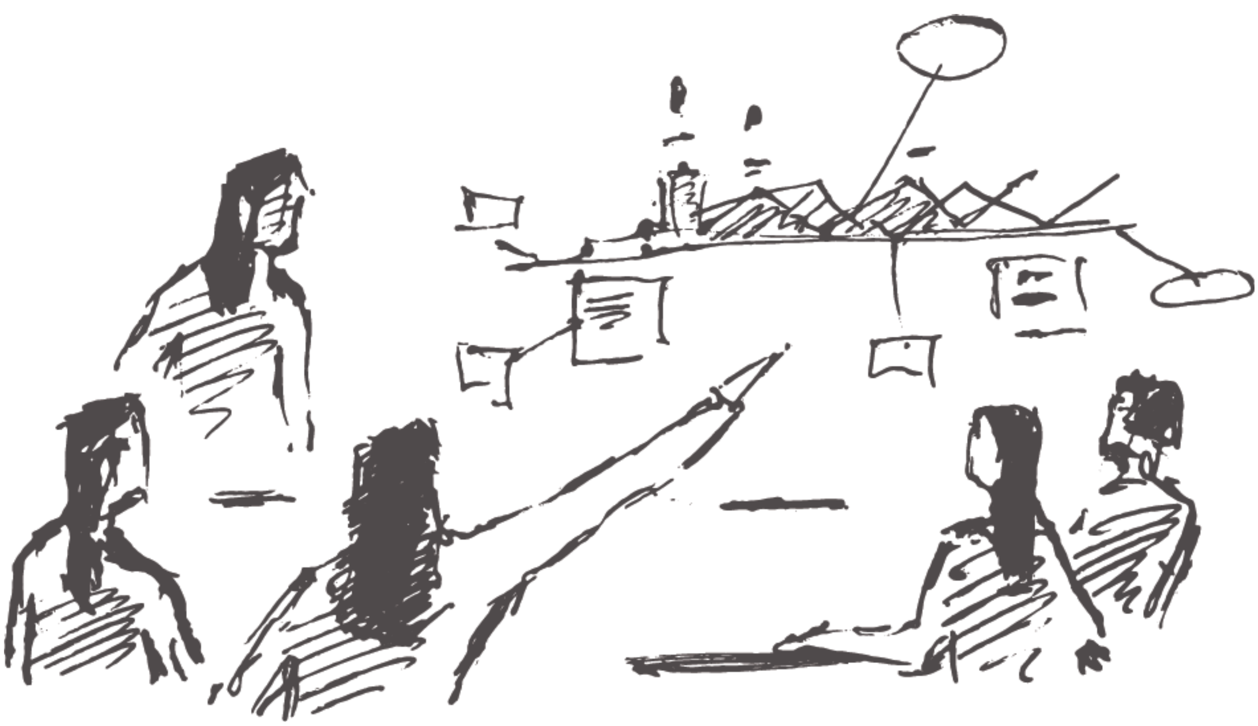
STEP 9 ESTABLISH COORDINATION AND ASSIGN MILESTONES

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 on an ongoing basis. SPM suggests a three-tier organization 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. In addition, other personnel needed to assist the accountable Division and lead Unit in action planning are identified as collaborating Unit members, logistics for planning are determined, and expectations are communicated.



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 persons. All Unit Teams, including collaborating members from other Units, serve as Design Teams during this phase of SPM to develop action plans aimed at the milestones for which their Unit has been assigned.

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 work 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 are 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 C: IMPLEMENT A PERFORMANCE AND INNOVATION CYCLE — the regularity with which progress toward milestones is reviewed, necessary adjustments in actions are made, and implementation and outcome data inform more innovative ways of working.

STEP 13 CREATE PERFORMANCE AND INNOVATION CYCLE

Based on their action plan, each Unit engages in a cycle of implementation—each month performance data are collected and used to adjust actions to ensure milestones are completed and strategies are implemented efficiently and effectively. The cycle empowers the SEA or LEA in continuous improvement through performance management. Strategic performance management proceeds at multiple levels in the performance and innovation cycle:

- **Monthly Unit Team Performance Review**. Each month, each unit meets (face-to-face or virtually) to review progress on actions for which the Unit Team is responsible. 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 with the Leadership Team 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

At least annually, the SEA's or LEA's strategic direction work and impact is told based on data collected through the multiple modes of information flow established 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 performance measures tell the results part of the story—did the work have the impact that was anticipated? Together, the implementation and results data and narratives tell the agency's performance story. Figure 1.3 on page 36 depicts the entire SPM process.

It is important that the right decision-makers are engaged at the right moment within each of the Modules. The goal is to engage as many employees in the process as possible; however, not everyone will participate in all Modules. Therefore, the agency's leader assembles people at various levels representing the positions appropriate to the purpose of the Module. At a state education agency, the Chief State School Officer (CSSO) might utilize the state board or a group of state board members and agency personnel as the Direction Team for Module A, the executive cabinet may comprise the Operations Team for Module B, and various employee Units would be engaged as Design Teams in Module C. Module D creates the performance cycle by which feedback is gathered and shared, productivity and innovation advanced, and progress and results communicated throughout the entire agency. People throughout the agency are involved in some aspect of this ongoing process as everyone's work impacts the agency's ability to make its vision and mission a reality. In any case, the agency's leader determines which groups tackle which Modules, suiting the needs and traditions of the agency.

READINESS FOR STRATEGIC PERFORMANCE MANAGEMENT

The Building State Capacity and Productivity (BSCP) Center provided technical assistance for an SPM implementation process for local and state education agencies. This SPM process initially demands time and requires leadership to look beyond the status quo, seek and be receptive to tough and honest input and feedback, and put long-term impact above short-term gains. It requires a leader, or team of leaders, to change the behaviors of employees, collaborators, and partners and to change the thinking of not only employees, but also clients, stakeholders, and opinion leaders. In education, this means a willingness to challenge and change the thinking of legislators and even the federal government. It means engaging in active performance leadership as opposed to passive management (Behn, 2002).

The leadership and employees of the agency must be willing to make a strong commitment to the process and the time it takes to get it right. This is hard work. Leadership cannot just "open the performance management cookbook, use the index to find the recipe that applies to their agency, and follow the instructions . . . or buy performance management software, input their agency's internal and external characteristics and needs, and click the mouse to get the [right] instructions" (Behn, 2002). It takes commitment for top leadership to be present at all meetings and to maintain a constant flow of communication to internal and external stakeholders throughout the process. There must be a commitment to engage as many people as possible at all levels of the agency at different times and in different ways.

SPM depends on feedback mechanisms, monitoring and reporting procedures, and a reiterative process to adjust course based on real status data. Initially implementing SPM takes time—it cannot be accomplished in a weekend retreat. It takes ongoing, multi-day, monthly meetings for six months to a year with follow-up coaching and support during initial implementation to set a functional SPM system in place. A minimum of two days should be reserved for each monthly meeting in order to have enough time to learn, reflect on the learning, and apply the learning to progressively build the system. This also allows time for the tough but highly beneficial discussions that need to take place.

Attention needs to be given to setting the stage for this work as well as communicating internally (and often externally) throughout the process. This includes messaging that values the past yet creates a sense of urgency for this work. It is also important to map the formal and informal pathways of communication ahead of time so both can be utilized throughout the process to elicit and provide feedback. Agreement on the intent, planning steps, deliverables, roles and responsibilities, time, and resources needs to occur before embarking on the strategic performance management journey (Young, n.d.).

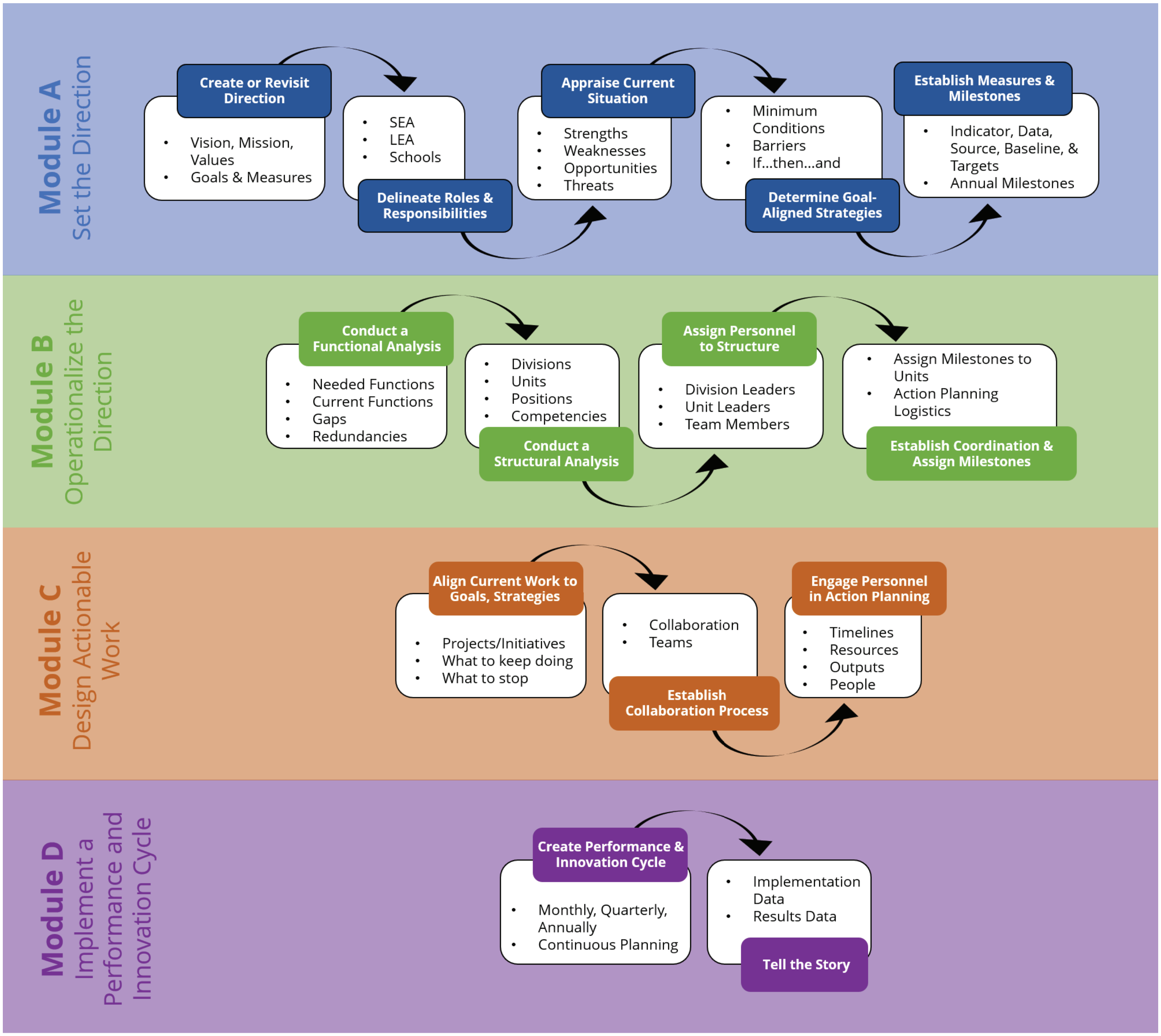
SPM is a multistep process that guides an agency's leadership in designing and revising a system of strategic performance management. SPM combines *strategic planning* with *performance management* by creating an organizational structure based on strategies and functions, aligning resources to the structure, addressing human capital and productivity, and establishing performance measures. Figure 1.3 displays the SPM process through the initial implementation Modules and ongoing perpetuation of the process.

SPM emphasizes strategic thinking—the application of critical lenses of productivity, communication, best practice, innovation, and synthesis that allows an agency to make the critical adjustments as needs and context change. It helps guide leadership in decisions about what ideas and opportunities to pursue and also about what not to do. A strategic performance management system includes performance measures for goals and strategies. Milestones, aligned to strategies, provide annual markers of progress as well as ongoing mechanisms for communication and feedback to support effective implementation of a plan and ongoing modifications to achieve better results (Chou et al., 2011).

SPM can be applied to an agency, a branch or division within an agency, across a network of agencies such as a SEA, LEA, and school, and within a school improvement process. What follows is a step-by-step guide to SPM as well as what it looks like in an SEA, an LEA, and applied to a network for continuous school improvement. We close by sharing how SPM is being expanded for other agencies including the education departments of Native American and Alaskan Native Tribes.

FIGURE 1.3

STRATEGIC PERFORMANCE MANAGEMENT PROCESS



REFERENCES

The Aspen Education & Society Program, & Council of Chief State School Officers. (2017). *Leading for equity: Opportunities for state education chiefs*. https://www.ccsso.org/sites/default/files/2018-01/Leading%20for%20Equity_011618.pdf

Begun, J. W., & Kaissi, A. A. (2005). An exploratory study of healthcare strategic planning in two metropolitan cities. *Journal of Healthcare Management*, *50*(4), 264–274.

Behn, R. (2002). The psychological barriers to performance management: Or why isn't everyone jumping on the performance-management bandwagon? *Public Performance & Management Review*, *26*(1), 5–25.

Blackerby, P. (1991). History of strategic planning. *Armed Forces Comptroller*, *39*(1), 23–24. http://www.blackerbyassoc.com/history.html

Bordia, P., Hunt, E., Paulsen, N., Tourish, D., & Di Fonzo, N. (2003). Uncertainty during organizational change: Is it all about control? *European Journal of Work and Organizational Psychology*, *13*(3), 345–365.

Boser, U. (2011). *Return on educational investment: A district-by-district evaluation of U.S. educational productivity*. Center for American Progress.

Brookover, B., & Lezotte, L. (1977). *Changes in school characteristics coincident with changes in student achievement.* College of Urban Development.

Building State Capacity and Productivity Center. (2016). *Educational productivity*. http://www.bscpcenter.org/productivity/

Burns, M. K., & Ysseldyke, J. E. (2009). Reported prevalence of evidence-based instructional practices in special education. *The Journal of Special Education*, *43*(1), 3–11.

Candy, V., & Gordon, J. (2011). The historical development of strategic planning theories. *International Journal of Management & Information Systems*, *15*(4), 71–90.

Chandler, A. (1962). *Strategy and structure: Chapters in the history of the industrial enterprise.* The M.I.T. Press.

Charon, R. (2001). *What the CEO wants you to know: How your company really works*. Crown Business.

Chew, W. B. (1988). No-nonsense guide to measuring productivity. *Harvard Business Review*, *66*, 110–118.

Chou, J., Hecht, G., & Tayler, W. (2011). Strategy selection, surrogation, and strategic performance measurement systems. *Journal of Accounting Research*, *51*(1), 105–133.

Coleman, J. S., United States, & National Center for Education Statistics. (1966). *Equality of educational opportunity*. U.S. Dept. of Health, Education, and Welfare, Office of Education. https://files.eric.ed.gov/fulltext/ED012275.pdf

Coleman, J., Hoffer, T., & Kilgore, S. (1981). *Public and private schools: An analysis of high school and beyond* (NCES 300-78-0208). The National Opinion Research Center.

Cook, B. G., Tankersley, M., & Harjusola-Webb, S. (2008). Evidence-based special education and professional wisdom: Putting it all together. *Intervention in School and Clinic*, *44*, 105–111.

Cook-Harvey, C. M., Darling-Hammond, L., Lam, L., Mercer, C., & Roc, M. (2016). *Equity and ESSA: Leveraging educational opportunity through the Every Student Succeeds Act*. Learning Policy Institute. https://learningpolicyinstitute.org/product/equity-essa-report

De Waal, A. A., & Van Der Heijden, B. (2015). The role of performance management in creating and maintaining a high performance organization. *Journal of Organization Design*, *4*(1), 1–11.

Drucker, P. F. (1991). The new productivity challenge. *Harvard Business Review*, *69*(6), 5–10.

Edmunds, R., & Fredrickson, J. R. (1978). *Search for effective schools: The identification and analysis of city schools that are instructionally effective for poor children*. Harvard University, Center for Urban Studies. https://files.eric.ed.gov/fulltext/ED142610.pdf

Elementary and Secondary Education Act (ESEA) of 1965. Pub. L. No. 89-10. 79 Stat. 27. (1965). http://files.eric.ed.gov/fulltext/ED017539.pdf

Every Student Succeeds Act of 2015, Pub. L. No. 114-95 § 114 Stat. 1177 (2015). https://www.govinfo.gov/content/pkg/BILLS-114s1177enr/pdf/BILLS-114s1177enr.pdf

Fixen, D. L., Naoom, S. F., Blasé, K. A., Friedman, R. M., & Wallace, F. (2005). *Implementation research: A synthesis of the literature* (FMHI Publication #231). University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network.

Forrester, G. (2011). Perfromance management in education: Milestone or millstone? *Management in Education*, *25*(1), 5–9.

Freeman, R. E. (1984). *Strategic management: A stakeholder approach*. Pitman.

Ginter, P. M., Duncan, W. J., & Swayne, L. E. (2013). *Strategic management of health care organizations* (7th ed.). Jossey-Bass.

Gray, B. (1985). Conditions facilitating interorganizational collaboration. *Human Relations*, *38*(10), 911–936.

Grote, D., & Grote, R. C. (1996). *The complete guide complete guide to performance appraisal.* AMACOM Publishing.

Hamel, G. (1996). Strategy as a revolution. *Harvard Business Review, 74*(4), 69–82.

Harrison, E. B., & Mulberg, J. (2014). *Leadership communication: How leaders communicate and how communicators lead in today's global enterprise*. Business Expert Press.

Jenlink, P. M. (Ed.). (2009). *Equity issues for today's educational leaders: Meeting the challenge of creating equitable schools for all*. Roman & Littlefield Education.

Layland, A., & Redding, S. (2017). C*asting a statewide strategic performance net: Interlaced data and responsive supports*. Building State Capacity and Productivity Center. http://www.adi.org/downloads/Strategic_Performance_Management_Casting_A_Net.pdf

Layland, A., & Redding, S. (2020). *Strategic performance management: A communication lens.* National Comprehensive Center at Westat. https://compcenternetwork.org/sites/default/files/local/5704/StrategicPerformanceManagementCommunicationLens.pdf

Lewis, L. (2019). *Organizational change: Creating change through strategic communication*. John Wiley & Sons.

Lincoln, P. Z. (2015). Educational equality or educational equity. *Nagoya University of Commerce & Business Administration Journal of Economics and Information Science, 60*(1), 187–203.

Martin, R. (2014, January-February). The big lie of strategic planning. *Harvard Business Review,* 3–8.

Milosavljevic, M., Milanovic, N., & Benkovic, S. (2016). Drivers of performance measure use: Empirical evidence from Serbia. *Management (1820-0222), 78*, 33–43.

Mintzberg, H. (1994, January-February). The fall and rise of strategic planning. *Harvard Business Review*, 107–114.

Mintzberg, H., Ahlstrand, B. W., & Lampel, J. (2009). *Strategy safari: The complete guide through the wilds of strategic management*. Financial Times Prentice Hall.

Murphy, K., & Cleveland, J. N. (1995). *Understanding performance appraisal: Social, organizational, and goal-based perspectives*.

Musk, E. (June 12, 2014). All our patent are belong to you. https://www.tesla.com/blog/all-our-patent-are-belong-you

National Science Foundation & NBC Learn (Producer). (2013, February 16). *Science of innovation: What is innovation?* [Video]. https://www.nsf.gov/news/mmg/mmg_disp.jsp?med_id=73976&from=

Potocki, K. A., & Brocato, R. C. (1995). A system of management for organizational improvement. *John Hopkins APL Technical Digest, 16*(4), 402–412.

Redding, S. (2012). *Change leadership: Innovation in state education agencies.* Academic Development Institute and Wing Institute. http://www.adi.org/downloads/ChangeLeadership.pdf

Redding, S., & Layland, A. (2017). S*trategic performance for your branch: Organizing people and their work in an LEA or SEA division or strand.* Building State Capacity and Productivity Center. http://www.adi.org/spm.html#features17-8m

Redding, S. & Layland, A. (2015). *Strategic performance management: Organizing people and their work in the SEA of the future.* Building State Capacity and Productivity Center. http://www.adi.org/spm.html#features17-8m

Redding, S., Twyman, J. S., & Murphy, M. (2013). What is an innovation in learning? In M. Murphy, S. Redding, & J. Twyman (Eds.), *Handbook on innovations in learning* (pp. 3–14). Center on Innovations in Learning, Temple University & Information Age Publishing. http://www.centeril.org/handbook/

Roza, M. (2016). Making the case for productivity [PowerPoint slides]. https://edunomicslab.org/wp-content/uploads/2016/02/Making-the-Case-for-Productivity-02.11.16Roza-2.pdf

Spillane, J. P., Reiser, B. J., & Reimer, T. (2002). Policy implementation and cognition: Reframing and refocusing implementation research. *Review of Educational Research*, *72*(3), 387–431.

Spruijt, J., Spanjaard, T., & Demouge, K. (2013). *The golden age of innovation: What companies can learn from NGOs when it comes to innovation*. http://papers.ssrn.com/sol3/papers.cfm?abstract_id=2256839

Swaim, R. (2010). *The strategic Drucker: Growth strategies and insights from the works of Peter Drucker*. John Wiley & Sons.

Swayne, L., Duncan, W., & Ginter, P. (2008). *Strategic management of healthcare organizations* (6th ed.). Jossey-Bass.

Szymanska, K. (2016). Organsational culture as a part in the development of open innovation – the perspective of small and medium-sized enterprises. *Management, 20*(1), 142–154. https://www.degruyter.com/downloadpdf/j/manment.2016.20.issue-1/manment-2015-0030/manment-2015-0030.pdf

United Nations Educational, Scientific and Cultural Organization (UNESCO). (2010). *Strategic planning: Concept and rationale*. International Institute for Educational Planning. http://unesdoc.unesco.org images/0018/001897/189757e.pdf

U.S. Department of Education. (2016). *Non-regulatory guidance: Using evidence to strengthen education investments*. https://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseinvestment.pdf

Weber, G. (1971). *Inner-city children can be taught to read: Four successful schools*. Washington, DC: Council for Basic Education. https://files.eric.ed.gov/fulltext/ED057125.pdf

Wren, D. A. (2011). The centennial of Frederick W. Taylor's the principles of scientific management: A retrospective commentary. *Journal of Business & Management, 17*(1), 11–21.

