

Improve Program Results by Linking Planning and Performance

NOAA Evaluation Committee
NOAA Library “Brownbag” Series

Part 1, Primer, April 29, 2013

Part 2, Toolkit, May 7, 2013

Welcome to Part II: Toolkit

Define...“success” for **your** program

Conserve...what **already** works

Scan...goals for clear, valued, outcomes (priorities?)

Produce...results that **impact** the public

Innovate ...strategic decisions for **excellence**

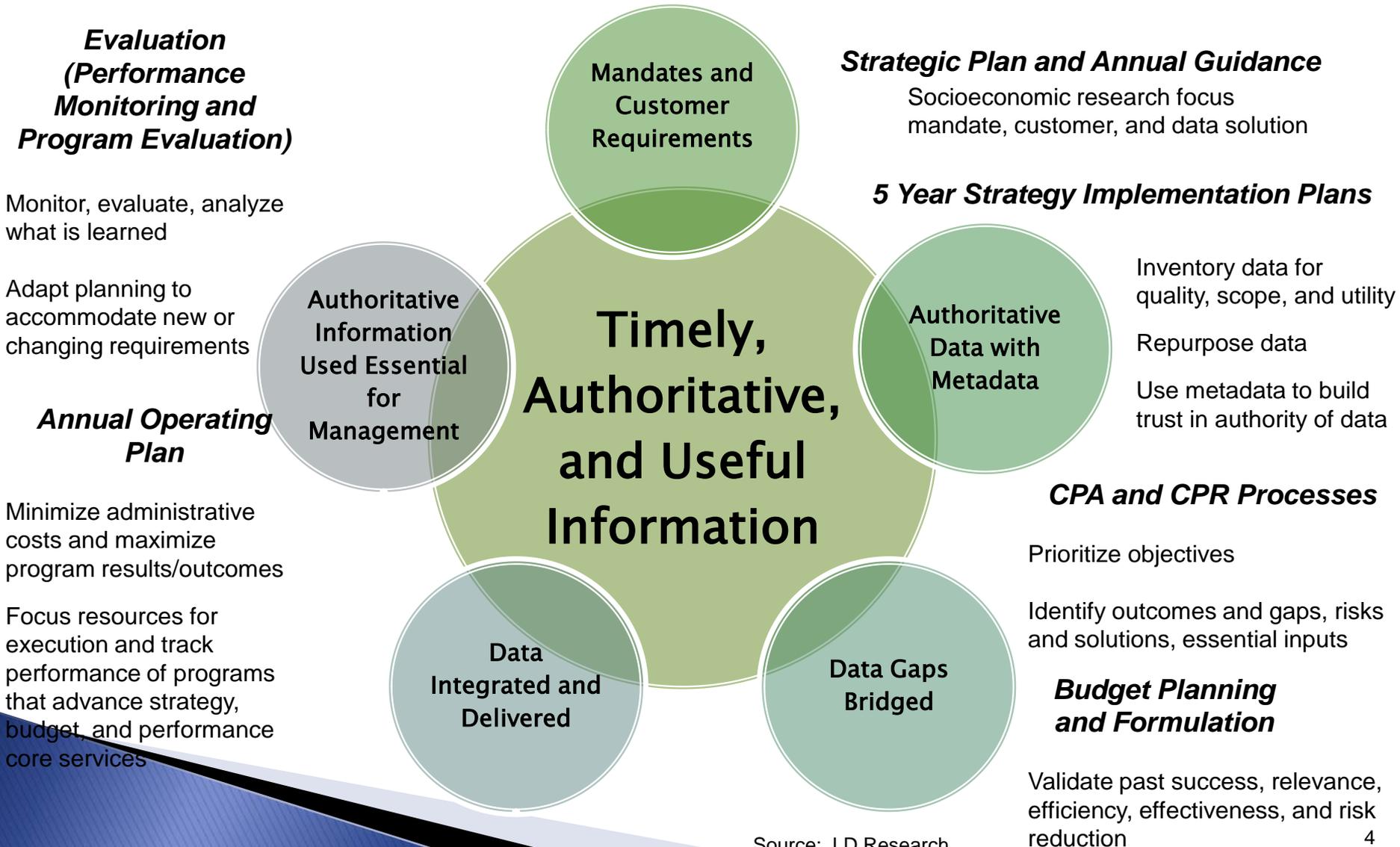
Share...best practices in the end-to-end cycle

