

SYLLABUS

SPP 697 PM: Performance Management

University of Massachusetts-Amherst, School of Public Policy

Spring 2023

Course Instructor: <PROF_FULL_NAME>

Tuesdays, 1:00 – 3:30 p.m., On-Line via Zoom

Optional participation location: Rm. E-23, Machmer Hall

Contact Information and Office Hours

Email: <PROF_EMAIL>

Office Hours: On request, via phone or Zoom.

(For general questions or personal messages, please contact me by e-mail).

Course Description and Goals

This course will focus on the fundamentals for designing and using a performance-based management framework in the public sector, specifically in the U.S. at the federal, state, local, and nonprofit levels. It will provide a working understanding of how to develop and apply “useful measures that are used” – a simple statement that is devilishly difficult to actually do, but is fundamental for every public manager to be successful.

The goal is to develop your tacit knowledge -- in addition to explicit knowledge -- about public sector organizational performance management. This will be done via readings, discussion, jointly developing a “playbook” of tools for performance management, and jointly developing an assessment of the Biden Administration’s approach to performance management in federal agencies via their two-year Agency Priority Goals (fiscal years 2022-2023).

Learning Objectives

The overall objective of this course is for you to develop a working understanding of performance management systems that you can apply as a leader in various organizational settings in the public sector. More specifically, you will be able to:

- Understand the evolution of the performance management movement in the U.S. and how it fits into broader public management reforms.
- Understand and apply key concepts and terms.
- Understand key practices in developing and using performance information and evidence in decision making and improving performance.
- Develop an understanding of how to assess the strengths and weaknesses of different performance models; and how they link to other management systems in an organization.

- Identify and use resources and networks to support a performance management initiative with which you may be involved.

In addition, you will:

- Develop critical thinking skills that will support evidence-based decision-making in the public sector, by assessing an organization's existing performance management framework and developing a plan for improvements, and
- Demonstrate your ability to write clear memoranda and deliver effective presentations, individually and in groups.

Methods of Instruction

- Readings and videos in advance of class, to be posted on Moodle
- Use of an On-line Discussion Forum, based on weekly readings prior to class, via Moodle
- Live-synchronous class sessions via Zoom
- Guest lectures via Zoom
- Written and class presentation assignments – both individual and team, via Zoom
- Serving as a session co-moderator, via Zoom.

Weekly live, on-line sessions are 2.5 hours in length and will be broken into two segments, with a break about halfway through. You will be asked to sign up a couple of times to be a co-moderator for either the first or second segment of a session, and your chosen date. See **Addendum B** (below) for a description of what this role entails, and to sign up for two slots.

Course Requirements and Grading

The components of each student's grade for this course will be as follows:

1. Participation and quality of contributions in on-line Discussion Forum and In-Class Discussions **(30%)**
2. Service as Co-Moderator, for two session segments **(10%)**
3. Preparation of two Memos on, and a class Oral Presentation/Discussion of, a "Performance Tool" (~ 3 pages each, written to an organization's leadership – not a traditional academic paper -- with an accompanying PowerPoint of 3-5 slides; draft and final) **(30%)**
4. Your Team Contributions in the development and presentation of an "Assessment of a Federal Agency's Priority Goals" (a 7-10 page assessment memo to that agency's particular U.S. House of Representatives oversight committee's leadership; and an Oral Presentation/Discussion in class) **(30%)**

Your final grade will be evaluated according to the following scale:

A	Exceptional work with major effort and analysis sustained and material well-written and presented (95-100%)
A -	Excellent work with few problems or questions, almost "A" (90-94%)
B+	Competent work with insights beyond simple understanding yet lacking in effort/results to be considered "A" work (85-89%)

B	Proficient understanding of basic material, acceptable level of work (81-84%)
B- or below	Marginal level of work, demonstrated gaps in understanding or lack of comprehension of the material at an acceptable level (80% or less)

Required Materials

No purchases are required, but a number of readings will draw from a new book: Marc Holzer and Andrew Ballard, Eds. (2022). *The Public Productivity and Performance Handbook*, 3rd Edition. New York, NY: Routledge Press. It is available via [Amazon as an e-book](#) for about \$40, but I'll be posting the authors' manuscript versions of all required readings in Moodle as an alternative to purchasing the entire book (which has a number of other useful chapters if you think you'd like to learn more about this topic down the road).

All other reading materials will be posted on Moodle or available directly via hotlinks to on-line resources.

Addendum

- A. How to Use On-line Class Discussion Forum
- B. Sign-Up Sheet and Instructions for Your Role as a Co-Moderator
- C. Sign-Up and Instructions for Individual Assignments: Memos on a Performance Management Technique or Tool
- D. Sign-Up and Instructions for Team Assignment Memo: Assessing a Federal Agency's Priority Goals
- E. Campus policies and support
- F. Careers in the Field of Performance Management (instructor will update with listings)
- G. Additional Resources (supplemental readings, not required)
- H. Zoom Class Recording Links (will be updated weekly)

Course Outline

Session 1 – Course Orientation, Introductions, and Overview of the Evolution of the Performance Management Movement in the U.S. (February 7)

Session 2 - Creating a Performance Context with Strategic Outcomes, Strategic Foresight, Strategic Planning, and Enterprise Risk Management (February 14)

Session 3 - Alternative Approaches and Tools for Creating Performance Management Frameworks (February 21)

Session 4 - Selecting, Defining, and Collecting Data and Performance Measures (February 28)

Session 5 - Analyzing and Using Data and Evidence to Inform Decisions (March 7)

-- Spring Break; No Class on March 14 --

Session 6 - Analyzing and Using Data and Evidence to Improve Performance (March 21)

Session 7 - Creating Incentives and Accountability for Performance (March 28)

Session 8 – Using Evidence and Evaluation Techniques (April 4)

Session 9 – Building Institutional Capacity to Ensure Sustainability (April 11)

-- Patriots' Day Holiday; No Class on April 18 --

Session 10 - Using Behavioral Public Administration Techniques (April 25)

Session 11 - Class Presentations from Teams (May 2)

Session 12 – International Performance Management Initiatives (May 9)

Session 13 - Frontiers for the Future of the Performance Management Movement (May 16)

Session 14 – No Final Exams - No Classes (May 23)

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Course Schedule – Each Week at a Glance

(Note: the syllabus will be updated as needed during the course of the semester)

Session 1 – Course Orientation, Introductions, and Overview of the Evolution of the Performance Management Movement in the U.S.

