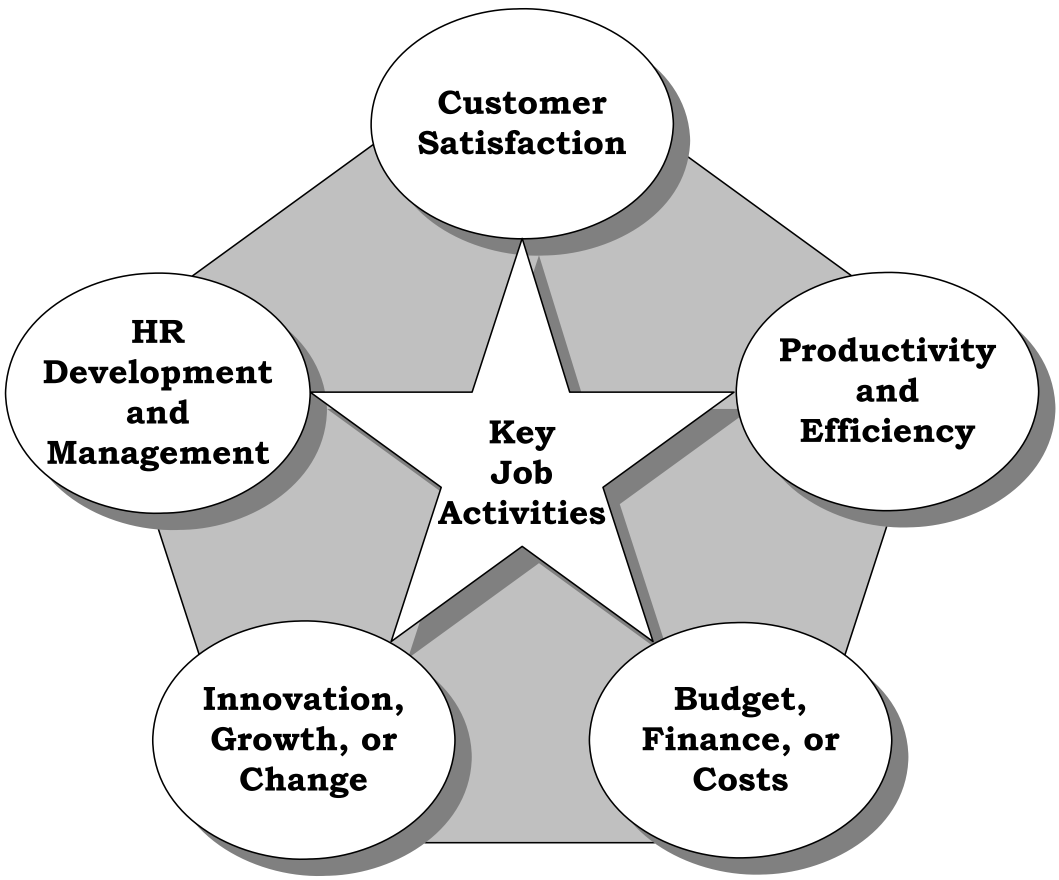
The Performance Profile

A Performance Management System



Connecticut Department of Administrative Services

Linda J. Yelmini, Commissioner

Acknowledgments

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Thanks as well to the many private and public entities that let us benchmark elements of our practices against theirs and who have favorably reacted to and commented on the system over the internet/WWW. Particular thanks go to the managers of DAS. Their tough questions and desire to get their Profiles "right" kept me making improvements that continue to this day. I also wish to acknowledge the help and support of former SLC Director Catherine Daly who was instrumental in keeping the Profile and its outcomes an integral part of the DAS quality journey.

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Publication Notes

The Performance Profile is published on the State of Connecticut Department of Administrative Service web site and the Department of Administrative Services Lotus Notes system as well as in paper form.

To gain access to the Performance Profile materials on the WWW, point your internet browser to http://www.das.state.ct.us and follow "Human Resources Services" to "The Performance Profile for Managers". The electronic "E" form that is used with the Profile is available at the web site and available on diskette from the Connecticut Department of Administrative Services. The MS Word document version is *Profile E Form.doc* and the MS Word template version is *Profile E Form.dot*. DAS managers have the forms and manual available on Lotus Notes.

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What is the Performance Profile?

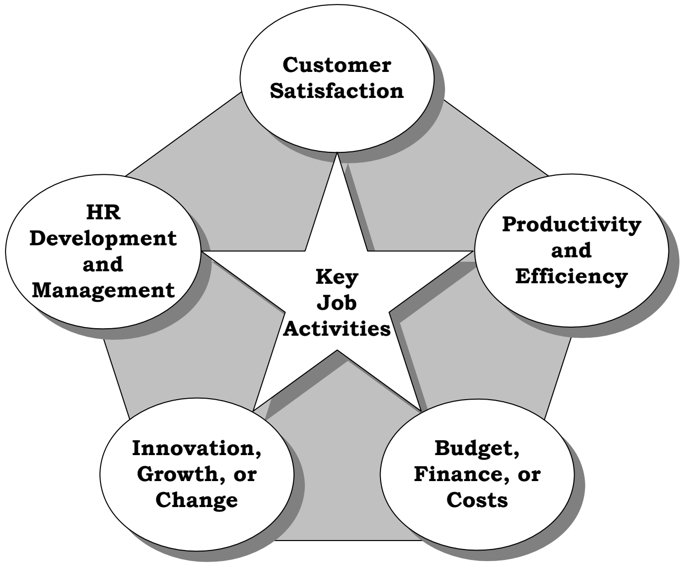
The Performance Profile is the performance documentation and appraisal system used for DAS managers. A Performance Profile is to be completed for every DAS manager and covers a fiscal year beginning July 1st of one year extending through June 30th of the following year.

