Performance Management Academy

Day 5: Leading and Becoming a Performance Management Champion
Today’s Speakers

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Today’s Agenda

Leading and Becoming a Performance Management Champion

Tools for Lasting Success

Action Planning

Panel: NC Success Stories
What are important factors for making performance management successful?
Performance Management Stages

- Initiating
- Implementing & Managing Change
- Sustaining

Source: National Performance Management Advisory Committee
Initiating Performance Management

- Desire to Improve
- Increased Demands and Expectations
- Response to Fiscal Stress

Source: National Performance Management Advisory Committee
Implementing Performance Management

• Present the case for PM to decision-makers.

Performance Management can be utilized regardless of the size of agencies. It can also be implemented agency-wide or at a divisional level. Regardless, a PM champion should be aware to build support and buy-in from leadership beforehand in order to succeed.

• Identify your purpose and objectives beforehand.

It is essential to clarify your purpose and objectives at the outset. Be specific about what you want to accomplish.

• Communicate the plan to participants and to stakeholders.

Crucial to keeping stakeholders, management, and participants on the same page. Makes sure that accurate and relevant information is disseminated. You should provide information as well as request feedback!

Source: National Performance Management Advisory Committee
• **Build organizational capacity.**

This can be done through hiring, training, or developing in-house expertise. Make training continuous. The organization’s efficiency and effectiveness will benefit from deeper staff understanding of performance management practices and principles.

• **Monitor your progress.**

Continuous monitoring helps ingrain the PM in the organizational culture and allows you to make adjustments and determine if objectives are being achieved.

Source: National Performance Management Advisory Committee
• Engage supportive leaders

Leaders need to articulate a vision for performance management that tells stakeholders how they will benefit and encourages involvement. Leaders need to continue articulating this vision throughout the life of the initiative.

• Enlist other internal and external champions

Find others at your agency who are willing to give their time, talents, and resources to the effort. Find those outside the agency that have expertise and experience with similar performance management efforts.

• Demonstrate improvement & communicate success

Celebrate Success! You should acknowledge it when your team reaches a goal or finishes one phase of a project. Celebrate small victories to help build a sense of progress and momentum.

Source: National Performance Management Advisory Committee
Example 1: Emergency Management Accreditation Program (EMAP)

- **What is EMAP?**
  - EMAP, the voluntary standards, assessment, and accreditation process for disaster preparedness programs throughout the country, fosters excellence and accountability in emergency management and homeland security programs, by establishing credible standards applied in a peer review accreditation process. ([https://www.emap.org/index.php/what-is-emap](https://www.emap.org/index.php/what-is-emap))
Example 1: Emergency Management Accreditation Program (EMAP)

• Process
  • Self assess > Compile proofs of compliance (requires updating documentation) > EMAP Assessment Team on-site review > Outcome

• EMAP History at North Carolina Emergency Management
  • 2003 first accreditation try
  • 2008 first accreditation
  • 2013 first re-accreditation*
  • 2018 second re-accreditation
Example 1: Initiating EMAP – 2013 Re-accreditation

- Why did we do it?
  - Desire to improve
    - Forced us to document what we did and how we did it
    - Helped to promote continuity of knowledge
    - Helped us to identify areas that need to be improved (how we get better at what we do)
  - Increased demands and expectations
    - Increased professionalism for the agency
    - Focused efforts to ensure we complied with Nationally recognized standards in the areas of:
      - Program Management, Administration and Finance, and Laws and Authorities
      - Hazard Identification, Risk Assessment and Consequence Analysis
      - Hazard Mitigation
      - Prevention
      - Operational Planning and Procedures
      - Incident Management
      - Resource Management, Mutual Aid and Logistics
      - Communications and Warning
      - Facilities
      - Training
      - Exercises, Evaluations and Corrective Action
      - Emergency Public Education and Information
Example 1: Implementing EMAP - 2013 Re-accreditation

• Entire process was dependent on stakeholder support
  • Leadership buy-in
    • 110% support from Division Director
  • Stakeholder buy-in
    • Priorities may be different

• Our purpose
  • Re-accreditation

• Communicating with stakeholders
  • Internal
  • External
Example 1: Implementing EMAP - 2013 Re-accreditation

• Building organizational capacity
  • Challenges
    • 2008 Accreditation Manager retired
    • Much of the documentation that was used to meet 2008 accreditation requirements was not kept up to date
    • Some key players still in place, but many new faces
  • EMAP work team
    • 12 personnel responsible for specific standards
    • 1 Accreditation Manager coordinating effort
  • Trainings

• Monitoring progress
  • Annual internal assessment
Example 1: Sustaining EMAP - 2013 Re-accreditation

- What happened?
  - Successful re-accreditation effort
    - 100% compliance

- Challenges
  - We're re-accredited! Now what?

