

# Performance Management Self-Assessment Tool

How well does your public health organization or partnership manage performance within its jurisdiction? Take this test to find out if you have the necessary systems in place to achieve results and continually improve performance.

## Using This Tool

This self-assessment tool will help you and your team identify the extent to which you have components of a performance management system. Developed by and for public health agencies, this tool is organized around each of the four components of performance management identified in the Turning Point Performance Management National Excellence Collaborative’s model (see right).

- Performance Standards
- Performance Measurement
- Reporting of Progress
- Quality (or Performance) Improvement Process

For each component, several questions serve as indicators of your performance management capacity. These questions cover elements of your capacity such as having the necessary resources, skills, accountability, and communications to be effective in each component.



Source: Turning Point. *From Silos to Systems: Using Performance Management to Improve the Public's Health*, 2003.

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## Choose the Best Response

Choose the response that is closest to your stage of development as follows:

- “Yes (fully operational):” You explicitly do this activity or have this capacity in place.
- “Somewhat:” You explicitly do this or have this capacity, but have a way to go.
- “No:” You do this barely or not at all. What occurs is not the result of any explicit strategy.

In this tool, “you” does not refer to you as an individual. Rather, you can choose to answer the tool’s questions for your

- Individual program or division
- Organization as a whole
- Public health system for your jurisdiction—including governmental health departments (state, local, territorial, or tribal), other government agencies partnering in public health functions, and private system partners (non-profit, academic, or business)

Because performance improvement is a shared responsibility throughout a public health system,<sup>1</sup> we encourage you to involve internal and external partners as you examine ways to better manage performance.

## Take the Next Step

In public health, we continually strive for better health for all Americans. In the same spirit, we can continually strive for better ways to manage performance and learn from our efforts. By answering the questions in this self-assessment, your team can identify together the most important areas to improve.

Although this tool will help you and your team answer the questions, “*Are we really managing performance?*” and “*Do we have specific components of a performance management system?*” it is only the first step to improved performance. As you complete this assessment, or as a next step, your team should also discuss important questions such as:

- “For those components we are doing, how well are we doing them?”
- “In which quadrants do we need to invest more time and resources to manage performance more successfully?”
- “What steps could we try out this month (or this week!) to improve our performance management system?”

Use the “Notes” section at the bottom of each page to write down your improvement ideas, your insights, or any qualifications to your answers. Your individual or group responses will help you interpret the results and choose follow-up actions to the assessment.

### Tips:

- ➔ **Preview the entire tool and definitions before you begin.** The detailed questions in Sections II - V may help you better understand performance management and more accurately complete Section I, “Overall Readiness & Accountability.”
- ➔ **Be honest about what you are currently doing or not doing to manage performance.** If you are doing very little in an area, it is better to say “No” than to overstate the attention and resources allocated to it. For questions marked “No,” decision makers can then choose to invest resources, shift priorities, or determine that you will not be accountable for the activity. Using information for such decision making is a basic tenet of performance management.
- ➔ **Indicate the unit (e.g., program, organization, jurisdiction) for which you are completing this assessment** at the top of the tool in the space provided.
- ➔ **If you are unsure, leave it blank until you can find the answer.**

<sup>1</sup> See also the National Public Health Performance Standards Program, [www.phppo.cdc.gov/nphpsp](http://www.phppo.cdc.gov/nphpsp).

## Resources to Help

If you're ready to start working on better ways to manage performance, there are a number of resources from Turning Point that can help, including the following:

- *From Silos to Systems: Using Performance Management to Improve the Public's Health*
- *Guidebook for Performance Measurement*
- *Performance Management in Action: Tools and Resources* (online only)

View online at [www.phf.org/infrastructure](http://www.phf.org/infrastructure) – click "Search," then type "Performance Management" (no quotes)

Order print copies at [www.phf.org](http://www.phf.org) – click "Bookstore" or call toll-free 877-252-1200

For more information about the Turning Point Performance Management National Excellence Collaborative, please visit our web site, <http://turningpointprogram.org/Pages/perfmgt.html>.

