

Strategic Performance Management



Organizing People and Their Work in the SEA of the Future

Sam Redding and Allison Layland



Building State Capacity and Productivity Center
at Edvance Research, Inc.®

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Strategic Performance Management (SPM) is a multistep process that guides the SEA 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 with the structure, addressing human capital and productivity, and establishing performance measures.

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The Building State Capacity and Productivity Center

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About Strategic Performance Management (SPM)

Making full use of SPM on the way to becoming an SEA of the Future requires the commitment and involvement of the Chief State School Officer (CSSO) as the key arbiter of change and direction. SPM may be especially useful for a new Chief, but it is also appropriate for the veteran Chief eager to move more dramatically toward performance and productivity.

SPM is intended to provide a logically coherent process for linking strategic planning with performance management, ultimately engaging every person in the SEA in performance-guided, satisfying work connected to the agency's mission. SEA personnel may also gain new understandings about the SEA of the Future by studying the systematic way in which SPM connects many of the dots in how SEAs are purposed and managed.

This document includes a boatload of terminology, and a Glossary is provided. We have defined the terms and attempted to use them consistently so that we can convey concepts more clearly. But every state has its own vocabulary, and the terms used in SPM may certainly be replaced by ones more familiar to the user.

In a Nutshell

Strategic Performance Management (SPM) weds *strategic planning with performance management* in a living system that provides direction for people’s work while allowing for innovation and course adjustment 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.

SPM modules and SPM Task Forces: The SPM process is organized into three modules. The Chief State School Officer (CSSO) designates an SPM group for Module A: Purpose and Direction, and we call this group the Direction Task Force (DTF). The same or a differently constituted group for Module B: Functions and Structures is called the Operations Task Force (OTF). All SEA personnel are involved in Module C: Performance and Innovation. Approximate time to complete each module is:

Module A: Purpose and Direction—18.5 hours total in three or more sessions

Module B: Functions and Structures—12.75 hours total in two or more sessions

Module C: Performance and Innovation—11.75 hours total in two or more sessions

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



A **Strategic Performance Management Self-Assessment** in the appendix is useful in determining the SEA’s current status and documenting change over time.

Chief Performance Officer: The BSCP Center recommends that the SEA designate a deputy or assistant superintendent-level person as the Chief Performance Officer (CPO) for purposes of managing the SPM process. See *The Chief Performance Officer in Education* (Nafziger, 2013) at: <http://www.bscpcenter.org/officers/>

Facilitation: SPM goes most smoothly with a trained facilitator, external to the SEA, to guide the process and work alongside the designated CPO and the CSSO. To secure a facilitator, contact the BSCP Center at:

Email: info@BSCPcenter.org

Phone: 701-974-3644

Mail: The Building State Capacity and Productivity Center at Edvance Research, Inc.
9901 IH 10 West Suite 1000
San Antonio, TX 78230

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Introduction

The Chief State School Officer (CSSO), whether elected or appointed, is the key arbiter of change and direction for the State Education Agency (SEA), to be sure, but also for the many facets of education throughout the state. Setting the direction of constructive change requires vision, and getting results demands skills of communication and organization. Every person within the SEA must see the relevance of his or her work to the overarching goals of the agency and must know how progress is measured and how better ways of doing things are brought into the mainstream of practice. With the CSSO lies the responsibility for establishing a culture of constructive change as well as the policies and processes by which vision becomes reality. With *Strategic Performance Management*, the CSSO draws everyone in the SEA into a smoothly operating, open system that recognizes their contributions and encourages their innovation.

Most organizations operate from a strategic plan, and SEAs are no different. Strategic plans are typically designed to cover a three- to five-year period and reflect the organization's priorities, focus, and intended outcomes. Unfortunately, many strategic plans reiterate what the organization has already been doing and fail to take advantage of innovative thinking needed for change. "Strategic planning, as it has been practiced, has really been *strategic programming*, the articulation and elaboration of strategies, or visions, that already exist" (Mintzberg, 1994, p. 107). 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 out at the end of the five years. This planning typically isn't explicit about what the organization chooses to do and not do and why. It does not question current assumptions and challenge leadership to innovate (Martin, 2014).

Strategic Performance Management (SPM), however, results in an organization moving 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 requires ongoing mechanisms for feedback and adjustment in course. It is a fluid process by which the SEA leadership develops and operationalizes a plan that goes beyond the basic elements of vision, mission, values, goals, and strategies to include careful analysis of the functions performed by the SEA, its units, and its positions (roles) to facilitate effective placement, assignment, and training of personnel. Further, SPM includes a "productivity lens," prompting the SEA leadership to consider all options in the use of resources to achieve desired results. The emphasis is on planning through strategic thinking and synthesis that allows the SEA to make critical adjustments as needs and context change. It will help guide SEA leadership in decisions about what ideas to pursue and also about what not to do.

SPM incorporates elements of effective strategic planning and performance management from the business perspective, while also recognizing and addressing the unique nature of an SEA. For most SEAs, vision and mission statements are in place. The related goals tend to be broad and may not significantly change over the years because the inherent nature of an SEA is to provide resources, information, and assistance to local education agencies (LEAs) and schools to ensure that every student is prepared for college and/or career (Redding & Nafziger, 2013). The strategies, what the SEA does to more closely approximate the broad goals, change as progress is made towards the goals and/or the state context changes.

The vision, mission, values, goals, and strategies typically form the backbone of an organization's strategic plan. To create a performance management system,

Change 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)

however, an SEA must focus on *emergent strategies* as well as *intentional strategies*. Emergent strategies consist of the SEA's responses to intervening variables, such as changes in resources and restrictions or unanticipated events, whereas intentional strategies are deliberate and anticipated. A performance management system also includes performance measures for the SEA's goal-aligned strategies and milestones for strategies, as well as ongoing mechanisms for feedback and adjustment in course. A performance management system ensures effective implementation of a plan, as well as means for ongoing modification of the plan to achieve better results.

Key Features of Strategic Performance Management

1. A Living System

SPM wedges *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.

2. Productivity Lens

In building the SEA of the Future and planning and organizing for performance management, decisions should be made with a productivity lens. Productivity is not the same thing as efficiency. Efforts to improve productivity do not call for cutting spending, increasing efficiency, or finding cheaper ways to do the same things as before. When an SEA raises productivity, it means *finding ways to leverage system resources to maximize agency goals*. To this end, SEA leadership should examine previous assumptions and uses of agency resources—such as structural configurations (number and type of staff, use of external providers/contractors, organization of teams) and how technology and data might be used—in order to improve student outcomes. Most importantly, the SEA leadership should leverage the unique powers and limits of the state role to manage real and perceived restrictions at the school and district level placed by statutes, policies, regulations, and traditional practices that impair or boost efforts to improve student outcomes.

3. Modules and Steps

SPM is organized into modules and steps. The CSSO may assemble one group for Module A and a different group for Module B or utilize the same group for all the modules. For example, the state board or a group of state board members and agency personnel may address the Purpose and Direction module, while the CSSO's executive cabinet may work out the Functions and Structures module. A broader engagement of agency personnel is necessary for the Performance and Innovation module. In any case, the CSSO determines which groups tackle which modules, suiting the needs and traditions of the agency and state. The Module A group is called the Direction Task Force (DTF), and the Module B group is the Operations Task Force (OTF).

4. User Aids: Examples, Productivity Lens, Tools, and Quality Checks

This document includes several user aids with icons to identify each type. The user aids are: Examples, Productivity Lens, Tools, and Quality Checks. Examples are provided whenever possible; however, inclusion of an example does not indicate endorsement of the content, and the SEA leaders are encouraged to not let the examples restrict their thinking. Productivity Lens provides key questions or concepts that decision makers need to consider to

maximize efficiency and effectiveness. The icons (see sidebar) call attention to the user aids containing important ideas or features:

Examples: Examples of possible entries are provided, without endorsement.

Productivity Lens: Looking to leverage inputs for maximum outcomes.

Tools: Points to corresponding forms or protocols found in the Attachments.

Quality Checks: Lists items to confirm the quality and completeness of the work on a step.

Synopsis of the Modules and Steps

Module A: Purpose and Direction

Step 1. Create or Revisit the SEA's Vision, Mission, Values, and Goals

The SEA leadership creates vision and mission statements or revisits existing ones to determine if they still represent the purpose of the SEA and where it wants to be. In most organizations, goals are time-bound, usually three to five years corresponding to the length of most strategic plans; however, SEA goals may not be restricted by time as they express an ongoing execution of the SEA's mission. Progress toward the goals demonstrates that the organization's mission is being carried out and it is closer to reaching the ideal state of the vision. In the SPM process, the SEA leadership 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 ongoing progress during the years of schooling; and (3) include academic outcomes and student competencies (desired personal attributes not measured by academic markers). Performance measures are defined for each goal so that progress can be determined.

Step 2. Delineate the Roles and Responsibilities of the State, Districts, and Schools

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

Step 3. Appraise the Current Situation

Before launching into the construction of a strategic performance plan, the SEA leadership conducts a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis of each goal. The analysis is conducted with a productivity lens: strengths must be efficient and effective; weaknesses include the identification of inefficiencies in resource utilization. Do the opportunities capitalize on productivity, or can productivity increase with the opportunity? What threatens productivity? Analysis of data, recognition of patterns, and discussion lead to a consensus listing of three to five organizational strengths, weaknesses, opportunities, and threats for each goal. Completing a SWOT is a constructive exercise that sets the stage for determining the SEA's goal-aligned strategies.



Step 4. Determine Goal-Aligned Strategies

Using a possibilities approach, a few powerful strategies are identified to more closely approximate each of the SEA's 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 SEA's mission and move closer to its goals. Strategies do not necessarily represent what the SEA 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 contributes to the student results stated in the goals.

Step 5. Establish Performance Measures and Milestones for Strategies

Performance management is nimble, enabling the organization to make adjustments to plans and processes in response to data that provide information about progress toward quantitative markers. These markers are called "performance measures" and are tied to goal-aligned strategies. Baseline performance measures are set at the beginning of the SPM process, as are milestones for the first two years. Activities (tasks) to reach milestones are added later in Module C. Performance measures and milestones are adjusted annually.

Module B: Functions and Structures

Step 6. Conduct a Functional Analysis

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

Step 7. Conduct a Structural Analysis

Sometimes the existing organizational structure—how departments or units and positions are arranged on the organization chart—is not ideal for carrying out the agency's functions to execute its strategies and pursue its goals. Organizational structures evolve over time 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 functions first, and then massaging the structure as resources and restrictions dictate. The basic structure consists of functional units organized into clusters with a common purpose.