February 7

Topics:

Part 1: Instructor Presentation - Course Orientation and Introductions

Part 2: Instructor Lecture, followed by Class Discussion - Evolution of the Performance Management Movement in the U.S.

Four (4) Assignments to Be Completed Prior to Class:

- **Video-record a 2-3-minute segment on “Who Are You?”** in advance of the class meeting and send to the Instructor by Noon, Monday, February 6.
 - This is to familiarize the Instructor with each student and obviate the need to do this during the first class meeting itself. See more detailed instructions at the VoiceThread link for details.

- **Review required materials and post your observations/comments in the Moodle Discussion Forum.** Review required materials (see below) and post your observations/comments on Moodle by noon on the Friday before the first class (February 3). (See **Addendum A** for details).
 - Your post should be about 250-300 words in length (equivalent to one page, single-spaced). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, February 6 (the day before class). Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.
- **Sign up to be a co-moderator** for future Sessions
 - see Sign-Up and Instructions in **Addendum B**
- **Sign up for your individual assignments** and presentations
 - see Sign-Up and Instructions in **Addendum C**

Required Materials to Review Prior to Class:

Prajapati Trivedi (2020). Video: "Government Performance Management: A Case of the United States:"

<https://drive.google.com/file/d/1u-qsz2yv-zk3iSdDkeli2hWtnV2TsJTY/view> (1:40)

Good historical background and context; a bit hyperbolic in his description of Kamensky. You can skip the first 38 minutes if you like. Dr. Trivedi is the former secretary for performance in the government of India and is a special advisor to the secretary general of the Commonwealth Secretariat on performance management issues. This video is one in a series of training videos he prepared to train leaders in the 54 countries belonging to the Commonwealth Secretariat.

John Kamensky (2018). "Chapter 4: Managing Performance," found in: Mark Abramson, Daniel Chenok, and John Kamensky, eds. *Government for the Future: Reflections and Vision for Tomorrow's Leaders*. Lanham, MD: Rowman & Littlefield Publishers, pp. 61-87 (26 pages).

<https://www.businessofgovernment.org/sites/default/files/Chapter%20Four%20Managing%20Performance.pdf>

Useful context of the evolution of performance management at the federal level between 1998 – 2018.

IBM Center Blog Post: [Performance Management: An Emphasis on Accountability](#), February 19, 2020. *Please scan the hotlinked materials embedded in the blog post as well.*

IBM Center Blog Post: [Performance Management: An Emphasis on Learning](#), February 26, 2020. *Please scan the hotlinked materials embedded in the blog post as well.*

Session 2 - Creating a Performance Context

February 14

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Instructor Lecture and Individual Student Presentations on Creating a Performance Context:

- Instructor Overview Lecture on the 4 Performance Context themes:
 - Strategic Outcome Indicators, Strategic Foresight, Strategic Planning, and Enterprise Risk Management
- Individual Student Presentations on Creating a Performance Context:
 - Key National Indicators Presenter: xxxxxxxx

Her presentations will be followed by class discussion of readings associated with Strategic Outcome Indicators, Strategic Foresight, Strategic Planning, and Enterprise Risk Management

Part 2: Guest Speaker: xxxxxxxx, acting director, Baltimore Neighborhood Indicators Alliance; followed by discussion of Team Assignment Memos, Timelines

Assignment to Be Completed Prior to Class:

Review required materials (see below) and post your observations/comments on Moodle on one of the four themes of materials by noon on the Friday before class (February 10). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Review readings associated with all four Performance Context Themes, but select only one to write about for the Discussion Forum

Performance Context Theme 1: Strategic Outcome Indicators

IBM Center Blog: GAO Outlines National Indicators System (April 12, 2011).

<https://www.businessofgovernment.org/blog/gao-outlines-national-indicator-system>

- U.S. Government Accountability Office (2011). *Key Indicator Systems: Experiences of Other National and Subnational Systems Offer Insights for the United States* ([GAO-11-396](#)). 108 pgs.
- USAFacts. <https://usafacts.org>
- Community Indicators Consortium. <https://communityindicators.net>

Read the blog post. Scan the GAO report and the USAFacts & CIC websites.

Performance Context Theme 2: Strategic Foresight

IBM Center Blog: Federal Government Reform Resources: Anticipatory Governance Report (November 28, 2012). <https://www.businessofgovernment.org/blog/federal-government-reform-resources-anticipatory-governance-report>

J. Peter Scoblic, "Learning from the Future," *Harvard Business Review*, July-August 2020.
<https://hbr.org/2020/07/learning-from-the-future>

Performance Context Theme 3: Strategic Planning

John M. Bryson (2018). *Strategic Planning for Public and Nonprofit Organizations, Fifth Edition* (San Francisco, CA: Jossey-Bass).

Scan chapters 1 and 2 to understand key takeaways (63 pgs.).

- *The electronic version of the book is available at no cost through the UMass Library. Login to the library and search for the book, by title. Follow this link to the eBook:*
<https://ebookcentral.proquest.com/lib/uma/detail.action?docID=5215307>

Performance Context Theme 4: Enterprise Risk Management

Michael J. Keegan (2018). "Chapter 7: Assessing Risk," found in: Mark Abramson, Daniel Chenok, and John Kamensky, eds., *Government for the Future: Reflections and Vision for Tomorrow's Leaders*. Lanham, MD: Rowman & Littlefield Publishers. (27 pgs.)