Reality Check: Where VISIONS Overlap Among Strategy/Budget/Performance



Resilient Communities, Ecosystems, and Economies

Accurate, Accessible, Applicable Performance Data for Management Decisions



Understanding: Tools That Can Help

- ❖ Strategic Plans – steadfast vision for alignment / reference target
- ❖ Logic Models – enable “Line of Sight” for performance
- ❖ Process mapping – helps identify gaps in systems/supply chains
- ❖ S.M.A.R.T. objectives and metrics – capture data for decisions
- ❖ Investment strategy and deliverables – “core/above core” needs
- ❖ IT system – access to performance data for communications
- ❖ Perf/Mgt Maturity Model – “compliance” to assimilation of tools
- ❖ OPM GPRA MA-required competencies – training soon provided

Linear View of Performance Measures

Investment to result

OUTPUTS

Results to outcome

OUTCOMES

One of many outcomes to impact

VISION GOAL

> Specific Measurable Achievable Realistic Time Bound <

Strategy implementation measures track strategic success: “progress to plan”

Operations measures or milestones track execution via “bottom up” planning and management

Vision Outcome Measure

Shared “System” Outcome Measures

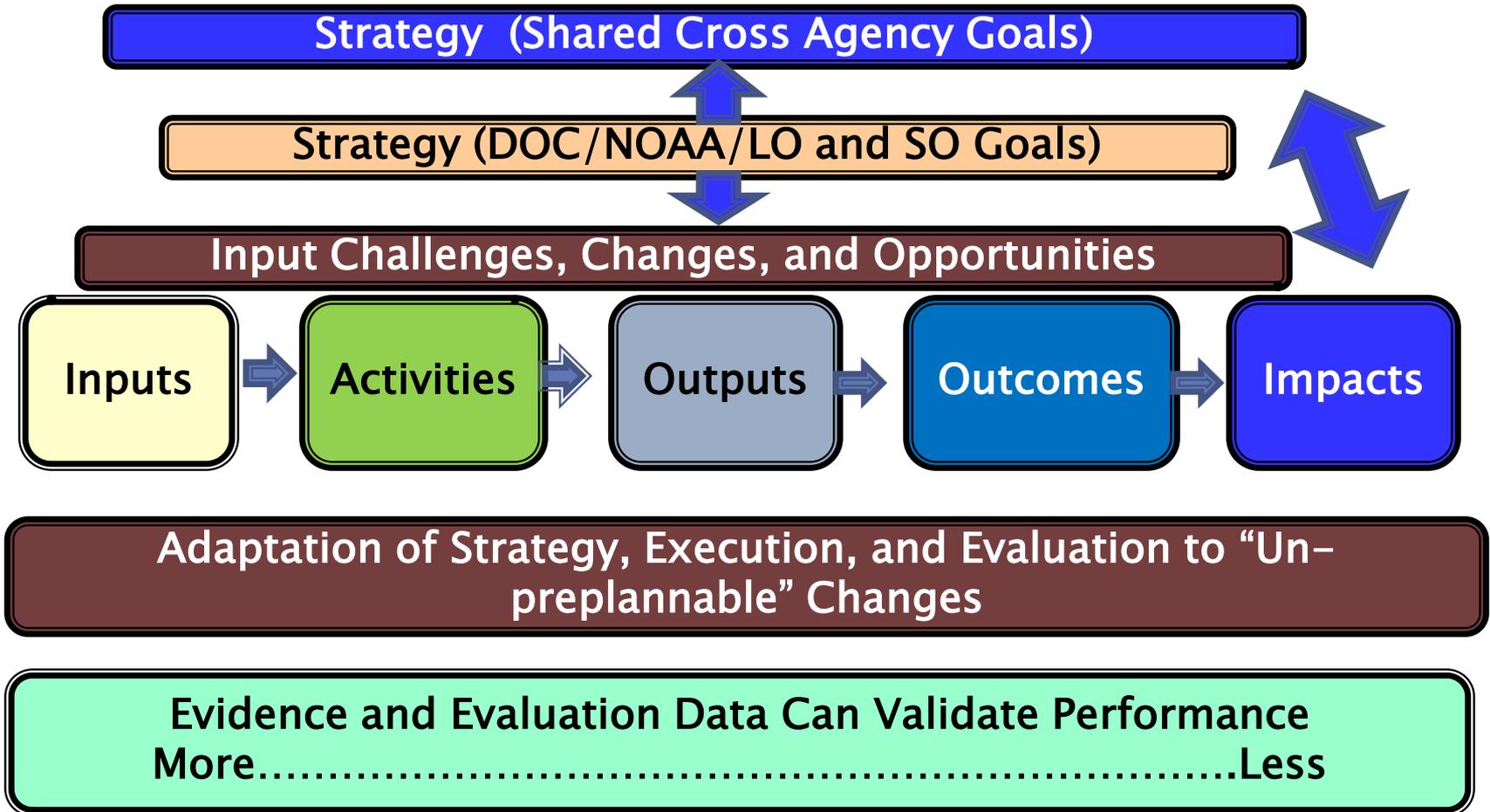
NOAA Contributing Outcome Measures

Larger Output Measures

Output Measures

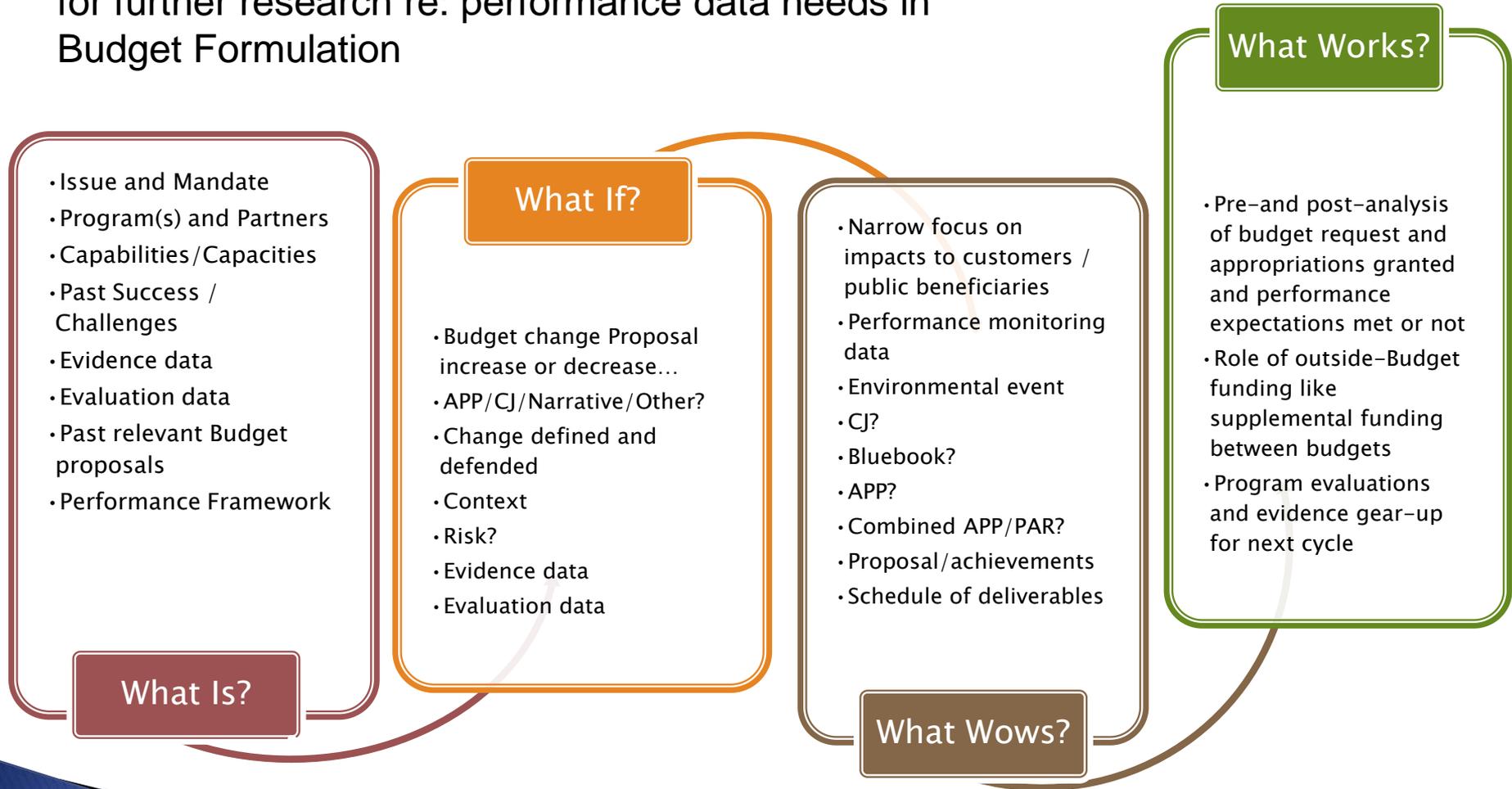
AOP Execution Focus “metrics” track progress in achieving outcomes/impacts that advance current strategic goals and objectives and operational imperatives