Step 8. Establish Coordinating Teams

The Operations Task Force (OTF) creates two kinds of permanent coordinating teams: a Leadership Team consisting of the leader(s) from each cluster, and Cluster Teams consisting of representatives from each unit in the cluster. The Leadership Team maintains coordination and communication across organizational clusters. The Cluster Teams maintain coordination and communication among units within the cluster. Each unit itself also operates as a team. The Leadership Team, Cluster Teams, and Unit Teams will engage in action planning (see Module C) and implement a cycle of review, reporting, adjusting, and creating in a continuous improvement cycle through performance management. Ad hoc Collaborating Teams are formed across clusters and units to pursue specific milestones.

Step 9. Assign Personnel to Structure and Identify Funding Sources

The OTF places within each unit the personnel prepared by competency to perform the appropriate functions of their 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 is 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.

Module C: Performance and Innovation**Step 10. Assign Milestones to Clusters and Units**

The SEA Leadership Team (leaders from each cluster) assigns each milestone to an accountable cluster, and the Cluster Teams (representatives of each unit in a cluster) assign the milestones to Unit Teams. Cluster leaders, with the input of accountable Unit Teams, meet with other cluster leaders to form Collaborating Teams (multiple units with roles in meeting a milestone).

Step 11. Engage Personnel in Performance Management

Once the milestones are assigned to Cluster Teams and Unit Teams, the Unit Teams develop action plans to detail the actions, outputs, lead personnel, and collaborations needed to meet milestones. Via the action planning process, SPM is operationalized at the unit level, thus building ownership, buy-in, and accountability by staff responsible for the actions.

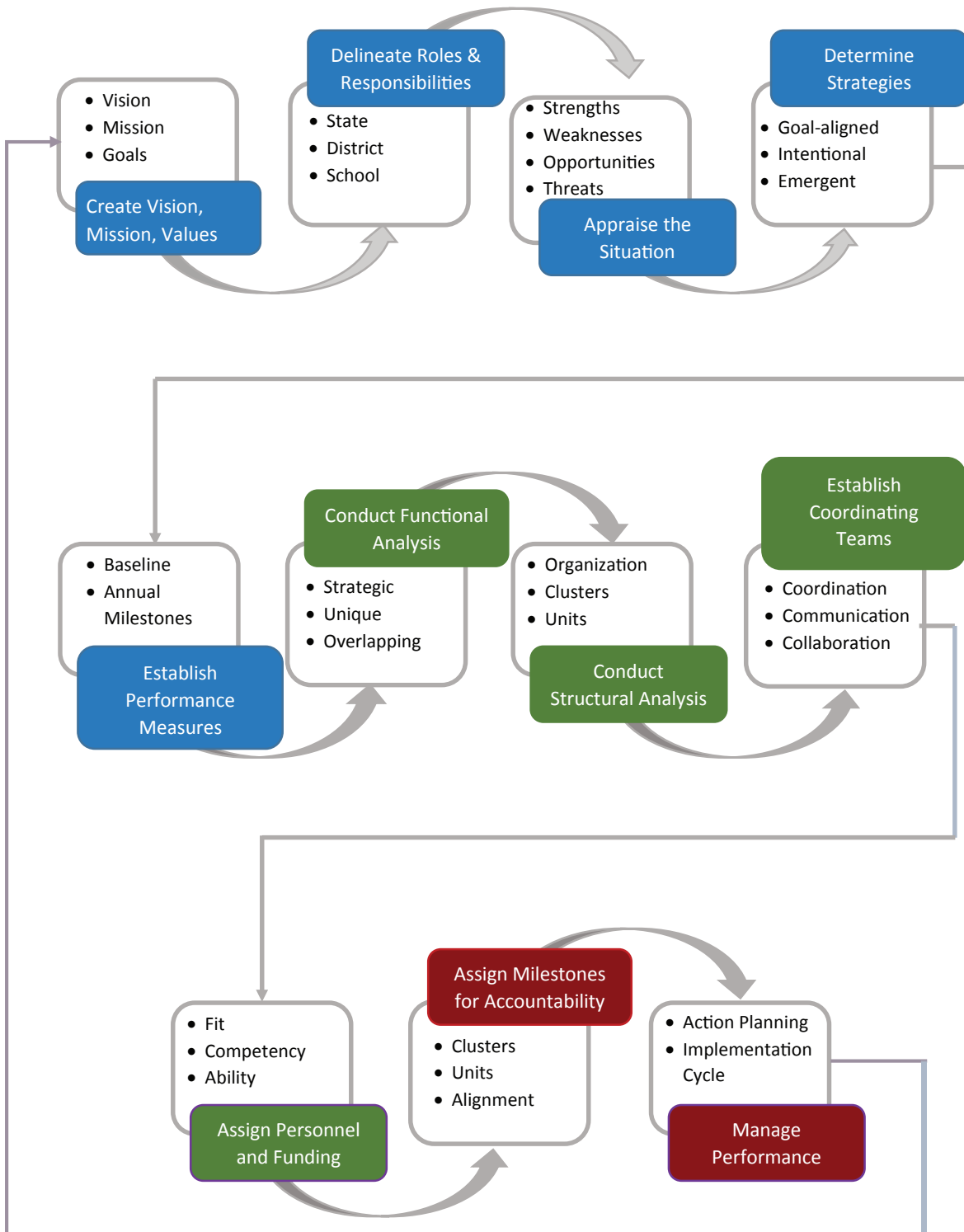
Based on their action plan, each unit engages in a cycle of implementation—each month performance data are collected and adjustments to action plans are made to ensure actions are completed, milestones are met, and strategies are implemented efficiently and effectively. The cycle empowers the SEA in continuous improvement through performance management.

Strategic performance management proceeds at multiple levels:

- **Monthly Unit Team Performance Review.** Each month, each unit meets to review progress with action plans the Unit Team is involved in and to make adjustments in staff assignments and recommendations to Collaborating Teams for adjustment in action plans.
- **Monthly Collaborating Team Performance Review.** Each month, the Collaborating Teams meet to review progress with the action plan and make adjustments in the plan as necessary to more expeditiously meet the milestone.
- **Quarterly Cluster Team Performance Review.** Each quarter, the Cluster Team, with representatives from the cluster's units, meets 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.** Each year, the Leadership Team and CSSO meet to review performance data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year if needed and adds performance measures and milestones for the following year.

In summary, SPM is a multistep process that guides SEA 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 illustrates the steps in the SPM process.

Figure 1: Strategic Performance Management



Strategic Performance Management

Module A: Purpose and Direction

Estimated Completion Time: 18.5 hours total in three or more sessions

In Module A of SPM, the team designated for this module by the CSSO: (1) creates, modifies, or confirms the SEA's vision, mission, values, and goals; (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: Purpose and Direction (Estimated Times)

Session 1 (6 hours)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 1: Create or Revisit the SEA's Vision, Mission, Values, and Goals	3 hours
Step 2: Delineate the Roles of the State, Districts, and Schools	2 hours
Determine data and stakeholder input to be collected for next session	30 minutes

Before Next Session: Gather data and stakeholder input relative to the goals

Session 2 (6 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 3: Appraise the Current Situation (SWOT Analysis)	2 hours
Step 4: Determine Goal-Aligned Strategies	4 hours

Session 3 (6 hours and 15 minutes)

Recap of Session 2	15 minutes
Step 5: Establish Performance Measures and Milestones for the Strategies	5 hours
Wrap-Up and Review of Module A	1 hour

Module A–Session 1 (6 hours)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 1: Create or Revisit the SEA’s Vision, Mission, Values, and Goals	3 hours
Step 2: Delineate the Roles of the State, Districts, and Schools	2 hours
Determine data and stakeholder input to be collected for next session	30 minutes

Before Next Session: Gather data and stakeholder input relative to the goals

Step 1. Create or Revisit the SEA’s Vision, Mission, Values, and Goals

Framing Discussion (15 minutes). The Direction Task Force (DTF) 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 is powerful and brings meaning to the vision and mission.

Vision

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

Mission

The mission statement succinctly presents the organization’s purpose. It describes what the organization does and for whom. It aims at the vision statement and provides direction for its employees, clients, and partners. Although the purpose of all SEAs is to provide resources, information, and assistance to LEAs and schools to ensure that every student is prepared for college and/or career (Redding & Nafziger, 2013), specific SEA’s vision and mission statements are crafted to reflect the values of that state, the state’s leadership, and stakeholders. More than likely, the vision and mission statements were constructed some time ago; therefore, it is essential to revisit the vision and mission to ensure they still apply in current and anticipated future contexts.

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 expects its personnel to relate to each other



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

and to the field as well as core beliefs about the SEA'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 where the organization is and what it strives to be for all stakeholders.

Goals

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

In the SPM process, the DTF 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 academic outcomes and student personal competency skills (desired personal attributes not measured by academic markers).

Performance measures (indicators, data sources, baseline, and annual targets) are then defined for each goal. Because goals are aspirational in referring to “every student,” 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.

The SEA may already have identified goals related to the vision, mission, and values. If goals do exist, it is recommended that the SEA leadership reexamine them to determine if they will result in carrying out the mission and are relevant to today's context and clients.

EXAMPLES

Vision: The Department of Education is respected and valued by the citizens of the state 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.

Mission: 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 districts and communities to maximize educational opportunities and academic and personal success of all students throughout the state.

Values: As an SEA we value

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



Examples

- **Effective communication** through shared information, active listening, and timely responsiveness

Goals

1. Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.
2. Every student will make at least a year’s growth in literacy, math, and science each year of school as measured by state assessments.
3. Every student will develop and apply the personal competencies that foster learning, happiness, and success in life.
4. Every student will graduate high school ready for postsecondary study and/or careers.

Goal Performance Measures (typically more than one indicator per goal)

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

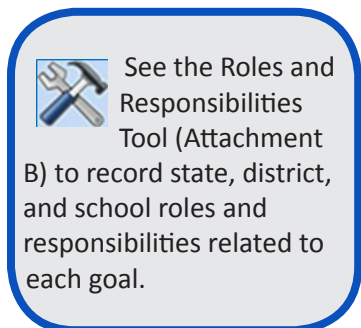
Goal Performance Measure

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



QUALITY CHECK

- _____ 1. The vision statement portrays the ideal or optimal SEA.
- _____ 2. The mission statement clearly expresses the purpose of the SEA.
- _____ 3. The values express the ethics that are the underlying foundation of the SEA’s vision and mission.
- _____ 4. Goal statements demonstrate that, as the goals are more closely approximated, the mission is being carried out and the SEA is moving toward the ideal of the vision statement.
- _____ 5. Goal Performance Measures provide multiple, quantitative ways to estimate progress toward the goals and include indicators, data sources, baseline, and targets.