<b>Section I. Overall Readiness &amp; Accountability</b>			
Assessment Questions	Stage of Development		
	No	Some-what	Yes (Fully operational)
1. Is there a stated commitment from high-level leadership to a performance management system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is performance being managed for at least some priority areas that are critical to your mission and function?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is performance actively managed in the following areas? (check all that apply)			
A. Health Status (e.g., diabetes rates)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Public Health Capacity (e.g., communities served by a health department or program)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Human Resource Development (e.g., workforce training in core competencies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Data and Information Systems (e.g., injury report lag time, participation in intranet report system)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Customer Focus and Satisfaction (e.g., use of customer/stakeholder feedback to make program decisions or system changes)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Financial Systems (e.g., frequency of financial reports, reports that categorize expenses by strategic priorities)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Management Practices (e.g., communication of vision to employees, projects completed on time)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Service Delivery (e.g., clinic no-show rates)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I. Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is a team responsible for integrating performance management efforts across the areas listed in 3A - I?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are managers trained to manage performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are managers held accountable for developing, maintaining, and improving the performance management system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are there incentives for performance improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Is there a process or mechanism to align the various components of the performance management system (i.e., performance standards, measures, reports, and improvement processes focus on the same things)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Is there a process or mechanism to align your performance management system with your strategic plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Is there a process or mechanism to align your performance priorities with your budget?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Do leaders nurture an organizational culture focused on performance improvement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Are personnel and financial resources assigned to performance management functions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

<b>Section II. Performance Standards</b>			
Assessment Questions	Stage of Development		
	No	Some-what	Yes (Fully operational)
1. Do you use performance standards that are relevant to your activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you set specific performance targets to be achieved in a certain time period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are managers and employees held accountable for meeting standards and targets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Have you defined processes and methods for choosing performance standards, indicators, or targets? <sup>2</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Do you use existing performance standards, indicators, and targets when possible (e.g., National Public Health Performance Standards, Leading Health Indicators, Healthy People 2010)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Do you benchmark (compare yourself) against similar organizations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Do you use scientific guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Do you set priorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Do your standards cover a mix of capacities, processes, and outcomes? <sup>3</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are your performance standards, indicators, and targets communicated throughout the organization and its stakeholders or partners?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Have individual performance expectations been communicated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Do you relate performance standards to recognized public health goals and frameworks, (e.g., Essential Public Health Services)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Do you test your standards and targets so you are sure people understand them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Do you coordinate so multiple programs, divisions, or organizations use the same performance standards and targets (e.g., same child health standard is used across programs and agencies)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Is training available to help staff use performance standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Are personnel and financial resources assigned to make sure efforts are guided by relevant performance standards and targets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

<sup>2</sup> For guidance on various methods to set challenging targets, refer to the "Setting Targets for Objectives" tool (p. 93) in Baker, S, Barry, M, Bechamps, M, Conrad, D, and Maiese, D, eds. *Healthy People 2010 Toolkit: A Field Guide to Health Planning*. Washington, DC: Public Health Foundation, 1999. [www.health.gov/healthypeople/state/toolkit](http://www.health.gov/healthypeople/state/toolkit). Additional target setting tools are available in the State Healthy People Tool Library at [www.phf.org/HPtools/state.htm](http://www.phf.org/HPtools/state.htm).

<sup>3</sup> Donabedian, A. The quality of care. How can it be assessed? *Journal of the American Medical Association*. 1988;260:1743-8.

<b>Section III. Performance Measurement</b>			
Assessment Questions	Stage of Development		
	No	Some-what	Yes (Fully operational)
1. Do you have specific measures for all or most of your established performance standards and targets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Does every measure have a clear definition?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Is a clear unit of measure defined for quantitative measures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Has interrater reliability been established for qualitative measures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are measures selected in coordination with other programs, divisions, or organizations to avoid duplication of data collection?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Have you defined methods and criteria <sup>4</sup> for selecting performance measures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Do you use existing sources of data whenever possible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Do you use standardized measures (e.g., national program or health indicators) whenever possible? <sup>5</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Do your measures cover a mix of capacities, processes, and outcomes? <sup>6</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Do you collect data for your measures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Is training available to help staff measure performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are personnel and financial resources assigned to collect performance measurement data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

<sup>4</sup> For an excellent list of criteria and guidance on selecting measures, refer to Lichiello P. *Guidebook for Performance Measurement*. Seattle, WA: Turning Point National Program Office, 1999:65.  
[http://www.turningpointprogram.org/Pages/pmc\\_guide.pdf](http://www.turningpointprogram.org/Pages/pmc_guide.pdf) (3/12/04)

<sup>5</sup> For examples of sources of standardized public health measures, refer to "Health and Human Services Data Systems and Sets" (p. 103) in the *Healthy People 2010 Toolkit: A Field Guide to Health Planning* at [www.health.gov/healthypeople/state/toolkit](http://www.health.gov/healthypeople/state/toolkit) or "Major Data Sources for Healthy People 2010" at [http://www.healthypeople.gov/document/html/tracking/THP\\_PartC.htm](http://www.healthypeople.gov/document/html/tracking/THP_PartC.htm).

<sup>6</sup> Donabedian, A. The quality of care. How can it be assessed? *Journal of the American Medical Association*. 1988;260:1743-8.

