

# 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 I: Primer

## Continue with Part II: Toolkit

**Learn...** Useful principles/tools **to improve program results** via planning and performance management

**Why Now...** GPRA Modernization Act Implementation (see OMB Circular A-11) is a stronger framework to encourage performance information use

**OMB Expects...** Agencies to improve performance through networks and...adapt performance systems to make strategic choices <http://goals.performance.gov/videos-and-feature-stories/shaun-donovan-secretary-department-hud>

*Clear Goals*  
*Performance Improvement*  
*Data-Driven Reviews*  
*(Source: OMB's performance.gov)*

# Example: Mature Strategic Management Model

Level 1: Leadership

Level 2:  
Culture and Values

Level 3:  
Strategic Thinking and Planning

Level 4:  
Alignment

Level 5:  
Metrics

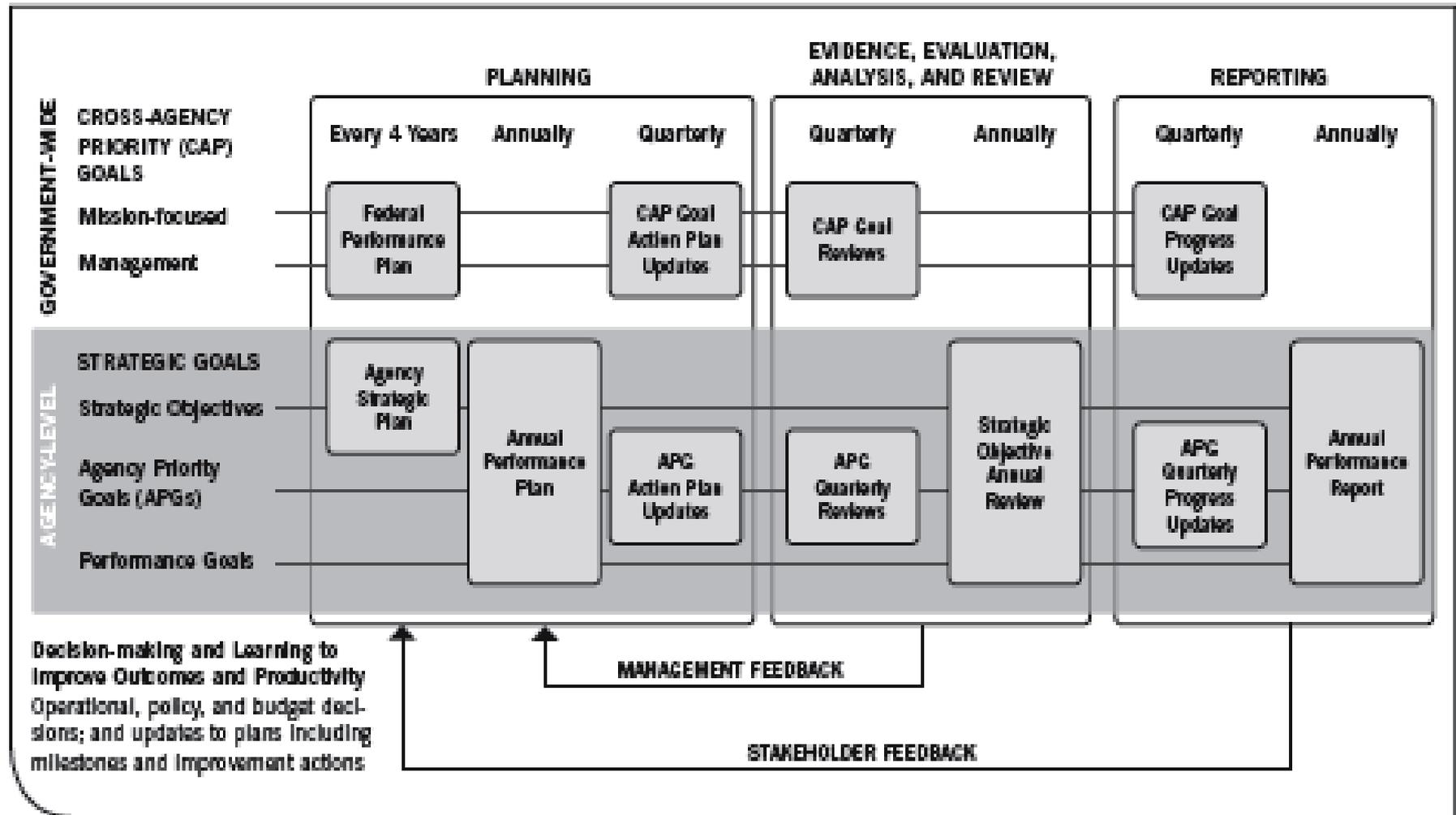
Level 6:  
Performance  
Management

Level 7:  
Process  
Improvement

Level 8: Sustainability of Strategic Management

# Validated Performance and Investment Strategy

Figure 1: OMB's New Performance Management Framework



Source: Office of Management and Budget

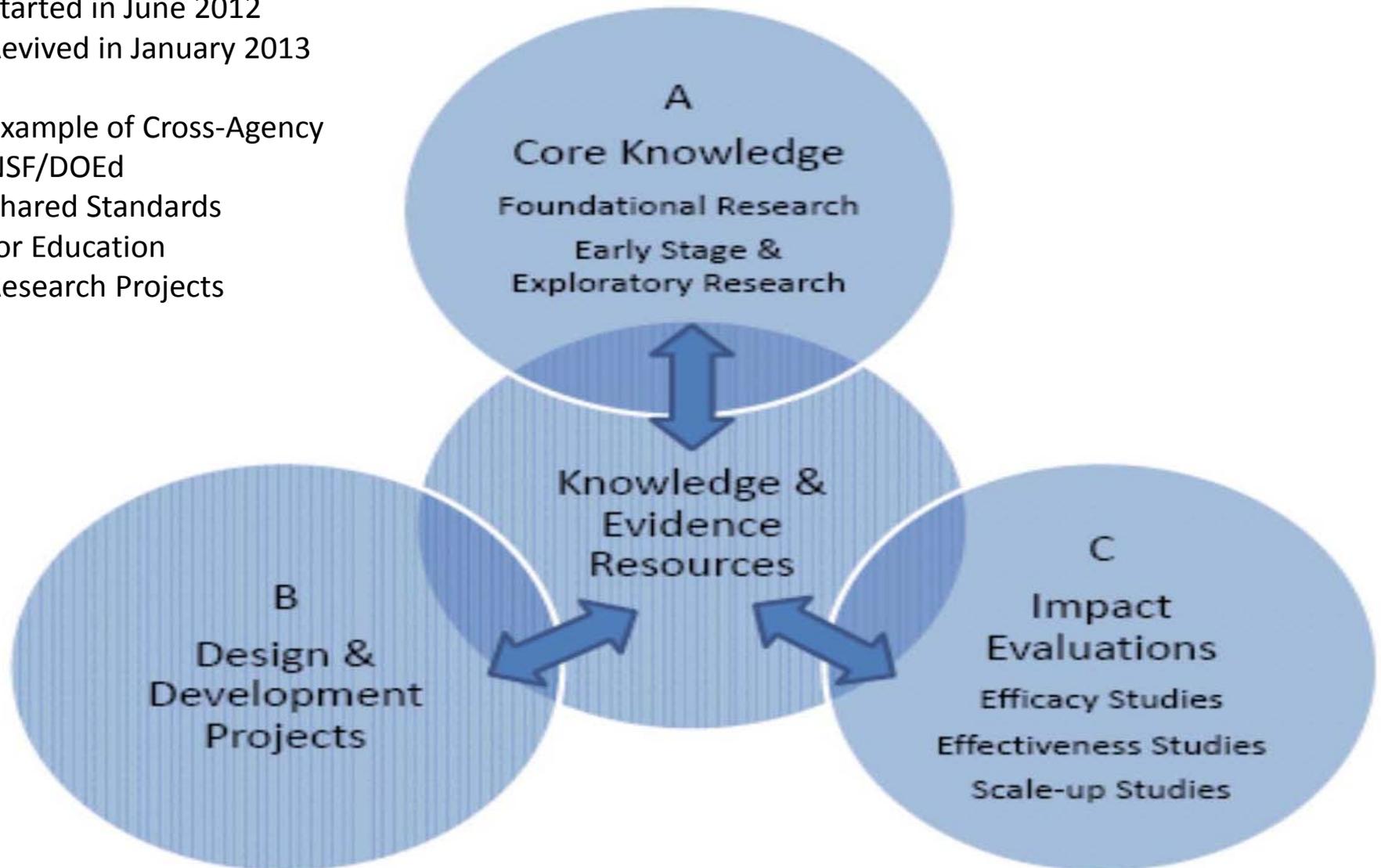
# New OMB Evaluation Working Group

## Focus: How to Use Evidence and Evaluation Data

Started in June 2012

Revived in January 2013

Example of Cross-Agency  
NSF/DOEd  
Shared Standards  
for Education  
Research Projects