Step 2. Delineate the Roles and Responsibilities of the State, Districts, and Schools

The identified goals bring meaning to the vision and mission of an SEA; however, it takes more than the SEA to move the state more closely to broad, 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 at the classroom level.

The complexity at each level of the system often leads to disconnects, blurred boundaries, and miscommunication. It is important for the SEA 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 can or should do and what it should stop or not do. It also provides insight into how its relationships with the districts and schools could be strengthened or leveraged to move closer to each goal.

QUALITY CHECK

- _____ 1. For each goal, the state, district, and school roles and responsibilities are identified.
 - _____ 2. Discussions included input from district and school stakeholders.
 - _____ 3. Conflicts are identified and resolved.
 - _____ 4. Gaps are also identified.
-

Preparation for Session 2

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



Quality Check

Module A—Session 2 (6 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 3: Appraise the Current Situation (SWOT Analysis)	2 hours
Step 4: Determine Goal-Aligned Strategies	4 hours

Step 3. Appraise the Current Situation

Framing Discussion (15 minutes). After creating or reviewing the goals, the DTF engages in a deep, honest discussion regarding the current situation in relation to the goals. Previously, the DTF discussed what it would look like if it reached its ideal state, what the student might experience, his or her family's experience, and the teacher's or principal's experience. Now the SEA examines what the current, actual experience is for a student and his or her family. What are the perceptions about schooling of various stakeholders including students, families, clients (districts and schools), and partners? How does the perception vary from school to school, place to place, student to student? This discussion creates the context and sets the stage for conducting a SWOT analysis and identifying powerful strategies through which the SEA can meet its responsibility in pursuing each goal.

SWOT Analysis

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

- **Strengths** are capabilities that enable the SEA to perform well, ones that should be leveraged to sustain or increase performance.
- **Weaknesses** are characteristics that hinder SEA 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 control that need to be planned for, responded to, or mitigated.

By analyzing the external factors affecting the SEA in achieving each goal, the DTF uncovers and better understands threats and opportunities, which, in turn, help to reveal strategic options. Consider the evolving needs of districts and schools, the changing demographics of students and families, and the ever-changing technology that is redefining the classroom environment. Include a deeper look at the legislators crafting policies, current and future vendors and consultants, as well as the various institutes of higher education and professional organizations and advocacy groups. Examine the needs of business and industry in the state today and what they are expected to be in the future.

Strengths are what the SEA does really well and are valued by its constituents. The analysis examines the SEA's core capabilities and processes, financial condition, management, culture, and services to the field. The DTF candidly identifies inefficiencies and areas of ineffectiveness. Only then can the SEA truly see the critical changes needed and what it should stop doing.



See the SWOT Analysis Template (Attachment C)

to record the strengths, weaknesses, opportunities, and threats related to each goal.

How can strengths be leveraged to take advantage of opportunities? How can weaknesses be addressed to minimize high-priority threats?

Figure 2 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. A discussion, starting with the external analysis, leads to a consensus listing of three to five organizational strengths, weaknesses, opportunities, and threats and sets the stage for the strategic process (Harvard Business Review, 2006). Use a productivity lens to ensure a focus on determining efficiency and effectiveness related to each factor.


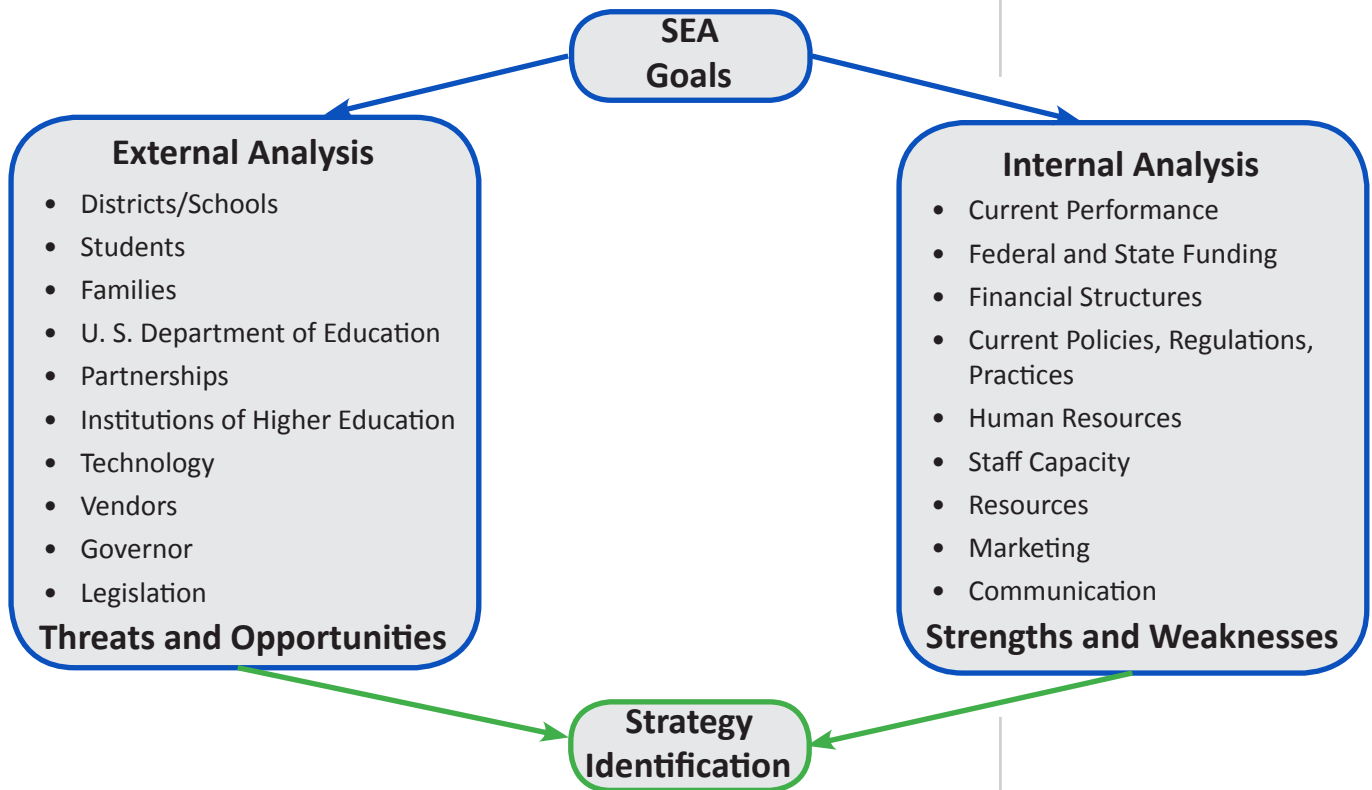
 Are strengths efficient and effective? Are weaknesses caused by inefficiency and ineffectiveness? Will the opportunities capitalize on productivity?

Figure 2: SWOT Analysis



QUALITY CHECK

- _____ 1. The DTF gathered and used information from stakeholders, including parents, institutes of higher education, community, and business representatives, in SWOT analysis.
- _____ 2. Data from multiple sources were analyzed to identify strengths, weaknesses, opportunities, and threats.
- _____ 3. Strengths and weaknesses were identified and accurately reflect the current state of the organization.
- _____ 4. Opportunities and threats represent current context, including community, business, financial, and technology environments.
- _____ 5. Analysis included examination of strengths with opportunities and weaknesses with threats.

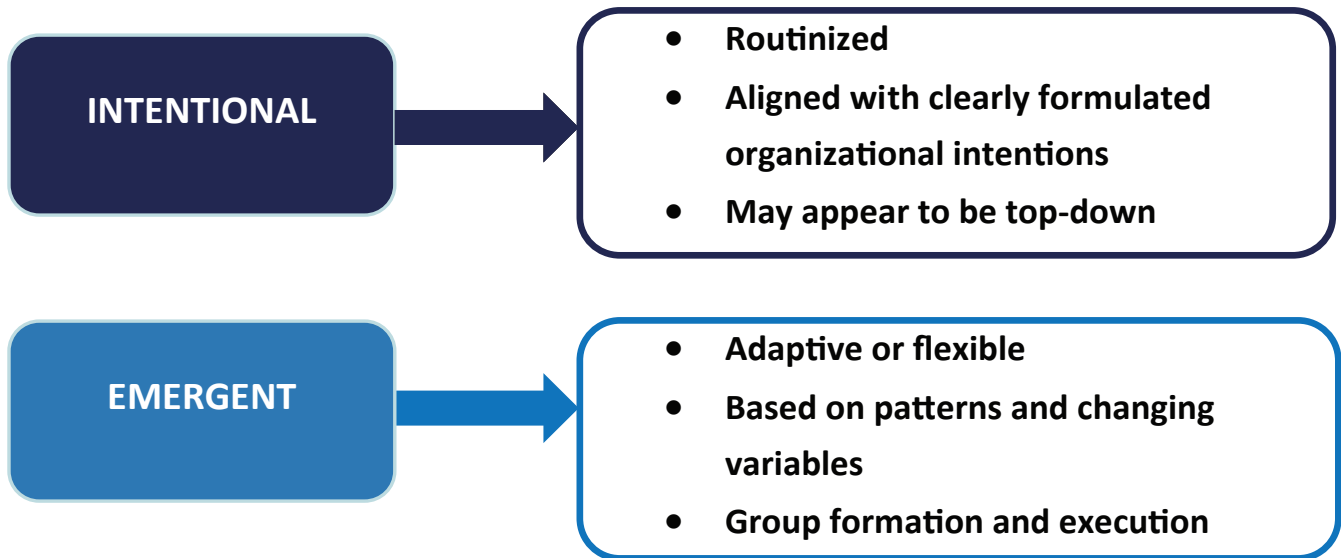
 **Quality Check**

Step 4. Determine Goal-Aligned Strategies

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

A strategy is not as specific as an action, yet it leads to the type of actions that need to occur. Some strategies are “intentional,” related to routine, mandated, and established work of the SEA. Other strategies are “emergent,” enabling the SEA to adapt, innovate, and respond to changes (Mintzberg, 1994; O’Donovan & Flower, 2015). A strategy focused on finance would be considered an intentional strategy because there are 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.


Figure 3: Intentional and Emergent Strategies



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

Generating Possible Strategies

The DTF 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 cau-*

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

tion: reach high when thinking about possibilities, but they must not be so high that they are unrealistic.