<https://www.businessofgovernment.org/sites/default/files/Chapter%20Seven%20Assessing%20ORisk.pdf>

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 3 - Alternative Approaches and Tools for Creating Performance Management Frameworks

February 21

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Individual Student Presentations on Alternatives for Informing a Performance Framework

- | | |
|----------------------|---------------------|
| • Logic Model | Presenter: xxxxxxxx |
| • Lean Six Sigma | Presenter: xxxxxxxx |
| • Balanced Scorecard | Presenter: xxxxxxxx |
| • Baldrige Criteria | Presenter: xxxxxxxx |

Part 2: Instructor Lecture on "Performance Management Frameworks" followed by Class discussion of reading assignments and his presentation.

Assignments to Be Completed Prior to Class:

Review required materials (see below). These readings offer five conceptually different performance frameworks. Please identify, compare, and contrast them and post your observations/comments on Moodle by noon on the Friday before class (February 17). Your post

should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

John Kamensky and Jay Fountain (2008). Chapter 23, "Pulling It All Together: Creating and Sustaining a Results-Oriented Performance Management Framework," in *International Handbook of Practice-Based Performance Management*, edited by Patria de Lancer Julnes, Frances Stokes Berry, Maria Aristeguieta, and Kaifeng Yang. Los Angeles, CA: Sage Publications, pp. 489-508.(19 pgs).

https://us.sagepub.com/sites/default/files/upm-assets/18498_book_item_18498.pdf

Alnoor Ebrahim (2019). "Measuring Social Change: Performance and Accountability in a Complex World." YouTube Video.

<https://www.youtube.com/watch?v=-RAM5oNvHQk> (24 min.)

Lyle Wray (2022). "Chapter 5: Launching and Sustaining a Performance Management System," in the *Public Productivity and Performance Handbook*, 3rd Ed., edited by Marc Holzer and Andrew Ballard. New York, NY: Routledge Press, pp. 85-91 (16 pgs). (see reading file)

Scan the following:

U.S. Office of Management and Budget (2022). Circular A-11, *Part 6: The Federal Performance Framework for Improving Program and Service Delivery*. https://www.whitehouse.gov/wp-content/uploads/2018/06/part6_executive_summary.pdf (read Exec Sum and scan Section 200)

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 4 - Selecting, Defining, and Collecting Data and Performance Measures

February 28

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Instructor Lecture on Performance Measures followed by Class discussion of reading assignments and his presentation.

Part 2: Guest Speaker: xxxxxxxx Principal Program Analyst, North Carolina Office of State Budget and Management

Assignment to Be Completed Prior to Class:

Review required materials (see below). The readings identify different challenges in selecting, defining, and collecting data and performance measures. Please use Dr. Behn's "purposes" to reflect on Dr. Hatry's recommendations to improve performance measurement, and post your observations/comments on Moodle by noon on the Friday before class (February 24). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Robert Behn (2003). "Why Measure Performance? Different Purposes Require Different Measures," *Public Administration Review*. 63: 586.

https://academic.udayton.edu/richardghere/IGO%20NGO%20research/Behn_Robert_D.pdf

Harry Hatry (2014). *Transforming Performance Measurement for the 21st Century*. Washington, DC: Urban Institute. <https://www.urban.org/sites/default/files/publication/22826/413197-transforming-performance-measurement-for-the-21st-century.pdf> (86 pgs.)

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 5 - Analyzing and Using Data and Evidence to Inform Decisions

March 7

Session Co-Moderator: None

Topics:

Part 1:

- Instructor Lecture: What is "Theory of Change?"
- Individual Student Presentations on Alternatives for Informing Decisions
 - Performance Budgeting/Outcome- or Results-Based Budgeting
Presenter: xxxxxxxx
 - Activity Based Costing
Presenter: xxxxxxxx
 - Program Assessment Rating Tool
Presenter: xxxxxxxx
 - Agency Strategic Reviews
Presenter: xxxxxxxx

Part 2: Guest speaker: xxxxxxxx, former Performance & Innovation Officer, Albuquerque, NM; Associate, Results for America

Assignment to Be Completed Prior to Class:

Review required materials (see below). The readings describe ways information can be used to inform decisionmaking at different levels of government. Please highlight elements of particular interest and post your observations/comments on Moodle by noon on the Friday before class

(March 3). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Read/listen to the following materials:

Andy Feldman's GovInnovator Interview Series: [Las Vegas's data-driven effort to improve traffic safety at its most dangerous intersections](#): Betsy Fretwell, City of Las Vegas (9 min.)

IBM Center Blog: [Using Performance Info to Make Decisions](#) (Federal), October 6, 2015

John Whitley (2014). *Four Actions to Integrate Performance Information with Budget Formulation*. IBM Center for The Business of Government. Retrieved at: <https://www.businessofgovernment.org/report/four-actions-integrate-performance-information-budget-formulation>

Scan the following to become familiar with its contents:

David Ammons and Dale Roenigk (2022). *Tools for Decision Making: A Practical Guide for Local Government*, 3rd Edition. New York, NY: Routledge Books; Taylor & Francis Group (scan Table of Contents and Introduction).

(Optional Supplemental Readings Can Be Found in Addendum G)

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-- Spring Break; No Class on March 14 --

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Session 6 - Analyzing and Using Data and Evidence to Improve Performance

March 21

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Instructor Lecture on "Analytic Approaches to Support Decisionmaking and Improve Performance," followed by a brief Class discussion.

Part 2: Instructor and Individual Student Presentations on Analytic Tools for Improving Performance

Instructor will provide an overview of several analytic tools to improve performance, including:

- PerformanceStat
- Best Practices
- Performance Dashboards

His presentation will be followed by student presentations:

- Agile xxxxxxxx
- Benchmarking xxxxxxxx
- GIS/Visualization xxxxxxxx

These will be followed by Class discussion of reading assignments and their presentations.

