Performance Measurement and Management for Public, Non-Profit and Healthcare Organizations
PADM-GP 2170 and EXEC-GP 2170
Spring 2023

Instructor Information

- Professor: Patrick Germain
- Email: Patrick.germain@nyu.edu
- Office Hours: by appointment

Course Information

Class Meeting Times: Saturdays 1/28, 2/11, 2/25, 3/11, 4/1, 4/15, and 4/29
9:00am – 12:30pm
Location: **Bobst Library, lower level, room 139.**

Course Description

This course focuses on the fundamentals of performance measurement and management systems and demonstrates how they are critical from a mission, strategic, funding, transparency and accountability perspective in public, non-profit and healthcare settings. It will cover not only how to measure performance, but also how to implement a performance management system and use performance measures in managing towards excellence in an organization. In addition, the course will highlight the types of leadership and management acumen that are needed to ensure meaningful, significant and lasting results.

Course Learning Objectives

1. How does an organization know if it is meeting the needs of its constituents?
2. How do leaders need to show up to encourage a culture of performance while ensuring employee well-being?
3. How does an organization manage competing internal and external demands for accountability effectively?
4. What is the difference between performance measurement and management? How is collected data used by staff to achieve desired results?

5. What is the purpose of a logic model? What is the difference between outputs and outcomes, and measures and indicators?
6. How can you design a performance management system and optimize its value? What are the barriers of using data by staff?
7. How do you center equity in performance measurement and management? How can data amplify or reduce inequities? How do we balance quantitative data with lived experience in our understanding of what works?
8. How do social sector organizations such as governments, foundations, and investors approach assessing/managing performance differently?
9. How can reporting and visualizing data create actionable information (i.e. knowledge) for staff to make decisions and learn and improve programs?

Class Format

Class learning will be primarily through case studies and supportive readings along with lectures and group work. It is essential and required that students be prepared for each class. Class learning will also be supplemented with online content and homework assignments. In addition, it is highly recommended that students identify a study partner to prepare for class. The class sessions will consist of listening to our colleagues, offering our perspectives, and reflecting on the discourse.

Course Readings

The required readings for this class will come from the following:

- Book - Poister, T. H., Aristiguenta, M. P., & Hall, J. L. (2015). **Managing and Measuring Performance in Public and Nonprofit Organizations: An Integrated Approach (2nd Edition)**, John Wiley & Sons, **Please note**: This book can be accessed online through Ebook Central for **free**. You can also purchase at the library if you would like – it is a great resource for people planning to go into performance measurement focused roles.
- Course Packet – The course packet contains the case studies listed in the syllabus. It is available through the NYU Bookstore.
- NYU Brightspace – Articles, study questions, journal assignments, the mid-term examination, team project description and general announcements will be posted on NYU Brightspace
- e-Books – both available for free download at Leap of Reason.
  - Morino, M. (2011). Leap of Reason – Managing to Outcomes in an Era of Scarcity. Venture Philanthropy Partners Publications.
  - Hunter, D.E.K. (2013). Working Hard & Working Well – A Practical Guide to Performance Management for Leaders Serving Children, Adults, and Families. Hunter Consulting, LLC.

Course Grading & Requirements

Grades will be based on the following criteria:

- Class Participation (20%) – Participation includes presence, promptness, preparation, and engagement. Students are expected to attend all classes (with no more than one excused absence during the semester). Please email me before the class if you will be absent.

- Journal Assignments (20%) – Students will complete 5 online learning assignments, which will be due before class as noted in the syllabus. Each assignment is described on the next page, and except for the logic model, should be between 500-700 words.

- Midterm Exam (25%) – The mid-term examination will be distributed in.

- Team Project (35%) – You will have an opportunity to apply key ideas and concepts in the course through a team project. Within the first two weeks of the semester, you will select or be assigned to a small groups (of 3-4 students) for the semester. Each group will focus on a specific social enterprise, nonprofit or governmental organization and how it is attempting to use performance measurement and management practices to achieve its mission. You may select an organization that you have worked in or which seeks to address a social issue that you care about. The Project will consist of three elements:
  - 2-to-3-page abstract outlining your project (5%),
  - Presentation to the class on your project (5%),
  - 10- to 15-page paper excluding references and appendices (25%).

