

# Results-Oriented Accountability for Grants



## AN INTRODUCTION TO DEVELOPING A RESULTS- ORIENTED CULTURE

*Managing for Results:  
The Performance Management Playbook for Federal Awarding Agencies*

**Office of Federal Financial Management**  
OFFICE OF MANAGEMENT AND BUDGET



# Agenda/Objectives

## Today's session will cover:



An overview of the Performance Management Playbook and why it matters



Program design and its importance for performance



How you can implement promising practices for maintaining a results-oriented culture



# Setting the Stage



# Setting the Stage – Purpose

## **What is the purpose of the Performance Management Playbook?**

- Provide promising practices for increasing emphasis on program and project results as well as individual award recipient performance

## **What do we mean by Performance Management?**

- “The use of goals, measurement, evaluation, analysis and data-driven reviews to improve the effectiveness and efficiency of agency operations”
- Includes program and project results

## **Why does this matter to me?**

- Understand the direction the Federal government is shifting to in grants management
- Learn how to use this resource to improve program and project impact
- Recent revisions to Title 2 of the Code of Federal Regulations



# Setting the Stage – Levels of Activity

## AWARD

## ANALYSIS

## REVIEW & REPORT

### Level 1: Programs

Establishes program goals, objectives, and intended results that align with appropriations

Analyzes performance data to assess program impact

Reports program success in achieving intended results

### Level 2: Projects

Establishes project goals, objectives, and intended results that align with program and NOFO

Analyzes performance data to assess the impact of the entire project's cohort of award recipients on intended results

Reports on project results and the degree that these results support program goals

### Level 3: Sub- Projects

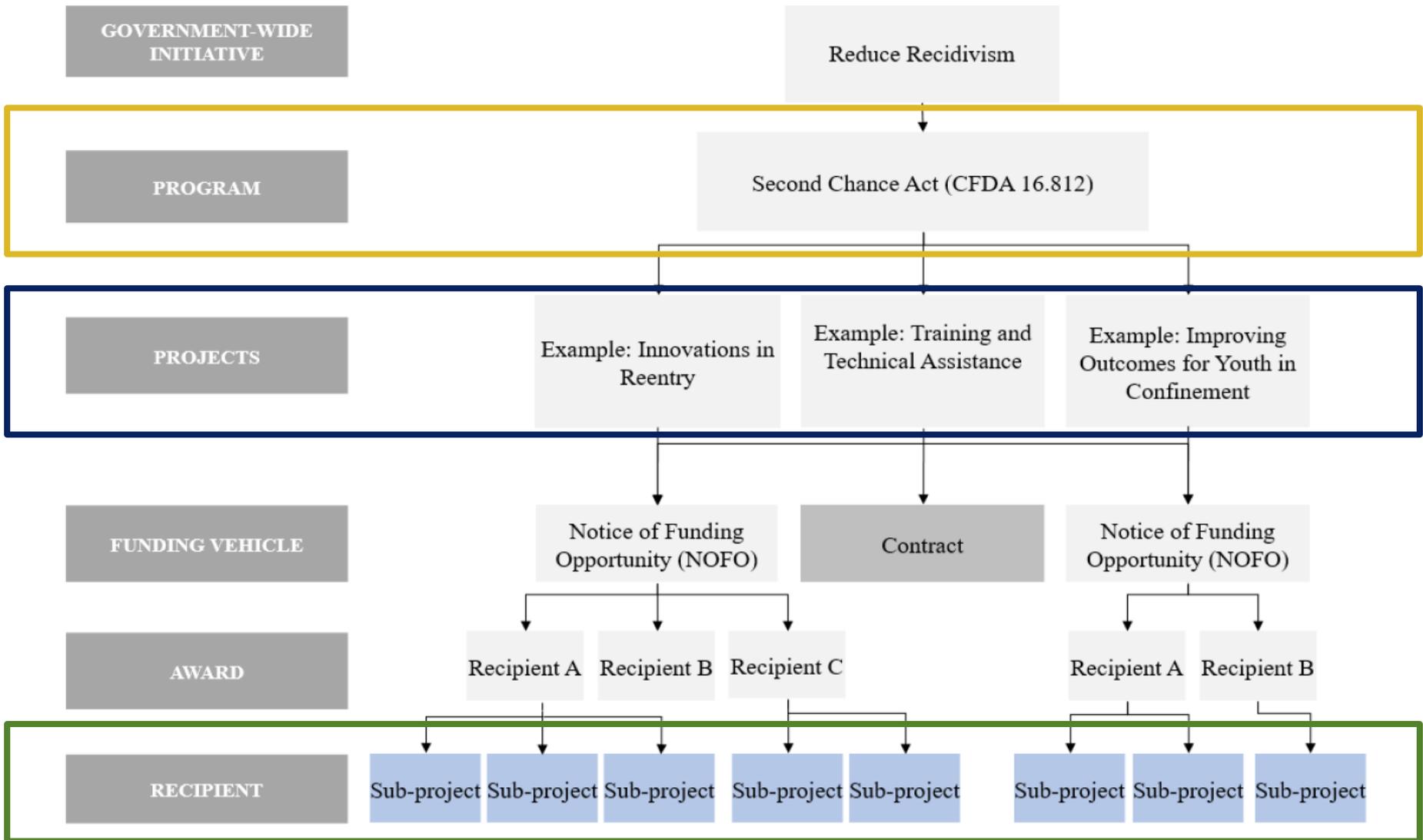
The potential award recipient describes its sub-project goals, objectives, and intended results in their award application