Assignments to Be Completed Prior to Class:

Review required materials (see below). The readings describe how performance information is being used (or not) with a focus on PerformanceStat's uses at different levels of government. Please look for differences and similarities of particular interest and post your observations/ comments on Moodle by noon on the Friday before class (March 17). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

IBM Center Blog: [Why Isn't Performance Information Being Used?](#) October 9, 2014

Andy Feldman's GovInnovator Interview Series: [How Philadelphia became a leader in the use of data and evidence](#): Podcast. Maia Jachimowicz, Results for America (12:25).

Melissa Wavelet (2019). *A Practitioner's Framework for Measuring Results: Using "C-Stat" at the Colorado Department of Human Services*, IBM Center for The Business of Government. (48 pgs.) Retrieved at: <http://businessofgovernment.org/sites/default/files/A%20Practitioner%27s%20Framework%20for%20Measuring%20Results.pdf>

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 7 - Creating Incentives and Accountability for Performance

March 28

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Individual Student Presentations on Tools for Performance Accountability

- Performance-based Pay Presenter: xxxxxxxx
- Performance-based Grants Presenter: xxxxxxxx
- Instructor Overview:
 - Performance-based Contracting
 - Performance-based Regulations
 - Performance Agreements

Part 2:

- Instructor Lecture on accountability, when the analytic tools may create counterproductive performance behaviors, and the role of public performance reporting. This will be followed by Class discussion of reading assignments and his presentation.
- *Begin preparation for Team Assignments. Discuss the selection of agencies, and agency priority goals, the forming of assessment teams, finalizing assessment criteria.*

Assignments to Be Completed Prior to Class:

Review required materials (see below). The readings describe how performance information is used to create accountability for performance, and how sometimes this emphasis results in unintended consequences. Please highlight points of particular interest and post your observations/comments on Moodle by noon on the Friday before class (March 24). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

IBM Center Blog: [Using Data: From Hammer to Flashlight](#), October 31, 2017

Shelley Metzenbaum (2022). "Chapter 14: Accountability: What Does It Mean, Constructively Managing It, and Avoiding the Blame and Claim Game." In the *Public Productivity and Performance Handbook*, 3rd Ed., edited by Marc Holzer and Andrew Ballard. New York, NY: Routledge Press, pp, 180-201. (21 pgs.) Which can also be found in manuscript at: [https://static1.squarespace.com/static/6078a2e76c2cfc6da9c6b949/t/608080fd60757d757a8b452f/1619034387459/Accountability Metzenbaum.pdf](https://static1.squarespace.com/static/6078a2e76c2cfc6da9c6b949/t/608080fd60757d757a8b452f/1619034387459/Accountability+Metzenbaum.pdf)

Robert Behn (2016). "When Performance Measures Are Counter-Productive," *Government Executive* (August 14). <https://www.govexec.com/management/2016/08/when-performance-measures-are-counter-productive/131004/>

John Kamensky (2019). "When Performance Goals Backfire," *Government Executive* (October 29). <https://www.govexec.com/management/2019/10/when-performance-goals-backfire/160708/>

[Atlanta Officers Scored on Level of Arrests](#) (March 2, 2022) CBS News Channel 46
Channel 46 Investigates takes a look inside what some are calling an incentive system that encourages Atlanta police officers to arrest more people.

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 8 – Using Evidence and Evaluation Techniques

April 4

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Class discussion of reading assignments.

- Instructor Lecture on the “Evolution of the Evidence and Evaluation Movement.”

Part 2: Student Presentations on new policy tools based on the use of evidence.

- Social Impact Bonds/Pay for Results Presenter: xxxxxxxx
- Tiered Evidence Grants Presenter: xxxxxxxx
- Social Equity Measures Presenter: xxxxxxxx

Assignments to Be Completed Prior to Class:

Review required materials (see below). The readings describe the evolution of what is being called the “Evidence Movement.” In the blog series there are a number of hotlinks. Please explore areas that spark your interest and post your observations/comments on Moodle by noon on the Friday before class (March 31). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Harry Hatry (2022). “Chapter 16: Evaluation Guide for Public Service Program Managers,” in the *Public Productivity and Performance Handbook*, 3rd Ed., edited by Marc Holzer and Andrew Ballard. New York, NY: Routledge Press, pp, 229-245. (16 pgs.). A version of this can be found at: <https://www.urban.org/sites/default/files/publication/103385/evaluation-guide-for-public-service-program-managers.pdf>

Peter York and Michael Bamberger (2020). *Measuring Results and Impact in the Age of Big Data: The Nexus of Evaluation, Analytics, and Digital Technology*. Rockefeller Foundation. 72 pgs.
<https://www.rockefellerfoundation.org/wp-content/uploads/Measuring-results-and-impact-in-the-age-of-big-data-by-York-and-Bamberger-March-2020.pdf>

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 9 - Building Institutional Capacity to Ensure Sustainability

April 11

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Class discussion of reading assignments; Instructor Lecture on the different initiatives underway in government at all levels, and in the nonprofit sector, to help build institutional capacity for performance management writ large.

Part 2: Guest Speaker: xxxxxxxx, Director, Center for Government Excellence, Johns Hopkins University

Assignment to Be Completed Prior to Class:

Review required materials (see below). The readings describe selected elements of building institutional capacity to sustain performance management initiatives. Please drill down on areas that spark your interest and post your observations/ comments on Moodle by noon on the Friday before class (April 8). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Evan Berman (2022). "Chapter 11: Sustaining Performance in the Public Sector: The Role of Managers," in the *Public Productivity and Performance Handbook*, 3rd Ed., edited by Marc Holzer and Andrew Ballard. New York, NY: Routledge Press, pp, 131-136. (5 pgs.) (see reading file)

Pew-MacArthur Results First Initiative (2017). *How States Engage in Evidence-Based Policymaking: A National Assessment* (46 pgs.) https://www.pewtrusts.org/-/media/assets/2017/01/how_states_engage_in_evidence_based_policymaking.pdf

IBM Center Blog: [Learning Agendas: An Effort to Answer – “Does It Work?”](#) February 17, 2021.

