

# OE ASSESSMENT PLAN PLANNING GUIDE

<b>PROJECT NAME:</b>	<Project Name>
<b>PREPARED BY:</b>	<Typically the Project Manager>
<b>DATE (MM/DD/YYYY):</b>	<Assessment Plan Last Modified Date>

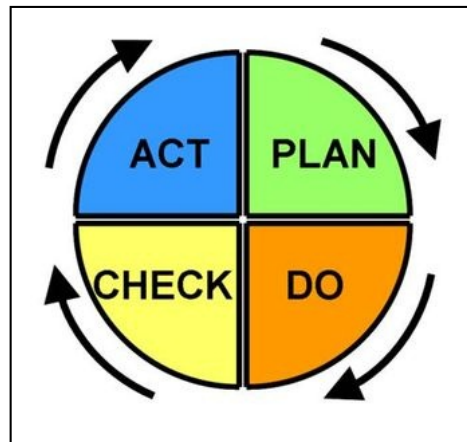
ASSESSMENT PLAN VERSION HISTORY		
VERSION	DATE (MM/DD/YYYY)	COMMENTS (DRAFT, SIGNED, REVISED – CURRENT STATUS)

## ASSESSMENT PLAN PURPOSE

The Assessment Plan documents a project’s approach to measure outcomes and align accountabilities for evaluating the success of a project and ongoing results delivered. Outcome focused delivery assessments keep us focused on our goals and provide feedback when corrective action may be required.

In a traditional “Plan, Do, Check, Act” cycle, the Assessment Plan plays a key role as we:

- **PLAN:** Formulate approach to achieve goals
- **DO:** Perform actions
- **CHECK:** Measure and assess results
- **ACT:** Take appropriate actions



## DOCUMENT PURPOSE

This Planning Guide is provided to OE project teams to stimulate thinking, organize thoughts, and provide a process to aid completion of the Assessment Plan matrix. Each OE project is required to complete and submit to the OE Program Office a completed Assessment Plan matrix using the template provided in **Appendix A**. Use and completion of this Planning Guide is optional.

Each project’s Assessment Plan is intended to focus on evaluation of the operational results or outcomes delivered by the project (e.g., more efficient processes, more satisfied customers, less cost) rather than an evaluation of project delivery (e.g., on time, on budget, to spec).

Once approved by the Project Sponsor and the OE Program Office, the Assessment Plan matrix is incorporated into the Project’s Executive Summary and submitted, through the Program Office, to the OE Executive Committee. Project assessment information will also be communicated to the campus via the OE website. Assessment Plans are available for public viewing. Material changes to the Assessment Plan matrix are subject to the review of the OE Program Office and, if necessary, approval of the OE Executive Committee.

The Assessment Plan and assessment results (both baseline and periodic) are tracked through each project’s OE monthly status report and financial report.

<b>REVIEW &amp; APPROVAL</b>		
<i>The Project Sponsor signature indicates approval of the Assessment Plan matrix, and authorizes the Project Manager/Team to use identified resources to proceed with its implementation.</i>		
<b>PROJECT SPONSOR(S) NAME</b>	<b>SIGNATURE</b>	<b>DATE</b>

## GETTING STARTED

As you begin to develop your Assessment Guide, review the OE PM101 Materials, Section 7 “Metrics.” There, you will find useful, practical advice based on the following principles:



## METRICS PRINCIPLES

### 1. START WITH GOALS

*Metrics should measure progress toward goals*

### 2. MEASURE KEY OUTCOMES

*Measure progress toward important outcomes, not just activity*

### 3. THINK HOLISTICALLY

*Address multiple facets of project performance, both financial and non-financial*

### 4. KEEP IT SIMPLE

*Relative ease in collecting and analyzing data*

### 5. FOCUS ON A FEW

*Limit to a representative set of metrics that monitor critical areas of performance*

### 6. DRIVE BEHAVIOR

*Metrics should drive behavior that helps get to the goal*

## Assessment Plan Overview

*How does a Project Team communicate its Assessment Plan?*

The document provides a step-by-step approach to completing the Assessment. The Assessment looks like this:

METRIC CATEGORY	SPECIFIC METRIC	DATA COLLECTION METHOD	DATA COLLECTION FREQUENCY	FUNCTIONAL OWNER OF DATA COLLECTION	PERSON RESPONSIBLE FOR DELIVERY OUTCOME	LARGER GOAL TO WHICH METRIC RELATES
②	②	③	④	⑤	⑥	①

In the following sections, each column is described and guidance for completion is provided:

- Goals: ①
- Key Outcome Measures: ②
- Data Collection Method: ③
- Data Collection Frequency: ④
- Functional Owner of Data Collection: ⑤
- Person Responsible for Delivery Outcome: ⑥

## Goals: Larger Goal to Which Metric Applies

*What does success look like?*

The OE program goals are to:

- Reduce annual administrative costs by at least \$75 Million
- Improve efficiency and quality of services
- Instill a culture of continuous improvement that leads to high quality performance and outcomes

A project's Assessment Plan establishes the measures for evaluating progress toward the project's goals as stated in the OE Resource Request Application (RRA) and the Project Charter. Typically, the project's goals draw down from the OE program goals.