For managers who have permanent status of sufficient duration with the agency, being successful on their Performance Profile will allow them to participate in any funded Performance Assessment and Recognition System (PARS) pay increase. This can include a possible bonus using parameters published by the DAS Deputy Commissioner each summer ending a fiscal year in which a manager participated. Durational Project Managers who may not participate in PARS must still complete a Performance Profile which will be used as their *durational project plan.*

Note: If a manager begins their employment with DAS or has received a promotion after the beginning of any fiscal year, they are still expected to complete a Performance Profile at the earliest possible date after which their most important work responsibilities have been identified. The Performance Profile will be found to be a straightforward and important way of communicating job responsibilities and expectations with any new or newly promoted manager. Depending on how early in the fiscal year the hire or promotion took place, the manager may be eligible for some type of PARS pay increase.

The development of the Performance Profile immediately followed 18 months of research into the assortment of performance appraisal systems used in both public and private organizations--all the while that DAS was conducting agency wide strategic business planning for the first time. The form and structure of the Performance Profile was settled upon in order to help make each year's strategic business plan get successfully implemented. How is this done using the Performance Profile?

- By starting to define the work of individual managers with the strategic direction, initiatives, and unit and agency measures of the organization rather than the traditional approach of the public sector which is to start with functional job descriptions;
- By aligning the work of DAS managers with a universal set of five key organizational performance outcomes in addition to traditional key job activities or responsibilities (shown below);



- By being *activity based*. That is, by plainly documenting the activities that are to be performed or managed by the manager along with documenting *to what effect* the activities are to be performed or managed;
- By documenting the *performance outcome* category with which the activity is aligned so that it is evident if there is "*balance*" in the constellation of activities to be performed or managed by the individual manager and that activities are tied to outcomes;
- By identifying at least one measure for each *activity*;
- By clearly identifying the data source that will be used for each measure;
- By establishing an evaluation plan for each activity.
- By weighting each activity in advance according to how much it will contribute to the overall evaluation of the manager.

There are plenty of reasons for the continuing use of the Performance Profile. It can be used flexibly to meet the particular needs of different areas or units of the agency yet also require certain universal standards of performance or excellence. The performance outcomes of the Profile cross reference very closely with the Malcolm Baldrige National Quality Award criteria and, therefore, visibly support efforts to place quality and excellence at the center of the agency's work. Further, the performance outcomes are derived from the very important literature addressing performance based management.

The Performance Profile operationalizes an adage heard from many an expert in the performance appraisal field. That is, "What gets measured, gets done". The Profile also operationalizes another old saying "You can manage activities but you can't manage results".

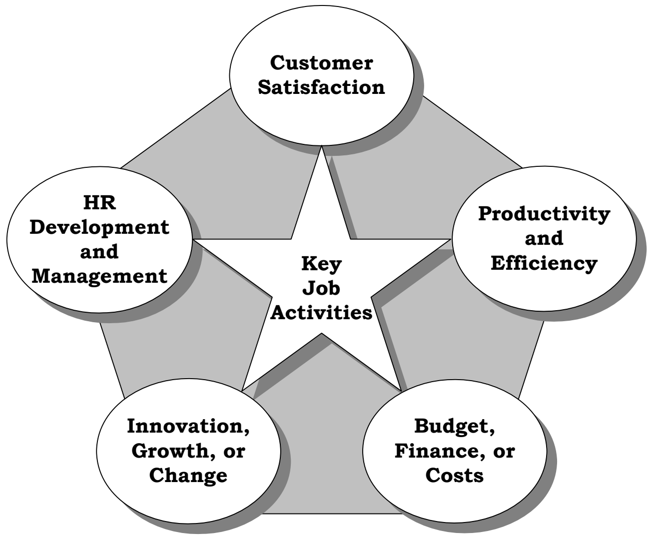
What was the design behind the Performance Profile?

The Performance Profile was designed with certain ideas and aspirations in mind. Part of the design was executed with the information that must be reduced to writing and placed in the Performance Profile form by the manager and their supervisor. However, some of the most important features have to do with the planning and thinking that go into a well executed and thought out Profile.

Here is what was desired in the design of the Performance Profile:

- It should be useful in aligning the performance expectations of managers with the mission, vision, and strategic business direction of the agency;
- It should be useful in keeping the performance expectations of managers aligned with the business-oriented values of the agency;
- It should have meaningful measurement properties with documented data sources;
- It should reinforce and identify the persons who have responsibility for most organizational performance measures;
- It should contrast performance against measurable goals and behavior against business-oriented values;
- It should support greater accountability on the part of managers;
- It should help to close the gap between what the agency says "counts" in the performance of managers and what is actually measured and rewarded on a year-to-year basis;
- It should reinforce and reward the work of managers in performance areas universally recognized as adding value as well as those of particular importance to the organization;
- It should be as capable of communicating and identifying the key work responsibilities and performance expectations of individual managers as it is for a group of managers;
- It should be useful in making decisions on who gets bonuses in the Performance Assessment and Recognition System (PARS).

What are the Key Performance Outcomes?