Course Schedule and Deadlines

	Date	Class Topic	Assignments
1	1/28	Introduction, and Performance Measurement, Logic Models, and Nonprofit Strategy	Teams Assigned and Project Distributed
2	2/11	Outcomes and Indicators and the PMM Development Process	Journal 1 Due
3	2/25	Developing Performance Dashboards, and Foundations of Performance Management	Journal 2 Due
Saturday March 4			**Team Abstract Due**
4	3/11	PMM from a Healthcare Perspective	Journal 3 Due Midterm distributed
Saturday, March 25			**Midterm Due**
5	4/1	PMM From a Funding Perspective: Performance-Based Contracting, Social Impact Bonds, and Foundations	-
6	4/15	Equity and Performance Management	Journal 4 Due
7	4/29	Benchmarking Final Team Project Presentations	Journal 5 Due Team Presentation Slides Due
Sunday, April 30			**Team Paper Due**

Journal Assignments

#	Title	Question
1	**Why Performance Management?**	Watch the videos. Based on the comments of government and nonprofit leaders, and what you have learned already, why is performance management necessary? Why do you think this class is a required course for Management students at Wagner?
2	**Developing a Logic Model**	Create a basic logic model with inputs, activities, outputs, short term outcomes and long-term outcomes.
3	**Creating Organizational Unity on Performance Measures**	Watch the video. What were the challenges of aligning the performance measures of the Admissions Department of Year Up with rest of the organization? Based on what Cat discussed and what you have learned in class, what would you recommend Year Up do to develop more aligned measurements and to address some of the challenges you identified?
4	**BRC Quarterly Performance Review Meeting**	Watch the video. What are some of your reflections on the BRC Quarterly Performance Review Meeting from a performance management perspective? What do you like or not like about Muzzy Rosenblatt's approach in the meeting? Given what you have learned this semester, if you were in his seat, what would you do the same or differently? Why?
5	**Unintended consequences of CompStat**	CompStat resulted in incredible improvements in public safety in New York City, but did not come without its costs. Discuss the unintended consequences of the CompStat system as reflected in the case, what led to those consequences, and propose two modifications you would make to minimize those negative impacts.

Detailed Course Schedule and Assignments

Class 1) January 28. Introduction. Performance Management, Logic Models, and Nonprofit Strategy.

The first half of this class will enable both students and the professor to share their expectations and goals for the semester and the syllabus will be reviewed. In addition, there will be a discussion about how to read, analyze and discuss cases. The second part of the class will center on the alignment of performance measurement and management with an organization's mission and strategy as well as understanding and developing logic models. The Team Project will be distributed and discussed.

- **Book:** Poister, Chapter 1 and Chapter 3 (pp. 53-66).
- **Packet [Case]:** Grossman, A. & McCaffrey, A. (2010). Jumpstart. Harvard Business School #301037. pp. 1-22.
- **E-Book:** Morino, M (2011). Leap of Reason, Chapters 1, Chapter 2, and supplemental expert essay "First, Do No Harm…Then Do More Good" by I. Castillo, pp. 95-98.
- The following three are optional, but recommended if you need to brush up on logic models.
  - **[Optional] NYU Brightspace:** Milstein, B. & Chapel, T. (2013). Main Section. In V. Renault & S. Fawcett, Developing a Logic Model or Theory of Change (The Community Tool Box).
  - **[Optional] NYU Brightspace:** Milstein, B. & Chapel, T. (2013). Examples. In V. Renault & S. Fawcett, Developing a Logic Model or Theory of Change (The Community Tool Box).
  - **[Optional] NYU Brightspace:** W.K. Kellogg Foundation. (2004). Kellogg Foundation Logic Model Development Guide. Battle Creek, Michigan, Chapters 1 and 2, pp. 1-25.

Class 2) February 11. Outcomes and Indicators. The PMM Development Process.

This class will discuss audiences for performance management and then discuss its uses, the process of developing performance measures, and the key types of performance measures. It will also cover the process for developing a performance measurement and management system.

- **Book**: Poister, Chapter 3 (pp. 67-86), Chapter 5, and Chapter 15.
- **Packet [Case]:** Leonard, H.B. & Epstein, M. (2005). Playgrounds and Performance: Results Management at Kaboom! Harvard Business School. (A) pp. 1-11, (B) pp. 1-8, and (C) pp. 1-4.
- **NYU Brightspace:** Forti, M & Yazbak, K. (2012). Building Capacity to Measure and Manage Performance. Bridgespan. pp 1-22.
- **[Optional] Book** Poister, Chapters 2 and 4
- **[Optional] NYU Brightspace:** Julnes, P. & Holzer, M. (2008). Performance Measurement: Building Theory, Improving Practice. Chapter 1. New York: M.E. Sharpe. pp. 1-20.
- **[Optional] NYU Brightspace:** Sawhill, J., & Williamson, D. (2001). Measuring what matters in nonprofits. McKinsey Quarterly, (2), pp. 98-107.

Class 3) February 25. Developing Performance Dashboards. Foundations of Performance Management.