- Utilize outside expertise
  - Brought Virginia EM in to review our compliance documentation
Example 1: Lessons Learned EMAP - 2013 Re-accreditation

- Stakeholder buy-in is key
  - Challenge
    - My priority may not be your priority
  - Solution
    - Train/educate stakeholders on the effort/requirements/benefits
- Enlist other internal champions
  - Intended to build an EMAP cadre within the Division
    - Trained staff from other sections within the Division
- Integrate duties necessary for maintaining accreditation into daily duties/job performance plans
  - Bake the requirements for success into everyday job duties
Example 2: DPS Strategic Plan

• What is the DPS Strategic Plan?
  • 2019 – 2021 DPS Strategic Plan
    • Currently in place
  • 2021 – 2023 DPS Strategic Plan
    • Currently in development
Example 2: DPS Strategic Plan

• **Process**
  
  • **Crawl, Walk, Run**
  
  • **2019 – 2021 DPS Strategic Plan**
    
    • Developed in fall 2018
    
    • Started with document from 2016
    
    • Re-organized information to better align similar subject matter
      
      • Went from 5 goals to 3 goals
      
      • Went from 157 objectives to 15 objectives
  
  • **2021 – 2023 DPS Strategic Plan**
    
    • Currently in development
Example 2: Initiating DPS Strategic Plan

• Why did we do it?
  • Desire to improve
    • Intent for the strategy to have well-developed performance measures and metrics to measure progress
  • Increased demands and expectations
    • Intent for the strategic planning process to help refine and prioritize efforts
  • Response to fiscal stress
    • Desire to have tools in place to help decision makers with strategic resource allocation decision-making
Example 2: Implementing DPS Strategic Plan

- Leadership buy-in
  - 110% support from Secretary

- Communicate the plan to stakeholders
  - 2021 – 2023 Strategy Development
    - Primary interaction has been with Chief Deputy Secretaries to this point, but have begun to engage with Division Heads + agency strategy POCs during objective validation process
    - Thinking about implementing a regular DPS Strategy Leads work group; as well as a policy on strategic planning
      - Have something similar in place for policies

- Feedback Loop
  - Don't encourage the perception that information goes into a black hole
Example 2: Sustaining DPS Strategic Plan

- Quarterly status report mechanism
  - Reports to Leadership
  - Adjustments
- Continue move towards improvement of performance measures and metrics
  - Data driven decision making
    - Different agencies are at different proficiency levels – goal is to get everyone to a baseline level
Think about an example of a change that has taken place at your organization or at previous organizations in your career.

• What went smoothly?

• What would you now do differently?
Best Practices Around Managing Change

• Assess the organization’s capacity for change
• Assess implementation risks
• Establish a process for communication
• Provide coaching and individual attention to participants
• Manage resistance

Source: National Performance Management Advisory Committee
Tools for Lasting Success
Example 1: DPS Strategic Plan SWOT Survey/TOWS Matrix

SWOT Survey

- **Information Collection Tool** used to capture stakeholder input
- Increases buy-in to the strategic planning process, gives stakeholders a say in the direction of the organization

1. What are three functions DPS performs very well? (STRENGTH)
2. What unique capabilities or resources does DPS possess that others cannot easily duplicate? (STRENGTH)
3. What are three functions DPS performs poorly? (WEAKNESS)
4. What factors prevent DPS from achieving its vision to provide the premier safety and security services for all North Carolinians? (WEAKNESS)
5. In what areas is DPS spending time and resources NOW that could be better used elsewhere? (OPPORTUNITY)
6. What emerging trends would you like DPS to capitalize on in the next three years? (OPPORTUNITY)
7. What current/known factors will adversely affect DPS? (THREAT)
8. What future trends may negatively affect DPS? (THREAT)
9. Additional feedback and comments?
**Example 1: DPS Strategic Plan SWOT Survey/TOWS Matrix**

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<th><strong>Internal Strength</strong></th>
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<th><strong>Internal Weakness</strong></th>
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<td>1) Our diversity</td>
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<td>1) Size of Dept. can lead to slow processes</td>
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<td>2)</td>
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<td>2) Lack of funding</td>
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<th><strong>External Opportunities</strong></th>
<th>Strength/Opportunity Strategy</th>
<th><strong>External Threats</strong></th>
<th>Weakness/Opportunity Strategy</th>
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<tr>
<td>1) Continued teleworking</td>
<td>1) (s1, o3) Continue to ensure DPS has a diverse workforce through recruitment and retention strategies</td>
<td>1) Budget shortfalls due to COVID19</td>
<td>1) (o4, w1) Leverage technology solutions to help the Department/Divisions achieve their mission in areas that may be impacted by funding shortages</td>
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<td>2) Review Dept. Org chart to promote efficiency</td>
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<td>3) Increase our diversity</td>
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<td>4) Leverage tech to improve work products</td>
<td>3)</td>
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**TOWS Matrix**

- Crosswalk SWOT inputs to take advantage of opportunities, address weaknesses, and mitigate threats
Example 2: DPS Planning Strategy Information Management System (PSIMS)

- Web-based application used to collect and manage DPS Strategic Plan information

- Information Management Tool used to collect, manage and analyze information used to develop decision support products
Example 2: DPS Planning Strategy Information Management System (PSIMS)

- All Divisions have access to PSIMS
  - Increases transparency and accountability
- Historical information is maintained
  - Increases organizational continuity
Example 3: DPS Strategic Plan Status Reports for DPS Leadership

- Information Decision Tool
- Part of feedback loop process
Questions
BREAKOUT: Action Planning
DISCUSSION:

• What policy, program or initiative did you originally identify?