<b>Section IV. Reporting of Progress</b>			
Assessment Questions	Stage of Development		
	No	Some-what	Yes (Fully operational)
1. Do you document your progress related to performance standards and targets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you make this information regularly available to the following? (check all that apply)			
A. Managers and leaders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Governance boards and policy makers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Stakeholders or partners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. The public, including media	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are managers at all levels held accountable for reporting performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Is there a clear plan for the release of these reports (i.e., who is responsible, methods, how often)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Is reporting of progress part of your strategic planning process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Have you decided the frequency of analysis and reporting on performance progress for the following types of measures? <sup>7</sup> (check all that apply)			
A. Health Status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Public Health Capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Human Resource Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Data and Information Systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. Customer Focus and Satisfaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Financial Systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Management Practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Service Delivery			
I. Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Do you have a reporting system that integrates performance data from programs, agencies, divisions, or management areas (e.g., financial systems, health outcomes, customer focus and satisfaction)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Is training available to help staff effectively analyze and report performance data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Do you test your reports so you are sure people understand them and can use them for decision-making?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are personnel and financial resources assigned to analyze performance data and report progress?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

<sup>7</sup> See Section I, question 3 for examples of each type of measure.

<b>Section V. Quality Improvement (QI) Process</b>			
Assessment Questions	Stage of Development		
	No	Some-what	Yes (Fully operational)
1. Do you have a process(es) to improve quality or performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Is an entity or person responsible for decision-making based on performance reports (e.g., top management team, governing or advisory board)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Is there a regular timetable for your QI process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Are the steps in the process communicated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are managers and employees evaluated for their performance improvement efforts (i.e., is performance improvement in their job descriptions)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are performance reports used regularly for decision-making?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is performance information used to do the following? (check all that apply)			
A. Determine areas for more analysis or evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Set priorities and allocate/redirect resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Inform policy makers of the observed or potential impact of decisions under their consideration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Do you have the capacity to take action to improve performance when needed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A. Do you have processes to manage changes in policies, programs, or infrastructure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Do managers have the authority to make certain changes to improve performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Does staff have the authority to make certain changes to improve performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the organization regularly develop performance improvement or QI plans that specify timelines, actions, and responsible parties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Is there a process or mechanism to coordinate QI efforts among programs, divisions, or organizations that share the same performance targets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Is QI training available to managers and staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Are personnel and financial resources allocated to your QI process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

## Definitions

**Performance management** is the practice of actively using performance data to improve the public's health. This practice involves strategic use of performance measures and standards to establish performance targets and goals. Performance management practices can also be used to prioritize and allocate resources; to inform managers about needed adjustments or changes in policy or program directions to meet goals; to frame reports on the success in meeting performance goals; and to improve the quality of public health practice.

Performance management includes the following components:  
(see also definitions below)

1. **Performance standards**—establishment of organizational or system performance standards, targets, and goals to improve public health practices.
2. **Performance measures**—development, application, and use of performance measures to assess achievement of such standards.
3. **Reporting of progress**—documentation and reporting of progress in meeting standards and targets and sharing of such information through feedback.
4. **Quality improvement**—establishment of a program or process to manage change and achieve quality improvement in public health policies, programs or infrastructure based on performance standards, measurements, and reports.

### The Four Components of Performance Management Can Be Applied to...

- Human Resource Development
- Data and Information Systems
- Customer Focus and Satisfaction
- Financial Systems
- Management Practices
- Public Health Capacity
- Health Status

A **performance management system** is the continuous use of all the above practices so that they are integrated into an agency's core operations (see inset above, right). Performance management can be carried out at multiple levels, including the program, organization, community, and state levels.

**Performance standards** are objective standards or guidelines that are used to assess an organization's performance (e.g., one epidemiologist on staff per 100,000 population served, 80 percent of all clients who rate health department services as "good" or "excellent"). Standards may be set based on national, state, or scientific guidelines; by benchmarking against similar organizations; based on the public's or leaders' expectations (e.g., 100% access, zero disparities); or other methods.

**Performance indicators** summarize the focus (e.g., workforce capacity, customer service) of performance goals and measures, often used for communication purposes and preceding the development of specific measures.

**Performance measures** are quantitative measures of capacities, processes, or outcomes relevant to the assessment of a performance indicator (e.g., the number of trained epidemiologists available to investigate, percentage of clients who rate health department services as "good" or "excellent").

**Performance targets** set specific and measurable goals related to agency or system performance. Where a relevant performance standard is available, the target may be the same as, exceed, or be an intermediate step toward that standard.

Source: Turning Point. *From Silos to Systems: Using Performance Management to Improve the Public's Health*, 2003.