Federal Performance Management Framework

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February 4, 2015
Washington, DC

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Overview of the GPRA Modernization Act

- **Established Performance Improvement Roles and Responsibilities**
  - Established roles for OMB Director, COO (usually Deputy), Performance Improvement Officer (PIO), Goal Leaders, Performance Improvement Council (PIC)
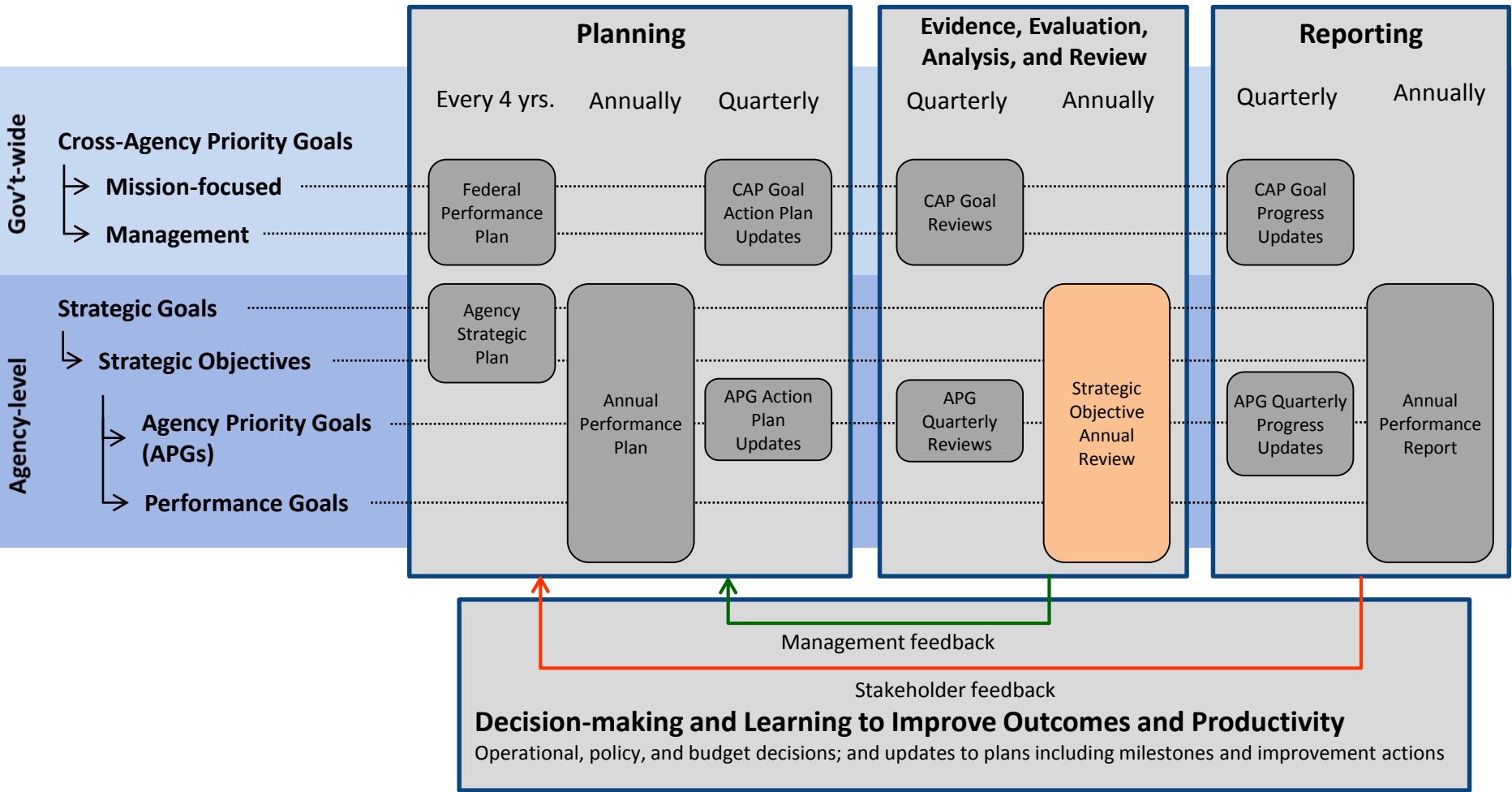
- **Established Goal Framework and Performance Reviews**