Considering Conditions, Barriers, and Alternatives

For each possible strategy, the DTF identifies the conditions that must occur for the strategy to become a reality (Lafley, Martin, Rivkin, & Siggelkow, 2012). What would have to be true for the strategy to be supported and succeed? The SEA 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 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? What might be another way to achieve the same end—an alternative strategy to this one?

Selecting Powerful Strategies

After examining each possible strategy, the SEA selects those few bold strategies that may be challenging yet attainable. These are strategies that the SEA 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.

A productivity lens should be 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?

Once selected, each strategy is stated using the **If we..., then...and...** format (the “and” connects the strategy to the goal) to show impact on each goal that the strategy is designed to pursue. The stronger the logic, the easier it will be to define actions and outputs to achieve annual measurable targets and thus successfully implement the strategy.

Later in the SPM process, in Module C, strategies will be incorporated into a **logic model** along with the *inputs* (resources including time, competencies, and tools), the *actions, outputs* (concrete products), and *outcomes* (strategies) to formulate action plans.



Productivity is where efficiency and effectiveness intersect. Decision makers must consider the most productive way to get the job done.

 **Examples**

EXAMPLES

Goal	Strategy
Every student will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.	If we implement a performance management system for all SEA units, then the agency will more effectively support the districts and schools, and they will have the capacity to improve instruction for students in grades preschool–3.
	If we create regional teacher development centers to coordinate regional training and support the implementation of evidence-based practices in preschool programs, then more districts will have skilled preschool teachers, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.
	If we secure legislation and funding to 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.
	If we set state standards for preschool programs, then the programs will improve in quality, and more students will start strong with a foundation of knowledge, skill, attitude, and habit in grades preschool–3.

 **Quality Check**

QUALITY CHECK

- _____ 1. For each goal, at least two but no more than six possible strategies were suggested without judgments.
- _____ 2. Minimum conditions were listed for each possible strategy and represent what must happen for the strategy to become a reality.
- _____ 3. Barriers that can and cannot be removed were identified for each strategy.
- _____ 4. Decision-making included analysis of conditions in relation to barriers.
- _____ 5. No more than three or four strategies were chosen for each goal.
- _____ 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.
- _____ 7. The cumulative effect of all the strategies associated with a goal is that the SEA is successfully carrying out the strategies and getting closer to achieving the goal.

Module A—Session 3 (6 hours and 15 minutes)

Recap of Session 2	15 minutes
Step 5: Establish Performance Measures and Milestones for the Strategies	5 hours
Wrap-Up and Review of Module A	1 hour

Step 5. Establish Performance Measures and Milestones for Strategies

Performance measures for strategies are comprised of one or more **indicators, data sources, baselines, and targets**. 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 plan, and annual targets are established for at least two years. In Step 5, milestones are created for each strategy. Milestones are the incremental steps to be completed to effectively implement a strategy and are set at one-year intervals. If the number of milestones per strategy is more than three or four, the level of detail may be too fine; more specific actions will be created in Module C by Unit Teams and Collaborating Teams.

The SEA 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.

EXAMPLES

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 (relates to the “then” portion of the strategy):** 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



See the Performance Measurement Tool (Attachment E) to guide the process of identifying performance measures for strategies.



Examples

- **Year 1 Strategy Target:** 24% of eligible preschool children enrolled in pre-school program
- **Year 2 Strategy Target:** 34% of eligible preschool children enrolled in a preschool program

Strategy Milestones

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



QUALITY CHECK

- _____ 1. Performance measures include indicators, data sources, baseline, and annual targets.
 - _____ 2. Measures can realistically be collected, analyzed, and used in making decisions related to the strategies and goals.
 - _____ 3. Specific, relevant performance milestones were identified for each strategy.
 - _____ 4. The milestones are necessary for the strategy to be implemented.
 - _____ 5. The milestones are specified for at least two years.
 - _____ 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.
-

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

PART I: MISSION, VISION, AND VALUES		
Mission:		
Vision:		
Values:		
1.		
2.		
3.		
4.		
5.		
PART II: SEA GOALS		
Goal	What does it mean for students?	What does it mean for families?
1.		
2.		
3.		
4.		

PART II: GOAL PERFORMANCE MEASURES					
SEA Goals	Goal Performance Indicator	Data Sources	Baseline (Current)	Goal 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:

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

Attachment B: Roles and Responsibilities Tool

The State Education Agency leadership may choose to seek input from district 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.

SEA Goal 1:		
State Roles and Responsibilities	District Roles and Responsibilities	School Roles and Responsibilities
Current Conflicts or Gaps		

SEA Goal 2:		
State Roles and Responsibilities	District Roles and Responsibilities	School Roles and Responsibilities
Current Conflicts or Gaps		

SEA Goal 3:		
State Roles and Responsibilities	District Roles and Responsibilities	School Roles and Responsibilities
Current Conflicts or Gaps		

SEA Goal 4:		
State Roles and Responsibilities	District Roles and Responsibilities	School Roles and Responsibilities
Current Conflicts or Gaps		

Attachment C: SWOT Analysis Template

The State Education Agency conducts a SWOT analysis for each goal. SWOT stands for Strengths, Weaknesses, Opportunities, and Threats. Record the results of the SWOT analysis below.

SEA Goal 1:	
SEA's Strengths	SEA's Weaknesses
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	SEA's Threats
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

SEA Goal 2:	
SEA's Strengths	SEA's Weaknesses
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	SEA's Threats
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

SEA Goal 3:	
SEA's Strengths	SEA's Weaknesses
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	SEA's Threats
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

SEA Goal 4:	
SEA's Strengths	SEA's Weaknesses
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
SEA's Opportunities	SEA's Threats
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

Attachment D: Strategy Development Tool

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

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

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

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

Attachment E: Performance Measures Template

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

Vision: _____

Mission: _____

Values: _____

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

SEA Goals	Strategies	Strategy Performance Measures				Strategy Milestones
		Strategy Performance Indicators	Data Sources	Baseline	Strategy Indicator Targets	
Goal 3:	Strategy 2.3				Year 1	Year 1 Year 1
	Strategy 3.1				Year 2	Year 2 Year 2
					Year 1	Year 1 Year 1
	Strategy 3.2				Year 2	Year 2 Year 2
					Year 1	Year 1 Year 1
	Strategy 3.3				Year 2	Year 2 Year 2
				Year 1	Year 1 Year 1	
Goal 4:	Strategy 4.1				Year 2	Year 2 Year 2
					Year 1	Year 1 Year 1
	Strategy 4.2				Year 2	Year 2 Year 2
					Year 1	Year 1 Year 1
	Strategy 4.3				Year 2	Year 2 Year 2
					Year 1	Year 1 Year 1

Strategic Performance Management

Module B: Functions and Structures

Estimated Completion Time: 12.75 hours total in two or more sessions

In Module B of Strategic Performance Management, the Operations Task Force (OTF) designated for this module by the CSSO: (1) conducts a functional analysis of the strategies; (2) conducts a structural analysis of the organization; (3) establishes coordinating teams; and (4) assigns personnel to units and identifies their funding sources.

Agenda for Module B: Functions and Structures (Estimated Times)

Session 1 (6 hours and 30 minutes)


Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 6: Conduct Functional Analysis of the Strategies	3 hours
Step 7: Conduct Structural Analysis of the Organization	3 hours

Session 2 (6 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 8: Establish Coordinating Teams	1 hour
Step 9: Assign Personnel to Structure and Identify Funding Sources	4 hours
Wrap-Up and Review of Module B	1 hour

Module B—Session 1 (6 hours and 30 minutes)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Step 6: Conduct Functional Analysis of the Strategies	3 hours
Step 7: Conduct Structural Analysis of the Organization	3 hours

 See the Functional Analysis Tool (Attachment F) to guide the process of aligning functions with strategies.

Step 6. Conduct a Functional Analysis

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

In this step, the OTF 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 OTF has previously identified, look at the “If we...” portion of the statement. That portion of the statement provides a broad description of the work (functions) to be done to carry out that strategy. In this exercise, the strategies are aligned with functions (the kind of work required), and a list of common SEA functions is provided. Additional functions may be added, and those stated may be amended to suit the organization. One function may appear in multiple strategies.

EXAMPLES

 **Examples**

Functions
Management
1. Resource/facility management
2. Finance management and procurement
3. Cost benefit and cost effectiveness analysis
4. Performance management monitoring and reporting
5. Compliance management and reporting
6. Contract management
7. Direct state management of programs
Service to the Field (Districts and Schools)
1. Policy and practice guidance
2. Information dissemination
3. Standards, licensure, and program evaluation
4. Resource allocation
5. Continuous improvement support
6. Intervention

Leadership and Advocacy
1. Advocacy
2. Policy development and research
3. Establishment and maintenance of partnerships
4. Consultancy/advisement
5. Communication
Other
1.
2.

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

QUALITY CHECK

- _____ 1. Functions have been identified that clearly relate to each strategy.
- _____ 2. Functions include those related to management, service to the field, and leadership and advocacy.
- _____ 3. Gaps are identified, including those related to capacity.
- _____ 4. Possible solutions to address gaps were explored.

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

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

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



Productivity is a primary consideration in a functional analysis.



Quality Check



Use the Structural Analysis Tool (Attachment G) and the Organization Chart Tool (Attachment H) to guide the analysis.

- are easily augmented by informal channels of cross boundary communication (Rhodes, 2011).

Functional structures bring people with common functions together and enable better collaboration, effective application of expertise, and clear standards of performance. The OTF 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—to do the work. Rather than forcing functions into existing units, try naming units to reflect the nature of the functions they perform. What is the work that the unit performs? What are the inefficiencies and gaps in the current structural units? What structure is needed to address gaps and inefficiencies to more efficiently and effectively accomplish the work?

The SEA maps out an organizational structure aligned to the SEA's functions first and then massages the structure as resources and restrictions dictate. The chart may begin with the entities and positions that transcend the structural units. For example, the state board and the chief state school officer (CSSO) are over all units, thus an organization chart can begin with these two items.

There may be a number of structural units that are related in function and these can be clustered. This results in two levels of organization below the CSSO—one being the cluster and the other composed of the various units arranged within the cluster. Clustering the units should maximize productivity, so once an organization map is proposed, decision-makers review with a productivity lens. Will this organizational structure maximize efficiency and get the work done more effectively? Does the structure effectively support staff carrying out the functions? Does the organizational structure minimize redundancies?