Young, R. D. (n.d.). *Perspectives on strategic planning in the public sector*. http://www.ipspr.sc.edu/publication/perspectives%20on%20Strategic%20Planning.pdf

Zavadsky, H. (2014). State education agency communications process. *Benchmark & Best Practices Project.* Building State Capacity and Productivity Center. http://www.bscpcenter.org/resources/publications/benchmark_and_best_practices_01_benchmarking_sea_strategic_communications.pdf

Zavadsky, H., Berry, T., & Savage, T. (2017). *BSCP Center Strategic Communications Toolbox.* Building State Capacity and Productivity Center. http://www.bscpcenter.org/toolbox/

CHAPTER 2 **SPM IN ACTION**

Chapter 1 described what SPM is and its foundational concepts. Chapter 2 will add tone and texture to this conceptual picture, explaining what SPM looks like in action in states, districts, and schools. Three state education agencies (SEAs), a branch within an SEA, an insular area public school system, the Bureau of Indian Education, and the Hawaii State Public Charter School Commission have engaged in the SPM process since its launch in 2015. In addition, SPM was applied to school improvement efforts in districts and schools in two states. Each agency engaged in the process for its own reasons; however, common across the agencies was a desire to improve the agency's performance to get better student outcomes in the schools. For example, one SEA administrator shared that he engaged in the process to address organizational structure issues, whereas another was given a charge by the State Board of Education and engaged in SPM to operationalize the Board's direction and synchronize the board's intentions with those of the agency. SPM was found useful for new agency leaders as well as providing an opportunity for veteran leaders to reexamine the context and direction of the agency.

> *We did so much more; anytime where we can make significant change and our daily work aligns with our board outcomes is good, and we are still doing it. It is now ingrained in our normal work.*
>
> SEA Director

The entry point into the SPM process varied based on each agency's situation and needs. One agency did not have a strategic plan, whereas another had a plan but had concerns about its implementation. One agency was handed a recently created plan, whereas another had one that was old but was never really implemented. Regardless of the context, need, or entry point, all of the agencies engaged in the facilitated SPM process and continued its use beyond the facilitation.

The successes and challenges throughout the years of facilitation of SPM implementation in these agencies fall into four themes: communication, collaboration, accountability, and best practice. We examine these four themes as we share field examples applying SPM at the SEA, LEA, and school levels.

READINESS FOR STRATEGIC PERFORMANCE MANAGEMENT

The SPM journey began in 2015 with the research and creation of the process and was brought to action with three SEAs: Arkansas, Kansas, and the U.S. Virgin Islands. The work quickly expanded to include a branch in the Missouri Department of Secondary and Elementary Education. In each case, the SPM process began with a Direction Team comprised of the Chief State School Officer (CSSO) or equivalent position and the senior leadership team; however, the teams expanded as the process progressed to include middle management, and later, other employees. In all instances, the success of SPM depended on the full commitment and regular attendance of the CSSO.

Articulating an agency's strategic direction, within the current context and in anticipation of contextual changes, calls for the creation of a clear vision (the agency in its ideal state, how it wants to be viewed by constituents), mission (its purpose), values (the underlying ethics), and goals. In SPM, goals are few, broad, and student-focused, ensuring that each goal incudes all or every student. In addition, goals are not constricted by the format of SMART (specific, measurable, attainable, relevant, and timebound) goals, although all elements are included in the compilation of goals, strategies, milestones, actions, and performance measures in SPM. The separation of the broad, student-focused goals and strategies from their performance measures has proven especially critical to generating the necessary thinking about the goals and strategies apart from consideration of their measurement; and the measures, with their baselines and targets, are more realistically established without being trapped in an indefensible goal, such as 79% of students will read proficiently (isn't our real goal for all students to read proficiently?), or that 100% of high school graduates will matriculate to college (isn't it a worthy goal for some graduates to enter skilled employment or the military?). In SPM, goals are boldly stated for all students (or each student), and the performance measures for them are separate statements, constructed to move forward from established baselines.

SMART goals are not appropriate for every situation, especially when the agency functions within relentlessly shifting contexts. Reeves and Fuller (2018) note that the more malleable the environment, the more ambitious and broad goals should be. Although SEAs have federal and state statutes and regulations to deal with, they now have more flexibility than ever to shape the context and expectations for their schools. "Broad goals can facilitate the exploration necessary to navigate unpredictable environments" (Reeves & Fuller, 2018, p. 2). An early adopter of SPM created a broad goal and related strategy on student-focused learning systems that pressed staff thinking. What is a student-focused learning system, and what does it look like when it is working well? The uncomfortableness of not knowing the answers to these questions gave way to creative thinking and collaborative learning resulting in more innovative approaches to instruction and schooling. The breadth of the goal meant it would remain apt for many years to come, whereas the goal's strategies would change over time and milestones would be set annually.

Performance management focuses on the performance of the entire organization and the subunits which constitute it, as they have defined their direction, goals, and measures of performance, and, significantly, as they have planned their own work. SPM calls for a deep analysis of functions, structures, and performance including an examination of what is working and what is not working within an agency. The

Operations Team in Module B analyzes current functions and structures and compares the analysis to functions and structures needed to effectively pursue the goals and implement the strategies. The result is the identification of gaps and redundancies and problem-solving discussions to address each. For example, one SEA realized research was a critical functional gap, while another reorganized its personnel based on the analysis.

All too often, SEAs' work occurs in silos driven by funding sources. For example, federal programs and student services are often seen as separate units even though the emphasis on evidence-based instructional practices is a critical part of the work in both. Child nutrition is often part of an operational division, not a division related to instruction even though nutrition is a critical part of early childhood development and instructional readiness.

> *...it was good to see all of us sharing some of the same concerns, likes and dislikes, and how we function as a group, not just CTE.*
>
> SEA Division Leader

Module C engages staff at all levels of an agency in action planning which includes identifying needed collaborators for the work. 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. The Leadership Team defines collaboration for the agency, describes what it looks like within the context of the agency, and details a process to select, engage, and deselect collaborators and collaborative teams as a fluid component of planning and performance management. As a result, each SEA saw a marked increase in purposeful and effective collaboration across the agency.

> *We are collaborating so much more; we know each other's work and are making stronger connections.*
>
> SEA staff member

One of the most significant shifts in agencies engaged in SPM implementation was the clarity about accountability for results at the individual, team, and agency levels. The transition from routine and reflexive compliance with requirements for the job, program, or agency, to an innovative approach that gets results through well-designed work plans and savvy adjustment in course has been palpable. This is the desired effect of a performance management methodology. Attempts at true performance management beyond the individual often fail due to: (1) a disjointed menagerie of tools, practices, and techniques; (2) losing sight of the original construct being measured; and (3) lack of adequate alignment with overall goals and strategies (De Waal & Van Der Heijden, 2015; Milosavljevic et al., 2016; Potocki & Brocato, 1995). It is critical for a performance management system aligned to an organization's goals and strategies to include activities designed and "owned" by the staff responsible for their execution. Feedback data are scrutinized to improve results, adjust course, and reallocate supports, not to assess blame. This is an attitudinal change from a "gotcha" mentality sometimes found in bureaucracies. "If these [performance management] activities do not add value to an organization or align with its strategic direction, they will fail to make a meaningful contribution to the bottom line, and they will be discarded" (Potocki & Brocato, 1995, p. 403).

In SPM, Module D engages key teams in implementing a performance management cycle. The Leadership Team—comprised of the chief executive, Division leaders, and other key, agency-wide administrators—implements a performance management cycle with specific review routines:

Monthly Status Reporting

Every month, each lead Unit (Unit members and collaborators) meets (in person or, for some, virtually) to review progress on the actions they have planned, report status, and adjust course as needed. Unit Teams adjust people and resources, as needed, and identify any recommendations to make to the Division Team (Division leader and Unit leaders).

Quarterly Division Team Performance Review

Each quarter, the Division Teams (Division leader and leaders of Units in the Division) 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.

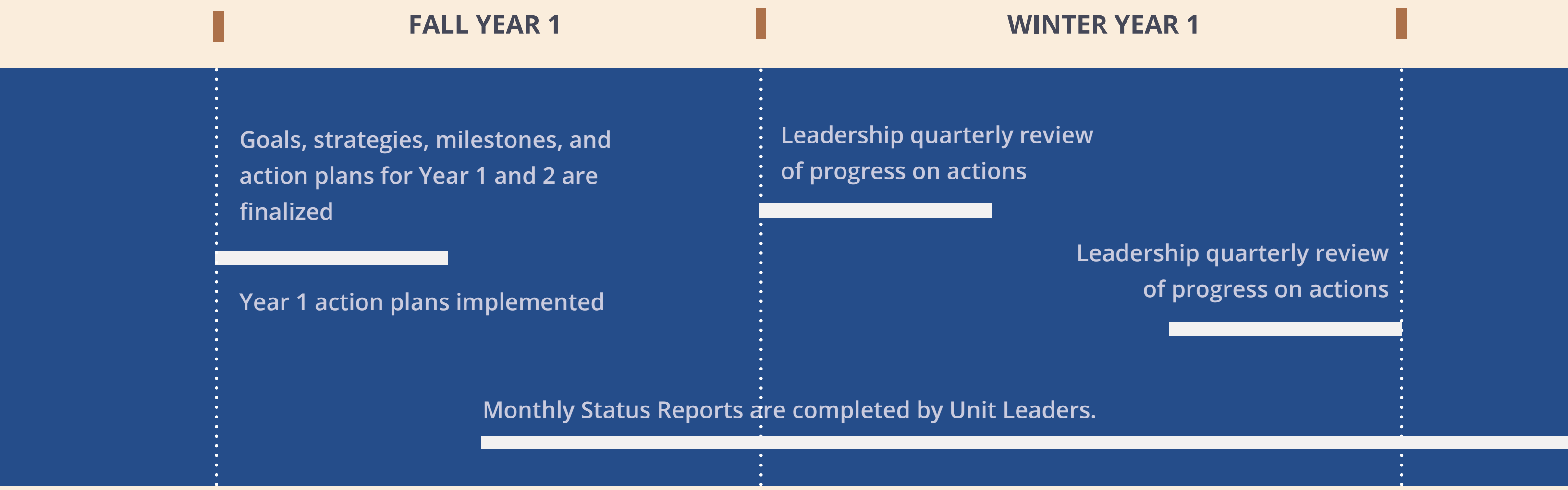
Annual Leadership Team Performance Review

At least once a year, the Leadership team (CSSO, agency-wide leaders, and Division leaders) meets to review performance data relative to milestones and performance measures. The team adjusts milestones for the coming year, updates performance measures, and sets targets two years ahead (Layland & Redding, 2017, Redding & Layland, 2020).

Both implementation data (milestones and actions) and results data (goal and strategy performance measures) are used to provide supports to address challenges and make timely adjustments to stay on course. Figure 2.1 depicts one year of a Performance and Innovation Cycle.

FIGURE 2.1

ANNUAL PERFORMANCE AND INNOVATION CYCLE



There were cultural, professional, and conceptual barriers that we did not realize that came out that we are still addressing.

Charter School Commission Director

Each SEA reported a significant shift in culture as the performance management process took root. As Peter Drucker, the management guru, proclaimed, "Culture eats strategy for breakfast" (cited in Campbell et al., 2011), thus organizational culture must match strategy to achieve high-quality implementation. Schein (1985) noted that because culture can restrain a strategy, the organization must shift to a culture supportive of its goals. The SPM process uncovers and addresses cultural issues, from poor communication to lack of collaboration to inconsistent terminology. SEA leaders observed that a happy byproduct of the hard work of SPM was the emergence of a more cohesive, collaborative culture focused on strategic work.

SPRING YEAR 1

Leadership quarterly review of progress on actions

SUMMER YEAR 1

Year 1 milestones reviewed; Year 2 milestones adjusted based on data

Leadership End-Of-Year Review and Annual Report

Year 3 milestones and action planning details for each milestone are developed

LOCAL EDUCATION AGENCIES AND SCHOOLS

SPM can be applied at a local education agency (LEA) level in much the same way it is applied at the SEA level. The district Superintendent and his or her Leadership Team engage in moving through the process and identifying staff to participate in the various teams. The result is a solid, foundational, strategic direction with actionable plans to meet milestones, implement the strategies, and move closer to realizing the goals. However, the real power of SPM at the LEA level is when it is used as a strategic performance network with schools. Layland and Redding (2017) outlined a framework to apply strategic performance management within networked systems of support, and Layland and Corbett (2017) went one step further and applied the framework to school improvement. The result is strategic networks of performance (SnPM).

SnPM encourages and facilitates each agency's (SEA, LEA, or school) self-determined, aspirational pursuit of better education within a structure of common data elements, common domains and best practices, and routine reporting cycles that enable a collaborative and supportive system capable of making course corrections and providing responsive supports to address implementation issues. "Structured autonomy, a key concept in this approach to the improvement cycle, emphasizes the importance of granting each agency (SEA, LEA, or school) the opportunity to set its own direction and fit improvement strategies to its own context while structuring the needs assessment, planning, and reporting processes within common categories that facilitate interlaced data and responsive supports" (Layland & Corbett, 2017, p. 2).
For example, each agency has goals and goal measures that are aligned yet selected or created by each agency's leadership team as seen in Tables 2.1 and 2.2 (Layland & Corbett, 2017).

TABLE 2.1

EXAMPLE ALIGNED GOALS

EXAMPLE GOALS
SEA Goal: Each student will meet or exceed readiness benchmarks along the pathway to graduate prepared for college, career, and community engagement.
LEA Goal: Each student will meet his or her growth targets to successfully move to the next school level (elementary, junior or middle school, high school).
School Goal: Each student will meet his or her growth targets each year.

TABLE 2.2

EXAMPLE GOAL PERFORMANCE MEASURES

	INDICATOR	DATA SOURCE	BASELINE	YEAR 1 TARGET	YEAR 2 TARGET
SEA	The percentage of students that meet growth goals each year	State assessments using the state growth model	82%	4% increase	5% increase
	The percentage of students graduating from high school	Adjusted cohort graduation rate	71%	3% increase	5% increase
LEA	The percentage of students that meet growth goals each year	State assessments using the state growth model	64%	5% increase	10% increase
	The percentage of students who move to the next level prepared to succeed	Competency-based performance portfolios	Gr 5: 68% Gr 8: 61%	At least 70%	At least 80%
SCHOOL	The percentage of students that meet growth goals each year	State assessments using the state growth model	18%	At least 30%	At least 50%
	The percentage of students who move to the next level prepared to succeed	Competency-based performance portfolios	22%	At least 30%	At least 50%

As schools review their data and complete a comprehensive needs assessment, they identify indicators (best practices) to implement to address weaknesses. Professional development and supports can then be identified across schools and be provided in a more productive, targeted way.

TABLE 2.3

COMMON DOMAINS AND INDICATORS

SCHOOLS	DOMAIN 1: LEADERSHIP	DOMAIN 2: TALENT DEVELOPMENT	DOMAIN 3: INSTRUCTIONAL TRANSFORMATION	DOMAIN 4: CULTURE
SCHOOL A	1a: Prioritize improvement and communicate urgency		3c: Provide rigorous evidence-based instruction	4c: Engaging students and their families in pursuing education goals
SCHOOL B	1a: Prioritize improvement and communicate urgency		3c: Remove barriers and provide opportunities	4c: Engaging students and their families in pursuing education goals
SCHOOL C		2a: Recruit, develop, retain, & sustain talent 2b: Target professional learning	3c: Remove barriers and provide opportunities	4c: Engaging students and their families in pursuing education goals

(Center on School Turnaround, 2017)

Layland and Redding (2017) note that

> "performance can be strategically managed across many organizations at different levels of the system (state, district, school, for example) if their plans and operational procedures include common elements. Note that this system does not dictate the content of the work, for example the goals chosen, or the strategies employed. It is the structure of a process that results in routine flow of two kinds of data:
>
> - Implementation data in the regular performance reviews of progress status for actions and milestones;
> - Outcome data in the performance measures for strategies and goals.
>
> This operational structure and data protocol establish high-quality performance management in each agency (state, district, school) and enable routine reporting of each agency's implementation and performance. Routine and consistent reporting makes possible precise targeting of supports and interventions, adjustment in course, innovation, and efficient allocation of resources."

Tables 2.4, 2.5, and 2.6 provide examples at the SEA, LEA, and school levels. (p.4)

As each agency implements its SPM system, data within and across the agencies are interlaced to tell the performance story at the state, district, and school levels. Monthly status of actions and the completion of annual milestones are data points that indicate implementation fidelity. For example, if School A reported that actions are behind schedule due to lack of understanding about how to plan and design lessons for more personalized instruction, the district could then provide the right supports to School A. In addition, if multiple schools in the district were working on the same practice and quarterly data indicated a number of them were having the same implementation difficulties, supports could be provided to the group of schools. Going one step further, if the SEA examined the data and found that multiple districts were having the same issues implementing a practice, then the SEA could better target its supports to those districts. This changes the face of professional development from one size fits all to more targeted, responsive training and supports.

TABLE 2.4

SEA SPM EXAMPLE

State Level

Table 4: State of Anywhere—Descriptive and Strategic Performance Data

State Type	Mid-size population; urban, suburban, rural	
Grade Levels	Pre-K–12	
ELA Proficiency	72%	
Math Proficiency	69%	
Graduation Rate	86%	
Status	None	
Leadership Team	Commissioner, 6 Assistant Commissioners, 6 Directors	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys—aggregated from all districts	
Strategic Goals Adopted	5	
Total Strategies Adopted	20	
Total Year 1 Milestones	42	
Total Year 1 Actions	149	
Sample Goal	Each student will be actively engaged in college, career preparation, military service, and/or competitive employment one year after graduation.	
Sample Goal Performance Measure	Indicator	% graduates enrolled in two- or four-year college for fall of year following graduation
	Data Source	National Student Clearinghouse
	Baseline	39%
	Target Yr 1	41%
	Target Yr 2	42%
Strategy 1 for this Goal	**If we** support schools through a flexible, comprehensive state accountability system that includes graduation rate and first-year post-secondary engagement results, **then** educators employ student engagement, re-engagement, and alternative learning opportunities as needed, **and** students will graduate and become actively engaged in college, career preparation, military service, and/or competitive employment one year after graduation.	
Sample Strategy Performance Measure	Indicator	% of districts with designated student re-engagement programs
	Data Source	District Consolidated Report
	Baseline	37%
	Target Yr 1	50%
	Target Yr 2	60%

(Redding & Layland, 2017, p.24)

TABLE 2.5

LEA SPM EXAMPLE

District Level

Table 3: District X—Descriptive and Strategic Performance Data

District Type	Unit; 6 elementary, 2 middle, 1 high school	
Grade Levels	Pre-K–12	
ELA Proficiency	76%	
Math Proficiency	78%	
Graduation Rate	88%	
Status	Continuous improvement trajectory	
Leadership Team	Superintendent, Assistant Superintendent, 3 Department Heads, revolving Principals	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys—aggregated from all schools	
Strategic Goals Adopted	6	
Total Strategies Adopted	18	
Total Year 1 Milestones	37	
Total Year 1 Actions	128	
Sample Goal	All students will develop learning acquisition (metacognitive) skills appropriate to their grade level and growth trajectories.	
Sample Goal Performance Measure	Indicator	% students earning a rating of Well Done or better on annual examination by teachers of Learning Acquisition Portfolio
	Data Source	District Learning Acquisition Portfolios for all students
	Baseline	NA
	Target Yr 1	TBD
	Target Yr 2	TBD
Strategy 1 for this Goal	**If we** develop grade-level guidelines for Learning Acquisition Portfolios, **then** teachers will facilitate creation of the portfolios for all students, **and** all students will develop learning acquisition (metacognitive) skills appropriate to their grade level and growth trajectories.	
Sample Strategy Performance Measure	Indicator	% of teachers whose students created a Learning Acquisition Portfolio
	Data Source	Teacher report
	Baseline	NA
	Target Yr 1	TBD
	Target Yr 2	TBD

(Redding & Layland, 2017, p.23)

TABLE 2.6

SCHOOL SPM EXAMPLE

School Level

Table 1: School A—Descriptive and Strategic Performance Data

School Type	Elementary	
Grade Levels	K–8	
ELA Proficiency (3–8)	33%	
Math Proficiency (3–8)	42%	
Status	In need of improvement	
Leadership Team	Principal, Assistant Principal, Grade Level Teacher Leads	
Diagnostic Assessment	Student performance data, professional practice data, stakeholder input from surveys	
Strategic Goals Adopted	3	
Total Strategies Adopted	7	
Total Year 1 Milestones	14	
Total Year 1 Actions	53	
Sample Goal	Each student in grades 3–8 will meet or exceed his/her math and ELA growth targets each year	
Sample Goal Performance Measure	Indicator	% students meeting or exceeding growth targets in ELA and math
	Data Source	State standards-based assessment in Gr. 3–8
	Baseline	ELA = 33%; Math = 42%
	Target Yr 1	ELA = 37%; Math = 45%
	Target Yr 2	ELA = 46%; Math = 50%
Strategy 1 for this Goal	**If we** engage our Instructional Teams in developing standards-aligned units of instruction and examples of lesson plans that personalize instruction, **then** teachers will plan and deliver standards-based and personalized instruction, **and** all of our students will meet or exceed their math and ELA growth projections.	
Sample Strategy Performance Measure	Indicator	% of teachers with more than 80% of their completed (taught and reflections recorded) lesson plans based on standards-aligned units of instruction and personalized learning instructional practices
	Data Source	Online lesson planning system
	Baseline	29%
	Target Yr 1	70%
	Target Yr 2	90%

(Redding & Layland, 2017, p.21)

This incipient methodology was introduced in Oregon with the District and School Effectiveness Office of the Oregon Department of Education. Oregon's continuous improvement process includes elements of performance management. Over the course of a year, district coaches were identified and trained to facilitate the new continuous improvement process that includes strategic performance management. The process begins with identification of vision, mission, and goals, followed by strategies composed as theories of action. As in the SEA version of SPM, each strategy is stated using the **If we…,then…and…** format with the "and" connecting to the goal. The logic of the hypothesis created through the theory of action leads to actions and outputs to achieve annual measurable targets. "Formulating a Theory of Action brings deeper meaning to the strategy for those not only doing the work, but those that will be impacted by the work. It can also provide clarity when considering how to measure the work's impact" (Layland & Redding, 2019, p. 30). Figure 2.2 details a Theory of Action.

FIGURE 2.2

STRATEGY THEORY OF ACTION

If we…	***The practice we want to implement in pursuit of a student-focused goal***
then…	***The immediate impact on adult practice***
and …	***The long-term impact on student learning or behavior***

By adding elements of SPM to a continuous improvement process, district staff receive timely implementation and results data to inform responsive supports needed to assist schools in implementing their improvement plans.

In the U.S. Virgin Islands Department of Education (VIDE), SPM was expanded to the school level by applying it to a three-year collaborative school improvement cycle. A school-based Collaborative Success Team creates or revisits its vision, mission, and values. School goals parallel the VIDE goals, with school-specific performance measures. The comprehensive needs assessment goes beyond school demographic and student performance data to include program data (what is the implementation, impact, and cost effectiveness of each program implemented by the school) and practice data (what and how evidence-based practices are being used). The Collaborative Success Team engages staff in not only discussing the data but also selecting the practices and indicators to be pursued over the next three years, adjusted twice a year, and reviewed monthly. A performance cycle enables monitoring and progress reporting, and data are used to adjust course for success.