Logic Models to Plan, Monitor and Evaluate



Drafting Questions Re: Performance Data for Budget

This simple framework (DRAFT EXAMPLE) lists items for further research re: performance data needs in Budget Formulation



Guidance in OMB Circular A-11

Re: Budget Performance Data

- **Frequency** – what is needed for meaningful data?
- **Time** – is that a factor in gathering or analyzing data?
- **Users** – who needs the data to learn, improve performance, make decisions, and why?
- **Format** – what will work best for presentation and use?
- **Methods** – what method for gathering or analyzing the data can help its future use and allow improvements?
- **Context and Analysis** – what needs to be analyzed or evaluated to make decisions or improve performance?
- **Cost** – What is the burden before getting the data and putting it to good use?

GAO: Questions to Assist Congress Focus on Key Issues

Topic 1: Long-term and Annual Goals

- 1.1. Are the agency's goals and priorities **consistent with those of Congress**? If not, why do differences exist and can they be resolved?
- 1.2. Do long-term goals cover NOAA's **major functions and activities**?
- 1.3. Are long-term goals **expressed in a manner that will allow the agency and Congress to assess whether the goals are achieved**?
If not, is the relationship between long-term goals and annual goals clearly articulated to allow for progress to be gauged?
- 1.4. Are goals adequately **aligned** with other Federal efforts, such as NOAA's contribution to **any crosscutting goals** or related efforts at other agencies?

GAO: Questions to Assist Congress Focus on Key Issues

Topic 2: Strategies and Resources

- 2.1. Are long-term and annual goals **realistic given current and expected resources**?
- 2.2. Are **strategies clearly linked** to goals? Are outlined strategies the most effective and efficient approaches?
- 2.3. Does NOAA identify **internal/external partners**, programs, and activities contributing to goals? Are there other Federal contributors?
- 2.4. Does the plan reflect coordination or strategies for working with other agencies as appropriate? If so, how are agencies working together to ensure **scope is appropriate**, and not duplicated elsewhere?

GAO: Questions to Assist Congress Focus on Key Issues

Topic 3: Measuring Performance

- 3.1. How does or will NOAA measure progress toward goals? In measuring progress, does NOAA measure various aspects of its performance—such as **cost, customer satisfaction, efficiency, outputs, outcomes, quality, and timeliness—to provide balance among competing demands?**
- 3.2. Has NOAA been meeting established performance targets? If not, are the **targets realistic** and what actions are being taken to meet future targets?
- 3.3. Does NOAA provide sufficient information on the validity and accuracy of its performance measures and data to ensure that reported results will be useful for Congressional decisions? Would additional information or actions improve its usefulness?

GAO: Questions to Assist Congress Focus on Key Issues

Topic 4: Reporting Results

- 4.1. What steps does NOAA take to ensure that Congressional **decision makers are aware** that performance results are available?
- 4.2. Does the **timing and format** of performance reporting align with Congressional needs?
- 4.3. Would it be useful for interested parties in Congress to receive any of NOAA's **performance data more frequently** or in different formats than NOAA is currently reporting them?

