

**MEMORANDUM REPORT**

June 9, 1998

**TO:** Management and Fiscal Policy Committee

**FROM:** Karen Orlansky, Director  
Sue Richards, Program Evaluator  
Jennifer Kimball, Research Assistant  
Office of Legislative Oversight

**SUBJECT:** *OLO Budget Project: Summary Report, Options, and Recommendations on Performance and Outcome Measures*

On April 13, OLO provided the MFP Committee with an overview of the performance measurement approach, products, and plans of the five major County and bi-County agencies. During the Council's operating budget worksessions, OLO discussed the use of performance and outcome measures with all Council Committees. During this time, OLO staff also continued to study different approaches and implementation lessons from other jurisdictions.

On June 11th, the MFP Committee will hold a follow-up worksession on OLO's budget project to discuss agency developments, Council oversight, and use of performance and outcome measures. OLO recommends the Committee use this worksession to:

- Review OLO's updated observations on the agencies' work to date on outcomes and performance measures;
- Discuss the Council Committees' comments on the needs and expectations of Councilmembers for performance and outcomes-related information; and
- Determine the MFP Committee's recommendation to the Council for Legislative Branch direction on outcomes and performance measurement work.

The three parts of this packet are summarized below.

defines an outcome measure as a means of measuring program results or accomplishments. WSSC defines internal performance measures as those which focus on productivity and costs within the organization. External performance measures focus on service image and value among customers. WSSC's FY 99 proposed budget included a separate chapter on major agency accomplishments and outcome measures.

## **2. OLO's Updated Observations**

During April and May, OLO continued to review the performance measurement efforts of the five County and bi-County agencies. For a sample of service areas in the five agencies, OLO prepared separate memorandums for different Council Committees to discuss the Legislative Branch's needs and expectations regarding performance measures. (See page 11 for a list of the service areas and Council Committees.)

In addition, for County Government departments with annual operating budgets of \$10 million or more, OLO requested answers to five standard questions concerning progress to date on department-level program measures and outcomes. A summary of the responses to these questions begins at © 1. OLO also continued to compile examples of performance measures, budget formats, and lessons learned from other jurisdictions.

As a result of this work, OLO developed a more complete picture of the efforts underway in the County and bi-County agencies, and gained a better understanding of the critical factors for successful performance measurement systems. The rest of this section elaborates on some key performance measurement themes and updates OLO's initial observations about the agencies' systems in the following areas:

- types of performance measures;
- administration of performance measurement systems;
- use of performance measurement systems;
- linking performance measures to budget decisions; and
- time and resource needs.

### **a. Types of performance measures**

The literature on performance measurement consistently points out advantages of reporting multiple types of measures (or indicators), with a balance among the following types:

**Input indicators** measure the volume of resources, both monetary and non-monetary, used to deliver a program or service. The most common monetary input measure is total expenditures. The most common non-monetary input is labor, e.g., number of workyears.

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The three parts of this packet are summarized below.

**Part A, Updated Report of Agency Progress and OLO Observations** (*begins on page 3*) updates the summary of the five agencies' development and use of performance and outcome measures. In sum, OLO found all five agencies making a concerted effort to develop or improve results-oriented management, planning, and/or budget systems. The agencies take different approaches and publish performance information in different types of products.

**Part B, Summary of Council Committee Discussions** (*begins on page 11*) reports the Council Committees' responses to five questions designed to clarify the Councilmembers' needs and expectations regarding outcomes and performance measures. In sum, the Committees unanimously agreed that:

- ⇒ For the Council, the most valuable uses of performance measures are: to help maintain oversight of programs; to enhance Council discussions and decision-making about priorities and resource allocation; and to communicate with the public;
- ⇒ A critical Council role is to provide clear guidance to the agencies about the type of performance information that is important and relevant to Legislative Branch decision-making; and
- ⇒ The primary responsibility for developing outcomes and performance measures belongs to agency staff, while the Legislative Branch's focus should be to provide coordination, guidance, oversight, and assessment.

All Committees expressed a preference for scheduling more comprehensive discussions about agency performance off-budget. Most Councilmembers also indicated a desire to review summary (or updated) performance information as a routine part of the budget process. The Committees expressed a range of views about providing additional resources to develop performance measures.

**Part C, Options for Legislative Branch Direction** (*begins on page 17*) presents alternative courses of action for the Council to consider in terms of Legislative Branch direction on outcomes and performance measures. None of the products nor the alternatives presented are mutually exclusive.

Under the first alternative, the agencies would continue to pursue their current plans for developing performance measures, with continued encouragement and feedback from the Council. Under this alternative, in FY 99, OLO could arrange relevant training opportunities for Legislative Branch staff and key agency representatives, and/or assemble a resource library on the development and use of outcomes and performance measures.

Under the other alternatives, the Council would request a product (or products) that explicitly: (1) provides the Council with data that link performance measures to the budget process; (2) provides the Council with some type of off-budget report on agency performance, and/or (3) provides the Council with a benchmark report on community well-being. This memorandum presents examples from other jurisdictions that illustrate the benefits and limits of these various products.

## **PART A: UPDATED REPORT OF AGENCY PROGRESS AND OLO OBSERVATIONS**

### **1. Recap of OLO's Initial Observations**

At the MFP Committee worksession on April 13, OLO offered some initial observations on the progress of the County Government, MCPS, Montgomery College, M-NCPPC, and WSSC to develop and use outcomes and performance measures. All five agencies are making a concerted effort to develop or improve results-oriented management, planning, and/or budget systems. In sum, OLO reported:

**County Government.** The County's *Montgomery Measures Up!* report takes a "big picture" approach by defining an outcome as a condition of well-being in the community. For the County Government, measuring outcomes crosses program and agency lines, and involves both the public and private sectors. The Chief Administrative Officer (CAO) provides overall direction for *Montgomery Measures Up!* with a three-member leadership team consisting of an Assistant CAO, the Director of the Office of Management and Budget, and the Department of Health and Human Services' Chief of Accountability and Customer Service.

**Montgomery County Public Schools.** The Board of Education's outcomes work revolves around the Success for Every Student (SES) Plan, which defines specific expectations for student achievement in different areas. The Department of Educational Accountability compiles and publishes systemwide data to quantify progress made toward achieving the SES outcomes. This year, in addition to updating the SES outcomes (first adopted in 1992), MCPS plans to extend the development of outcome measures and key results to the school system's business and instructional support operations.

**Montgomery College.** The College adopts college-wide and campus-based goals and priority outcomes as part of its annual planning and budgeting process. Working with faculty committees, the Office of Planning and Institutional Research (OPIR) compiles college-wide and campus-based performance data. The President and Board of Trustees annually review and approve a set of priority outcomes. OPIR also compiles performance data in an annual Accountability Report to the Maryland Higher Education Commission.

**Maryland-National Capital Park and Planning Commission.** M-NCPPC is in the initial phase of performance measurement work. In the Director's Office of the Park and Planning Department, the Chief of Management Services is working on a strategic planning framework for developing performance measures, and a pilot program to develop measures for the Development Review Division. In Central Administrative Services, the Executive Director's priority is to develop efficiency and effectiveness measures for each major service area.

**Washington Suburban Sanitary Commission.** At WSSC, the Office of Budget and Financial Planning, under the direction of the General Manager, coordinates the agency-wide effort to develop and publish workload data and outcome measures. WSSC

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OLO found that all five agencies publish documents, in addition to their proposed budgets, which provide a significant amount of performance information. The information ranges from input and workload data to efficiency, effectiveness, and customer satisfaction survey results. Examples of these documents include:

- MCPS' Annual Report of Systemwide Outcome Measures: The Success for Every Student Plan;
- Montgomery College's annual Accountability Report to the Maryland Higher Education Commission;
- The M-NCPPC Parks Division's customer satisfaction surveys and Parks Recreation and Open Space (PROS) plan;
- The County Government's *Montgomery Measures Up!* report, the Department of Health and Human Services' Measuring Progress report, and the Department of Public Works and Transportation's State of the Infrastructure report.

**b. Administration of performance measurement efforts**

The National Academy of Public Administration (NAPA) observes that deciding who leads the performance measurement effort in an organization is both important and complicated. NAPA concludes that the best solution will likely vary from one setting to another based on personnel, history, and other factors. Furthermore, NAPA finds that the concern should not be so much where the leadership is placed, but more on the need for coordination, visibility, and commitment of elected officials and senior management.

Elected officials and senior managers show commitment and support to a performance measurement effort by designating adequate resources to the project. Organizations tend to struggle to find the time and resources to put meaningful systems in place. To be successful, adequate resources must be available to produce and use valid information on program results, including funds for data collection, information management technology, training, and analysis.

It is too often assumed that products and information required for performance measurement are already available or can be easily assembled and reported. Unfortunately, this is not always the case. If a performance system is not adequately planned, then resulting information will not be very useful for decision-making. If it is not used in decision-making, then it is less likely the performance measurement system will ever be improved.

**In Montgomery County.** Across the five agencies, the administration of the various performance measurement efforts vary.

- At WSSC and Montgomery College, a central office is assigned lead responsibility for coordinating the agency-wide performance measurement efforts. At WSSC, it is the Office of Budget and Financial Planning; at the College, it is the Office of Planning and Institutional Research.



- At MCPS, the Department of Educational Accountability (DEA) compiles and publishes systemwide data to quantify progress made toward achieving Success for Every Student outcomes. This centralized approach may change somewhat in the next year as the Chief Financial Officer takes the lead on developing performance measures for MCPS' business and instructional support operations.
- The County Government has both centralized and decentralized performance measurement efforts. The County's Chief Administrative Officer and a three-member senior leadership team provide overall direction for *Montgomery Measures Up!* In addition, some individual County Government offices/departments are making substantial progress developing and using department and/or division-level performance measures.

OLO's informal survey of the 12 County Government departments with annual budgets over \$10 million evidenced this combination approach. OLO found four of the 12 departments contributed to developing measures for the first *Montgomery Measures Up!* community-wide outcome, "Young People Making Smart Choices." OLO also found some departments using existing resources to develop their own performance-based planning and management systems. The approach, scope and use of these systems varies from one department to the next. (A summary of the County Government departments' responses begins at © 1.)

- Similarly, M-NCPPC has both centralized and decentralized efforts to develop and use performance data. Agency-wide initiatives led by the Director's Office in the Park and Planning Department and the Executive Director of Central Administrative Services are in the formative stages. Meanwhile, the Park Division is working to improve an existing set of practical management tools that include a long range strategic plan, different surveys to measure customer satisfaction, standards for maintenance in the County's parks, and some initial unit cost data.

#### **c. Current Uses of Performance Measurement Systems**

As the Council Committees discussed last month, a performance measurement system can be designed for management, planning, oversight, budget decision-making, communication, and/or customer feedback. The users of a performance measurement system can range from senior managers, staff and clients to elected officials, the media and/or the general public. Whether a system primarily designed for one purpose can be equally effective for another purpose must be evaluated on a case by case basis.

The method for reporting measures can sometimes blur how they are actually used, particularly for measures reported in budget documents. Many jurisdictions, including the County and bi-County agencies, report input and output (workload) measures in the budget. However, only a few places (e.g., Sunnyvale, California and Phoenix, Arizona) actually allocate resources based on performance data. For many jurisdictions, the primary

use of reporting measures is to improve communication about agency priorities and programs with only an indirect link to budget decision-making.

Elected officials must work deliberately to ensure the effective use of performance measurement systems. Case studies of other places suggest elected officials and senior agency staff must agree on the uses of a performance measurement system and commit to following through on those uses. **In addition, officials should use measures in a constructive way, rather than to ascribe blame. Some jurisdictions warn that tying measures too closely to the allocation of resources can encourage a skewed reporting of positive results, which in the long run, diminishes the value of the performance information.**

**In Montgomery County.** To varying degrees, the five County and bi-County agencies either actively use or plan to use performance and outcome measures for the following purposes:

- ⇒ To identify conditions of community well-being and improve communications with the public;
- ⇒ To improve service delivery and program management; and
- ⇒ To create a link to the budget process.

The performance measurement systems evolving in the five agencies differ in their primary focus.

- The County Government sees *Montgomery Measures Up!* as a vehicle for building public and private sector consensus around community-wide outcomes. The immediate focus of the County Government's *Montgomery Measures Up!* is on strategic thinking and communication with the public. Over a longer term, County staff believe it will also improve management and influence resource allocation decisions, as departments work together on high priority, cross-cutting community concerns.

Some individual County Government departments already use performance measures to help manage their departments. For example, the Director of the Department of Public Works and Transportation characterizes his approach to outcomes and performance measures as a management, program, and budget tool. The Director intends to link this measurement work to the implementation of the Management Leadership Service, The County's new performance based pay system for senior managers, which requires each participant to develop and commit to an outcomes-linked work plan.

- Since 1992, the Board of Education has used the vision, goals, and strategies outlined in the Success for Every Student (SES) Plan for strategic planning discussions and as a way to concentrate systemwide efforts on achievement of specific outcomes. MCPS' annual surveys of students and parents also serve as important communication and feedback tools for the agency. MCPS conducts internal benchmarking by comparing

and analyzing the reasons behind student achievement results from school to school. As indicated above, during the next year, MCPS intends to extend the development of outcomes to MCPS' business and instructional support operations.

- At Montgomery College, the Board of Trustees and President annually approve goals and priority objectives, which provide a focus for the College's annual planning and budget process. In addition, the College communicates its progress through reporting outcomes and performance measures to the Maryland Higher Education Commission.
- At M-NCPPC, the Director of Park and Planning and Executive Director of CAS intend to use agency-wide performance measures for management, planning, and budgeting. The Park Division already uses performance data to better understand the public's expectations and desires and to make adjustments to improve the Division's overall performance.
- In addition to publishing performance data in the agency's proposed budget, WSSC's approach to performance measurement includes a component focused on obtaining customer feedback. WSSC staff also report that the Commission uses outcomes and performance information to improve communication with the public about the Commission's goals and achievements.

**d. Linking Performance Measures to Budget Decisions**

The Legislative Branch uses the budget process to oversee agency activities and to decide how resources should be allocated. The performance measurement literature reports that, in practice, many legislators are legitimately reluctant to automatically adjust an agency's funding level based on a measurement of its performance. The most frequently cited reasons are:

1. It can be unclear whether an appropriate budgetary response to poor performance is to reduce or increase funding;
2. Program results may depend on factors that are outside of an agency's control or that are not easily measured;
3. Tying funding too directly to performance can create incentives for setting goals that are too easily reached and reporting only positive information; and
4. Budgeting is a more complicated process than simply allocating funds based on data and formulas.

Jurisdictions experienced with results-measurement advise that performance information can play a useful role in the budget process, but should be considered only one of many factors. In addition, given the demands placed on the budget process, the Legislative Branch should consider other forums for more comprehensive discussions of program goals and performance.

**In Montgomery County.** While some agency staff indicate their intent to use performance measures in the budget process, to date that use is not very developed. The five agencies all publish some type of performance information (either in the agency's budget or other documents), but generally use performance measures in budget decisions in limited ways.

The Director of the County's Office of Management and Budget belongs to the three-member leadership team for the County Government's results-measurement efforts. For each operating division, MCPS' proposed budget includes a list of activities the division will undertake toward helping to achieve the Success for Every Student outcomes. The College's budget process includes setting priority objectives for the coming year and follow-up on progress made toward achieving the previous year's priority objectives. At WSSC, the Budget office has the lead role in developing performance measures and maintains a clear commitment to integrating these measures with the budget decision-making process.

## **PART B: SUMMARY OF COUNCIL COMMITTEE DISCUSSIONS**

During the Council's operating budget worksessions, OLO prepared separate memorandums for different Council Committees to discuss the Legislative Branch's needs and expectations regarding performance measures. The table below lists the service areas discussed by the different Council Committees.

<b>Council Committee</b>	<b>Service Area</b>	<b>Agency</b>
HHS	Health and Human Services	County Government
Public Safety	Police	County Government
MFP	Finance	County Government
T&E *	Fleet Management, Public Works and Transportation	County Government
T&E	Water and Sewer agencywide and bureau level measures	WSSC
Education	"Success for Every Student"	MCPS
Education	College-wide and campus based measures	Montgomery College
PHED	Parks Operations - Maintenance	M-NCPPC

\* The T&E Committee's discussion of DPWT outcomes was postponed until after budget.

This section begins with some general themes about the use of performance measures by legislative bodies. This is followed by a summary of the Council Committees' responses to OLO's questions concerning the Council's needs and expectations for outcomes and performance data from the County and bi-County agencies.

### **Guidance for Legislative Bodies**

One of the recurring pieces of advice from jurisdictions that have experience with performance measurement is the importance of maintaining the political commitment, enthusiastic leadership, and visible involvement of elected officials and senior managers. Recipients of performance information, especially elected officials in the Legislative Branch, must also demonstrate that performance information will be used constructively.

To assure success, legislators and other key stakeholders should agree on the need and desired results of any performance measurement system. This includes full and open discussion of goals and expectations of performance reporting, and development of a common vision about what the system will accomplish. These discussions should include an understanding of the information desired by the Legislative Branch and the time and resources required to implement the system.

In 1993, the Minnesota legislature passed a bill that requires agency performance reporting. One recurring criticism of the Minnesota experience is that some legislators

consider the performance reports irrelevant and pay little attention to the information provided. The uneven use of the information sends a confusing message to agencies about what level priority to place on preparing performance reports.

The experience of other jurisdictions demonstrates that a legislative body should avoid micromanagement in carrying out its oversight role. Excessive legislative direction may limit agency flexibility and inhibit innovation. For example, imposing a rigid reporting framework that sets uniform expectations across agencies that perform very different functions can prove problematic in practice.

Finally, the literature cautions that strong, ongoing leadership from elected officials and top management along with realistic expectations about the time it takes to develop performance measures are important elements of a successful operation. In addition, the jurisdiction should provide technical assistance to help operating agencies develop and use measurement effectively.

## **Summary of Council Committee Responses to OLO's Five Performance Measurement Questions**

### ***Question #1: How do Councilmembers see using outcomes and performance measures to assist with the Council's budgetary and oversight responsibilities?***

All of the Committees recognized that outcomes and performance measures can add value to the Council's oversight and decision-making roles. Councilmembers identified the following specific Legislative Branch uses:

- To provide a general context for budget discussions;
- To help identify opportunities for increases or decreases in resource allocation or to justify new initiatives;
- To communicate with the public;
- To help maintain oversight of programs and other activities; and
- To help clarify Legislative Branch program goals and policies.

Councilmembers also acknowledged the limits of performance measures. For example, performance measures tell the "score", but do not explain why. An explanation of "why" requires more in-depth analysis and evaluation. Also, performance data alone cannot answer questions about priorities among unrelated programs. Resource allocation decisions still have to be made using performance data along with other information.

**Linking Performance Measures to Budget.** A majority of Councilmembers indicated their interest in a stronger link between performance information and the budget decision-making process. However, Councilmembers expressed different expectations about whether this is the most important use or how quickly and easily this can be accomplished.

For example, the MFP Committee and Public Safety Committee identified their interest in basing budget-related discussions more on performance data and results. The HHS Committee has been discussing for several years the use of performance information to assist with allocating resources to health and human services programs. This year, the Education Committee noted that the Board of Education's FY 99 class size initiative is an important example of an agency linking a request for additional resources to specific goals and results.

The PHED Committee finds performance measures useful for budget decision-making over the long term, but recognized that the County agencies have a lot of work to do before this can happen. The PHED Committee also discussed the advantage of being able to use performance data in years when resources are tight to help the Council direct limited resources to the most efficient uses.