# GPRA MA-Inspired Milestones Since 2011

- ▶ **OMB: Circular A-11** implements GPRA MA
  - Changes to Strategic Plans, Budget, and Performance Management
  - Strategy Markup Language (Strat ML and possible ISO standard) common definitions of strategic hierarchy terms)
  - Agency at [www.performance.gov](http://www.performance.gov) and cross-agency at [www.goal.performance.gov](http://www.goal.performance.gov)
- ▶ **OMB Evaluation Working Group:** MAX Community re: evidence and evaluation data in Budget
- ▶ **DOC:** Balanced Scorecard, Program Evaluation and Risk Management and Performance Excellence, Strategic Plan update; risk management process; outreach and education; evaluation handbook
- ▶ **NOAA:** SEE/CFO Councils: evaluation web online resources and evaluations, training, NAO Handbook, GPRA MA outreach, PIC engagement; SEE changes; NGSP Progress to Plan, NGSP2

# Department of Commerce Performance Excellence Program Vision

- ▶ **Useful dashboard of metrics** guides operations
- ▶ **Process management** and improvement
- ▶ Tactics informed by **analytics**
- ▶ **Evaluation** informs program design
- ▶ Continuous **learning**
- ▶ **Engaged employees**

# Planning and Performance Interrelated Management Deliverables Within One Year

- ▶ FY 2015 Budget Formulation may have the Annual Performance Plan (APP) and Performance and Accountability Report (PAR)
- ▶ Next Generation Strategic Plan (NGSP) Progress to Plan (P2P); strategic annual reviews under GPRAMA
- ▶ P2P research for NGSP Reform informing Annual Guidance Memorandum, Implementation Plans, refined and new metrics and other innovations
- ▶ Final FY 2013 Annual Operating Plan (AOP), end of year reviews
- ▶ Performance plans and draft FY 2014 AOP
- ▶ Cross-agency goal selection for FY 2015

# Performance Management Indicators of Maturity

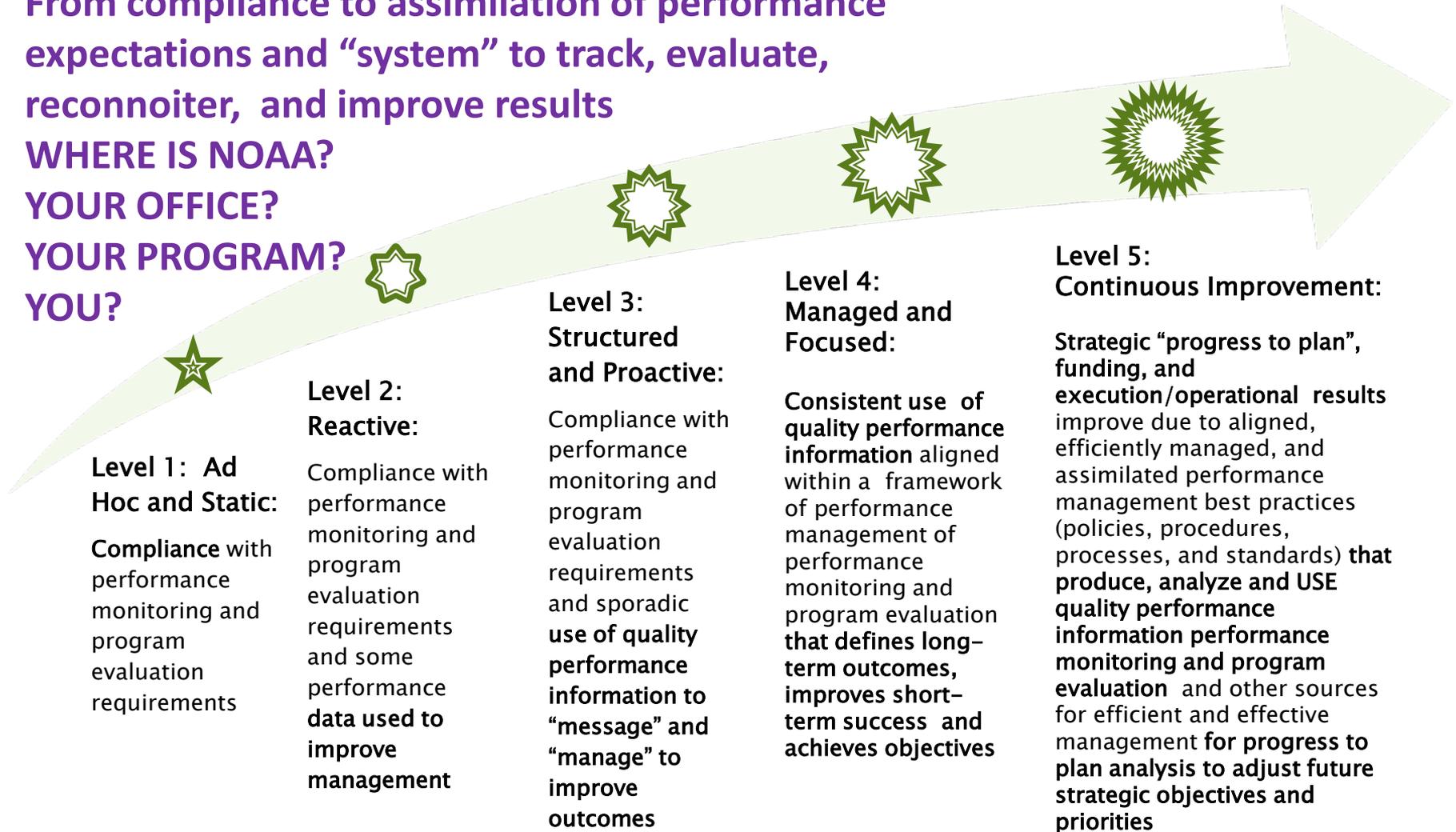
From compliance to assimilation of performance expectations and “system” to track, evaluate, reconnoiter, and improve results

WHERE IS NOAA?

YOUR OFFICE?

YOUR PROGRAM?

YOU?



# Where Are We Now?

- ▶ Declining or flat budgets
- ▶ More competition for funds
- ▶ Clear goals/priority objectives needed for effective PM
- ▶ Administration losing staff while demands increase
- ▶ ROI for performance management - known but culture change - hard
- ▶ Line of sight planning - effective
- ▶ Aligned PM system (like with communications) – social media impacts
- ▶ Progress to Plan analysis inform changes to outcomes/measures needed
- ▶ OMB/DOC/NOAA get “it”, but alas no “one size fits all” PM solution
- ▶ Retool and use technology
- ▶ Foundation of prior PM success

# Assimilated Performance Management for Improved Results

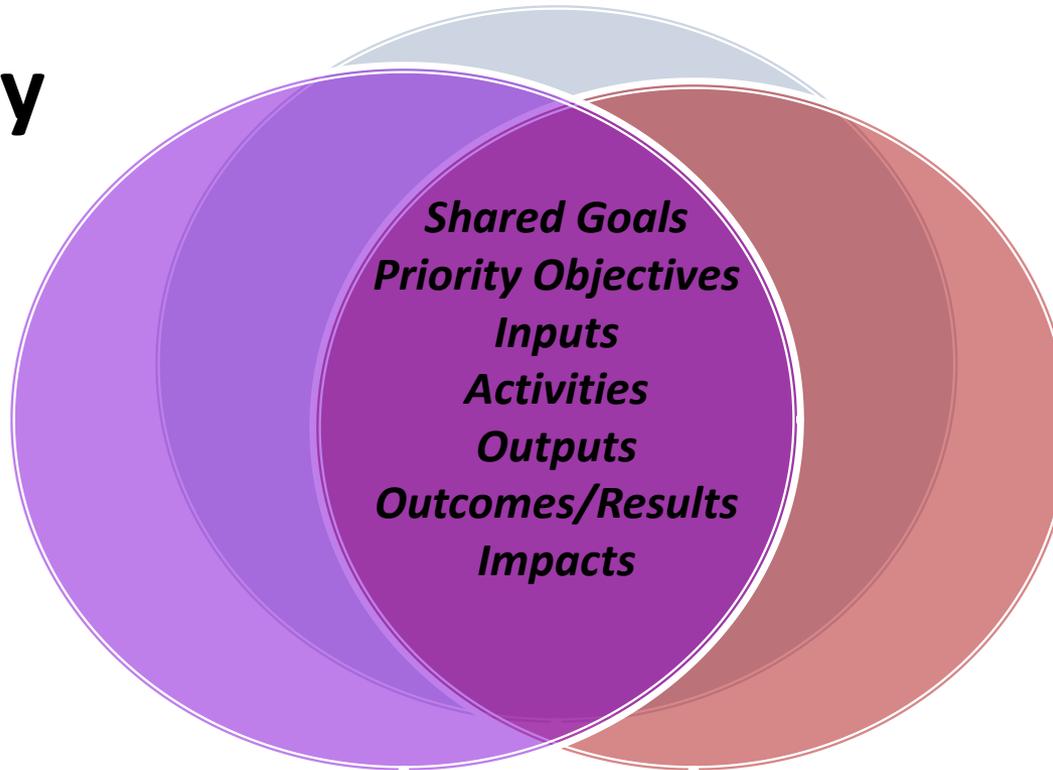
1. Know your program and its “delivery” model
2. Map key processes
3. Determine “success” from overlap of views
4. Plan and align with known SWOT
5. Perform and monitor indicators
6. Evaluate and report operational and strategic gains
7. Use data to learn and improve
8. Review strategy annually and clarify priorities

