Data Driven Reviews: Best practices and Lessons with Agency Priority Goals in Mind

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What I will cover today

- What are data-driven reviews (DDR): Federal landscape and relevance

- DDR best practices, lessons learned, and common errors

- A few results from Agency Priority Goal (APG) DDRs

- Commonalities and distinctions in a Bureau-level DDR

- Discussion and thinking toward October

What are Data-Driven Reviews?

What are Data-Driven Reviews?

- Data-driven performance reviews are regularly scheduled, structured meetings used by organizational leaders and managers to review and analyze data on progress toward key performance goals and other management-improvement priorities. They are generally used to target areas where leaders want to achieve near-term performance improvements, or to accelerate progress through focused senior leadership attention (1).

- An ongoing series of meetings where leaders review program (component) and performance data to understand the drivers of performance, share challenges and successes, and identify where action is needed (2).

(1) GAO DDR report: 15-579
(2) CDC program (component) definition

DDR Landscape and Evolution: "Stat" Models

- CompStat, New York City Police Department (1994)
  - Began holding biweekly "Operational Performance Reviews" to focus interventions, review relevant data, address issues and devise solutions
  - Greater enforcement of misdemeanor offenses greatly reduced NYC crime rate, including violent crime rate

- Model spread to over 500 police departments by the year 2000

- Further expansion throughout the next decade: city, state, federal
  - Baltimore (CitiStat), New Orleans (BlightStat)
  - Washing State, Ohio, Maryland
  - U.S. Border Patrol's "BorderStat"

DDR Landscape and Evolution: Federal Reporting

- **2010 Government Performance Reporting and Modernization Act (GPRAMA)**
  - Cross-Agency and Agency Priority Goals (CAP and APG)
  - Annual Strategic Reviews
  - Quarterly Priority Goal Meetings
  - Performance.gov (on hold for the moment)

- **Federal examples**
  - FDA-TRACK, HUDStat, FEMA Stat, Treasury Stat

- **CDC**
  - Winnable Battles and "Quarterly" Program Reviews (um…more like biannual)
  - Component-led DDR

Ok, DDRs (APGs) May be Required by Law but Why Are they Relevant For My Agency (or Bureau)?

- Maintains the focus on performance and promotes actions to improve

- Creates space to deal with drivers of performance (strategy), resolve problems, and make adjustments

- Growing body of evidence for significance of well-run reviews to organizational performance and meaningful use of data

- Fits within performance monitoring and evaluation efforts

DDRs Align Well with Federal Performance Monitoring and Evaluation

- Promotes inquiry into performance trends, outliers, and contextual information

- Advances the timeline of evaluation inquiry: why are we seeing these results

- Regularly challenges the fit of strategies in a program's strategic framework (e.g., logic model)

- Promotes learning and *evidence-informed* change

- Enhances accountability, stewardship, and transparency

DDR Best Practices, Lessons Learned, and Common Errors

Principles and Best Practices of Well-Run DDRs

- Executive & senior leader sponsorship
- Focus on priority goals
- Routine meeting schedule
- Multiple levels of employees facilitate learning & problem solving
- Accountability for improvement with positive reinforcement

- Participants have reviewed meeting objectives & materials and are prepared
- Appropriate & timely info is available
- Staff & tech capacity to analyze data
- Quality data facilitates analysis
- Follow-up on issues from prior meetings

Moynihan & Kroll, 2016. Performance Management Routines that Work…*Public Administration Review*
GAO DDR reports: 13-228 and 15-579

Translating DDR Best Practices to Practical Application

- Discussion led by executive or senior leaders, or facilitated by performance staff

- Clear meeting purpose with limited meeting objectives

- Disciplined meeting frequency, structure, and agenda

- Room layout and open-ended questions promote dialogue and decisions

- Mix of relevant data analyses: program, performance, surveillance, evaluation, etc.

- Important "stuff" happens between meetings (deep-dives, follow-up, etc.)

