

SPEA-M662 ACCOUNTABILITY AND PERFORMANCE

Instructor: Thomas Rabovsky

Time: Spring 2024, Mondays and Wednesdays 1:15 pm – 2:30 pm

Email: rabovsky@indiana.edu

Office Hours: By appointment

Course Description

This course examines the problems of measuring performance and establishing accountability in publicly sponsored institutions and organizations. Concepts are given concrete application through careful investigation of attempts to measure performance and productivity in activities that cross public, private, and nonprofit sectors.

Learning Outcomes

By the end of this course, students will be able to:

- Understand and evaluate performance systems adopted at local, state, and federal levels of government
- Be familiar with historical trends in performance-based reforms
- Analyze cognitive and psychological biases that shape human interpretations of performance data
- Design performance management systems that foster use of data by key decision-makers
- Develop strategies to mitigate organizational cheating and gaming
- Identify context factors under which performance-based accountability systems may improve outcomes and explaining how organizations can create such factors
- Evaluate the potential of performance systems to either harm or reinforce democratic-constitutional values

Course Structure

The course will rely heavily class discussion. I organize the course as a seminar with all students taking part in presenting and discussing the course materials. Readings and lectures will orient students to basic concepts and research that inform our thinking on public management. Each student is responsible, through self-study, reading assignments, cases, and class interaction, to learn relevant theory, concepts, and applications. I will introduce the pertinent subject matter, but you will be expected to actively participate in the discussion.

Contributing to a Positive Learning Environment

Much of the learning that takes place in a class like this occurs as a result of conversation, discussion, and even debate about the course content. Contributing to a positive learning environment has a different meaning than that traditionally associated with excellent participation. Students who contribute to a positive learning environment will *take personal responsibility for the overall quality of the classroom discussion*. In an operational sense, a student contributes to a positive learning environment by:

- Being an active participant, but not a dominating participant.

- Being a good listener and demonstrating respect for others' opinions.
- Making thoughtful, insightful comments, and not speaking just to be heard.
- Building on others' comments.
- Asking questions, not just giving answers.
- Identifying key assumptions underlying discussion points and arguments.
- Being constructive and positive in one's comments.

Required Books

Behn, Robert D. 2014. *The PerformanceStat Potential: A Leadership Strategy for Producing Results*. Washington, D.C: Brookings Institution Press and Ash Center for Democratic Governance and Innovation.

Dougherty, Kevin J., Sosanya M. Jones, Hana Lahr, Rebecca S. Natow, Lara Pheatt, and Vikash Reddy. 2016. *Performance Funding for Higher Education*. Baltimore, Maryland: Johns Hopkins University Press.

Hatry, Harry. 2007. *Performance Measurement: Getting Results, 2nd edition*. Washington D.C.: The Urban Institute.

Moynihan, Donald P. 2008. *The Dynamics of Performance Management: Constructing Information and Reform*. Washington D.C.: Georgetown University Press.

Please note that all of the above except for the Hatry book are available electronically on the library website. All other readings (listed below) will be available on Canvas.

Course Deliverables

Class Paper

The class paper is the major research component of the class. In this assignment, the student will be expected to undertake an analysis of performance management in the public sector. The subject of the topic, research strategy, and structure and content of the paper should be decided in consultation with the Professor through a series of meetings throughout the semester. I am happy to meet with you as frequently as needed to put together a project you can be proud of. This will be a semester-long project and you should start as soon as possible.

While there are a variety of paper topics and structures that are acceptable, you should generally think about writing a paper that either 1) evaluates performance management within a single organization or 2) evaluates a performance accountability regime that involves several organizations along with a set of external stakeholders and political principals.

How long is the paper?

Suggested length is 20 double-space pages, not including appendixes and citations, but you may write a longer paper if you consult with me beforehand. Where relevant, the paper should demonstrate appropriate application of the topics covered throughout the course, including outside materials when necessary. The paper will be due (via Canvas) on May 1st at 11:59 PM and is worth 100 points.

Exams

There will be one exam in this course, which will be administered on March 4th. More details about the structure and format of this exam will be available as the semester progresses.