Productivity, accountability, and communication are all enhanced through the interlaced data gathered across the network of schools, and responsive supports based on best practices are then provided by the district in a timely manner. Performance data are derived from the performance measures for each agency's goals and strategies. The goals are based on desired student outcomes. The strategies describe the agency's major initiatives in pursuing the goals. Annual accounting of progress on goal and strategy performance measures, then, is an indication of the education system's effectiveness as well as the strengths and weaknesses of each agency's efforts. As with implementation data, coding of goal and strategy topics enables analysis of data across agencies and across system levels, even though each agency retains autonomy in setting its direction, including determining its goals and strategies.

Each agency adjusts its milestones and actions for the coming year, and it may reconsider strategies although a single year's data is typically not sufficient to determine the efficacy of a strategy. Responsive supports from outside the agency may come from external service providers, renegotiating their services in light of the data, or from other organizations (district responding to school data; state responding to district and school data). In addition to adjustments in supports for individual districts and schools, the state, through the interlacing of data, sees larger, system patterns that may shift its broader-gauged technical assistance programs. The SPM process builds a system of supports focused on implementation and performance results, but this is just one facet of the power of SPM.

REFERENCES

Center on School Turnaround. (2017). *Four domains for rapid school improvement: A systems framework*. WestEd. http://www.adi.org/downloads/CST_Four-Domains-Framework-Final.pdf

Campbell, D., Edgar, D., & Stonehouse, G. (2011). *Business strategy: An introduction.* Palgrave McMillan.

De Waal, A. A., & Van Der Heijden, B. (2015). The role of performance management in creating and maintaining a high-performance organization. *Journal of Organization Design, 4*(1), 1–11.

Layland, A., & Redding, S. (2017). *Casting a statewide strategic performance net: Interlaced data and responsive supports*. Building State Capacity and Productivity Center. http://www.adi.org/downloads/Strategic_Performance_Management_Casting_A_Net.pdf

Layland, A., & Redding, S. (2020). *Strategic performance management: A communication lens.* National Comprehensive Center at Westat. https://compcenternetwork.org/sites/default/files/local/5704/StrategicPerformanceManagementCommunicationLens.pdf

Layland, A., & Corbett, J. (2017). *Utilizing integrated resources to implement the school and district improvement cycle and supports: Guidance for schools, districts, and state agencies.* Council of Chief State School Officers.

Milosavljevic, M., Milanovic, N., & Benkovic, S. (2016). Drivers of performance measure use: Empirical evidence from Serbia. *Management (1820-0222), 78*, 33–43.

Potocki, K. A., & Brocato, R. C. (1995). A system of management for organizational improvement. *John Hopkins APL Technical Digest, 16*(4), 402–412.

Redding, S., & Layland, A. (2017). *Strategic performance for your branch: Organizing people and their work in an LEA or SEA division or strand*. Building State Capacity and Productivity Center. http://www.adi.org/spm.html#features17-8m

Reeves, M., & Fuller, J. (2018, March 21). When SMART goals are not so smart. *MITSloan Management Review.* https://sloanreview.mit.edu/article/when-smart-goals-are-not-so-smart/

Schein, E. H. (1985). *Organizational culture and leadership.* Jossey-Bass.

PART B:
IMPLEMENTING SPM

CHAPTER 3 **SPM PROCESS**

Implementing SPM calls for specific teams. The Leadership Team includes the leader of each division (plus the Chief and such people as the Chief of Staff and Legal Counsel, etc. as the Chief determines). The Division Team includes the leaders of each Unit in the Division. The Unit Team is the Unit Leader and all members of that Unit. Teams may add collaborators via the process established to create and disband collaborative teams. For the implementation of SPM, a Direction Team, Operations Team, and Design Team are created for specific purposes in each SPM module, limited in duration. For SPM, a Performance Measures Team is suggested as a working group to set performance measures and annually update them. A Communication Team is also suggested if one does not currently exist in the agency.

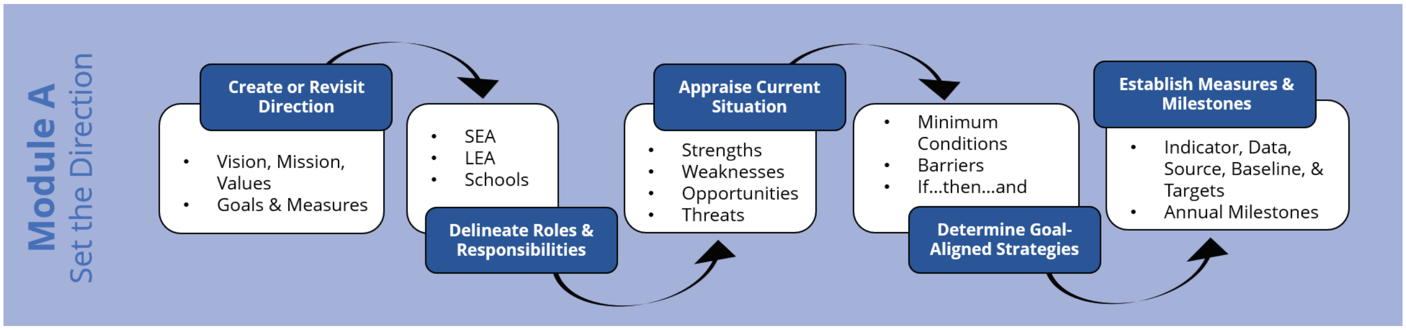
SPM MODULE A: SET THE DIRECTION—

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

Participants: Direction Team - CSSO or Superintendent and Leadership Team (Division Leaders), Communications Director, SPM Lead Contact for the agency; other agency-wide personnel such as legal, financial, human services if not already on Leadership Team; *may include representatives from school board or state board or similar entities at the discretion of the CSSO or Superintendent*

FIGURE 3.1

SPM MODULE A



In Module A of SPM, the Direction Team designated for this Module by the CSSO or Superintendent: (1) creates, modifies, or confirms the SEA's or LEA'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	¼ hour
Overview of Strategic Performance Management	¼ hour
Step 1: Create or Revisit the Direction	5 ½ hours
Step 2: Delineate the Roles and Responsibilities	1 ½ hours
Determine Data and Stakeholder Input for Next Session	½ hour
Before Next Session: Gather Goal Data and Input	
Session 2 (8 hours)	
Recap of Session 1	½ hour
Step 3: Appraise Current Situation SWOT Analysis	3 hours
Step 4: Determine Goal-Aligned Strategies	4 ½ hours
Session 3 (8 hours)	
Recap of Session 2	½ hour
Step 5: Establish Measures and Milestones	6 hours
Wrap-Up and Review of Module A	1 ½ hours

MODULE A SESSION 1

STEP 1 CREATE OR REVISIT THE DIRECTION

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

The Direction Team thinks about the ideal education system and considers what it would look like for a student going through school in this ideal state. 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.

VISION

The vision portrays the agency in its ideal form. Thus, the vision statement paints a picture of the optimally functioning SEA or LEA—what it looks like, how it might ideally be described by a stakeholder. 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 vividly descriptive.

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 21st century workforce.

MISSION

The mission statement succinctly presents the agency's purpose. It describes what the agency 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, for example, 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 con-

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** which 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 SEA's or LEA's ways of operating. Articulating the agency's values roots the mission and vision statements. Values, together with the vision and mission, provide a clear picture of what the agency is and what it strives to be for all stakeholders.

- ***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 expecta-*

GOALS

Goals, when accomplished, make the vision a reality. They demonstrate that the agency's mission is being carried out and the agency 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 are not 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 Team 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 competencies (skills, habits, attitudes that are desired but not measured by academic markers) as well as academic outcomes.

Every student will start strong with a foundation of knowledge, skill, attitude, and habits 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 SEA or LEA typically includes at least one organizational goal focused on improving the agency and its operational functions. This may include, for example, a commitment to performance management, internal communication, and relationships with personnel. The goal is broad enough to call for strategies related to both required functions (e.g., monitoring and reporting) as well as other 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 benefits 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 Team identifies what reaching each goal will mean for students, families, and employees. This discussion builds a deeper understanding of the goal and tells why each goal is important. The Team also engages employees and other stakeholders in this same discussion when they share the goals and gather feedback during listening sessions. Along with the goals themselves, the Direction Team constructs "goal explanations," a paragraph to explain the Team's intent and give more meaning to the goal statement so everyone will have the same understanding.

The SEA or LEA may already have identified goals related to the vision, mission, and values. If goals do exist, it is recommended that the Direction Team reexamine them to determine if the goals will result in carrying out the mission and are relevant to the current context and clients.

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 that are prepared, with annual targets for improvement.

Goal: *Every student will start strong with a foundation of knowledge, skill, attitude, and habits 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 agency.	____ Yes	____ No
2. The mission statement clearly expresses the purpose of the agency.	____ Yes	____ No
3. The values express the ethics that are the underlying foundation of the agency'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 agency 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

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

The identified goals bring meaning to the vision and mission of an SEA or LEA, but schools, teachers, and families have more direct impact on student-focused goals. A state education system 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 down to the classroom level. The LEA is the go-between for the state and the schools with more direct influence on its schools. The complexity of a multilevel 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 doing. The same understanding must be struck between the district and the school.

EXAMPLE

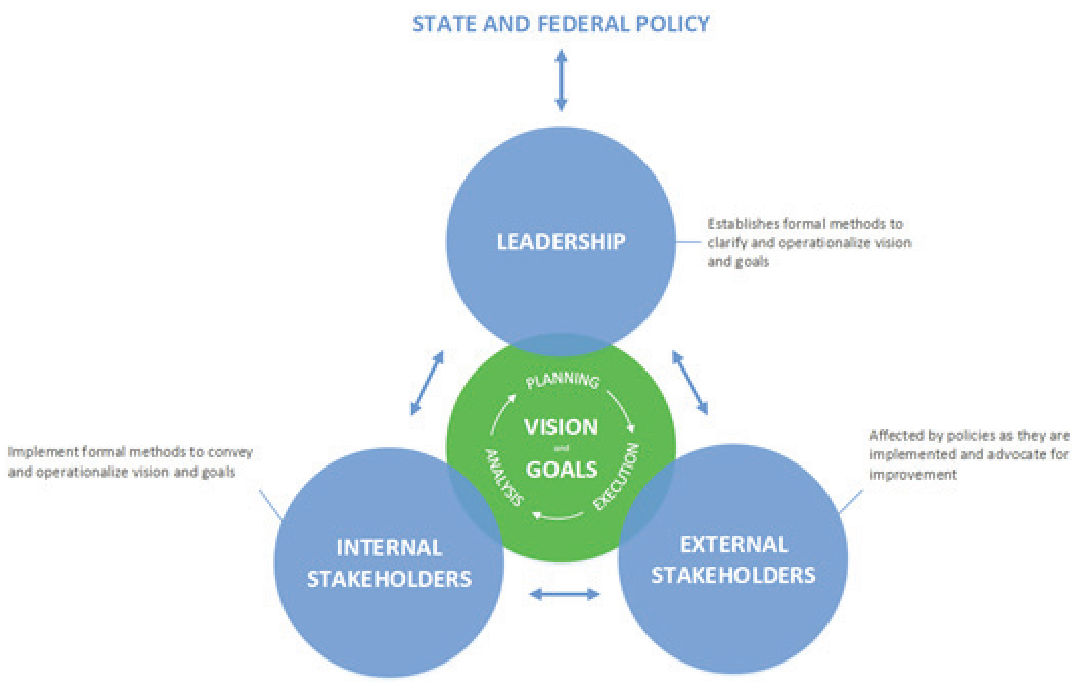
STATE A	DISTRICTS in STATE A	SCHOOLS in DISTRICTS in STATE A
Adopt or develop standards	Develop curriculum frameworks and provide core and supplemental curriculum resources	Design and teach lessons aligned to standards; utilize core and supplemental resources and provide feedback on effectiveness

COMMUNICATION LENS

The SPM process, through its communication lens, encourages the SEA or LEA to engage internal and external stakeholders in gaining a common understanding of the vision, mission, values, and goals. The opportunity for stakeholders to lend their voice by providing feedback and in understanding everyone's role and responsibilities builds a sense of combined ownership rather than a top down dissemination of information. Figure 3.2 depicts a framework for communicating the SEA's or LEA's direction (Zavadsky, 2017).

FIGURE 3.2

BSCP STRATEGIC COMMUNICATION FRAMEWORK



At the end of Session 1, the Team engages staff in finalizing the vision, mission, values, goals, and measures by:

- Conducting discussions with small, mixed groups of employees using questions such as
  - What do 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, roles, and responsibilities. A broader communications action will engage more representatives at the end of Module A.

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

PREPARATION FOR SESSION 2

Relevant available data for discussing the goals, including input from stakeholders, are to be gathered before the next session for use in the SWOT analysis. Often the challenge of this preparation is not finding the data but determining what data are most useful for this analysis. Who will gather what data? Are there current data on stakeholder perception and satisfaction? 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

RECAP SESSION 1

The Direction Team reviews feedback and responses gathered from the group discussions and makes any adjustments to the vision, mission, values, goals, and measures based on input. Follow-up communication to stakeholders that were engaged is composed informing them of how input was used or will be used to strengthen the work and process.

STEP 3 APPRAISE CURRENT SITUATION

FRAMING DISCUSSION

After creating or reviewing the goals, the Direction Team engages in a deep, candid discussion regarding the current situation in relation to the goals. Previously, the Team discussed what it would look like if it reached its ideal state, what the student might experience, the student's family's experience, and the teacher's or principal's experience. Now the Direction Team examines what the current, actual experience is for a student and the student's family. What are the perceptions about schooling from various stakeholders including students, families, clients, 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 strategies through which the SEA or LEA can effectively pursue each goal.

SWOT ANALYSIS

Conducting a **SWOT** analysis for each goal provides a clear picture of what is happening now. The information 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).

- **Strengths** are capabilities that enable the SEA or LEA to perform well and should be leveraged to sustain or increase performance.
- **Weaknesses** are characteristics that hinder SEA or LEA 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 SEA's or LEA'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.

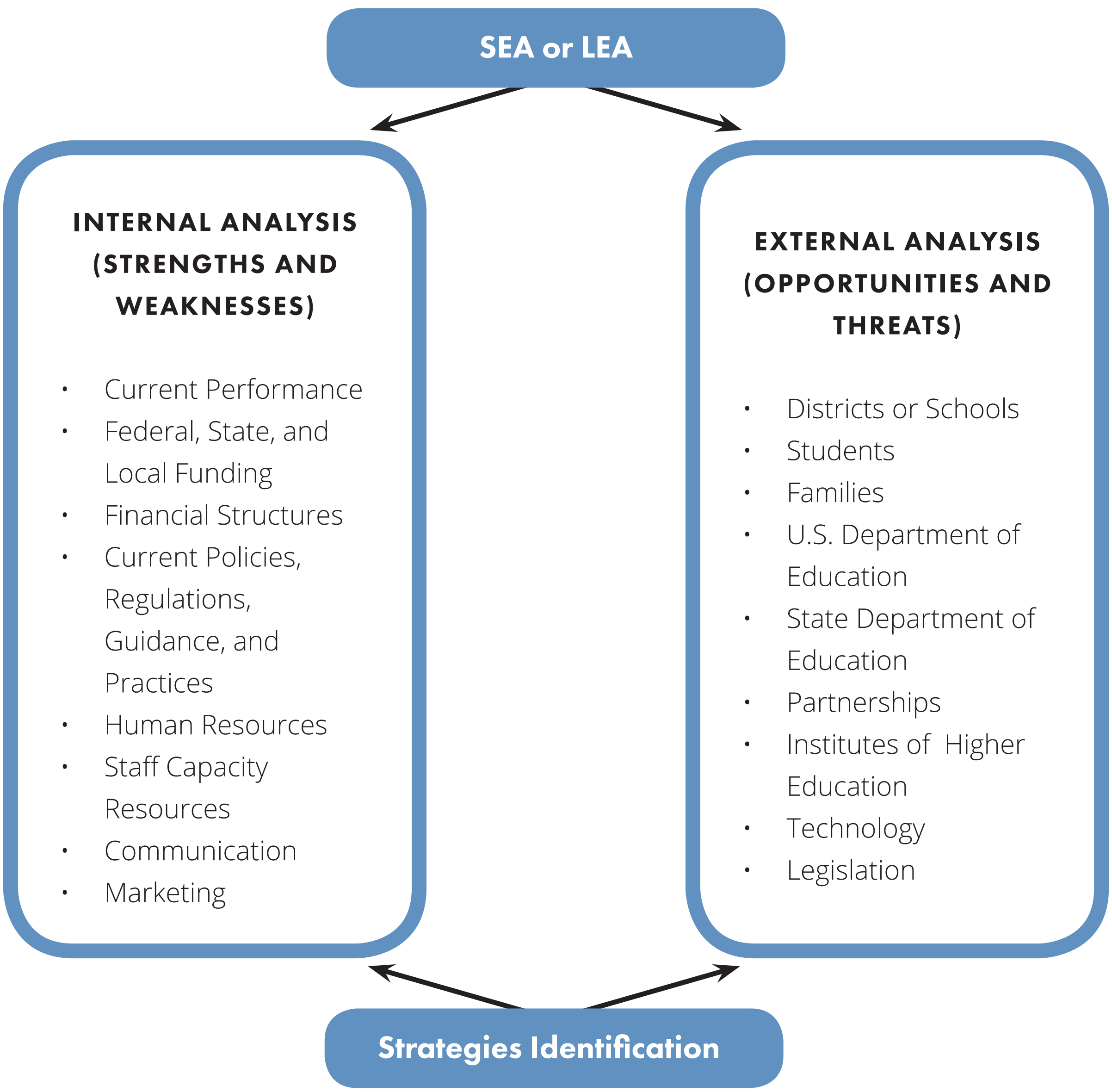
Analyzing the internal factors affecting an SEA or LEA reveals strengths and weaknesses in policies, practices, operational systems, culture, resource allocation, and human capital. By analyzing the external factors in achieving each goal, the Direction Team also uncovers and better understands threats 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 constant upgrading of 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 really well and are valued by its constituents. The strength analysis examines the SEA's or LEA's core capabilities and processes, financial condition, management, culture, and services to the field. How can strengths be leveraged to take advantage of opportunities? In determining weaknesses, the Direction Team candidly identifies inefficiencies and areas of ineffectiveness. 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 3.3 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 of each organizational strength, weakness, opportunity, and threat and sets the stage for the strategic process (Harvard Business School Press, 2006b).

FIGURE 3.3

INTERNAL AND EXTERNAL FACTORS FOR SWOT ANALYSIS BY SEA OR LEA



	STRENGTHS	WEAKNESSES
INTERNAL	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**
EXTERNAL	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.

INNOVATION LENS

An *innovation lens* is applied, especially when examining the needs of business and industry in the state or district today and what type of workers are needed in the future. It is easy to get tied up with the current situation and what led to it, the current industries, and their workforce needs; however, now is the time to push thinking beyond the current. What might jobs look like 10 or 20 years from now? What education and training will that workforce require? What are the national and global trends, and what are trends telling us about future workforce needs? Using an innovation lens allows the Direction Team to reach beyond the current state and think about future trends.

PRODUCTIVITY LENS

A productivity lens is applied during the SWOT. What is the agency doing well and why? What are the weaknesses and why? How can strengths be leveraged to take advantage of opportunities? How can weaknesses be addressed to minimize high-priority threats? Is there a culture that values equity across the agency? Are resources being allocated in an equitable way? If not, what are the barriers or challenges preventing equity? Are those challenges related to external or internal factors? Are there partners or other organizations that model 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 using more resources? Why?

QUALITY CHECK

1. The Team gathered and used available 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 agency.	____ 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

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

Strategies describe what the SEA or LEA will do to more closely approximate the goals in carrying out the agency's mission. Strategies tell how the SEA or LEA gets from "here" (the current situation) to "there" (the ideal situation represented by the vision). Strategies are constructed with the understanding that achieving the performance targets attached to the strategies will move the dial to more closely approximate the goal itself.

A strategy is not as specific as a milestone (an annual expectation) or action (a work activity on the route to a milestone), yet it leads to the type of milestones and actions that need to occur 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 SEA or LEA 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 agencies operate with set standards and procedures that must be followed. The strategy often comes from top leadership 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 and discretion of the providing agency. Figure 3.4 provides detail on the difference between intentional and emergent strategies.

FIGURE 3.4

STRATEGY TYPES

INTENTIONAL

- Routinized
- Aligned with clearly formulated organizational intentions
- May appear to be top-down

EMERGENT

- Adaptive or flexible
- Based on patterns and changing variables
- Group formation and execution

INNOVATION LENS

The Direction Team utilizes the following steps to encourage innovative thinking and identify the most impactful strategies that could be implemented to more closely approximate the goals.

(1) Generate Possibilities

The Team begins by generating possible strategies to move closer to the goal. What are all 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: possible strategies may stretch the current capacity of the agency but should be within the reach of practicality.

(2) Consider Conditions, Barriers, and Alternatives

For each possible strategy, the Team identifies the conditions that must occur for the strategy to become a reality (Lafley et al., 2012). What would have to be true for the strategy to be supported and succeed? The SEA or LEA 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 SEA or LEA also identifies the barriers to success. What barriers can be overcome or removed, and which barriers 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?

(3) 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 utilize 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?

BEST PRACTICE LENS

A best practice lens focuses on questions such as, Is the possible strategy reflective of best or sound practice? Will it result in districts and schools applying best practices? Will it result in educators being able to select and use best practice in their teaching? Strategies selected would be those that not only have conditions that can be met with the least number of barriers but are ones that when implemented encourage the use of and support conditions for best practices when instructing students.

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 support. The stronger the logic, the easier it will be to define milestones and actions 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 that will be impacted by the work. It can also provide clarity when considering how to measure the work's impact. The "and" statement in the Theory of Action is the student-focused goal itself. Figure 3.5 details a Theory of Action.

FIGURE 3.5

STRATEGY THEORY OF ACTION

If we... ***The practice we want to implement in pursuit of a student-focused goal***

then... ***The immediate impact on adult practice***

and ... ***The long-term impact on student learning or behavior***

EXAMPLE

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 post-secondary 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 post-secondary 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 relationships 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.*

BEST PRACTICE LENS

A best practice lens is applied to both the "**if we**" and "**then**" parts of the strategy statement. Is what the SEA or LEA does reflective of best practice? Is the anticipated impact on educators reflective of sound practice? In other words, is the agency encouraging and creating the right conditions for the districts and schools, and teachers and leaders within those schools, to seek and implement best practices?

PRODUCTIVITY LENS

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 agency? Will the cumulative effect of the strategy move the agency closer to realizing the goal?