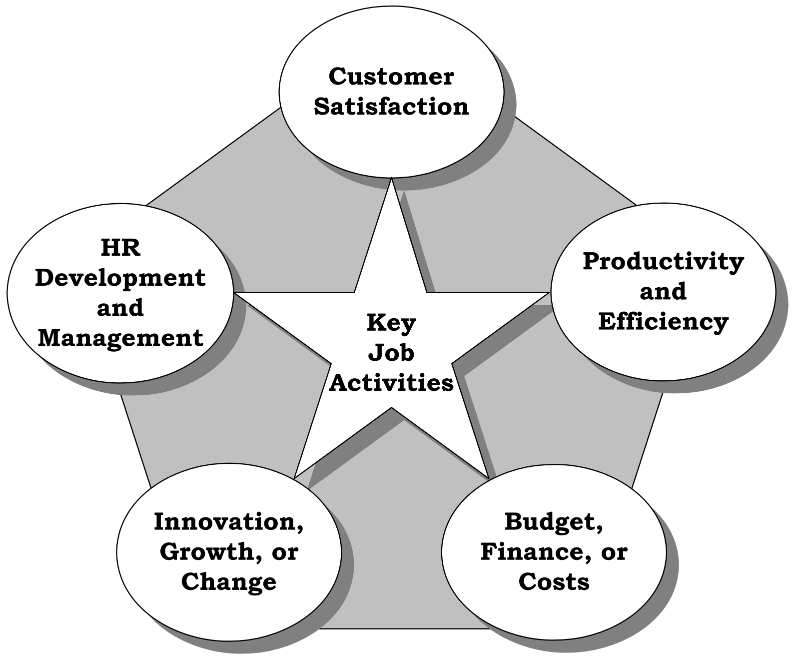
On the points of the gray pentagon above are the Key Performance Outcomes wanted from the activities performed by DAS managers. Managers achieve these outcomes through measurable activities they perform on the job.

The Key Performance Outcomes are Customer Satisfaction; Productivity and Efficiency; Budget, Finance, or Costs; Innovation, Growth, or Change; and HR Development and Management.

The purpose of the Performance Profile is to construct a group of activities that has as much balance as possible among these outcomes and that is carefully and closely aligned with the strategic business plan (most importantly, the measures and initiatives) of the manager's business center plus their work unit or division. These activities are the blueprint for the performance objectives that the manager and the manager's supervisor hope will be achieved.

The listed Performance Outcomes are meant to reinforce that a manager adds the most value to an organization when he or she achieves real results in each of the Key Performance Outcome areas. However, it is not to be forgotten that managers add value to an organization when they achieve real results in any of the Outcome areas.

How are Key Performance Outcomes Defined?



Customer Satisfaction This is establishing and continuously improving customer satisfaction and loyalty with the operations, products, and services that are the direct responsibility of the manager, and DAS as an agency, by understanding customer expectations and needs and by addressing them responsibly and effectively. Using the Malcolm Baldrige National Quality Award criteria, this key performance outcome aligns most closely with items 3.2 (Customer Satisfaction and Relationship Enhancement) and 7.1 (Customer Satisfaction Results);

Human Resource Development & Management This is establishing and continuously improving the ability of human resources to meet customer needs through means such as effective team work and cooperation, performance recognition, quality improvement techniques, employee participation, effective communication, coaching and training, performance management, and stewardship. Using the Malcolm Baldrige National Quality Award criteria, this performance outcome aligns most closely with items 5.1 (Work Systems), 5.2 (Employee Education, Training, and Development), 5.3 (Employee Well-Being and Satisfaction), and 7.3 (Human Resource Results);

Productivity and Efficiency This is recognizing, establishing, and monitoring strategies, techniques or solutions for continuously improving the output of work in an organization, finding ways of performing work less expensively, finding ways to build capacity into the existing work force or finding ways to maintain given levels of work performance with fewer resources. Using the Malcolm Baldrige National Quality Award criteria, this performance outcome aligns most closely with items 5.1 (Work Systems), 6.1 (Management of Product and Services Processes), and 6.2 (Management of Support Processes);

Innovation, Growth, or Change This is continuously recognizing and developing opportunities to grow and develop businesses and services in response to customers and a changing work environment and improving upon worthy businesses and services that are currently in existence. Using the Malcolm Baldrige National Quality Award criteria, this performance outcome aligns most closely with items 4.3 (Analysis and Review of Company Performance), 3.1 (Customer and Market Knowledge), 3.2 (Customer Satisfaction and Relationship Enhancement), 6.3 (Management of Supplier and Partnering Processes), 2.1 (Strategy Development Process) and 7.4 (Supplier and Partner Results);

Budget, Finance, or Costs This is saving money, operating within budgetary constraints, maximizing dollars or work returned for the amount of work or costs expended, controlling expenses, assessing and responding to the cost-benefits or risks of actions or changes that are planned, and understanding operational or activity costs and expenses. Using the Malcolm Baldrige National Quality Award criteria, this performance outcome aligns most closely with items 4.3 (Analysis and Review of Company Performance) and 7.2 (Financial and Market Results).

◘

Key Job Activities The key job activities touch every key performance outcome and for good reason. They are the activities that define such things as why the job exists in the first place (e.g., the functions performed or programs overseen) or why the manager is the person who is in the job because of the skills or abilities he or she possesses (e.g., the counseling performed, statistics generated, research conducted, records evaluated and maintained). Many key job activities, though not all, have an outcome just like the ones above. However, given the realities of work performed in most settings, it was important that activities labeled "key job activities" be documented in Performance Profiles so that significant quantities of work are not overlooked or go undocumented.

The rules are fairly simple for documenting activities based on the foregoing. Every manager will have Key Job Activities in their Performance Profile. There are no exceptions. These should be crafted based on the nature and requirements of the job of the manager and as needed to make certain that strategic business planning activities and initiatives and measures are going to be competently managed or performed.

Managers will have activities in the Performance Profile aligned with the Key Performance Outcomes to the extent that their job has an influence on these important endeavors. Sometimes, it is easiest for the manager to simply try to answer these questions. The answers usually lead directly to the formulation of important activities.