# Performance Management

## Alignment of Strategy, Budget, and Performance

**Strategy**

**Budget**



**Performance**

# Reality Check:

## Linking Planning and Performance Management

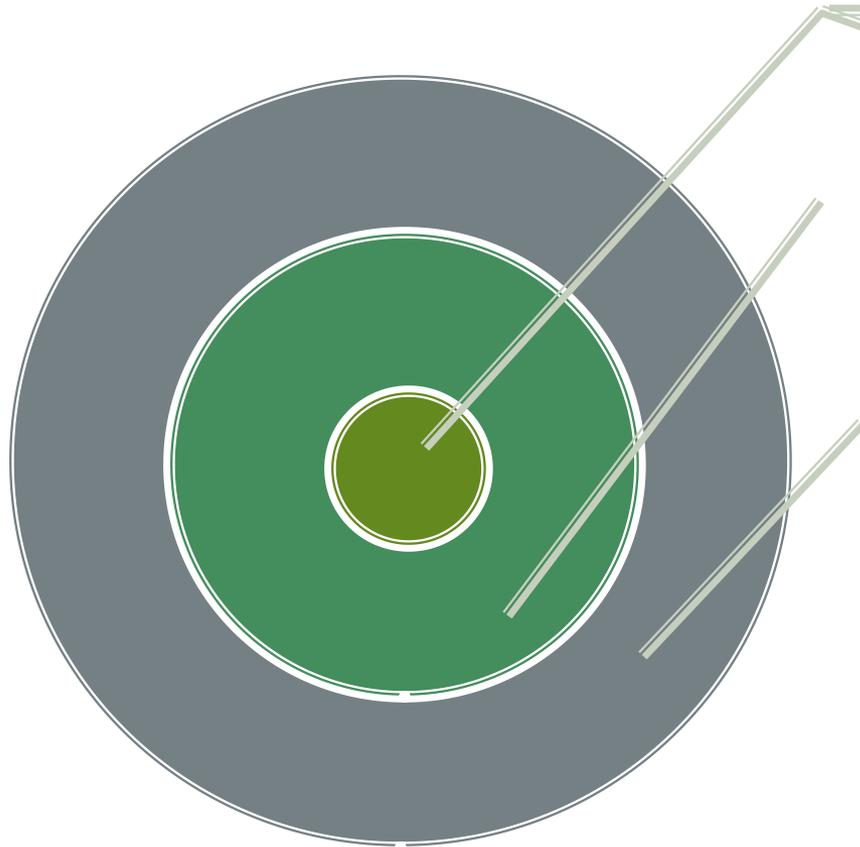
- ▶ Know Vision/Mission and **Big Picture**
- ▶ **Identify Potential Failures**...Inputs, Processes, Outputs and Outcomes
- ▶ Find **Performance Gaps/Deficits** and Set Targets (to Close Them)
- ▶ **“Communicate”** How Meeting Target Achieves the Vision/Mission
- ▶ **Analyze Results** and Make Them **Transparent**
  1. Analyze many diverse indicators to determine (if) performance strategy is...furthering...mission
  2. Learn from results...act...modify to ratchet up performance\*

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



# Reality Check: Different Views of Success Are Challenging and Rewarding

What is SUCCESS? 3 or More Views of “Progress” to “Plan” Fictional Case



Chesapeake Bay Acres characterized for marine planning Pres Bud for FY 14 and out-years through FY 2019

**President’s Budget target: 25 acres per year**

**Performance target** (execution office stretch target for execution year): 50 acres per year

**Strategic target** (strategy lead and objective lead target (if validated requirements are known per year): 100 acres per year

# Reality Check: How to Graphically Tell Our Performance Story in a Visual World

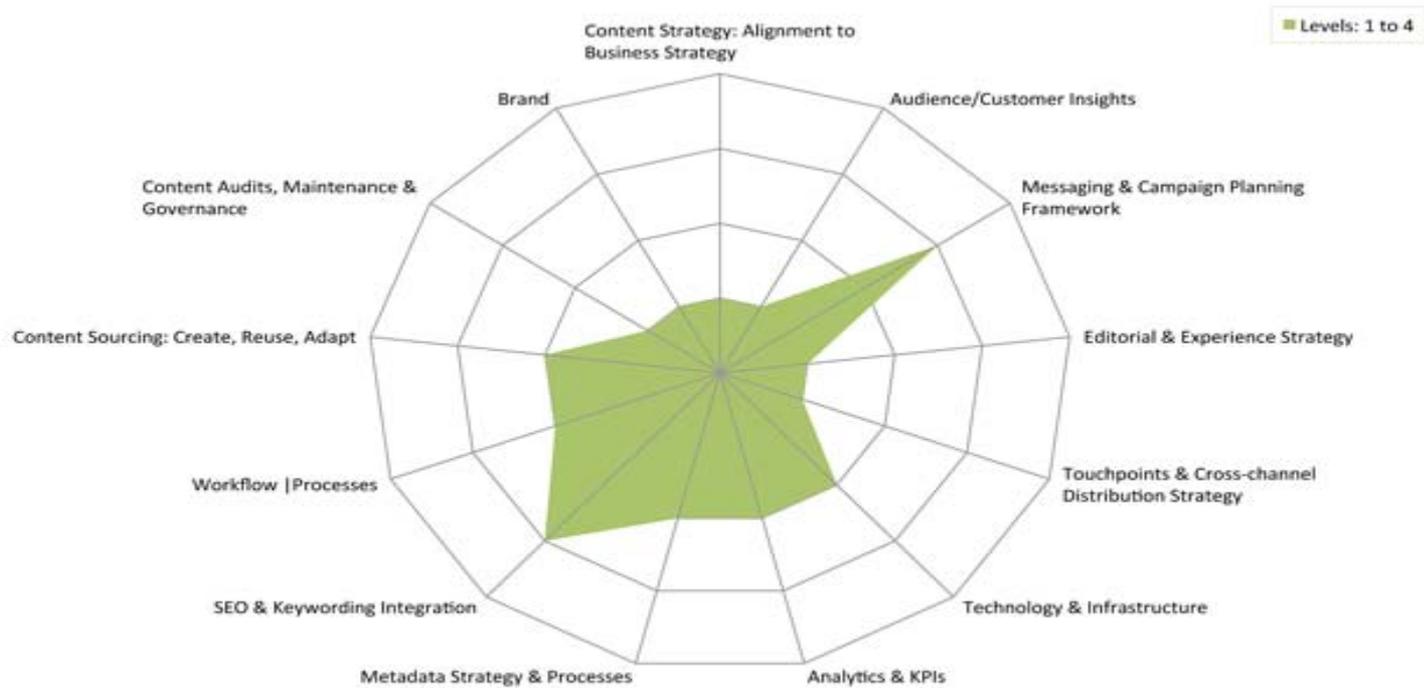
## What is a Performance Deficit Measure? With 3 or More Views of

**“Progress” to “Plan”** Imagine measuring the strategic objective of acres being reduced and resources outlined to achieve the strategic goal (a quantitative view of risks, socioeconomic studies and more. Can this aid planning with realistic views of performance needs in addition to performance goals met?



# Example: Strategic and Operational Performance Visualized

## Content Strategy for Marketing Maturity Model



# Understanding: Federal Best Practices and Principles That Can Help

1. Understand performance drivers/requirements
2. Set clear performance goals
3. Prioritize objectives
4. Plan evidence of progress
5. Set “goals” and track with metrics - valued and used
6. Set goals across agencies in sync with “system” needs
7. Create systems of performance management, learning, and reform