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 or LEA is successfully getting closer to achieving the goal.	____ Yes	____ No

MODULE A SESSION 3

RECAP SESSION 2

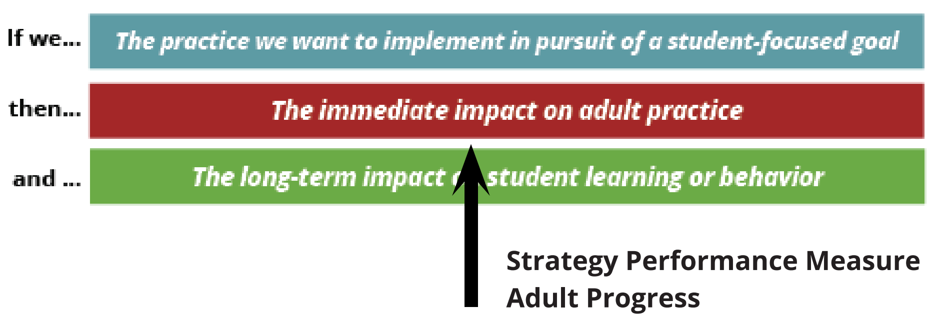
The Direction Team reviews the strategies within the context of the vision, mission, values, goals, and measures. Altogether these should set a strong direction for the agency.

STEP 5 ESTABLISH MEASURES AND MILESTONES

Similar to goal measures, strategy performance measures are comprised of one or more **indicators, each with data sources, baseline,** and **targets**. The focus of the strategy measures is the "then" part of the Theory of Action statement (see Figure 3.6), the agency's immediate impact on its client (district or school) and adult practice.

FIGURE 3.6

STRATEGY PERFORMANCE MEASURE FOCUS



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

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 time period for the strategic direction, 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. If a Performance Measures Team was identified after Session 1, it should review the strategies and measures in light of the goal and goal measures to determine if there is clear alignment. Will the measures provide a clear picture of the impact of the SEA or LEA work on changing adult practice and improving student results? The Performance Measures Team communicates with the Direction Team providing feedback and suggestions to strengthen the measures and alignment with the strategies and goal measures.

PRODUCTIVITY LENS

When applying the productivity lens to the strategy performance measures, these questions surface: What data are already available? What new data are needed? What is the most productive way to collect and report the data? Are there any redundancies? If so, how can these be eliminated?

INNOVATION LENS

Using the innovation lens raises a new set of questions. Are the measures understandable to stakeholders? Are there innovative and effective ways to explain the measures, especially to parents and the community? What format would be most meaningful to the various audiences? Is one format more effective for one audience than another? How can the measures and data be shared year after year?

In Step 5, milestones are created for each strategy. Milestones are the incremental steps to effectively implement a strategy and are set at one-year intervals. The Direction Team 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. However, if the number of milestones per strategy is more than three or four, the level of detail may be too fine. More specific actions for each milestone will be created in Module C by Unit and Collaborating Teams.

EXAMPLE

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 a preschool program
- **Year 2 Strategy Target**: 34% of eligible preschool children enrolled in a preschool program

Strategy Milestones

- **Year 1:** SEA advocacy resulted in proposed legislation to increase preschool funding annually over the next five years.
- **Year 2:** Funding has been put 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 that indicate improvement in communications efforts and results
- **Strategy Data Sources:** Communications data, participation data, and survey results
- **Strategy Baseline:** To be established at end of 2019–2020 school year
- **Year 1 Strategy Target:** Increase of 8% over baseline
- **Year 2 Strategy Target:** Increase of 15% over baseline

Strategy Milestones

- **Year 1:** A Communications plan has been developed by a Communications Team and approved by the Leadership Team.
- **Year 2:** The Communications plan has been implemented for all Year 1 activities and initiatives.

COMMUNICATION LENS

The Direction Team gathered feedback on the vision, mission, and values from the agency's personnel, and checked roles and responsibilities with a small group of district or school leaders. Now the Direction Team is ready to share the evolving direction with a broader group of stakeholders.

> See the Communications Team Logistics Tool (Attachment F) to document Communication 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 may consider identifying a core communications team along with the 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?

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

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 towards the SEA or LEA needs a succinct yet engaging message (Zavadsky et al., 2017). Table 3.1 can assist in stakeholder mapping.

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 with stakeholder groups, relevant for the desired outcome, culturally appropriate, and accessible. Once stakeholders have been identified, creating a rollout plan to communicate the direction with specific materials and activities ensures attention is being paid to building understanding, buy-in, and creating the conditions for successful implementation of partnerships.

TABLE 3.1

STAKEHOLDER MAPPING

Stakeholder Mapping Tool

	Positive Attitude	Neutral Attitude	Negative Attitude
High Interest	• 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	• They will engage with the message, even if it isn't aimed directly at them • They are less likely to take action and will probably share your message with likeminded colleagues/friends	• 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
Neutral Interest	• They will engage with the message, if it is relevant to their work • They may take action and share with likeminded colleagues/friends	• They will engage with the message if it relates closely to their work/interests • They are more likely share with colleagues/friends who have a higher interest than they are to take action	• They will engage with the message if it relates closely to their work/interests • They are rarely take action and are unlikely to share your message with likeminded colleagues/friends
Low Interest	• They will engage with the message if they have the time • They are more likely to share with likeminded colleagues/friends than to take action	• They are likely to engage with the message if it directly relates to their work/interests and is seen as a necessity • They are more likely share with colleagues/friends who have a higher interest than they are to take action	• They are most likely to engage with the message if directly relates to their work/interests and is seen as a necessity • They will rarely take action and are unlikely to share with colleagues/friends

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

(ZAVADSKY ET AL., 2017, P. 79).

See the Communications Plan Template (Attachment I).

Past and current communication efforts and channels should be leveraged to reach stakeholders in the most productive way. Review what worked and which channels or modes of communication worked best for each stakeholder group when stakeholders were engaged for ESSA and Individuals with Disabilities Act (IDEA). Students are also a key stakeholder group, after all it is their education! Review the SWOT analysis, and look for opportunities to engage a group that has not been engaged previously. Finally, establish the means to collect input and report use of input BEFORE implementing the communication activities. Table 3.2 is an example of a communications plan rollout of a strategic direction after stakeholder analysis was completed.

TABLE 3.2

COMMUNICATIONS PLAN

COMMUNICATIONS ITEM	BRIEF DESCRIPTION	FORMAT	COMMENTS/ NOTES	ADDITIONAL THOUGHTS
Strategic Direction 2018–2023 Executive Summary	Executive Summary of Direction	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		
Timeline Graphic	Features timeline for the Strategic Direction	PDF	Are these the same, or just front and back?	
Vision, Mission, Core Values	Features vision, mission, and values of the Strategic Direction	PDF one pager and poster (11x17)	Are these the same or back and front?	
Tri-fold	Summarizes the Strategic Direction goal areas and strategies	PDF - two sided		
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		

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 for the first year.	____ Yes	____ No
4. The milestones are necessary for the strategy to be implemented.	____ Yes	____ No
5. The annual 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

WRAP-UP MODULE A AND PREPARE FOR MODULE B

The Direction Team completes all communication activities and uses any feedback to finalize goals, strategies, and measures. Module B Operations Team members are identified, and their first order of business is to review Module A work and discuss roles and responsibilities for completing Module B.

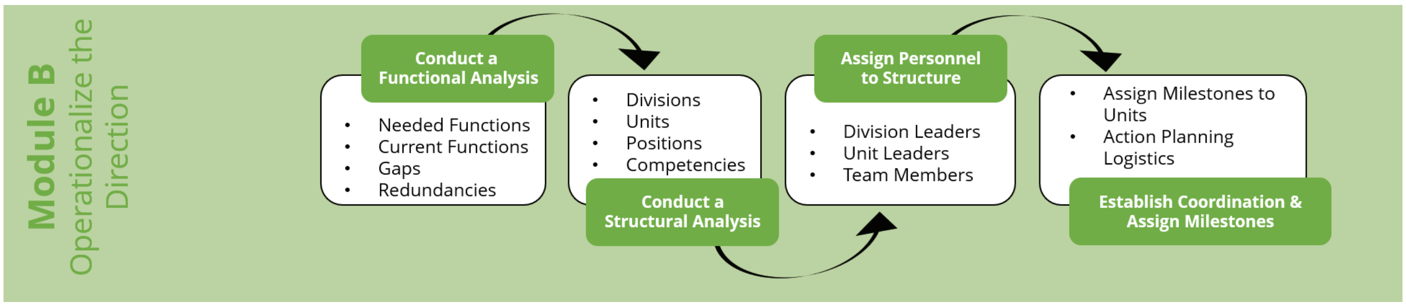
SPM MODULE B: OPERATIONALIZE THE DIRECTION—

Estimated Completion Time: 11 hours total in two or more sessions

Participants: At this point, the external members of the Direction Team, such as school board members, are replaced by key agency personnel to work through Module B with the Leadership Team as an Operations Team. This module includes candid discussion of how the agency is organized and how it might be better organized to operationalize the direction set in Module A. Because this can be a sensitive conversation, the Operations Team might be restricted to the executive cabinet, and it might be supplemented with key personnel such as the human resources officer.

FIGURE 3.7

SPM MODULE B



Setting an organization's direction is where most strategic planning stops. What good is a plan if it is never acted upon? In Module B, the agency's direction is operationalized by reworking or affirming its structure, functions, and roles of people to ensure there is a foundation on which to successfully implement what has been planned. An Operations Team is designated for this Module by the leader of the agency and should include key decision-makers such as the Director of Human Resources, Chief Financial Officer, Chief Operations Officer, and others. The group is usually smaller and more intimate than the Direction Team that completed Module A because competencies and skills related to functions, people, and funding sources are topics covered in this Module. The Operations Team (1) conducts a functional analysis of the strategies; (2) conducts a structural analysis of the agency; (3) assigns personnel to structure; and (4) establishes coordination and assigns milestones to divisions and units.

AGENDA FOR MODULE B: PURPOSE AND DIRECTION (ESTIMATED TIMES)	
Session 1 (8 hours)	
Step 6: Conduct a Functional Analysis	4 hours
Step 7: Conduct a Structural Analysis	4 hours
Session 2 (3 hours)	
Recap of Session 1	¼ hour
Step 8: Assign Personnel to Structure	1 ¾ hours
Step 9: Establish Coordination and Assign Milestones	
Wrap-Up and Review of Module B	1 hours

MODULE B SESSION 1

STEP 6 CONDUCT A FUNCTIONAL ANALYSIS

Use the Functional Analysis Tools (Attachment J) to guide the Operations Team through the 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 frequently overlooked.

In this step, the Operations Team identifies the functions that relate to each 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 Direction Team has previously established, look at the "**If we...**" portion of the statement. That portion of the statement provides a broad description of the work (functions) necessary to carry out that strategy. In this exercise, the strategies are aligned with functions (the kind of work required).

The first part of conducting the functional analysis is to generate a list of general functions of an organization. For a state education agency (or local education agency), what are the typical functions the agency performs? Most state and local education agencies have functions related to leadership and advocacy, product development, management, and customer service (or services to the field). Examples of leadership functions include policy development, establishment and maintenance of partnerships, and communication.

Management functions might include procurement, compliance management and reporting, and contract management. Table 3.3 contains a list of common SEA and LEA functions. Additional functions may be added, and those stated may be amended to suit the agency. In addition, one function may appear in multiple strategies.

TABLE 3.3

SEA AND LEA FUNCTIONS

FUNCTIONS
Leadership
1. Advocate
2. Develop policy
3. Conduct, procure research
4. Establish and maintain partnerships
5. Consult/advise
6. Communicate
Management
1. Manage resources/facilities
2. Manage finance and procurement
3. Analyze cost benefits and cost effectiveness
4. Monitor performance and reporting
5. Manage compliance and reporting
6. Manage contracts
Service to the Field (Districts or Schools)
1. Guide policy and practice
2. Evaluate standards, licensure, program
3. Allocate resources
4. Support continuous improvement
5. Intervene to correct compliance or catalyze improvement

Function statements provide specificity about the types of work the SEA or LEA performs in carrying out its strategies. Once the Operations Team identifies functions for each strategy, a comparison with current SEA or LEA functions is completed to identify gaps. The Team may identify a function that the SEA or LEA does not currently perform or may not possess the 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?

FUNCTIONAL ANALYSIS EXAMPLE

MANAGEMENT	SERVICE TO FIELD	LEADERSHIP & ADVOCACY	SUPPORT
1. Resources/ facility management **2 INSTANCES**	1. Resources allocation **3 INSTANCES**	1. Advocacy **6 INSTANCES- REDUNDANCY**	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. Information dissemination **4 INSTANCES**
4. Agency performance management, monitoring, and reporting **1 INSTANCE**	4. Information/data management **5 INSTANCES**	4. Compliance management and reporting **4 INSTANCES**	4. Communication **8 INSTANCES- INCONSISTENCY, REDUNDANCY**
5. Contract management **0 INSTANCES- GAP**		5. Research **0 INSTANCES- GAP**	5. Establishment and maintenance of partnerships **5 INSTANCES**
6. Direct state management of programs **2 INSTANCES**		6. Policy and practice guidance **6 INSTANCES- REDUNDANCY**	

One agency, in conducting the functional analysis, realized that a number of their strategies called for research, yet they had no research function. Through their goals and strategies, they are supporting innovative thinking and solutions which call for researching current possibilities outside of the agency, recognizing internal staff for innovative thinking, and learning from others outside of the agency who are already implementing some creative solutions to similar problems. All of this requires research, yet no position was designated with responsibility for research.

For another agency, the analysis led to recognition of redundancies; however, the multiple units carrying out the same function were not sharing, coordinating, or collaborating. In addition, there were a number of units of one person, resulting in isolation of roles and disconnection of work. Through analysis, leadership recognized the need for a streamlined organizational structure that focused more on matching function to action. Some of the discussions were difficult for both agencies; however, as one participant shared, "We knew we needed to have the discussion, but just never did."

PRODUCTIVITY LENS

Productivity is a key factor to consider when analyzing functions. There may be functions that are redundant across the agency. The Operations Team identifies those redundant functions that are needed and those that overtax resources or result in inconsistencies. Are there gaps that critically impact productivity in implementing the strategy? For example, when communication is managed independently by each office, mixed messages or inconsistencies result and confuse stakeholders. If offices and programs require research but no research function is assigned, the use of best practices or innovative approaches could be stifled. Perhaps a partnership with a university could address this gap, if not a designated researcher or research unit within the agency.

INNOVATION LENS

An innovation lens is essential to the function analysis. Where does the responsibility for innovation lie within the agency? How are personnel trained to innovate? How are proposed innovations tested? Does the agency have the capacity to effectively carry out the functions necessary to innovate? If not, can capacity be built, or would it be more efficient to leverage a partner to bolster the agency's ability to innovate?

In addition to identifying redundancies in functions, the Operations Team discusses ways to address them to achieve greater productivity. The agency may not be able to implement all solutions immediately, but the Team records and prioritizes the possibilities so critical issues can be addressed first. The structural analysis to come also provides insights for addressing identified functional issues.

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 were 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)

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

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 modified to meet the interests and abilities of specific personnel. A structural analysis helps leadership structure the agency to optimize the implementation of strategies and pursuit of goals. Structures for effective performance management:

- align the agency to best follow its strategic direction;
- clearly define roles and responsibilities;
- clarify who makes decisions;
- minimize handoffs that affect clients or create confusion over who is responsible for what;
- pull together people who need to work closely with each other;
- allow information to flow unrestricted to those who need it;
- create manageable mechanisms for monitoring and reporting; and
- are easily augmented by informal channels of cross-boundary communication. (Rhodes, 2011)

Functional structures bring people with common functions together and enable better collaboration, more effective application of expertise, and clear standards of performance. The Operations Team 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, units may be named 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?

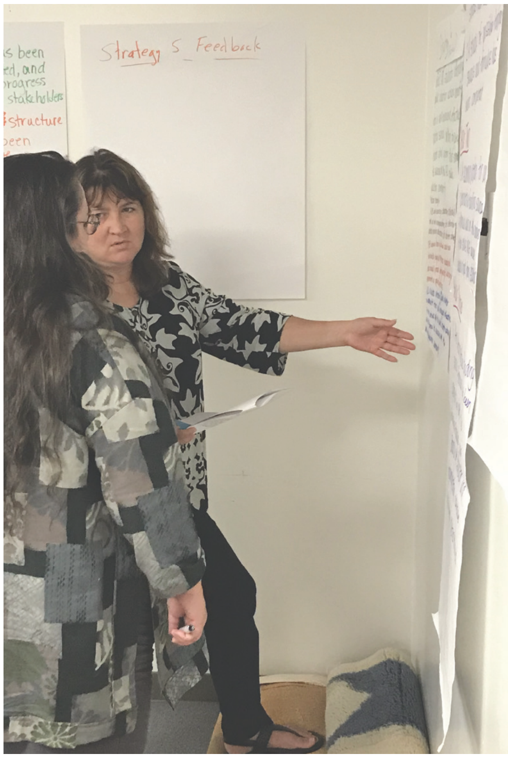
First, the Operations Team maps out an organizational structure or revisits the current organization chart aligned to the agency's functions. Next the Team massages the structure as resources and restrictions dictate. The chart may begin with the entities and positions that transcend the structural divisions. For example, the state board or school board and the CSSO or Superintendent are over all units, thus an organization chart begins with these two items. Table 3.4 lists key questions to guide analysis discussions.

TABLE 3.4

STRUCTURAL ANALYSIS QUESTIONS

1. Do the names of units state the services provided, functions performed, or funding source? What names would be most useful internally and with stakeholders?
2. The new strategic direction includes key terms and concepts. Would any of these term or concepts be useful replacements for the names of the current divisions, departments, or units? Is there a need to create a new division, department, 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 office, division, unit, or position?
5. Are similar functions clustered structurally so that the people who perform them are in close working relationship to each other?
6. Some functions are the same across all divisions. Are they coordinated? If not, is there a better way to structure the agency to strengthen connections and coordination?

As the Operations Team works on naming units and defining each unit's purpose, they may discover that several 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 Team is building the structural levels as well as the structure within the layers which results in the agency'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 Team 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. Flattening the agency may feel threatening to some.



STRUCTURAL ANALYSIS DETAIL CHART

Division Title **Executive Office**

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

FUNCTIONS (List all functions within units)	RESPONSIBILITIES (Work)	CRITICAL COMPETENCIES (List key competencies needed)
• Policy and guidance development • Strategic communications • Interface with federal, state, local leaders and national and state organizations • Oversight of personnel and program management • Oversight of research and outreach	• Conduct strategic planning and implementation • Research, develop, and implement policies to operate • Serve as key point of contact for the organization • Respond to inquiries • Oversee activities to meet fiduciary responsibilities	• Knowledge of legislative procedures, processes, and policy analysis • Expertise in federal, state, and local structure, regulations, and laws • Understanding of national and state political context and relationships • Strong written and oral communication skills

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 and achieve greater results with the same level of resources? Does the structure effectively support staff carrying out the functions? Does the organizational structure minimize redundancies?

This is also the time to create or revise an existing purpose statement for each entity (e.g., division, unit). Each entity's clearly defined purpose is reflected in the functions to be carried out. This is not a vision, mission, goal, or strategy for each division and unit. Remember the agency's vision, mission, goals, and strategies also belong to the divisions and units. Having a defined purpose related to functions brings clarity to members of the division and unit and facilitates internal and external understanding of the entity's work. The purpose statement also comes in handy when assigning people based on needed functional competencies. Finally, an organization chart should be created or revised or finalized as a result of the structural analysis.

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

STEP 8 ASSIGN PERSONNEL TO STRUCTURE

The effective deployment and use of human resources correlate with better results for the organization (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. 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 doing the right work. Aligning human resources means integrating decisions and processes about people with decisions and processes related to the agency's established goals. Assigning, reassigning, or acquiring staff with the needed competencies to implement strategies is a collaborative process, involving leadership beyond the human resources department.

After analyzing functions and structures, the Operations Team places within each unit the personnel with the competencies to perform the appropriate functions of their role within the unit. This is more difficult than it sounds, for consideration of competencies and the ability to take on new responsibilities needs to be given greater weight than experience in a certain job category. Candid discussions are required regarding personnel, their skills, performance level, and potential to learn new skills. This task can be even more difficult if job descriptions and titles are not current. At times, positions are given titles for reasons unrelated to the functions required, perhaps to provide a higher salary or to tweak the title to fit the background or interests of the current occupant. This practice, over time, complicates alignment and equity.

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 Team starts with the division and unit purpose statements and list of needed competencies, examines current people and their skills, and matches people to units. When assigning or reassigning personnel, the Team may find open positions. This may mean shifting people or retraining those already in a position. If this is not possible, vacancies will be identified, and in those cases, it is critical to define the responsibilities and competencies needed to effectively perform the function to ensure that recruitment and hiring result in the right fit. What is the most effective way to get the person with the right competencies in the position that requires them? Is it more effective to wait for the right candidate for a position or to place a less skilled employee in the position and provide the necessary training to develop the necessary skill? 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 each role's functions. Lastly, the Operations Team identifies funding sources for each position. Once people are assigned to the structure, an organization chart can be created or revised.

PRODUCTIVITY LENS

What is the most effective way to get the person with the right competencies in the position that needs them? 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 of productivity may indicate that a position would be better filled by a contractual person or consultant.

COMMUNICATION LENS

Communication during this phase of the work is critical. Changes in function and structure can be very threatening to anyone within an organization, especially if they come out of the blue and with insufficient engagement and explanation. Rumors of changes in structure can wreak havoc on productivity and innovation, even in an agency with strong trust between leadership and staff and among staff. Consistent messaging and transparency throughout this process are critical. Messages need to connect back to the vision, mission, goals, and strategies of the agency, and personnel should be reminded that they are empowered to plan the work. This requires candor about what is working and what has not worked, acknowledging when change is needed. Supports for personnel to engage in the discussions, learn about the change process, and contribute to idea formation to improve the agency, its functions, structure, and results need to be in place.

QUALITY CHECK

1. Responsibilities and competencies are identified for each position.	____ Yes	____ No
2. The Operations Team have 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 described.	____ 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, duplicating efforts or treating related initiatives as isolated projects. It is important to coordinate work efforts and communicate progress continuously. The Division and Unit Teams, along with the Operations Team, create a meeting schedule, identify means of regular communication, and create a decision-making process to address concerns that may arise as strategies are being implemented. The Teams also establish a collaboration process, plan actions (see Module C), and implement a cycle of performance management (see Module D).

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, one division is always accountable. The accountable division then determines which unit within the division **leads** the day-to-day work leading to milestone completion.

Use the Team Tool (Attachment N) to document Division and Unit Team's membership, schedule, and processes.

The Operations Team assigns a milestone to a division, and then the division assigns the milestone to a unit. This process of assigning milestones is conducted by the entire Operations Team to allow for discussions about which milestones are related to a strategy and which division is most appropriately accountable for it.