- Kathryn Newcomer, Karol Olejniczak, and Nick Hart (2021). *Making Federal Agencies Evidence-Based: The Key Role of Learning Agendas*. IBM Center for The Business of Government.
<https://www.businessofgovernment.org/sites/default/files/Making%20Federal%20Agencies%20Evidence%20Based.pdf>

(Optional Supplemental Readings Can Be Found in Addendum G)

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-- Patriots' Day Holiday; No Class on April 18 --

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Session 10 – Using Behavioral Public Administration Techniques

April 25

Session Co-Moderator: xxxxxxxx

Topics:

Part 1: Instructor Lecture – “Overview of Behavioral Public Administration and its Evolution,” followed by Class discussion of reading assignments.

Part 2: Guest speaker: xxxxxxxx, former lead for the City of Philadelphia Behavioral Science Initiative; founder of Anavi Strategies

Assignments to Be Completed Prior to Class:

Review required materials (see below). The readings describe the evolution of what is being called the “Behavioral Public Administration Movement.” In the blog series there are a number of hotlinks. Please drill down on areas that spark your interest and post your observations/ comments on Moodle by noon on the Friday before class (April 21). Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Andy Feldman’s *GovInnovator* Interview Series (2015): [Using behavior insights to improve government performance](#): Maya Shankar, White House Social and Behavioral Science Team

IBM Center Blog Series on Behavioral Public Administration (2019):

Part I: [How Can Behavioral Science Improve Program Outcomes?](#)

Part II: [What Are Some Basic Behavioral Science Concepts?](#)

Part III: [How Is Behavioral Science Influencing Public Administration?](#)

Part IV: [Using Behavioral Science to Improve Federal Outcomes](#)

Part V: [Using Behavioral Insights to Reduce Miner Injuries](#)

Part VI: [Nudge in the City: Behavioral Science in Government](#)

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 11 - Class Presentations from Teams

May 2

Topics:

Part 1: Presentation and Discussion from Team Assignment Memos on Assessing Federal Agency Priority Goals

- Team 1 – USDA – xxxxxxxx
- Team 2 – xxxxxxxx

Part 2: Presentation and Discussion from Team Assignment Memos on Assessing Federal Agency Priority Goals

- Team 3 – HHS – xxxxxxxx
- Team 4 – HUD – xxxxxxxx

Assignments to Be Completed Prior to Class:

None

Required Materials to Review Prior to Class:

None

Session 12 – International Performance Management Initiatives

May 9

Topics:

Part 1: Invited Guest/Commentor: xxxxxxxx, U.S. Office of Management and Budget, Performance Leads for Agency Priority Goals

- Discussion across teams to identify commonalities, differences in approaches.

Part 2: Instructor Lecture – International Performance Management Initiatives, and how they reflect/influence U.S. performance management. Followed by class discussion.

Three Assignments to Be Completed Prior to Class:

- Review the OMB Management Chapter (which was written by Adam Lipton) as background for the session. No need to comment on it in the Discussion Forum.
- Write a short essay (less than 300 words) that summarizes three takeaways or “ah hah” moments from what you learned over the past four months in this course. Bullets are fine. Please post to Discussion Forum. No need to comment on each others’ essays!

- Review required materials (see below). The readings provide a taste of what other countries are doing as part of the broader Performance Movement.” In the blog series there are a number of hotlinks, but many of them may no longer work. These readings will serve as the basis for class discussion on how different countries approach the use of performance management. Please be prepared.

Required Materials to Review Prior to Class:

Background reading for guest speakers (they are the lead authors of this piece):

U.S. Office of Management and Budget, *Analytical Perspectives*, Fiscal Year 2024, Management Priorities, Chapter 11: “Delivering a High-Performance Government.:

https://www.whitehouse.gov/wp-content/uploads/2023/03/ap_11_delivering_fy2024.pdf

International Readings:

IBM Center Blog: What Does Performance Management Look Like in India? (October 3, 2013)

<https://www.businessofgovernment.org/blog/what-does-performance-management-look-india>

>> Praja Trivedi, Performance Management Series (2021). Video. Session 10: Case Study of Government Performance Management System in India – The Results Framework Document (0:58:00) [*this presentation provides more details; review is optional*]

https://drive.google.com/file/d/1s6jzNXT3qdutXg0Fx_6kGpAreEwR0glk/view?usp=sharing

IBM Center Blog: Delivery Units Around the World (January 21, 2015)

<https://businessofgovernment.org/blog/delivery-units-around-world>

>>Martin Alessandro, Mariano Lafuente, and Carlos Santiso (2015). *Governing to Deliver: Reinventing the Center of Government in Latin America and the Caribbean*, InterAmerican Development Bank; Washington, DC [*scan report for more details on this approach*]

IBM Center Blog: Insights from New Zealand’s “Results” Program (March 6, 2017)

<https://www.businessofgovernment.org/blog/insights-new-zealands-results-programme>

>> Rodney Scott and Ross Boyd (2017). *Interagency Performance Targets: A Case Study of New Zealand’s Results Programme*. IBM Center for The Business of Government

<https://www.businessofgovernment.org/report/interagency-performance-targets-case-study-new-zealand’s-results-programme> [*scan report for more details on this approach*]

IBM Center Blog: A Tale of Two Cities: How Different Performance Management Systems Use Citizen Feedback

Part 1: New York City, USA (November 5, 2018):

<https://www.businessofgovernment.org/blog/tale-two-cities-how-different-performance-management-systems-use-citizen-feedback-part-1>

Part 2: Hangzhou, China (November 7, 2018):

<https://www.businessofgovernment.org/blog/tale-two-cities-how-different-performance-management-systems-use-citizen-feedback-part-2>

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 13 - Frontiers for the Future of the Performance Management Movement

May 16

Topics:

Part 1: Tying together loose threads from individual and team assignment memos; discuss revised Memos to House Committee Leadership

Part 2: Instructor Lecture on Frontiers followed by class discussion of reading assignments.