# Understanding: Tools That Can Help

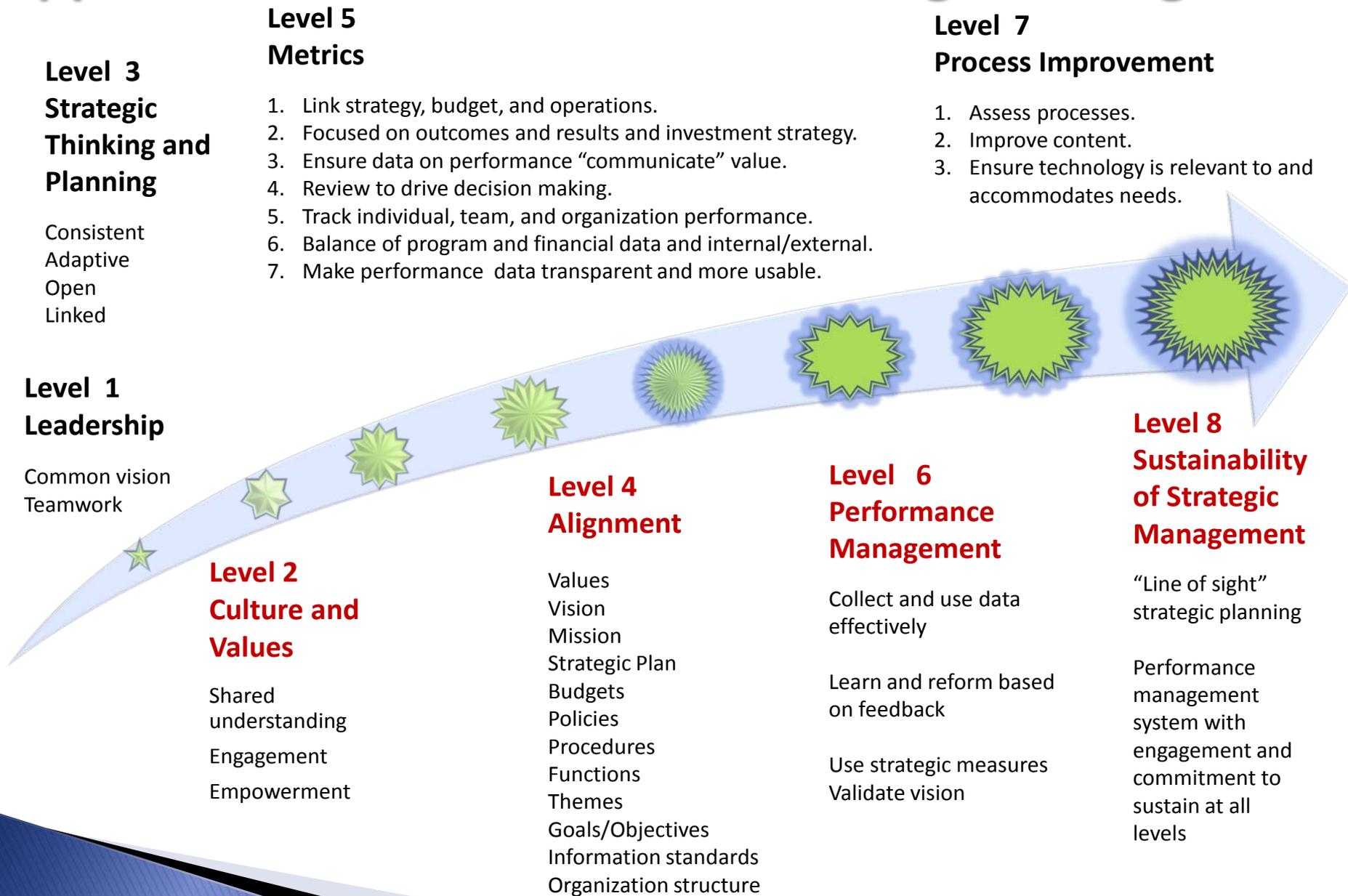
- ❖ Strategic Plans that serve as vision for alignment
- ❖ Logic Models that enable a “Line of Sight” for performance
- ❖ Process mapping to identify gaps in systems/supply chains
- ❖ S.M.A.R.T. objectives and metrics as well as other sources of performance data captured and used for decision making
- ❖ Investment strategy and deliverables serving “core/above core” needs
- ❖ IT system access to performance data for communications value
- ❖ Performance Management assimilated into management for results
- ❖ GPRA MA-required competencies valued and training provided

# Thanks

- ▶ Questions?
- ▶ Recommendations?
- ▶ Specific focus areas for May 7?

# Background Slides: Detailed for Part I

# Appendix: Model for Mature Strategic Management



# “Ideals” Realized in Some NOAA Programs With A Mature Performance Management System

- Strategic plan – Agency vision
- Annual Guidance Memorandum – Administration Priorities
- President’s Budget – President’s Vision
- Budgets demand efficient and effective compliance with performance management requirements
- Performance monitoring and evaluation produces data that is used to improve program success
- Employees see a “line of sight” from their performance to meeting NOAA priority objectives
- NOAA achieves program results planned and funded, and are reported with data-driven reviews
- Performance management principles and tools are assimilated into planning and management

# OMB, DOC, and NOAA

## Performance Management Milestones

### FY 2012

DOC **Balanced Scorecard**, Office of Program Evaluation and Risk Management and Office of Performance Excellence

OMB **Performance Improvement Council (PIC)**

Strategy, Execution, and Evaluation NOAA Administrative Order signed by NOAA DUS-O, Dr. Titley (**SEE NAO**)

Joint SEE/CFO Councils **Evaluation Committee**

**SES Performance Plan** (Significant changes re: performance reporting)

### FY 2013

FY 2014 President's **Budget Guidance – Use evidence and evaluation data for budget formulation**

**New OMB Circular A-11** Update Governing Strategic Plans, Budget Formulation, Execution, and Evaluation

**New OMB Evaluation Working Group:** MAX Community of Practice (First Focus – Common Standards for Evidence)

# Appendix: From OMB: Clear Goals Guide Evidence and Evaluation Based Budgets & Data Driven Reviews

## OMB Key Initiatives

### Using Goals to Improve Performance and Accountability

- ▶ Clear outcomes and priorities
- ▶ Progress tracked and findings influence management

### Measuring and Analyzing Performance to Find What Works

- ▶ Evidence and evaluation data – what has ROI or not and why

### Delivering Better Results Using Frequent, Data-Driven Reviews

- ▶ Data-driven reviews of progress
- ▶ Actions address priorities and extreme events