Use the Milestone Assignment Chart (Attachment O) to document milestone assignments.

What is the relationship of each milestone to the rest of the milestones? Does the work of one milestone need to occur before work on 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 required by the milestone.

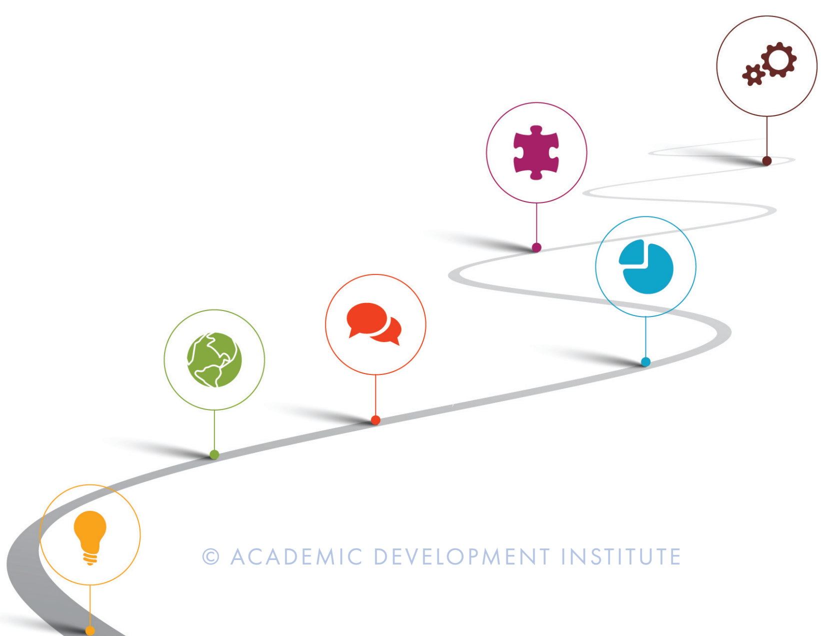
Next, the Operations Team with the Division and Unit Teams identify others from units across the agency that need to be part of the action planning process. It could be that someone in another unit has information that could inform the action development for a milestone. For example, the legal unit may 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 development. It is important to note that needing others to action plan may or may not lead to a need for collaboration on the actual work.

Use 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 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 most effective to establish, up front during the planning process, the connections, need for collaboration, and sequence of actions of one milestone in relation to other milestones.



COMMUNICATION LENS

It is critical to understand and communicate what "**being accountable**" and "**being the lead**" means within the context of the agency's strategic performance management system. Being the accountable division or a lead unit does not mean that the division leader or the unit leader is responsible for doing all the work. Other units within and across divisions may assist. All members of the Unit Team that are brought together to accomplish the milestone are accountable for the completion of actions, reporting progress, adjusting plans, and reaching out to the Unit and Division Teams for assistance when challenges or problems arise. In addition, it is the responsibility of the Unit Team to resolve work distribution and productivity issues among team members. The team needs to transcend the individual if work is to be accomplished in the most productive way.

Staff need to understand any functional, structural, or personnel changes 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 and Leadership Teams, as well as one-to-one discussions with those whose role or position is directly impacted. Finally, all personnel need to be informed of the action planning logistics. There is a great deal of information to be shared and digested, and ample time must be allotted for this work before the next session.

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

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 stakeholders of structural changes as a result of alignment with its strategic direction. Secure the locations, tools, and materials for action planning in Module C.

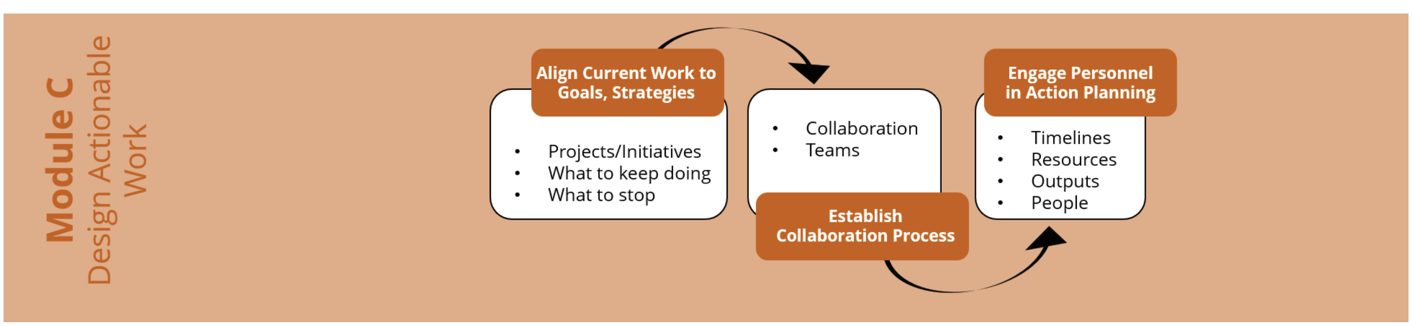
MODULE C: DESIGNING ACTIONABLE WORK—

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

Participants: the CSSO or Superintendent, Leadership Team, all Unit Leaders and their team members, and any others they have identified to contribute to action planning.

FIGURE 3.8

SPM MODULE C



In Module A, the Direction Team created, modified, or confirmed the agency's Strategic Direction—vision, mission, values, goals, and strategies. The Direction Team then developed performance measures and milestones for each strategy. In Module B, the Operations Team identified the functions necessary to carry out the strategies and established an organizational structure to efficiently and effectively do the work. The structure includes divisions and units. Milestones were then assigned to lead units within accountable divisions, and others needed to assist in action planning were identified.

Because planning without action is pointless, successful organizations turn strategy into action, manage processes intelligently, maximize employee contribution and commitment, and create the conditions for seamless change (Ulrich, 1998). Now, in Module C, with the reservoir of information developed through planning sessions in Modules A and B, the Design Team, comprised of division and unit leaders, takes ownership of the milestones and engages people in detailing specific actions to meet milestones. Action planning teams headed by the lead units identify the actions that will result in milestone completion and for each action determine the start date, anticipated completion or end date, needed resources, outputs, responsible personnel, and supports. Via this action planning process, SPM is operationalized at the unit level, thus building ownership, buy-in, and accountability by personnel responsible for the actions. In addition, the unit leads determine the need for collaboration and arrange for the needed help from members of other units, forming collaborations according to the collaboration process designed by the Leadership Team at the start of Module C.

AGENDA FOR MODULE C: DESIGN ACTIONABLE WORK (ESTIMATED TIMES)	
Session 1	
Recap Module B	½ hour
Step 10: Align Current Work with Goals, Strategies, and Milestones	1 ½ hours
Milestones	
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

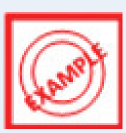
MODULE C SESSION 1

STEP 10 ALIGN CURRENT WORK WITH GOALS, STRATEGIES, AND MILESTONES

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.

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.



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, and 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.

COMMUNICATION LENS

Ongoing communication of the alignment of work to milestones helps all personnel build connections and meaning for 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

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

Highly effective, innovative organizations are those in which personnel collaborate to learn, create, and solve problems. Boswell and Layland (2012) reviewed the literature on collaboration and found that although a general, broadly accepted definition of collaboration did not exist, a number of researchers referred to theories, principles, or elements of collaboration. Collaboration was seen by all as a multidimensional construct to address complex problems (Gajda, 2004; Gray, 1985; Keyton et al., 2008; Thompson et al., 2007). It is not a one-shot occurrence. It 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. This is accomplished by developing a common definition for collaboration; clearly defining the roles and responsibility of all collaborators; establishing a multidimensional flow of communication; implementing joint decision-making; and equally sharing power, resources, risks, and rewards (Boswell & Layland, 2012).

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. Often, stakeholders cannot see all aspects of a problem, and collaboration can produce a more accurate picture of the issue or problem, leading to the resolution of problems and movement toward goals (Bond & Gittell, 2010; Gray, 1985).

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 overidentify the need for collaboration, resulting in misuse of resources (especially human capital), dysfunctional teams, or broken relationships. Collaboration requires skills and organizational awareness in dealing with areas such as leadership, overcoming barriers to change, communication, building and maintaining relationships, data analysis, and innovative thinking (Casey, 2008).

Successful collaboration is hindered by a lack of an operational definition of collaboration, lack of prior experience with successful collaboration, lack of trust, poor leadership, competing values and cultures, lack of governance structures, internal and external turf battles, and low professional competency (Ansell & Gash, 2008; Austin, 2010; Biscoe & Mohammed, 2010; Daley, 2009; Gajda, 2004).

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?

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

In this Step, each accountable division oversees its accountable Unit Teams as they engage in action planning, including their collaboration with members of other Units, as needed, to develop a plan for each milestone. An action plan details the actions, timeline, resources, personnel, outputs, and supports needed to accomplish the milestone. Each Unit Team should engage as many of the people who will be doing the work as possible in the action planning. Ownership fosters commitment and productivity.

ACTIONS

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

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 for a high-quality plan; however, if a milestone includes only a couple of actions, the planning may not be detailed enough. If a milestone includes 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 accustomed 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.

RESOURCES AND BUDGET

Resources and budgets are identified for each action. Resources are those outside of the agency, such as a university, business, or nonprofit organization that is needed to complete the action. Having resources included in an action plan is a reminder to pursue resources needed. Creating a budget for an action 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.

OUTPUTS

Outputs are the tangible artifacts 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 only a small step of a larger action. Is it stated as an action? Does the action support the milestone? In not, 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 the action. The responsible person ensures the day-to-day work of the team is on track to complete the action and updates the Unit Leader so monthly status reports can be completed by the Unit Leader and shared with the 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 lead Unit that will contribute to completing the action by either performing work or supporting others in performing the work.

NOTES

The Action Planning Template includes a section for notes related to each action. The notes are useful for explaining the progress of the work and alerting the Unit Leader to any changes in expected completion. The notes document any additional information that would assist others in understanding the action work, possible challenges, or needs.

COLLABORATION

The lead Unit Team, responsible for a milestone, identifies needed collaborators to complete the work. Collaborators are often needed to complete key work. They fill a gap in skill or knowledge needed to complete the action. A Unit Team may need some information for planning from another Unit but may not need a collaborator from that Unit to complete the work. Remember, not all actions require collaboration!

EXAMPLE

Goal 1:	*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 understanding of personal competencies have been provided.*
Action:	*1. Create a tool kit to introduce and explain personal competencies.*
Start Month:	*October*
End Month:	*November*
Resource and Budget:	*No additional funding needed at this time*
Outcome:	*A toolkit with guide and materials*
Person Responsible:	Luanne Smith
Support:	Ali Caps, Sam Redin (Collaborator)

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 the use of stakeholder input can be shared so they see their contributions being used. However, the actions plans are not publicly shared as these represent the incremental internal work to implement the strategies. Actions are adjusted frequently based on progress, whereas milestones and strategies are set for at least a year.

QUALITY CHECK

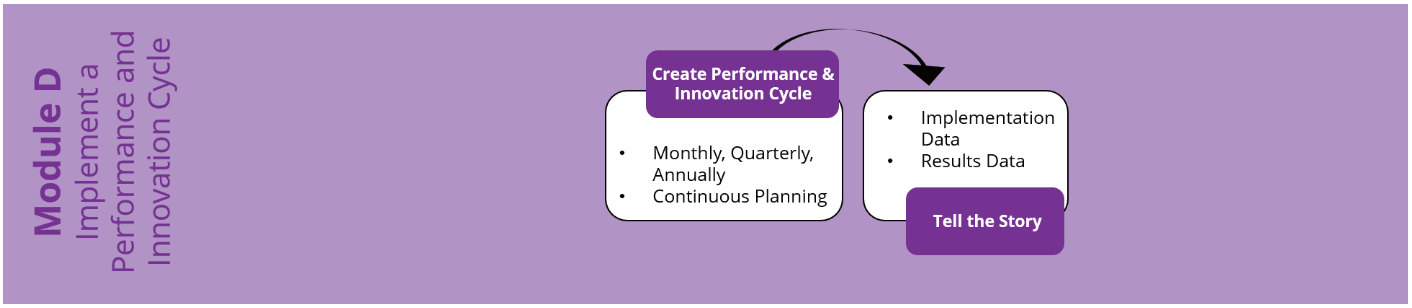
1. An action plan is developed for each milestone.	____ Yes	____ No
2. All plans include actions, timeline, resources and budget, outputs, and personnel.	____ Yes	____ No
3. Action plans are rigorous but attainable and support the completion of each milestone.	____ Yes	____ No
4. The combined completion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

MODULE D: IMPLEMENT A PERFORMANCE AND INNOVATION CYCLE—

Estimated Completion Time: 4 hours total in two or more sessions, then ongoing
Participants: The Leadership Team, Division Teams, Unit Teams, and Performance Measures Team (Identified in Module A).

FIGURE 3.9

SPM MODULE D



In Module D of Strategic Performance Management, the Leadership Team, Division Teams, Unit Teams, and Performance Measures Team:

1. create a performance cycle with monthly, quarterly, and annual reporting;
2. apply an innovation lens to build conditions and encourage innovation; and
3. establish 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	
Recap Module C	¼ hour
Step 13: Create Performance and Innovation Cycle	3 ½ hours
Session 2	
Recap of Session 1	¼ hour
Step 14: Tell the Story	ongoing

MODULE D SESSION 1

STEP 13 CREATE PERFORMANCE AND INNOVATION CYCLE

The Leadership Team establishes a performance cycle as part of the SPM process. The Leadership Team, Division Teams, and Unit Teams all have a role in managing, monitoring, and adjusting the work on a continuous basis. Data tracked by the teams in monthly and quarterly reports are used to identify issues, eliminate barriers, and address challenges in meeting action plan timelines. Ongoing reciprocal communication through a variety of modes occurs to provide feedback and gather input from personnel at multiple levels. The feedback is used to improve processes, increase productivity, and encourage and support innovation. At a minimum, the Teams (all three levels) generate monthly status reports and quarterly performance reports and examine the data the reports present to determine progress, identify problems, and make necessary adjustments to ensure success with each milestone. Status and performance reporting and frequencies are listed below. The frequencies may be adjusted based on each team's needs.

MONTHLY STATUS REVIEW

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

QUARTERLY DIVISION TEAM PERFORMANCE REVIEW

Each quarter, each Division Team meets 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 after review of data.

ANNUAL LEADERSHIP TEAM PERFORMANCE REVIEW

At least once a year, the Leadership Team meets to review performance data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year, as needed. The Performance Measure Team meets to update the annual data and extend the target year data for goal and strategy measures.

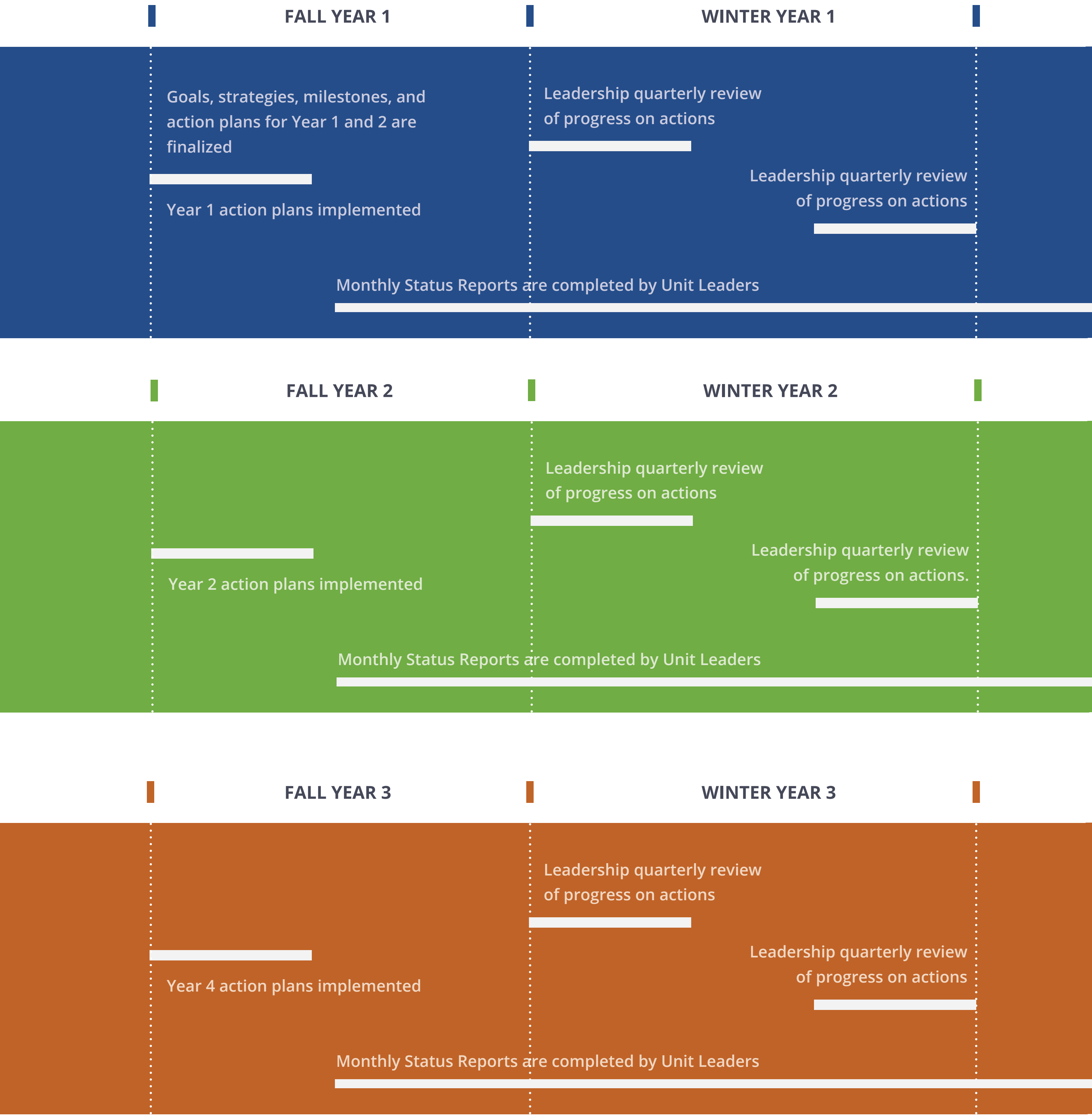
Some teams will choose to meet more frequently, especially in the beginning. As actions are completed in the first month or two, people are gaining deeper understanding of the work and their accountability for it, making connections with the work of other people and other Units, and acclimating to the dynamics of their team. Units Teams may find that the collaborators initially selected to work on a milestone are now only needed to be kept informed rather than to engage in the work. Based on the feedback data from the ongoing monitoring of progress and the regular reports, the Unit Team may adjust its remaining actions.

The day before or after the monthly Unit meetings to review progress is a good time for the Division Team to meet to look across all the Units and examine their progress and what they might require moving forward. Division Leaders often use status report information to coach the Unit Leaders in the performance management process and in making successful adjustments to their plans. Especially in the beginning of SPM implementation, this level of accountability (and control) for work is new to some people. Successfully addressing questions, concerns, and problems is critical in building trust and credibility with each other and the process.

As work progresses beyond the first year, the performance cycle continues, responding to data that now reflects the milestones and actions of the new year. A strategy typically stays in effect for several years, but in time it may become outmoded and need to be replaced. In this case, a new strategy with performance measures is created, and milestones are established for it. An example of a performance cycle is provided in Figure 3.10.

FIGURE 3.10

PERFORMANCE AND INNOVATION CYCLE



SPRING YEAR 1

Leadership quarterly review of progress on actions

SUMMER YEAR 1

Year 1 milestones reviewed; Year 2 milestones adjusted based on data

Leadership End-Of-Year Review and Annual Report

Year 3 milestones and action planning details for each milestone are developed

SPRING YEAR 2

Leadership quarterly review of progress on actions

SUMMER YEAR 2

Year 2 milestones reviewed; Year 3 milestones adjusted based on data

Leadership End-Of-Year Review and Annual Report

Year 4 milestones and action planning details for each milestone are developed

SPRING YEAR 3

Leadership quarterly review of progress on actions

SUMMER YEAR 3

Year 3 milestones reviewed; Year 4 milestones adjusted based on data

Leadership End-Of-Year Review and Annual Report

Year 5 milestones are developed and action planning details for each milestone

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 aspects of the performance cycle. Provide opportunities for them to discuss the monthly status reporting, quarterly and annual performance reporting, and use of data with their team members.

In addition to reporting and discussing progress on the action plan, the communication process itself benefits from frequent review by each Team. Selecting an area of focus for discussion about the communication process ensures more productive analysis. For example, at different times the topic might be communication between executive-level and Division Leaders (if they are different levels), between the Division Team and Unit Teams, or between Unit Leader and Unit Team members. Data about communication processes that are useful to group discussions might be gathered from tools to evaluate modes of communication (e.g., internal agency e-mail use, website, newsletter) and may include surveys, questionnaires, or focus groups. The same methods could be used with external stakeholders in efforts to communicate and engage with them relative to the strategic direction. Finally, the Leadership Team along with the Performance 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 [or LEA] involved in the development of evaluation tools" (Zavadsky et al., 2017, p. 76).

QUALITY CHECK

1. A performance cycle has been developed.	____ Yes	____ No
2. The performance cycle supports the creation of new milestones and actions for two years in advance, updated annually.	____ 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

MODULE D SESSION 2

RECAP SESSION 1

Recap Session 1 and verify that a performance cycle is in place and progress is being reported as expected. If reporting is not occurring regularly, there will be insufficient data to tell the organization's performance story, let alone manage its performance more successfully. Address any issues that arise during this recap to ensure continuity and integrity of the cycle.

STEP 14 TELL THE STORY

At the end of each year, the organization reports on its progress in implementing the strategies to move closer to actualizing its goals. 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 goals. For an SEA or LEA, the story not only includes student performance, but also includes the work of the organization and its impact on educators and schools. It focuses on the If we... then... parts of the strategy statements. The story can be constructed from information contained in the milestones met (and those with something left to do), goal performance measures, the strategy performance measures, and the status of actions, outputs, and the notes that accompany them. Together these sources of information form the data to tell the story at the end of each year in an interesting way, with explanatory narrative and illustrative charts and graphs.

Use the Performance Measures Tool (Attachment T) to document measures progress.

Once actions plans are in place, the Leadership Team meets to review goal and strategy performance measures and discusses the story that may be told to its various stakeholders. Has the agency identified the right measures to tell the stories at the end of each year? Has it collected the rich, underlying narrative of the people and the work they are accomplishing?

Both implementation and results data are reported to tell the entire story of the work and impact. Such a report could include

- Percentage of goal measures met
- Specific goal targets and actuals
- Strategies and levels of implementation
- Strategy measures, targets, and actuals
- Challenges and how each were mitigated
- Adjustments made and the impact of each adjustment
- Stakeholder input on progress and adjustment suggestions
- Strategies, milestones, actions, and any added measures for years four and five.

