

# Delivering Measurable Performance: Performance Evaluation Methods, Strategies and Tools for Policy Makers and Program Managers

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**Performance Evaluation Methods, Strategies and Tools (PEMST)** will provide strategies and methods for performance measurement for policymakers as well as program managers and program evaluators who are asked to develop or work within a performance measurement system.

**PEMST** is intended as a reference book that makes performance measurement accessible. **PEMST** explains the hybrid and applied nature of this field for public administrators and program evaluators, as well as describing the 10 additional methods besides program evaluation that are used in the field to develop performance measures. **PEMST** will also be helpful to methodologists who need to understand the multiple policy environments within which performance measures must be crafted.

Performance measurement is here to stay, but remains widely misunderstood because it has been associated with opposing ideological reform movements designed either to downsize government (“reinvention”) or empower it (“community mobilization”). Too often, performance measurement has been used to provide an objective and scientific cover for hidden policy agendas. These debates are fully reviewed in **PEMST**, along with the new focus on the need for “transformation” to produce “high performance” government launched by the 2003 Volker Commission.

**PEMST** defines performance measurement as an applied hybrid method distinct from program evaluation. Performance measurement actually combines methods from four different institutions each speaking a different policy language. From a methodological point of view, performance measurement requires

understanding two meta-data issues: Process Management and Research Metrics.

## THE “WHAT” OF PERFORMANCE MEASUREMENT

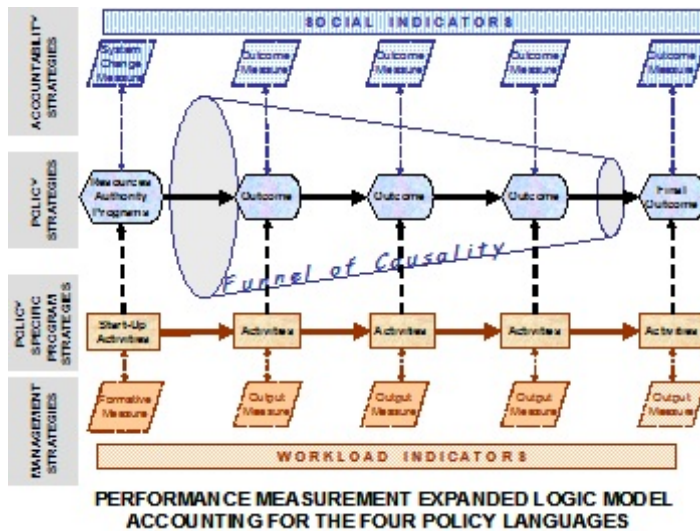


The validity and reliability of research metrics provide a solid grounding in the “facts” about whether there is progress towards desired goals. While rejecting the privatization policy agenda often treated as an intrinsic part of performance management, **PEMST** also identifies process management (the method of the “business process”) as one of the four basic languages of the policy process. Performance measurement is not just about outcomes – it is also about management of a process-based chain of events leading to desired outcome(s). Beyond just authorizing or managing program staff, program processes also need to be

### DISTINCTIVE FEATURES

- Comparison to program evaluation methods.
- Inclusion of issues of democratic governance and cross-institutional collaboration.
- Explanation of factors which materially affect the efficacy and utility of performance measurement in practice
- Introduction of the concept of the “four languages of the policy process”
- Redefinition of performance measurement as a distinct hybrid, cross-institutional method .
- Unique emphasis on the role of Congress in performance monitoring
- Comprehensive discussion of 10 different methods
- Tools for identifying the business process
- Inclusion of the concept of integrated practice
- A comparison of the pros and cons of different types of logic models
- Introduction of the “Matrix” Logic Model based on an outcome for each step of a defined process
- Reliance on new management concepts for “robust”/“high performing” organizations
- Discussion of the role of knowledge management
- Inclusion of information technology (IT) issues
- An accessible nontechnical approach
- Inclusion of practical examples and field tested tools from real projects

defined and managed in the applied context to produce a desired outcome. And each element must be measured to manage performance.



To explicate these four languages and methodological issues, **PEMST** introduces an expanded logic model. The use of the logic model common in current treatments of performance measurement is actually a collapsed or reduced version of the full range of methodological and analytical strategies. Drawing upon a research project for the U.S. Department of Justice directed by the author, **PEMST** includes a performance path matrix that includes accountability strategies, policy strategies management strategies, and program strategies for outcomes that unfold over time.