This class will focus on the development of dashboards that support performance measurement and management, and introduce performance management.

- **Book:** Poister, Chapter 6
- **NYU Brightspace**: Blum, D. (2006). Checking the dashboard. Chronicle on Philanthropy.
- **NYU Brightspace**: Eckerson, W. (2011). Performance Dashboards: Measuring, Monitoring, and Managing Your Business – 2nd Edition. Chapter 12, pp. 223-249.
- **E-Book:** Alexander, M. & Walkenbach, J. (2013). Microsoft Excel – Dashboards and Reports. Chapter 1. Hoboken: John Wiley & Sons. pp. 11-28. Can be accessed using your NYU Login at the library website and following the Online Access links.
- **E-Book:** Morino, Chapters 3
- **E-Book:** Hunter, Chapters 1 and 2
- **[Optional] NYU Brightspace:** Bridgespan (2013). Geek Cities: How Smarter Use of Data and Evidence Can Improve Lives, pp. 1-24
- **[Optional] E-Book:** Morino, M (2011). Leap of Reason, supplemental expert essay "What it Takes: Building a Performance Management System to Support Students and Teachers" by P. Brantley, pp.117-126 available at
- **[Optional] Book:** Poister, Chapter 10

TEAM ABSTRACT DUE Saturday March 4 by midnight.

Class 4) March 11. PMM from a Healthcare Perspective

This class will examine the how performance measurement and management works within the healthcare sector. We will examine the complexity of developing realistic and meaningful outcomes from the perspective of patients, physicians, hospitals and researchers.

- **Book:** Poister, Chapter 7
- **NYU Brightspace [Case]** Gawande, A. (2004, December 6). The Bell Curve. The New Yorker.
- **NYU Brightspace:** Gawande, A., (2011, January 24). The Hot Spotters - Can we lower medical costs by giving the neediest patients better care? The New Yorker.
- **NYU Brightspace:** Phillips, D. (2018, January 1). At Veterans Hospital in Oregon, a Push for Better Ratings Put Patients at Risk, Doctors Say. The New York Times.
- **NYU Brightspace:** "Applying an Equity Lens to Performance Improvement." Institute for Healthcare Improvement. November 23rd, 2021.
- **[Optional] NYU Brightspace:** Berenson, R., Pronovost, P., and Krumolz, H. (2013, May). "Achieving the Potential of Health Care Performance Measures." Timely Analysis of Health Policy Issues, May 2013. Robert Wood Johnson Foundation.
- **[Optional] NYU Brightspace**: United Hospital Fund (2016). You Get What You Pay for: Measuring Quality in Value Based Payment for Children's Health Care.
- **[Optional] NYU Brightspace:** Smith P, Mossialos E, & Papanicolas I. (2008, June). Performance Measurement for Health System Improvement: Experiences, Challenges, & Prospects." WHO European Ministerial Conference on Health Systems.
- **[Optional] NYU Brightspace:** Damberg, C.L., Sorbero, M.E., Lovejoy, S.L., Lauderdale, K. Wertheimer, S. & Schnyer, C. (2011). An Evaluation of the Use of Performance Measures in Health Care. Santa Monica: RAND. pp. 1-30.

<div style="border: 1px solid;">

MIDTERM DUE Saturday, March 25 by midnight.

</div>

Class 5) April 1. PMM from a Funding Perspective: Performance-Based Contracting, Social Impact Bonds, and Foundations

This class will focus on how funders decide which programs and initiatives to support with a particular emphasis on measuring impact. This class will also cover Social Impact Bonds, and will highlight the challenges associated with developing and implementing an equitable and results- oriented performance-based contracting methodology.

- **Book**: Poister, Chapter 9
- **Packet [Case]:** Rosengrant, S. (1998). Oklahoma's Milestone Reimbursement System: Paying for what you get. Harvard Kennedy School of Government. pp 1-18.
- **NYU Brightspace**: Brest, P. (2012, Spring). A Decade of Outcome-Oriented Philanthropy, Stanford Social Innovation Review, 42-47.
- **NYU Brightspace**: Campbell, G. J., & McCarthy, E. (2005). Conveying mission through outcome measurement: Services to the homeless in New York City. Policy Studies Journal, 28(2), 338-352.