The project goals are to:

Goal Number	Goal ①
1	• <goal 1>
2	• <goal 2>
3	• <goal 3>

Key Questions:

- Do the project's goals relate to the OE goals?
- Does each goal have at least one Key Outcome Measure?
- Are the stakeholders aligned around these goals?

## Key Outcome Measures: Metric Category and Specific Metric

*How will we know if a project has achieved or made progress toward a project goal?*

Key outcomes are the measures of progress toward achieving our goals. The measures help us to understand if we are achieving our goals, and provide a concrete way to assess progress. The measures provide the feedback (i.e., trends, variances) needed to determine what corrective, if any, need to be taken.

Key Outcomes can be measured in variety of ways:

Metric Category ②	Goal Number (from above)	Specific Metric Number	Specific Metric ② (Examples: complete with your project's key outcome measures)
Financial			• the cost of electric is reduced by x%
Operational			• time spent delivering service x is reduced by y%
Product and Service Quality			• customer inquiries are answered within x hours
Public Responsibility			• greenhouse gas emissions are reduced by x% between year 1 and year 2, and by x% between year 2 and year 3
Employee Satisfaction			• voluntary turnover is no greater than x%
Customer Satisfaction			• 80% or more of customers responding that the x department meet or exceeded expectations
Supplier Performances			• over 90% of orders filled by office product vendors are delivered to campus with X days.

Notes:

- There is not necessarily a one to one relationship between goals and key outcome measures. One goal may have several measures; and it is conceivable that one key outcome measure could address more than one goal.
- Each goal must have at least one key outcome measure. A goal can have more than one measure.
- It is not necessary to use every performance dimensions.
- A project does not have to have a measure for every Performance Dimension category; target those that are most relevant.

Questions to consider:

- Are the measures focused on the operations results of the projects, rather than project delivery metrics?
- Can the measurement be performed in a reasonable direct and non-onerous way?
- Do the metrics drive appropriate behavior?
- Can they inadvertently promote undesirable behavior? If so, how will you mitigate this?
- Are the measures focused on outcomes rather than activity?
- Do the measures address both financial and non-financial facets of results delivery?
- Does a positive result mean that campus is better off?

## DATA COLLECTION METHOD

*How will we collect data to evaluate achievement or progress toward the key outcome?*

For each key outcome measure, determine the right data to use and how you will collect it.

Specific Metric Number (from above)	Data Collection Method ③	Data Collection Method Narrative, using the questions below as guidance
	•	•
	•	•
	•	•
	•	•

- Data Collection Methods:
  - Survey
  - Report
  - Manual / Observation

Use the questions and considerations, below to help formulate your thinking, and to complete the Data Collection Method and Narrative, above.

- For a Survey
  - Why would it be useful to gather input/data?
  - What questions does the survey need to answer?
    - What are the survey questions? (e.g., What is the user experience? What are the adoption rates? Who continues to do things the old way? Why?)
  - Is it worth collecting the input/data?
    - Relevant to the service being assessed?
    - Possible to collect timely and accurate input/data?
    - Efficient—the impact of the potential improvements is greater than the resources needed to gather the input/data (is the juice worth the squeeze)?
    - Usable—the data needs to be interpretable and provide people with information for making decisions

- How can the input be gathered to answer our questions/achieve the objectives?
  - Is there existing data or surveys—reports, database information, etc. (secondary data)
  - What is the nature of the survey? Primary data (observations, interaction , written and verbal feedback)
  - Who will create the survey?
  - What technology will be used to collect answers?
  - What populations will be surveyed? How many people will be surveyed?
  - Do other projects have similar needs for the same populations? Is there an opportunity to collaborate?
  - Do I need to employ rigorous statistics to evaluate significance?
  - How many survey responses are required to achieve significance?
  - Has a baseline been established? When will the baseline be established? What is the baseline?
  - Do we have performance targets? What are the performance targets? Do the performance targets vary over time?
- What will be done with the data that is collected? Who will do it? By when?
  - Data analysis
  - Recommendations
  - Inform decisions
  - Actions
- Report
  - What systems or databases have the data?
  - Is there an existing report that provides the measures?
  - Who will create the report?
  - Do I need to employ rigorous statistics to evaluate significance?
  - Has a baseline been established? When will the baseline be established? What is the baseline?
  - Do we have performance targets? What are the performance targets? Do the performance targets vary over time?
- Manual / Observation
  - Does the key outcome measure require some sort of field observation such as evaluating time and motion of a work task?
  - What specific processes will be observed?
  - Have specific guidelines for the observations been documented?
  - Who will be observed?
  - Who will do the observing?
  - How will the observations be captured?
  - Has a baseline been established? When will the baseline be established? What is the baseline?
  - Do we have performance targets? What are the performance targets? Do the performance targets vary over time?
- Overall, keep it simple:
  - Do the best you can (in current data environment).
  - Use already-collected data (when possible).
  - Avoid non-value-added data gathering and calculations.
  - Know when your data is “good enough”.