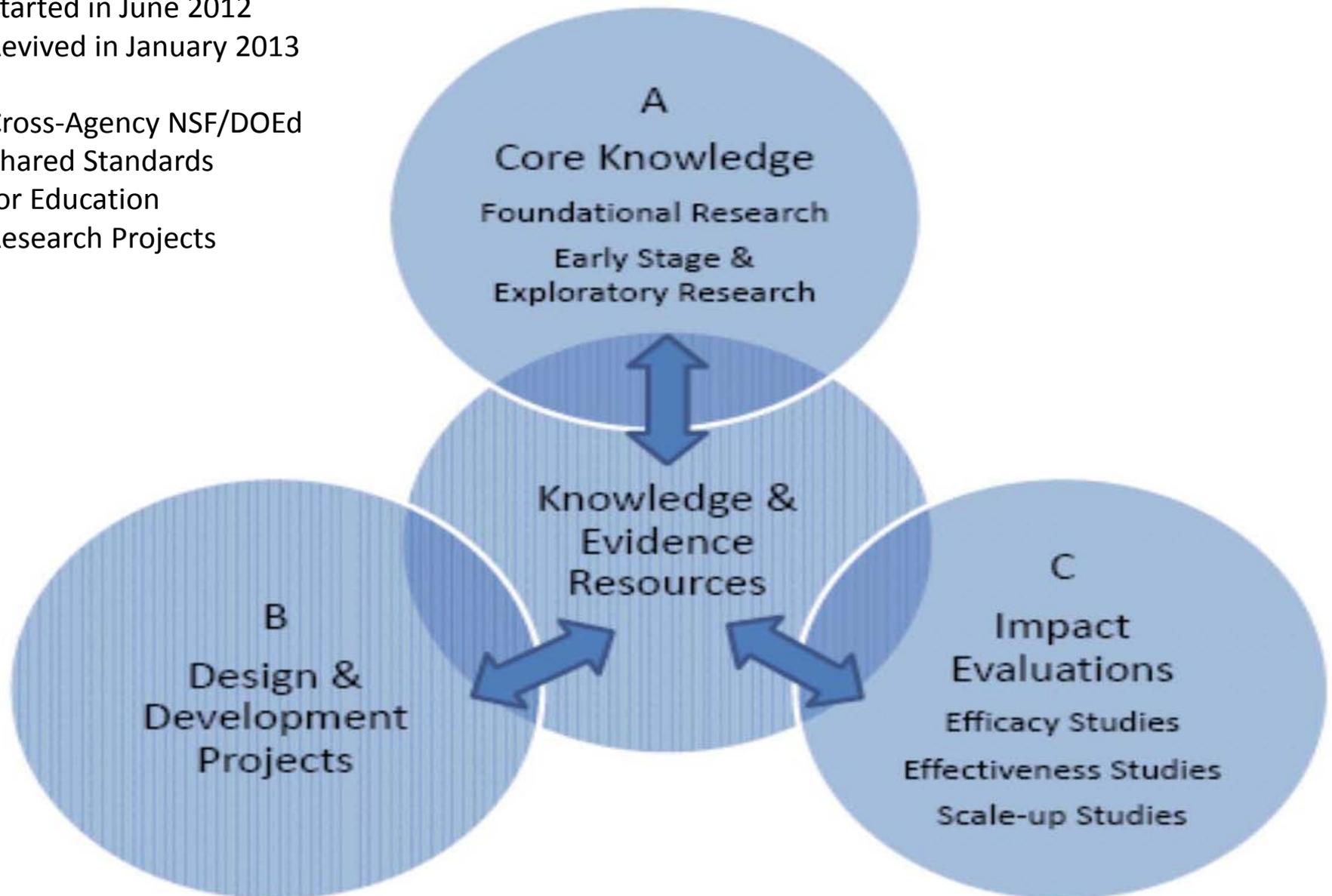
# OMB Evaluation Working Group

## How to Use Evidence and Evaluation Data

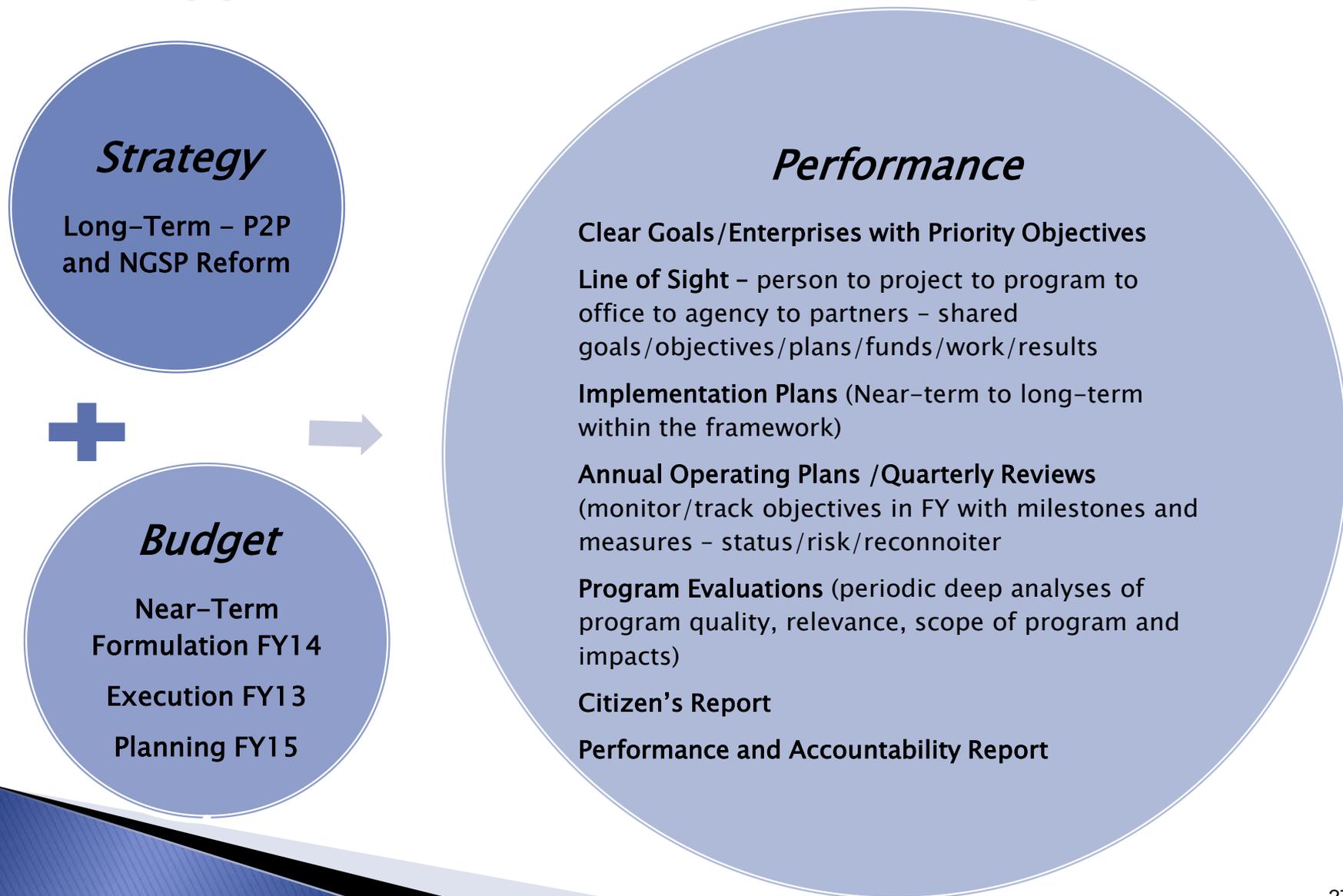
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Cross-Agency NSF/DOEd  
Shared Standards  
for Education  
Research Projects



# Understanding Performance Management Opportunities in FY 2013 and Beyond



# Reality Check: How To Use Evidence and Evaluation Data in FY 15

## OMB Key Initiatives

### Use Goals to Improve Performance and Accountability

- ▶ Test your goals: **who benefits and why?**
- ▶ Share priority objectives and intended achievements with the public

### Measure and Analyze Performance to Find What Works

- ▶ Determine **evidence of progress** for **SMART objectives**
- ▶ Use ***Start to Finish*** milestones and measures that show results

### Deliver Better Results Using Frequent, Data-Driven Reviews

- ▶ Test performance metrics: are data useful? If not, replace
- ▶ **Tap all sources of valid performance data** to inform decisions

# FY 2012 Summit on Performance Management

## Strategy:

- Ensure value of FY 2014 Next Generation Strategic Plan (NGSP) 2.
- Learn from the NGSP Progress to Plan Evaluation.
- Apply learning toward NGSP reform.

## Budget:

- Clarify mandated, customer-driven results sustained or obtained meeting and/or advancing goals, priority objectives.
- Use performance measures validating capabilities, capacity, customer relevance and satisfaction, investment strategy, schedule of milestones to achieve that strategy, and deliverables that advance strategy and produce outcomes and results.

## Performance:

- Improve strategy, budget, and performance, be SMART:
  - **SPECIFIC:** Affirm priorities for execution – Do they meet the Nation’s most critical mandated needs?
  - **MEASURABLE:** Confirm priorities are achievable – Do all “supply chain” partners commit to invest/execute? Do their goals support execution with line of sight clarity?
  - **ACHIEVABLE:** Are implementation plans and annual operating plans are in sync?
  - **REALISTIC:** What is the relevance, quality, and scope of planned performance?
  - **TIME-BOUND:** What is the baseline and investment strategy and can it be prioritized by all partners and met?

# ***11 Leadership Skills that Ratchet Up Performance,*** **Dr. Robert Behn, Harvard JFK SG**

1. Know mission and big picture
2. Identify inputs, processes, outputs, outcomes and failure points
3. Determine performance gaps/deficits; set targets to close them
4. “Communicate” how meeting target achieves mission
5. Analyze results and make them transparent
6. Ensure capacity (funding, staff, training, support, and partners)
7. Once targets are set, recognize and reward success
8. Create “ESTEEM” opportunities
9. Check for distortions where targets met may not meet mission
10. Analyze a large number and wide variety of indicators to determine ...*(if)* ...performance strategy is ...*furthering* ...mission
11. Learn from your results...act on this learning...make modifications necessary to ratchet up performance another notch

# Opportunities for Performance Excellence? YES!

- ▶ Declining budgets = > need for efficiency and effectiveness
- ▶ Progressive performance management legislation and policy framework = ROI for aligned strategic planning and budget formulation performance expectations...Example:  
*2/1/13 OMB: A Proposal for Better Management of Federal Grants*  
*“Holding agencies accountable for getting results and addressing weaknesses among grant recipients”.*
- ▶ Aligned performance goals/objectives = potential for a “line of sight” for performance RESULTS from person to program to priorities (office, NOAA, DOC, OMB, Congress)
- ▶ Aligned further with finance, legislation, communications = efficient channeling of resources for RESULTS

# Thanks

Questions?

# From Plans to Performance Results – Bridging Ideal Principles and Budget Realities With Innovative Management

NOAA Evaluation Committee  
NOAA Library “Brownbag” Series  
Part 1 April \_\_\_2013  
**Part 2 April \_\_\_2013**

# Adaptive Change Versus Technical Change

*“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*

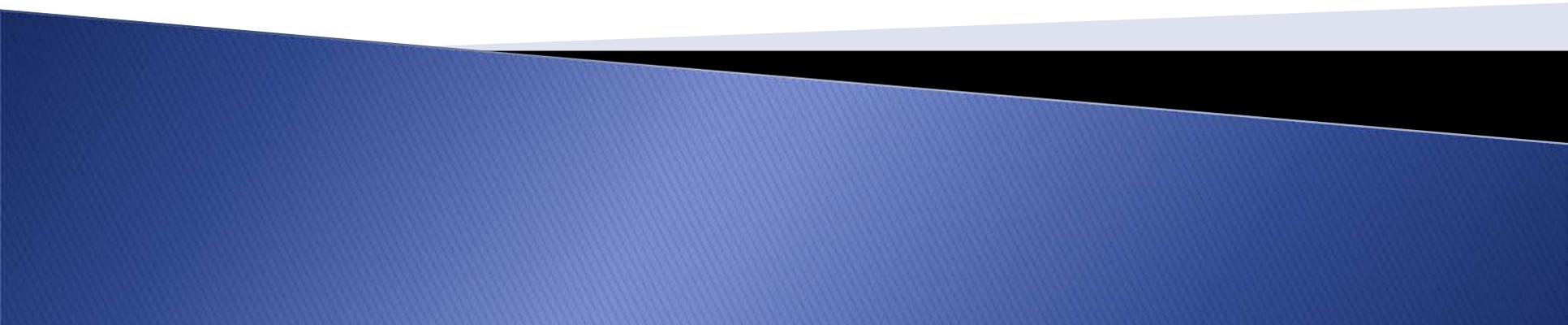
*See also Heifetz “Leadership without Easy Answers” 1994*

# **Core Performance Management Principles and Tools**

**Understood Performance Drivers and Requirements**  
**Clear Goals “Line of Sight”**  
**Priority Objectives**  
**Achievable Evidence of Progress**  
**Valued/Used Performance Data**  
**Effective Management of Matrixed Performance**  
**Systemic Organizational Learning and Reform**