Two Assignments to Be Completed Prior to Class:

- Submit your revised “Team Memo to House Committee Leadership Assessing the Agency’s Priority Goals” to reflect feedback and insights from other teams. Be prepared to summarize and discuss your Memos to the House Committee Leadership.
- Review required materials (see below). The readings describe evolving future directions in the field of performance management. Please drill down on areas that spark your interest and post your observations/ comments on Moodle by May 12. Your post should be about 250-300 words in length (equivalent to one page). Offer your comments on-line on the posts by two other classmates by 5:00 p.m. on Monday, the day before class. Posts and comments will serve as the basis for class discussion on the readings. Please be prepared.

Required Materials to Review Prior to Class:

Donald Kettl (2017). Excerpt of "Can Governments Earn Our Trust," Volcker Alliance.

<https://www.volckeralliance.org/news/book-excerpt-can-governments-earn-our-trust>

John Kamensky, “Chapter 6: Becoming Collaborative,” in: Mark Abramson, Daniel Chenok, and John Kamensky, eds. (2018). *Government for the Future: Reflections and Vision for Tomorrow’s Leaders*. Lanham, MD: Rowman & Littlefield Publishers, pp. 111-137 (28 pgs.).

<https://www.businessofgovernment.org/sites/default/files/Chapter%20Six%20Becoming%20Collaborative.pdf>

Shelley Metzenbaum, “Chapter 16: The Future of Data and Analytics” (12 pgs.), found in:

Mark Abramson, Daniel Chenok, and John Kamensky, eds. (2018). *Government for the Future: Reflections and Vision for Tomorrow’s Leaders*. Lanham, MD: Rowman & Littlefield Publishers,

pp. 241-253 (12 pgs.).

<https://www.businessofgovernment.org/sites/default/files/Chapter%20Sixteen%20The%20Future%20of%20Data%20and%20Analytics.pdf>

(Optional Supplemental Readings Can Be Found in Addendum G)

Session 14 – No Classes

May 23 (No Final Exam)

This course will not have a final exam. The final version of the Team Assignment Memos to House Committee Leadership Assessing Federal Agency Priority Goals will be due by Noon, Friday, May 19.

* * * * *

ADDENDA

A. How to Use On-Line Class Discussion Forum

(courtesy of Professor Jane Fountain)

Besides the real-time, on-line classes, the most frequent form of interaction for the course will be our discussion forum. Use it to deepen and strengthen your learning.

I'm not the leader of the discussion forum, but will step in from time to time to facilitate, to ask questions, and to move us along if I think that's needed. You are all mature learners and have your own interests and directions. Pursue them through the discussion forum. Your colleagues in the course will have ideas to share. Let's explore what you find interesting in the course materials, what seems to be missing, what other resources and ideas you want to share, and, importantly, what are some of the practical ways forward to reduce build policies, practices and communities that serve the public interest.

Don't be afraid to differ with others, but do it respectfully and constructively. We can all learn from one another.

How to Post and Comment on the Discussion Forum

I'm going to assume you've done this before on Moodle and know more about it than I do, but each Class Session will have a new Discussion Forum to discuss that week's required review materials. You are expected to add your own 250-300 word contribution as a "New Discussion Topic." Please do this by Noon on the Friday before the Class meets. This will give you and your classmates time to read and respond to each others' written insights.

Please complete your comments on others' posts by 5:00 p.m. on the Monday before our Tuesday Class meeting. (comments on the Forum app are called "Replies"). That will give the co-moderator and myself time to review and digest the posts and comments in advance of the class session. These posts and comments will become the launch point for in-class discussions that will follow.

Some suggested formatting of your posts:

- Title the post with the class session and your descriptive heading (e.g., Session 2: Why Should Context Matter?). A good heading should invite others to click on your post and read/respond. And by labeling with the class session, I can better distinguish one week from another when I read your posts across the entire semester.
- Your posts should be broken into short paragraphs. A single blob of text is uninviting to read – in class and in the real world you'll be working in eventually.
- Focus on a single topic; don't try to cover everything in the readings. you can better articulate your insights by selecting a theme and focusing.

Discussion Forum: Criteria for Grading (30% of total grade)

A+ - Frequent posts (substantially above the minimum requirement of 2 per session) and all postings are insightful, critically developed and contribute positively to the "class discussion." Posting early, before the deadline, is encouraged in order to promote further discussion and inquiry by classmates, and will be a grading factor.

A- – Number of postings are above the minimum number and they are insightful, critically developed and contribute positively to the class discussion. Postings are done by the deadline thereby promoting further discussion and inquiry by classmates.

B+ - Few postings (just meeting the minimum requirement). Postings do not offer any insight to the discussions or readings. They are general comments and opinions that are not critically developed.

B - The minimum number of postings is not met and some units are missed. The postings in general only make an occasional reference to the assignment, readings or discussion preventing further discussion or questions. Responses to other students' postings are not positive and they lack insightful comments limiting further discussion.

C - Consistent failure to maintain the minimum number of postings and having missed units. Postings are not organized nor developed, and inappropriate comments are made. Responses to other students' postings are not consistent and they do not add to the discussion nor raise new questions.

Discussion Forum Etiquette

- **Be thoughtful.** Include something new in your reply. For example, include more than "I do

not agree” or “Good point.” State why you agree or disagree. Be considerate of the points made by others.

- **Be concise.** Keep posts short. Include web addresses or attachments where necessary.
- **Stay on the topic.** Make sure your message fits within the general topic of the forum. If it does not, look for a suitable forum.
- **Include a descriptive subject.** Make threads easy to follow by using accurate and descriptive subject lines.
- **Create new threads as needed.** If your message will take the current thread’s topic in a new direction, start a new thread.
- **Use plain English.** Use simple, conversational, uncomplicated language. Remember, your audience is reading onscreen and may have several messages to read. Also, English may not be the first language of all participants.