- **What am I going to do for my customers? (Customer Satisfaction)**
- **What am I going to do for my employees? (HR Development & Management)**
- **What am I going to do to help us do what we do now better and more efficiently? (Productivity and Efficiency)**
- **What am I going to do change or expand or alter our present businesses or functions? (Innovation, Growth, or Change)**
- **What am I going to do to improve the fiscal footing or costs of my area? (Budget, Finance, or Costs)**

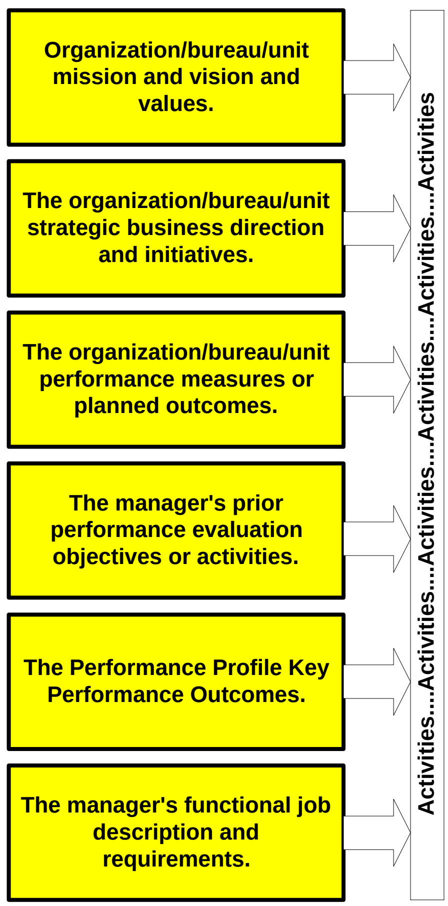
Philosophically, the gist of this Performance Profile scheme is to approximate a "balanced score card approach" to performance measurement. That said, it is believed that a manager adds the *greatest* value to their organization when they are able to achieve real results in their key job activities *and* each performance outcome area. **Said in an overly abbreviated fashion, the fully balanced manager got their job requirements done, made their customers happy, made their employees happy, controlled costs and increased income, created new ways of doing business, and got things done more efficiently.**

This is obviously a tall order to achieve every single rating period. That is why we acknowledge that any manager who achieves real results in their Key Job Activities and any Performance Outcome areas adds real value to DAS.

Where do Profile Activities Come From?

Managers are the key link between the organizational mission and vision and the organizational outcomes. A manager achieves organizational outcomes through activities that they perform or activities that they manage. Writing activities is the starting point for constructing a Performance Profile. Results cannot be managed. Activities can.

The activities are those parts of the Performance Profile that will be weighted, measured, monitored, and subsequently evaluated. Therefore, they should be written with care and in collaboration with the supervising manager. Deciding what activities to write takes some pre-planning. Here is a model of the sources one might look to to identify the activities for a given manager.



The questions then come,

- **Where does the particular manager's duties and responsibilities intersect with the foregoing areas?**
- **What work *is* being performed or managed and, more importantly, *should be* performed or managed?**

It is best to get these questions answered through at least one meeting with the supervising manager. The manager who is writing activities for their Performance Profile should ask their supervising manager what role they are viewed as playing in helping to fulfill the agency, business center, or work unit mission and vision. The manager who is writing activities should know every measure being tracked by their work unit or business center and know their professional role in managing what happens with those measures. The manager who is writing activities should ask what the supervising manager views as important respecting their contributing to real results in the Key Performance Outcome areas. The manager who is writing the activities should ask what the supervising manager views as the key job responsibilities that need to be committed to writing. Usually, this kind of discussion and questioning creates a draft form of activities that normally number 10 or fewer. Once activities are ready to be placed in final written form, they can be entered into the Performance Profile form.

Activities should be written in whole sentences and clearly contain two components or parts.

Part 1: A description of an activity of **work that will be performed or managed** in the coming year(s);

Part 2: A description of ***"to what effect"*** the work will be performed or managed. That is, describe what you and your supervising manager want to see happen as a result of a particular activity. Said in another way, part 2 should reflect what the outcome or result will be that comes from the manager performing this activity?

The ***"to what effect"*** component of the activity (part 2) can be associated with the acronym **R.I.O.T.S**:

What are the **R**esults, or

What are the **I**mpacts, or

What are the **O**utputs, or

What are the **T**argets, or

What are the **S**tandards to come from a particular activity of work?

Here are some examples of activities written to contain both parts. The portion of the sentences in italics is meant to show the part of the activity revealing "to what effect" the activity is being performed. This is done for illustrative purposes only:

- Facilitate process improvement work groups *so that real dollar or time savings can be identified, documented and implemented.*
- Work with members of different business sectors and help them participate in the state procurement process *to increase the number of set-aside contracts*

and dollars awarded to small, minority, woman and disabled business enterprises to 25.5% of total by the end of the fiscal year.

- ✎ Act as system administrator for new telephone and voice mail systems *to lower costs, get equipment installed on time, and resolve problems within 24 hours.*
- ✎ Create, maintain, and continuously evaluate an accounting of DAS performance measures *to form a performance scorecard that has at least 85% of the measures working "live" over the course of the year.*
- ✎ Oversee the production of the *xyz* reports *so that they are always produced (100%) on time by the 1st of each quarter.*
- ✎ Reduce operating costs *by 5% compared to last year.*
- ✎ Through process improvements and conducting and adjusting services based on customer focus groups, *raise satisfaction with our goods and services by 7% over last year.*

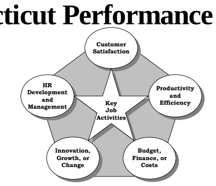
The activities entered into the Performance Profile form do not need italics. **However, the *"to what effect"* statement is critically important because final ratings of activities will reflect how closely the manager achieved or exceeded the stated or implied effect. How closely a manager comes to receiving any bonus for their performance will rest on 1) these results and 2) the effect the manager's activities have on the success of the organization.**

The Performance Profile is not meant to be used to document every activity a manager performs. The Performance Profile is used to document those most important measurable activities for which the manager has accountability that will assist the agency or business center in meeting its mission and objectives over a year's period of time. For the purposes of the Performance Profile, most managers have ten or fewer such activities.