# **Core Performance Management Principles and Tools**

**Understood Performance Drivers and Requirements**



# GAO: Questions to Assist Congress Focus on Key Issues

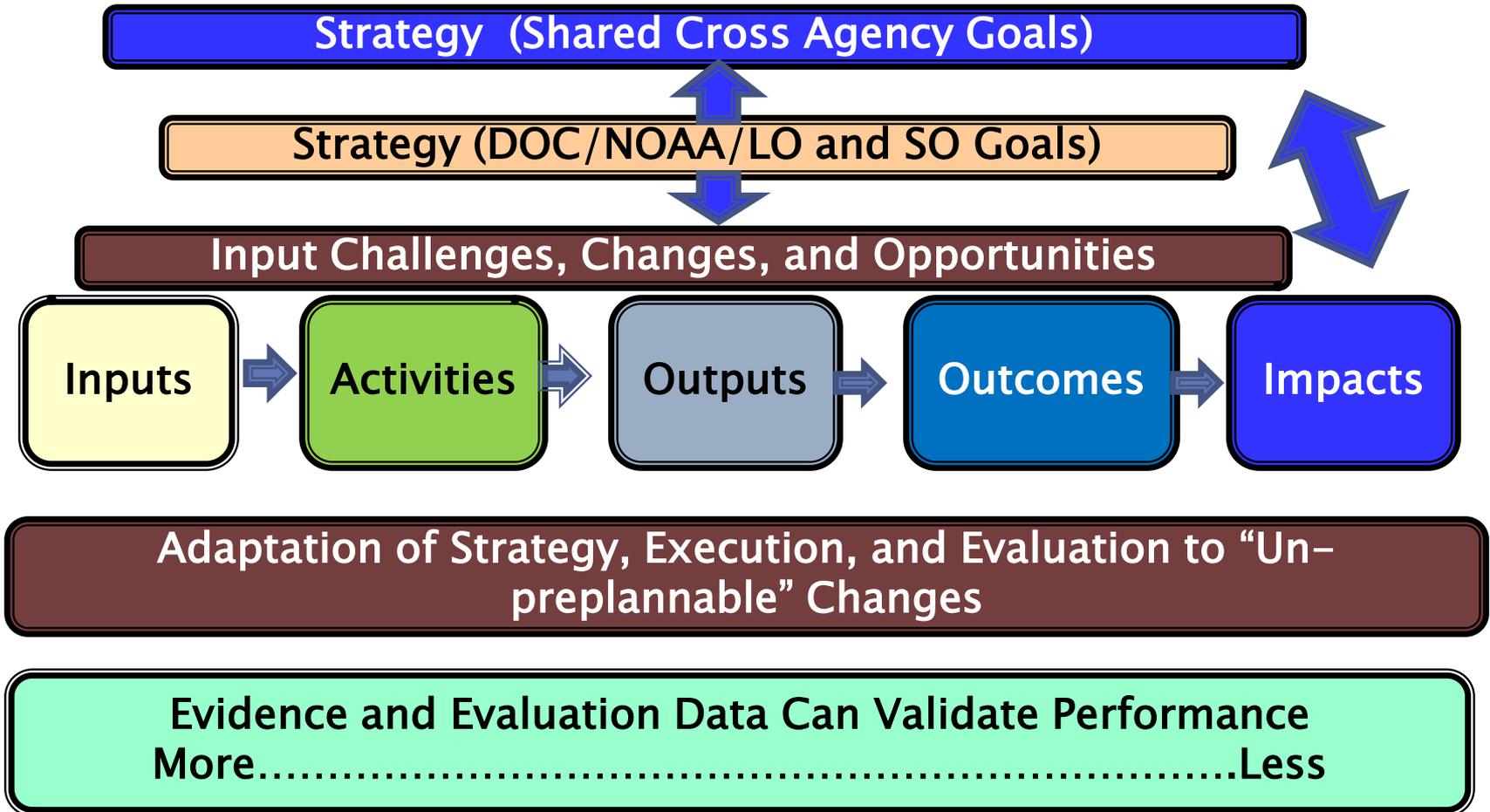
## Topic 1: Long-term and Annual Goals

- 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?

# Background: GPRA MA Goals for Federal Performance Management

- ▶ Clear goals, priority objectives, outputs and their affect on planned outcomes defined, planned, achieved, and evaluated
- ▶ Inputs and investment strategy planned and agreed to provide
- ▶ Achievable outputs (minor contributing...and major milestones) planned, monitored, and evaluated
- ▶ Transparent and accessible performance management system integrated among strategy, budget, and execution assures specific, measurable, achievable, realistic, and timely “metrics”, quality performance data for valued use and basis for reforms
- ▶ Improved alignment among strategic, operational, and funding processes further improved with links to other vital management functions
- ▶ A learning organization that adapts to change and can introduce logical, achievable reforms back into planning
- ▶ Outputs to outcomes to impacts advance strategic progress with demonstrable achievements

# Logic Models to Plan, Monitor and Evaluate



# What Is a Cross-Agency Priority Goal?

A-11 requires two types of CAP Goals:

- ▶ **Outcome-oriented goals** that cover a limited number of **crosscutting policy areas**
- ▶ **Management improvements** across the Federal Government in the areas of information technology, financial management, human resources, and real property

# Examples of Cross-Agency Priority Goals\*

- ▶ **Exports:** Double U.S. exports by the end of 2014
- ▶ **Broadband:** Expanding all broadband capabilities, ensure 4G broadband coverage for 98% of Americans by 2016
- ▶ **Veteran Career Readiness:** Increase “readiness and preparedness programs” from 50% to 90% by 9/2013
- ▶ **Science, Technology, Engineering, and Math Education:** Increase well-prepared STEM graduates by 1/3 within 10 years (1 million)

\*FYI: Check out the May 15, 2013 CAP Goal Quarterly Performance Updates for OMB review at [www.goal.performance.gov](http://www.goal.performance.gov)

# Where Cross-Agency Priority Goal Is Found in Agency Performance Management Systems

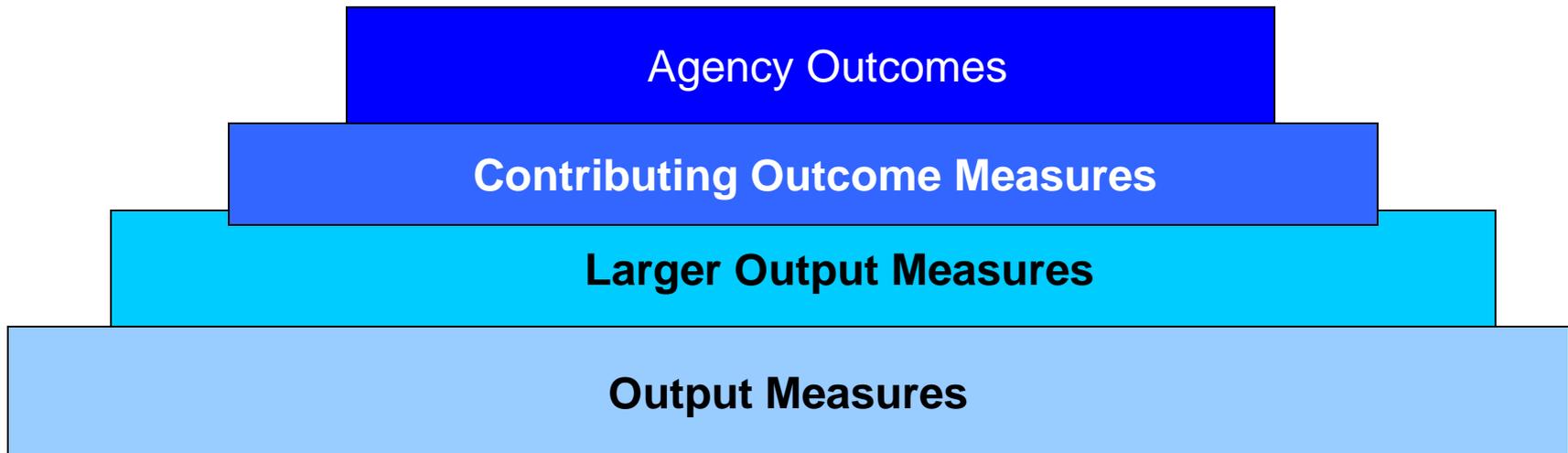


# GPRA MA Possible Pyramid DRAFT Graphic

Agencies Achieve Outputs toward Outcomes that Together Advance Outcomes to Reach Performance “Vision Goal” Defining the Cross-Agency Priority Goal (CAP)

CAP Joint Agency Results Reported at [www.goal.performance.gov](http://www.goal.performance.gov)

Agency Performance Reports Quarterly at  
[www.performance.gov](http://www.performance.gov)



**Strategy, Budget, and Execution “metrics”** track progress in achieving outcomes/impacts at each agency toward their goals/objectives that at some outcome(s) link to the vision goal