Performance measurement is designed to support the policy process *as it is being made*. Therefore, anyone wishing to master performance measurement must understand the policy process *at the leadership levels where policy is made*,

*using models that leaders themselves use to define and make policy.* The problem is that there is not just "one" policy process. At the leadership level, there are four basic policy cultures – each of which speak very different policy languages and manage the policy process from very different vantage points using distinct processes. These policy languages critical to the applied context of performance measurement include the language of programs, policy, accountability, and management, each of which are explained in the book.

Performance measurement is also often mis-used as a management tool for strategic policy advantage rather than treated as a method for improving policy and program effectiveness. Beryl Radin has been appropriately critical of misuses of performance measurement in her book, **Challenging the Performance Movement** (2006). PMMST addresses and provides solutions to the critiques so cogently raised by Radin, including her point that some policy arenas and program types may not be "ripe" for robust performance measurement.

What makes **PEMST** distinctive is its focus on legislative bodies – in particular, Congress (as well as executives and program and agency managers) – as the core accountable entities for ensuring the impact and effectiveness of management reforms in a responsible and accountable manner. Typically, most discussions of performance measurement focus only on the budget process and presidential recommendations (e.g., Elaine Kamarck's **The End of Government as We Know It** (2007) or the launching of the Bush administration's Program Assessment Rating Tool (PART) within the Office of Management and Budget). **PEMST**, in contrast, takes account of the full range of congressional oversight tools, the Constitutionally mandated role for Congress to check the executive, Congress' own political constituencies, and the unique policy language spoken by all policy makers regardless of their institutional base.

### About the Author

Denise Baer is a DC-based researcher, educator, trainer, and political expert. For over 20 years, she has been provided sophisticated public opinion and social science consulting with an emphasis on innovative solutions tailored to immediate needs. She has provided consulting for federal agencies (Department of Justice, Office of Juvenile Justice and Delinquency Prevention, Agency for International Development), and nonprofit organizations (National Democratic Institute for International Affairs, Pegasus Research Foundation, Center for Society, Law and Justice, Women's Campaign Fund, National Women's Political Caucus; Institute for Women's Policy Research, National Center on Policy, Committee for the Study of the American Electorate, Bethune-DuBois Fund, National Black Leadership Roundtable). Dr. Baer was an American Political Science Association Congressional Fellow in the 103<sup>rd</sup> Congress and has been an Analyst for the Congressional Research Service. She is the author of three books on political parties and her research has appeared in a variety of peer-reviewed journals including *Political Research Quarterly*, *American Review of Politics* and *Women and Politics*. As an educator, she has over 25 years experience teaching at the graduate and undergraduate levels at major universities. Dr. Baer has considerable experience in adult professional education, including "train-the-trainer" models for professional staff as well as in public leadership training. She received her doctorate in political science from Southern Illinois University-Carbondale in 1983.

# Performance Evaluation Methods, Strategies and Tools for Policy Makers and Program Managers

## Chapter Overview and Summary

### Preface

Argument of the Book  
How to Use this Book

### 1. Origins, Promises and Challenges of Performance Measurement

#### A. The Extravagant Promises of Performance Measurement

1. **Promise #1: Bridging the Micro-Macro Gap**
2. **Promises #2: Providing for Democratic Accountability**

#### B. Origins of Public Sector Performance Methods

1. *A Significant Sea Change in Public Expectations for Government*
2. *Reassertion of Congressional Authority Over the Budget and Programs*
3. *Methodological Advances in Program Evaluation*
4. *Changes in Public Sector Professionalized Management Techniques*
5. *Advances in Information Technology and New Models of Information Management*
6. *Changes in the Academic Study of Public Administration*
7. *Local Movements to Expand Effective Government*
8. *Budget Crises at State and Local Levels*
9. *Successful Political Movements to Downsize Government*
10. *Recognition of the Need to Organize to Manage Change and New Trend Drivers*

#### C. Performance Evaluation: Going Beyond the Elephant and the Three Blind Men

### 2. Primer on Performance Measurement

- A. Characteristics of an Accountable Performance Measurement System
- B. Basics of Performance measurement
- C. Methods of Developing Performance Measures
- D. Benefits of Performance Measurement
- E. Limits of Performance Measurement
- F. Knowing the Challenges of Performance Measurement
- G. Personnel or Policies and Programs? The "What" of Performance Measurement
- H. Policies vs. Programs: The "Who" of Performance Measurement
- I. Performance Measurement as a "Hybrid" Cross-Institutional Method
- J. A Translator's Guide to the Tower of Babel in Performance Measurement