What needs to be written on the Performance Profile form?

NOTE: Following the instructions below assumes that you know how to start MS Word, open a document or start a new document using a template, make changes to a document, and save it under a name of your choosing.

State of Connecticut Performance Profile E Form [i]



Managerial Employees

Rating Period:	**To**		(Format MMMM d, YYYY)

Employee:		**Class Title:**		**Supervisor:**	
Signature and Date:				Signature and Date:	
Agency:	*Department of Administrative Services*	**Bus. Center:**		**Unit or Division:**	

Activity[ii]	Measure(s)	Data Source(s)	Performance Outcome	Eval Plan[iii]	Rating[iv]	WT
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
	•	•				0
					Sum of Weights[v]	**0**

Narrative Summary of Results[vi]

Ratings: BTh = Below Threshold; Th = Threshold; T = Target; E = Exceeds Target

Each basic entry into a Performance Profile form contains these elements:

- The activity (the work this is to be performed or managed and "to what effect" the work is to be performed or managed);
- The measure(s) of the activity;
- The data source(s) the measure will come from;
- The Performance Outcome area associated with the activity;
- The evaluation plan. That is, when or how often results will be reviewed with the supervisor's manager;

- The weight of the activity. That is, how much importance it will be given in the overall evaluation of the manager.

Using the Electronic (E) version of the Performance Profile form (opened in MS Word), point to the gray areas (text boxes) on the form (these can't be shown in the "picture" above) and begin typing the information requested such as the employee name, class title, and so forth. Just as with any MS Word document, you may alter the size, font, and color of text on the form to meet your needs. The forms have some helpful endnotes.

Once the top portion of the form has been completed, begin the documentation of activities using the tips and guides supplied in other sections of this electronic manual by doing the following:

Place the mouse arrow in the gray text box in the line under activity and click the left button to change the color of the text box from light to dark gray. Type in the activity as explained in another section where you define one of the activities to be performed or managed and "to what effect" the activities will be performed or managed. The box where you are typing will accommodate any number of lines of text to be typed. There is no need to hit the "Enter" key after each line. The text will automatically wrap inside the box.

	Rating Period:	**7/1/98**	**To**	**6/30/99**	(Format MMMM d, YYYY)
Employee:	Billy Jack Howard	**Class Title:**	DP Manager 2	**Supervisor:**	Laser S. Printer
Signature and Date:			Signature and Date:		
Agency:	*Department of Administrative Services*	**Bus. Center: Strategic Solutions**	**Unit or Division:** Information Services		

Activity[i]	Measure(s)	Data Source(s)	Performance Outcome	Eval Plan[ii]	Rating[iii]	WT
Act as system administrator for new telephone and voice mail systems to lower costs, get equipment installed on time, and resolve problems within 24 hours.	•	•				0
	•	•				
	•	•				0
					Sum of Weights[iv]	**0**

Once the activity has been entered, go to the Measure(s) box immediately to the right and enter that gray text box area. Keyboard in this space the measure(s) or deliverable(s) to be associated with the activity. If there is more than one measure or deliverable, press the enter key and a new bullet will appear for any subsequent measure. (NOTE: A frequent mistake of someone filling out a Profile the first time is declaring more measures than they could possibly track.) The measure needs to be able to validate "to what effect" you performed an activity. Therefore, there should be a logical connection. For example, reducing certain costs would require some type of financial measure. Making work happen more productively should have some type of work flow measure. Making customers happy should have some type of customer satisfaction measure. The only exception to this is that some activities will be directed to creating or finishing some very specific work product. Consequently, some "measures" can be the "deliverable" to result from the activity. Most people document this as delivering a "completed work product" although they also usually include the date to be delivered as a measure. Here's a continuation of the example.

Activity[i]	Measure(s)	Data Source(s)	Performance Outcome	Eval Plan[ii]	Rating[iii]	WT
Act as system administrator for new telephone and voice mail systems to lower costs, get equipment installed on time, and resolve problems within 24 hours.	• Cost of new system this year compared to cost of old system last year. • Have everyone installed and a user by 6/1/99 • Timeliness of responses to problem.	• Business Office cost figures for 02-100 for matched periods of time (telephone) • Finished work product and audit • Customer problems tracked in Lotus Notes System	Budget, Finance and Costs Key Job Activity	Each Quarter & 6/1/99 Due Date		0
	•	•				
	•	•				0
					Sum of Weights[iv]	**0**

As can be seen above, information was added to three additional columns beginning with the Data Source(s). Note that since there were three measures, there are three data sources--one for each. For the cost measure, business office cost figures will be matched and compared for telephone expenses this year versus last to make sure they were lower. For the installation, everything has to be done (finished work product) by 6/1/99 with an audit to see if everyone is on the system. For the resolution of problems within 24 hours, timeliness is the measure which is monitored by a tracking system that has been built into Lotus Notes. It is the responsibility of the manager to find and document accurate data sources for their measures. If data sources do not exist, they will need to be created and used.

Next is the declaration of the Performance Outcome for the activity. Two Performance Outcomes have been entered in for this particular activity. The first is Budget, Finance and Costs. Besides the activity being a cost item on its face, another reason why this was an important outcome was because lowering costs were the main reason behind the need to install a new telephone system. The other category is key job activity. In this example, the activity was declared a key job activity because managing the telephone system is the main reason that this manager's job exists.