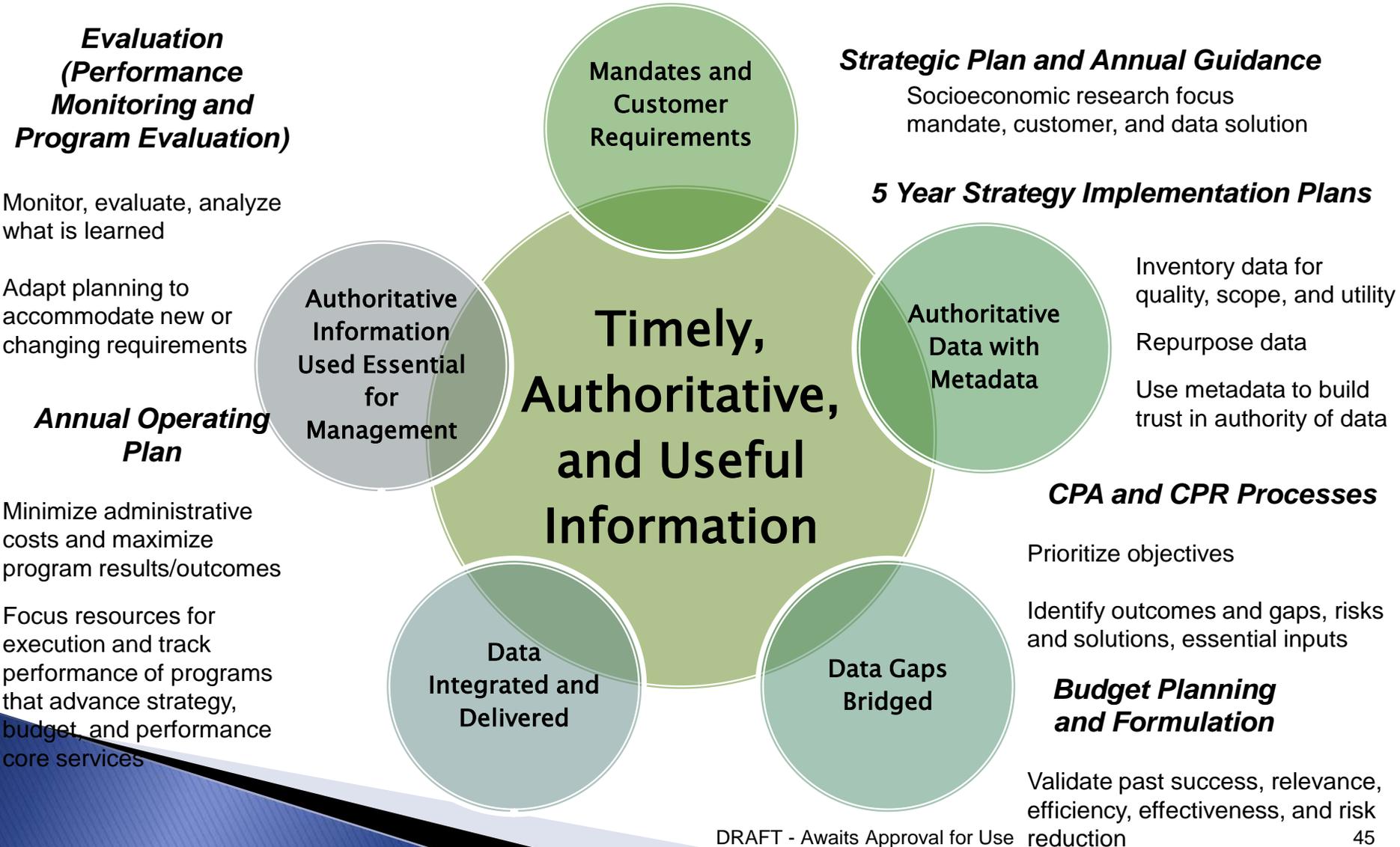
# GAO: Questions to Assist Congress Focus on Key Issues

## 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?

# Resilient Communities, Ecosystems, and Economies

Accurate, Accessible, Applicable Performance Data for Management Decisions



# **Core Performance Management Principles and Tools**

**Clear Goals “Line of Sight”**

# Next Generation GPRA MA Performance Data

Budget Proposed Investments Produce Outputs Influencing Outcomes (Results) to Reach Vision Goal

*Investment to result*

*Results to outcome*

*One of many outcomes to impact*

**OUTPUTS**

**OUTCOMES**

**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

# **Core Performance Management Principles and Tools**

**Priority Objectives**

# Performance Management - End to End

[https://www.see.noaa.gov/Media/SEE\\_trailer.swf](https://www.see.noaa.gov/Media/SEE_trailer.swf)

**Central to Strategy, Execution, and Evaluation is NOAA's Next Generation Strategic Plan setting priorities is the Annual Guidance Memorandum (AGM):** Focuses planning on administration's strategic priorities (for out-year and next year's budget); identifies fiscal constraints

**Implementation Plan (IP):** Outlines strategic performance expectations and resource requirements by strategic objective; offers risk-based assessment of choices

**Corporate Portfolio Analysis (CPA):** Analyzes IPs to identify key issues and corporate priorities for the next budget formulation phase; draws attention to long term concerns for Leadership; concludes with NEP/NEC Decision Memo

**NOAA Budget Submission:** Justifies NOAA funding request to DoC, OMB, Congress; describes performance measurements and targets

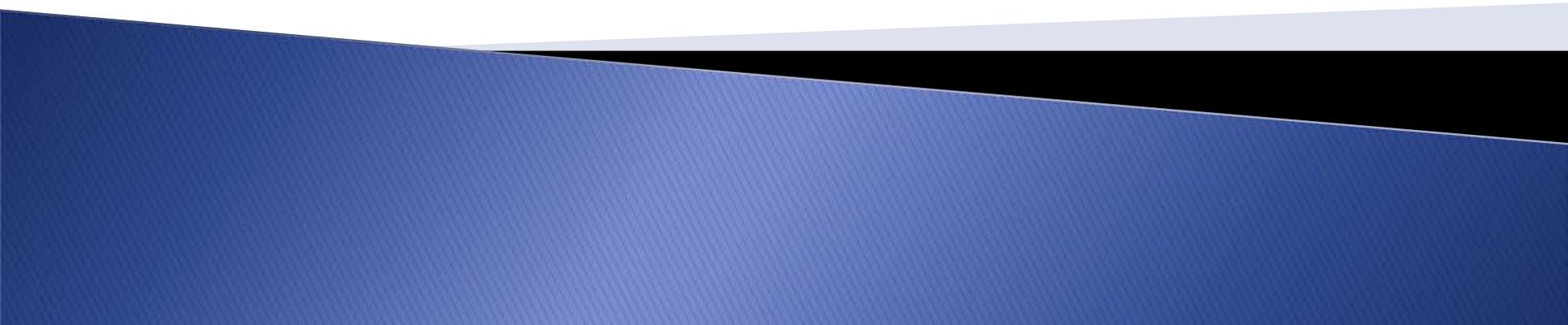
**Corporate Portfolio Review (CPR):** Reassesses commitments made in IPs and priorities set in CPA; reconciles IPs and performance expectations with appropriation

**Annual Operating Plan (AOP):** States how LOs/SOs will execute and evaluate the first operational year of an IP

**Progress to Plan (P2P):** Assesses progress toward NGSP objectives; evaluates executed programs to determine what has been working and what might be changed for better performance

# **Core Performance Management Principles and Tools**

**Achievable Evidence of Progress**



# **Performance Management Framework, Principles, and Tools**

**External and Internal Drivers**

**Strengths**

**Weaknesses/Gaps/Needs**

**Opportunities**

**Threats/Risks**

**Path Forward**

**Performance Management Best Practices**

**Execution and Tracking Results**

**Assessment of Results and Analysis of ROI**

**Evaluation of Maturity**

**Learning and Reform**

# **Core Performance Management Principles and Tools**

**Valued/Used Performance Data**

# 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?

# GPRRA Modernization Act Opportunities for Strategic Execution for Excellence

## Key Outcomes

- ▶ ACCOUNTABILITY : Raise confidence in public trust
- ▶ QUALITY: Improve results - plan, fund, execute, evaluate, learn, inform/reform, progress
- ▶ EFFECTIVENESS: Prove customer satisfaction
- ▶ INFORMED DECISIONS: Use performance data to improve outcomes for strategic priorities
- ▶ COLLABORATION for SHARED GOALS: Plan as “one” to improve the “system”
- ▶ PERFORMANCE CULTURE: Produce empirical evidence and data for policy, budget, and management decisions

# GPRRA Modernization Act of 2010

## Requirements in OMB Circular A-11

- ▶ **CONTINUED:** Long-term goals and objectives and specific, near-term performance goals...with ambitious, yet realistic targets
- ▶ **NEW:** Ambitious goals...limited number of areas...encourage innovation and adoption of evidence-based performance strategies...push significant performance improvements beyond current levels
- ▶ **NEW: Cross-Agency Priority (CAP) Goals** “where increased cross-agency coordination on outcome-focused areas is likely to improve progress”

# 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?

# DOC/NOAA Balanced Scorecard

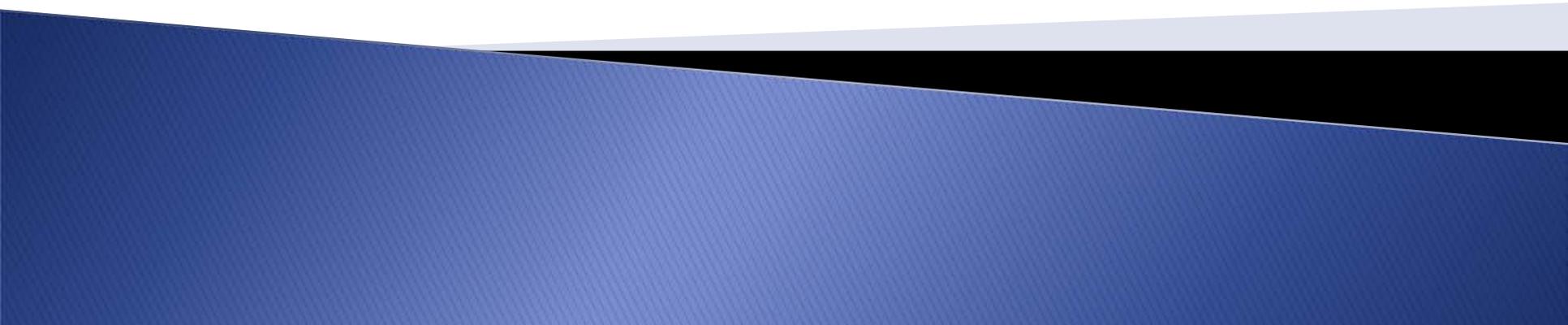
## DOC's PERFORMANCE EXCELLENCE PROGRAM

DAO 202-960, Effective Date: 2011-10-21

- ▶ **Quality improvement** program...continuous and breakthrough enhancements to efficiency...customer service...and...mission
- ▶ **Effective use of...Balanced Scorecard System ...to improve the quality, efficiency, and effectiveness...**through business process redesign