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 Leadership Team focus on the priority measures making them readily available the first year while the Performance Measures Team is building the others?

COMMUNICATION LENS

Progress is reported to both internal and external stakeholders annually, within 30 days of ending the project year (the agency's annual operating year).

ANNUAL REPORT

Goal:	*All students will develop the knowledge, skills, and behaviors needed to successfully progress through school and be prepared for postsecondary education and/or career opportunities.*
Strategy:	*If we recruit, hire, and retain highly effective principals, teachers, and staff, then schools will have instructional leaders and educators to provide educational services and supports, and students will develop the knowledge, skills, and behaviors needed to successfully progress through school and be prepared for postsecondary education and/or career opportunities.*
Milestone:	*A formal recruiting process to attract highly effective principals, teachers, and staff is in place.*
Is Milestone Met:	**Yes**
Progress Explanation:	*Work was completed including the guidance dissemination and tracking system.*

Milestone Action Status Summary

Month	Actions	No Status	No Yet Started	Behind Schedule	On Time	Completed
Jun	8	0%	0%	0%	0%	100%

CONCLUSION

An SEA or LEA, whether large or small, is responsible for a complex system, 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 and meet the bottom line. Strategic Performance Management is a way to mix the injection of vision with the routine fulfillment of duties in a dynamic agency in which innovation to meet and exceed expectations thrives.

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, collaborators, and coordinating teams efficiently managing the work and finding better ways to achieve organizational ends.

REFERENCES

Ansell, C., & Gash, A. (2008). Collaborative governance in theory and practice. *Journal of Public Administration Research and Theory, 18*(4), 543–571.

Austin, J. E. (2010). From organization to organization: On creating value. *Journal of Business Ethics, 94*(1), 13–15.

Biscoe, B., & Mohammed, S. (2010). *Building an effective collaboration* [PowerPoint slides]. Leveraging Resources Conference of the Office of Elementary and Secondary Education & Office of Special Education Programs, Washington, DC.

Bond, B. J., & Gittell, J. H. (2010). Cross-agency coordination of offender reentry: Testing collaboration outcomes. *Journal of Criminal Justice, 38*(2), 118–129.

Boswell, M. A., & Layland, D. A. (2012). *Effective collaboration: From research to practice for the provision of technical assistance*. Mid-South Regional Resource Center at the University of Kentucky.

Casey, M. (2008). Partnership—Success factors of interorganizational relationships. *Journal of Nursing Management, 16*(1), 72–83.

Chen, B. (2010). Antecedents or processes? Determinants of perceived effectiveness of interorganizational collaborations for public service delivery. *International Public Management Journal, 13*(4), 381–407.

Daley, D. M. (2009). Interdisciplinary problems and agency boundaries: Exploring effective cross-agency collaboration. *Journal of Public Administration Research and Theory, 19*(3), 477–493.

Gajda, R. (2004). Utilizing collaboration theory to evaluate strategic alliances. *American Journal of Evaluation, 25*(1), 65–77.

Gray, B. (1985). Conditions facilitating interorganizational collaboration. *Human Relations, 38*(10), 911–936.

Harvard Business School Press. (2006a). SWOT analysis I: Looking out for threats and opportunities. In *Strategy: Create and implement the best strategy for your business* (pp. 1–15).

Harvard Business School Press. (2006b). SWOT analysis II: Looking inside for strengths and weaknesses. In *Strategy: Create and implement the best strategy for your business* (pp. 17–27).

Huselid, M. (1995). Impact of human resource management practices on turnover, productivity, and corporate financial performance. *Academy of Management Journal, 38*(3), 635–872.

Keyton, J., Ford, D. J., & Smith, F. I. (2008). A mesolevel communicative model of collaboration. *Communication Theory, 18,* 376–406.

Lafley, A. G., Martin, R. L., Rivkin, J. W., & Siggelkow, N. (2012, September). Bringing science to the art of strategy. *Harvard Business Review*, 57–66.

Lawler, E. E., III, & Boudreau, J. W. (2012, August 1). Creating an effective human capital strategy. *Society for Human Resource Management, 57*(8). https://www.shrm.org/hr-today/news/hr-magazine/Pages/0812boudreau.aspx

Mintzberg, H. (1994, January–February). The fall and rise of strategic planning. *Harvard Business Review*, 107–114.

O'Donovan, D., & Flower, N. R. (2013, January 10). The strategic plan is dead. Long live strategy. *Stanford Social Innovation Review.* http://www.ssireview.org/blog/entry/the_strategic_plan_is_dead._long_live_strategy

Redding, S., & Nafziger, D. (2013). *Functional coherence in the state education agency: A structure for performance management* (Solutions No. 4). Building State Capacity and Productivity Center at Edvance Research. http://www.adi.org/downloads/Solutions_Issue_4_Functional_Coherence_in_SEA.pdf

Rhodes, M. (2011, January 23). Strategy first…Then structure. *Strategic Planning*. http://managementhelp.org/blogs/strategic-planning/2011/01/23/194/

Taylor-Powell, E., Rossing, B., & Geran, J. (1998). *Evaluating collaboratives: Reaching the potential*. University of Wisconsin Extension.

Thomson, A. M., Perry, J. L., & Miller, T. K. (2007). *Conceptualizing and measuring collaboration. Journal of Public Administration Research and Theory.*

Ulrich, D. (1997). Measuring human resources: An overview of practice and a prescription for results. *Human Resource Management, 36*(3), 303–320.

Ulrich, D. (1998). A new mandate for human resources. *Harvard Business Review, 76*(1), 124–134.

Zavadsky, H. (2014). *State education agency communications process: Benchmark and best practices project.* Building State Capacity and Productivity Center. http://www.bscpcenter.org/resources/publications/benchmark_and_best_practices_01_benchmarking_sea_strategic_communications.pdf

Zavadsky, H. (2017). *Creating strategic communications in state education agencies: Lessons from states.* Building State Capacity & Productivity Center at Edvance Research. http://www.bscpcenter.org/communications/resources/CommunicationReport.pdf

Zavadsky, H., Berry, T., & Savage, T. (2017). *BSCP Center strategic communications toolbox*. Building State Capacity and Productivity Center. http://www.bscpcenter.org/toolbox/

CHAPTER 4 **SPM DATA AND REPORTING**

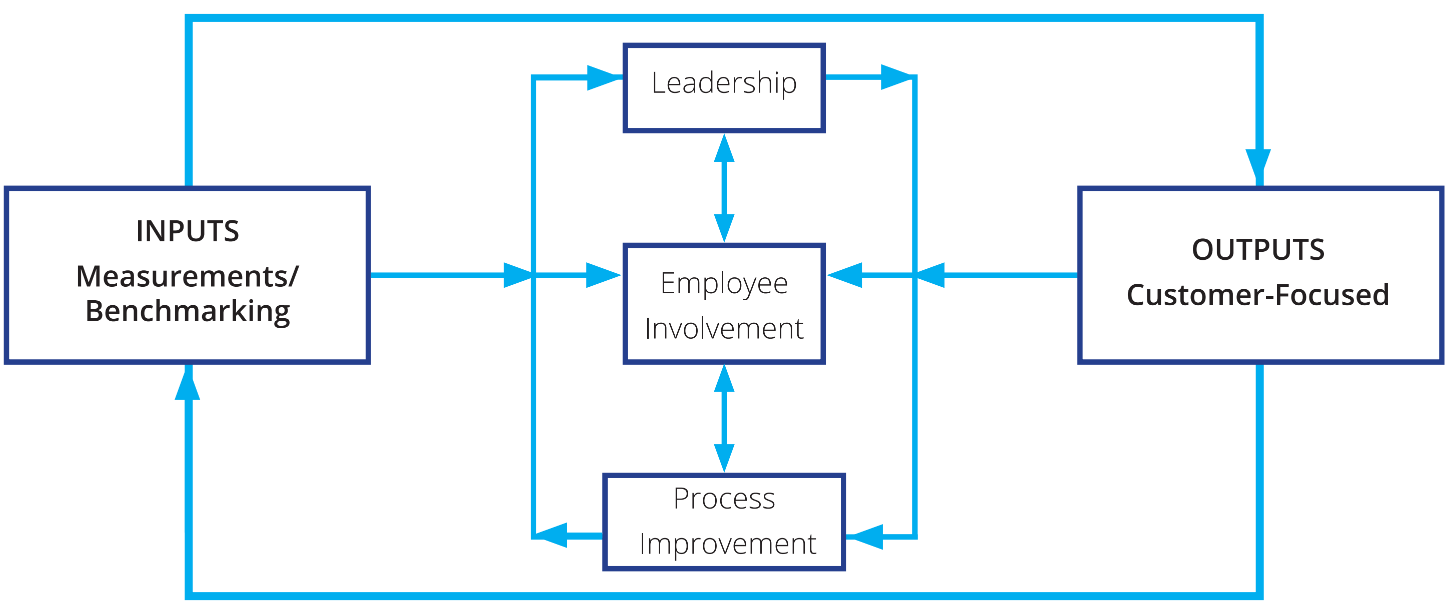
Developing a strategic direction and engaging staff in action planning to carry out strategies and meet milestones takes a great deal of effort. Holding staff accountable for the work they have designed and are managing can be a challenge. But these are exactly the practices that research shows that high-performing organizations routinely perform. A review by deWaal and Kourtit (2013) found improved communication, collaboration, and knowledge; better alignment; increased innovation; and high employee and customer satisfaction when organizations used a performance management approach. Organizations measure performance for many reasons, including to:

- determine if current systems are working;
- distinguish reality from desired state;
- make data-informed decisions;
- establish a baseline to measure improvements;
- monitor changes to ensure improvement is sustained; and
- recognize individual and group performance (Health Resources and Services Administration, 2011).

A system of performance management assembles interacting elements designed to carry out specific functions. The elements include leadership, employee involvement, processes, measurements, and outputs. Figure 4.1 is an example of a performance system.

FIGURE 4.1

A SYSTEM OF MANAGEMENT FOR ORGANIZATIONAL IMPROVEMENT (POTOCKI & BROCATO, 1995)



The Academic Development Institute (ADI) developed *SPM Online* as a companion to the SPM process to assist organizations in creating and sustaining a performance management system and to track and report progress as per the performance cycle. *SPM Online* is a web-based performance management system to manage the components of the strategic direction (vision, mission, values, goals, strategies, performance measures) and to collect and report progress data relative to the completion of planned actions and annual milestones. *SPM Online* enables users to create, track, and report progress on action plans related to milestones, strategies, and goals in an agency's performance management system.

FIGURE 4.2

SPM ONLINE LOGIN PAGE

As the various teams work through the four Modules of SPM, information is captured using *SPM Online*. Levels of users include: (1) a State or District Administrator, (2) Division Leaders and Division Process Managers, and (3) Unit Leaders and Unit Process Managers within an agency. Each user has a specific role and level of security with the State or District Administrator having the highest level of access. A read-only access is available to everyone in the organization, issued at the discretion of the Chief or Superintendent.

There are a number of features in the system depending on the user's access level. Table 4.1 displays the highest level of access—that of the State or District administrator in the agency.

TABLE 4.1

SPM STATE OR DISTRICT ADMINISTRATOR HOME PAGE

TAB	FUNCTION
Vision-Mission-Values	Enter your state's or district's vision, mission, and values.
Manage Goals	Create new goals and edit existing goals. Add goal meaning, responsibilities, conflicts, and gaps. Document SWOT analysis and create goal performance measures that include indicators, data sources, baselines, and targets.
Manage Strategies	Create new strategies and edit existing strategies. Create strategy performance measures that include indicators, data sources, baselines, and targets.
Milestone Development	Propose or develop new milestones or changes to milestones.
Manage Divisions	Create/edit Divisions and Division Leaders and Units and Unit Leaders.
Assign Milestones to Divisions	Assign milestones to Divisions.
Milestones Assigned	View the Divisions and Units assigned to milestones.
Resources	Create and view resource tags that can be attached to actions.
Manage Glossary Terms	Create, customize, and view SPM terms and definitions.
Comments	Comments/feedback on action plans.
Manage Users	Assign/reassign user roles.
Reports	View Division and Unit progress on assigned strategy milestones.
User Credentials	View the logins and passwords for all users.

Again, everyone within the agency may be given an agency-wide login and password for access to the reports created through *SPM Online*. Reports include filters to refine information related to goals, strategies, milestones, or Divisions and Units. Table 4.2 lists the various reports available. All files can be downloaded in PDF or Word format so reports can be saved, printed, and emailed.

TABLE 4.2

REPORTS AVAILABLE IN SPM ONLINE

REPORT	CONTENT
Set the Direction	
Vision-Mission-Values	Displays the vision, mission, and values.
Goals and Strategies with Explana-tions	Displays the state's goals, strategies, and their explanations.
Goal Detail	Displays goal meaning, responsibility, conflicts, gaps, SWOT analysis, and performance measures.
Strategy Performance Measures	Displays strategy performance measures.
SPM Glossary	Displays terms and definitions.
Operationalize the Direction	
Milestone Report	Displays all goals, strategies, and milestones.
Development Milestone Report	Displays all milestones, including those under development.
Milestone Not Assigned	Displays milestones that have not been assigned to divisions.
Milestone Without Actions	Displays milestones that have been assigned to divisions but have no actions.
Division/Unit Collaboration	An organized list of the units, staff, and collaborators within each division.
Design Actionable Work	
Goal/Strategy/Milestone/Action	Displays goals, strategies, milestones, and actions.
Full Report with Action Status and Notes	Displays goals, strategies, milestones, and each action plan's status notes and resources.
Implement a Performance and Innovation Cycle	
Monthly Status	A graphic depiction of the status of all actions related to each milestone in the strategic plan to date as reported each month by the responsible Unit Leader.
Monthly Status by Division	A graphic depiction of the status of all actions related to each milestone assigned to each division to date as reported each month by the responsible Unit Leader.
Status Report—Divisions/Units	Displays progress by Division and Unit.
Status Report—Goals/Strategies/ Milestones	Displays progress by goals, strategies, and milestones.
Action Status Log	Displays the most recent action status for each action.
Milestone Progress Summary	Displays milestone progress for the end of the milestone year.
Milestone Progress Data	Displays milestone progress for the latest reporting period.

USING *SPM ONLINE*

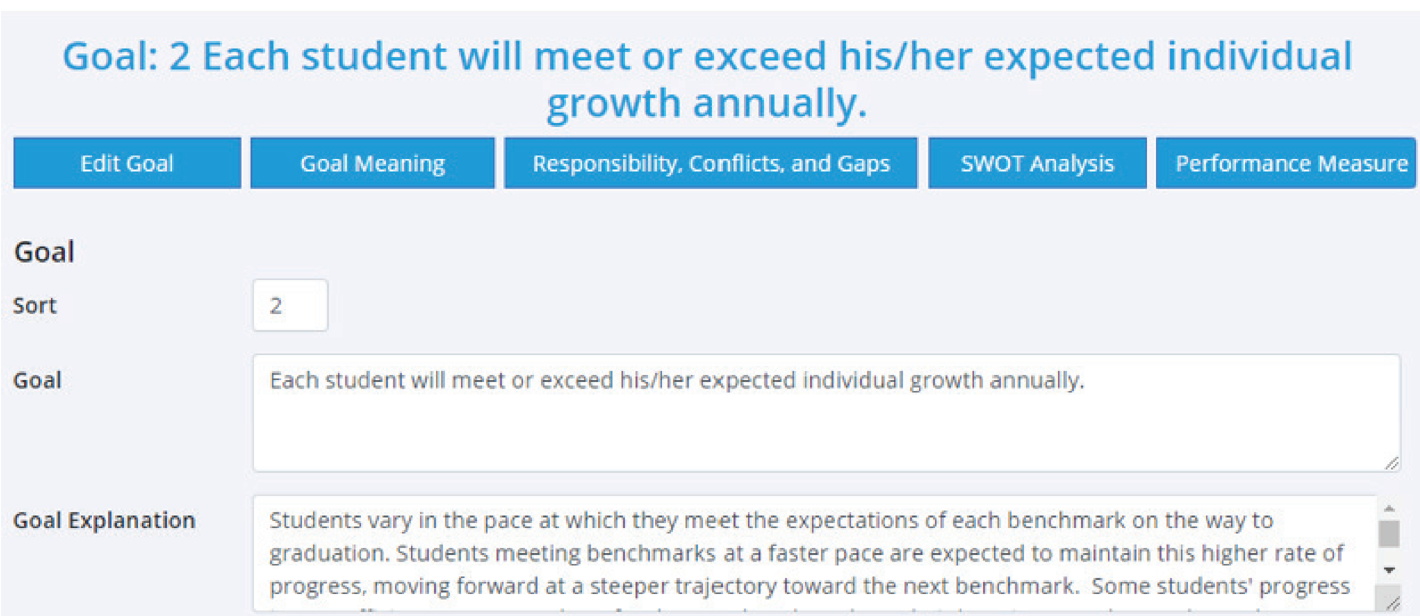
A web-based system is only good if it is used, of course, so below is a description of how *SPM Online* is utilized by Module as well as lessons gleaned from those who have used the system to track and report progress.

SET THE DIRECTION

There is a danger for any organization to lose sight of its vision, mission, values, and goals in the day-to-day operations. Yes, they may be posted through the organization; but if people cannot easily access copies and use them to inform work, they will be half-heartedly employed. Potocki and Brocato (1995) stress the importance of a ***system*** that requires an organizational vision ("an ideal preferred future") and includes mission, goals, and milestones or objectives that "cascade down" each level of the organization. Therefore, it is important that everyone have access to the strategic direction and the performance management that flows from it. The organization's vision, mission, and values are captured in *SPM Online* so they can be accessed any time by any employee. Goals are entered along with an explanation that captures the conversations during the creation of the goals. The goal explanation provides the "why" behind the goal and other information that would assist stakeholders in understanding the goal's importance. More detail is added as the Direction Team identifies what each goal means to specific stakeholder groups, identifies roles and responsibilities, and conducts a SWOT analysis.

FIGURE 4.3

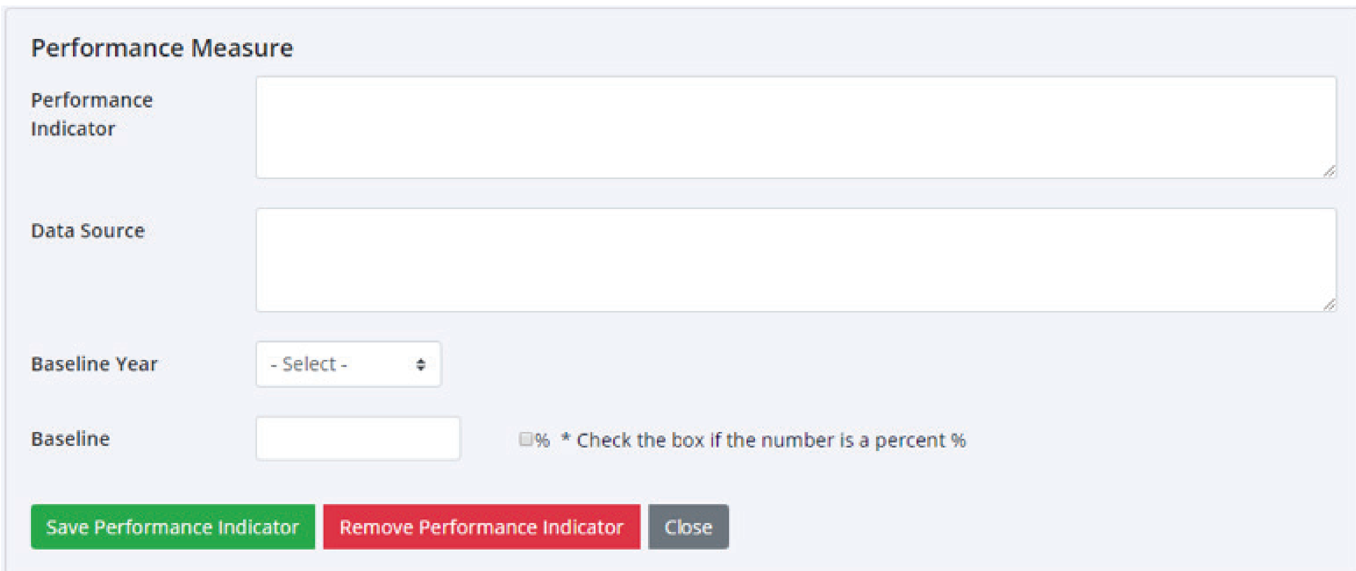
GOAL DETAIL SCREEN



The Direction Team develops strategies in a theory of action format and enters them into *SPM Online* accordingly. The Performance Measures Team enters measures for goals and strategies that include at least two years of targets and enters updates to the data each year. A word of caution here though: at times a staff may become so focused on the measures themselves that they lose sight of what and why the measures exist. Choi, Hecht, and Tayler (2013) call this pitfall "surrogation." Diverting the organizational eyes from the goal and the strategies for its pursuit to the measurement of progress de-emphasizes the strategic pathway and thwarts innovation (Layland & Redding, 2017). This is something to keep in mind.

FIGURE 4.4

PERFORMANCE MEASURES SCREEN



OPERATIONALIZE THE DIRECTION

By the end of Module B, the Operations Team has conducted functional and structural analyses, revised or massaged the structure and people assignments within the organization and assigned milestones to Divisions. This section in *SPM Online* allows each Unit Leader to manage the Unit's assigned milestones, its actions, and its collaborations.

Milestones represent one year's work toward fully implementing a strategy, and actions are the incremental tasks needed to complete a milestone. Teams create action plans using the information readily available at the time. As teams tackle actions, they may need to adjust them, add to them, or even add milestones. Making such adjustments calls for a thoughtful and well-articulated and communicated process to request changes for approval. If this is not in place, there is a risk that changes made would impact other work or delay progress unintentionally. *SPM Online* enables Unit and Division Leaders to draft new milestones for consideration. Those "development milestones" are then reviewed and approved by the Division Leaders before being activated.

Unit Team membership may need to be adjusted at times, as the nature of the work becomes clearer. Collaborators are staff members in other Units whose knowledge, skills, and expertise are needed for a period of time to complete actions and achieve a milestone. As work progresses on a milestone, collaborators may need to change. Each organization follows its process for requesting, approving, and continuing collaborators (see Module C). Once approved, Unit and Division Leaders can add collaborators as well as other Unit Team members. The Division Collaborator Report provides a real-time snapshot of all Unit Team members including collaborators for each Division.