Next to this is the column for evaluation plan. This indicates when the manager and supervising manager plan to meet and discuss and review data on this activity. Here, the plan is for quarterly reviews with the additional element that on 6/1/99, the status on the completion of the telephone installation will be reviewed specifically.

The rating waits until the end of the rating year. Four rating identifiers are used:

"Below Threshold" (BTh) meaning that the manager did not get close to realizing the products or results they attempted to achieve;

"Threshold" (Th) meaning that the manager may not have realized the products or results they attempted to achieve but progress was made and performance was close to what was hoped for;

"Target" (T) meaning that the manager achieved the products or results they attempted to achieve;

"Exceeds Target" (E) meaning that the manager went beyond, possibly well beyond achieving the products or results they attempted to achieve.

The last column to complete (not done here) soon after the time that activities are documented is the weight (WT) of the activity. The weight for an activity translates to how important that activity will be in the overall assessment of performance of the manager for the year. Since the weights for activities need to add to 100%, all activities should be written and negotiated and clarified prior to the time that the manager and supervising manager agree on the weight values for each activity.

Once the form is complete, there should be at least one paper copy that has been signed and dated by both the manager and the manager's supervisor. The form should be completed after July 1 of any rating year as soon is possible for the fiscal year that approaches.

It is understood that there may be circumstances in which activities will need to be dropped, measures amended, and so forth because of changes that have taken place either with the manager and their job or with changes in the work place. Still, the Profile should be viewed as the basic and fundamental blueprint of what is to be performed and managed for a fiscal year and to what effect. Consequently, changes should be few. Further, there may be activities in a Profile that the supervisor may classify as "do or die" activities. These should be specifically identified for the manager as activities that will not be allowed to be changed during the course of the year for any foreseeable reason.

There are a few other comments about what can be written on the Profile form.

- It is perfectly allowable to require that groups of managers have the same activity, R.I.O.T.S., measures and so forth; particularly if the activity goes to making sure that something about the organizational mission and vision will be carried out;
- Competency definitions and ratings for managers can be built into the Key Job Functions area of the Performance Profile if they are desired. However, the measure still needs to be defined as will the data source (said another way, who decides if the manager possesses the competency.)

- **The Key Performance Outcomes were adopted for use by DAS. Agencies with different missions and responsibilities have different outcomes they are attempting to achieve. Therefore, other agencies using the Profile will want to first determine which outcomes define success in their organization.**

What if I can't identify a specific performance outcome for an activity?

There is no need to fall victim to the conundrum over which exact performance outcome some activity falls in. It is fully understood that cost reductions are often achieved through productivity; that customer satisifaction is achieved through innovative and responsive programs; that customer retention is achieved because of happy and knowledgeable employees. In the above examples, work in one performance outcome area is helping another one to be achieved. What to do if it is difficult to assign a Performance Outcome to an activity? Look at the measure. It will tell you.

Example R.I.O.T.S.

When activities are written, they should express the work that will be performed or managed by the individual manager and "to what effect" the work will be performed or managed. Most performance appraisal schemes forget about declaring this last part of defining work activities.

R.I.O.T.S is an acronym that can be helpful in thinking through the effects you and your supervising manager are after associated with an activity. The content of activities for managers are addressed elsewhere.

Here is what the **R.I.O.T.S.** acronym stands for:

What are the **R**esults, and/or

What are the **I**mpacts, and/or

What are the **O**utputs, and/or

What are the **T**argets, and/or

What are the **S**tandards to come from a particular activity of work?

"Results" the manager and their supervisor may be after that are the "effect" of some activity can include:

A new product is created;

A new service is created;

Bringing a product or activity to a conclusion;

Making delivery of something promised to someone else.

"Impacts" the manager and their supervisor may be after that are the "effect" of some activity can include:

Making your job easier, faster, simpler, or less expensive;

Making someone else's job easier, faster, simpler, or less expensive;

Experiencing more compliance from certain suppliers;

Resulting in fewer phone calls;

Substantially reducing costs;

Making customers far more content than they used to be.

"Outputs" the manager and their supervisor may be after that are the "effect" of some activity can include:

More things being made;

More documents or forms processed;

Fewer errors per entry;

Increased work force capacity.

"Targets" the manager and their supervisor may be after that are the "effect" of some activity can include:

Getting turnaround time down to a specific figure;

Reducing accidents to 3 per 1,000 employees;

Collecting an amount of money within six months time;

Keeping costs of collections below a certain amount per dollar.

"Standards" the manager and their supervisor may be after that are the "effect" of some activity can include:

Keeping operating costs between 20 to 25% of total agency costs;

Keeping travel time to within *x* amount of time spent on a collections case;

Keeping unauthorized leave below 10% of total leave time taken.

The simple point is this. Don't just write down things that you do or manage on the job as factual information constituting activities. Write down the work you perform or manage and "*to what effect*" it is to be performed and managed using something appropriate and valid from the R.I.O.T.S. scheme. Otherwise, there is no basis on which to judge performance once a rating period has been completed.

It is up to the supervising manager to ensure that the "to what effect" statement is an appropriate stretch for the manager given their job and the work that needs to be performed in service to the strategic business plan and strategic initiatives.

What are suitable Performance Profile measures or deliverables?

When activities are written, they should express the work that will be performed or managed by the individual manager and "to what effect" the work will be performed or managed. One or more measures or deliverables will be assigned to each activity through the collaboration of the manager and their supervisor.

A **measure** is given a simple definition. ***A measure is what will be used to track or improve performance***. Therefore, whether or not a measure is a measure can be determined by giving it a simple test. If what is defined as a measure cannot be used to track the work being performed or managed or will not reflect if there is any sort of change in the work being performed or managed over time, then it is not a measure. Generally, measures will be some type of count, ratio, sum, or product.