Goals	Timing	Performance Reviews
1. **Federal Cross-Agency Priority (CAP) Goals**	Every 4 years (next in Feb 2018)	**Quarterly reviews** by OMB Director/PIC
2. **Agency Priority Goals (APGs)**	Every 2 years (next in Feb 2016)	**Quarterly reviews** by agency COO/PIO
3. **Strategic Goals and Objectives**	Every 4 years (next in Feb 2018)	**Annual strategic reviews** by agencies and OMB

- **Modernized Performance Reporting**
  - Established Performance.gov as the central source for performance reporting
  - Required government-wide list of programs, updated annually

Federal Performance Management Framework

Planning

	Every 4 yrs.	Annually	Quarterly

Evidence, Evaluation, Analysis, and Review

	Quarterly	Annually

Reporting

	Quarterly	Annually

Gov't-wide

Cross-Agency Priority Goals
- → **Mission-focused**
- → **Management**

Federal Performance Plan

CAP Goal Action Plan Updates

CAP Goal Reviews

CAP Goal Progress Updates

Agency-level

Strategic Goals
- → **Strategic Objectives**
  - → **Agency Priority Goals (APGs)**
  - → **Performance Goals**

Agency Strategic Plan

Annual Performance Plan

APG Action Plan Updates

APG Quarterly Reviews

Strategic Objective Annual Review

APG Quarterly Progress Updates

Annual Performance Report

Management feedback

Stakeholder feedback

Decision-making and Learning to Improve Outcomes and Productivity
Operational, policy, and budget decisions; and updates to plans including milestones and improvement actions
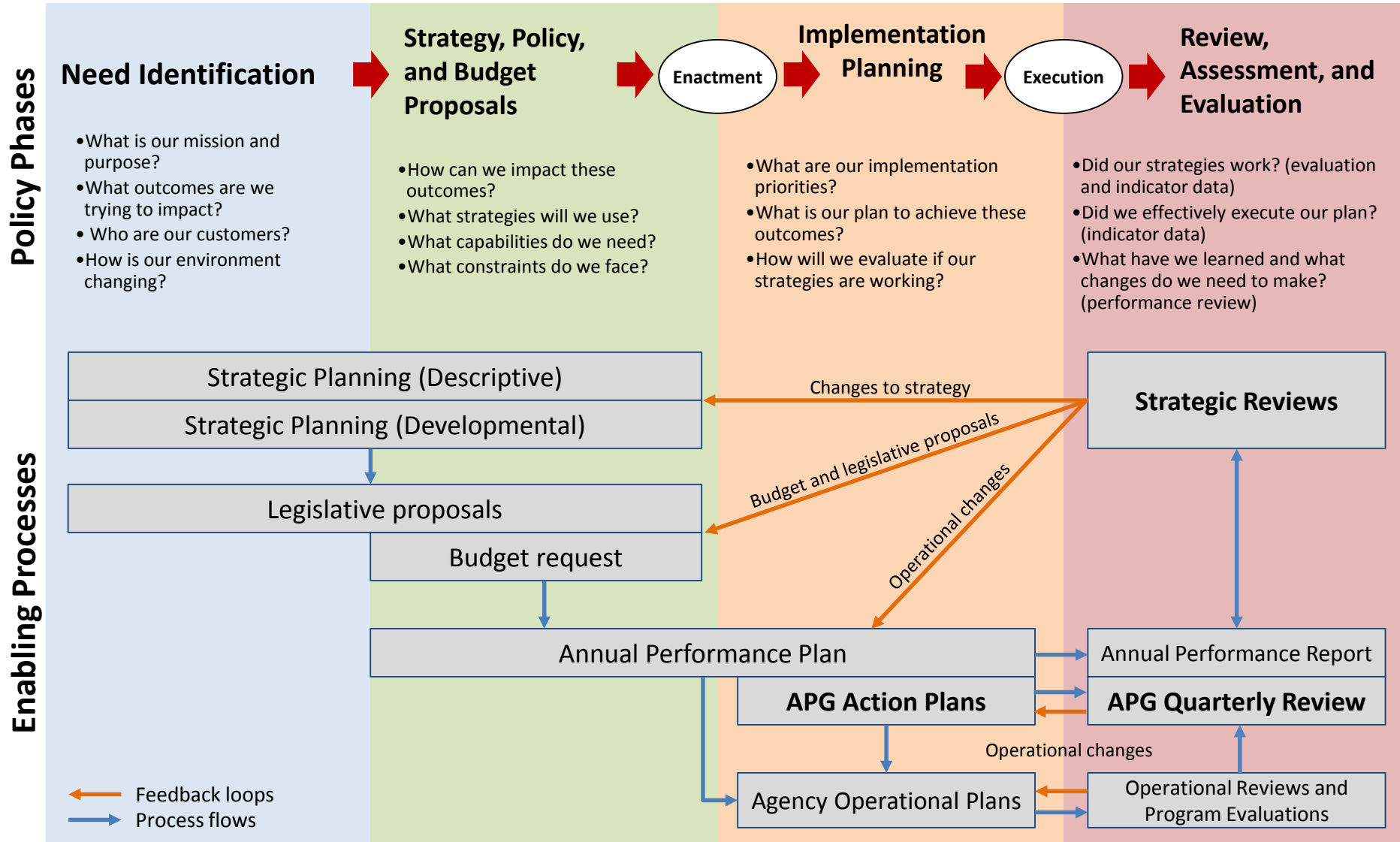
Strategic Reviews