**Improving Accountability.** Councilmembers discussed how performance measures can increase agency accountability by improving the flow of information about agency and program performance. Councilmembers expressed interest in receiving performance information that includes program strengths and weaknesses, program effectiveness, and data on the success or failure of specific initiatives.

**Communicating with the Public.** The Committees all discussed the use of performance measures to inform (and reassure) citizens that public resources have been well spent or that citizens are getting desired services at affordable costs. In particular, the T&E Committee emphasized that WSSC's outcomes and performance measures could play an important role in communicating with the public and changing public perceptions about the agency.

***Question #2. What criteria do Councilmembers have for "useful" performance and outcome measures?***

All Committees reviewed OLO's list of criteria for a useful performance measurement system. Councilmembers identified the following characteristics as most important:

- The performance measurement system is cost-effective. This means that, to the extent possible, the necessary data are retrieved as a by-product of regular activities, and few tasks are added that take employees away from their program responsibilities.
- Performance measures are based on goals and objectives that tie to a statement of program mission; they report on program results or accomplishment and allow for comparison over time.

- Performance measures are used for decision-making, and reported both internally and externally.
- There is a “reasonable” number of measures -- not too many for legislators and citizens to absorb, but a sufficient number to represent the major program objectives.
- The measures themselves make sense to elected officials and agency staff, and are reviewed regularly for their continued relevance.

The HHS and MFP Committees noted the practical advantages to the Council of a format that presents efficiency measures (e.g., unit cost data) and parallels how the Council reviews the proposed budget. In addition, the T&E and MFP Committees discussed the importance of providing performance data to the Council that sufficiently addresses a substantial percentage of a department’s budget. The Education Committee expressed strong support for MCPS’ intent to extend the development of outcomes and performance measures to MCPS business and instructional support operations.

The PHED Committee identified cost or efficiency indicators and some measure of customer satisfaction as the most important types of measures. The PHED Committee noted that, over time, departments should track these measures and manage or modify their programs to optimize the two measures together.

***Question #3. What role should the Legislative branch play in the process of identifying departmental, inter-agency, and/or community-wide performance and outcome measures?***

The Committees unanimously agreed that agency staff (not the Council) should assume the lead responsibility for developing performance data. Councilmembers generally concur that the Council’s primary role is to provide clear guidance and feedback about what type of information is important and relevant to Council decision-making, and to review and react to measures developed by the agencies.

The Education Committee noted that it is more important for the Council to review measures for external/budget purposes and less important (perhaps even inappropriate) for the Council to review measures used internally by the agencies. Councilmember Hanna observed that the Council should become involved in the technical work of developing measures only as a last resort (due to limited time and program knowledge), and only if an agency refuses to provide the Council with the information it requests.

Councilmember Krahne pointed out that one of the Council’s responsibilities during the budget process is to make connections among the goals, resources, and performance of different agencies, particularly in the criminal justice system and as partners with health and human services.



***Question #4: Should the Council Committees review agency performance data as part of the annual budget process or at a separate off-budget time?***

All Committees expressed a preference for holding comprehensive worksessions on agency performance off-budget. Councilmembers generally acknowledged that the Council's current budget worksession schedule does not allow sufficient time for in-depth discussions about agency and program goals, outcomes, and performance measures.

Scheduling off-budget discussions of agency performance would provide Council Committees with the opportunity to discuss major policy and fiscal issues with agency representatives, at a time when the Council is not required to make immediate resource allocation decisions. Ideally, the subsequent year's budget requests would reflect the earlier discussions held with Councilmembers.

In addition to scheduling off-budget discussions, a majority of Councilmembers indicated their desire to review a summary (or updates) of key performance data as a routine part of the Council's annual budget review process. Without necessarily basing resource allocation decisions only on performance data, there was general agreement across Committees that a progress report on key measures is relevant for Councilmembers to have on hand during budget-related worksessions.

Councilmember Ewing suggested that so long as the performance data are available in a timely way to Council staff and Committee members, the performance data do not necessarily need to be published in the proposed budget documents themselves. Councilmember Praisner noted that while they may not need to be published in the budget, performance data should be published in a fashion and timing that facilitates public review.

**Specific Committee Requests**

- The Education Committee requested that staff schedule a Committee meeting with Montgomery College in November 1998 to discuss the College's 1997 Accountability Report to the Maryland Higher Education Commission. The Committee also requested that staff arrange a separate meeting this fall with the Board of Education to discuss the Board's recommended updates to the Success for Every Student outcomes, and the agency's progress on developing performance measures for MCPS' business and instructional support operations.
- As a result of its outcomes discussion with WSSC, the T&E Committee agreed to schedule an off-budget briefing on WSSC's competitive assessment process.
- The HHS Committee requested that the Department of Health and Human Services develop a family of performance measures for key programs in the Department in a format that includes program cost information and parallels how the Executive presents and the Committee reviews the recommended DHHS budget. The Committee requested that Council staff work with DHHS to bring the format and list of identified programs to the HHS Committee this summer.

***Question #5: Does the Council support providing additional resources for developing performance data, or does the Council view this as something existing agency staff should "absorb"?***

The Committees and Councilmembers expressed a range of views on this question:

- The T&E Committee complimented WSSC for their performance measurement progress using existing staff, and concluded that there was no need at this time for additional resources. The Committee agreed that an agency may occasionally need to hire an outside expert for research support and to help identify attainable goals.
- The Education Committee expressed its support for the performance measurement work underway at MCPS and the College. Given the resources already dedicated to tracking and compiling performance data, the Education Committee concluded that sufficient resources exist at this time for these tasks.
- The MFP Committee complimented the Department of Finance's progress on developing performance measures using in-house staff. The Committee saw no need for additional resources at this time in the Department of Finance for outcomes-related work. However, the Committee agreed that there may be departments that need short-term technical assistance or training on performance measurement.
- To demonstrate the Legislative Branch's commitment to performance measurement, the MFP Committee recommended, and the Council approved, adding \$40,000 to OLO's FY 99 budget, to advance performance measurement efforts across all agencies.
- The Public Safety Committee expressed support for the progress made to date by the Department of Police to develop performance measures. Councilmember Krahne supports providing the Department with additional resources to fund ongoing senior-level analytical support on a number of issues, including the development of performance measures, benchmarking, crime reduction strategies, outcomes and workload analysis.
- The PHED Committee expressed a willingness to consider short-term additional funding to agencies to develop performance measures. The Committee felt that additional funds may be justified because some agencies have the expertise, but not the time while other agencies do not have in-house expertise. Councilmember Hanna suggested the Council provide resources for no longer than two years, after which time the agency must ensure that the system will be continued. Councilmember Potter cautioned that the Council should tie the funding to a specific proposal and not just add money as a percent of an agency's budget.

## **PART C: OPTIONS FOR LEGISLATIVE BRANCH DIRECTION**

This section outlines alternative courses of action to meet the Council's needs and expectations for outcomes and performance data from the five County and bi-County agencies. The first alternative (Alternative A) represents an incremental change to the work already underway, while the second set of alternatives (Alternatives B1 - B4) provides a more pro-active approach. The alternatives are not mutually exclusive, so the Committee could recommend different components of each alternative, concurrently or sequentially.

After the Committee decides what direction it wants to recommend to the Council, then the Committee should also consider the most appropriate implementation strategy, e.g., Council memorandum or letter, Council resolution, legislation, other. In addition, once the Committee decides the role it sees for OLO during the next year, then OLO will prepare a more detailed proposal of how to allocate the \$40,000 that the Council appropriated in OLO's budget for outcomes-related work in FY 99.

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### **Alternative A: Continue to encourage and monitor agencies' progress to develop and use performance measures**

Under this alternative, the Council would continue to encourage and monitor the progress made by the five County and bi-County agencies to develop and use outcomes and performance measurement data.

**Potential FY 99 OLO Role.** Under this alternative, OLO could support and periodically monitor the agency efforts to measure performance. The Council could add a FY 99 OLO project to do any or all of the following:

- Provide a follow-up report to the Council in April of 1999 on agency progress during the year to develop and use performance and outcome measures;
- Compile a resource library on performance measurement for Legislative Branch and agency staff use;
- Facilitate performance measurement training of Legislative Branch staff and key agency representatives; and
- Facilitate linking agency staff with the resources needed to develop and use measures.

**Comments.** This alternative builds upon agency efforts to date. It benefits the agencies by not requiring significant change and promoting flexibility. It provides resources for training and technical assistance and gives the Council a way to monitor progress.

This alternative does not address the uneven and somewhat "chaotic" performance reporting currently in place. It also provides a less focused opportunity for the Council to clarify its performance measurement needs and expectations. As a result, Councilmembers may not receive the type of performance measurement data they desire for oversight and/or assistance with resource allocation.

## **Alternative B: Request Development of One or More Types of Performance Reports**

Under this alternative, the Council would specify the development of one or more types of performance reports. The table below identifies four reporting options and the primary objective of each. The remainder of this memorandum summarizes each of the four options, provides an example of the option from a state or local government, outlines a potential FY 99 role for OLO, and provides OLO's comments on the pros and cons of the option.

### **Performance Reporting Options for Committee Consideration**

Option	Objective	Example	Description Begins on Page
B1. Publish a family of performance measures in the budget.	Strengthen the link between the budget and performance measures.	Fairfax County, FY 99 Advertised Budget	21
B2. Produce a service efforts and accomplishments report off-budget.	Increase accountability through Council review of performance data compiled by independent office.	City of Portland, City Auditor's Service Efforts and Accomplishments Report	24
B3. Produce agency performance reports off-budget.	Increase accountability through Council review of agency generated performance data	State of Minnesota Agency Performance Reports	26
B4. Produce a performance report on community well-being.	Increases communication with the public on big-picture quality of life issues.	State of Florida, Quality of Life Benchmarks Report	28

## **Option 1. Publish a Family of Performance Measures in the Budget Document**

Under this option, the Council would request each agency to publish a family of performance measures (e.g., inputs, outputs, efficiency, and outcomes/effectiveness measures) as part of their annual budget submission. The Council could ask agencies to develop performance measures for major programs/activities defined either by a dollar or percentage threshold. Agencies that already present performance measures in their budget documents would be asked to continue their efforts but might be asked to modify the measures presented. (Reference pages 4-5 for descriptions of the different types of measures.)

Many jurisdictions across the country present workload measures in their budget documents, and more are beginning to include what is known as a "family of measures." OLO's research found that the City of Dallas, the City of Portland, Prince William County, VA, and Fairfax County, VA currently present a family of measures in the budget document. This section reviews Fairfax County's approach. The forward to the Fairfax County FY 99 Advertised Budget Plan and the Fairfax County Police Department's budget chapter are attached at beginning at © 6.

**Fairfax County's FY 99 Advertised Budget.** Last year, the Fairfax County Department of Management and Budget (DMB) launched an initiative to increase the number of outcome indicators in the FY 99 Advertised Budget Document. As a result, outcome, efficiency and service quality indicators comprise 60% to 70% of the FY 99 budget indicators and workload indicators make up the remaining 30%. (By comparison, prior to FY 99, workload or output indicators made up approximately 85% of the indicators in Fairfax County's budget document.)

The Fairfax County's FY 99 budget presents information by agency and cost center. For each agency, the budget includes:

- an organization chart;
- a review of positions;
- a goal statement;
- a summary of expenditures and funding adjustments; and
- an narrative overview of the agency.

Each agency, in turn, is broken into multiple cost centers. For each cost center, the budget includes:

- a summary of positions and expenditures;
- a goal statement;
- objectives; and
- a family of performance indicators.

Fairfax County defines the Family of Measures as including a mix of the following types of indicators:

**Input** is the value of resources used to produce an output.

**Output** is the quantity or number of units produced.

**Efficiency** is inputs used per unit of output.

**Service Quality** is the degree to which customers are satisfied with a program, or the accuracy or timeliness with which the product/service is provided.

**Outcome** is the qualitative consequences associated with a program.

In addition to migrating toward publishing multiple types of performance measures, Fairfax County's Internal Audit Office plans to complete audits of the performance data compiled by two County agencies each year.

The FY 99 Fairfax County budget document emphasizes that performance measurement is an iterative process and advises readers to consider the published data as a starting point for a more comprehensive performance measurement system. Over time, County staff will build upon and enhance the current system. The ultimate goal is to provide the public and decision makers with better information for evaluating programs.

**Potential FY 99 OLO Role:** To implement this option, the Council could ask OLO to consult with agency staff and return to the Council with recommendations concerning how uniform the approach should be across the agencies with respect to definitions, structure, criteria, format, and timing. OLO recognizes that some agencies already present performance data in their budget.

The Council could also ask OLO to evaluate the usefulness, reliability, and validity of a sample of performance data provided by the agencies, and assess how performance measures are being used to monitor performance and facilitate decision-making.

**Comments.** The major advantage of this option is that it provides a context for discussing performance measurement during the budget process. Initially, this option would strengthen the link between performance data and the budget process by presenting performance data in the budget document. **The Council could refer to these data during budget discussions; however, this approach would not require the Council to base resource allocations only on performance data.**

This option provides an opportunity to move to a closer link between performance measures and resource allocation decisions in the future. Over the long term, this option might also enable the Council to compare the benefits and costs of dissimilar programs.

In addition to providing a context for budget discussions, this option would require agencies to refine the mission and goal statements of their major programs. Other jurisdictions indicate that this ongoing exercise improves communication with the public about how the jurisdiction spends its tax dollars.

A drawback of this option lies in the agency staff effort required to develop a family of measures for major programs. All five agencies currently publish some performance measures in their budget documents, but as indicated earlier, most are input or workload indicators. Preparing a FY 2000 budget in the format described here would require significant staff time and new data collection approaches. At the outset, the Council would need to acknowledge that some programs lend themselves to only workload measures and that other programs do not have the systems in place to collect data to measure efficiency and effectiveness. The Council would have to maintain realistic expectations as to the number of measures and data that would be available, particularly in the initial years.

A second drawback of this option arises from unclear expectations about whether and how the Council might link the measures to resource allocation decisions.

## **Option 2. Produce A Service Efforts And Accomplishments Report Off-Budget**

Under this option, the Council would ask OLO to take the lead in compiling a report similar to the Portland Auditor's *Service Efforts and Accomplishments Report*. The report would provide performance data on key service areas across the five County and bi-County agencies. It would also include benchmarks against five or six comparison jurisdictions and results of a citizen satisfaction survey. Working with agency staff, OLO would produce the document off-budget to assure adequate time for Council discussion and review.

OLO's research found that an increasing number of jurisdictions are producing service efforts and accomplishments reports, including the City of Portland and Prince William County, VA. A description of Portland's report follows. The table of contents, introduction and Police chapter from Portland's most recent *Service Efforts and Accomplishments Report* are attached beginning at © 21.

**Portland's Report.** In 1997, Portland's Office of the City Auditor produced the seventh annual *City of Portland Service Efforts and Accomplishments Report*. The Auditor's report reviews the largest and most visible direct services provided to the public, comprising about 70% of the City's budget and 80% of its staff. The report presents spending and staffing data, workload information, and performance information. The report also includes similar data for six comparable cities and summarizes the responses from an annual citywide citizen satisfaction survey.

According to the City Auditor, the report gives the Council and the public a "report card" on the past to help make better decisions about the future. Specifically, the Auditor believes that the report:

- improves the City's accountability by providing consistent and reliable information on the performance of City services over time;
- helps the City Council and managers to make better decisions by concentrating attention on a few important indicators of spending, workload, and results; and
- assists managers and elected officials to improve the performance of public programs.

**Potential FY 99 OLO Role.** To implement this option, the Council could add a planning project to OLO's FY 99 Work Program. Specifically, the Council could ask OLO to consult with the five agencies and return to the Council next spring with a proposal for approach, format, selecting benchmark jurisdictions, conducting a survey, and a projected implementation budget, e.g., costs of staff, publication, distribution.



**Comments.** The service efforts and accomplishments reporting format provides a general overview of performance across all agencies. It satisfies the Council's need for performance information about key service or program areas, without overwhelming the Council or the public with unnecessarily detailed data. OLO recommends producing the report off-budget so that the Council has more time to focus on the information. When combined with Option 1 (Publishing a family of performance measures in the budget), this report satisfies the Council's need for a more comprehensive discussion of performance data off-budget and summary performance data during budget discussions.

Based on Portland's experience, producing a service efforts and accomplishments report requires a year of planning, followed by on-going staff support. The time invested by OLO, however, would be particularly worthwhile if/when the Government Accounting Standards Board (GASB) decides to expand the type of information required to be presented in traditional financial statements to include service efforts and accountability reporting. The dynamics of the production and use of the report in Montgomery County may differ somewhat from Portland's experience because the City Auditor in Portland is separately elected, whereas OLO operates as an independent Legislative Branch office.

### **Option 3. Produce Agency Performance Reports Off-Budget**

Under this option, the Council would request each agency to produce an annual performance report to be submitted to the Council off-budget. The Council could be more or less prescriptive in identifying what the agencies must include in the reports. The Council could formally communicate its request for performance reporting in the form of a Council Resolution (City of Austin approach) or through legislation (State of Minnesota approach).

A description of Minnesota's performance reporting system begins on this page. Copies of the Austin resolution and Minnesota statute setting forth the performance report requirements are attached at © 35. OLO obtained a sample performance report from the Minnesota Department of Public Safety. The full agency report is 162 pages long; an excerpt is attached beginning at © 40.

The Federal Government Performance and Results Act (GPRA) requires federal agencies to produce performance reports similar to those described here. A summary of the GPRA and the General Accounting Office's comments on implementation is attached at © 51.

**The State of Minnesota.** The Minnesota Legislature passed a bill in 1993 (with executive branch support) that outlined new requirements for agency performance reporting. The Legislature intended to increase state agency accountability by enhancing information about performance. The law mandated that 20 state agencies complete annual performance reports that included:

1. a statement of mission, goals, and objectives;
2. performance measures;
3. a discussion of agency service populations;
4. a plan for using outcome information;
5. a request for statutory flexibility needed to achieve goals; and
6. a discussion of the need for new information systems.

The 1993 law also assigned the Office of the Legislative Auditor with the ongoing responsibility to evaluate implementation of performance reporting. In an October 1997 assessment, the Legislative Auditor identified a number of shortcomings of the system, including:

1. The state initiated performance reporting too quickly without laying an adequate foundation, including developing a common vision about what was to be accomplished and securing high level leadership.
2. Most members of the Legislature do not think of themselves as partners in the performance reporting system.

3. Most agencies are confused about what they are supposed to measure.
4. Many agencies have found it difficult to identify and measure the results or impacts of their programs.
5. Many agencies have settled for performance indicators that relate to only a portion of their organizational mission, skewing the view of the agency's activities.
6. The automated system established for performance reporting has added to the rigidity of performance reporting without any evident benefits to users.

A summary of the Minnesota Legislative Auditor's comments on the implementation of performance reporting is attached at © 53.

— **Potential FY 99 OLO Role.** To implement this option, the Council could ask OLO to meet with agency staff and return to the Council with recommendations concerning how prescriptive the Council should be with respect to definitions, structure, format, and timing of the performance reports. The Council could also ask OLO to evaluate the usefulness, reliability, and validity of performance reports provided by the agencies, and assess how the Council uses performance measures to monitor performance and facilitate decision-making.