QUALITY CHECK


- _____ 1. Structural units are defined according to the functions required to implement strategies.
 - _____ 2. Similar or related units are clustered for efficiency and effectiveness.
 - _____ 3. Current structure is compared to needed structure, and gaps and redundancies are identified.
 - _____ 4. A productivity lens is applied to make decisions regarding unit clusters and relationships.
 - _____ 5. An organization chart reflects the realigned structure.
-

Module B—Session 2 (6 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 8: Establish Coordinating Teams	1 hour
Step 9: Assign Personnel to Structure and Identify Funding Sources	4 hours
Wrap-up and Review of Module B	1 hour

Step 8. Establish Coordinating Teams

Coordinating teams. Coordinating teams maintain coordination, communication, and collaboration within and across organizational clusters and units. At this point in the process, the OTF outlines a basic structure of coordinating teams. For now, designate: (1) a Leadership Team consisting of the cluster leaders (persons yet to be identified); and (2) one coordinating team for each cluster that includes representatives from each unit in the cluster. Each unit will also function as a Unit Team. When the clusters and units develop action plans in Module C, the need for task- or project-specific Collaborating Teams will arise. These Collaborating Teams are added and terminated as work progresses. Procedures for forming or terminating these Collaborating Teams are established by the Leadership Team now in Attachment H.



Use the Coordination Tool (Attachment I) to determine initial coordinating teams.

QUALITY CHECK


- _____ 1. A Leadership Team consisting of the leader(s) from each cluster is established.
- _____ 2. Cluster Teams consisting of the leader(s) from each unit in the cluster have been established.
- _____ 3. Procedures for creating and terminating Collaborating Teams have been established.



Quality Check

Step 9. Assign Personnel to Structure and Identify Funding Sources

The effective deployment and use of human resources correlates with better results (Huselid, 1995, Ulrich, 1997;). However, the human resource function in most organizations is administrative and focused on cost control and administrative activities (Lawler, 2015). In order to accomplish goals related to successfully educating all children, knowledgeable, skilled, talented professionals are needed at all levels, including SEAs. Sometimes, however, staffing decisions at an SEA are made in isolation and not aligned to the strategic plan. Strategy, no matter how powerful and appropriate, cannot be effectively implemented without the right people in the right places. Aligning human resources means integrating decisions and processes about people with decisions and processes related to the goals the organization wants to pursue. In addition, the process of assigning, reassigning, or acquiring staff with the needed competencies to implement strategies should be collaborative, involving leadership beyond the human resources department.



Use the Personnel Assignment Chart (Attachment J) to assign personnel to units and detail roles, responsibilities, and competencies.



Personnel decisions should ensure the SEA has competent staff to perform functions in the most productive way.



Use the Funding Sources for Roles Chart (Attachment K) to identify the funding sources for each position and the percentage of the compensation contributed by that source.



Quality Check

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

When assigning personnel, the OTF may find vacant positions. In those cases, it is critical to define the responsibilities and competencies needed to effectively perform the function to ensure recruitment and hiring that results in the right fit. It may mean shifting people, or retraining those already in a position. What is the best way to get the person with the right competencies in the most efficient and effective way? Is it more effective to wait for the right candidate for a position or to place a less skilled employee and provide the necessary training to develop the necessary skill? Consideration to productivity may indicate that a position would be better filled by a contractual person or consultant. Also, by determining the roles and competencies, the need for specific training and professional development is made apparent, and a personnel evaluation system can be aligned to the role's functions.

QUALITY CHECK

- _____ 1. Responsibilities and competencies are identified for each position.
 - _____ 2. The Operations Task Force (OTF) assigned personnel to each unit.
 - _____ 3. Vacancies are identified and responsibilities and competencies for each vacant position are identified.
 - _____ 4. Gaps in training and professional development are identified.
 - _____ 5. Funding sources are identified for each position.
-

Attachment F: Functional Analysis Tool

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

Function Codes		
Management		Leadership and Advocacy
Resource/facility management	MRM	Advocacy LAAD
Finance management and procurement	MFM	Policy development and research LAPD
Cost benefit and cost effectiveness analysis	MCB	Establishment and maintenance of partnerships LAPA
Performance management monitoring and reporting	MPM	Consultancy/advisement LACA
Compliance management and reporting	MCR	Communication LACM
Contract management	MCM	Other (specify)
Direct management of state programs	MSP	
Other (specify)		
Service to the Field (Districts and Schools)		Other Area (specify)
Policy and practice guidance	SFPG	Other (specify)
Information dissemination	SFID	
Standards, licensure, and program evaluation	SFSE	
Resource allocation	SFRA	
Continuous improvement support	SFCI	
Intervention	SFIN	
Other (specify)		

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

SEA Goals (Number)	Strategies (short phrase)	Functions (Check each that applies)																	
		MIRM	MFM	MCB	MPM	MCR	MCM	MSP	SFPG	SFID	SFED	SFRA	SFCI	LAAD	LAPD	LAPA	LACA	LACM	
Goal 1																			
Goal 2																			
Goal 3																			
Goal 4																			
Goal 5																			

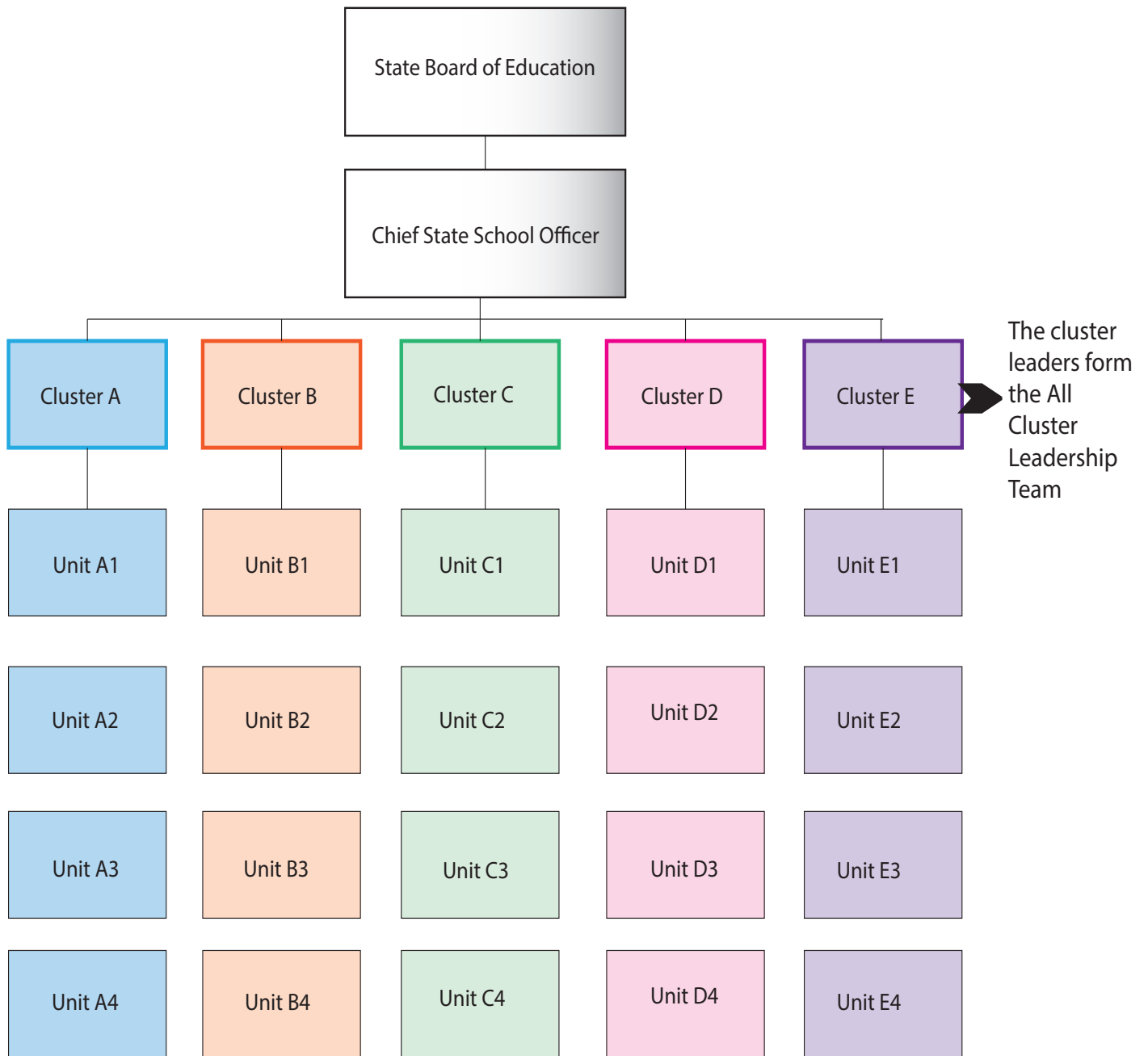
Compare current SEA functions with identified functions needed to implement the strategies. Are there any conflicts? Are there any gaps? How can the conflicts and/or gaps be addressed?

SEA Current Functions	Identified Functions	Conflicts/Gaps	Possible Solutions

The task now is to organize the units into clusters with related functions. A cluster includes multiple units.

Cluster	Units in Cluster	Purpose of Cluster			
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	<table border="1"> <tr> <td data-bbox="639 743 766 1354"></td> <td data-bbox="766 743 893 1354"></td> <td data-bbox="893 743 1021 1354"></td> </tr> </table>				
	<table border="1"> <tr> <td data-bbox="1021 743 1148 1354"></td> <td data-bbox="1148 743 1274 1354"></td> <td data-bbox="1274 743 1401 1354"></td> </tr> </table>				

Attachment H: Organization Chart



Attachment I: Coordination Tool

Team	Coordinating Teams		Mechanisms
Leadership			
Cluster 1			
Cluster 2			
Cluster 3			
Cluster 4			
Other			
Other			

Procedure for Proposing and Approving the Formation or Termination of a Collaborating Team by an Accountable Cluster (Approval required from the leaders of each cluster involved)	
Proposed By Date	
To Include Representatives from (Clusters and/or Units)	
Purpose/Rationale	
Duration (or Ongoing)	
Approved by Date	

Attachment J: Personnel Assignment Chart

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.