I don’t anticipate rudeness or unacceptable behavior on our discussion forums. But this is not a Reddit forum or a social media opportunity for snark. In the end, this is an academic space devoted to your learning and development. So, it needs to be a safe space where people can try out ideas and receive constructive, useful, specific feedback. Providing this feedback is an art and a professional skill that is well worth your time to develop.

B. Sign-Up Sheet and Instructions for Your Role as a Co-Moderator

Because this course is on-line and interactive, I’m asking each of you to play a role in supporting both the technical component as well as the discussion component of the on-line class. Please sign up to serve in this role twice during the semester.

- Each class session will have two co-moderators. One will be the lead support the first Part; the other will lead support for the second Part.
- The co-moderators will help lead class discussions on designated topics each week, and monitor time of presenters to ensure they don’t run over their time.
- Those who lead discussions on class Discussion Forum posts will need to read the discussion forum posts on the readings required in advance of class. That individual will be exempt from having to prepare posts/responses for that class session.
- Meet on-line jointly with instructor prior to the on-line classroom session for which you have signed-up to help moderate, to discuss class flow.

C. Sign-Up Sheet and Instructions for Individual Assignments: Memos on a Performance Tool or Technique

Contents of Individual Presentations:

Prepare your material in the form of a memo to an agency leader that describes your selected performance tool as if it is under consideration for adoption in that agency. The product of your research should be:

- (1) a 3-4 page memo (about 1,000 – 1,300 words, single space) to your Agency Head on a selected technique or tool that includes at least 3-5 references/citations where readers can learn more. (These citations should not be to Wikipedia);
- (2) a 5-minute oral presentation with 3-5 slides;
- (3) respond to class questions for an additional 5 minutes; and
- (4) develop a revised memo based on feedback that will then be included in a final “tool box” of memos to be posted on the web.

Your memo and presentation should address topics such as: What is it? When developed? Who/where developed? Describe how it works/ is used. What is its relation to other tools/techniques within a broader performance management framework? Your assessment of its usefulness in different scenarios. Pluses/ minuses of the tool/technique. We will discuss in class the use of a common format (for the revised memo) once we see a useful pattern.

Following is a list of tools to choose from. Select two (2) that no one else has selected. Presentations will be on the dates listed below:

Topics to Choose Among:

Presentations at Session 2 (February 14): *Creating a Performance Context*

- Key National Indicators
- Backcasting
- Enterprise Risk Management

Presentations at Session 3 (February 21): *Alternatives for Informing a Performance Framework*

- Logic Model
- Lean Six Sigma
- Balanced Scorecard
- ISO-9000 Standards
- Baldrige Quality Award Criteria

Presentations at Session 5 (March 7): *Using Data & Evidence to Inform Decisions*

- Performance Budgeting/Results-Based Budgeting
- Activity Based Costing
- Program Assessment Rating Tool

- Agency Strategic Reviews

Presentations at Session 6 (March 21): *Using Data & Evidence to Improve Performance*

- PerformanceStat
- Agile
- Benchmarking
- Best Practices
- Performance Dashboards
- GIS/Visualization Tools

Presentations at Session 7 (March 28): *Creating Incentives and Accountability for Performance*

- Performance Agreements
- Performance-Based Pay
- Performance-Based Contracting
- Performance-Based Grants
- Performance-based Regulations

Presentations at Session 8 (April 4): *Using Evidence & Evaluation Techniques*

- Social Impact Bonds/Pay for Results
- Randomized Control Trials
- Tiered Evidence Grants
- Learning Agendas
- Social Equity Measures

Your presentation date will be treated as your first draft for your memo. Based on feedback from the discussion, your final memos will be due two weeks after your class presentation.

D. Instructions for Team Assignment Memo: Assessing a Federal Agency's Priority Goals

The Team Assignment Memo will be to assess a federal agency's two-year Priority Goals for fiscal years 2022-2023 (October 2021 – September 2023). These goals, and their quarterly progress updates, are published on a central website, www.performance.gov. The updates lag by one quarter (e.g., the quarter ending Dec 31 will be published around March 31).

Overview

Each team will be comprised of two people. You can select who you would like to work with and which agency you would jointly like to review from a list of the 24 major departments and agencies (see below; I've deleted several for reasons I can explain later).

The team goal is to serve as an analytic team from [GAO](https://www.gao.gov/) (or an outside group, like [Results for America](https://www.resultsforamerica.org/)) that provides an outside assessment of the goals against a set of criteria (to be developed by the class).

You will then summarize your assessment and draft a memo to the U.S. House Committee Chair and Ranking Minority Member that has oversight of that agency.

You will then use PowerPoint to present the contents of the draft to the full class in a briefing for discussion and then have an opportunity afterwards to fine tune the memo into a final document to be submitted to the instructor. Presentations will be on May 2.

Contents of Memo to House Committee Leadership and PowerPoint Presentation to Class:

- 7-10 page memo to the House Committee Chair and Ranking Minority Member (about 2,500 – 3,500 words, single spaced)

Background Overview of Agency (~ 2 pages):

- Agency size, mission, \$, staff size (FTEs), field office presence
- Summary list of Agency Priority Goals, with brief descriptions

Analytic Assessment & Recommendations (balance of memo):

- Apply the jointly develop assessment criteria for use by all teams
- Revise draft memo to include cross-agency assessments after listening to each others' presentations/papers (if you think that would be appropriate)
- Recommendations for improvement to the Committee

(The Timetable for signing up for a specific agency will be by March 21, the class session after Spring Break)

List of Federal Agencies to Choose Among

Department of Agriculture	Department of State / U.S. Agency for International Development (2 agencies)
Department of Commerce	Department of Transportation
Department of Defense	Department of the Treasury
Department of Education	Department of Veterans Affairs
Department of Energy	Environmental Protection Agency
Department of Health and Human Services	General Services Administration
Department of Homeland Security	National Aeronautics and Space Administration
Department of Housing and Urban Development	National Science Foundation
Department of the Interior	Office of Personnel Management
Department of Justice	Small Business Administration
Department of Labor	Social Security Administration

E. Campus Policies and Support

I want you to be successful in this course. This course is meant to meet you where you are. We all come to the program and courses with different strengths and needs. Feel free to talk with me about learning concerns and other matters related to your ability to make the most of this course and your professional development. I am happy to serve as a resource to you or to refer you to more knowledgeable sources. We are living through a highly uncertain time that is affecting individuals very differently.