**Comments.** Establishing the performance reports via Council resolution or County law provides the Council the opportunity to clarify what type of performance information it wants to receive. It also offers an opportunity to work towards a set of performance reports that could eventually address cross-cutting agency issues.

In theory, this model could support the Council's interest in holding comprehensive discussions of agency performance off-budget. In practice, however, jurisdictions report only marginal success with this model. Minnesota agencies found the reports time consuming, labor intensive efforts that are frequently not supported by adequate resources, training, or data collection systems. From the legislators' perspective, it can be difficult to sift through lengthy reports with incomplete data tables. As a result, many jurisdictions state the value of the reports to the legislature is limited, especially compared to the efforts the agencies' invest to produce them.

Finally, while any of the options for new products represent a long-term commitment of significant resources, this option requires especially lengthy start-up time.

#### **Option 4. Produce a Performance Report on Community Well-Being**

Under this option, the Council would support production of a Critical Benchmark Goals report, similar to the one produced by the Florida Commission on Government Accountability to the People (GAP). According to GAP, the report helps set state priorities to guide decisions into the next century. This product would present performance data and goals for broad areas of community well-being, e.g., the economy, the environment. This option resembles the general approach of the *Montgomery Measures Up!* initiative.

The Florida Critical Benchmark Goals report is described below. A description of the Florida GAP, and the introduction and an excerpt from the 1997 Florida benchmarks report are attached beginning at © 59.

**The Florida Critical Benchmarks Report.** The Benchmarks Report is a report to the people of Florida on state performance in seven broad areas: Families and Communities; Safety; Learning; Health; Economy; Environment; and Government. To focus attention on the most important Florida Benchmarks, the Commission selected 60 measures which it believes best reflect quality of life in Florida.

The Commission mailed surveys to 2,000 citizens, who were identified by 95 different organizations (e.g., League of Women Voters, University of Florida, Child Abuse Council, Sea World) as having a statewide interest and perspective on a range of issues. For each indicator, the survey asked respondents to use their personal judgment to set ambitious yet realistic goals for the years 2000 and 2010. Using the survey responses, the GAP Commission set the goals published in the report.

**Potential FY 99 OLO Role.** To implement this option, the Council could add a project to OLO's FY 99 Work Program that requests OLO to develop options for who will produce the report and how. The Council could also ask OLO to assist with the preparation of the report and/or to critique the final product.

**Comments.** An advantage of this option is its similarity to the *Montgomery Measures Up!* initiative. The model produced by Florida presents a straightforward, readable report on quality of life issues. Like the *Montgomery Measures Up!* initiative, this option could strengthen the sense of community in Montgomery County and build partnerships focused on long term strategic change. Selecting this option would shift the Council's priorities for measurement more towards those of the County Government.

A drawback of this option is that, by itself, it would not address the Council's current expectations for performance measurement i.e., to maintain oversight of programs or to enhance Council discussions about resource allocation. Typically, this type of report does not connect performance measurement information to the budget and does not link measures to specific programs. Florida's process was also expensive and time consuming.

## MEMORANDUM

May 20, 1998

TO: Management and Fiscal Policy Committee

FROM: Jennifer Kimball, Research Assistant *JK*  
Office of Legislative Oversight

SUBJECT: Summary Report of County Government Departmental Efforts to Develop Outcome and Program Measures

This memorandum responds to the Council's request of information on the progress made by County Government departments to develop performance and outcome measures. To collect this information, the Office of Legislative Oversight (OLO) developed a list of questions about performance measurement efforts. In April, the Office of the Chief Administrative Officer distributed the questions to the 12 County departments with annual operating budgets that exceed \$10 million.

OLO received responses from all 12 departments, including:

- Correction and Rehabilitation;
- Finance;
- Fire and Rescue Services;
- Health and Human Services;
- Housing and Community Affairs;
- Information Systems and Telecommunications;
- Liquor Control;
- Permitting Services;
- Police;
- Public Libraries;
- Public Works and Transportation; and
- Recreation.

The remainder of the memo summarizes the survey responses from the 12 departments. The full responses are available for your information.

**Question #1. Did your department participate in the County Government's first joint venture to measure a community-wide outcome, Young People Making Smart Choices? If yes, what was your department's involvement?**

Five of the eleven departments surveyed participated in the Young People Making Smart Choices initiative. The Department of Correction and Rehabilitation staff participated in the "Safe Montgomery" focus group. The following four departments contributed community-wide indicators and/or program measures for Young People Making Smart Choices:

- Department of Health and Human Services;
- Department of Police;
- Department of Public Libraries; and
- Department of Recreation.

**Question #2. Has your department developed any program measures, and if so, at what level, e.g., department-wide, division, section? If available, please provide some examples of specific program measures.**

Each department surveyed has developed program measures. The type and number of measures vary across departments. For example, the Department of Fire and Rescue Services and the Department of Recreation each measure one specific program area (investigations of suspected bombs/suspicious packages and the youth basketball program). The other departments produce a range of measures that represent larger portions of the organization.

All of the departments measure workload or quantity. Some of the departments also measure effectiveness or quality. The Department of Housing and Community Affairs, the Department of Recreation, and the Department of Permitting Services report measuring customer satisfaction. The Finance, Health and Human Services, and Public Libraries departments include benchmarking in their performance measurement efforts.

Half of the departments surveyed measure performance at the division, section, or branch level. The Department of Liqueur Control developed department-wide measures. The Finance and Recreation Departments produce measures at the program level. The Police Department and Department of Health and Human Services report developing performance measures at a combination of levels.

Table 1 provides examples of program/outcome measures from each department.

**Table 1: Sample Program and Outcome Measures**

<b>Department</b>	<b>Sample Measures</b>
Correction and Rehabilitation	Savings to community from Community Service hours worked by defendants  Percent of offenders discharged with employment
Finance	Automation repair requests successfully completed on schedule (%)  Workers compensation cost per \$100 of payroll - County
Fire and Rescue Services	Time it takes to respond to, and render safe, reports of suspicious packages and suspected bombs
Health and Human Services	Rate of death from alcohol-related motor vehicle crashes  Length of stay for children in temporary out-of-home placements
Housing and Community Affairs	Comparison of CDBG funds expended to total funds used by grant recipients  Ratio of the value of building permits issued to the public funds expended
Information Systems and Telecommunications	Number of telephone moves, adds, changes, or repair  Number of mainframe transactions
Liquor Control	Ratio of sales to plant and equipment  Ratio of operating expenses to sales
Permitting Services	Number of sediment control inspections performed  Number of pollution events
Police	Drug related calls for service in select areas  Percent of arrest report errors
Public Libraries	Circulation per capita  Circulation per staff workyear
Public Works and Transportation	Percentage of bus trips which arrive no more than 1 minute earlier than published timepoint and no later than 5 minutes after published timepoint  Number of accidents per 100 million vehicle miles traveled compared to the statewide average accident rate
Recreation	Number of teams Number of pool passes

**Question #3. How is your department using (or how do you plan to use) outcome and/or program measures for planning, management, and/or budget purposes?**

The departments surveyed use outcome and program measures for planning, management, and budget purposes. For example, the departments report using measures to:

- allocate resources;
- evaluate staff performance and make staffing decisions;
- provide information for decision-makers;
- monitor and modify programs;
- monitor programs efficiency and effectiveness;
- compare performance to standards;
- identify areas for improving performance; and
- assess customer satisfaction.

**Question #4. What are your department's plans for developing outcome and/or program measures in FY 99?**

The departments will continue performance measurement efforts in FY 99. They plan to review and modify existing outcome and program measures and develop new measures. Some departments will also refine data collection systems.

**Question #5. As your department's work on outcome measures continues, what would be useful for you in terms of feedback from the Council?**

The department's welcome feedback from the Council on outcome measurement efforts. In general, the respondents would like to know:

- what types of measures and data the Councilmembers value?
- what specific program measures interest the Council?
- what the Council's priorities are for future measurement efforts?

Specific comments included:

- The Department of Correction and Rehabilitation would value a discussion of outcome measures, off budget cycle, with OMB and Council staff.
- The Department of Fire and Rescue Services would like the Council's endorsement of the goals and objectives of the new organization.



- The Department of Permitting Services would like specific recommendations from the Council about the substance and timing of performance measurement activity in the Department, particularly since the activity is linked to the “sunset” issue.
- The Department of Public Works and Transportation would like the Council’s perspective on the Department’s primary customer service goals.

## Foreword

The FY 1999 Advertised Budget Plan reflects a significant effort to improve the quality of information on agency performance. Readers familiar with previous Fairfax County Budgets may recall the Goals, Objectives, and Management Indicators sections. That information, while useful, focused almost exclusively on workload or output. When the Department of Management and Budget (DMB) evaluated the FY 1998 Adopted Budget Plan's Goals, Objectives and Management Indicators, it found that while Fairfax County provided considerable data -- approximately 1,700 management indicators -- almost 84 percent were workload or output-related. While there were some measures of efficiency and a few related to the desired outcomes, the predominant focus had been on counting what was done, rather than how effectively a task was performed.

As part of the County's commitment to accountability and continuous performance improvement, DMB initiated an effort during FY 1998 to transition to a more outcome-oriented system. This intensive effort was made for the FY 1999 Advertised Budget Plan to redirect the focus toward *outcome* as a critical member of the family of measures. The first step was to ensure that agency and cost center goals were in alignment, as well as linked with the objectives and indicators associated with each cost center. *Goals* are broad statements of purpose, generally indicating what service or product is provided, for whom and why. *Objectives* are outcome-based statements of specifically what will be accomplished during the budget year. Ideally, these objectives should support the goal statement, reflect planned benefit(s) to customers, be written to allow measurement of progress and describe a quantifiable target. *Indicators* are the first-level data for reporting performance on those objectives.

The concept of a family of measures encompasses the following types of indicators as defined below and serves as the structure for the new Performance Measurement model in order to present a more comprehensive picture of program performance as opposed to a single-focus orientation.

#	<b>Input:</b>	Value of resources used to produce an output.
#	<b>Output:</b>	Quantity or number of units produced.
#	<b>Efficiency:</b>	Inputs used per unit of output.
#	<b>Service Quality:</b>	Degree to which customers are satisfied with a program, or the accuracy or timeliness with which the product/service is provided.
#	<b>Outcome:</b>	Qualitative consequences associated with a program.

It should be noted that *inputs* are generally not shown separately in the newly revised *Performance Indicators* section since they are addressed in the cost center financial summaries as number of staff/staff year equivalents and budget dollars. In many cases, agency staff allocated portions of cost center dollars and staff to various service areas associated with the objectives presented.

The purpose behind the family of measures is to provide an overall view of a program, so that factors such as cost can be balanced with other facets of performance, such as customer satisfaction and the outcome ultimately achieved. This concept represented one of the more difficult challenges for agencies when reorienting the budget for FY 1999 and reflects the most apparent change in the budget document. While agencies were encouraged to include each type of indicator for each objective, the availability and cost of data were limiting factors in some cases. Many agencies indicated that additional time is necessary to identify appropriate measures.

In addition, since many of the objectives and/or indicators are newly revised, prior year and even current/future estimates may not yet be available. Other jurisdictions that have embarked on similar efforts typically noted a lack of data in the early implementation stages. In many cases, new data collection systems must be created; however, the emphasis is on collecting the most critical information and avoiding duplication or collection of less useful data. Another key consideration is that performance measurement is an iterative process. The more managers and staff work with it, the more they will find to build upon and enhance. Therefore, the data presented in this budget document should be considered a starting point for a more comprehensive performance measurement system, which will ultimately provide the public and decision makers better information with which to evaluate programs.

# POLICE DEPARTMENT

## Agency Position Summary

1,099	Sworn Positions (9)	/	1,099	Sworn Staff Years (9.0)
492	Civilian Positions (42)	/	395.16	Civilian Staff Years (42.0)
<u>1</u>	Grant Position		<u>1.0</u>	Grant Staff Year
1,592	Total Positions (51)	/	1,495.16	Total Staff Years (51.0)

## Position Detail Information

### CHIEF OF POLICE

1 Chief of Police  
2 Deputy Chiefs of Police  
3 Positions  
3.0 Staff Years  
3 Sworn

164 Positions  
164.0 Staff Years  
66 Sworn (-14)  
98 Civilian (14)

9 Police Lieutenants  
49 Police Second Lieutenants  
47 Police Sergeants  
154 Master Police Officers  
417 Police Officers II  
187 Police Officers I  
35 Police Comm Assistants II  
3 Helicopter Pilots  
1 Aircraft/Power Plant Technician II  
1 Aircraft/Power Plant Technician I  
1 Senior ASAP Technician  
3 ASAP Technicians  
137 School Crossing Guards PT  
1 Parking Enforcement Supvr.  
10 Parking Enforcement Officers  
11 Clerk Typists II  
9 Management Analysts II  
2 Secretaries II  
8 Secretaries I  
1,100 Positions  
1,003.16 Staff Years  
878 Sworn  
222 Civilian

### SERVICES/COMMAND

#### OPERATIONS

4 Police Majors  
3 Police Captains  
6 Police Lieutenants  
10 Police Second Lieutenants  
5 Police Sergeants  
29 Master Police Officers (-3)  
8 Police Officers II (-11)  
1 Police Officer I  
9 Police Cadets  
3 Personnel Analysts I (3)  
1 Chief, Financial Division (1)  
1 Accounting Technician  
3 Account Clerks II  
1 Administrative Assistant  
3 Administrative Aides  
21 Clerical Specialists (1)  
2 Clerk Typists II  
10 Police Comm Assist II (5)  
1 Policy and Information Mgr  
1 Computer Sys Analyst III  
2 Computer Sys Analysts II  
1 Information Officer III  
1 Information Officer II  
4 Management Analysts III  
2 Management Analyst II (1)  
1 Management Analysts I  
1 Legal Records/Sys Mgr  
2 Office Service Managers II  
1 Secretary III  
7 Secretaries II  
5 Secretaries I  
1 Inventory Mgmt Supvr.  
1 Supply Clerk  
3 Storekeeper (2)  
1 Identification Tech I  
2 Identification Tech II  
1 Identification Techs III (1)  
1 Microphotographer  
1 Assistant Buyer  
1 Data Entry Supervisor  
3 Polygraph Examiners

### CRIMINAL INVESTIGATIONS BUREAU

1 Police Major  
2 Police Captains  
2 Police Lieutenants  
13 Police Second Lieutenants  
4 Police Sergeants  
51 Master Police Officers  
43 Police Officers II (-1)  
1 Management Analyst II  
5 Secretaries I  
1 Graphic Artist (1)  
1 Police Comm Asst II  
1 Director Victim Witness  
3 Probation Counselors II  
128 Positions  
128.0 Staff Years  
116 Sworn (-1)  
12 Civilian (1)

### PUBLIC SAFETY COMMUNICATIONS CENTER (PSCC)

1 Center Director  
1 Assistant Director  
2 Police Lieutenants  
1 Police Second Lieutenant  
4 Police Sergeants  
2 Master Police Officers  
3 Police Officers II  
36 PSCAs III  
70 PSCAs II (2)  
19 PSCA Shift Supervisors  
1 Public Safety Training Coord  
1 Management Analyst III  
3 Management Analysts II  
1 Office Service Manager II  
1 Secretary II  
1 Secretary I  
147 Positions (2)  
147.0 Staff Years (2.0)  
12 Sworn  
135 Civilian (2)

### FIELD OPERATIONS

5 Police Majors  
10 Police Captains

# ***POLICE DEPARTMENT***

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## **ADMINISTRATION/ANIMAL WARDENS**

1	Director (1 T)
1	Chief of Administration Services (1 T)
1	Supervisory Clerk (1 T)
6	Clerical Specialists (6 T)
1	Naturalist IV (1)
1	Assistant Buyer I (1 T)
1	Chief Animal Warden (1 T)
4	Animal Wardens III (4 T)
19	Animal Wardens I (1) (18 T)
3	Public Safety Communications Assistants I (3 T)
38	Positions (38 T)
38.0	Staff Years (38.0 T)
24	Sworn
14	Civilian

## **ANIMAL SHELTER**

2	Animal Caretakers II (2 T)
9	Animal Caretakers I (9 T)
11	Positions (11 T)
11.0	Staff Years (11.0 T)
0	Sworn
11	Civilian

PT Denotes Part-Time Positions

( ) Denotes New Positions

( - ) Denotes Abolished Positions

(T) Denotes Transferred Positions

These positions are transferred from the Department of Animal Control to this agency.

The details of the agency's 1/1.0 SYE grant position within Fund 102 (formerly Subfund 107), Federal/State Grant Fund, are included in the Summary of Grant Positions in Volume 1.

## POLICE DEPARTMENT

### AGENCY GOAL

*To protect persons and property through the fair and impartial enforcement of the laws of the Commonwealth of Virginia in the County of Fairfax.*

AGENCY SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular	1,502/ 1,405.16	1,515/ 1,418.16	1,540/ 1,443.16	1,591/ 1,494.16
Expenditures:				
Personnel Services	\$66,701,184	\$70,996,346	\$70,996,346	\$73,599,535
Operating Expenses	15,627,830	19,315,572	19,552,824	21,203,715
Capital Equipment	831,278	355,274	462,431	236,231
<b>Subtotal</b>	<b>\$83,160,292</b>	<b>\$90,667,192</b>	<b>\$91,011,601</b>	<b>\$95,039,481</b>
Less:				
Recovered Costs	(494,154)	(504,180)	(504,180)	(443,751)
<b>Total Expenditures</b>	<b>\$82,666,138</b>	<b>\$90,163,012</b>	<b>\$90,507,421</b>	<b>\$94,595,730</b>
Income:				
Parking Violations	\$1,272,005	\$1,335,914	\$1,335,914	\$1,402,709
E-911 Fees <sup>1</sup>	11,113,416	5,842,391	6,539,010	6,963,672
COPS AHEAD	664,000	426,000	426,000	129,000
Fees and Misc Income	916,137	985,441	1,037,773	993,616
State Reimbursement	9,110,736	9,107,381	9,110,505	9,110,888
Sale of Dog Licenses	0	0	0	248,377
Shelter Fees	0	0	0	117,837
Services for Other Jurisdictions	0	0	0	767
Miscellaneous	0	0	0	3,188
<b>Total Income</b>	<b>\$23,076,294</b>	<b>\$17,697,127</b>	<b>\$18,449,202</b>	<b>\$18,970,054</b>
<b>Net Cost to the County</b>	<b>\$59,589,844</b>	<b>\$72,465,885</b>	<b>\$72,058,219</b>	<b>\$75,625,676</b>

<sup>1</sup> The Combined General Fund portion of E-911 fees experienced a significant decrease in FY 1998 due to a higher portion of revenue required to support Fund 104 (formerly Subfund 150), Information Technology initiatives.

## **POLICE DEPARTMENT**

<b>SUMMARY BY COST CENTER</b>				
<b>Cost Center</b>	<b>FY 1997 Actual</b>	<b>FY 1998 Adopted Budget Plan</b>	<b>FY 1998 Revised Budget Plan</b>	<b>FY 1999 Advertised Budget Plan</b>
Service/Command Operations	\$12,071,758	\$12,444,958	\$12,714,398	\$12,568,850
Criminal Investigations Bureau	8,356,781	8,776,971	8,777,601	8,935,614
Public Safety Communications Center	9,517,844	10,357,699	10,358,221	10,613,850
Field Operations	52,719,755	58,583,384	58,657,201	60,294,928
Administration/Animal Wardens	0	0	0	1,767,181
Animal Shelter	0	0	0	415,307
<b>Total Expenditures</b>	<b>\$82,666,138</b>	<b>\$90,163,012</b>	<b>\$90,507,421</b>	<b>\$94,595,730</b>



### **Agency Overview**

In FY 1999, the Police Department will continue to serve and protect Fairfax County, and other citizens, through the delivery of services to an increasing Fairfax County population. These services include prevention of crime, investigation of criminal offenses, enforcement of traffic laws and improvement of public safety via community education programs. Major changes in Fairfax County include the increasing urbanization of formerly suburban areas and significant diversity in the ethnic composition of communities. This will require the agency to continue to deploy officers to specialized programs including community policing, school resources, gang investigation, narcotics enforcement and selective enforcement teams.