Grading

Midterm Exam – 100 points

Final Research Paper – 100 Points

Final Grade Range	Letter Grade
$\geq 97\%$	A+
$97\% > x \geq 93\%$	A
$93\% > x \geq 90\%$	A-
$90\% > x \geq 87\%$	B+
$87\% > x \geq 83\%$	B
$83\% > x \geq 80\%$	B-
$80\% > x \geq 77\%$	C+
$77\% > x \geq 73\%$	C
$73\% > x \geq 70\%$	C-
$70\% > x \geq 67\%$	D+
$67\% > x \geq 63\%$	D
$63\% > x \geq 60\%$	D-
$60\% > x$	F

POLICIES AND PROCEDURES

O'Neill School expectations of civility and professional conduct¹

The O'Neill School takes matters of honesty and integrity seriously because O'Neill is the training ground for future leaders in government, civic organizations, health organizations, and other institutions charged with providing resources for the public, and for members of society who are vulnerable and who are lacking in power and status. Precisely because O'Neill graduates tend to rise to positions of power and responsibility, it is critical that the lessons of honesty and integrity are learned early.

O'Neill requires that all members of its community – students, faculty, and staff – treat others with an attitude of mutual respect both in the classroom and during all academic and nonacademic activities outside the classroom. A student is expected to show respect through behavior that promotes conditions in which all students can learn without interruption or distraction. These behaviors foster an appropriate atmosphere inside and outside the classroom:

- Students are expected to attend class regularly and to be prepared for class.
- Students must be punctual in their arrival to class and be present and attentive for the duration of the class. Eating, sleeping, reading the newspaper, doing work for another class, wandering in and out of the classroom, and packing up or leaving class early are not civil or professional behaviors.
- Students must abide by the course policy regarding use of electronic devices in the classroom.

¹ These expectations are excerpted from the O'Neill School Honor Code which can be found at: https://oneill.indiana.edu/doc/undergraduate/ugrd_student_honorcode.pdf

- Students must responsibly participate in class activities and during team meetings.
- Students must address faculty members, other students, and others appropriately and with respect, whether in person, in writing, or in electronic communications.
- Students must show tolerance and respect for diverse nationalities, religions, races, sexual orientations, and physical abilities.
- Students must not destroy or deface classroom property nor leave litter in the classroom.

Pursuant to the Indiana University Student Code of Conduct, disorderly conduct which interferes with teaching or other university activities will not be tolerated and will be immediately reported to the Office of The Dean of Students for appropriate disposition which may result in disciplinary action including possible suspension and/or expulsion from the university.

Questions About Your Grade

Grading errors do sometimes occur, and I am happy to correct these. However, any questions or concerns you may have about how tests and assignments were graded must be addressed by email within one week of the release of the grade. Please send an email stating your reason for concern; you will receive a careful review and a written reply. If you still have questions, we can discuss these further via Zoom.

Missing Exams

Make-up exams will be offered only when a student has a valid excuse that can be documented. Valid excuses must be discussed in advance except in emergency situations that make contacting the instructor impossible. Excuses that may be considered include serious illness of yourself or a family member, attendance at funerals, and participation in IU collegiate athletics. All excuses should be submitted to by e-mail with documentation and an explanation. If you know in advance that you have a conflict with a scheduled test, contact me right away.

Late and Missing Work

All work is due as stated in the course outline. Late work will not be accepted. Students with missing work will receive a zero for that assignment. If you have an emergency that comes up, please contact me as soon as possible.

Counseling and Psychological Services

For information about services offered to students by CAPS:

<http://healthcenter.indiana.edu/counseling/index.shtml>

Religious Observation

In accordance with the Office of the Dean of Faculties, any student who wishes to receive an excused absence from class must submit a request form available from the Dean of Faculties for each day to be absent. This form must be presented to the course instructor by the end of the second week of this semester. A separate form must be submitted for each day. The instructor will fill in the bottom section of the form and then return the original to the student. Information about the policy on religious observation can be found at the following website: <https://policies.iu.edu/policies/aca-59-accommodation-religious-observances/index.html>

Accessible Educational Services

Securing accommodations for a student with disabilities is a responsibility shared by the student, the instructor and the AES Office. For information about support services or accommodations available to students with disabilities, and for the procedures to be followed by students and instructors: <https://studentlife.indiana.edu/student-support/iub-aes/index.html>

TimelyCare

Indiana students have free, 24/7 access to virtual mental health care services with TimelyCare. Students do not need insurance to access TimelyCare services. <https://www.iu.edu/mental-health/find-resources/timely-care.html#0>

Sexual Harassment

As your instructor, one of my responsibilities is to help create a safe learning environment on our campus. Title IX and our own Sexual Misconduct policy prohibit sexual misconduct. If you have experienced sexual misconduct, or know someone who has, the University can help.