# **Core Performance Management Principles and Tools**

**Effective Management of Matrixed Performance**



# Improve Performance Success with Clear Metrics, Monitoring and Focused Evaluations

- Tracking both NOAA and Cross-NOAA Issues and Performance
- Performance Management Plan Agreement
  - In-lieu of a formal service-level agreement, ensures accountability toward shared crosscutting outcomes
- Improved data for Quarterly Program and Financial Reviews and for Mid-Year and End-of-Year Execution Reviews (align with SES performance plans)

# Monitor and Evaluate Template DRAFT

## Section I Performance Management Plan Agreement for:

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

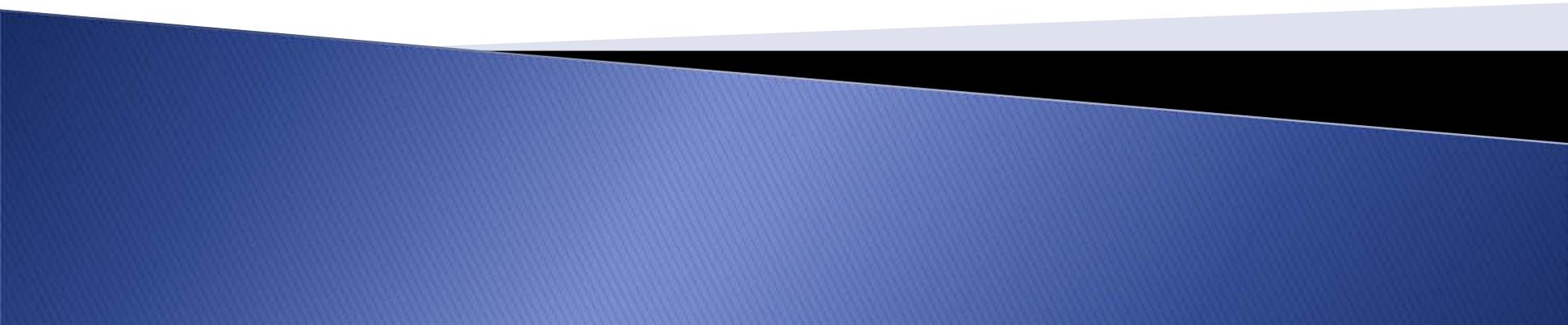
## Section II

<b>Line or Staff Office(s)</b>  &  <b>Program Office Managing IP and AOP</b>	<b>Executing Office(s)</b>  <i>(Specific Lab, Center, or Division)</i>	<b>Integrated Planned Activities</b>  <i>Details in Relevant IPs</i>	<b>Outputs</b>  <i>(Products, services, and actions contributing to major milestone)</i>  <i>Details in Relevant IPs and LO/SO AOPs</i>	<b>Major Milestones</b>  <i>Details in NOAA AOP</i>	<b>Performance Measures</b>  <i>Linked to Relevant IPs and AOPs*</i>	<b>Status</b>  <ul style="list-style-type: none"> <li>• <i>Consequence if not met: 1-5 (5 most negative)</i></li> <li>• <i>Likelihood of not being met 1-5 (5 least likely to be met)</i></li> </ul>	<b>Budget Commitment Intentions</b>  <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>	<b>Staff Accountable</b>

\*Events that were unexpected and catastrophic may or may not engender the need for related performance measures.

# **Core Performance Management Principles and Tools**

**Systemic Organizational Learning and Reform**



# Start a Blog for Reforms to Improve NOAA's Performance Management End-to-End System

Here's a dry run of possible ideas:

- ▶ Accept continuation of SEE's non-linear 4-year cycle of Federal management under OMB Circular A-11.
- ▶ Reform implementation based on business process mapping pilot.
- ▶ Prioritize online access to performance data.
- ▶ Encourage self-assessment according to Baldrige National Quality Awards Criteria for Excellence.
- ▶ Reward to encourage program evaluations.
- ▶ Reward reforms and efficiency initiatives by returning cost efficiencies back to program of origin if they can prove "get more for less" without loss of quality.
- ▶ Process for measure/metric approval (GPRA/BSC).

# Next Generation GPRA MA Performance Data

*Investment to results*

**OUTPUTS**

*Results to outcome*

**OUTCOMES**

*Outcomes to impact*

**VISION GOAL**

## Proposal for All Corporate Measures

### 1. POC Designee

Coordinate Approval

Gather and Validate Data

Report to HQ

Evaluation Lead: Accuracy/Use/Value of Performance Data

### 2. Formal Approval

Program

Program Office

Goal/Strategy/Objective Leads

Budget Formulation

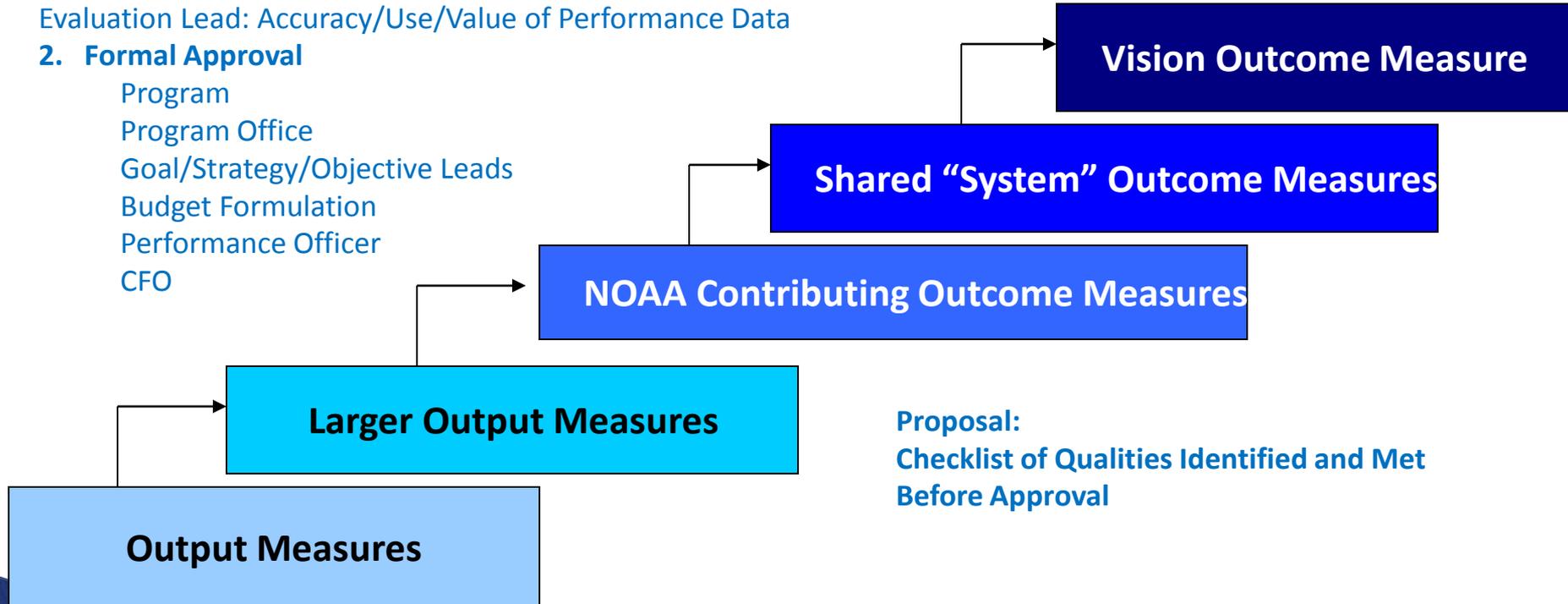
Performance Officer

CFO

## Proposal for All Corporate Measures

### 1. Internal and External Targets

### 2. Strategy/Budget/Efficiency



Proposal:

Checklist of Qualities Identified and Met Before Approval

# Background Slides

## Besides GPRA MA, Other Relevant Laws

- ▶ **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.”

**Citation for Topics 1-4 in Part II from the  
GAO-12-621SP Appendix I: Illustrative Questions to Assist  
Congress in Focusing Consultations on Key Issues  
Page 27, Congressional Decision Making under GPRAMA  
Table 2: Illustrative Consultation Questions**

**Topic 1: Long-term and Annual Goals**

**Topic 2: Strategies and Resources**

**Topic 3: Measuring Performance**

**Topic 4: Reporting Results**

# Thanks

Questions?