DDR Lessons Learned

- One size does not fit all; think Goldilocks (find your "juuuuust right")

- Performance routines + effective DDR meetings can transform "passive" data into "actionable" data

- Meeting prep and follow-up (what happens between meetings) are critical

- "Deep dives" outside of DDR meetings can greatly improve discussion and improve decision-making in DDR meetings

- Don't check ethics and values at the door of your DDR meetings

Common DDR Errors

- No clear purpose

- No one has clear responsibilities

- Irregular, infrequent, or random meetings

- No one person authorized to run the meetings

- No dedicated analytic staff

- No follow up

- No balance between the brutal and the bland

- No adaptation to an organization's culture and capabilities (#8)

Robert Behn, Seven big errors of PerformanceStat

A few results from APG DDR Meetings

APG meeting effect on agencies' performance practices

Table 13: Question 8 – To what extent have your agency's data-driven performance review meetings had an effect on the following?

	Large Positive Effect	Small Positive Effect	No Effect	Small Negative Effect	Large Negative Effect
Engagement of top agency leadership in your agency's performance management process	13	9	0	0	0
Progress towards the achievement of your agency's priority goals	12	10	0	0	0
Ability to identify and mitigate risks to achieving priority goals (i.e., preventing underperformance)	11	10	1	0	0
Progress towards the achievement of your agency's other performance goals, including strategic goals	12	8	2	0	0
Efficiency of agency or program operations	5	12	5	0	0
Quality of the performance data used to track progress and inform decision making within your agency	8	12	2	0	0
Ability to hold goal leaders and other officials accountable for progress towards goals and milestones	13	8	1	0	0
Degree to which officials and staff engage agency leadership on goals and priorities	14	7	1	0	0
Adoption of culture in which agency officials use data-driven analysis and evidence to inform decision making	5	16	1	0	0
Adoption of a culture of greater openness to continuous improvement and problem-solving	4	15	3	0	0
Collaboration between officials from different offices/programs within the agency	9	12	1	0	0
Collaboration between agency officials and contributors from external agencies and organizations, where applicable	3	11	8	0	0