If you are seeking help and would like to talk to someone confidentially, you can make an appointment with:

- i. The Sexual Assault Crisis Service (SACS) at 812-855-8900
- ii. Counseling and Psychological Services (CAPS) at 812-855-5711
- iii. Confidential Victim Advocates (CVA) at 812-856-2469
- iv. IU Health Center at 812-855-4011

For more information about available resources visit <http://stopsexualviolence.iu.edu/help/index.html>. It is also important to know that federal regulations and University policy require me to promptly convey any information about potential sexual misconduct known to me to our campus' Deputy Title IX Coordinator or IU's Title IX Coordinator. In that event, they will work with a small number of others on campus to ensure that appropriate measures are taken, and resources are made available to the student who may have been harmed. Protecting a student's privacy is of utmost concern, and all involved will only share information with those that need to know to ensure the University can respond and assist. I encourage you to visit <http://stopsexualviolence.iu.edu/help/index.html> to learn more.

Commitment to Diversity: Find your home and community at IU

Asian Culture Center

Address: 807 East Tenth Street, Bloomington, IN 47408

Phone: 812-856-5361

Email: acc@indiana.edu

Website: <https://asianresource.indiana.edu/index.html>

First Nations Educational & Cultural Center

Address: 712 E 8th St., Bloomington, IN 47408

Phone: 812-855-4814

Email: fnecc@indiana.edu

Website: <https://firstnations.indiana.edu/contact/index.html>

Jewish Culture Center

Address: 730 E 3rd St., Bloomington, Indiana 47401

Phone: 812-336-3824

Website: <https://iuhillel.org/iu-jewish-culture-center>

LGBTQ+ Culture Center

Address: 705 E 7th St., Bloomington, Indiana 47408

Phone: 812-855-4252

Email: glbtserve@indiana.edu

Website: <https://lgbtq.indiana.edu/contact/index.html>

La Casa Latino Culture Center

Address: 715 E 7th St., Bloomington IN, 47408

Phone: 812-855-0174

Email: lacasa@indiana.edu

Website: <https://lacasa.indiana.edu/>

Neal Marshall Black Culture Center

Address: 275 N Jordan Ave Bloomington, Indiana 47405

Phone: 812-855-9271

Email: nmgrad@indiana.edu

Website: <https://blackculture.indiana.edu/index.html>

Academic Integrity

Academic honesty is fundamental to the activities and principles of a university. All members of the academic community must be confident that each person's work has been responsibly and honorably acquired, developed, and presented. When you borrow the words or ideas of another person, you must give attribution. This responsibility to give attribution includes instances in which you are paraphrasing what someone else has said. Otherwise, you are "stealing" another person's intellectual property and offering it as your own.

Presenting others' work as your own on a written assignment or cheating on an exam will result in 0 for that particular assignment. A second infraction will result in failing grade for the course. When in doubt about plagiarism, paraphrasing, quoting, or collaboration, consult the professor. More information IU's policies regarding academic misconduct can be found at: <https://studentcode.iu.edu/responsibilities/academic-misconduct.html>

Use of AI (such as ChatGPT) in this class. Using AI (such as ChatGPT) to assist in completing assignments in this class is prohibited. If you do use AI, you will be committing plagiarism* and will be subject to penalties in this class and sanctions by Indiana University.

*Plagiarism: Plagiarism is defined as presenting someone else's work, including the work of other students, as one's own. Any ideas or materials taken from another source for either written or oral use must be fully acknowledged, unless the information is common knowledge. What is considered "common knowledge" may differ from course to course. <https://studentcode.iu.edu/responsibilities/academic-misconduct.html>.

Note Selling: Several commercial services have approached students regarding selling class notes/study guides to their classmates. Selling the instructor's notes/study guides in this course is not permitted. Violations of this policy will be reported to the Dean of Students as academic misconduct (violation of course rules). Sanctions for academic misconduct may include a failing grade on the assignment for which

the notes/study guides are being sold, a reduction in your final course grade, or a failing grade in the course, among other possibilities. Additionally, you should know that selling a faculty member's notes/study guides individually or on behalf of one of these services using IU email, or via Canvas may also constitute a violation of IU information technology and IU intellectual property policies; additional consequences may result.

Course Materials: The faculty member teaching this course holds the exclusive right to distribute, modify, post, and reproduce course materials, including all written materials, study guides, lectures, assignments, exercises, and exams. While you are permitted to take notes on the online materials and lectures posted for this course for your personal use, you are not permitted to re-post in another forum, distribute, or reproduce content from this course without the express written permission of the faculty member. Any violation of this course rule will be reported to the appropriate university offices and officials, including to the Dean of Students as academic misconduct.