There should be a direct relationship or link between an activity and its measure(s). If the effect that one wants from an activity is to reduce costs by a certain amount, then the measure would certainly have to be costs or expenses of some sort. If the effect of an activity is supposed to be reducing the speed of completing some process to and below a certain amount of time, then some time related value would be the measure. If the effect is to improve relations with people who use your goods and services, the logical measure is some type of customer satisfaction assessment.

Check and make certain that the measure is something that can be counted, summed, divided or produced through the combination of one or more numbers or indicators. Check to make certain that the measure is something that can be written on a piece of paper or charted or graphed and actually shown to someone to reflect the performance or the management of an activity. If this can't be done, one doesn't really have a measure for the activity.

Example measures:

- ✐ Percent of satisfied customers
- ✐ Percent of satisfied employees
- ✐ # of days it takes to input job applications after time stamp date
- ✐ Number of inventory items unaccounted for per month
- ✐ % purchasing dollars going to small or minority owned businesses
- ✐ Number of repair vehicles returned for same problem within 3 days
- ✐ Average cost to maintain LAN support per computer

A **deliverable** is another matter. Many of the activities that managers perform result in some specific product. That is why a "deliverable" can replace a measure in the column when warranted. The deliverable needs to be clearly described whether it is a finished report, an operating piece of software, or a government program ready to be fully implemented. Although this is jumping to the next topic area, the "data source" for a deliverable is quite critical. Typically, the data source for a deliverable will be one or more persons who will declare that the work is really done and meets specifications. Therefore, the data source will typically be the supervising manager or the customer or customers who are to receive the delivered goods. Whichever it is, their names need to appear in the "data source" box. The evaluation plan for a deliverable will normally be the due date for either the product or the completion of significant milestones.

Reality Check: Once all activities and measures/deliverables have been written, look over the information carefully.

- **Do activities and measures/deliverables cover elements of the strategic business plan or operational initiatives and programs of the organization? If not, whose activities are going to take care of these?**
- **Are the effects of the activities really important to the organization? Is what is being targeted enough or does the bar need to be set higher/lower?**
- **If the result of an activity is a deliverable, is it clear what constitutes completed work or milestones? Is it clear who is going to make a ruling on the fitness of the delivered product?**
- **Are the measures really measures? Are they numbers, sums, ratios and so forth?**
- **Are the measures capable of supporting organizational measures? Is there an elegant link or relationship with some of the measurement that is going on at the manager level, at the business center level, and at the agency level or are they disconnected or fragmented?**
- **For activities where there is no "wiggle room"-- where performance is "do or die", has this been clearly articulated by the supervising manager to the manager?**

What are suitable Performance Profile data sources?

When activities are written, they should express the work that will be performed or managed by the individual manager and "to what effect" the work will be performed or managed. One or more measures or deliverables will be assigned to each activity through the collaboration of the manager and their supervisor. For each measure or deliverable, a data source must be declared.

A **measure** is given a simple definition. ***A measure is what will be used to track or improve performance***.

Declaring a **data source** keeps the measure from being largely theoretical. The data source declares or defines where the measurement information (data) will be coming from or who will judge if a deliverable is suitable once complete. Therefore, the data source is not a trivial addition to measurement information. On the Performance Profile form, each measure will have a data source.

In a prior section, the following were listed as example measures:

- Percent of satisfied customers
- Percent of satisfied employees
- # of days it takes to input job applications after time stamp date
- Number of inventory items unaccounted for per month
- % purchasing dollars going to small or minority owned businesses
- Number of repair vehicles returned for same problem within 3 days
- Average cost to maintain LAN support per computer

For any such measure, the data source clearly identifies or documents where the measurement data are coming from. For deliverables, the data source clearly identifies who decides if delivery was made according to specifications or expectations.

In the case of the inventory item measure above, the data source would declare where this count of unaccounted for items comes from. It may be an exception report or inventory control report. In the case of the returned repair vehicles, the data source would be how they are keeping track of the returns and deciding if it is for the same problem.

Some measures may already be operational in the organization (that is, the data are being collected right now in some form and fashion) but others may not be. Data sources will plainly describe where information will come from so that measures cannot remain theoretical or speculative. **Data sources can be specific log books, financial reports, computer reports for continuous and**

ongoing measures. Data sources can be questionnaires or surveys for measurement that will take place at discrete points in time. Data sources can be customers or supervisors when a product or service is to be delivered.

The task is for the manager and the supervisor to agree upon where the measurement information will be coming from. Particularly in those instances where there is no existing method of collecting data for a measure, there must be a plain understanding of how data are to be collected and if the data can be realistically collected with the resources and information currently available.

It is pretty easy to write elegant and compelling measures. It is not as easy to assemble and use the data systems to keep information flowing over the course of time or to keep data collection from losing its priority in light of other deadlines and tasks.

What are suitable Performance Profile evaluation plans?

When activities are written, they should express the work that will be performed or managed by the individual manager and "to what effect" the work will be performed or managed. One or more measures or deliverables will be assigned to each activity through the collaboration of the manager and their supervisor. For each measure or deliverable, a data source must be declared. Each measure or deliverable must have an evaluation plan.

For most every Performance Profile, the evaluation plan will be the most simple element to decide upon. For measurable activities, this is the interval or time at which data are to be presented to the supervising manager so that performance can be judged. Therefore, the “evaluation plan” might be quarterly, monthly, semi-annually or by one specific date. For the deliverables, the evaluation plan is normally the due date. Simply reflect this information in the evaluation plan column.