The Police Department will continue to focus attention on maintaining the excellent level of citizen participation developed over the years while maintaining the area's lowest per capita spending. The Department will continue to deliver superior police services in the face of rapidly increasing urbanization of formerly suburban areas and significant diversification in the ethnic compositions of communities. For the past twelve years, the Department has remained the lowest in per capita spending in comparison with the five largest metropolitan area jurisdictions. The following table includes per capita spending between FY 1995 and FY 1998.

**Per Capita Spending**

<b>Jurisdiction</b>	<b>FY 1995</b>	<b>FY 1996</b>	<b>FY 1997</b>	<b>FY 1998</b>
Fairfax County	\$110.59	\$119.29	\$116.84	\$128.75
Montgomery County	\$122.31	\$127.73	\$124.91	\$131.59
Prince George's County	\$145.33	\$151.04	\$146.54	\$156.14
Arlington County	\$161.57	\$162.24	\$166.39	\$171.88
Alexandria City	\$214.86	\$228.75	\$235.46	\$259.06

Despite major population growth and increases in demand for services in Fairfax County, the Department has maintained the lowest rates in property crimes and, more importantly, crimes against persons. The clearance rate for index crimes remains above the national average of 21.3 percent for suburban areas and counties during the years 1991 - 1995.

In August 1996 the new Criminal Justice Academy was opened, graduating its first recruit class in October of 1996. The 90,000 square foot facility provides the necessary requirements for both recruit and in-service training and will serve not only the County's current needs but will allow for growth in future years. The Academy includes a fully operational Driver Training Track which was completed in January 1995 and a new firing range completed in February 1998.

## **POLICE DEPARTMENT**

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For the second consecutive year, the Police Department has initiated a civilization plan. As part of a management initiative within the Department, 15/15.0 SYE sworn positions will be eliminated and 15/15.0 SYE civilian positions will be established during FY 1999. This plan has been initiated as a cost saving measure and is based on the non-enforcement, administrative nature of the current sworn positions. The plan includes civilization of 1/1.0 Clerical Specialist, 1/1.0 Supervising Graphic Artist, 1/1.0 Management Analyst II, 3/3.0 Personnel Analysts I, 1/1.0 Chief, Financial Division, 2/2.0 Police Communication Assistants II, 3/3.0 Police Communications Assistants III, 1/1.0 Identification Technician III, and 2/2.0 Storekeepers. Based on the establishment of these civilized positions at entry level grades and steps, this plan will result in a savings of \$347,605 including \$109,634 in fringe benefits.

FY 1999 funding has been included for the County's match for the costs associated with an additional 25/25.0 SYE positions based on the Board of Supervisors acceptance of a U.S. Department of Justice Community Oriented Policing Services (COPS) Universal Hiring Grant on January 12, 1998. These officers will support and expand community policing activities throughout the County. The grant is for a three year period totaling \$6,890,100, of which \$5,015,100 is required in local cash match and \$1,875,000 will be provided from the Federal Government. Funding of \$1,602,075 represents the local cash match required in FY 1999 for this program.

As a result of a County reorganization initiative proposed by the County Executive and included in the FY 1999 Advertised Budget Plan, the functions of the Department of Animal Control have been consolidated into the Police Department. Staff will continue to mediate the conflicts that arise between citizens and neighborhood pets. Animal control personnel will investigate citizen complaints and educate pet owners as to their responsibilities under State laws and County ordinances. It is anticipated that 134,485 citizens will be assisted by Customer Service personnel and the Animal Warden Section will handle an additional 68,890 citizen complaints.

In addition, funding of \$67,719 including \$12,588 in fringe benefits has been included for 2/2.0 SYE Public Safety Communications Assistant I positions. These positions will provide for critical dispatch support at the Public Safety Communications Center (PSCC) and have been included based on increased workload and additional dispatching duties associated with wildlife management issues throughout the County.

The Animal Shelter will continue to provide humane care, food and temporary shelter for approximately 9,588 homeless animals. The Animal Caretakers will provide medical treatment for animals as prescribed by the veterinarians who participate in the "Volunteer Visiting Vet" Program, and humanely euthanize animals not adopted or claimed by their owners. The Animal Shelter is open to the public Tuesday through Saturday at which time Reception Desk staff will interact with approximately 200 citizens per day in person, handle an additional 297 phone calls a day concerning lost and found inquiries, and initiate approximately 3,651 pet adoptions. As part of the proposed reorganization the County will contract with an outside provider for the functions associated with operating the Animal Shelter.

In FY 1999, funding of \$103,207, including fringe benefits of \$19,871 is included for 2/2.0 SYE positions to better assist Fairfax County residents with animal related problems based on increasing workloads. One Naturalist IV (Wildlife Biologist) position is included to monitor the wildlife populations in Fairfax County, conduct annual estimates of the sizes, increase and impact of these populations on County residents and property, and develop a comprehensive wildlife management plan. One Warden I position is also included to assist the agency with an increasing workload.

# **POLICE DEPARTMENT**

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## **Funding Adjustments**

*The following funding adjustments from the FY 1998 Revised Budget Plan are necessary to support the FY 1999 program:*

- ▶ Merit increments for existing staff totaling \$838,249.
- ▶ A net decrease of \$34,456 in Personnel Services is primarily due to decreases of \$206,426 associated with overtime expenditures based on prior year actuals, \$230,021 based on savings associated with the FY 1999 civilization plan, position turnover of \$87,099 based on actual position turnover rates and \$65,997 associated with the actual grade and step of existing staff. These decreases are offset by an increase of \$623,999 in Roll Call compensation adjustments in order to remain competitive with base salaries in other local jurisdictions.
- ▶ An increase of \$1,283,437 in Operating Expenses primarily due to the appropriation of \$1,602,075 for the local cash match based on an additional 25/25.0 SYE positions associated with the U.S. Department of Justice Community Oriented Policing Services (COPS) Universal Hiring Grant approved on January 12, 1998. This increase is partially offset by a decrease of \$520,998 based on the FY 1999 requirements for the local cash match associated with the COPS Universal Hiring Program Grant approved on March 10, 1997 which provided funding for an additional 27/27.0 positions.
- ▶ Funding of \$220,593 for Capital Equipment including \$116,122 for the lease/purchase payment associated with the N407FC helicopter and \$104,471 for safety enhancements, replacement equipment for items beyond their useful life or equipment which is considered mission essential. FY 1999 represents the third year of a five year lease purchase plan for the N407FC helicopter. Other items funded in FY 1999 include: \$17,500 for 25 9 mm pistols to replenish the agency stock; \$17,196 for 17 replacement bicycles which have exceeded their useful life; \$15,480 for replacement machine guns which have outlived their useful life and have continued to malfunction during training; \$11,700 for an electronic vehicle tracking device which should enhance officer safety and reduce the number of man hours necessary to track suspects manually; \$27,185 for replacement surveillance equipment including de-bugging equipment, radio receivers, tape recorders and other communication devices; \$10,010 for a safety bomb suit for the Emergency Operations Division; and \$5,400 for 6 replacement chairs at the PSCC which are used 24 hours a day, 7 days a week by the dispatchers.
- ▶ An increase of \$2,182,488 including \$1,799,396 in Personnel Services, \$367,454 in Operating Expenses and \$15,638 in Capital Equipment as a result of a County reorganization initiative proposed by the County Executive. This funding provides for 49/49.0 SYE positions, operating expenses and capital equipment associated with the former Department of Animal Control.

*Funding adjustments in the current year revised budget plan include the following:*

### **FY 1997 Carryover Review**

- ▶ Encumbered carryover totaling \$186,132.
- ▶ Unencumbered carryover of \$318,277 associated with previously approved operating and capital equipment expenses including \$229,782 due to the carryover of unexpended local cash match associated with the U.S. Department of Justice Community Oriented Policing Services (COPS) Universal Hiring Program grant, \$66,495 for approved capital equipment for the Police Academy and \$22,000 to complete the Police Local Area Network (LAN) installation.
- ▶ An increase of \$65,000 for Capital Equipment associated with the scheduled opening of the new Police Academy Firing Range and Canine Center in February 1998.



# POLICE DEPARTMENT

## FY 1998 Midyear Review

- ▶ A decrease of \$225,000 based on the award of a grant from the Virginia Department of Criminal Justice Services approved by the Board of Supervisors on November 17, 1997. This grant is designated to offset local cash match for the U.S. Department of Justice Community Policing Services (COPS) Universal Hiring Program.

### Cost Center: Service/Command Operations

**GOAL:** To provide managerial direction of, and administrative, budgetary, logistical, technical and personnel support for all organizational entities within the department. To provide both recruit and in-service training for all organizational entities within the department which comply with Virginia State Department of Criminal Justice Services standards.

COST CENTER SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular .....	178/178.0	169/169.0	166/166.0	167/167.0
Expenditures:				
Personnel Services	\$7,911,585	\$8,549,813	\$8,549,813	\$8,350,751
Operating Expenses	4,368,178	4,378,540	4,566,283	4,633,830
Capital Equipment	203,492	0	81,697	0
<b>Subtotal</b>	<b>\$12,483,255</b>	<b>\$12,928,353</b>	<b>\$13,197,793</b>	<b>\$12,984,581</b>
Less:				
Recovered Costs	(411,497)	(483,395)	(483,395)	(415,731)
<b>Total Expenditures</b>	<b>\$12,071,758</b>	<b>\$12,444,958</b>	<b>\$12,714,398</b>	<b>\$12,568,850</b>



## Objectives

- ▶ To provide in-service and/or accreditation training to all sworn personnel as required annually.
- ▶ To maintain the department at maximum authorized strength through the recruitment, selection and retention of qualified persons.
- ▶ To have a position vacancy percentage no greater than 5 percent for all classes.
- ▶ To maintain the number of polygraphs administered by an examiner to no more than 300 per year.

## POLICE DEPARTMENT



### Performance Indicators

Indicator	Prior Year Actuals			Current Estimate	Future Estimate
	FY 1995 Actual	FY 1996 Actual	FY 1997 Estimate/Actual	FY 1998	FY 1999
<b>Output:</b>					
Positions for in-service training	1,674	1,611	NA / 1,691	1,750	1,758
Training hours provided	79,024	82,240	NA / 86,120	88,000	91,548
Hours for recruit training	85,248	110,400	NA / 128,800	130,000	151,776
Total vacancies filled (Sworn)	112	79	NA / 90	90	79
Applicant flow (Sworn)	1,991	2,013	NA / 2,500	2,650	2,904
Polygraph examinations	1,263	1,262	NA / 2,200	2,200	2,668
<b>Efficiency:</b>					
Position vacancy factor	5.31	5.36	NA / 5.62	5.74	5.9
Polygraphs/Examiner	252.6	252.4	NA / 366.7	314.3	381.1
<b>Outcome:</b>					
Vacancies filled as percentage of applicant flow	5.6	3.9	NA / 3.6	3.4	2.7

### Cost Center: Criminal Investigations Bureau

**GOAL:** To conduct prompt follow-up investigations of all major crimes including murder, rape, robbery, aggravated assault, motor vehicle theft, and controlled substance violations in order to arrest and convict the persons responsible for those crimes and provide services to their victims.

COST CENTER SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular	124/124.0	129/129.0	129/129.0	128/128.0
Expenditures:				
Personnel Services	\$7,359,884	\$7,699,605	\$7,699,605	\$7,829,271
Operating Expenses	967,640	1,067,221	1,067,851	1,067,458
Capital Equipment	29,257	10,145	10,145	38,885
<b>Total Expenditures</b>	<b>\$8,356,781</b>	<b>\$8,776,971</b>	<b>\$8,777,601</b>	<b>\$8,935,614</b>

## POLICE DEPARTMENT



### Objectives

- ▶ To maintain the average number of cases handled by a Major Crimes Detective to no more than 15 per month.
- ▶ To maintain or exceed the 1995 National Suburban County case closure rate of 52.1 percent for Part I violent crimes (murder, rape, robbery, aggravated assault).



### Performance Indicators

Indicator	Prior Year Actuals			Current Estimate	Future Estimate
	FY 1995 Actual	FY 1996 Actual	FY 1997 Estimate/Actual	FY 1998	FY 1999
<b>Output:</b>					
Cases investigated	9,064	9,348	NA / 9,580	9,846	10,104
Cases closed	2,869	3,184	NA / 3,499	3,814	4,129
Part I violent crimes closed	487	479	NA / 540	555	581
<b>Efficiency:</b>					
Cases per detective	14.0	14.4	NA / 14.8	15.2	15.6
<b>Outcome:</b>					
Clearance rate for Part I violent crimes	54.97	51.95	NA / 54.97	54.97	54.97

### Cost Center: Public Safety Communications Center

**GOAL:** To provide the telecommunications necessary for the rapid dispatch of Police and Fire & Rescue units to the scene of citizen or other agency requests for assistance. To maintain effective command, control, communications, and information support for public safety field personnel required for the safe, orderly conduct of public safety activities 24 hours a day, 365 days a year.

COST CENTER SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular	139/139.0	145/145.0	145/145.0	147/147.0
Expenditures:				
Personnel Services	\$6,206,819	\$6,616,524	\$6,616,524	\$6,664,952
Operating Expenses	3,303,994	3,741,175	3,741,697	3,943,498
Capital Equipment	7,031	0	0	5,400
<b>Total Expenditures</b>	<b>\$9,517,844</b>	<b>\$10,357,699</b>	<b>\$10,358,221</b>	<b>\$10,613,850</b>

# POLICE DEPARTMENT



## Objectives

- ▶ To assure the prompt receipt and handling of emergency calls by answer "9-1-1" calls at an average time not to exceed 1.2 seconds.
- ▶ To assure the prompt and efficient handling of non-emergency and route calls by answering calls made on non-emergency lines at an average time not to exceed 10 seconds.
- ▶ To contribute to the prompt response of field personnel by dispatching emergency calls for services within 2 minutes (average).
- ▶ To contribute to the prompt and efficient response of field personnel by dispatching non-emergency calls for services with 7 minutes (average).
- ▶ To contribute to the efficient response of field personnel by dispatching routine, non-emergency calls for service within 17 minutes (average).



## Performance Indicators

Indicator	Prior Year Actuals			Current Estimate	Future Estimate
	FY 1995 Actual	FY 1996 Actual	FY 1997 Estimate/Actual	FY 1998	FY 1999
<b>Output:</b>					
Calls received on emergency lines	408,416	436,631	NA / 467,195	499,899	525,582
Calls received on non-emergency lines	754,563	772,406	NA / 790,944	809,927	827,209
<b>Efficiency:</b>					
Cost per call	\$7.03	\$6.70	NA / \$7.56	\$7.90	\$7.83
<b>Service Quality:</b>	NA	NA	NA / NA	NA	NA
Average speed-to-answer: emergency calls (in seconds)	1.1	1.1	NA / 1.4	1.8	2.1
average speed-to-answer: non-emergency calls (in seconds)	5.8	8.8	NA / 13.5	16.0	19.85
<b>Outcome:</b>					
PSCC dispatch time (in minutes):					
Priority I: emergency/life threat	1.4	1.6	NA / 2.0	2.2	2.5
Priority II: emergency/serious threat to property or public order	1.9	2.1	NA / 2.3	2.6	2.8
Priority III: non-emergency/threat to public safety or convenience	5.1	5.2	NA / 5.4	5.6	5.8
Priority IV: non-emergency/routine or minimal threat events	13.8	14.5	NA / 15.1	15.6	16.2

## POLICE DEPARTMENT

### Cost Center: Field Operations

**GOAL:** To respond to all requests for police service 24 hours a day and to engage in a variety of proactive and reactive programs designed to safeguard persons and property against crime and traffic offenses.

COST CENTER SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular	1061 / 964.16	1072 / 975.16	1100 / 1003.16	1100 / 1003.16
Expenditures:				
Personnel Services	\$45,222,896	\$48,130,404	\$48,130,404	\$48,955,165
Operating Expenses	6,988,018	10,128,636	10,176,993	11,191,475
Capital Equipment	591,498	345,129	370,589	176,308
<b>Subtotal</b>	<b>\$52,802,412</b>	<b>\$58,604,169</b>	<b>\$58,677,986</b>	<b>\$60,322,948</b>
Less:				
Recovered Costs	(82,657)	(20,785)	(20,785)	(28,020)
<b>Total Expenditures</b>	<b>\$52,719,755</b>	<b>\$58,583,384</b>	<b>\$58,657,201</b>	<b>\$60,294,928</b>



### Objectives

- ▶ To maintain/improve response times for calls for police service at or below CY 1996 levels.
- ▶ To limit the burglary, larceny and vandalism rate per 10,000 population to CY 1996 rates.
- ▶ To increase the number of traffic arrests for DWI, reckless driving and speeding over CY 1996 rates.
- ▶ To reduce the number of fatal/personal injury accidents to a five-year average level for CY 1997 and maintain that rate for FY 1998.
- ▶ To decrease the number of alcohol-related fatal accidents.

## POLICE DEPARTMENT



### Performance Indicators

Indicator	Prior Year Actuals			Current Estimate	Future Estimate
	FY 1995 Actual	FY 1996 Actual	FY 1997 Estimate/Actual	FY 1998	FY 1999
<b>Output:</b>					
Average Response Time (Priority I) (in minutes)	6.8	6.4	NA / 6.4	6.4	6.4
Target Crime Rate per 10,000 population: Burglary (in minutes)	26.1	24.7	NA / 24.7	24.7	24.7
Target Crime Rate per 10,000 population: Larceny (in minutes)	262.4	250.1	NA / 250.1	250.1	250.1
Target Crime Rate per 10,000 population: Vandalism (in minutes)	64.1	59.1	NA / 59.1	59.1	59.1
<b>Efficiency:</b>					
Clearance Rate: Burglary	29.8%	35.6%	NA / 35.6%	35.6%	35.6%
Clearance Rate: Larceny	18.2%	20.9%	NA / 20.9%	20.9%	20.9%
Clearance Rate: Vandalism	12.5%	13.0%	NA / 13.0%	13.0%	13.0%
<b>Outcome:</b>					
Traffic Arrests (DWI, Reckless)	5,035	5,756	NA / 5,756	5,756	5,756
Traffic Accidents	5,066	4,770	NA / 4,770	4,770	4,770
Alcohol-related Fatal Accidents	12	12	NA / 12	12	12

### Cost Center: Administration/Animal Wardens

**GOAL:** To enforce citizen compliance with State laws and County Ordinances dealing with animal control, to humanely capture and impound animals that pose a threat to the public safety of Fairfax County citizens, and to assist animals that are injured, sick or in distress.

COST CENTER SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular	0/0.0	0/0.0	0/0.0	38/38.0
Expenditures:				
Personnel Services	\$0	\$0	\$0	\$1,451,954
Operating Expenses	0	0	0	299,589
Capital Equipment	0	0	0	15,638
<b>Total Expenditures</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,767,181</b>

## POLICE DEPARTMENT



### Objectives

- To increase the rate of captured and quarantined animals that have bitten humans from 96 percent to 97 percent, toward a goal of 100 percent.