**M662 ACCOUNTABILITY AND PERFORMANCE
TOPICS AND SCHEDULE - SPRING 2024
(Readings are subject to change with at least one week's warning)**

1/8 Class Introductions and Review of Syllabus

**1/10 & 1/17 Understanding Our Need for Performance
(No Class 1/15)**

Readings:

- Behn, Robert D. 2003. "Why Measure Performance? Different Purposes Require Different Measures." *Public Administration Review* 63(5): 586–606.
- Gore, Albert. 1993. "Report of the National Performance Review: Creating a Government That Works Better and Costs Less." Washington, DC: US Government Printing Office.
- Moynihan, Chapter 1-2.

1/22 Basic Aspects of Performance Management

Readings:

- Jennings, Edward T., and Meg Patrick Haiste. 2004. "Putting Performance Management in Context." In *The Art of Governance: Analyzing Management and Administration*, eds. Laurence E. Lynn and Patricia W. Ingraham. Washington, DC: Georgetown University Press, 173–94.
- Van Dooren, Wouter Van, Geert Bouckaert and John Halligan. 2010. Performance Management in the Public Sector. Chapter 2 (Defining Concepts)

1/24 Basics of Behavioral Public Management and Experiments

Readings:

- Grimmelikhuijsen, Stephan, Sebastian Jilke, Asmus Leth Olsen, and Lars Tummers. 2017. "Behavioral Public Administration: Combining Insights from Public Administration and Psychology." *Public Administration Review* 77(1): 45–56.
- James, Oliver, Sebastian Jilke, and Gregg G. Van Ryzin. 2017. "Causal Inference and the Design and Analysis of Experiments." In *Experiments in Public Management Research: Challenges and Contributions*, eds. Gregg G. Van Ryzin, Oliver James, and Sebastian R. Jilke. Cambridge: Cambridge University Press, 59–88.

1/29 Cognitive Biases and Perceptions of Performance I

Readings:

- Baekgaard, Martin, and Søren Serritzlew. 2019. "Those Who Understand It Will Not Be Persuaded: A Performance Information Paradox." *International Public Management Journal* 0 (0): 1–23.
- James, Oliver, and Gregg G. Van Ryzin. 2017. "Motivated Reasoning about Public Performance: An Experimental Study of How Citizens Judge the Affordable Care Act." *Journal of Public Administration Research and Theory* 27 (1): 197–209.
- Olsen, Asmus Leth. 2016. "Human Interest or Hard Numbers? Experiments on Citizens' Selection, Exposure, and Recall of Performance Information." *Public Administration Review*.
- Walker, Richard M., M. Jin Lee, Oliver James, and Samuel M. Y. Ho. 2018. "Analyzing the

Complexity of Performance Information Use: Experiments with Stakeholders to Disaggregate Dimensions of Performance, Data Sources, and Data Types.” *Public Administration Review* 78 (6): 852–63.

1/31 Cognitive Biases and Perceptions of Performance II

Readings:

- James, Oliver. 2010. Performance Measures and Democracy: Information Effects on Citizens in Field and Laboratory Experiments. *Journal of Public Administration Research and Theory*
- Moynihan, Donald P. 2015. “Uncovering the Circumstances of Performance Information Use Findings from an Experiment.” *Public Performance & Management Review* 39 (1): 33–57.
- Nielsen, Poul A., and Martin Baekgaard. 2015. “Performance Information, Blame Avoidance, and Politicians’ Attitudes to Spending and Reform: Evidence from an Experiment.” *Journal of Public Administration Research and Theory* 25 (2): 545–69.

2/5 Performance Management, Perverse Incentives, and Gaming

Readings:

- Hood, Christopher. 2006. Gaming in Targetworld: The Targets Approach to Managing British Public Services. *Public Administration Review* 66 (4): 515–521.
- Soss, Joe, Richard Fording, and Sanford F. Schram. 2011. “The Organization of Discipline: From Performance Management to Perversity and Punishment.” *Journal of Public Administration Research and Theory* 21 (Supplement 2): i203–32.

2/7 Performance Reform at the Federal Level I: History

Readings:

- Mihm, J. Christopher, Implementing GPRA: Progress and Challenges, in Forsythe (ed), *Quicker, Better, Cheaper: Managing Performance in American Government*. Albany: Rockefeller Institute Press.
- Radin, Beryl A. 2000. “The Government Performance and Results Act and the Tradition of Federal Management Reform: Square Pegs in Round Holes.” *Journal of Public Administration and Research Theory* 10 (1):111–135.