Source: GAO agency survey results. | GAO-15-579

N=22 agencies

APG meeting impact on agency performance improvement

Table 14: Question 9 – How are your agency's data-driven performance review meetings driving overall performance improvement at your agency?
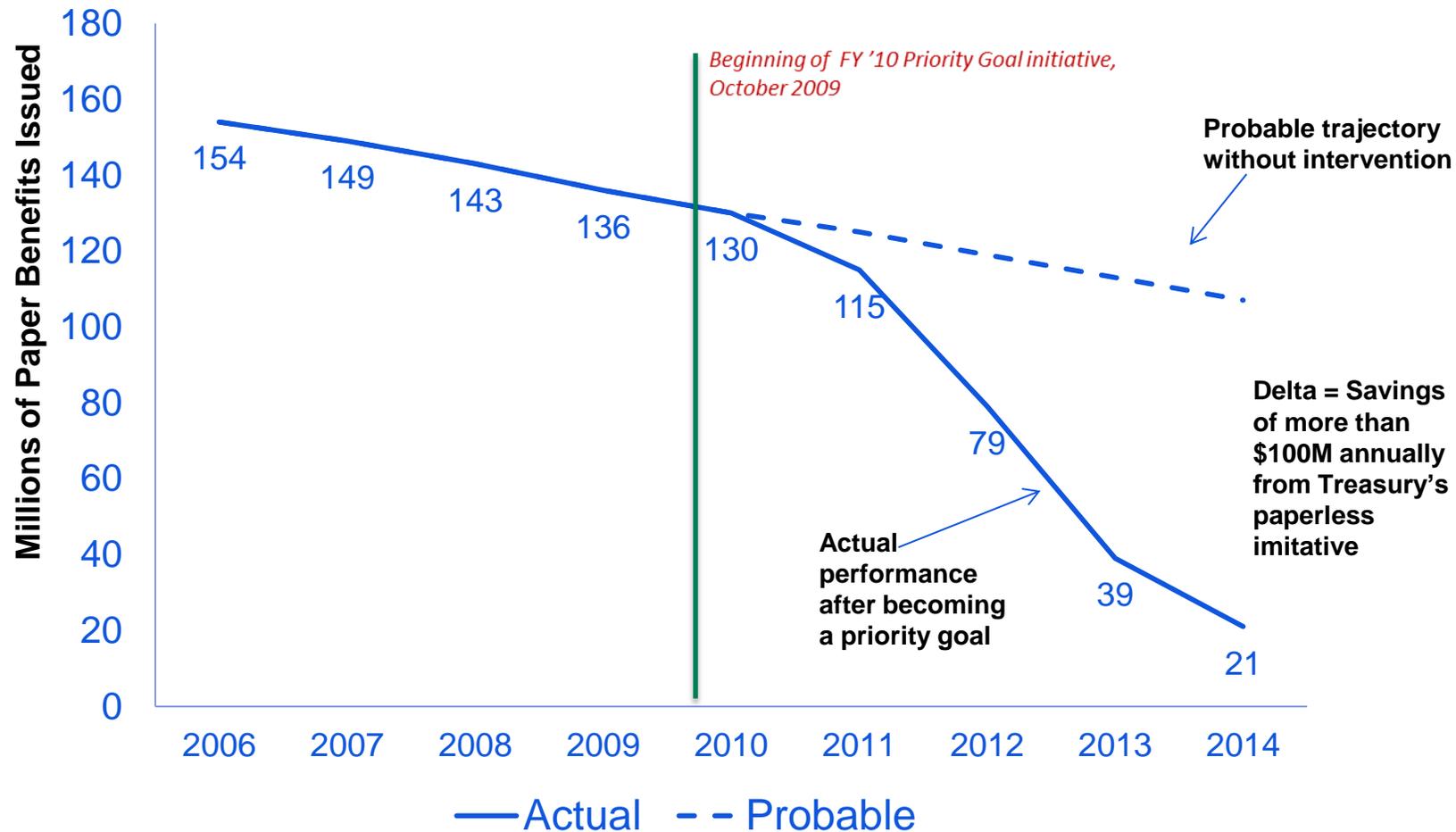
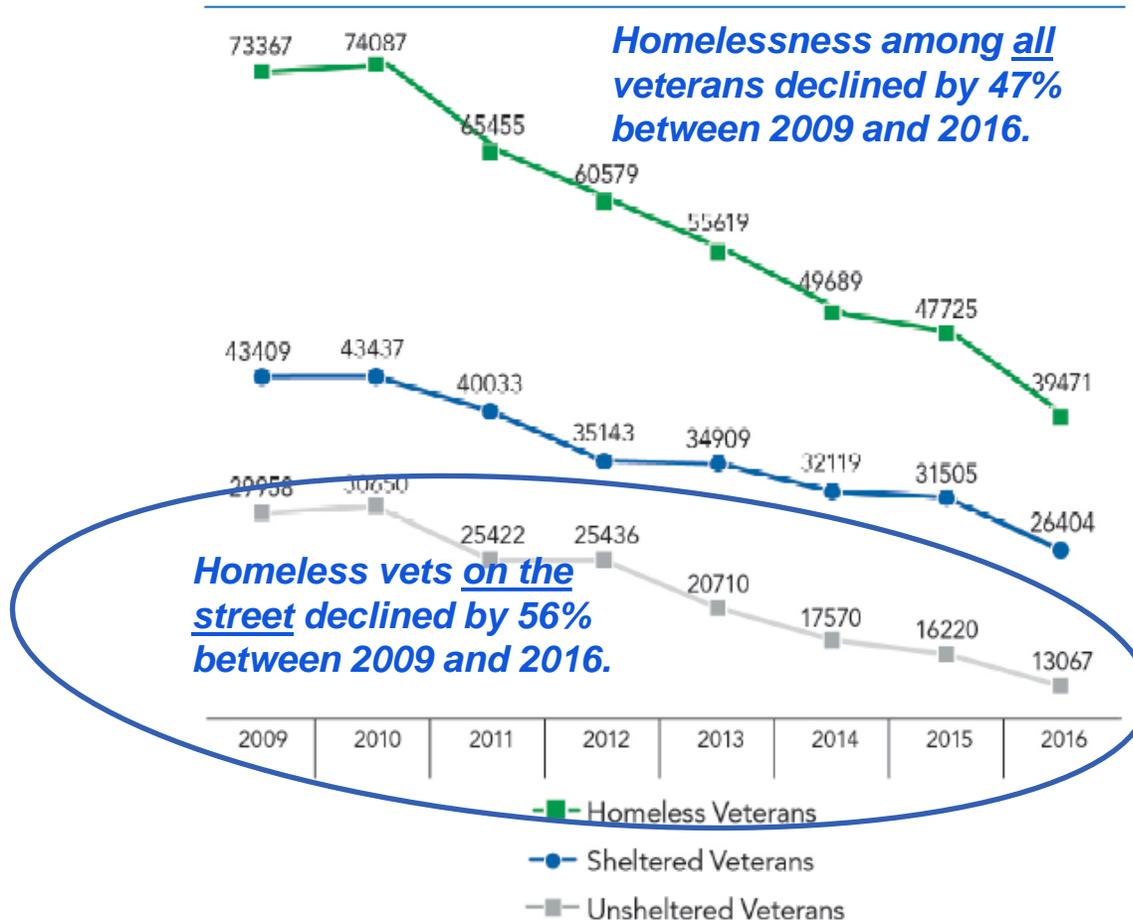| Early stages of development	Minor impact on improving performance	Major impact on improving performance	Unable to assess impact at this time
1	8	13	0