• What are some of the brainstormed ideas you’ve identified to make changes or implement into your work?
1. Identify ideas that are:
   • Tied to your agency’s work
   • As specific as possible
   • Within your control/manageable interest
   • Within a particular timeframe (Suggestion: 1 year or less)

2. Graph these ideas according to impact and effort. Cluster similar ideas together.

3. Prioritize which ideas to take action on.

**Effort**: Resources/Time Needed

**Impact**: Potential to enhance team’s work or mission
For each prioritized idea, document:

- Expected Outcome or Result
- Next Steps
- Timeline
- Person(s) Responsible
- Resources
- Any ties to existing work?
OSBM Initiatives
Quarterly Reviews

Strategic Planning
  • Trainings
  • Biannual plan, opportunity for annual update

Performance Management Activities
  • Performance Management Community of Practice
  • Governor’s Advisory Committee on Performance Management
  • NC Results First Initiative
  • Collaborative Agency Services/Projects

Agency Services
  • Strategic Planning
  • Lean Six Sigma/Process Improvement
  • Rate, Cost-Benefit, Policy Analysis

Office of Strategic Partnerships
Office of Strategic Partnerships

- Works to increase and enhance partnerships between state government and North Carolina’s renowned research institutions and philanthropic sector.

- Builds and enhances collaborative networks of public officials and research partners.

- Focuses on partnerships that are scalable, sustainable, and develop public, open-source resources.

- Active projects & partnerships include:
  - Strengthening the State Government Talent Pipeline
  - Fair and Empowering Tax Collections
  - COVID-19 Survey of North Carolina Nonprofits
  - NC COVID-19 Student Response Corps

Get Involved!

Research Partnership Opportunities

Resources for Getting Involved
Performance Management Community of Practice

- Group of agency staff focused on strategic planning and performance management, who come together to share experiences and develop performance management-related knowledge.

- Founded as a result of feedback from agencies gathered over several months.

- It's brand new - Starting in early 2021!

- Tailored to meet the needs of members: meeting times, frequency, and agenda topics based on group feedback.

- Starting with the Strategic Plan Drafting Process and cover other topics moving forward.

The COP enables participants to:

- Learn from and connect with other state agency staff applying performance management principles.
- Identify best-practice resources.
Established by Governor in May 2018

Advises Governor on the progress of:
- NC Results First Initiative
- New performance management initiatives
- State legislation, rules, or policies related to performance management
- Strategies for increasing evidence-based policy efforts

The Committee is interested in learning more about any initiatives or projects agencies are doing related to performance management - big or small.

If there is anything that your agency is doing that you would like to highlight (or seek advice/guidance on), we would love for you to showcase your agency’s work and share more information at our next meeting!
• NC Results First Initiative works in policy areas such as health, education, public safety.

• Two key tools – program inventory and cost-benefit analysis – that can be applied statewide.
Consultative Services

• OSBM analysts offer state agencies limited consultative services to provide access to additional expertise in performance management and process improvement.

  • *Examples*: Cost-Benefit Analysis, Rate & Fee Analysis, Strategic Planning, Results First, Program Inventories, Process Improvement (Lean Six Sigma)

Facilitative Services

• OSBM analysts offer state agencies facilitation services for various types of working sessions.

  • *Examples*: Brainstorming sessions, After Action Reviews, Environmental Scans, SWOT analysis, Strategic Plan Development.

Help Connect with Experts

• OSBM can help you connect to experts or practitioners in other states.
• Process improvement project focused on migrant housing preoccupancy inspections process
• Supports NCDOL’s strategic plan goal to improve the safety and health of workers living in migrant housing

**Project Goal:**
• Reduce or limit the number of provisional occupancy notices by optimizing the inspection process

**Outcome:**
• 9 solutions implemented – 7 shorter term and 2 longer term
Next Steps & Resources
• Join the Performance Management Community of Practice
• Attend or present at a Advisory Committee on Performance Management
• Collaborate with OSBM on an agency project
• Reach out of the Office of Strategic Partnerships
• Explore the new PM Academy website
Panel: NC Success Stories

Jenni Owen
Director of Strategic Partnerships
Office of State Budget & Management
Moderator

Alan Woodard
Assistant Secretary, Tax Enforcement & Compliance
Department of Revenue

Curtis Bradley
Research Implementation Manager
Department of Transportation

Bill Schneider
Associate VP for Research and Performance Management
NC Community Colleges System
Take a Break
THANK YOU!
References