The collaboration process is challenging until everyone is accustomed to it. At first collaborators may be overidentified, most likely due to the novelty of collaboration in organizations where working in silos was the norm. As Unit Teams dig deeper into the work, they may realize a collaborator may no longer be needed. The organization establishes collaboration procedures which all Teams follow to avoid hurt feelings and isolated teams that lack specific knowledge and skills to complete the work. We also suggest that the Leadership Team periodically review the Division Collaboration Report, especially if a Unit Team or accountable Division falls behind schedule. Table 4.3 is an example of a collaboration report.

TABLE 4.3

COLLABORATION REPORT

Division: Educator Effectiveness		**Division Leader:** Ms. Smith	
Unit: Licensure	**Unit Leader:** Mr. Jones		**Unit Process Manager:** Ms. Harry
Team Members:	Ms. Scott		
	Mr. Campbell		
Collaborators	**Role**	**Unit**	**Division**
Ms. Layland	Team Member	Grant Manager	Fiscal Management

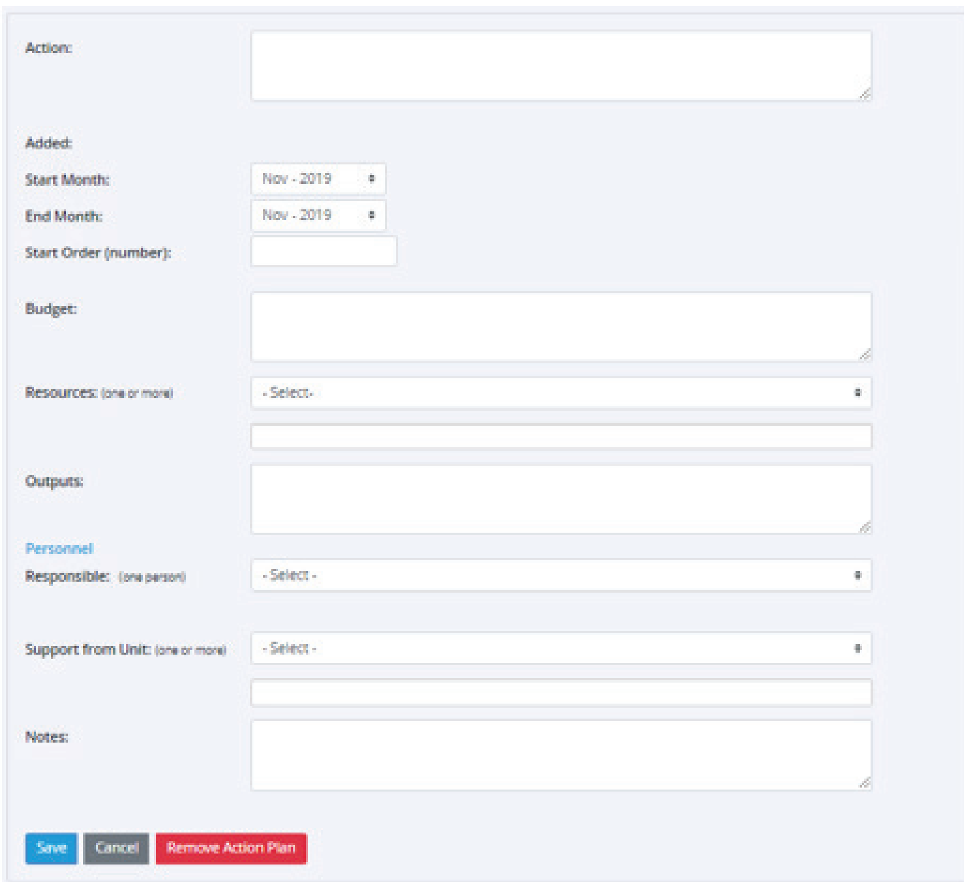
DESIGN ACTIONABLE WORK

SPM Online is most efficient at managing actions. Actions are the incremental steps needed to meet the milestone, including the start date and anticipated end date for completion of each action. An action takes more than a month to complete, but less than a year. Actions should start with an action verb and generally describe the work to be completed. Budgets and resources are entered for each action as are outputs (tangible items created as a result of the action). A person within the lead unit is identified as the responsible person for the milestone who ensures the day-to-day action work of the team is progressing. Team members who are also working on the action are entered as supports. All of this is recorded in *SPM Online* by the Unit Leader (or Unit Process Manager).

A field is provided for 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. The Unit Leader documents any additional information that would assist others in understanding the action work, possible challenges, or needs. Actions can be added, deleted, or modified as needed. It is empowering for teams to have the ability to plan, adjust, and improve on the way work is being accomplished!

FIGURE 4.5

ACTION PLANNING IN SPM ONLINE

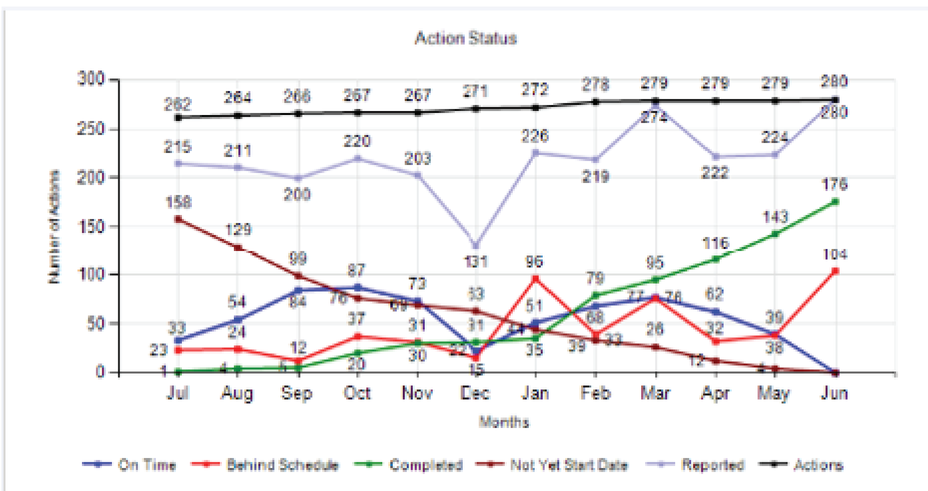


IMPLEMENT A PERFORMANCE AND INNOVATION CYCLE

The true power of *SPM Online* lies in the collection and reporting of status data. Each month the Unit Leaders enter their monthly status data—simple accounts of each action's status at that time—On Time, Behind Schedule, or Completed. In addition, the Unit Leaders note challenges, risks and how they were mitigated, and any other information pertinent to progress and completion of actions. The Unit and Division Teams review the monthly status reports and either resolve the issues or bring them to the leadership for resolution. This level of accountability is critical to improving processes so work can be completed on time. The data tell the story of implementation and where supports are needed to improve performance. It is then the responsibility of leadership to ensure supports are provided in a timely manner so work can get or stay on track.

FIGURE 4.6

EXAMPLE OF A SPM MONTHLY STATUS REPORT



At the end of each year, each Division generates its report noting milestones met and percentage of actions completed. This report is used to adjust the next year's work. If the organization's culture does not value data, collaboration, and continuous learning, people will be hesitant to report honestly.

The annual reports are then used along with other pertinent information to tell the implementation and results story to both internal and external stakeholders. Regular communication with stakeholders will continue to build support for the organization's strategic direction and its work in carrying out its mission to realize its vision.

REFERENCES

Choi, J., Hecht, G. W., & Tayler, W. B. (2013). Strategy selection, surrogation, and strategic performance measurement systems. *Journal of Accounting Research, 51*(1),105–133. https://doi.org/10.1111/j.1475-679X.2012.00465.x

de Waal, A., & Kourtit, K. (2013). Performance measurement and management in practice. *International Journal of Productivity and Performance Management, 62*(5), 446–473.

de Waal, A., & Van Der Heijden, B. (2015). The role of performance management in creating and maintaining a high-performance organization. *Journal of Organization Design, 4*(1), 1–11.

Health Resources and Services Administration. (2011). *Performance management and measurement.* U.S. Department of Health and Human Resources. https://www.hrsa.gov/sites/default/files/quality/toolbox/508pdfs/performancemanagementandmeasurement.pdf

Layland, A., & Redding, S. (2017). *Casting a statewide strategic performance net: Interlaced data and responsive supports.* Building State Capacity and Productivity Center. http://www.adi.org/downloads/Strategic_Performance_Management_Casting_A_Net.pdf

CHAPTER 5 **A FUTURE BUILT ON SUCCESSES**

Since 2015, through the BSCP Center at Westat, and in partnership with Regional Comprehensive Centers, ADI consultants have worked and learned together with SEAs, LEAs, and schools across the nation, in a U.S. territory, in insular areas, and with a Charter School Commission to implement SPM. Below we share our successes, lessons learned, and ways we have adapted SPM to fit different contexts and serve new clients. Further details can be found in *Strategic Performance Management: A Journey in Organizational Effectiveness* (Layland & Redding, 2019).

SUCCESSES

Each agency that adopted SPM and worked with us to implement the process completed pre- and post-assessments of various factors related to organizational structure and function, strategic planning, performance monitoring, and personnel engagement in work planning. Each of these agencies showed progress on the self-assessment and in interviews with key personnel conducted by the BSCP Center's external evaluators. The agencies had plenty of data to ascertain the extent of their progress: Monthly Status Reports provided implementation progress data, and an end of year report provided a summary of the percentage of actions and milestones completed annually, a narrative account of accomplishments, and suggestions for new milestones. One SEA posted quarterly progress reports on its website, providing stakeholders beyond the agency itself with true transparency of performance. The external evaluation also found that all the organizations experienced:

- Increased ownership of work;
- A strong sense of accountability that positively influenced people and their work;
- Increased cross-agency collaboration and a reduction of silos and departmental territorialism; and
- A renewed energy and focus on work.

We did not realize how much cultural, professional, and conceptual barriers there were. That came out, and attention was given to build the foundational culture with our own team.

PUBLIC CHARTER SCHOOL COMMISSION DIRECTOR

In other words, SPM builds a more positive culture that supports the agency's vision, mission, and pursuit of goals. We have much more to learn about optimal implementation of the most effective strategic performance management processes, but the first few years in several diverse agencies revealed substantial, positive change in the culture and operating practices of the agencies.

The external evaluation of SPM set out to attain a deeper understanding of: (1) the reasons that SEAs decided to implement SPM processes; (2) the successes and challenges associated with implementing SPM; and (3) ways in which the SEAs operate differently as a result of SPM. The evaluation team conducted structured telephone interviews with a total of 20 persons involved in SPM implementation and reviewed progress summaries and feedback obtained through evaluations of training/ support activities. They concluded that

- Prior to initiating SPM, the agencies identified significant areas in which growth was needed;
- SPM was viewed favorably by participating agencies, whether their initial reason for choosing it was new leadership, reorganization, or a recognition of management issues;
- The SPM process helped facilitate the posing and answering of "hard questions" about SEA operations;
- Effective SPM implementation was grounded in effective management of people, ongoing communication within and across departments, and securing buy-in at all levels of the organization; and
- Interview data suggested that participating SEAs made improvements in integration and efficiency of operation, but challenges persisted in maintaining momentum and focus over time. (Hildreth & Turnbull, 2018)

PRODUCTIVITY

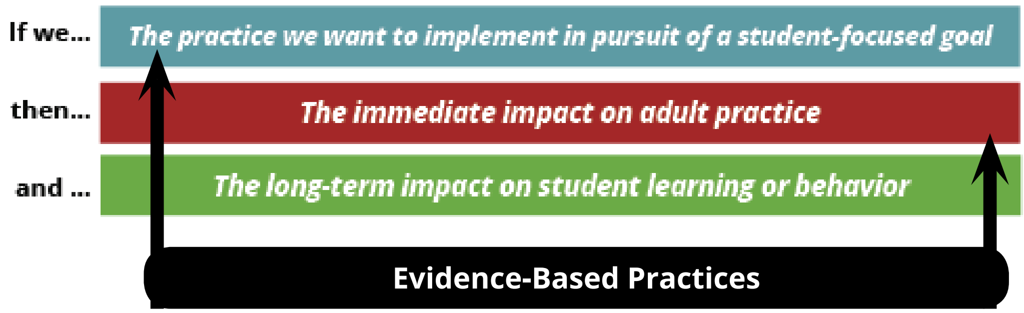
The "productivity lens," at key points in SPM implementation, served the purpose of pausing the decision making and encouraging the group to consider alternative methods for achieving their ends. The questions posed in the productivity lens exercises resulted in internal examination of current work and its effectiveness, as well as scrutiny of possible new paths. In some cases, the impact of current practice was unknown, spurring the creation of new and practical means for making a determination about the effect of the practice. One SEA, for example, had developed a number of frameworks but did not know how districts used them or if they were found helpful. Thoughtful discussion followed this realization, and a query of district personnel followed. In other words, the first leg of the strategy's theory of action was tested for its effect on the second leg.

EFFECTIVE PRACTICE AND INNOVATION

The Every Student Succeeds Act put a brighter spotlight on using evidence-based practices, particularly in school improvement (ESSA, 2015). SPM uses an effective practices lens to encourage teams to identify evidence-based practices when determining both their work (strategies, milestones, and actions) as well as the desired direct impact (the adult practices that are implemented or changed as a result of the SEA or LEA work).

FIGURE 5.1

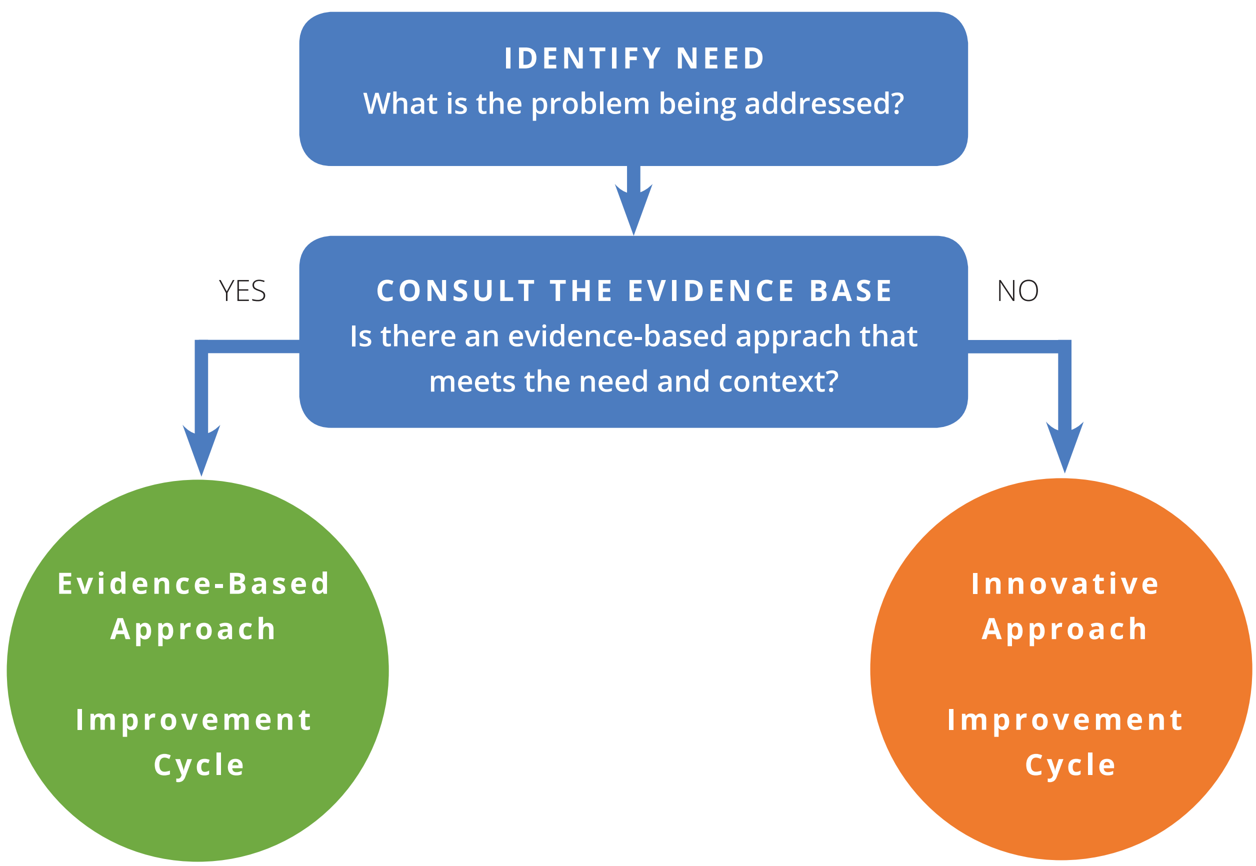
EXAMPLE OF A SPM MONTHLY STATUS REPORT



But where does innovation come into the picture? Focusing on evidence-based practices does not exclude innovation but encourages it. Many of the discussions at the studied agencies centered on practices in place and improving upon those practices. Figure 5.2 demonstrates how both evidence-based practices and innovation are vital to improvement. Action research could then build evidence for the innovative practice.

FIGURE 5.2

EVIDENCE OF IMPACT



Once a practice is in place with strong fidelity and results, SEAs, LEAs, and schools are encouraged to improve upon the practice within the context of their population, setting, and circumstances. In several cases, the SEA or LEA staff were unsure of the research behind a desired practice. Rather than discarding the practice, research was included in the work. This required a mindset shift, as SEA and LEA staff are typically seen as having the answers. In several cases the answers had to arise from research and practice. For example, one SEA had a strategy related to culturally responsive instruction. They turned to research to define culturally responsive instruction to identify specific practices that had a track record of effectiveness.

COLLABORATION

> **The difficult conversations, breaking down the silos—through it we earned a lot of respect across the county and received a lot of positive comments.**
>
> SEA DIRECTOR

Every agency reported increased collaboration as a result of SPM. Through SPM, all staff are engaged in planning and implementing the plan. The process is collaborative in that various teams are identified and work to build a cohesive plan and performance system. Collaboration is defined, and a process to create and disband collaborative teams is identified and institutionalized. Collaborators from other units and divisions are identified and brought on as team members as their expertise is needed. Resources and support from external organizations are also identified and leveraged to complete milestones and actions.

LESSONS LEARNED

COMMUNICATION

The evaluation report indicated that the SEAs were challenged to achieve and sustain a high level of implementation and continuous operation of performance management. Internal communication persisted as a problem for some of them.

PACING OF IMPLEMENTATION

The BSCP Center originally designed the implementation process to occur in six meetings with agency leadership over several months. The one-day meetings proved insufficient. Two-day sessions at monthly intervals proved most productive. This called for creative scheduling and added time to make revisions based on reflections at the beginning of each session. As one SEA Director said, *"The amount of time on site was amazing. [The SPM facilitators] gave us a concept and let us work through it and then came back. The amount of time between visits was really good. Always available. Three days in a row was too much. A day and ½ was the sweet spot. There is a lot of hard thinking, and by the third day we were mentally exhausted to where it was hard to keep the energy level up."*

GOAL FOR INTERNAL OPERATIONS

The original format insisted that the agency adopt goals that were student-focused. While this proved to be a wise requirement in many ways, each agency also struggled to connect some aspects of its operations directly to students and felt that something was being left out. The solution was to add one operational goal aimed at internal needs, even as it was also clear that these goals ultimately impacted the agency's ability to affect the field and students. Below are examples of such goals:

- *The Department will provide efficient and effective customer service that benefits students, respects government resources, builds meaningful partnerships, and serves all stakeholders.*
- *All students will benefit from an education system that is effective, efficient, transparent, and accountable.*

I would do it again, definitely. Our SEA is a better organization because of the process. We still have room for improvement, but at least people are getting involved.

SEA DIRECTOR

FACILITATION

An independent facilitator is a crucial piece of implementing SPM. The facilitator acts as a critical friend, pushing when it is needed, pulling back as the process is flowing, and taking the pulse of the agency. At times the facilitator needs to say things that may not be welcomed by all but, because of the facilitator's perceived objectivity, can effectively move the process forward. Adjustments often need to be made on the fly, and patience is a virtue. As a Public Charter School Commission leader described the BSCP Center's facilitation:

"You did your homework and knew us better than we knew ourselves. A few times it was uncomfortable, and that was indication that you all did your work well—got us to think hard, forced us to think about the why...you knew when to push and when to pull back."

EXPANDING SPM

We have learned from the clients and improved SPM throughout the four years of its initial implementation: refining the process, adding lenses, adapting it for a branch or division within an agency, creating a networked system of SPM (SnPM), and developing a version (SvPM) for Tribal Education Agencies and Departments. With each improvement comes more evidence of the importance of building a strong foundational direction and then aligning functions, structures, people, and work to the direction. Only then can a strong reiterative process be initiated for progress monitoring, reporting, and adjusting based on data (performance cycle).

TRIBAL EDUCATION

A Tribe is governed by representatives of its membership. Tribal governments act as sovereign nations and provide many programs and services to address the needs of their communities. The education of its membership is paramount to a sovereign Tribal government, and strategic educational supports and services are administered through a Tribal Education Agency (TEA) or Tribal Education Department (TED). An evidence-based strategic performance approach is necessary to implement, monitor, and improve the educational outcomes of a Tribe. A key consideration of strategic performance management is that the parts of an agency stay true to the whole. In the case of the education of Tribal membership, it is important that the aspirations and needs of the Tribe echo through the Tribal government and the TEA/TED.

Sovereignty Performance Management (SvPM) is a version of strategic performance management tailored for Tribes and is designed to plan and manage the Tribe's initiatives to advance the unique educational and culturally related academic aspirations of American Indian and Alaska Native students. Depending upon the context and desires of the Tribe, SvPM may begin with:

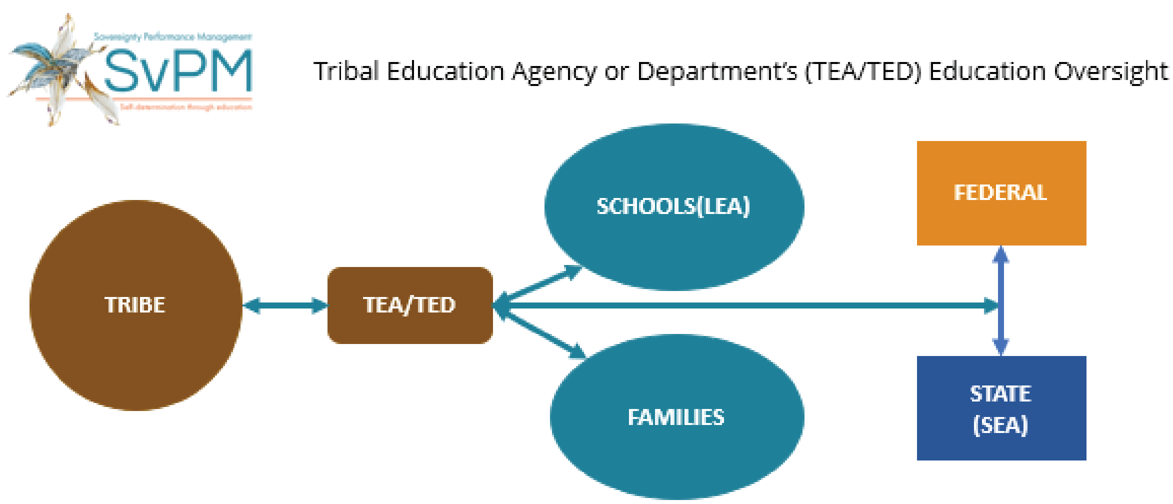
- the Tribal government and include the TEA/TED as the Tribal government's primary arm for administering the Tribe's education strategies, or
- the TEA/TED, first connecting the education goals and strategies to the Tribe's vision, mission, and values. If the Tribe has not recently constructed or reviewed its vision, mission, and values, that becomes a preliminary exercise before the TEA/TED moves forward to establish education goals, strategies, and work plans.