The Strategic Reviews are:

- An annual assessment which synthesizes available performance information and evidence to inform budget, legislative, and management decisions

- Conducted by agencies for each "Strategic Objective" in an agency Strategic Plan, with OMB review
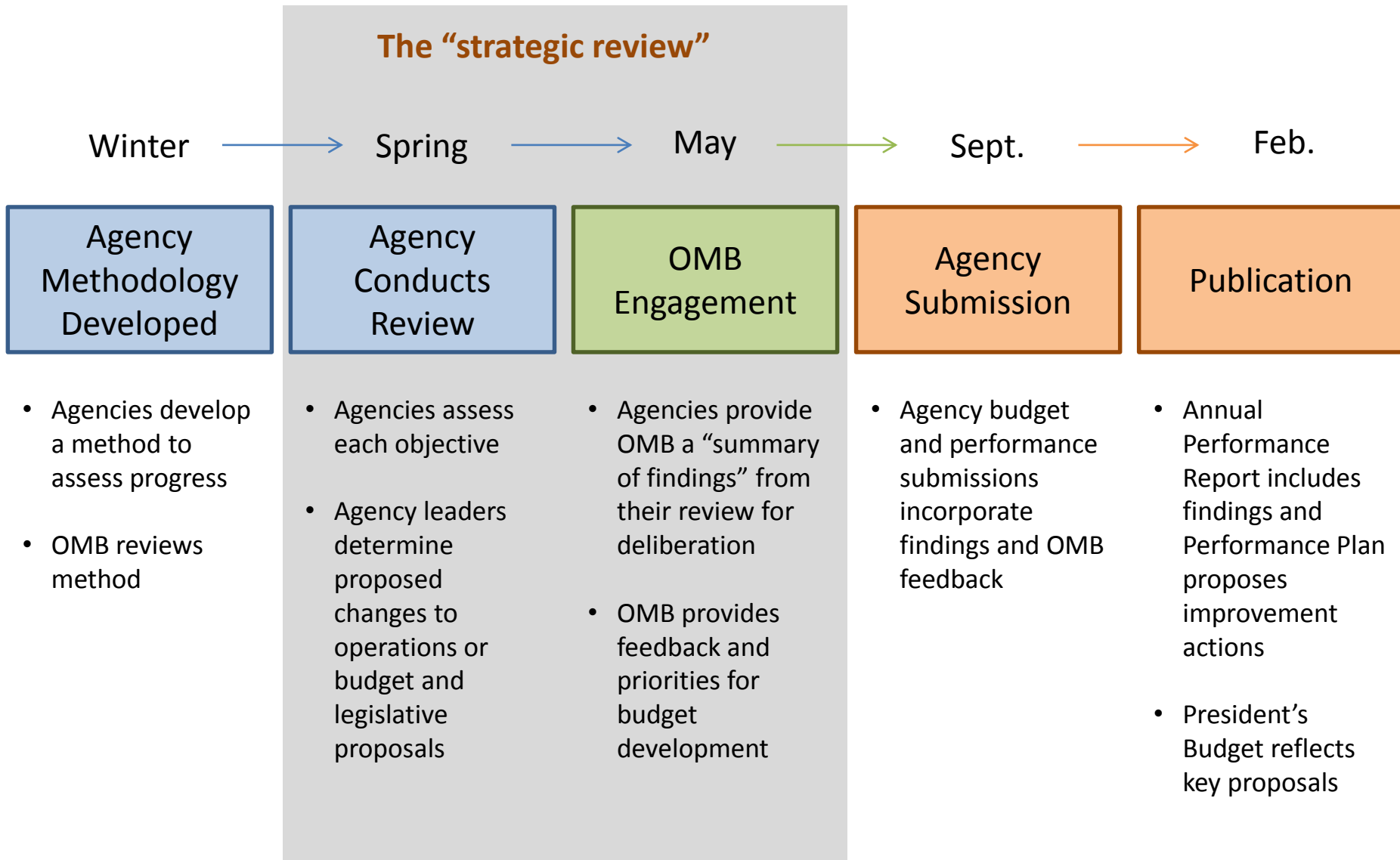
The Strategic Reviews will:

- Help meet the needs of leadership in identifying opportunities for reform proposals, executive actions, communications opportunities, etc.

- Synthesize a broad evidence and information base (indicators, evaluations, risk management, partner contributions, external factors, research, etc.) and prioritize findings for decision-making

- Make meaningful distinctions in performance, such as identifying areas of noteworthy progress and significant challenges

- Incentivize organizations to develop a culture focused on learning and improving performance

Linkages between Processes and Purpose

Policy Phases

Need Identification

- What is our mission and purpose?
- What outcomes are we trying to impact?
- Who are our customers?
- How is our environment changing?

Strategy, Policy, and Budget Proposals

- How can we impact these outcomes?
- What strategies will we use?
- What capabilities do we need?
- What constraints do we face?

Enactment

Implementation Planning

- What are our implementation priorities?
- What is our plan to achieve these outcomes?
- How will we evaluate if our strategies are working?

Execution

Review, Assessment, and Evaluation

- Did our strategies work? (evaluation and indicator data)
- Did we effectively execute our plan? (indicator data)
- What have we learned and what changes do we need to make? (performance review)

Enabling Processes

Strategic Planning (Descriptive)

Strategic Planning (Developmental)

Legislative proposals

Budget request

Annual Performance Plan

APG Action Plans

Agency Operational Plans

Strategic Reviews

Changes to strategy

Budget and legislative proposals

Operational changes

Annual Performance Report

APG Quarterly Review

Operational changes

Operational Reviews and Program Evaluations

→ Feedback loops
→ Process flows

Process & Timeline

The "strategic review"

Winter → Spring → May → Sept. → Feb.

Agency Methodology Developed	Agency Conducts Review	OMB Engagement	Agency Submission	Publication
• Agencies develop a method to assess progress • OMB reviews method	• Agencies assess each objective • Agency leaders determine proposed changes to operations or budget and legislative proposals	• Agencies provide OMB a "summary of findings" from their review for deliberation • OMB provides feedback and priorities for budget development	• Agency budget and performance submissions incorporate findings and OMB feedback	• Annual Performance Report includes findings and Performance Plan proposes improvement actions • President's Budget reflects key proposals

Agency assessment

For each strategic objective agencies will synthesize available evidence to answer key questions in four areas:

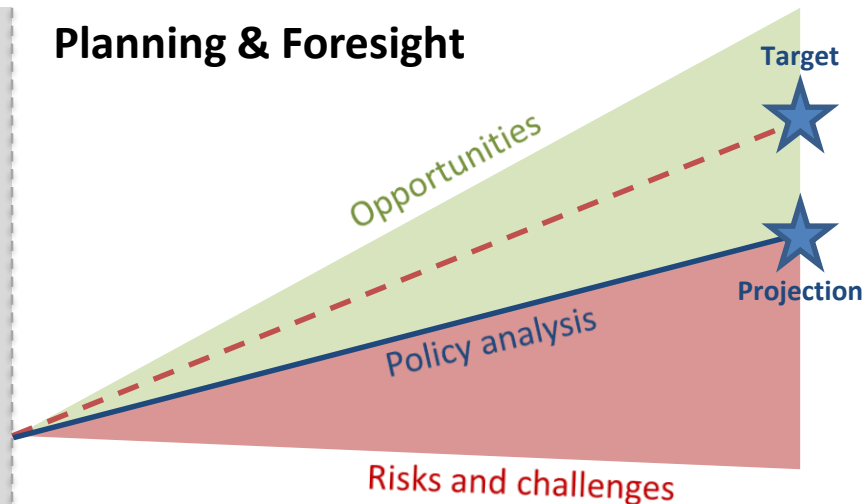|	
Performance, Results & Evaluations	What was achieved? What was the program's impact? How efficiently did we deliver these results?
Learning & Innovation	What worked, lessons learned, and successful innovations? What don't we know?
Planning & Foresight	What future opportunities, risks, or challenges may affect outcomes?
Actions & Next Steps	What actions and decisions are needed to improve performance? What are the key next steps? By whom?

Components of a Strategic Review

Decision Point

Performance, Results & Evaluations

Planning & Foresight

Target

Performance Plan: What did we want to happen?

Performance Report: What actually happened?

Actual

Evaluation: What would have happened without us, and why did things occur like they did?

Baseline

Data lag

Policy lag

Opportunities

Target

Policy analysis

Projection

Risks and challenges

Learning & Innovation
- What happened and why
- Lessons learned
- Research and improved understanding
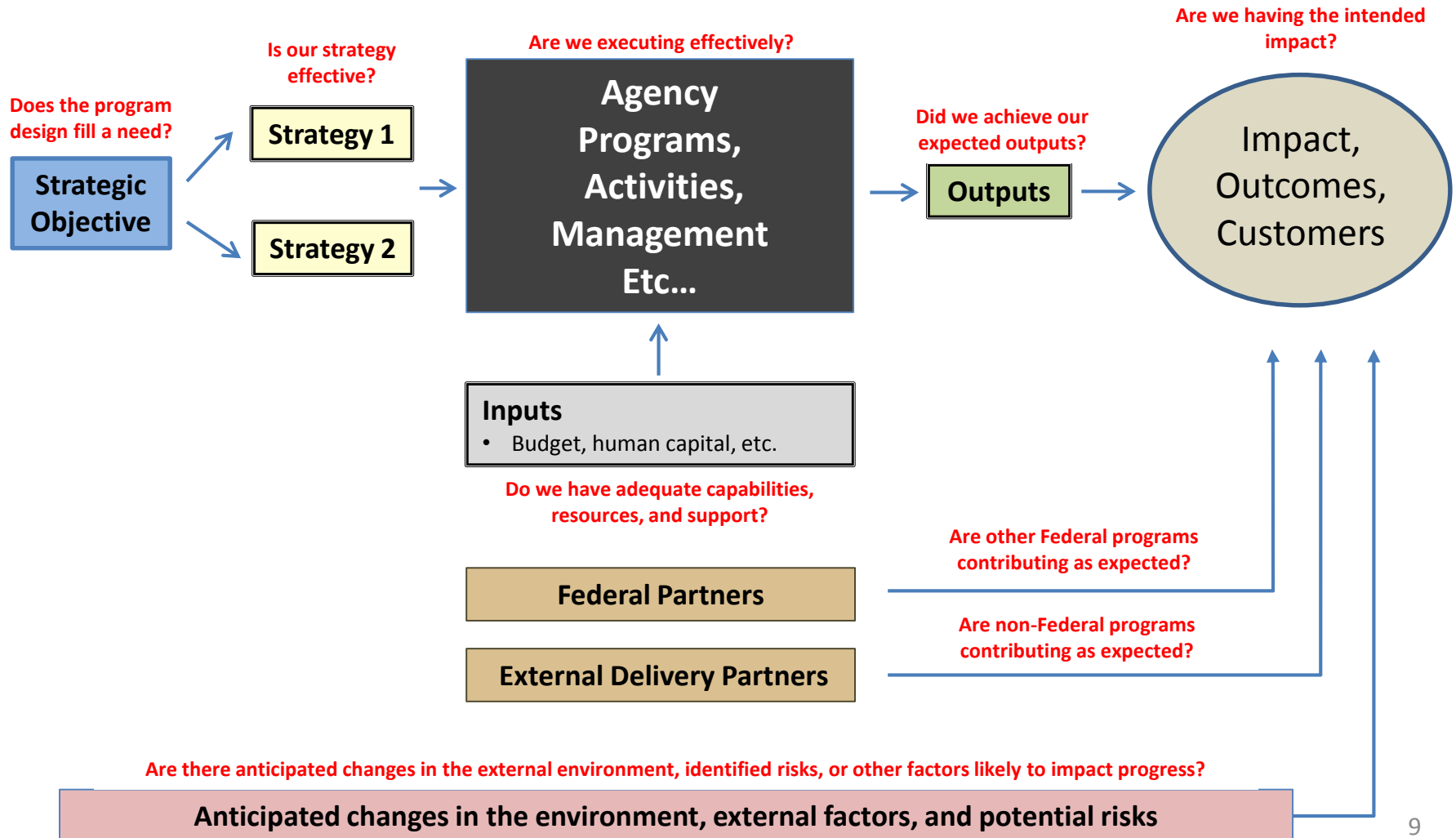- Exploration and innovation