Final award recipients submit performance data on a regular basis

Federal awarding agencies review award recipient performance data to assess recipient's: (1) compliance with Federal requirements; and (2) satisfactory progress toward meeting its own goals and objectives



# Example: Department of Justice



# Shifting from Compliance to Performance



## COMPLIANCE ACTIVITIES



## PERFORMANCE ACTIVITIES

**Organization level**

Sub-project

Program and project

**Purpose**

Preventing fraud, waste, and abuse

Determining how well a program or project is achieving its outcomes and why

**Type of measure**

Examples include recipient eligibility, timeliness of expenditures

Output, outcome

**Accountability**

Conduct award recipient oversight and monitoring

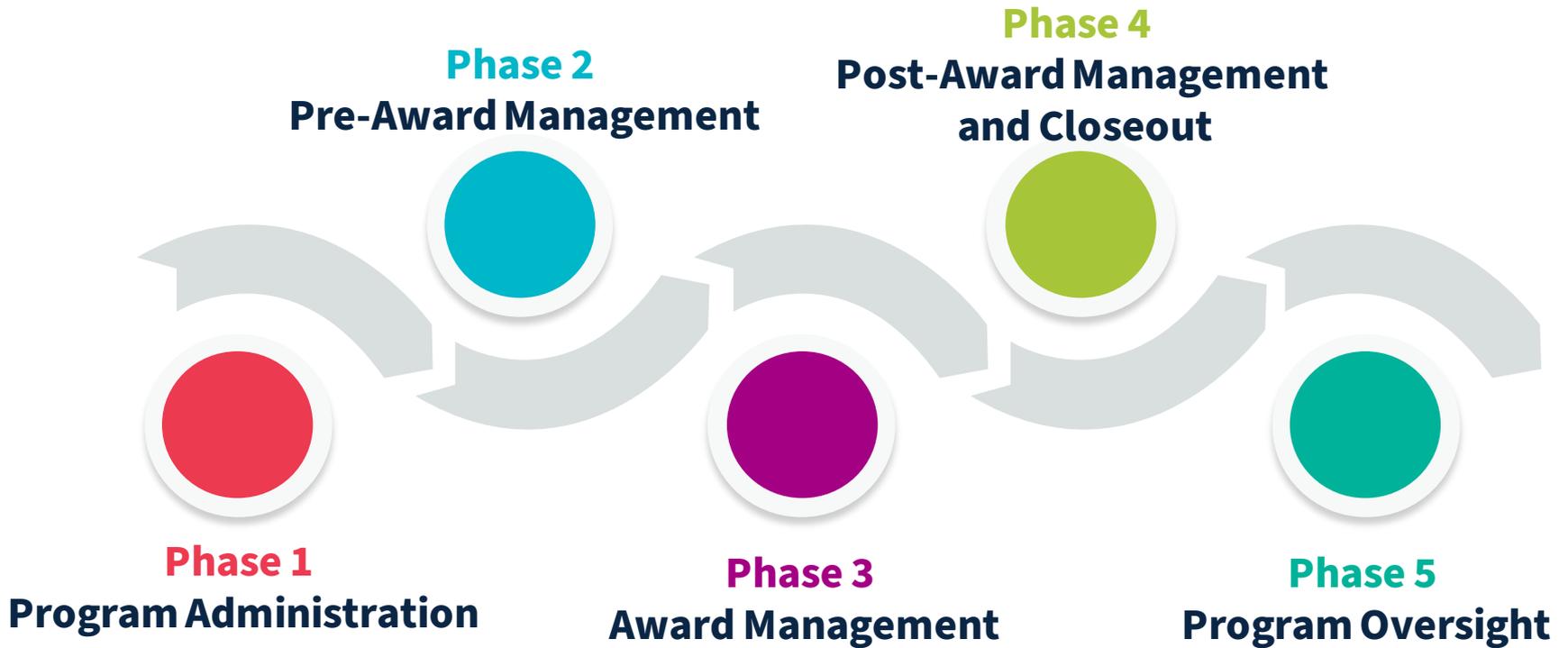
Tracking program or project's progress toward accomplishment of its goal