2/12 Performance Reform at the Federal Level II: PART and Beyond

Readings:

- Moynihan, chapters 6–8
- Joyce, Philip G. 2011. “The Obama Administration and PBB: Building on the Legacy of Federal Performance-Informed Budgeting?” *Public Administration Review* 71(3): 356–67.

2/14 Performance Reform at the State Level

Readings

- Moynihan, chapters 3–5

2/19 & 2/21: Performance Funding at the State Level: The Case of Higher Education

Final paper prospectus due: 2/18

- Dougherty, Kevin J., Sosanya M. Jones, Hana Lahr, Rebecca S. Natow, Lara Pheatt, and Vikash Reddy. 2016. *Performance Funding for Higher Education*. Baltimore, Maryland: Johns Hopkins University Press.

2/26 & 2/28 Performance Management and Contracting

Readings:

Brown, Trevor L., Matthew Potoski and David Van Slyke. Managing Public Service Contracts: Aligning Values, Institutions and Markets. *Public Administration Review* 66(3): 323-331.
Carolyn Heinrich and Youseok Choi. 2007. "Privatization and Performance Based Contracting in Public Welfare Programs." *American Review of Public Administration*. 37(4): 409-435
Behn, Robert and Peter Kant. 1999. "Strategies for Avoiding the Pitfalls of Performance Contracting." *Public Productivity and Management Review*. 22:4:470-489.

3/4 MIDTERM EXAM

3/6 Individual Meetings with Students to Discuss Final Paper Projects

3/11 & 3/14 NO CLASS (Spring break)

3/18 & 3/20 Using Data to Manage for Performance: Organizational Learning

Readings:

Moynihan, chapter 9
Rabovsky, Thomas. 2014. Using Data to Manage for Performance at Public Universities. *Public Administration Review*.
LeRoux, Kelly, and Nathaniel S. Wright. 2010. "Does Performance Measurement Improve Strategic Decision Making? Findings From a National Survey of Nonprofit Social Service Agencies." *Nonprofit and Voluntary Sector Quarterly* 39(4): 571-87.

3/25 & 3/27 The Mechanics of Performance Management

Readings:

Hatry (Chapters 3-10,12)

4/1 & 4/3 Fostering the Use of Data: The Stat Approach

Readings:

Behn, Robert D. 2014. *The PerformanceStat Potential: A Leadership Strategy for Producing Results*. Washington, D.C: Brookings Institution Press and Ash Center for Democratic Governance and Innovation. (Chapters 1-10)
Radin, Beryl A. 2015. "Baltimore: When Good Intentions Bring Negative Consequences." *Public Administration Review* 75 (4): 511-12.

4/8 NO CLASS (Solar Eclipse)

4/10 Designing a Performance Management System Exercise

Exercise: Students will select a public program (local, state, or federal programs are all eligible) of their own choosing. They will then prepare a brief report outlining a logic model for this program and identifying a set of indicators that will be used by managers to improve performance. During class, we will discuss each proposal and highlight both strengths and potential problems.

4/15 & 4/17 Performance Management and Democratic Values

Readings:

Hatry, Chapter 11

Rosenbloom, David. 2007. Reinventing Administrative Prescriptions: The Case for Democratic-Constitutional Impact Statements and Scorecards. *Public Administration Review* 67 (1): 28-39.

Ammons, David and Carl Stenberg. 2007. Commentary on Reinventing Administrative Prescriptions: The Case for Democratic-Constitutional Impact Statements and Scorecard. *Public Administration Review* 67 (1): 1-8.

Halachmi, Arie and Marc Holzer. 2010. Citizen Participation and Performance Measurement: Operating Democracy Through Better Accountability. *Public Administration Quarterly*.

Wichowsky, Amber and Donald P. Moynihan. 2008. Measuring How Administration Shapes Citizenship: A Policy Feedback Perspective on Performance Management. *Public Administration Review*, 68 (5): 908-920

4/22 Wrap-up class: What have we learned?

Moynihan, chapter 10

Heinrich, Carolyn H. and Gerald Marshke 2010. Incentives and Their Dynamics in Public Sector Performance Management Systems. *Journal of Policy Analysis and Management* 29(1): 183-208.

4/24 Feedback on Final Papers & Catch Up

5/1 Final paper due, 11:59 PM