Cluster	Structural Unit	Role (Position Title)	Role Status	Responsibilities	Competencies Required	
Cluster 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:				
Cluster 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:				

Cluster	Structural Unit	Role (Position Title)	Role Status	Responsibilities	Competencies Required	
Cluster 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:				
Cluster 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:				
Cluster E:	Unit E1:	Role E1a:				
		Role E1b:				
		Role E1c:				
	Unit E2:	Role E2a:				
		Role E2b:				
		Role E2c:				
	Unit E3:	Role E3a:				
		Role E3b:				
		Role E3c:				

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 K: Funding Sources for Roles (Positions)

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

Cluster	Structural Unit	Role (Position Title)	Source and %	Source and %	Source and %	Source and %
Cluster 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:				
Cluster 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:				

Cluster	Structural Unit	Role (Position Title)	Source and %	Source and %	Source and %	Source and %
Cluster 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:				
Cluster 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:				
Cluster E:	Unit E1:	Role E1a:				
		Role E1b:				
		Role E1c:				
	Unit E2:	Role E2a:				
		Role E2b:				
		Role E2c:				
	Unit E3:	Role E3a:				
		Role E3b:				
		Role E3c:				

Strategic Performance Management

Module C: Performance and Innovation

Estimated Completion Time: 11.75 hours in two or more sessions plus 3 hours per month

In Module A, the DTF created, modified, or confirmed the SEA’s vision, mission, values, goals, and strategies. The DTF then developed performance measures and milestones for each strategy. In Module B, the OTF identified the functions necessary to carry out the strategies and established an organizational structure to efficiently and effectively do the work. The structure includes units, clusters of units, and coordinating teams (within and across clusters).

However, planning without action is pointless. Successful organizations are ones that quickly 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, clusters and units take ownership of the milestones and form Collaborating Teams that detail specific actions to meet milestones. The continuous cycle of performance management is set in motion.

In Module C, the Leadership Team (consisting of the leaders of each cluster) determines the accountable cluster for each milestone, and each accountable Cluster Team assigns the milestones to units. Units and Collaborating Teams detail the actions, outputs, lead personnel, and collaborators. Via this action planning process, SPM is operationalized at the unit level, thus building ownership, buy-in, and accountability by staff responsible for the actions. The teams also establish procedures for monitoring progress and making adjustments in course.

Innovation. “Adjustment in course” sounds bland and mechanical, but in fact this is where innovation takes place. As each team works toward milestones, meeting performance measures for strategies and goals, it finds ways to improve upon its established practices and processes. When the new ways prove to be better ways, they are innovations. Milestones are met more expeditiously, strategies carried out more ambitiously, and lofty goals more closely approximated.

Agenda for Module C: Performance and Innovation (Estimated Times)

Session 1: Leadership Team (leader from each cluster) (4 hours and 30 minutes)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Overview of Work Products from Modules A and B	1 hour
Step 10: Assign Milestones to Clusters and Units	3 hours

Session 2: Cluster Teams and Units (7 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 11: Engage Personnel in Performance Management	7 hours

Ongoing: 3 hours monthly for each Unit Team and Collaborating Team; 3 hours quarterly for Cluster Teams

Module C–Session 1 (4 hours and 15 minutes)

Welcome and Introductions	15 minutes
Overview of Strategic Performance Management	15 minutes
Overview of Work Products from Modules A and B	1 hour
Step 10: Assign Milestones to Clusters and Units	3 hours



See Milestones Assigned to Clusters and Units Chart (Attachment L) to assign milestones to clusters and units.

Step 10. Assign Milestones to Clusters and Units

As a result of the work completed in Module A and Module B, the SEA now has: (1) documents describing the agency’s purpose and direction (vision, mission, values, goals, and strategies); (2) annual milestones for the work to be accomplished in the next two years to effectively implement the strategies; (3) an organizational chart (clusters and units) outlining the SEA’s personnel structure now aligned with the functions required to implement the strategies; and (4) descriptions of key personnel positions, the competencies needed for each position, and the people assigned to them. In some cases a position may be vacant; however, the competencies needed for the position have been identified to recruit for the position.

The next task is for the Leadership Team (which consists of the leaders of each cluster) to assign milestones to clusters. The cluster assigned to a milestone is **accountable** for the thorough completion of that milestone. As stated in Module B, a cluster is made up of units with common functions; therefore, the accountable cluster should be one representing one or more units whose functions are primary to completing the milestone. Reaching a milestone typically requires the work of more than one unit and often units within other clusters; however, there needs to be one accountable or lead cluster.

The accountable cluster determines what units (within the cluster or in other clusters) must be involved in the work leading to a milestone and designates one unit within the cluster as the lead unit for the milestone. The cluster leader then meets with the leaders of other clusters to form Collaborating Teams consisting of the units required to meet the milestone. See the **Procedure for Proposing and Approving the Formation or Termination of a Collaborating Team by an Accountable Cluster** developed in Module B. This Collaborating Team engages in action planning in Step 11 to complete the milestone.

EXAMPLE

Take this milestone from Module B: ***SEA advocacy will result in proposed legislation to increase preschool funding annually over the next 5 years.*** The primary function is advocacy, yet to accomplish this milestone, communication, finance management, cost benefit analysis, and resource allocation are also needed.

The accountable cluster may be a Policy and Compliance cluster comprised of units whose functions are policy development, advocacy, policy and practice guidance, and compliance management and reporting. Another cluster, Finance, is comprised of units whose functions are finance management and procurement, cost benefit and cost effectiveness analysis, contract management, and resource allocation. Since the milestone work involves both policy and finance functions, the leader of the accountable cluster (Policy and Compliance) gets together with



Examples

the leader of Finance and together they identify the units to bring together. In this case it would be the advocacy, communication, finance management, and resource allocation units. These units form the Collaborating Team for this milestone, directed by the lead unit in the accountable cluster, and manage the action planning and performance process for it.

QUALITY CHECK

- _____ 1. The Leadership Team has identified the accountable cluster for each milestone.
- _____ 2. The accountable cluster has designated a lead unit within the cluster for each milestone for which the cluster is accountable.
- _____ 3. Each accountable cluster contains the most primary structural unit or units needed to complete the milestone.
- _____ 4. The accountable cluster has identified the lead unit for each milestone, and the cluster leader has met with the cluster leaders of the other units to confirm the composition of the Collaborating Team.
- _____ 5. Collaborating Teams include representatives from all units whose functions are needed to meet a milestone.



Quality Check

Module C–Session 2 (7 hours and 15 minutes)

Recap of Session 1	15 minutes
Step 11: Engage Personnel in Performance Management	7 hours
Ongoing: 3 hours monthly for each Unit Team and Collaborating Team; 3 hours quarterly for Cluster Teams	

Step 11. Engage Personnel in Performance Management

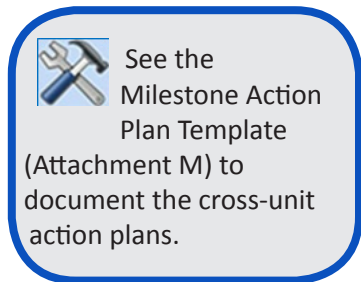
Each Collaborating Team prepares an Action Plan aimed at meeting each milestone assigned to it. The plans detail the actions, timeline, resources including personnel, collaborations, and outputs needed to meet the milestones. Each team should engage as many of the people who will be doing the work as possible in the action planning. This creates ownership of not only the actions, but the milestones and strategies themselves. Ownership fosters commitment and productivity.

Action Plans

Actions are the incremental steps needed to meet the milestone, including the targeted **timeline** for completion of each action.

Inputs are identified for each action. Inputs include **resources** and **budgets** as well as personnel. Personnel are specified using a Roles and Responsibility Charting (RACI) approach. RACI stands for Responsible, Accountable, Consulted, and Informed. The RACI approach is a way to clarify roles to prevent gaps, duplications, and confusion and fosters greater productivity of a team. Roles include, but are not limited to:

- **Responsible persons** are the “doers.” They are responsible for doing the work.
- **Supporters** are those who may not do the work, but provide resources and supports.



See the Milestone Action Plan Template (Attachment M) to document the cross-unit action plans.



See the Collaboration Mechanisms Template (Attachment N) to define the inter-unit collaborations.

- **Consultants** are those internal and external people who provide expertise and/or advice. Their contribution is more indirect.

Outputs are the tangible products created in the actions. They should not be confused with outcomes, which are the milestones themselves.

Action planning makes it clear who does what when and provides a means to effectively monitor progress on each milestone.

Collaborating Teams and Mechanisms

A collaborating mechanism is the way in which Collaborating Teams communicate, coordinate, and collaborate. For example, they may meet monthly face-to-face, share document creation online, and conduct a weekly conference call. Teams and participation may differ depending on levels of communication, coordination, and/or collaboration needed for the milestone. The key is to meet milestones for carrying out strategies.

Mechanisms are also the processes and routines needed for the Collaborating Teams to conduct their work, monitor progress, keep leadership on multiple levels informed, and sustain high levels of productivity. Mechanism might include a reporting structure so strategic performance management can be frequently discussed at multiple levels. In creating the mechanisms, the OTF considers needed lines of communication, levels of decision making, data collection and reporting, and capacity to ensure productivity.

A Performance Cycle is a mechanism by which actions, milestones, and strategies are monitored; progress is reviewed, shared, and discussed with leadership at various levels; adjustments are made; and new milestones and actions are created as others are completed year to year. The cycle allows the flexibility to react as conditions change while also staying the course to effectively meet the milestones and carry out the strategies to reach SEA goals. The performance cycle should be established before the action plans are implemented so there is a mechanism in place for ongoing performance management. The performance cycle should include:

- **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 to Collaborating Teams for adjustment in Action Plans.
- **Monthly Collaborating Team Performance Review.** Each month, the Collaborating Teams meet to review progress with the Action Plan and make adjustments in the plan as necessary to more expeditiously meet the milestone.
- **Quarterly Cluster Team Performance Review.** Each quarter, the Cluster Team, with representatives from the cluster's units, meets 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.** Each year, the Leadership Team and CSSO meet to review performance data relative to milestones, strategies, and goals. The team adjusts milestones for the coming year if needed and adds performance measures and milestones for the following year.

See **Performance Cycle Reporting** in appendix.

An example of one SEA's performance cycle is provided in Figure 4.