### Performance Indicators

Indicator	Prior Year Actuals			Current Estimate	Future Estimate
	FY 1995 Actual	FY 1996 Actual	FY 1997 Estimate/Actual	FY 1998	FY 1999
<b>Output:</b>					
Animals captured after bites	1,075	1,011	1,039 / 999	1,039	1,050
<b>Efficiency:</b>					
Cost per animal bite-related complaint	NA	NA	NA / NA	NA	NA
<b>Service Quality:</b>					
Percentage of bite-related complaints answered where the animal is humanely captured and quarantined	97%	96%	97% / 97%	96%	97%
<b>Outcome:</b>					
Bite-related complaints/animals captured after bites	1,111 / 1,075	1,056 / 1,011	1,033 / 999	1,081 / 1,039	1,085 / 1,050

### Cost Center: Animal Shelter

**GOAL:** To provide humane care, food and temporary shelter to stray and unwanted animals until they are redeemed, adopted, or euthanized.

COST CENTER SUMMARY				
Category	FY 1997 Actual	FY 1998 Adopted Budget Plan	FY 1998 Revised Budget Plan	FY 1999 Advertised Budget Plan
Authorized Positions/Staff Years				
Regular	0/0.0	0/0.0	0/0.0	11/11.0
Expenditures:				
Personnel Services	\$0	\$0	\$0	\$347,442
Operating Expenses	0	0	0	67,865
Capital Equipment	0	0	0	0
<b>Total Expenditures</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$415,307</b>

## POLICE DEPARTMENT



### Objectives

- To increase adoptions and redemptions by 5 percent, from 5,100 to 5,355.



### Performance Indicators

Indicator	Prior Year Actuals			Current Estimate	Future Estimate
	FY 1995 Actual	FY 1996 Actual	FY 1997 Estimate/Actual	FY 1998	FY 1999
<b>Output:</b>					
Adoptions/	2,926 /	3,342 /	3,390 / 3,311	3,477 /	3,651 /
Redemptions	1,822	1,724	1,786 / 1,546	1,623	1,704
Total	4,748	5,066	5,176 / 4,857	5,100	5,355
<b>Efficiency:</b>					
Average shelter cost of adopted /redeemed animal per day <sup>1</sup>	NA	NA	NA / NA	\$35	\$35
<b>Service Quality:</b>					
Satisfaction level of citizens with adopted animals	NA	NA	NA / NA	NA	NA
<b>Outcome:</b>					
Adoption/ Redemption rate <sup>2</sup>	51%	52%	88%	56%	56%

<sup>1</sup> This includes staff and material costs.

<sup>2</sup> The total number of animals impounded includes animals that are redeemed, adopted, euthanized, dead on arrival, and released back into the wild.



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# INTRODUCTION

The purpose of this report is to:

- improve the public accountability of City government;
- assist City Council and managers to make better decisions; and
- help improve the delivery of Portland's major public services.

This is the City Auditor's seventh annual report on the efforts and accomplishments of Portland's major services. The Introduction describes the report's scope and methodology, limitations, and relationship to the annual budget.

Chapters 1 through 4 present mission statements, background data, and workload and performance measures for Portland's major services: Fire, Rescue & Emergency Services, Police, Parks & Recreation, Transportation, Environmental Services and Water. A fifth chapter on community development is planned.

Appendices A and B provide more detailed information on the results of our annual citizen survey and data from other cities.

## **Measuring government performance**

Public officials are obligated to use tax dollars well, provide quality services at a reasonable cost, and account to the public for results. To help achieve these objectives, they need reliable and useful information on the performance of public services.

However, government performance is difficult to measure. Government mandates are broad, objectives are complex and varied, and desired outcomes are usually not explicit. Moreover, unlike private enterprises, public services generally lack the barometer of profit and loss to help gauge success. Because government goals are usually not monetary, other indicators of performance are needed to measure and evaluate the results of services.

This report attempts to address the need for information on the performance of Portland's major services. It presents data not only on spending and workload, but on the outcome and results of services. To provide context and perspective, comparisons are made with prior years, targeted goals, and other cities.

Finally, the report presents the opinions of customers — the public — on the quality of services they pay for and receive. For some services, public opinion is the primary indicator of quality and impact. For other services, public opinion provides only a general measure of effectiveness.

## Report methodology

The Audit Services Division of the Office of the City Auditor prepared this report with the cooperation and assistance of managers and staff from City bureaus. The following describes our major work efforts.

**Selected indicators.** The report contains three types of indicators:

- *Spending and staffing data* include expenditures, staffing levels, and the number of people and square miles served.
- *Workload information* shows the type and amount of work effort, and the level of public demand for the service.
- *Performance information* indicates how well services met their established goals, and how satisfied citizens are with the quality of services.

The indicators were developed cooperatively with managers, bureau staff, and auditor input. This year we added and refined several indicators, and will continue to add and refine indicators in future years as programs evolve, data improves, and objectives change.

**Collected internal City data.** Based upon an agreed set of indicators, we provided data collection forms to each bureau. Bureaus collected data for fiscal year 1996-97 ('96-97) from budget and accounting records, program records and files, annual reports, and internal information systems.

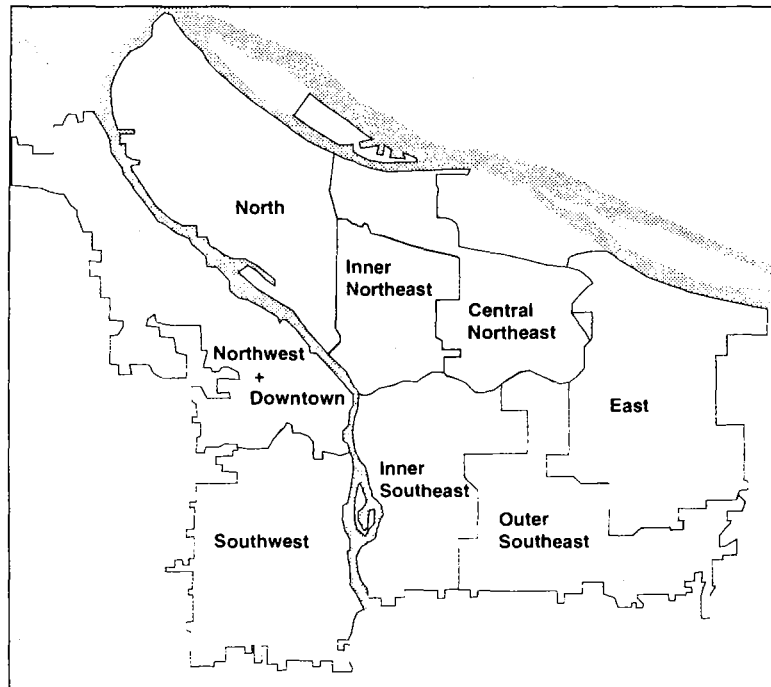
**Gathered data from other cities.** We gathered data from six comparison cities: Charlotte, Cincinnati, Denver, Kansas City, Sacramento and Seattle. These cities have similar populations, service area densities, and costs of living to Portland. Additionally, the cities represent a broad geographic distribution.

Most of the information from other cities was obtained from their annual budgets, annual financial reports, and other published reports. We also contacted personnel in each city to clarify and verify certain data.

Appendix B summarizes the data collected from the other cities.

**Surveyed citizens.** To get information on citizens' satisfaction with the quality of City services, we conducted a citywide survey in September, 1997. We mailed approximately 9,700 surveys to randomly selected residents in eight broad neighborhood regions.

CITIZEN SURVEY NEIGHBORHOOD REGIONS



The neighborhood boundaries are closely aligned with the Office of Neighborhood Association's neighborhood coalition boundaries: Southwest, Northwest (including downtown), North, Northeast, Central Northeast, Inner and Outer Southeast, and East.

The survey asked 73 questions on services, plus basic demographics. Approximately 4,200 surveys were returned by City residents, for a response rate of 43%.

For the fourth year, we collaborated with the Multnomah County Auditor's Office to include questions on county services and expand the survey area to include all of Multnomah County. County-wide results are reported separately by the County Auditor.

Appendix A contains the complete questionnaire, results, and an explanation of our methodology.

**Prepared and reviewed the report.** We checked the accuracy and reliability of all the data provided by bureaus, other cities, and citizens. We checked information by comparing reported data to budgets, completed financial and performance audits, and other reports and documents obtained from bureaus and cities. We talked to staff and managers to resolve errors and discrepancies. We did not audit source documents such as 9-1-1 computer tapes or water quality test samples.

We also provided a draft report to each bureau, the mayor and commissioners. We contacted them to get comments and suggestions for improvement.

In order to account for inflation, we expressed financial data in constant dollars. We adjusted dollars to express all amounts as a ratio of the purchasing power of money in '96-97, based on the Portland-Vancouver Consumer Price Index for All Urban Consumers.

To help the reader interpret the data, the report contains three comparisons. First, Portland's '96-97 data is compared to information from the previous eight years. Second, performance results are compared to planned goals or other standards. Third, some of Portland's cost and workload data are compared to other cities.

## Report scope and limitations

This report provides information on the service efforts and accomplishments of six major City of Portland services:

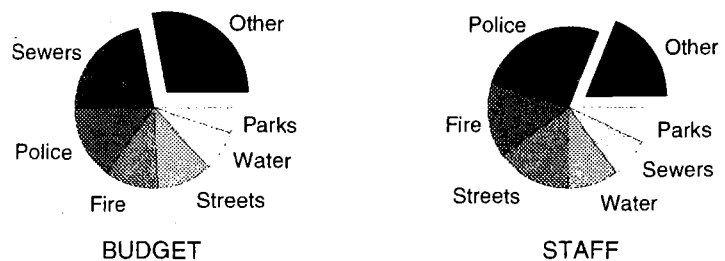
- Fire, Rescue and Emergency Services
- Police
- Parks & Recreation
- Transportation
- Environmental Services
- Water

As illustrated in the following figure, the services together comprise about 70% of the City's budget and 80% of its staff. These six services are generally viewed as the most visible and important of the direct services provided to the public by the City.

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MAJOR SERVICES AS A PROPORTION OF TOTAL BUDGET AND STAFF

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The report does not include information on all the activities and important programs of the City of Portland. For example, general government services such as purchasing, personnel, and budgeting are not included, nor are important programs such as neighborhood involvement and economic development.

Additionally, complete workload and performance information is not yet available for some services. For example, community development services such as land use planning, building permits, and housing lack data and indicators to measure performance. Data may be available in

next year's annual performance report, but it may be two or three years before trends are evident or performance goals can be targeted reliably.

Also, city comparisons should be used carefully. We have tried to exclude unusual variations in the kinds of services offered in each city so that inter-city comparisons are fair. However, deviations in costs, staffing, and performance may be attributable to factors our research did not identify. Great deviations from average should be the starting point for more detailed analysis.

Finally, while the report may offer insights on service results, it does not thoroughly analyze the causes of negative or positive performance. Some deviations can be explained simply. However, more detailed analysis by bureaus or performance auditors may be necessary to provide reliable explanations for results. This report can help focus research on the most serious performance concerns.

### **Relationship to budget and financial reporting**

This report should be used during the annual budget process. It gives Council, managers, and the public a "report card" on the past to help make better decisions about the future. In addition, many of the indicators contained in this report are used by bureaus in preparing their budgets. We have worked closely with the Bureau of Financial Planning to coordinate our efforts to improve the quality of performance information available to the City Council. Our initial efforts promise wider coordination between the budget and audit processes in the future.

Performance information is not required by state law or by generally accepted financial reporting. However, the Government Accounting Standards Board (GASB) is actively considering expanding the type of information presented in traditional financial statements to include performance information such as the type presented here. In April 1994, GASB issued *Concepts Statement No. 2 on concepts related to Service Efforts and Accomplishments Reporting*. The Statement explains SEA reporting and indicates that further experimentation and analysis is needed before GASB adopts standards that would significantly modify financial reporting practices in state and local government.

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# PUBLIC SAFETY

## **CITY COUNCIL GOAL:**    **Ensure a safe, peaceful community**

The City strives to ensure a safe and peaceful community by providing a range of public safety services. Three City bureaus are responsible for providing the bulk of these services:

- Police Bureau
- Bureau of Fire, Rescue and Emergency Services
- Bureau of Emergency Communications

This chapter contains service efforts and accomplishments information on the Police and Fire bureaus.

**POLICE MISSION.** *To maintain and improve community livability by working with all citizens to:*

- *preserve life*
- *maintain human rights*
- *protect property; and*
- *promote individual responsibility and commitment.*

The Police Bureau addresses this mission by enforcing laws, investigating and preventing crimes, and encouraging the community to become involved.

**FIRE AND RESCUE MISSION.** *To promote a safe environment for Portland citizens by responding to fire, medical and other emergencies and providing related services to the public.*

Primary activities include:

- responding to emergencies
- preventing fires and promoting safety, and
- planning for large emergencies and disasters.



# Bureau of Police

## SPENDING & STAFFING

Total Police service spending has remained steady the past three years, but it has increased significantly over the past nine years. During this time, community policing has been implemented and the Bureau has reorganized. Patrol costs have increased the most - about 50% since FY 1988-89.

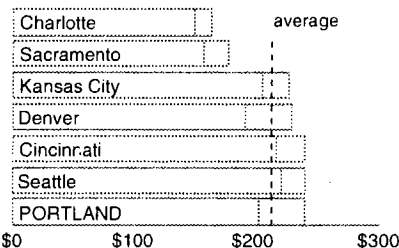
EXPENDITURES (in millions)		
	'96-97	from '88-89*
Patrol	\$60.1	+50%
Investigations	23.9	+35%
Other	15.8	+21%
Pension/Disability	22.7	+22%
<b>TOTAL</b>	<b>\$122.5</b>	<b>+37%</b>

\* adjusted for inflation

SOURCE: Adopted Budgets, Bureau records

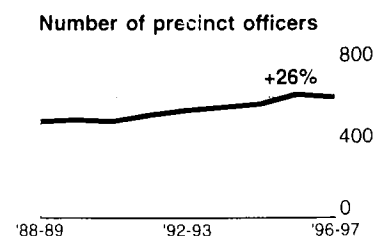
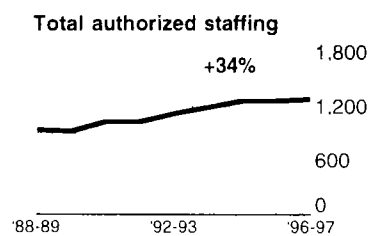
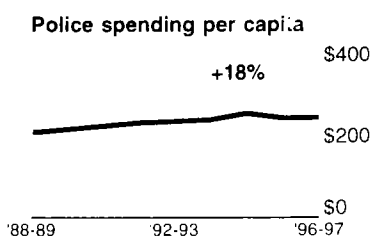
- Total spending, adjusted for inflation, has increased by 37% since '88-89, but spending *per capita* has grown by only 18%.
- Total authorized staffing has increased by 34% over the past nine years, by 262 additional sworn and 63 civilian positions.
- The number of precinct officers dropped by 13 positions last year, but is up 26% since '88-89.

### POLICE BUDGETS PER CAPITA (with shaded pension costs)



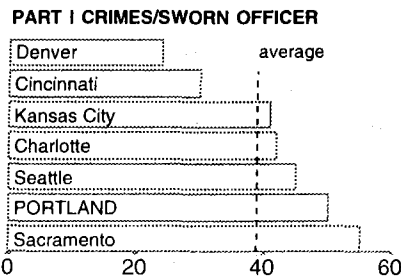
SOURCE: Audit Services survey of other cities; Portland financial records

Compared to other cities, Portland's spending is above average -- as is the spending in four of the other six cities. Charlotte and Sacramento have significantly lower operating budgets than the other cities.



## WORKLOAD

Police officer workload has declined significantly since '88-89, but still remains higher than officers in other cities, as measured by the number of serious crimes per sworn officer.



SOURCE: Audit Services survey of other cities; and U.S. Dept. of Justice

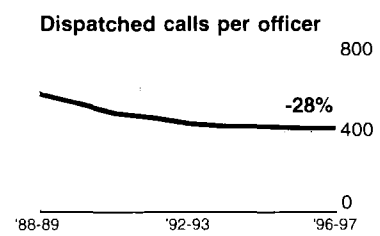
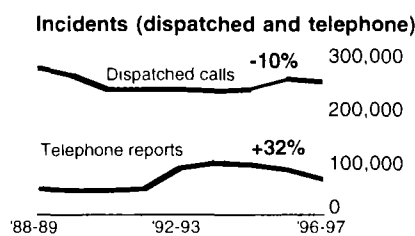
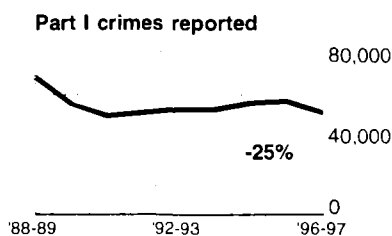
Portland had about 50 Part I crimes reported for each sworn officer, while the average of the other cities is slightly less than 40. Even though Portland's crimes have decreased, and the number of officers has increased, this higher than average workload ratio has been consistent.

- The number of reported serious crimes declined by over 5,000 incidents last year and by over 25% (17,000) since 1988.
- Although total sworn staff increased last year, the average number of patrol cars on duty declined on each of the three shifts.
- The number of dispatched calls and the ratio of dispatched calls per precinct officer declined by 10% and 28%, respectively. However, the number of "self-initiated" calls increased 10% over '95-96, which was the first full year these calls were tracked.
- Although more calls are handled by the telephone than in '88-89, the amount has decreased each of the last three years.

### AVERAGE NUMBER OF PATROL CARS ON DUTY, BY SHIFT

	'95-96	'96-97
Day shift (8am - 4pm)	61	58
Afternoon shift (4pm - 12 am)	66	63
Night shift (12am - 8am)	58	55

SOURCE: Police Bureau Personnel Database



## RESULTS

Although serious crime in Portland is above average compared to other cities, citizens feel significantly safer and experience less crime than nine years ago.

- 86% of residents reported feeling safe or very safe walking alone in their neighborhood during the day; 45% feel safe at night.
- Total Part I crimes *per capita* declined by 10% last year, and by 36% over the past nine years.
- Emergency police response times remained fairly steady over the past nine years - ranging from 4.75 to 5.26 minutes.

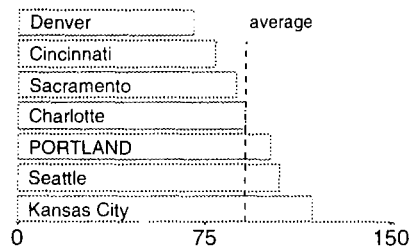
### CITIZENS WHO FEEL SAFE WALKING ALONE IN THEIR NEIGHBORHOOD

	Day	Night
1991	77%	34%
1992	81%	38%
1993	80%	35%
1994	82%	37%
1995	84%	40%
1996	83%	43%
1997	86%	45%
<b>change</b>	<b>+9%</b>	<b>+11%</b>

SOURCE: Auditors Office annual Citizen Survey

- Burglary victimization rates declined from 10% to 4% since '91-92.
- The percent of Portlanders rating police services good or very good increased from 60% to 74% over the past seven years.