- **NYU Brightspace**: Preston, C. (2012, November 8). Getting Back More Than a Warm Feeling. New York Times.
- **NYU Brightspace**: Video. SIB video: introduction and lecture by Megan Golden.
- **NYU Brightspace**: Berlin, G. (2016) Learning from Experience: A Guide to Social Impact Bond Investing.
- **NYU Brightspace:** Lee, Jared. "The Promise of Outcomes Funds" Stanford Social Innovation Review. Winter 2022.
- **[Optional] NYU Brightspace**: Gillespie S, Hanson D, Cunningham M, & Pergamit M. (2018). Denver Supportive Housing Social Impact Bond Initiative: Housing Stability Outcomes. Urban Institute.
- **[Optional] Book** Poister, Chapter 11 (recommended for those interested in contracts between government and nonprofits)
- **[Optional] NYU Brightspace:** Fox, C. & Albertson, K. (2011). Payment by results and social impact bonds in the criminal justice sector: New challenges for the concept of evidence-based policy. Criminology and Criminal Justice, 11(5), 395-413.
- **[Optional] NYU Brightspace:** O'Brien, D., & Revell, G. (2005). The milestone payment system: results based funding in vocational rehabilitation—2005. Journal of Vocational Rehabilitation, 23(2), 101-114.

Class 6) April 15. Equity and Performance Management.

This class will explore different ways in which performance management systems can amplify or reduce inequities, including the public sector (CompStat), collective impact efforts, and in nonprofit organizations. This class will explore the unique strategies, challenges, and philosophical questions that might arise in these various contexts.

- **NYU Brightspace**: Edmonds, L., et al. "Centering Racial Equity in Measurement and Evaluation". Urban Institute. July 2021.
- **NYU Brightspace**: Kania, J., et al. "Centering Equity in Collective Impact" Stanford Social Innovation Review. Winter 2022.
- **Packet [Case]:** Burton, J. (1999). Assertive Policing, Plummeting Crime. Harvard Kennedy School of Government
  - The NYPD takes on Crime in New York City. pp. 1-30.
  - Epilogue: Crime Falls, Doubts Arise. pp. 1-13.
- **NYU Brightspace**: Glass, I. (2010). Right to Remain Silent. This American Life. 414. Audio. (approx. 1 hour)
- **Online:** explore the data on https://compstat.nypdonline.org/
- **[Optional] Book** Poister, Chapter 13 (recommended for those interested in public engagement and community voice) and Chapter 8.
- **[Optional] NYU Brightspace:** Smith, D.C. & Bratton, W. J. (2001). Performance Management in New York City: Compstat and the Revolution in Police Management (pp. 453-482).. In Forsythe, D.W. (Ed.), Quicker, Better, Cheaper? Managing Performance in American Government. Albany, NY: Nelson A. Rockefeller Institute.

Class 7) April 29. Public Benchmarking. Final Presentations.

This class will enable students to understand benchmarking, its application and its ability to achieve social goals, particularly in a political context. There will be a closing summary lecture and then student groups will make their final presentations.

- **Book:** Poister, Chapter 14
- **Packet [Case]:** Varley, Pamela (1999). The Oregon Benchmarks Program. The Challenge of Restoring Political Support. Harvard Kennedy School of Government.
    - o **#HKS845, pp. 1-30.**
    - o #HKS846 (Sequel), pp. 1-12
- **NYU Brightspace:** Behn, R. The PerformanceStat Potential: A Leadership Strategy for Producing Results. Chapter 7, pp 95-122.
- **[Optional] Packet:** Ammons, D. N. (2012). Municipal Benchmarks – 3rd Edition. Chapters 1, and 2, pp. 3-18.
- **[Optional] NYU Brightspace:** Smith, D.C. (2012). The Measured City: Reforming the New York Mayor's Management Report After Three Decades in Operation. Draft paper presented at the Annual Research Conference of the Association of Public Policy & Management. Baltimore. pp. 1-41.

> **TEAM PAPER DUE Sunday, April 30 by midnight.**

Academic Integrity

Academic integrity is a vital component of Wagner and NYU. All students enrolled in this class are required to read and abide by Wagner's Academic Code. All Wagner students have already read and signed the Wagner Academic Oath. Plagiarism of any form will not be tolerated and students in this class are expected to report violations to me. If any student in this class is unsure about what is expected of you and how to abide by the academic code, you should consult with me.

Henry and Lucy Moses Center for Students with Disabilities at NYU

Academic accommodations are available for students with disabilities. Please visit the Moses Center for Students with Disabilities (CSD) website and click on the Reasonable Accommodations and How to Register tab or call or email CSD at (212-998-4980 or mosescsd@nyu.edu) for information. Students who are requesting academic accommodations are strongly advised to reach out to the Moses Center as early as possible in the semester for assistance.

NYU's Calendar Policy on Religious Holidays

NYU's Calendar Policy on Religious Holidays states that members of any religious group may, without penalty, absent themselves from classes when required in compliance with their religious obligations. Please notify me in advance of religious holidays that might coincide with exams to schedule mutually acceptable alternatives.