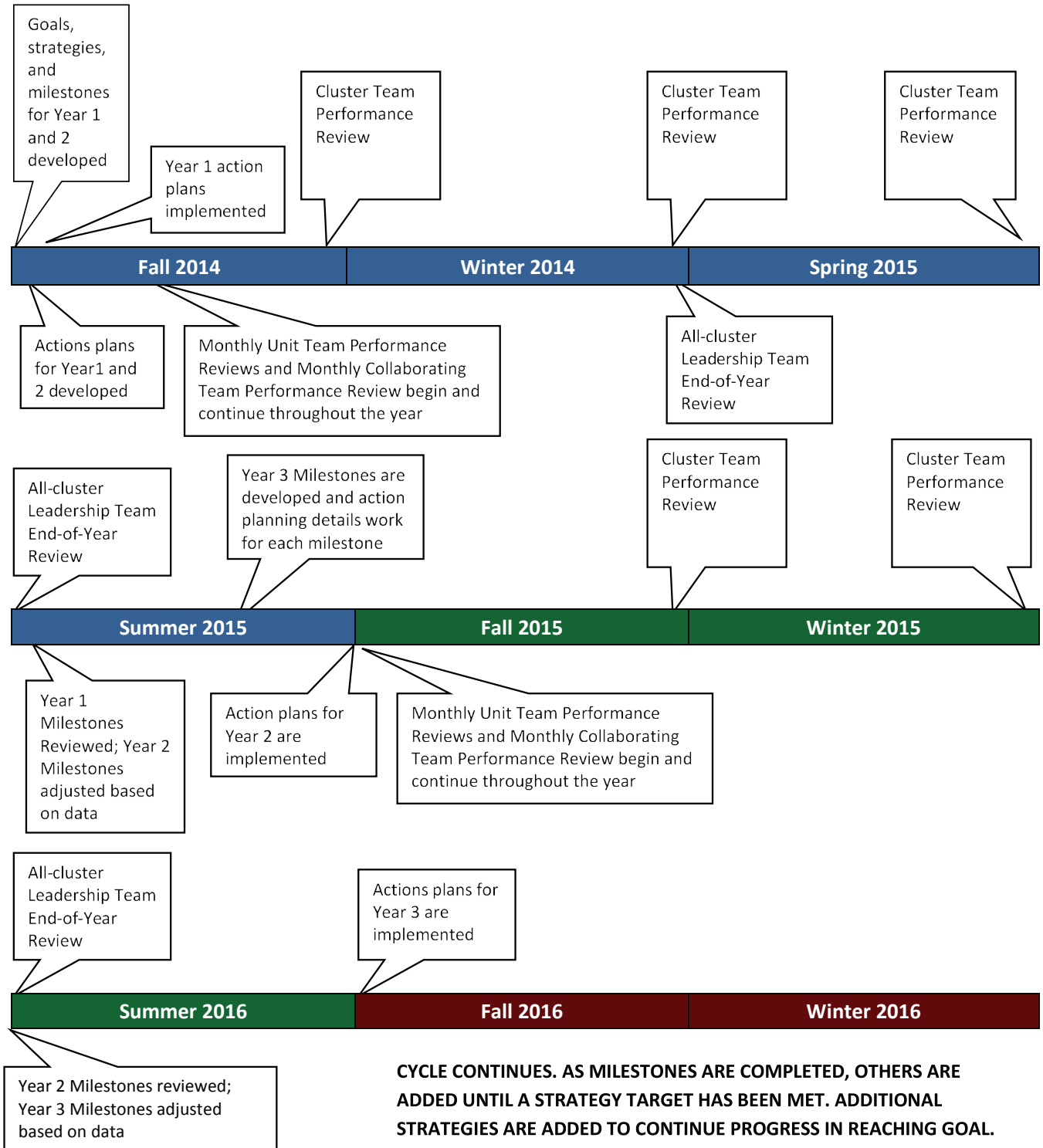
QUALITY CHECK

- 1. An action plan is developed for each milestone.
 - 2. All plans include actions, timeline, inputs, and outputs.
 - 3. Action plans are rigorous but attainable and support the completion of its milestone.
 - 4. The combined completion of the actions will result in completion of the milestone.
 - 5. Collaboration mechanisms are identified to support communication, coordination, and collaboration of teams.
 - 6. An implementation cycle is created and supports monitoring and reporting progress on actions and milestones, as well as the creation of new milestones and actions for at least two years.
 - 7. The implementation cycle includes quarterly and annual performance reviews.
-



Quality Check

Figure 4: Performance Management Cycle



Attachment L: Milestones Assigned to Clusters and Units Chart

Year 1	Strategy	Milestone	Cluster	Lead Unit
Year 2	Strategy	Milestone	Cluster	Lead Unit

Attachment M: Milestone Action Plan (Logic Model) Template

GOAL:									
STRATEGY:									
Milestone (Outcome):									
Accountable Cluster:									
Lead Unit:									
Collaborating Units:									
ACTION	TIMELINE	Resources/ Budget	Respon- sible Person(s) (those doing the work)	Supporters (those providing resources or supporting the work)	Consultants (both internal and external)	Informed (those who need to be informed of the work)	OUTPUTS		

Attachment N: Establish Collaborating Teams and Mechanisms Template

Each Collaborating Team determines its collaborating mechanisms.

Milestone	Lead Unit	Collaborating Units	Method and Frequency of Communication	Method and Frequency of Collaboration

Conclusion

A State Education Agency, whether in a large state or small, is responsible for a complex education system, responsive to a host of stakeholders, and charged with advocating for a multitude of students of all ages attending schools of every description. Much of what an SEA is tasked with accomplishing is set by external entities, from the federal government to the state legislature, state board, and governor's office. Other responsibilities of the SEA arise from SEA personnel's estimation of what is needed by districts and schools to best serve students.

Each SEA leader struggles to find the right balance in their attention between competent execution of responsibilities that are externally determined and visionary leadership. All of these considerations come together in the work that must be performed by the many people in the agency. Strategic Performance Management is a way to mix the injection of vision with the routine fulfillment of duties in a dynamic organization 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. SPM engages everyone in the agency in a process that draws on the expertise of each person and amplifies the benefits of that individual's competency to the organization.

The greatest investment in time to move the SEA to performance management is in the beginning to set the purpose and direction for the agency. Often, much of this work on vision, mission, values, and goals has been done before, but a reconsideration of each of these elements is worthwhile. It is less likely that the agency has conducted a thorough examination of its functions and structures before organizing people to most productively do their work. SPM includes processes for functional and structural analysis that lead to more enlightened personnel decisions.

Finally, SPM puts in place an ongoing process of units, Collaborating Teams, and coordinating teams efficiently managing the work and finding better ways to achieve organizational ends. The time taken for these groups to "work on the work" is valuable time that keeps the work on track and aimed at the most significant outcomes.

Glossary

The glossary provides definitions to terminology within the context of a state education agency and strategic performance management.

Accountable Person, Unit, or Cluster	A person, unit, or cluster of units whose job is to ensure thorough completion of a milestone. It is the one where the “buck stops.” It may not be the person or persons that do the work, but the ones who answer to leadership for the work accomplished.
Annual Leadership Team Performance Review	An annual meeting of the leaders of all clusters and the CSSO, known as the Leadership Team, to review performance data relative to milestones, strategies, and goals.
Baseline	As part of a performance measure, baseline indicates the current level of indicator performance related to a goal or strategy.
Cluster	A group of structural units that are similar in function.
Collaborating Team	An intra- and inter-Unit Team comprised of units needed to complete a milestone. This team develops and implements the action plan detailing the actions, timelines, inputs, and outputs to complete the milestone.
Coordinating Team	A coordinating team is comprised of cluster and unit leaders and is charged with maintaining coordination, communication, and collaboration within and across organizational clusters and units.
Competency	The set of knowledge and skills necessary to successfully perform a functional role.
Consultants	Internal or external people or organizations who can provide expertise and/or advice on a specific topic to a cluster or unit to support the accomplishment of milestones.
Direction Task Force (DTF)	The DTF is the group assembled by the CSSO for Module A: Purpose and Direction.
Emergent Strategies	Strategies that enable an SEA to adapt, innovate, and respond to changes and differing contexts. They are formed and executed by groups in a bottom-up approach, rather than top-down, and are based on patterns and changing variables.
Function	Different types of work needed to implement a strategy.
Functional Analysis	Process to identify all functions needed to implement strategies to accomplish the SEA goals.
Goal (SEA)	An ambitious, usually aspirational, outcome of the SEA’s pursuit of its mission. Goals represent the ultimate, desired state of educating all students and may not be restricted by time.
Human Capital	Personnel, both internal and external, and their capabilities that are needed to implement strategies to move closer to realizing an SEA’s goals.
Indicator	The measurement element of a performance measure used to determine progress in implementing a goal or strategy.
Intentional Strategies	Strategies often formed and executed in a top-down approach and are typically related to routine, mandated work of an SEA.
Leadership Team	A team comprised of the leaders of each cluster, which is comprised of similarly functioning units, sometimes called a department or division.
Logic Model	A logic model is a stepwise presentation of the theory of action that is used in action planning and includes inputs, actions, outputs, and outcomes.

Strategic Performance Management

Milestone	An incremental step in implementing a strategy, usually a year in duration. A milestone may also be referred to as an objective and is typically non-quantitative and descriptive.
Mission	A statement of an SEA's purpose. It describes what the SEA does and for whom to realize its vision.
Monthly Collaborating Team Performance Review	A monthly meeting of the Collaborating Teams to review progress on the Action Plan and make adjustments as necessary to more expeditiously meet the milestone.
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 to Collaborating Teams for adjustment in each Action Plan.
Operations Task Force (OTF)	The OTF is the group assembled by the CSSO for Module B: Structure and Functions.
Performance Cycle	A reiterative cycle by which actions, milestones, and strategies are monitored; progress is reviewed, shared, and discussed with leadership 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 strategy is measured and includes indicators, data sources, baselines, and targets . Indicators are the measurements used to determine progress in implementing the strategy. The baseline performance is set for each indicator at the beginning of the time period for the plan, and annual targets are established for at least two years.
Productivity	Working with optimum efficiency and effectiveness to complete actions, milestones, and strategies, and more closely approximate goals.
Productivity Lens	A lens of efficiency, effectiveness, alternative routes, and high quality outputs that when applied results in decision-making to improve the organization's productivity.
Quarterly Cluster Team Performance Review	Each quarter, the Cluster Team, with representatives from the cluster's units, meets 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.
RACI	An approach used to identify personnel roles to complete an action. Roles include <ul style="list-style-type: none">• Responsible persons are the "doers." They are responsible for doing the work.• Supporters are those who may not do the work, but provide resources and supports.• Consultants are those internal and external people who provide expertise and/or advice. Their contribution is more indirect.• Informed are those internal and external people who need to be kept apprised of the work and progress.
Responsible Person or Unit	A person or unit that does the actual work and is responsible for the specific actions they are assigned to complete.