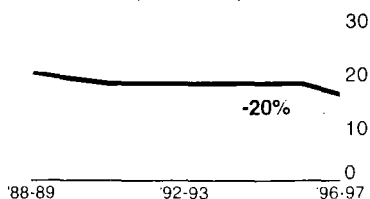
### PART I CRIMES/1,000 RESIDENTS



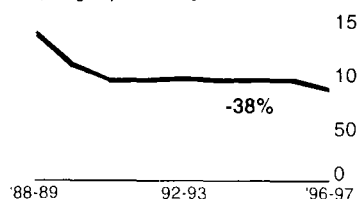
SOURCE: Audit Services survey of other cities; and U.S. Dept. of Justice

Compared to other cities, Portland continues to have more reported crimes per capita than average. Although the total number of Part I crimes per capita in Portland has been declining, the same is true for all of the other cities except Charlotte.

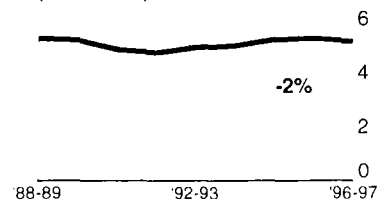
### Part I person crimes/1,000 population (murder, rape, robbery, assault)



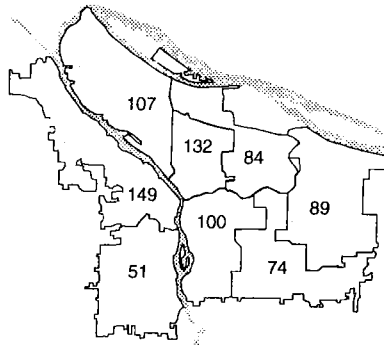
### Part I property crimes/1,000 population (burglary, larceny, auto theft, arson)



### Average high priority travel time (in minutes)



**PART I CRIMES PER 1,000 RESIDENTS**



SOURCE: Portland Police Bureau

Portland neighborhoods experience different rates of crime. Inner Northeast, Northwest/Downtown and North Portland continue to have more crimes per capita than other parts of town.

The Southwest neighborhood continues to have the fewest crimes per capita. For the first time, Northwest/Downtown had the highest rate.

Overall, however, the crime rates in 1996 were much lower than in previous years.

For the second year, the Bureau has reported officers' time available for problem-solving and self-initiated work.

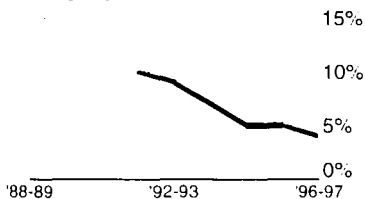
There has been an improvement in the amount of time free from responding to dispatched calls, but the Bureau's goal has not been reached. The goal is for officers to have 35% of their time free for problem-solving alone, *not* including self-initiated work time. However, the Bureau does not specifically track officers' use of time relative to this goal.

**TIME AVAILABLE FOR PROBLEM-SOLVING AND SELF-INITIATED WORK**

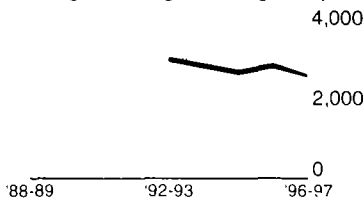
	'95-96	'96-97
Day shift (8am - 4pm)	33%	36%
Afternoon shift (4pm - 12 am)	24%	28%
Night shift (12am - 8am)	44%	46%

SOURCE: Portland Police Bureau

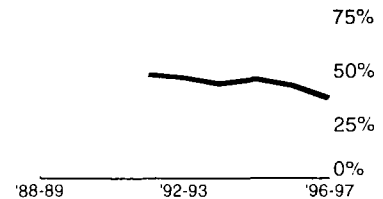
**Burglary victimization rate**



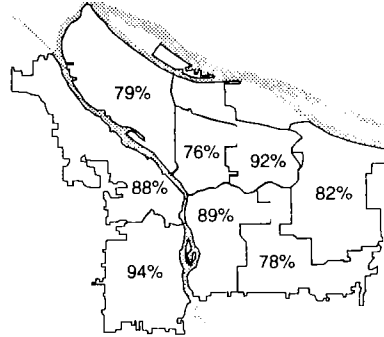
**Drughouses generating complaints**



**Percent of detective cases sent to DA**



# RESIDENTS RATING THEIR NEIGHBORHOOD "SAFE" OR "VERY SAFE" DURING THE DAY



SOURCE: Auditor's Office 1997 Citizen Survey

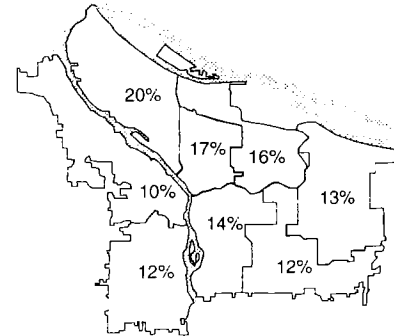
Similarly, residents feeling of safety also varies depending on where they live.

Although residents of North and Inner Northeast feel less safe than others, more of them report feeling safe than in previous years. In 1997, 76% of Inner Northeast citizens felt safe or very safe in their neighborhood versus 64% in 1991.

The number of residents who know their neighborhood officer remains fairly low. City-wide, this indicator of community policing success has shown little improvement since first asked in 1991.

North Portland has the highest percent of citizens that report they know their officer - 20%, up from 16% in 1991. Other neighborhoods that have increased 4% are Southwest (up from 8%), East (up from 9%), and Central Northeast (up from 12%).

# PERCENT OF RESIDENTS WHO KNOW THEIR NEIGHBORHOOD OFFICER



SOURCE: Auditor's Office 1997 Citizen Survey

	OVERALL rating of police service			Victimization rates		Citizens who know their neighborhood police officer
	GOOD OR VERY GOOD	NEITHER GOOD NOR BAD	BAD OR VERY BAD	BURGLARY	CAR PROWL	
1991	60%	27%	13%	10%	-	12%
1992	63%	25%	12%	9%	-	13%
1993	68%	23%	9%	7%	-	15%
1994	70%	22%	8%	7%	-	16%
1995	70%	21%	9%	5%	24%	15%
1996	74%	19%	7%	5%	23%	15%
1997	71%	21%	8%	4%	22%	14%

**Police Bureau**

	'88-89	'89-90	'90-91	'91-92	'92-93	'93-94	'94-95	'95-96	'96-97
Population .....	429,410	432,175	438,802	454,150	459,300	471,325	495,090	497,600	503,000
<b>EXPENDITURES (in millions):</b>									
Patrol .....	\$29.2	\$32.1	\$35.3	\$41.0	\$47.1	\$50.3	\$58.9	\$58.0	\$60.1
Investigations & crime interdiction .....	\$12.9	\$13.7	\$15.1	\$15.3	\$16.4	\$18.6	\$19.3	\$23.4	\$23.9
Support .....	\$9.6	\$11.1	\$12.6	\$13.4	\$13.8	\$13.7	\$15.5	\$14.6	\$15.8
Sworn pension & disability .....	\$13.6	\$14.4	\$15.7	\$17.0	\$17.3	\$18.3	\$19.6	\$20.9	\$22.7
TOTAL .....	\$65.2	\$71.3	\$78.8	\$86.7	\$94.6	\$100.9	\$113.2	\$116.9	\$122.5
<b>EXPENDITURES, adjusted for inflation:</b>									
Patrol .....	\$40.0	\$42.0	\$43.4	\$48.3	\$53.4	\$55.3	\$62.8	\$60.1	\$60.1
Investigations & crime interdiction .....	\$17.7	\$17.9	\$18.6	\$18.0	\$18.6	\$20.4	\$20.6	\$24.2	\$23.9
Support .....	\$13.1	\$14.5	\$15.5	\$15.8	\$15.6	\$15.1	\$16.5	\$15.2	\$15.8
Sworn pension & disability .....	\$18.6	\$18.9	\$19.2	\$20.0	\$19.7	\$20.2	\$20.9	\$21.7	\$22.7
TOTAL .....	\$89.4	\$93.3	\$96.7	\$102.1	\$107.3	\$111.0	\$120.7	\$121.2	\$122.5
Spending per capita, adjusted for inflation .....	\$208	\$217	\$224	\$233	\$236	\$242	\$256	\$245	\$246
<b>AUTHORIZED STAFFING:</b>									
Sworn .....	745	742	823	830	897	955	1,000	1,000	1,007
Non-sworn .....	202	185	209	209	229	240	254	253	265
Officers & sergeants assigned to precincts .....	481	478	506	533	547	561	608	595	584
	1988	1989	1990	1991	1992	1993	1994	1995	1996
Officers & sergeants assigned to precincts (adjusted to reflect calendar year) .....	472	481	478	506	533	547	561	608	595
<b>CRIMES REPORTED:</b>									
Part I .....	68,095	54,860	49,101	50,747	52,152	52,369	55,326	55,834	50,805
Part I person crimes .....	8,686	8,052	7,836	8,121	8,389	8,445	8,808	8,833	7,835
Part I property crimes .....	59,409	46,808	41,265	42,626	43,763	43,924	46,518	47,001	42,970
Part II .....	37,742	40,987	40,280	41,338	40,415	41,000	43,532	45,362	44,803
<b>INCIDENTS:</b>									
Dispatched .....	274,575	260,279	233,373	234,689	234,491	230,518	235,246	253,019	247,584
Telephone report .....	49,643	45,034	45,406	48,588	87,063	96,566	93,811	84,603	65,336
Self-initiated .....	-	-	-	-	-	-	82,667	120,094	132,396
TOTAL responses .....	324,218	305,313	278,779	283,277	321,554	327,084	329,057	457,716	445,316
Dispatched calls/precinct officer .....	582	541	488	464	440	421	419	416	416
Travel time to priority calls (in minutes) .....	5.25	5.20	4.85	4.75	4.89	4.95	5.23	5.26	5.12
Part I crimes/1,000 residents .....	158	127	112	112	114	111	112	112	101
Person crimes/1,000 residents .....	20	19	18	18	18	18	18	18	16
Property crimes/1,000 residents .....	138	108	94	94	95	93	94	94	85
Percent of cases sent to District Attorney .....	-	-	-	48%	47%	44%	46%	43%	37%
Percent of cases "closed" (incl. sent to DA) .....	-	-	-	85%	84%	86%	77%	81%	80%
Percent of time available for problem-solving .....	-	-	-	-	-	-	-	33%	37%
Number of drughouse complaints .....	-	-	-	-	2,965	2,792	2,664	2,815	2,547

## R E S O L U T I O N

WHEREAS, officials and employees who manage government programs must render a full account of their activities by providing appropriate reports to the public and to those to whom they are accountable; and

WHEREAS, performance measurement and reporting systems are the basis for establishing accountability to the public and for measuring the quality of services being provided; and

WHEREAS, increasing national interest — shown in government performance measurement and reporting, including interest by the U.S. General Accounting Office, the National State Auditor's Association, the National Academy of Public Administration, and the Government Accounting Standards Board, is encouraging local governments to strengthen their performance systems; and

WHEREAS, the City Auditor and City Manager have identified the need to strengthen the City's performance measurement and reporting process particularly with regard to reporting program quality, results, or outcomes; and

WHEREAS, a performance measurement system is prescribed by the BASICS IMPLEMENTATION PLAN (Building Austin's Standard In Customer Service) and would improve the quality of services, facilitate City Council decision making and communication with citizens; improve City management decision making and service delivery; and enhance citizens' understanding of government services and provide a mechanism to address perceptions of government performance; and

WHEREAS, performance measurement should be the City's way of determining whether it is providing quality service at reasonable cost. NOW THEREFORE

BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF AUSTIN:

That the City Manager shall within the next 60 days, bring to the Council for its approval a schedule for the adoption by Council of goals for each department. Within 120 days of Council adoption of goals, each department shall develop performance indicators which measure efficiency, effectiveness and customer satisfaction.

That the City Manager require City departments to develop service plans which describe anticipated accomplishments, performance measures which reflect actual program or function accomplishments and a process for analyzing and using this information to make decisions; and

That the City Manager shall annually produce a City wide performance report beginning in fiscal year 1993. The fiscal 1993 report shall measure the performance of those departments for whom Council has adopted goals, and beginning in fiscal year 1994 quarterly performance reports shall be issued. These quarterly reports will supplement annual reports and shall include all departments for whom Council has adopted goals.

That the City Manager use information produced by departmental performance measurement systems to develop a performance based budgeting system for the fiscal 1994-95 operating budget. The new budget system shall include an approach for sharing savings with departments who use performance measurement to demonstrate savings have been achieved; and

That the City Auditor assess the City's annual performance report each year to determine if it contains meaningful, complete, reliable, and valid information; and

That the City Auditor determine if performance measurement systems are being developed and effectively used to monitor performance and facilitate decision making.

ADOPTED: September 3, 1992 ATTEST: James E. Aldridge  
James E. Aldridge  
City Clerk

03SEPT92  
sja/970



## Performance Report Statutes Minnesota Statutes 1998 as amended

### **Chapter 15.90 Purpose.**

The purposes of sections 15.90 to 15.92 are:

- (1) to generate information so that the legislature can determine the extent to which state programs are successful;
- (2) to develop clear goals and priorities for state programs;
- (3) to strengthen accountability to Minnesotans by providing a record of state government's performance in providing effective and efficient services; and
- (4) to create appropriate incentives and Systems that will allow and encourage the best work by state employees.

### **Chapter 15.91 Performance reporting for agencies of state government.**

Subdivision 1. Definition. For purposes of sections 15.90 to 15.92, "agency" means a department or agency, as designated in section 15.01, the pollution control agency, and the agricultural utilization research institute established in section 1160.09.

Subdivision 2. Performance Reports. By January 2 of each odd-numbered year, each agency shall issue a performance report that includes the following:

- (1) the agency's mission;
- (2) the most important goals and objectives that support the agency's mission; and
- (3) the most important measures for goals and objectives listed in the report, with data showing each actual performance relative to these measures.

Each agency shall send a copy of its performance report to the speaker of the house, president of the senate, legislative auditor, and legislative reference library, and provide a copy to others upon request.

The commissioner of finance shall ensure that performance reports are complete, succinct, accurate, and reliable and compiled in such a way that they are useful to the public, legislators, and managers in state government.

The legislative auditor shall periodically review and comment on selected performance reports.

## **Chapter 15.92 Worker participation committees.**

(a) In the development of outcome measures and incentive programs, each agency shall create a committee including representatives of employees and employers. The committee must be given adequate time to perform the functions prescribed in paragraph (b). Each exclusive representative of employees shall select a committee member from each of its bargaining units in each affected agency. The head of each agency shall select an employee member from each unit of employees not represented by an exclusive representative. The agency head shall also appoint one or more committee members to represent the agency. The number of members appointed by the agency head, however, may not exceed the total number of members representing bargaining units.

(b) A committee established under paragraph (a) shall:

- (1) identify other employer and employee issues related to improving the delivery of the agency's program and services;
- (2) identify barriers to the effective and efficient delivery of services;
- (3) participate in the development of the agency's outcome measures and incentive programs; and
- (4) meet as desired for the purpose of developing solutions to problems shared by employees and employer within the agency.

## **EFFICIENT OPERATION OF STATE AGENCIES**

[MISSION; EFFICIENCY.] It is part of the department's mission that within the department's resources the commissioner shall endeavor to:

- (1) prevent the waste or unnecessary spending of public money;
- (2) use innovative fiscal and human resource practices to manage the state's resources and operate the department as efficiently as possible;
- (3) coordinate the department's activities wherever appropriate with the activities of other governmental agencies;
- (4) use technology where appropriate to increase agency productivity, improve customer service, increase public access to information about government, and increase public participation in the business of government;
- (5) utilize constructive and cooperative labor-management practices to the extent otherwise required by chapters 43A and 179A;
- (6) report to the legislature on the performance and the accomplishment of agency goals in the agency's biennial budget according to section 16A.10, subdivision 1; and
- (7) recommend to the legislature appropriate changes in law necessary to carry out the mission and improve the performance of the department.

## **Biennial Budget Documents – Performance Data Requirements**

### **16A.10 Budget Preparation.**

#### **Subdivision 1. Budget Preparation.**

In each even-numbered calendar year the commissioner shall prepare budget instructions and forms for all agencies, including guidelines for reporting agency performance measures, subject to the approval of the governor. The commissioner shall request and receive advisory recommendations from the chairs of the senate finance committee and house of representatives ways and means committee before adopting a format for the biennial budget document. By June 15, the commissioner shall send the proposed budget forms to the appropriations and finance committees. The committees have until July 15 to give the commissioner their advisory recommendations on possible improvements. To facilitate this consultation, the commissioner shall establish a working group consisting of executive branch staff and designees of the chairs of the senate finance and house of representatives ways and means committees. The commissioner must involve this group in all stages of development of budget forms and instructions. The budget format must show actual expenditures and receipts for the two most recent fiscal years, estimated expenditures and receipts for the current fiscal year, and estimates for each fiscal year of the next biennium. Estimated expenditures must be classified by funds and character of expenditures and may be subclassified by programs and activities. Agency revenue estimates must show how the estimates were made and what factors were used. Receipts must be classified by funds, programs, and activities. Expenditure and revenue estimates must be based on the law in existence at the time the estimates are prepared.

#### **Subd. 1a Purpose of Performance Data.**

Performance data shall be presented in the budget proposal to:

- (1) provide information so that the legislature can determine the extent to which state programs are successful;
- (2) encourage agencies to develop clear goals and objectives for their programs; and
- (3) strengthen accountability to Minnesotans by providing a record of state government's performance in providing effective and efficient state services.

#### **Subd. 1b. Performance Data Format.**

Agencies shall present performance data that measures the performance of programs in meeting program goals and objectives. Measures reported may include indicators of outputs, efficiency, outcomes and other measures relevant to understanding each program. Agencies shall present as much historical information as needed to understand major trends and shall set targets for future performance issues where feasible and appropriate. The information shall appropriately highlight agency performance issues that would assist legislative review and decision making.

**PUBLIC SAFETY DEPT**

**1996 Agency Performance Report**

**Agency : PUBLIC SAFETY DEPT**

**Program : STATE PATROL**

**EXPENDITURES AND STAFFING :**

	<u>(\$ in Thousands)</u>	<u>Percent of Department</u>
Total Expenditure	\$53,832	38.48%
From Federal Funds	\$2,529	
From Special Revenue Funds	\$4,630	
From Agency Funds	\$10	
Trunk Highway Funds	\$44,691	
General	\$1,972	
Number of FTE Staff:	817	44.86%

**GOALS :**

- To reduce the incidence of alcohol/drug impaired driving. (M.S. 299D.03)
- To reduce the number and severity of motor vehicle crashes. (M.S. 299D.03)
- To increase the use of occupant restraints. (M.S. 299d.03)
- To improve the traffic safety environment through preventative enforcement activities. (M.S. 299D.03)

**DESCRIPTION OF SERVICES :**

The Minnesota State Patrol exists to ensure a safe environment on Minnesota's roadways.

To accomplish this mission, the State Patrol provides police traffic services for the safe and efficient movement of traffic through enforcement, education and assistance. In addition, the State Patrol provides security for the Governor, his family and residence. The State Patrol also provides assistance to the public and public service agencies at all levels and provides driver and vehicle inspections for determining compliance with state and federal laws governing the operations of motor carriers and commercial motor vehicles. The State Patrol investigates traffic collisions and initiates immediate remedial action on motor vehicle law violations and all criminal activity encountered.