## DATA COLLECTION FREQUENCY

*How frequently will we collect data to evaluate to measure the key outcome?*

Once a baseline measurement has been performed, determine how frequently follow-up measurements will be performed.

Specific Metric Number (from above)	Data Collection Frequency ④	Data Collection Frequency Narrative, using the questions below as guidance
	•	•
	•	•
	•	•
	•	•

Use the questions, below, to help formulate your thinking, and to complete the Data Collection Frequency and Narrative, above.

- When will the baseline be established?
- When do you expect to achieve benefits? What are the stakeholders' expectations of being able to see progress?
- When should 1<sup>st</sup> post-baseline measurement be performed?
- How frequently will things change? How observable will the changes be?
- Are the changes tied to financial report periods?
- Will the measurements drive actions, and will such actions need to be implemented at specific points in time? (For example, could the actions influence the yearly budgeting process?)
- What is the cost / benefit of the measurement?
- Are there other projects performing measurements with whom we should coordinate?



## FUNCTIONAL OWNER OF DATA COLLECTION

*Who has primary responsibility for collecting the data?*

Specific Metric Number (from above)	Functional Owner of Data Collection ⑤
	• <name, title>
	•
	•
	•

The functional owner of data collection is responsible to:

- Establish the data collection assessment instruments. This may include preparing a survey, commissioning IST to develop reports, and defining time and motion studies.
- Perform the baseline assessment and follow up assessments based upon the defined frequency.
- Analyze and interpret the results
- Deliver the results to the “Person Responsible for Delivery Outcome”

Use the questions, below, to help formulate your thinking about who is to be named Functional Owner for Data Collection, above.

- Does the Functional Owner have the skills and abilities to perform this task?
- Does the Functional Owner have an interest in taking on this responsibility?
- Has the named Functional Owner agreed to take on this responsibility?
- What steps do you need to take to name a Functional Owner with the skills and abilities, the interest, and the agreement to take on this role? Is this an opportunity to coach your intended Functional Owner; or do you need to find someone with these characteristics?

If the intended Functional Owner does not have the skills, abilities, interest, or provided agreement to take on this responsibility, you need to find someone with these characteristics. Seek out your Program Sponsor should you need help to identify and enlist the Functional Owner of Data Collection.

## PERSON RESPONSIBLE FOR DELIVERY OUTCOME

*Who has primary responsibility for delivery outcomes and taking appropriate action when results fall short of expected outcomes?*

Specific Metric Number (from above)	Person Responsible for Delivery Outcome ⑥
	• <name, title>
	•
	•
	•

The person responsible for delivery outcomes is responsible to:

- Authorize the Assessment Plan matrix measurement item and evaluate the delivery outcomes (and corrective actions, when necessary).
- Authorize resources to work at the direction of the Functional Owner for Data Collection.
- Authorize the data collection assessment instruments.
- Review the results the baseline assessment, and authorize the results as valid.
- Review the results of follow-up assessments and develop appropriate correct actions, where needed
- Authorize resources to implement the correct actions to achieve the goals.

Use the questions, below, to help formulate your thinking about who is to be named Person Responsible for Delivery Outcome, above:

- Does the person responsible for delivery outcomes have the authority perform this task? It is important the Person Responsible has the authority to take appropriate action in cases where the results vary from the expected goals. Ensure that your Program Sponsor and the leadership spine are in alignment that the Person Responsible has such authority; or is empowered with such authority; or, otherwise seek another person.
- Does the Person Responsible have an interest in taking on this responsibility? How can you create an interest? If this is the right individual to take on this role, who can help you to create the interest?
- Has the named Person Responsible agreed to take on this responsibility? How will you motivate the person to take on this responsibility? Are there others who can help you with this?

If the intended Responsible Person does not have the authority, the interest or provided agreement to take on this responsibility, you need to find someone with these characteristics. As with the Functional Owner, seek out your Program Sponsor should you need help to identify and enlist the Person Responsible for Delivery Outcome.

**APPENDIX A: PROJECT ASSESSMENT PLAN [Delete rows/sections not used]**

METRIC CATEGORY	SPECIFIC METRIC	DATA COLLECTION METHOD	DATA COLLECTION FREQUENCY	FUNCTIONAL OWNER OF DATA COLLECTION	PERSON RESPONSIBLE FOR DELIVERY OUTCOME	LARGER GOAL TO WHICH METRIC RELATES
<b>FINANCIAL PERFORMANCE</b>						
<b>OPERATIONAL PERFORMANCE</b>						
<b>PRODUCT/ SERVICE QUALITY</b>						
<b>EMPLOYEE SATISFACTION</b>						
<b>CUSTOMER SATISFACTION</b>						
<b>PUBLIC RESPONSIBILITY</b>						
<b>SUPPLIER PERFORMANCE</b>						