SEA	State Education Agency, a state governmental agency primarily responsible for the supervision of public elementary schools and secondary schools in that state.
SPM	Strategic Performance Management
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 SEA will do to move closer to achieving a goal. Strategies tell how an SEA gets from “here” (the current state) to “there” (the ideal state represented by the vision).
Student Competencies	Personal attributes that propel learning and other forms of goal attainment, such as cognitive, motivational, metacognitive, and social/emotional competency; sometimes associated with aspects of character, traits such as grit and resilience, and attitudes such as a growth mindset.
Structural Analysis	Process by which a Leadership Team looks at the functions needed to implement the SEA strategies and creates or redefines structural units (e.g., divisions, departments, branches, etc.) to do the work.
Supporters	People or units that provide resources and supports to get work completed, rather than doing the work themselves.
SWOT	Process by which an SEA examines its strengths, weaknesses, opportunities, and threats to identify strategies that, when implemented, will move the SEA closer to achieving its goals.
Theory of Action	A common form for a theory of action is “When we do this, this will result.” It is a linkage of the strategies to their outcomes in the goals.
Unit	Structures within the SEA that carry out specific functions to complete milestones to effectively implement identified strategies.
Values	Beliefs which provide a foundation of the SEA’s ethics or expressions of the ethos.
Vision	A statement portraying an SEA in its ideal form, illustrating an SEA at its best and the greater good it serves.

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Appendix A: Strategic Performance Management—Self-Assessment Instructions

A State Education Agency (SEA) 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 planning and performance management systems.

The self-assessment is organized in three sections to match the process outlined in the *Strategic Performance Management: Organizing People and their Work in the SEA of the Future* (2015). For each of the essential elements of strategic performance management, the SEA: (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 organization, requires significant change in current policy, practice, staffing, and budget conditions).

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: Purpose and Direction

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Vision	<input type="checkbox"/> Organization has not identified its vision.	<input type="checkbox"/> Vision statement has been documented.	<input type="checkbox"/> Vision has been developed with stakeholder input.	<input type="checkbox"/> The vision statement portrays the ideal or optimal SEA.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Mission	<input type="checkbox"/> Organization has not identified its mission.	<input type="checkbox"/> Mission statement has been documented.	<input type="checkbox"/> Mission has been developed with stakeholder input.	<input type="checkbox"/> The mission statement clearly expresses the purpose of the SEA.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Values	<input type="checkbox"/> Organization has not identified its values.	<input type="checkbox"/> Values have been documented.	<input type="checkbox"/> Values have been identified with stakeholder input.	<input type="checkbox"/> The values express the ethics that are the underlying foundation of the SEA's vision and mission.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Goals	<input type="checkbox"/> Goals have not been defined.	<input type="checkbox"/> Goals have been documented.	<input type="checkbox"/> Goals highlight desired results for all students.	<input type="checkbox"/> Goals are related to academic outcomes and student personal competency skills.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Goal Performance Measures	<input type="checkbox"/> Goal performance measures have not been developed.	<input type="checkbox"/> Goal performance measures have been documented.	<input type="checkbox"/> Goal performance measures provide a means to measure progress toward the goals.	<input type="checkbox"/> Goal performance measures include indicators, data sources, baseline, and targets.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Roles and Responsibilities of State, Districts, and Schools	<input type="checkbox"/> SEA, district, and school roles and responsibilities have not been identified for each goal.	<input type="checkbox"/> SEA, district, and school roles and responsibilities have been documented for each goal.	<input type="checkbox"/> Stakeholder input was used in identifying SEA, district, and school roles and responsibilities.	<input type="checkbox"/> Role analysis included identification of gaps and redundancies.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Analysis of SEA Strengths, Weaknesses, Opportunities and Threats	<input type="checkbox"/> SEA strengths, weaknesses, opportunities and threats have not been identified.	<input type="checkbox"/> SEA strengths, weaknesses, opportunities and threats have been documented.	<input type="checkbox"/> The SEA used data from multiple sources to identify SEA strengths, weaknesses, opportunities and threats.	<input type="checkbox"/> Data review included analysis of strengths with opportunities and weaknesses with threats.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Goal-Aligned Strategies	<input type="checkbox"/> Strategies have not been identified for SEA goals.	<input type="checkbox"/> Strategies have been documented for each goal.	<input type="checkbox"/> Strategies include minimum conditions necessary for their successful implementation.	<input type="checkbox"/> Strategies were developed with a productivity analysis to ensure best use of available resources.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Strategy Performance Measures	<input type="checkbox"/> Strategy performance measures have not been developed.	<input type="checkbox"/> Strategy performance measures have been documented.	<input type="checkbox"/> Strategy performance measures provide a means to measure progress in carrying out each strategy.	<input type="checkbox"/> Strategy performance measures include indicators, data sources, baseline, and targets.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Milestones	<input type="checkbox"/> Milestones have not been identified for each strategy.	<input type="checkbox"/> Milestones have been documented for each strategy.	<input type="checkbox"/> Milestones measure progress in implementing each strategy.	<input type="checkbox"/> Milestones include indicators, data sources, baseline, and annual targets to measure progress.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Reflection of SEA Current Purpose and Direction:						

Module B: Functions and Structures

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Functional Analysis	<input type="checkbox"/> The SEA has not documented SEA functions.	<input type="checkbox"/> SEA functions necessary to implement each strategy have been documented.	<input type="checkbox"/> Functions required to implement the strategies were compared to current SEA functions and capabilities.	<input type="checkbox"/> Gaps between needed and currently available functional capacities have been identified and addressed.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Structural Analysis	<ul style="list-style-type: none"> <input type="checkbox"/> SEA organizational chart does not exist. 	<ul style="list-style-type: none"> <input type="checkbox"/> SEA organizational chart is documented. 	<ul style="list-style-type: none"> <input type="checkbox"/> The SEA organizational chart represents a structure to implement strategies. 	<ul style="list-style-type: none"> <input type="checkbox"/> The SEA organizational chart represents a structure that reflects an analysis of functions required to implement strategies. 	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Coordination	<ul style="list-style-type: none"> <input type="checkbox"/> A team structure for coordination is not documented. 	<ul style="list-style-type: none"> <input type="checkbox"/> A team structure for coordination is documented. 	<ul style="list-style-type: none"> <input type="checkbox"/> The team structure and their operating procedures are documented. 	<ul style="list-style-type: none"> <input type="checkbox"/> A team structure and procedures facilitate coordination of work within and across functional units. 	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Personnel Placement	<ul style="list-style-type: none"> <input type="checkbox"/> Policies and procedures for assigning personnel to positions and units are not documented. 	<ul style="list-style-type: none"> <input type="checkbox"/> Policies and procedures for assigning personnel to positions and units are documented. 	<ul style="list-style-type: none"> <input type="checkbox"/> Personnel assignment is based on an examination of individual competencies. 	<ul style="list-style-type: none"> <input type="checkbox"/> Personnel assignment is based on an examination of individual competencies relative to functions required to implement strategies. 	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Reflection of SEA Functions and Structures:						

Module C: Performance and Innovation

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Accountability of Milestones	<input type="checkbox"/> Accountability for milestones is not documented.	<input type="checkbox"/> Accountability for milestones is documented.	<input type="checkbox"/> An accountable organizational division has been identified for each milestone.	<input type="checkbox"/> A lead organizational unit has been identified for each milestone.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Collaborating Teams	<input type="checkbox"/> Collaborating Teams are not documented.	<input type="checkbox"/> Collaborating Teams are documented.	<input type="checkbox"/> A procedure to create and disband Collaborating Teams as needed is documented.	<input type="checkbox"/> Collaboration mechanisms to support communication, coordination and collaboration of teams are documented.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Action Plans	<input type="checkbox"/> Action plans to complete milestones have not been developed.	<input type="checkbox"/> Action plans to complete milestones have been developed.	<input type="checkbox"/> Action plans are rigorous but attainable.	<input type="checkbox"/> Action plans include timeline, inputs, outputs and clearly defined staff roles.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change
Performance Cycle	<input type="checkbox"/> A performance cycle to implement the strategic plan has not been documented.	<input type="checkbox"/> A performance cycle to implement the strategic plan has been documented.	<input type="checkbox"/> A performance cycle includes progress monitoring for milestones and strategies.	<input type="checkbox"/> A performance cycle uses progress monitoring data to make adjustments as needed.	Choose an item. <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	Choose an item. <input type="checkbox"/> Easy to address <input type="checkbox"/> Requires moderate change <input type="checkbox"/> Requires significant change

Essential Elements of Strategic Performance Management	1 Little or No Development	2 Partial Development	3 Functional Level of Development and Implementation	4 Fully Developed and Currently Implementing	Priority Level	Opportunity Level
Reflection of SEA Performance and Innovation:						

Appendix B: Performance Cycle Reporting

Teams and Responsibilities

Team	Members	Responsibility	Frequency
Task Forces (Direction Task Force and Operations Task Force)	CSSO and CSSO's appointees	Strategic Performance Management. Review and revise Strategic Performance Management plan	Every 3 to 5 years
Leadership Team	Leaders of the clusters and CSSO	Goals, Strategies, and Milestones. Review performance data relative to milestones, strategies, and goals. Adjust milestones for the coming year if needed and add performance measures and milestones for the following year.	Annually
Cluster Team	Representatives of units in cluster	Milestones. 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.	Quarterly
Collaborating Team	Staff assigned from units that formed the Collaborating Team to address a milestone	Action Plans. Review progress with the Action Plan and make adjustments in the plan as necessary to more expeditiously meet the milestone.	Monthly
Unit Team	Staff responsible for carrying out the functions of the unit to complete action work	Action Plans. Review progress with Action Plans the unit is involved in and make adjustments in staff assignments and recommendations to Collaborating Teams for adjustment in Action Plans.	Monthly

Reporting Outline

Goals and Strategies Reported by Leadership Team—Annually												
Goal A												
Progress												
Challenge												
Adjustment												
Next Steps												
Strategy A1												
Progress												
Challenge												
Adjustment												
Next Steps												
Milestones Reported by Accountable Cluster Team—Quarterly												
Milestone A1.1	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
Progress												
Challenge												
Adjustment												
Next Steps												
Action Plan Reported by Accountable Collaborating Team—Monthly												
Action A1.1.1	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12
Progress												
Challenge												
Adjustment												
Next Steps												

About the Authors

Sam Redding, Ed.D.

Dr. Redding is the executive director of Academic Development Institute and a consultant with the Building State Capacity and Productivity Center. Dr. Redding also serves as the associate director of the Center on School Turnaround and 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, school improvement and turnaround, personalized learning and personal competencies, change leadership, innovations in education, and family and community engagement. Dr. Redding 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 masters' degrees in psychology and English, a doctorate in educational administration from Illinois State University, and is a graduate of Harvard's Institute for Education Management.

Allison Layland, Ph.D.

Dr. Layland is currently an education specialist at the Florida and the Islands Comprehensive Center at ETS, providing technical assistance to state education agencies in areas related to the Elementary and Secondary Education Act (ESEA). Dr. Layland also consulted with more than nine states on effective implementation of the Individuals with Disabilities Act (IDEA). Dr. Layland 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. 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.

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