# Performance Management in the Federal Grants Lifecycle



# Federal Grants Lifecycle



# Poll Break!

**Poll Everywhere**—look for this symbol  then navigate to this link on your computer or smart phone:

***[Pollev.com/eaglehill874](https://Pollev.com/eaglehill874)***

-  Which phase of the federal grants lifecycle does your agency focus most of its attention on (Phases 1-5, equal attention on all)?



# Spotlight

## Phase 1: Program Administration and Program Design



# Program Administration/Program Design

Program design is **critical to achieving results** and is the **first step** in the **grants lifecycle**.

## First

- ✓ Agencies should design the program, including goals, objectives, and intended results, before developing project(s) under the program.

## Key Principle

- ✓ Sound program design should occur at both the program and project levels.



# Program Administration/Program Design

All steps in program design can be followed when creating programs/projects and writing Notices of Funding Opportunities (NOFOs)

- Program design intended for both **new** programs/projects and **existing** programs/projects
- For **existing** programs:
  - Develop NOFOs to incorporate measures that collect all needed data
    - Results of program
    - Presidential directives
  - Tell recipients what is expected
  - Develop requirements (such as performance and reporting)



# Phase 1: Program Administration



## **STEPS & ACTIVITIES FOR PROGRAM DESIGN**

1. Develop a problem statement
2. Identify goals and objectives
3. Develop a theory of change, maturity model, or logic model depicting the program's structure
4. Develop performance indicators to measure program and/or project accomplishments
5. Identify stakeholders that may benefit from any promising practices, discoveries, or expanded knowledge
6. Research existing programs that address similar problems for information on previous challenges and successes
7. Develop an evaluation strategy



**To view the video, please go to:**

<https://vimeo.com/490850178/a22ba21688>



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-  Of the seven program design steps in the program administration phase, which is most challenging for your agency?

# Maintaining a Results-Oriented Culture



# Maintaining a Results-Oriented Culture

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What are ways that your organization can focus on creating and/or maintaining a results-oriented culture?



# Maintaining a Results–Oriented Culture

## Learning Agendas

A plan for identifying and answering policy questions about programs, projects, and interventions, and includes information on how data will be collected and analyzed to support the use of evidence in decision-making.

### Promising Practice



#### **United States Agency for International Development,** Implementing a Learning Agenda

*USAID developed a resource guide for implementing a learning agenda approach. USAID defines a learning agenda as “a set of broad questions directly related to the work that an agency conducts that, when answered, enables the agency to work more effectively and efficiently, particularly pertaining to evaluation, evidence, and decision-making.”*



# Maintaining a Results–Oriented Culture

- **Leadership champions**
- **Change champions**
- **Performance management frameworks**
- **Data-driven reviews of performance and progress**
- **Standard operating procedures**
- **Performance management manuals or toolkits**
- **Training for internal and external stakeholders**



# Wrap-Up Poll Questions

## ***Pollev.com/eaglehill874***

-  Given what we have just discussed, on a scale of 1-4, where **does** your agency focus most of its grants management attention (compliance vs. performance/results)?
-  Given what we have just discussed, on a scale of 1-4, where **should** your agency focus most of its grants management attention (compliance vs. performance/results)?
-  What barriers do you see when shifting to a performance-oriented grants culture? (i.e., leadership support, culture, time/capacity, resources/tools, systems/technology?)



## In review:

-  The Performance Management Playbook is an important resource for the community to use to improve performance and shift the culture to result-oriented accountability
-  Program design is critical to achieving results and is the first step in the grants lifecycle
-  Promising practices for maintaining a results-oriented culture

## **Where can I find the Performance Management Playbook?**

- [cfo.gov/grants-performance-playbook-sessions/](https://cfo.gov/grants-performance-playbook-sessions/)

## **How can I get involved to provide my feedback on how to break barriers and make this culture shift?**

- Join us during a Feedback Session

## **Questions?**

- Please submit questions via chat



# Thank you!

Please reach out to [grantsteam@omb.eop.gov](mailto:grantsteam@omb.eop.gov) with any questions.