Actions & Next Steps
- Changes to strategy and tactics
- Operational improvements
- Budget and legislative proposals

Example: Objective Mapping

What does the existing evidence say?
What is the research questions you are interested in answering?
What is the strongest methodology for answering this question?

Does the program design fill a need?

Strategic Objective

Is our strategy effective?

Strategy 1

Strategy 2

Are we executing effectively?

Agency Programs, Activities, Management Etc…

Did we achieve our expected outputs?

Outputs

Are we having the intended impact?

Impact, Outcomes, Customers

Inputs
- Budget, human capital, etc.

Do we have adequate capabilities, resources, and support?

Federal Partners

Are other Federal programs contributing as expected?

External Delivery Partners

Are non-Federal programs contributing as expected?

Are there anticipated changes in the external environment, identified risks, or other factors likely to impact progress?

Anticipated changes in the environment, external factors, and potential risks

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Example: a Framework model

Evidence, Evaluation, and Measurement

Impact

- Are strategies having the intended impact?
- Were outcome targets met?
- How big of impact did the program have compared to what would have happened otherwise?
- Were there unintended outcomes as a result of the strategies employed?

Implementation

- Were output targets met?
- Was the program cost effective?
- Were there unanticipated challenges in program design, delivery or implementation?
- What organizational, process and technical factors presented challenges?

Risks

- Are there changes in anticipated need?
- Are there any external factors which could disrupt progress?

- Do we anticipate any changes in our level of support from key partners?
- Are there any upcoming changes to human capital or resource levels?

Opportunities

- Are there changes in anticipated need?
- Are there any external factors which contribute to progress?

- Have their been any significant innovations from our partners or peers we can replicate?
- Are there any new technologies becoming available?

Backward Looking   **Forward Looking**

Maturity Over Time

There will likely be maturation as agencies become more adept at synthesizing many sources of performance information and conducting analysis.

- Develop Agency Process
- Map Objectives
- Define Sources of Evidence & information
- Identify Gaps
- Establish Baselines
- Develop maturity model

Sources of Evidence/ Depth of Analysis

Foresight •

Risk Assessment •

• Impact Long-Term Strategy

Impact Evaluation •

• Identify Strategic Tradeoffs

Performance Measures •

• Inform Budget, Legislative and Regulatory Proposals

• Course Corrections

2013   2014 Review   2015 Review   2016 Review