**BACKGROUND INFORMATION :**

**MEASURE TYPES: ACTIVITIES (A), EFFICIENCY (E), OUTPUT (O), OUTCOMES (OC),  
OTHER DATA (OD), UNIT COSTS (UC), WORKLOAD (W)**

**DATA BASED ON: CALENDAR YEAR (CY), FISCAL YEAR (FY), FEDERAL FISCAL YEAR  
(FFY), BIENNIUM YEARS (BY)**

<b>Type</b>	<b>Based</b>	<b>Measure</b>	<b>1994-95</b>	<b>1995-96</b>
A	FY	No. of arrests for DWI	4,941	5,124
A	FY	No. of arrests and warnings for speeding	187,789	180,223
A	FY	No. of arrests and warnings for seat belt violations	60,937	56,556
A	FY	No. of commercial vehicle arrests and warnings for seat belt violations.	1,895	2,305
A	FY	No. of commercial vehicles weighed.	501,228	408,366
A	FY	No. of commercial vehicle inspections.	36,411	42,902
A	FY	No. of school bus inspections.	13,187	13,033
A	FY	No. of accidents investigated.	19,285	22,432
A	FY	No. of commercial vehicle accidents investigated.	4,752	N/A
A	FY	No. of motorist assistance.	142,411	154,644
A	FY	No. of safety education programs delivered.	17,072	10,223
A	FY	No. of citizens reached w/educational programs.	12,234,641	4,928,997
A	FY	Hours spent patrolling.	427,909	404,311
W	CY	Average annual miles patrolled per Trooper.	27,780	29,963
OD	CY	Actual # of Troopers available for duty.	510	492
OD	FY	Authorized Trooper positions.	535	535

**PROGRAM DRIVERS :**

Increases in registered motor vehicles and licensed drivers leads to an increase in the miles of vehicular travel on an annual basis. Increases in both areas challenge the State Patrol to maintain the same level of service while dealing with more vehicles and more miles driven. These increases in the number of motor vehicles, licensed drivers and vehicular miles traveled contributes to increased traffic congestion, especially in the Metropolitan area, compounding traffic control management and necessitating expedient incident control to minimize impediments to efficient traffic flow.

The Legislature has enacted passenger restraint laws which require children under the age of 4 to be properly restrained in an approved safety seat, passengers 4 to 10 years of age to be restrained with a properly fastened seat belt system, and the driver and front seat passengers of any passenger vehicle to be restrained with a properly fastened seat belt system. Violators of the passenger restraint law are subject to a \$25.00 fine, however, a peace officer may only issue a citation for this violation provided the vehicle was lawfully stopped for an additional moving violation. This is referred to as secondary enforcement. A change in law to allow primary enforcement would increase enforcement activity, heighten motorist awareness, and ultimately increase usage rates.

States with strong traffic safety legislation and consistent enforcement are more likely to be effective at changing individual behavior and reducing injuries and fatalities. Judicial action through sentencing and court case law decisions either strengthen or weaken the ability to fulfill the intent of these laws.

The key to the success of traffic safety programs is innovative leadership on traffic safety issues from the Executive and Legislative branches building the support for legislation and securing the necessary resources to accomplish program goals.

Engineering and design standards for vehicle performance can help prevent crashes from occurring. Motor vehicle inspection programs ensure that vehicles have safety equipment intact and working properly. When there is a crash, vehicles designed for safety can increase survivability. Passenger protection systems in vehicles, if used, can eliminate injuries or reduce their severity.

**Goal 1** : To reduce the incidence of alcohol/drug impaired driving.  
**Objective 1** : Reduce the percentage of motor vehicle crash fatalities caused by alcohol/drug impaired drivers to 30% by the year 2002.

**Measure 1** : Percentage of traffic fatalities classified as alcohol-related.

	<u>C.Y.1993</u>	<u>C.Y.1994</u>	<u>C.Y.1995</u>	<u>C.Y.1996</u>	<u>C.Y.1997</u>	<u>C.Y.1998</u>
<b>Per</b>						
<b>Actual</b>	36%	35%	41%			
<b>Target</b>			35%	40%	38%	36%

#### DEFINITION :

The percentage of traffic fatalities classified as alcohol related is derived from the number of fatalities that occurred in motor vehicle crashes in which a police officer suspected that alcohol was involved and/or there was a positive blood test for alcohol, divided by the total number of fatalities. Minnesota uses the NHTSA-calculated measure of alcohol involvement in fatalities. The NHTSA estimate assigns an alcohol involvement category to crashes for which actual test results are unknown based upon an analysis of significant factors relative to the crash.

#### RATIONALE :

Historically, alcohol has been involved in 50% of motor vehicle fatalities. Reducing the number of crashes in which alcohol has a role will result in an overall reduction of fatalities.

#### DATA SOURCE :

Information on crashes comes from police traffic accident reports and coroners reports. Statistics regarding crashes are compiled by the Office of Traffic Safety and published in Minnesota Crash Facts.

#### DISCUSSION OF PAST PERFORMANCE :

The trend for the percentage of known alcohol-related fatalities has steadily declined over the previous 10 years. It is estimated that actual number of alcohol-related fatalities is higher than known alcohol-related fatalities because not all drivers in fatal crashes are tested for alcohol. The increase in the 1995 known alcohol-related fatalities percentage is, in part, a result of an increase from 80% to 90% in the percentage of drivers tested. The deterrent effect of administrative driver license sanctions and criminal punishment has had a role in this increase in drivers tested. The 1995 State Patrol arrests for DWI increased by 17% over 1994, in part due to temporarily increased staffing levels and the enhanced enforcement and education through Arrive Alive and Safe & Sober campaigns. In spite of lower staffing levels, a more modest increase of 4% occurred in 1996. This increase indicates the high priority placed on DWI enforcement. Aggressive DWI enforcement has proven to be effective in reducing the incidence of driving after drinking. Fewer drinking drivers will result in fewer fatalities.

#### PLAN TO ACHIEVE TARGETS :

Identification and removal of the drinking driver from the highways remains a high priority.

**OTHER FACTORS AFFECTING PERFORMANCE :**

Judicial decisions which affect the methodology or procedures used in enforcement of impaired driving laws may impact the ability to perform as noted. An increase in the authorized complement of Trooper positions would provide for increased patrol coverage and decrease average individual calls for service workload. Additional Troopers would provide for increased proactive preventative enforcement.

Advances in technology or impairment recognition methodology will improve the ability of troopers to identify impaired drivers. The ability to identify drivers with lower levels of impairment will increase the effect and decrease the incidence of impaired driving.



**Goal 2** : To reduce the number and severity of motor vehicle crashes.

**Objective 1** : Reduce the frequency of commercial vehicle crashes to 1.75 per 1 million miles by 2000.

**Measure 1** : Commercial motor vehicle crash rate per million miles by 2000.

	<u>C.Y.1993</u>	<u>C.Y.1994</u>	<u>C.Y.1995</u>	<u>C.Y.1996</u>	<u>C.Y.1997</u>	<u>C.Y.1998</u>
<b>Crash rate per million miles traveled</b>						
<b>Actual</b>	2.15	2.31	2.08			
<b>Target</b>		2.15	2.05	1.95	1.90	1.85

#### DEFINITION :

The commercial vehicle crash rate is the total number of crashes in which a commercial vehicle is involved divided by the miles of commercial vehicle travel and computed as the number of crashes per every 1,000,000 miles of commercial vehicle travel. This rate is a national industry standard.

#### RATIONALE :

Federal agencies use crash rates to measure performance and make comparisons between states. The rate also considers "exposure" (miles driven) which allows states of varying size and to be compared.

#### DATA SOURCE :

Total commercial vehicle miles driven is calculated by the Department of Transportation annually. The Department of Public Safety maintains records on the number and types of crashes which occur in a calendar year. Total number of commercial vehicle inspections is maintained in the State Patrol activity system.

#### DISCUSSION OF PAST PERFORMANCE :

Since 1980, commercial vehicle crashes have declined steadily from more than 10,000 to the recent low of 4,463 in 1992. The trend toward decline coincides with the State Patrol's entry into the federal Motor Carrier Safety Assistance Program (MCSAP). MCSAP provides incentives to states to increase commercial vehicle inspection and enforcement activities and achieve interstate compatibility of safety regulations related to the operation of commercial vehicles. Preventive roadside inspection programs have proven effective in reducing driver and vehicle defects and, ultimately, the incidence of commercial vehicle crashes.

The State Patrol is responsible for the inspection of vehicles used to transport students to and from school and school activities. Every school bus and Head Start bus must be inspected at least once per year. Random, unannounced spot school bus and Head Start bus inspections are performed as time and personnel allow.

**PLAN TO ACHIEVE TARGETS :**

Emphasis will continue with the MCSAP commercial vehicle inspections and size-weight-load enforcement. Federal priority shifts and reductions in personnel have caused the focus of commercial vehicle inspections to change, decreasing the number of level one (complete driver and vehicle inspections) and increasing the number of level three (driver only) inspections. Level three inspections are less time consuming and concentrate on the operator of the commercial vehicle. The operator, or human behavior factor, is currently a contributing factor in more than 75% of those crashes attributed to the truck.

Minnesota was selected under MCSAP to pilot test an automated commercial vehicle brake testing device. The device is permanently installed at the St. Croix weigh scale. The pilot test was designed to evaluate the accuracy of the device and determine the ability to withstand the harsh weather environment. The pilot result indicated the device will decrease the time required to perform a commercial vehicle inspection and more accurately assess the performance of truck braking systems. Due to the success of the pilot installation, an additional device is planned for the Dilworth scale facility near Moorhead. These devices will significantly reduce the time necessary to perform vehicle inspections.

Technology, which allows motor vehicle license plates to be read electronically as commercial vehicles pass by a fixed site, will allow for more efficient screening of vehicles. The license plate reader is connected to a database of information regarding commercial vehicle registration status and violation history. Vehicles can be accurately screened and pre-selected for inspection which will greatly enhance efficiency. One license plate reader is installed at the St. Croix scale facility and additional license plate readers are planned for the Worthington and Dilworth facilities.

Increased emphasis will continue to be placed on mobile commercial vehicle enforcement. Repeat violators are known to travel significantly off route to avoid fixed facilities. Mobile enforcement has proven effective at reducing the incidence of by-passing of fixed facilities. Consequently, increasing the effectiveness of size/weight/load enforcement has proven to have a significant role in the prevention of road damage caused by overweight trucks.

State Patrol school bus inspection teams will inspect every school bus and Head Start bus in the state at least once per year. Random, unannounced spot inspections of school buses and Head Start buses will occur as possible. Additionally, any school bus or Head Start bus involved in a collision will be inspected after the crash to determine if bus condition contributed to the crash and if the bus may continue to be safely operated.

**OTHER FACTORS AFFECTING PERFORMANCE :**

Commercial vehicle inspection activities are partially dependent upon continued full MCSAP funding from the Federal Highway Administration. Any changes in funding levels will have an impact on performance. The completion of the Dilworth weigh scale facility on I-94 near Moorhead was delayed and will now become operational in the fourth quarter FY1996. Impact on performance is dependent upon staffing level.

**Goal 3** : To increase the use of occupant restraints.

**Objective 1** : To increase the use of motor vehicle occupant restraints.

**Measure 1** : Increase the percentage of driver and front seat occupant seat belt use to 80% by the year 2002 through enforcement and education.

	<u>C.Y.1993</u>	<u>C.Y.1994</u>	<u>C.Y.1995</u>	<u>C.Y.1996</u>	<u>C.Y.1997</u>	<u>C.Y.1998</u>
<b>Percentage of motorists</b>						
<b>Actual</b>	55%	57%	65%			
<b>Target</b>			61%	64%	67%	70%

#### DEFINITION :

Measure is the ratio of estimated time on the roadway that front seat occupants are using safety belts compared to the estimated time on the roadway for these occupants.

#### RATIONALE :

Minnesota law requires all front seat occupants of a passenger vehicle, and occupants under the age of 11 seated anywhere in the vehicle to use an approved passenger restraint system. In addition, children under the age of four must be transported in an approved child passenger restraint system.

Motor vehicle crashes are the leading cause of death from the age of six months through 34 years. They are also the leading cause of paraplegia, quadriplegia and adult onset epilepsy. When there is a crash, using proper safety equipment will reduce the severity of injuries resulting from the crash. Current data shows that properly restrained occupants are 40% to 60% less likely to be injured or killed than non-restrained occupants.

#### DATA SOURCE :

The Department of Public Safety, Office of Traffic Safety, in conjunction with the National Highway Traffic Safety Administration, compiles detailed state and national data depicting all aspects of motor vehicle crash statistics. These statistics are published annually in the Minnesota Motor Vehicle Crash Facts publication.

A new survey design was initiated in August of 1994 and continued in 1995. The new survey design uses different sites and is not strictly comparable to the prior design.

#### DISCUSSION OF PAST PERFORMANCE :

Estimates indicate that 50% of the deaths from injuries to unbelted motor vehicle occupants could have been prevented had occupants used seat belts. As seat belt use has increased, fatalities and serious injuries have declined. Legislation requiring seat belt use and consistent enforcement of seat belt laws combined with educational programs has proven to increase use. Lack of primary enforcement status has prevented the impact of enforcement from being greater.

**PLAN TO ACHIEVE TARGETS :**

The Arrive Alive program is an enforcement and educational campaign designed to reduce the number of traffic collision, injuries and fatalities on roadways in Minnesota. The program will focus on the importance of seat belts, driver attitude, excess speed and impaired driving.

Safe & Sober is a federally funded campaign to increase enforcement of DWI and seat belts laws. This program provides funding for overtime work assignments dedicated to DWI and seat belt law enforcement during identified peak hours and locations.

**OTHER FACTORS AFFECTING PERFORMANCE :**

Legislation has had an important role in altering behavior to increase seat belt use. Observational surveys showed a 12 percentage point increase in use after the first seat belt law went into effect in 1986, about a 15 point increase after the \$10 fine was added in 1988, and about a 5 point increase when the fine was increased to \$25 in 1991. Studies in other states indicate that an additional increase in usage rates occurs when a seat belt law is changed from secondary to primary enforcement. Primary enforcement can have a dramatic effect on seat belt usage by allowing Troopers to directly change the behavior of persons not using seat belts rather than only when an additional moving violation is observed.

Minnesota and Iowa have similar seat belt education and enforcement programs; however in 1986, Iowa passed a primary enforcement seat belt law and Minnesota passed a secondary enforcement law. Current estimates indicate that Minnesota could effect a 12 percentage point increase in seat belt usage with the enactment of a primary enforcement law.

On January 1, 1993, the state of California upgraded its seat belt law from secondary enforcement to primary enforcement. Seat belt observations conducted in early 1993 indicate that the law change has produced nearly an 18 percent increase in driver seat belt use. A change from a secondary law to a primary law in Minnesota would positively impact seat belt usage rates.

**Goal 4** : To improve the traffic safety environment through preventative enforcement activities.  
**Objective 1** : Increase the hours of proactive patrolling (unobligated) time by 2% in 1998 and 2% in 1999.

**Measure 1** : Average percentage of total road patrol Troopers hours spent patrolling (unobligated).

	<u>C.Y.1993</u>	<u>C.Y.1994</u>	<u>C.Y.1995</u>	<u>C.Y.1996</u>	<u>C.Y.1997</u>	<u>C.Y.1998</u>
<b>Average percentage of trooper hours</b>						
<b>Actual</b>	57%	54%	56%			
<b>Target</b>		55%	56%	58%	56%	58%

#### DEFINITION :

Patrolling time is defined as those hours expended in preventive patrol; proactive traffic law enforcement, traffic direction, motorist assistance, traffic hazard removal, and availability for response to highway emergencies. Percentage of time patrolling is time patrolling divided by total time multiplied by 100.

#### RATIONALE :

An increase in the percentage of time spent in preventive or proactive activities will reduce the potential for a crash to occur by altering illegal and unsafe behavior, removing potential highway hazards and improving the overall safety environment.

#### DATA SOURCE :

Data is maintained in the State Patrol Activity Management System.

#### DISCUSSION OF PAST PERFORMANCE :

While the number of fatalities has decreased, the total number of crashes has remained at essentially the same level for the last twenty years. Motor vehicle crashes are in part classified by the factors which contribute to the crash. Many factors may contribute to a single crash. There are, however, a more limited number of factors that significantly affect the aggregate of traffic crashes. The human behavior factor is listed as a contributing factor in more than 87% of all crashes. The majority of activities performed during patrolling prevent crashes by altering driver behaviors that contribute to crashes. Reducing these behaviors would reduce crashes.

The population growth trend continues within the extended urban area of Minneapolis/St. Paul including Rochester and St. Cloud. This growth produces greater demand for police traffic services on an expanding and increasingly congested highway system. The rising acceptance of cellular telephone technology has increased calls for service by more than 20,000 per month. Use of cellular service has improved the timeliness of reporting of highway incidents, while causing an increased demand on agency resources. Fluctuation in staffing levels due to natural attrition and funding levels has increased individual work load and decreased available time for preventative patrol. Average annual miles patrolled per trooper has remained static at 29,985 miles in CY 1989 to 29,963 miles in CY 1995, while the total number of motor vehicle crashes investigated by State Patrol increased from 18,349 to 19,285 from CY 1989 to CY 1995.

**PLAN TO ACHIEVE TARGETS :**

Thirty-two replacement Troopers assumed full duties in the fourth quarter of FY 1995. These replacements filled a majority of then existing openings and helped equalize workload. Retirements and other attrition through fourth quarter FY 1996 has reduced the operating complement by 43 Troopers. Replacements will be selected and trained, and they are scheduled to assume full duties in third quarter FY 1997.

While the number of fatalities has declined over the past decade, the total number of crashes has remained at the 100,000+ level. (The all-time high for total crashes was 123,000 in 1975.) The State Patrol has, historically, responded to all crashes occurring on the federal and state system in order to expedite resolution and provide for accurate reporting. At current funding levels, and to meet necessary objectives, a reduction of the total hours obligated to crash related activities will be reexamined for impact. Procedural simplification and possible elimination of the investigation and reporting of crashes with less than \$1,000 in property damage will be examined.

A total of 10 Total Mapping Stations have been obtained through a federal grant from the NHTSA. These Total Mapping Stations are used to obtain accurate measurements and record physical evidence at the scenes of serious personal injury and fatal motor vehicle crashes. The use of these devices will significantly reduce the time necessary to investigate serious traffic crashes and reduce the associated residual congestion due to these incidents.

**OTHER FACTORS AFFECTING PERFORMANCE :**

Performance targets are based upon funding for a full complement of Trooper positions. Any budget base level reductions for agencies receiving funding from the Trunk Highway Fund will result in reduced personnel, increased individual workload, and service level reductions. Conversely, if additional funding is authorized to increase the maximum Trooper complement, workload and the percentage of time which is obligated will be reduced and proactive patrolling time and service levels will increase.

## **Government Performance and Results Act (GPRA)**

With the Government Performance and Results Act (GPRA) of 1993 and the Chief Financial Officers (CFO) Act of 1990, Congress imposed on federal agencies a new and more businesslike framework for management and accountability. GPRA requires every major federal agency to set multi-year strategic goals and corresponding annual goals, measure performance toward the achievement of those goals, and report annually to Congress on their progress.

Under GPRA, the strategic plans are the starting point for agencies to set annual goals for programs and to measure the performance of specific programs in achieving those goals. With technical assistance from the General Accounting Office, Congress reviews and reacts to the draft **strategic plans** prepared by the agencies.