Source: GAO agency survey results. | GAO-15-579

N=22 agencies

The power of senior-led, data-driven performance reviews: Treasury Stat Reviews

Actual Number of Paper Benefit Payments Issued

Y-axis: Millions of Paper Benefits Issued (0 to 180)

X-axis: 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014

Data points (Actual): 154, 149, 143, 136, 130, 115, 79, 39, 21

Beginning of FY '10 Priority Goal initiative, October 2009

Probable trajectory without intervention

Delta = Savings of more than $100M annually from Treasury's paperless imitative

Actual performance after becoming a priority goal

Legend: —— Actual - - Probable

Housing and Urban Development: Ending Veteran Homelessness

EXHIBIT 5.1: **PIT Estimates of Homeless Veterans** By Sheltered Status, 2009–2016

Homelessness among __all__ veterans declined by 47% between 2009 and 2016.

Homeless vets __on the street__ declined by 56% between 2009 and 2016.

Homeless Veterans: 73367, 74087, 65455, 60579, 55619, 49689, 47725, 39471
Sheltered Veterans: 43409, 43437, 40033, 35143, 34909, 32119, 31505, 26404
Unsheltered Veterans: 29958, 30650, 25422, 25436, 20710, 17570, 16220, 13067

Years: 2009, 2010, 2011, 2012, 2013, 2014, 2015, 2016

Legend:
- Homeless Veterans
- Sheltered Veterans
- Unsheltered Veterans

On a Single Night in January 2016

- 39,471 veterans were experiencing homelessness in the U.S., accounting for just over nine percent of all homeless adults.
- Two thirds of homeless veterans (67% or 26,404 veterans) were staying in emergency shelters, transitional housing programs, or safe havens, while a third (33% or 13,067 veterans) were found in places not suitable for human habitation.

Commonalities and distinctions in a Bureau-level DDR

Different DDRs at CDC: Broad vs. Targeted (2009-2016)

- "Quarterly" Program Reviews: <u>Bureau-wide</u> process for monitoring program (component) priority goals: promote, accelerate, and achieve the strategic aims of the Agency

  - Closer to true DDR from the start, based on programs' selection of priority goals

  - Quickly shifted from quarterly to biannual

- Winnable Battles: <u>Bureau Director's public health priorities</u> with large-scale impact on health and known effective strategies to address them

  - Limited to program (component) "leads" for each of the Director's public health priorities

  - First required strategy formulation and identification of effective strategies

  - Very frequent (monthly) with gradual scale-back to less frequent (quarterly)
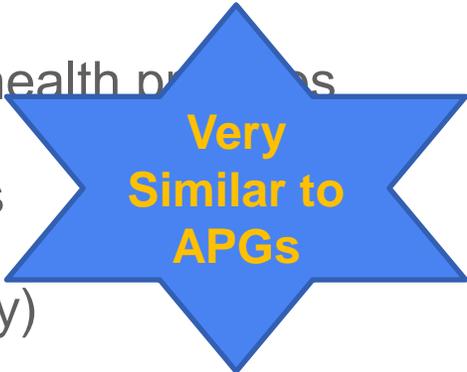
Very Similar to APGs

CDC's Success Factors for Data Driven Reviews

- Executive sponsorship
- Foundation of program evaluation
- Prioritization: selection of goals and effective strategies
- Metrics to define ambitious but achievable targets and assess progress regularly
- Flattened organizational hierarchy to permit prompt resolution of barriers and to advance shared objectives
- Sustain mutual accountability, foster collaboration and transparency

Culture Shift: That moment when programs (components) embark on their own DDR process!