Accommodation Policy Statement. Please let me know if you need any accommodations to make the course accessible to you. The University of Massachusetts Amherst is committed to making reasonable, effective and appropriate accommodations to meet the needs of students with disabilities and help create a barrier-free campus. If you have a disability and require accommodations, please register with Disability Services (161 Whitmore Administration building; phone 413-545-0892) to have an accommodation letter sent to your faculty. Information on services and materials for registering are also available on their website www.umass.edu/disability.

Identity. You have the right to have your chosen name and pronouns respected and used throughout the class. It may seem obvious, but learning people's names -- meaning what they prefer to be called -- and using them is a core professional (and human) skill. The class roster in Spire lists your name -- either legal first name or a preferred first name that has been entered in Spire. You may also enter the pronouns by which they would like to be referred in Spire. My pronouns are she/her. Policies and resources regarding gender identity are here: <https://www.umass.edu/stonewall/> A useful, practical article is here: <https://www.npr.org/2021/06/02/996319297/gender-identity-pronouns-expression-guide-lgbtq>

Title IX. If you have been the victim of sexual violence, gender discrimination, or sexual harassment, the university can provide you with a variety of [support resources](#) and accommodations. UMass is committed to providing these resources with minimal impact and costs to survivors on a case-by-case basis. Resources are available to survivors with or without them filing a complaint. No upfront costs are charged to any currently enrolled students for University Health Services or the Center for Counseling and Psychological Health, and no fees exist for services in the Dean of Students Office, the Center for Women and Community, Student Legal Services, or by live-in residential staff.

Mental Health. We are living in a particularly stressful and anxiety-producing time. Please reach out if you feel that you're falling behind or unable to do your work. The campus has excellent resources to help students and others cope with stress, anxiety, and other challenges to psychological wellbeing. Policies and resources: <https://www.umass.edu/counseling/> . Please put your physical and mental health first and find ways to engage in self care as well as care for those you are close to. Graduate programs are inherently stressful because they invite growth and development but require a great deal of work.

Statement on Academic Honesty. Be sure that any writing you produce does not inadvertently use the material of others. Be sure you follow this guidance throughout your professional career. See University guidelines on citing sources or check with me. We use a variety of online tools to compare written work by students with text available on the Internet. Plagiarism is a serious offense in education and in professional life. I have rarely encountered it in my classes and don't expect to. It is expected that all graduate students will abide by the Academic Honesty Policy (pp. 9-10 of the document available [here](#)). Sanctions for acts of dishonesty range from receiving a grade of F on the paper/exam/assignment or in the course, loss of funding, being placed on probation or suspension for a period of time, or being dismissed from the University. All students have the right of appeal through the Academic Honesty Board. See the useful set of resources at "How Do I Know if I'm Plagiarizing?" at <https://www.umass.edu/academichonesty/HowDoIKnow.html>
Additional policies and resources: <https://www.umass.edu/academichonesty/index.html>;
<https://www.umass.edu/honesty/>

Class Policy on Use of Artificial Intelligence. (based on Ethan Mollick's policy, Wharton School) You can use AI in this class (e.g., ChatGPT and image generation tools). Learning to use AI is an emerging skill in the future workplace, so you should learn its benefits and limits. Since most of these tools are still in the development phase, there are many limits to be aware of:

- If you provide minimum or vague prompts, you will get low quality results. Developing good prompts will take thought and work.
- Don't trust anything it says. If it gives you a number or fact, assume it is wrong unless either you know the answer or can check with another source. It works best for topics you already thoroughly understand.
- You need to acknowledge when you are using the tool. If you use it, please add a page at the end of your assignment that describes the prompts you used to get your results, and how you verified the information. Failure to do so is a violation of academic honesty policies.

Other Campus Resources. The campus has developed these resources to help you to be successful during your time at UMass Amherst. These resources are there for you to use, so you should not hesitate to do so.

- [Writing Center](http://www.umass.edu/writingcenter) - <http://www.umass.edu/writingcenter>
- [Learning Resource Center](http://www.umass.edu/lrc) - <http://www.umass.edu/lrc>
- [Student Success](https://www.umass.edu/studentsuccess/) - <https://www.umass.edu/studentsuccess/>
- [English as a Second Language \(ESL\) Program](http://www.umass.edu/esl) - <http://www.umass.edu/esl>

Graphic Credit: University of Massachusetts – Amherst, School of Public Policy, 2019 Orientation Session

F. Careers in Field of Performance Management

This addendum will be a running list of jobs at the federal, state, local, and non-profits in the field of performance management, so you can see what kinds of jobs will be available to you down the road. Most will be upper-level positions requiring prior experience, but for those that may be entry level, I'll "star" and give the deadline date by which applications are due.

G. Additional Resource Materials

The following attachments contain resources beyond what is being covered in this course, for your future use if interested:

1 – Supplemental Background Readings

Stuff I cut from the original reading materials for each class session, plus a few more

2 - Selected Professional Organizations Promoting Performance Management

Networks in the professional field of performance management for both practitioners and academics.

3 – Selected Web Resources on Performance Management

List of selected federal, state, local, non-profit and think tank resources.

4 – Selected Books on Performance Management

Some of my favorite books on the topic, both US and international.

H. Links to Recordings of Class Sessions

Links will be posted after class sessions have concluded.