### 2. The Four Languages of the Policy Process

- A. Public Policy: What You See Depends on Where You Sit
- B. Policy Strategies and Policy Languages: The "What" of Performance Measurement
- C. The Language of Policy
- D. The Language of Management
- E. The Language of Programs
- F. The Language of Accountability
- G. Language or Policy Level?: Policy vs. Agency vs. Program Levels of Measurement
- H. Parsing the Four Languages of the Policy Process

### 3. High Performance Government and Performance Monitoring

- A. Primer on the Growing Debate Over Performance Measurement
- B. Responsibility and Accountability as Core Features of Democratic Governance
- C. The Uniquely American Model of Public Administration and Policy Development
- D. Institutionalized Actors and the Madisonian Dilemma of Performance Measurement
- E. Institutional Tools for Performance Monitoring
- F. Types of Performance Monitoring (Agencies, Programs, Personnel, Grants and Contracts)
- G. The Politics of Performance Measurement: Stakeholders or Interest Groups?
- H. Both Ends of the Avenue: Executives vs. Legislatures
- I. Bureaucracies: Public Administration and the Personnel Function
- J. Reinventing Government or Reallocating Power? The Madisonian Dilemma Redux
- K. Performance Measurement as Democratic Method

### 4. Policy Issues Associated With Performance Measurement

- A. Executive-Driven Performance Measurement Initiatives
- B. Current Federal Program and Results Mandates
- C. Innovative State Initiatives
- D. Making the Business Case for Performance Measurement
- E. The Balanced Scorecard Approach
- F. Thinking Systematically: Investing in Performance Measurement
- G. Benefits of Early Adoption of Performance Measurement

**5. Methodological Issues Associated With Performance Measurement**

- A. Four Measurement Models
- B. Three Inferences
- C. 6 Key Analytical Issues
  - 1. Validity and Reliability are Different
  - 2. Science and Business Process Management Define These Terms Differently
  - 3. Performance Measurement is an Applied Model Drawing Upon Both Science and Business Models
  - 4. As a Result, There are Three Types of Inferences that Need to be Drawn for Performance Measurement
  - 5. What You Need to Demonstrate Varies According to the Type of Inference You Wish to Draw
  - 6. Methods and Criteria Used to Demonstrate Validity and Reliability Are Well-Defined According to the Type of Data Inference Being Justified
- D. Conclusion: All These Factors Need to be Included for Robust System

**6. The Family of Performance Measurement Methods and Strategies**

- A. Introduction
- B. Social Indicators Strategies
- C. Expert Work Groups/Performance Standards Setting Methods
- D. Strategic Planning Models
- E. Project Management Methods
- F. Functional Requirements
- G. Return on Investment Strategies
- H. Compstat Strategies
- I. Program Evaluation and Methods
- J. Cost-Benefit Methods
- K. CIO/Knowledge Management Models
- L. Conclusion: Which is Really Performance Measurement?

**7. Business Process Identification, Alignment and Measurement**

- A. IT, Knowledge Management and Performance Measurement
- B. The Catch-22s of Performance Measurement
- C. Four Types of Logic Models
  - 1. Planning Logic Model
  - 2. Menu Logic Model
  - 3. Concept Map Logic Model
  - 4. Matrix Logic Model
- D. Identifying a "Business Process"
  - 1. More complex outside of the business environment
  - 2. 3 types of processes + knowledge management
  - 3. Concept of "integrated practice"
- E. Logic Model/Theory of Change Method
- F. Business Processes Compared

**8. Performance Measurement Matrix Tools**

- A. Use of the Rapid Application Development Process
- B. Steps in Facilitating a Logic Model/Theory of Change Team
- C. Training the Team
  - 1. What is a Performance Measurement?
  - 2. What is a Business Process?
  - 3. Desirable Attributes for Performance Measurement
- D. Developing a Systematic, Managed Approach
  - 1. Checklist for Performance Measurement Systems
  - 2. Developing a Benchmarked System
- E. Performance Path Measurement Matrix Tool and Worksheet

**9. Applying the Matrix Method:**

[EXAMPLES TBD BASED ON INTERVIEWS]  
[Tools and Worksheets demonstrated]

**10. The Institutional and Political Context of Performance Measurement**

- A. Institutional Requirements for Performance Measurement
- B. A Moving Target: Steering vs. the Dashboard Concept
- C. Programs, Grants and Contracts or People? The Pay-for-Performance Argument Redux
- D. The Public/Private Debate and the Politics of Government by "Network" or by "Market"
- E. Can Performance Measurement be Professionalized?

**Sources / Bibliography**