It is always best for a TEA/TED to be certain of its purpose in advancing the mission of the Tribe. For that to happen, the Tribe's own vision, mission, and values must be certain, and the role of the TEA/TED must be made clear relative to the Tribe's vision, mission, and values. Otherwise, the Tribe itself exists as an external influencer (albeit a powerful one) to the TEA/TED—the TEA/TED is an orphan. SvPM addresses the agency's internal operations as well as its relationship to external influences and external beneficiaries of its services (see Figure 5.3).

SvPM can assist a Tribe and current or new TEAs and TEDs in setting a strong foundation for their vision of education, creating the structures needed, and implementing specific actions to both provide educational services and supports to their people.

FIGURE 5.3

TRIBAL EDUCATION AGENCY OR DEPARTMENT'S (TEA/TED) EDUCATION OVERSIGHT



CONCLUSION

Strategic planning and performance management are not new concepts, but education agencies and other nonprofit organizations still struggle to embrace and use the concepts, especially in unison. The SPM process and its variations, SnPM and SvPM, provide mechanisms to bring performance management to SEAs, LEAs, and schools, individually or through a network. The experience of engaging various organizations over the past four years has laid a strong foundation to advance strategic performance management for education agencies.

REFERENCES

Baca, L. (2005). *Meyers v. Board of Education: The Brown v. Board of Indian country.* https://illinoislawreview.org/wp-content/ilr-content/articles/2004/5/Baca.pdf

Center for Native American Youth. (n.d.). *Fast facts: Native American youth and Indian country.* http://www.cnay.org/resource-hub/fast-facts/

The Education Trust. (2013). *The state of education for Native Americans.* https://edtrust.org/wp-content/uploads/2013/10/NativeStudentBrief_0.pdf

Every Student Succeeds Act of 2015, Pub. L. No. 114-95 § 114 Stat. 1177 (2015). https://www.govinfo.gov/content/pkg/BILLS-114s1177enr/pdf/BILLS-114s1177enr.pdf

Hildreth, J. L., & Turnbull, B. J. (2018). *Understanding SPM implementation: BSCP Center 6-year evaluation.* Policy Studies Associates.

Layland, A., & Redding, S. (2019). *Strategic performance management: A journey in organizational effectiveness.* National Comprehensive Center at Westat. https://compcenternetwork.org/sites/default/files/local/5704/StrategicPerformanceManagementJourneyOrganizationalEffectiveness.pdf

Layland, A., & Redding, S. (2020). *Strategic performance management: A communication lens.* National Comprehensive Center at Westat. https://compcenternetwork.org/sites/default/files/local/5704/StrategicPerformanceManagementCommunicationLens.pdf

National Center for Education Statistics. (n.d.). *The nation's report card: The NAEP data explorer*. U.S. Department of Education. http://nces.ed.gov/nationsreportcard/naepdata/

National Congress of American Indians. (2018). *Tribal leaders toolkit: Education choice for Indian country: Supporting Tribal decision making for schools and students*. http://www.ncai.org/NCAI_Tribal_Leader_Toolkit_Education_Choice_2018.pdf

National Indian Education Association. (n.d.). *Information on native students*. https://www.niea.org/native-education-research?rq=information%20on%20native%20students

Ninneman, A. M., Deaton, J., & Francis-Begay, K. (2017). *National Indian Education Study 2015* (NCES 2017-161). National Center for Education Statistics, U.S. Department of Education.

Rampey, B. D., Faircloth, S. C., Whorton, R. P., & Deaton, J. (2019). *National Indian Education Study 2015: A closer look* (NCES 2019-048). National Center for Education Statistics, U.S. Department of Education. https://nces.ed.gov/nationsreportcard/subject/publications/studies/pdf/2019048.pdf

Redding, S., & Layland, A. (2017). *Strategic performance for your branch: Organizing people and their work in an LEA or SEA division or strand.* Building State Capacity and Productivity Center. http://www.adi.org/spm.html#features17-8m

Showalter, D., Hartman, S., Johnson, J., & Klein, B. (2019). *Why rural matters 2018-2019: The time is now.* Rural School and Community Trust. http://www.ruraledu.org/WhyRuralMatters.pdf

Spillane, J. P. (1998). A cognitive perspective on the role of the local educational agency in implementing instructional policy: Accounting for local variability. *Educational Administration Quarterly, 34*, 31–57.

GLOSSARY

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

A

Accountable Division – A division whose job is to ensure thorough completion of a milestone. It is the one where the "buck stops."

Action – An incremental step in completing a milestone. Actions take more than one month but less than a year to complete. Actions begin with verbs.

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.

B

Baseline – As part of a performance measure, baseline indicates the current level of indicator performance related to a goal or strategy.

Best Practice – Has also been known as effective, evidence-based, or research-based practice. The practice has *strong, moderate,* or *promising evidence* according to the definitions outlined in the Every Student Succeeds Act of 2015 by the U.S. Department of Education (2016).

Best Practice Lens – Best practice lens signals that the practices being referred to, suggested, or used should be those with *strong, moderate,* or *promising evidence* according to the definitions outlined in the Every Student Succeeds Act of 2015 by the U.S. Department of Education (2016).

C

Collaboration – The pooling of knowledge, skills, and/or tangible resources by two or more stakeholders to solve a set of problems which neither can solve individually.

Communication – A process of transmitting and sharing ideas, opinions, facts, values, etc. from one person to another or one organization to another.

Communication Lens – A communication lens focuses on effective communication activities or strategies for both internal and external stakeholders. A communication lens is thoughtfully applied to leverage strategic communication to support and sustain strategic performance management efforts.

Competency – The set of knowledge and skills necessary to successfully perform a functional role.

Coordination – Organizing people or groups so that they work together properly and well.

D

Division – A group of structural units (sometimes referred to as offices or departments) that are similar in function.

Division Team – Leaders from each Unit whose job is to ensure thorough completion of action plans. It is the one where the "buck stops." It may not be the person or persons that do the work, but the ones who answer to division leaders for the work accomplished.

E

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.

F

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.

G

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. Goals are student focused, but also include an operational organizational goal or two.

I

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.

Innovation Lens – An innovation lens is applied in SPM to drive productivity forward by encouraging everyone in the organization to seek out better practices and processes based on routine examination of feedback data.

Intentional Strategies – Strategies often formed and executed in a top-down approach and are typically related to routine, mandated work of an organization.

L

Leadership Team – A team comprised of the leaders of each division in the agency (each is comprised of similarly functioning units) and charged with maintaining coordination and communication within and across organizational divisions and units.

M

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. Milestones are written in past tense, indicating what is anticipated to be completed at the end of one year.

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.

P

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.

Q

Quarterly Team Performance Review – Each quarter, the Leadership Team meets to review the 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.

R

Responsible Person – A person who does (or leads) the actual work of an action and is accountable for it.

S

SnVP – Strategic Networks of Performance Management for multi-organization systems such as a district and its schools or an SEA and its system of support for districts and schools.

SPM – Strategic Performance Management for SEAs and LEAs.

SvPM – Sovereignty Performance Management for Tribal Education Agencies and Tribal Education Departments.

Strategic Networks of Performance Management – A Strategic Performance Network encourages and facilitates each organization's (SEA, LEA, or school) self-determined, aspirational pursuit of better education within a structure of common data elements, common domains and best practices, and routine reporting cycles that enable a collaborative and supportive system capable of making course corrections and providing responsive supports to address implementation issues.

Strategic Performance Management – A multistep process that combines *strategic planning with performance management* 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 – Strengths, Weaknesses, Opportunities, and Threats

Strengths, Weaknesses, Opportunities, and Threats Analysis – 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.

T

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.

U

Unit – Structures within the organization that carry out a specific function to complete milestones to effectively implement identified strategies.

Unit Team – All the members of one Unit, with a Unit Leader and Unit Process Manager.

V

Values – Beliefs which 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.

PART C:
SPM IMPLEMENTATION TOOLS

Attachment A: Module A – SEA's or LEA'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 or LEA 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.			
4.			

PART III: GOAL PERFORMANCE MEASURES					
SEA or LEA 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: Module A – 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: Module A – 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 could 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: Module A – 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 agency? Will the cumulative effect of the strategies move us closer to realizing the goal?

SEA OR LEA 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: Module A – 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. Milestones are written in past tense, indicating what is anticipated to be completed at the end of one year. Multiple milestones may be assigned to each strategy.

Vision: ____________________

Mission: ____________________

Values: ____________________

SEA OR LEA 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 2.1**				**Year 1**
					Year 2
	Strategy 2.2				**Year 1**
					Year 2

Attachment F: Module A – Communications Team Logistics

Use the chart below to assign personnel needed to develop and implement specific communication activities to roll out 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: Module A – 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
	___Intranet ___Newsletter ___Email ___Staff Meetings ___Memorandums ___Trainings ___Other					
	___Intranet ___Newsletter ___Email ___Staff Meetings ___Memorandums ___Trainings ___Other					

Attachment H: Module A – 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
	___Internet ___Newsletters ___Email ___Community Forums or Meetings ___Articles ___Trainings ___Other					
	___Internet ___Newsletters ___Email ___Community Forums or Meetings ___Articles ___Trainings ___Other					

Attachment I: Module A – Communications Plan Template

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

Attachment J: Module B – Functional Analysis Tool

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

Functions
Leadership
1. Advocate (LAD)
2. Develop policy (LP)
3. Conduct, procure research (LCR)
4. Establish and maintain partnerships (LEP)
5. Consult/advise (LCA)
6. Communicate (LC)
Management
7. Manage resources/facilities (MRM)
8. Manage finance and procurement (MFP)
9. Analyze cost benefits and cost effectiveness (MCB)
10. Monitor performance and reporting (MPR)
11. Manage compliance and reporting (MCR)
12. Manage contracts (MC)
Service to the Field (Districts or Schools)
13. Guide policy and practice (SPP)
14. Evaluate standards, licensure, program (SLP)
15. Allocate resources (SR)
16. Support continuous improvement (SCI)
17. Intervene to correct compliance or catalyze improvement (SI)

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

SEA or LEA Goals (Number)	Strategies (short phrase)	FUNCTIONS NEEDED FOR STRATEGIES																
		LAD	LP	LCR	LEP	LCA	LC	MRM	MFP	MCB	MPR	MCR	MC	SPP	SLP	SR	SCI	SI
Goal 1																		
Goal 2																		
Goal 3																		

Using the codes on the previous pages, identify SEA or LEA functions currently carried out by each Division and Unit or Office.

SEA or LEA Goals (Number)	Strategies (short phrase)	FUNCTIONS NEEDED FOR STRATEGIES																
		LAD	LP	LCR	LEP	LCA	LC	MRM	MFP	MCB	MPR	MCR	MC	SPP	SLP	SR	SCI	SI
Goal 1																		
Goal 2																		
Goal 3																		

Compare current SEA or LEA 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

Attachment K: Module B – 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 *(The type of work to be done, e.g., communication, policy development, standards)*	**RESPONSIBILITIES**	**CRITICAL COMPETENCIES** *(list any key critical skills or competencies needed)*

UNIT / OFFICE	**PURPOSE** *(describe the purpose of the unit)*	**FUNCTIONS** *(list the functions of the unit)*	**RESPONSIBILITIES (Work)**	**CRITICAL COMPETENCIES** *(list any key critical competencies needed)*

Attachment L: Module B – 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:			

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: Module B – 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: Module B – Team Tool

Division Team				
Members	**Role**	**Communication Process**	**Meeting Schedule**	**Decision-Making Process**

Unit Team				
Members	**Role**	**Communication Process**	**Meeting Schedule**	**Decision-Making Process**

Attachment O: Module B – 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: Module B – Action Planning Logistics Tool

Date and Times	Location	Goal, Strategy, Milestone #	Teams	Facilitators	Materials

Attachment Q: Module C – 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

Goal	Strategy	Milestone	Current Work Aligned to or Supporting Milestone	Current Units Engaged in the Work	Current Personnel Engaged in the Work
YEAR 2					
Goal 1	**Strategy 1.1**	**Milestone 1.1.1**			
		Milestone 1.1.2			
		Milestone 1.1.3			
	Strategy 1.2	**Milestone 1.2.1**			
		Milestone 1.2.2			
		Milestone 1.2.3			
		Milestone 1.2.4			
	Strategy 1.3	**Milestone 1.3.1**			
		Milestone 1.3.2			
		Milestone 1.3.3			
		Milestone 1.3.4			
		Milestone 1.3.5			

Current Work Not Aligned to Goals, Strategies, Milestones	Is Work Required? Yes or No	Action to Address Lack of Alignment

Attachment R: Module C – 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 Needed Collaborative Teams

Attachment S: Module C – Action Planning Template

Use the template below for action planning.

Goal:	
Strategy:	
Milestone:	
Action:	1.
Start Month:	
End Month:	
Sort Order:	
Budget:	
Resources (one or more):	
Outputs:	
Personnel:	
Responsible Person (from Unit):	
Supports (one or more):	
Notes:	

Attachment T: Module D – 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 #		☐ Yes ☐ No					
		☐ Yes ☐ No					
Goal # **Strategy 1**		☐ Yes ☐ No					
Goal # **Strategy 2**		☐ Yes ☐ No					
Goal # **Strategy 3**		☐ Yes ☐ No					
Goal #		☐ Yes ☐ No					
		☐ Yes ☐ No					
Goal # **Strategy 1**		☐ Yes ☐ No					
Goal # **Strategy 2**		☐ Yes ☐ No					
Goal # **Strategy 3**		☐ Yes ☐ No					

Attachment U: SPM Self-Assessment

An SEA or LEA utilizes this self-assessment to: (1) reflect on its strategic planning and performance management processes, (2) determine priority areas, and (3) identify an access point to reconstruct all or parts of its strategic direction and performance management systems. For each of the essential elements of strategic performance management, the agency: (1) determines the current level of development or implementation, (2) rates the priority level of the element (high, medium, low), and (3) rates the element's opportunity level (relatively easy to address; requires moderate change but is not a significant paradigm shift for the agency; or requires significant change in current policy, practice, staffing, and budget conditions). Note: Beginning with Functional Level of Development, the conditions for each previous level must be met for a rating to be made at a higher level. Note that in order to attain a score of "4," the conditions for "3" and "2" must be met, and for "3," the conditions for "2" must be met.

Module A: Setting the Strategic Direction

1. Vision	____ 1. The agency has not identified its vision.	____ High	____ Easy to address
	____ 2. Vision statement has been documented.	____ Medium	____ Requires moderate change
	____ 3. Vision statement portrays the ideal or optimal organization, what it aspires to be.	____ Low	____ Requires significant change
	____ 4. All personnel know and can articulate where the organization is going, what it is striving to be.		

2. Mission	____ 1. The agency has not identified its mission.	____ High	_____ Easy to address
	____ 2. Mission statement has been documented.	____ Medium	_____ Requires moderate change
	____ 3. Mission statement expresses the purpose of the organization, what it does.	____ Low	_____ Requires significant change
	____ 4. Personnel know and can articulate the organization's purpose, what it does to make its vision a reality.		

3. Values	____ 1. The agency has not identified its values.	____ High	_____ Easy to address
	____ 2. Values have been documented.	____ Medium	_____ Requires moderate change
	____ 3. The values express the ethics that are the underlying foundation of the organization's vision and mission.	____ Low	_____ Requires significant change
	____ 4. Personnel represent organization's values which are used in recruitment and retention.		

4. Goals	____ 1. Goals have not been defined. ____ 2. Goals have been documented. ____ 3. Goals highlight desired results for all students. ____ 4. Personnel know and can articulate what the organization's goals mean to their work.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
5. Goal Performance Measures	____ 1. Goal performance measures have not been developed. ____ 2. Goal performance measures have been documented. ____ 3. Goal performance measures include indicators, data sources, baseline, and targets. ____ 4. A process for data collection and reporting is in place.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
6. Roles and Responsibilities of SEA, LEA, and Schools	____ 1. Roles and responsibilities for SEA, LEA, and schools have not been identified for each goal. ____ 2. Roles and responsibilities have been documented for each goal. ____ 3. Stakeholder input was used in identifying roles and responsibilities. ____ 4. Identification of roles and responsibilities included identification of gaps and redundancies.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
7. Analysis of Organization's Strengths, Weaknesses, Opportunities, and Threats	____ 1. The agency's strengths, weaknesses, opportunities and threats have not been identified. ____ 2. The agency's strengths, weaknesses, opportunities and threats have been documented. ____ 3. The agency used data from multiple sources to identify its strengths, weaknesses, opportunities and threats. ____ 4. Analysis included identifying root causes and examination of strengths with opportunities and weaknesses with threats.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
8. Goal-Aligned Strategies or Objectives	____ 1. Strategies have not been identified for goals. ____ 2. Strategies have been documented for each goal. ____ 3. Strategies include minimum conditions necessary for their successful implementation. ____ 4. Strategies express the work of the organization in pursuing its goals.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change

9. Strategy Performance Measures	____ 1. Strategy performance measures have not been developed. ____ 2. Strategy performance measures have been documented. ____ 3. Strategy performance measures provide a means to measure progress in implementing each strategy. ____ 4. A process for data collection and reporting strategy performance measures is in place.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change

10. Milestones	____ 1. Milestones have not been identified for each strategy. ____ 2. Milestones have been documented for each strategy. ____ 3. Milestones that contribute to implementing strategies represent current and future work to be completed in annual increments. ____ 4. Personnel know and can articulate how their work supports meeting milestones.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change

11. Internal Communications	____ 1. Internal communication plan has not been developed. ____ 2. Recurring internal communication activities are planned and implemented (e.g., monthly newsletter, quarterly all-staff meetings). ____ 3. Internal communications plan exists and is based on needs and goals for staff knowledge and actions. ____ 4. Staff have clear mechanisms for and provide routine feedback to leaders regarding received communications (e.g., asking questions, offering suggestions).	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change

12. External Communications	____ 1. External communication plan is reactive and not documented. ____ 2. External communications are implemented as isolated campaigns. ____ 3. External communication plan exists and is aligned with the strategic objectives of the organization. ____ 4. Organization has capacity to evaluate the effectiveness of its communications and uses the results to continuously improve.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change

Reflection of the Agency's Direction:

Module B: Operationalizing the Strategic Direction

1. Functional Analysis	____ 1. The agency has not documented its functions. ____ 2. The agency's functions necessary to implement each strategy has been document. ____ 3. Functions required to implement the strategies were compared to current functions and capabilities to identify gaps and redundancies. ____ 4. Gaps and redundancies have been addressed so functions support implementation of strategies.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
2. Structural Analysis	____ 1. An organization chart does not exist. ____ 2. An organizational chart is documented. ____ 3. The organizational chart represents the structures and functions to implement strategies. ____ 4. The organizational chart reflects the optimal structure for performing the functions necessary to implement strategies.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
3. Coordination	____ 1. A team structure for coordination is not documented. ____ 2. A team structure for coordination is documented. ____ 3. Team structure and operating procedures are document. ____ 4. A team structure and procedures facilitate the coordination of work within divisions and across units in the organization.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change
4. Collaboration	____ 1. There is no common definition of collaboration across the organization. ____ 2. A common definition of collaboration within the organization is documented. ____ 3. There is a process in place to create and terminate collaborative teams as defined by the organization. 4. Collaboration is occurring within and across divisions and units when needed according to the definition and procedures set by the organization.	____ High ____ Medium ____ Low	_____ Easy to address _____ Requires moderate change _____ Requires significant change

5. Personnel Placement	____ 1. Policies and procedures for assigning personnel to positions and units are not document.	____ High	_____ Easy to address
	____ 2. Policies and procedures for assigning personnel to positions and units are documented.	____ Medium	_____ Requires moderate change
	____ 3. Personnel assignments are based on an examination of their competencies.	____ Low	_____ Requires significant change
	____ 4. Personnel assignments are based on an examination of competencies relative to functions required to implement strategies.		

Reflection of the Agency's Operationalizing Its Direction:

Module C. Designing Actionable Work

1. Accountability of Milestones	____	1. Accountability for milestones is not documented.	____ High	_____	Easy to address
	____	2. A process is in place to assign milestones to divisions and units.	____ Medium	_____	Requires moderate change
	____	3. An accountable division has been identified for each milestone.	____ Low	_____	Requires significant change
	____	4. A lead unit has been identified for each milestone.			

2. Action Plans	____	1. Action plans to complete milestones have not been created.	____ High	_____	Easy to address
	____	2. Actions to complete milestones have been developed and documented.	____ Medium	_____	Requires moderate change
	____	3. Actions plans include timeline, outputs, and clearly defined staff roles.	____ Low	_____	Requires significant change
	____	4. Progress on action plans are being reported monthly and adjustments are being made to support timely completion.			

Reflection of the Agency's Design of Actionable Work:

Module D. Implementing a Performance and Innovation Cycle

1. Accountability of Milestones	____ 1. A performance and innovation cycle to implement the strategic plan has not been documented.	____ High	_____ Easy to address
	____ 2. A performance and innovation cycle to implement the strategic plan has been documented.	____ Medium	_____ Requires moderate change
	____ 3. A performance and innovation cycle uses progress monitoring of milestones and strategies.	____ Low	_____ Requires significant change
	____ 4. A performance and innovation cycle uses progress monitoring data to make adjustments as needed and encourage innovation and productivity.		

2. Performance Loops	____ 1. Performance loops to gather and disseminate implementation and performance information, garner input, and make decisions based on input does not exist or is ineffective.	____ High	_____ Easy to address
	____ 2. Performance loops to gather and disseminate implementation and performance information, garner input, and make decisions based on input is documented in a process manual.	____ Medium	_____ Requires moderate change
	____ 3. Performance loops routinely gather and report implementation and performance information to inform implementation and performance decisions.	____ Low	_____ Requires significant change
	____ 4. Performance loops are being used to inform implementation and performance decisions to increase productivity and support innovation.		

Reflection of the Agency's Performance Cycle:

Summary:

Patterns of Needs and Priorities Based on Self-Assessment

121 N. Kickapoo St.
Lincoln, IL

1-800-759-1495

www.adi.org