Monitor and Evaluate Template DRAFT

Section I Performance Management Plan Agreement for:

| | |
|---|--|
| Issue Description | |
| Driver(s) for this Plan | |
| Goal and Enterprise Objectives | |
| Implementation Plan Links with Details | |
| Effective Date: October 1, 201_ | |
| Approval: | |

Section II

| Line or Staff Office(s) & Program Office Managing IP and AOP | Executing Office(s) <i>(Specific Lab, Center, or Division)</i> | Integrated Planned Activities <i>Details in Relevant IPs</i> | Outputs <i>(Products, services, and actions contributing to major milestone)</i> <i>Details in Relevant IPs and LO/SO AOPs</i> | Major Milestones <i>Details in NOAA AOP</i> | Performance Measures <i>Linked to Relevant IPs and AOPs*</i> | Status <ul style="list-style-type: none"> • <i>Consequence if not met: 1-5 (5 most negative)</i> • <i>Likelihood of not being met 1-5 (5 least likely to be met)</i> | Budget Commitment Intentions <i>FY 14 Base (Y or N) Increase__ (Y or N)</i> <i>FY 15 Base__ (Y or N) Increase__ (Y or N)</i> <i>FY 16 Base__ (Y or N) Increase__ (Y or N)</i> | Staff Accountable |
|--|--|--|---|---|--|--|---|--------------------------|
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*Events that were unexpected and catastrophic may or may not engender the need for related performance measures.

References

GAO – April 2013

Managing For Results

[Agencies Should More Fully Develop Priority Goals under the GPRA Modernization Act](#)

GAO-13-174, Apr 19, 2013

Managing For Results

[Agencies Have Elevated Performance Management Leadership Roles, but Additional Training Is Needed](#)

GAO-13-356, Apr 16, 2013

Science, Technology, Engineering, and Mathematics Education

[Government wide Strategy Needed to Better Manage Overlapping Programs](#)

GAO-13-529T, Apr 10, 2013

Government Efficiency And Effectiveness

[Opportunities to Reduce Fragmentation, Overlap, and Duplication and Achieve Other Financial Benefits](#)

GAO-13-496T, Apr 9, 2013

OMB -- WEBSITE

www.performance.gov – April/May 2013

See May 15, 2013 CAP Goal Quarterly Performance Updates for OMB review at www.goal.performance.gov

Other than GPRA MA

- **Clinger-Cohen Act**, agency heads (capital planning process) under OMB must “analyze the missions of the executive agency and, based on the analysis, revise the executive agency's mission-related processes and administrative processes, as appropriate, before making significant investments in information technology to be used in support of those missions.”
- **Chief Financial Officers (CFO) Act of 1990** requires the head of each of the 24 executive agencies to prepare and submit to the Director of OMB audited financial statements
- **Chief Human Capital Officers Act of 2002** tasked each Chief Human Capital Officer (CHCO) with “aligning the agency’s human resources policies and programs with organization mission, strategic goals, and performance outcomes.”

Adaptive Change Versus Technical Change

Harvard University (Business and Government) Train Nonprofit Executives to

- ▶ *Align organization's mission, strategy, and internal performance*
- ▶ *Strategically apply organizational performance management*
- ▶ *Assess and respond to external demands for accountability*
- ▶ *Implement exemplary approaches to measure organizational performance*
- ▶ *Institute and sustain organizational performance measurement systems*

“Every day people have problems for which they do, in fact, have the necessary know-how and procedures. We call these technical problems. But there is a whole host of problems that are not amenable to authoritative expertise or standard operating procedures. They cannot be solved by someone who provides the answers from on high. We call these adaptive challenges because they require new experiments, new discoveries and adjustments from numerous places in the organization or community. Without learning new ways – changing attitudes, values and behaviors – people cannot make the adaptive leap necessary to thrive in new environments. The sustainability of change depends on having the people with the problem internalize the change. “

Dr. Ron Heifetz and Dr. Marty Linsky, 2002

Thanks

- ▶ Questions?
- ▶ Your response to the survey will inform future training needs, improvements, and recommendations.