# Appendix (Reference Slides)



# Phase 1: Program Administration



## Step 1: Develop a problem statement

- Clearly defines nature and extent of the problem to be addressed
- Conduct a situational analysis or needs assessment
- Data and evidence gathered help inform program and project development



# Phase 1: Program Administration



## Step 2: Identify goals and objectives

 *What's the difference between goals and objectives?*

**Goals** establish the direction and focus of a program and serve as the foundation for developing program objectives.

**Objectives** are the intermediate effects or results the program can achieve towards advancing program goals.



# Phase 1: Program Administration



## **Step 3: Develop a theory of change, maturity model, or logic model depicting the program's structure**

Theories of change, maturity models, and logic models are the building blocks for developing programs. They can be used individually or together.



# Phase 1: Program Administration



## WHAT

## WHEN TO USE

### Theory of Change

- Defines a cause-and-effect relationship between a specific intervention, or service activity, and an intended outcome
- Explains *how* and *why* a program is expected to achieve a desired result

- Often developed at the beginning of the program/project design process to help understand the impact a program may have on a desired outcome and why that impact may occur

### Maturity Model

- Used to assess the effectiveness of a program
- Helps determine the capabilities needed to improve performance

- Similar to developing a theory of change, maturity models are used to understand the impact a program/project may have over time

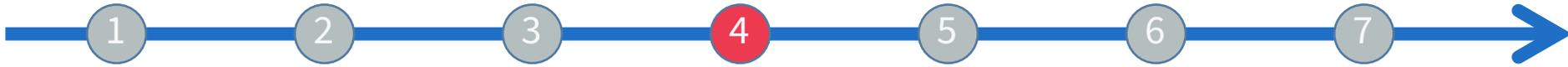
### Logic Model

- Describes how programs are linked to the results the program is expected to advance or achieve
- Identifies problems, names desired results, and develops strategies for achieving results
- Provides a visual representation of the causal relationships between a sequence of related events, connecting the need for a planned program or project with desired results

- Usually developed mid-way through the program/project design process to provide a specific outline of how program goals and objectives are linked to program activities and outcomes.



# Phase 1: Program Administration



## **Step 4: Develop performance indicators to measure program and/or project accomplishments**

Indicators should:

- Reflect results, not activities used to produce results
- Relate directly to a goal
- Be based on measurable data
- Be practical and easily understood by all
- Be accepted and have owners (i.e. someone responsible for the process that the indicator is assessing)



# Phase 1: Program Administration



## **Step 5: Identify stakeholders that may benefit from any promising practices, discoveries, or expanded knowledge**

- Involving stakeholders early in the process helps establish buy-in before the project begins.
- Important to build strong, ongoing partnerships with stakeholders who are seeking the same outcome to determine what may be missing from the program design.



# Phase 1: Program Administration



## **Step 6: Research existing programs that address similar problems for information on previous challenges and successes**

- Program design can be improved by researching challenges and successes of similar programs.



# Phase 1: Program Administration



## Step 7: Develop an evaluation strategy

- Appropriate and measurable indicators and their data collection criteria developed during this phase are key to a sound evaluation
- Program evaluation begins with a discussion during the program design step about when a program might undergo an evaluation.
  - Involves thinking through program evaluation questions regarding the program logic model and focusing on questions that have real value for stakeholders and decision-makers



# Maintaining a Results-Oriented Culture

**Leadership champions:** Leadership support is essential to successful cultural change. The change process needs committed leaders at different levels of the organization to support the creation of new ways of doing business.

**Change champions:** On the ground support is key to successful cultural change as well. Empower individuals within your agency to help facilitate change and communicate to others about the importance of focusing on performance/results.

**Performance management frameworks:** A performance management framework tailored to the mission and needs of an agency can help communicate the who, what, and how of culture change.

**Data-driven reviews of performance and progress:** A critical aspect of performance management is reviewing program and project data and conducting regular assessments on their level of success in meeting program goals and project objectives. Grants managers and others can use the results of these programs and project reviews to make changes to programs and future projects.



# Maintaining a Results-Oriented Culture

**Standard operating procedures:** Agencies should create and maintain standard operating procedures (SOPs) for employees to follow. SOPs assist in teaching employees how to best conduct performance management practices.

**Performance management manuals or toolkits:** Like SOPs, agencies can codify their performance management policies and practices in manuals, and can help teach employees how to implement these policies and practices in toolkits.

**Training for internal and external stakeholders:** Training is an essential aspect of culture change. Both Federal employees as well as current and potential recipients will need to understand why and how change is taking place.