As a matter of policy, DAS asks that supervising managers meet with their managers to discuss the Performance Profile at least quarterly so that there is a general understanding of the progress that has been made and so that the supervising manager can be formally made aware of any difficulties the manager has experienced in performing or measuring their activities.

What are activity weights?

When activities are written, they should express the work that will be performed or managed by the individual manager and "to what effect" the work will be performed or managed. One or more measures or deliverables will be assigned to each activity through the collaboration of the manager and their supervisor. For each measure or deliverable, a data source must be declared. Each measure or deliverable must have an evaluation plan. Every activity should be weighted as a portion of 100% (with one exception noted later) with respect to how much influence that activity will have to the overall final evaluation.

The weight gives one simple message. It conveys how much influence each activity will have on the overall evaluation at the end of the fiscal year. While the weight can be suggested by the manager, the final weight should be decided upon by the supervising manager so that the activities and their weights reflect “what counts” according to them and according to the strategic plans and direction of the organization.

Activities can be made required for the manager. For DAS, there is a required activity for fulfilling the elements of the agency communication plan which is published separately. Here is that activity:

Communications Activity for DAS Managers

Activity	Measure(s)/Deliverable(s)	Data Source(s)	Performance Outcome	Eval Plan	Rating	WT
Manager will oversee the execution of and/or participate in carrying out all the elements of the DAS Employee Communication Plan.	• Face to face meetings; • Written Communications; • Employee Feedback Program; • Employee Recognition; • Use of Communication Coordinators; • Support of use of Communication Account Managers;	• Manager will maintain pertinent records to substantiate carrying out of program by times and form laid out in the DAS Employee Communication Plan.	Human Resources Management	Quarterly activity reports		Requir-ed

In this instance, regardless of the weights of other activities, performing this activity according to the specifications of the communication plan is required. The plan sets out the number of certain types of meetings to be held during the course of the year, how suggestion systems will be implemented, and so forth. As can be seen “Required” has been typed into the WT or weight column.

Issues

Changing Profiles during a fiscal year. Things change in government just like they change in the rest of the world of work. For state managers, there could be the loss of a funding source, the failure of a contractor or supplier, a change in agency focus and direction from agency leadership, or new legislation that makes a new activity require resources that had been planned for another.

Performance Profile activities can be changed during the course of a year if making the change is acceptable to the manager and their supervisor. The Profile is to be aligned with the strategic direction of an organization. Consequently, if the strategic direction changes, Profiles may have to change as well. It is important for the manager and their supervisor to arrive at an understanding of how any midstream changes or alterations might affect a year end appraisal and selection for performance awards. It is also important that managers be told at the beginning of the Performance Profile development activities when an activity is "do or die" and cannot be altered or amended—this should not be news delivered at the last minute.

The possible need to make changes reinforces the importance of regular and scheduled reviews between a manager and their supervisor respecting the achieved effects or deliverables resulting from activities. If unforeseen circumstances affect the continuation of documented activities, it is best that changes in the Profile be made promptly and not at the end of the fiscal year.

Confusing or blurring measures, activities, data sources, R.I.O.T.S., and other Profile components is a common problem. Managers are not expected to be performance measurement experts (although they are expected to measure what they do) so the Performance Profile gives some latitude for how all of the above can be documented. It cannot be overemphasized that the more clearly thought out and written each component is, the easier it will be to determine if a manager succeeded. Frequently, people completing a Profile confuse or blur the distinction between measures, data sources, R.I.O.T.S, performance outcomes, and so forth. Perhaps this example will help crystallize distinctions among these Profile Components:

The work context: Let's say that one important aspect of someone's job is to keep a room comfortable by reliably regulating the heating and cooling. It is the work they perform or work that they manage being performed. A "comfortable" room is operationally defined as one that is maintained between 68 and 72 degrees Fahrenheit.

The **activity** could be written in a couple of ways: 1) "Regulate the temperature of the room so that it doesn't dip below 68 degrees or rise above 72 degrees" ; 2) "Monitor and regulate the heating and cooling systems so that the temperature always stays between 68 and 72 degrees Fahrenheit (inclusive)." Each clearly reflects the two parts that should go in every activity. Part 1 of the activity is the short description of the work being performed or managed which is keeping the room comfortable. Part 2 is “to what effect” the work is being performed or managed. Here, the “effect” is to keep the temperature between 68 and 72 degrees by either heating or cooling the room, as appropriate. Using the **R.I.O.T.S.** scheme, a standard has been set based on a range of temperature.

So what is the **measure?** “Temperature” or “temperature in Fahrenheit” is the measure. There is no need to be any more complicated than that--not “keep room regulated” or “68 to 72 degrees” or “keeping temperature properly controlled”. Just “temperature”. That’s what will be used to track or improve performance (harking back to the definition of a measure).

What is the **data source?** Perhaps “a thermometer”. It is where the data come from to track or improve performance. It might matter which thermometer so that it has a relationship with the temperature in the room of interest. One could be even more precise given that regulation is what is going on. Something more precise as a data source might be “thermometer reading taken every 30 minutes” or “thermometer reading taken every 30 minutes in the room.”

Consider for the moment changing the measure to “comfort level of people in a room with the temperature.” What might be the source of the data going to this new measure? What would be the likely **performance outcome** for this activity given this measure as compares with the former measure?

What is the **evaluation plan?** This is when the findings or results are reported to the supervising manager. How often should it happen? If it is so critical that the temperature stays perfectly regulated all the time, perhaps data should be reviewed once a week at minimum so corrective action can be taken if there seem to be problems.

These quotes are instructive:

- You can't manage what you don't measure. -- Peter Drucker;
- If you don't measure it, you're just practicing. -- Robert Galvin;
- If you don't measure it, people will know you're not serious about delivering it. -- James Belasco.

Good luck with your Profile!