CDC Lessons Learned: Battle Scars and Character Marks

- Building a performance culture – prepare for the long haul

- Strive to make performance meetings organic

- A central coordinating office is essential

- Build on foundation laid by program evaluation

- Beware of "priorities-creep"

- Distinguish contextual indicators from program performance measures

- Don't overlook the role of planned milestones: key decisions, events, deliverables

- Better data and faster delivery

- More discussion and less presentation (but it's better)

- Have clear meeting objectives and follow through on decisions and action items

- Make use of open-ended questions about progress and performance

- Data quality is important, but don't get hung up

- It actually is the "stuff" that happens between DDRs

- Remember the Goldilocks principle: find what's just right for your context and capabilities

Thinking toward October…and implications for you and your Bureau Goal Leads

A few things to consider

- Performance culture

- Key measure, supporting measures, and target setting

- Role of milestones

- Collaboration within or external to your agency

- Quarterly meetings: scope, materials, preparation, follow-up

Thoughts?

Questions?

Thank you

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Supporting Examples and Resources

Example Data-Driven Review Agenda (90 Minutes)

- Introduction/Welcome (5 minutes)
- Follow-up and action items from last meeting (10 minutes)
- Discussion with leadership, leadership Q&A (25 minutes)
  - Findings, insights from data analyses
- Decisions and action planning (45 minutes)
  - Issue resolution
  - Problem solving
  - Follow-up or action items
- Closing: Debrief, confirm decisions and next steps (5 minutes)

Significant time devoted to discussion, decisions, and actions

Example Open-Ended Questions for DDR Meetings

- How are we doing related to specific outcomes?
- Why are we seeing these results?
- What changes should we make?
- How will we know an improvement has occurred?

- Why is progress occurring or not occurring?
- How will the pace of progress help or hinder achievement of public health impact?
- What changes are needed to improve progress?
- What information is missing that would be helpful to inform future decisions?

Example Data-Driven Review Facilitation Questions

Data-driven Review
Facilitation Questions

Purpose	• Compile example questions to promote an interactive, positive, and effective dialogue in a Data-driven Review meeting

Typical Facilitation Questions

1. **Performance Measure Status:** Are we currently on track to meet this measure's target? If off track, is this currently of concern? Why or why not?

2. **Performance Measure Data Needs and Gaps:** Do we currently have all of the information we need to truly understand progress? What additional information do we need to know to understand this measure's status?

3. **Driving Factors of the Measures:** Are data trends reflecting actual performance issues or measurement issues? What are the biggest factors/contributors to whether or not we will meet our goals? What are the risks?

4. **Program Performance:** What are we doing to influence this measure? Do program data reflect the progress we see in this performance measure?

5. **Program Data Needs and Gaps:** Do we currently have all of the information we need to truly understand progress? What additional information do we need to know to understand this program's progress?

6. **Solution Development:** What strategies have we employed to strengthen this measure's progress so far? Based on what the measures are telling us, what new actions/strategies can we use at the to help improve this measure's progress?

Resources: Books and Reports

- Managing and Delivering Performance (Bernard Marr, 2008)
- Robert D. Behn
  - PerformanceStat Potential: A leadership strategy for producing results, 2014
  - [Performance Leadership: 11 best practices that can ratchet up performance](#)
  - [Seven big errors of PerformanceStat](#)
- GAO
  - 2013. [Managing for Results: Data-driven performance reviews](#)…(PDF)
  - 2015. [Agencies report positive effectives of DDRs on Performance](#)…(PDF)
- [Guide to Data Driven Performance Reviews](#) (Hatry & Davies, 2011)
- Public Admin Review, Vol 76 (March/April 2016)
  - Performance Management Routines that Work? (Moynihan & Kroll)
  - Performance management in government (Josephs)

Resources: Stat and DDR links

- [PerformanceStat](#), Feldman, 2016
- [FEMAStat](#)
- [HUDStat](#)
- [FDA-TRACK](#)
- [CDC Winnable Battles](#)
- New Orleans – [BlightStat](#)
- Baltimore – [CitiStat](#)
- Results Washington ([Results Reviews](#))