GPRA requires each agency to submit to the federal Office of Management and Budget an **annual performance plan**. The annual performance plan contains the annual performance goals and the performance measures the agency will use to assess its progress. In addition, OMB will use the individual agency plans to submit an annual report to Congress that contains an overall federal government performance plan.

In March 2000, agencies must submit to the President and Congress their first **annual reports on program performance**. In each report, agencies review and discuss performance for the previous fiscal year compared with the performance goals established in its annual performance plan. When an agency does not meet a goal, the agency's report will explain why and sets forth its plans for meeting the goal. If the goal was not feasible, then the agency explains why and recommends actions to accomplish the goal.

To provide for agencies to develop experience in implementing GPRA requirements, GPRA calls for phased implementation. GPRA also requires OMB to select at least five agencies to test performance budgeting for FY 98 and FY 99.

The GAO helps agencies implement GPRA and has issued a series of reports evaluating the implementation of GPRA. GAO also assists Congressional committees to review agency plans. GAO documents made the following points about GPRA:

- Congress must demonstrate that performance information will be used constructively. Otherwise, GPRA will be viewed as a paper exercise rather than a process dedicated to achieving major management reform.
- Success depends on long term executive branch and Congressional support, including financial support. Congress, the President, OMB, and agencies will have to provide adequate resources to produce and use quality information on program results.

- GPRA's requirement for consultation between agencies and Congress offer a significant potential for initiating constructive dialogue between the legislative and executive branches of government
- The Congress, President, and agencies must have realistic expectations. They must be patient and supportive of agency efforts to measure performance.
- Most federal agencies collected input and output data in the past. Few agencies have been collecting comprehensive information on federal program outcomes or effectiveness. program outcome results. In addition, adequate data quality control processes must be established.





STATE OF MINNESOTA  
**OFFICE OF THE LEGISLATIVE AUDITOR**  
JAMES R. NOBLES, LEGISLATIVE AUDITOR

October 7, 1997

MEMO TO: Peggy Ingison  
Finance Department

FROM: Roger Brooks  
Deputy Legislative Auditor

SUBJECT: Suggestions for Changes in Performance Reporting

Most people agree that you cannot hold organizations or individuals accountable unless you know what they are doing. The Legislature initiated the current performance reporting system in 1993 to increase state agency accountability by enhancing and formalizing the flow of information about agency and program performance. The system purposely separated performance reporting from the budget process and emphasized the measurement of program *outcomes* instead of *inputs* and *outputs*.

The 1993 law produced some benefits. For example, many agencies have successfully conducted an extensive strategic planning effort that has helped them to identify or refine their mission, goals, and objectives. For some agencies, this has helped to refocus programs and keep the organization closer to its intended purposes.

Also, the performance reports completed so far provide a storehouse of information about state program performance that offers insights into the effectiveness and efficiency of state government. Some legislators and executive branch policy makers have found this information useful.

But there are many shortcomings that have led to frustrations among nearly all the participants. As a result, it is time to consider what changes might better enable the state to reach its original goals.

**Statement of the Problem:** First, whatever value has been realized from agency strategic planning, many agencies have found it difficult to identify and measure the results or impacts of their programs. Some scholars of performance reporting who have studied how federal and state agencies conduct performance reporting have said that the currently fashionable focus on measuring the results of public programs is misplaced. They observe that most public programs have a hard enough time finding good, reliable ways to measure what they are doing, let alone trying to measure the outcomes of their activities on clients or social problems.

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Our experience in Minnesota seems to confirm this view. While some programs, such as those in the health or education fields, can offer indicators of the impact of their programs, it is questionable whether all programs can realistically measure outcomes as assumed by the state's performance reporting law. It has been particularly difficult for internal service agencies like Administration or Employee Relations to identify outcome measures. The current reporting framework imposes a uniform set of expectations across agencies that perform very different functions. This framework has simply proved too rigid.

Second, as a result of the difficulty of identifying good measures, many agencies have settled for performance indicators that relate to only a portion of their organizational mission and that, taken by themselves, give a skewed view of the agency's activities. On top of this, some measures emerging from agencies' strategic planning processes were logical and appropriate, but impossible or expensive to measure, resulting in dozens of tables in agency performance reports that contained no data.

Third, the PERFORMs system has added to the rigidity of performance reporting without evident benefits to agencies or users. The structure of the PERFORMs system was intended to make it easier to report and read data, but it has proved to be awkward and artificial for some agencies and has resulted in a presentation framework that is hard to make readable and attractive. In turn, this has made the reports unfriendly to users.

Fourth, most agencies have been confused about whether they are supposed to develop measures of 1) their organization's internal performance, 2) changes in the general well-being of the state in broad policy areas that their programs are designed to address, or 3) both. In the case of Children, Families, and Learning, this has led to the development of two separate reports. But other agencies have faced the same kinds of confusion.

Finally, most members of the Legislature do not think of themselves as partners in the performance reporting system. With the exception of a few committees, the Legislature has paid little attention to the performance reports. Even in those cases where committees held hearings involving a report, there was little more than a brief presentation of the report. Many members have been confused about the rationale for developing the reports, skeptical of the quality of data in the reports, and uncertain about what they are supposed to do with the information. In general, members have considered the performance reports irrelevant, especially to budget deliberations.

**Reasons for the Problem:** Our diagnosis of the problem is relatively simple--the state initiated performance reporting too quickly without laying an adequate foundation. There should have been a full and open discussion of the goals and expectations of performance reporting among all participants (including both houses of the Legislature and top executive branch leaders), a trial or pilot phase, interim evaluations, careful development of a performance reporting framework that met the diverse needs of all participants,

clearer instructions to agencies, and more extensive training. Most critically, a common vision about what was to be accomplished, high level leadership, and time to make it all work were all missing.

In addition, as we have now come to recognize more fully, it is very difficult for complex public organizations to adequately define and measure their expected impacts. Even where reasonable outcome measures can be developed and tracked--in public health and education, for example--there is serious uncertainty about the validity of the measures and the ability of agencies to demonstrate any causal relationship between program activities and outcomes.

**Suggestions for Reform:** In our view, the weaknesses of Minnesota's approach to performance reporting are serious and cannot be easily or quickly repaired. Consequently, we favor modifications that represent a cautious step back, without abandoning the main goals of performance reporting.

We propose to retain the positive aspects of performance reporting while increasing the flexibility of the reporting requirement. We favor 1) restoring limited reporting of agency performance indicators in the Governor's budget proposal in odd-numbered years, 2) encouraging but not requiring agencies to develop a supplementary "biennial performance summary" that would allow them to present performance information about themselves and the policy area in which they work for use by the Legislature and for the general enlightenment of the public, and 3) encouraging agencies to report *outcome* measures when that is possible and useful, but accepting the fact that straightforward information about program activities and efficiency levels is sometimes the most appropriate kind of data.

*1. Restoring Performance Information to the Biennial Budget Proposal.* From the mid-1970s through 1993, state agencies presented a limited amount of performance information about each program under their jurisdiction in the Governor's biennial budget proposal. Presented in a structured format, each agency identified specific activities for each program, offered a narrative description, and identified each program activity's objectives, activity statistics, and effectiveness measures. In most cases, the performance information was limited to one page for each program activity, and the information was presented immediately adjacent to the proposed budget numbers, informing legislators about key aspects of program performance and providing an opportunity for critical debate during budget deliberations.

We think it would make sense to return to this basic format for the presentation of program performance measures. Agencies should present their overall mission and goals, as well as specific objectives for each program activity. Given the progress of most agencies in refining their mission, goal, and objective statements, and in identifying appropriate performance measures, the information that could be presented now would be

superior to and more useful than that presented in pre-1993 budget proposals. For example, most agencies have successfully developed a reporting framework that is more logical than that presented earlier. In most cases, agencies could dispense with ancillary information, including definitions and data sources.

*2. Developing General Performance Summaries.* The performance information presented in the biennial budget may satisfy the most pressing needs for program-specific data during the budget process. But it may not provide the additional background information, historical perspective, and discussion of contextual factors that are important to a deeper understanding of state program performance. Also, measures that focus mainly on agency performance may not provide enough information on broader social indicators, such as student test scores or pollution levels.

As a result, we think that each agency should be encouraged to develop a "biennial performance summary" that provides a full and fair picture of the agency's activities and impacts, using the best and most appropriate measures as determined by each individual agency. The summary report developed by the Pollution Control Agency is one example of a performance summary that proved useful to the Legislature in 1997. We think that agencies should consult with their key stakeholders, particularly members of relevant legislative committees, to determine whether to develop a performance summary and, if so, what information to include in it.

*3. Rebalancing the Reporting of Outputs, Outcomes, and Efficiency Measures.* As noted, the current performance reporting framework is based on an assumption that, with hard work, all programs can develop, measure, and report on the impact or results of their efforts. While some programs have successfully developed appropriate and measurable *outcome* measures, many have found this a practical impossibility.

We are reluctant to tell those programs that have been able to develop good measures of outcomes to stop doing it. But we think the performance reporting framework should be flexible enough to accommodate the many programs that cannot easily measure outcomes. Those programs should instead be encouraged to focus on developing measures that are *appropriate* and *realistic*, including measures of the level of activities and the efficiency of their programs.

Programs should also be encouraged to include (in the budget document and performance summary) information on important and relevant trends in the social and economic environment, even though the trends may not be the direct result of program activities. Everyone understands that trends in job growth, highway safety, and environmental pollution, to name a few factors, are not solely the result of state-funded programs. But policy makers should have data on these trends when considering important decisions about the programs that may in some way influence them.

# Performance Reporting

## Statutory Changes Suggested by the Office of the Legislative Auditor

### Repeal:

3.971 subd. 3 (Powers and duties of legislative auditor)  
15.90-92 (Performance reporting)

### Amend:

#### 16A.10 Budget preparation.

Subdivision 1. **Budget format.** In each even-numbered calendar year the commissioner shall prepare budget forms and instructions for all agencies, including guidelines for agency performance measures, subject to the approval of the governor. The commissioner shall request and receive advisory recommendations from the chairs of the senate finance committee and house of representatives ways and means committee before adopting a format for the biennial budget document. By June 15, the commissioner shall send the proposed budget forms to the appropriations and finance committees. The committees have until July 15 to give the commissioner their advisory recommendations on possible improvements. To facilitate this consultation, the commissioner shall establish a working group consisting of executive branch staff and designees of the chairs of the senate finance and house of representatives ways and means committees. The commissioner must involve this group in all stages of development of budget forms and instructions. The budget format must show actual expenditures and receipts for the two most recent fiscal years, estimated expenditures and receipts for the current fiscal year, and estimates for each fiscal year of the next biennium. Estimated expenditures must be classified by funds and character of expenditures and may be subclassified by programs and activities. Agency revenue estimates must show how the estimates were made and what factors were used. Receipts must be classified by funds, programs, and activities. Expenditure and revenue estimates must be based on the law in existence at the time the estimates are prepared.

Subd. 2. **Purpose of Performance Data.** Performance data shall be presented in the budget proposal in order to:

- (1) provide information so that the legislature can determine the extent to which state programs are successful;
- (2) encourage agencies to develop clear goals and objectives for their programs;
- (3) strengthen accountability to Minnesotans by providing a record of state government's performance in providing effective and efficient services; and
- (4) create appropriate incentives that will encourage the best work by state employees.

1 Subd. 3. Performance Data Format. Agencies shall present performance data that  
2 measures the performance of all major programs in meeting their goals and objectives.  
3 Measures reported may include indicators of outputs, efficiency, outcomes, and other  
4 measures relevant to understanding each program. Agencies shall present as much  
5 historical information as needed to understand major trends and shall set targets for future  
6 performance where feasible and appropriate. The information presented shall highlight  
7 performance issues that merit attention from the legislature.

8  
9 Subd. 42. By October 15 and November 30. By October 15 of each even-numbered year,  
10 an agency must file the following with the commissioner:

11 (1) budget and departmental earnings estimates for the most recent and current fiscal  
12 years;

13 (2) its upcoming biennial budget and departmental earnings estimates;

14 (3) a comprehensive and integrated statement of agency missions and outcome and  
15 performance measures; and

16 (4) a concise explanation of any planned changes in the level of services or new  
17 activities.

18  
19 The commissioner shall prepare and file the budget estimates for an agency failing to file  
20 them. By November 30, the commissioner shall send the final budget format,  
21 departmental earnings report, agency budget plans or requests for the next biennium, and  
22 copies of the filed material to the ways and means and finance committees, except that the  
23 commissioner shall not be required to transmit information that identifies executive branch  
24 budget decision items. At this time, a list of each employee's name, title, and salary must  
25 be available to the legislature, either on paper or through electronic retrieval.

26  
27 Subd. 53. Duties to governor-elect. Immediately after the election of a new governor, the  
28 commissioner shall report the budget estimates and make available to the governor-elect  
29 all department information, staff, and facilities relating to the budget.

## PUBLICATIONS

*The Florida Benchmarks. February 1996.*  
Available by mail, at public libraries and through  
the Governor's Home Page on the Internet:  
<<http://fcg.state.fl.us/eog/document.htm>>

*Critical Benchmark Goals. July 1997.* Sixty  
critical indicators with targets for years 2000 and  
2010.

*Measuring Outcomes. 1996-1997.* Reports on  
performance-based program budget measures in

- Agency for Health Care Administration in the  
Department of Business and Professional  
Regulation
- Department of Highway Safety and Motor  
Vehicles
- Department of Transportation
- Division of Community Colleges in the  
Department of Education
- Division of Library and Information Services  
in the Department of State
- State University System in the Department of  
Education

*Tracking the Impact of State Agencies on  
Florida's Citizens 1995-96*

- Department of Law Enforcement. Criminal  
Justice Professionalism Services.
- Department of Juvenile Justice. Strategic  
Priorities.
- Department of Corrections. Recidivism Goal.

*Annual Progress Report.* Annual summary of  
the GAP Commission's activities and  
accomplishments.

Publications are available from the Commission  
offices in Tallahassee.

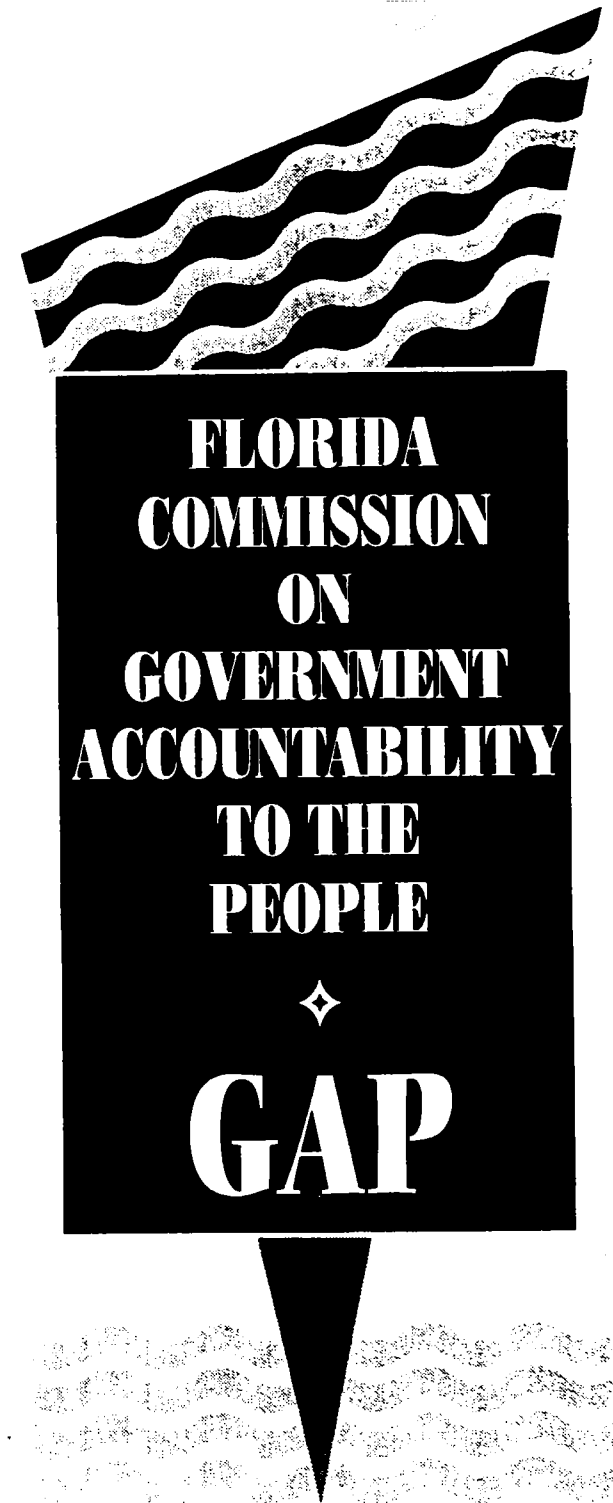
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## THE GAP COMMISSION

The Government Accountability to the People (GAP) Commission is a citizens' board dedicated to making state government more accountable and responsive to the people it serves.

The Commission was created by Governor Lawton Chiles in 1992 and established by the Florida Legislature in the 1994 Government Performance and Accountability Act. State law charges the Commission with tracking the impact of state agency actions upon the well-being of Florida citizens.

By law, the Commission is composed of 15 members, nine from the private sector and six from the public sector. Members are appointed by the Governor and subject to confirmation by the Senate.

## ACCOMPLISHMENTS

### *The 1996 Florida Benchmarks Report*

*The Florida Benchmarks Report* is a set of social, economic and environmental indicators that measure the well-being of Floridians. This biennial report tracks the state's progress from 1980 to 1995 in seven major areas: Families and Communities, Safety, Learning, Health, Economy, Environment and Government. Hundreds of people throughout the state took part in its development over a three-year period, including private citizens, legislators, state agencies, local governments, business groups and civic organizations. The next edition is due February 1998.

### *The 1997 Critical Benchmark Goals*

The Commission selected sixty critical indicators from the *Florida Benchmarks Report* and surveyed Floridians on where they thought Florida should be

in the years 2000 and 2010. The goals are intended to motivate collaborative efforts among elected officials, state and local governments, and citizens to improve the state's quality of life.

### *Building the Road to Results*

The Commission has launched a multi-year project to examine state government's role in solving major problems in Florida. The first study is an assessment of the state's contribution to reducing juvenile crime. The initial findings show that, in addition to the Department of Juvenile Justice, 20 state agencies and two subagencies conduct activities that are intended to reduce juvenile crime. This early indication that the state's resources for achieving an important goal are widely dispersed has led to further research into the state's fragmented approach to reducing juvenile crime.

A second study on the state's approach to improving job opportunities for Floridians is underway.

### *State Agency Reviews*

(See *Publications* list)

From 1995 to 1997, the Commission reviewed performance measures proposed by nine agencies in both their strategic plans and in their performance-based program budgets. Recommendations were made for ways that agencies could measure their successes and communicate those results to the general public.

## IMPACTS

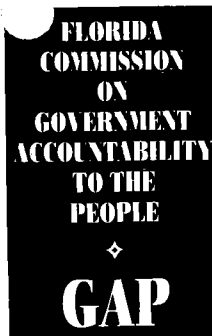
The *Florida Benchmarks* is a model for similar efforts in Florida and across the nation. The Commission, just in 1996-97, provided technical assistance, consultation or information to 4,000 people who requested our documents; 95 organizations around the state who assisted with goal-setting; 700 who helped set the goals; and 98

private and public entities from Florida, the nation and the world who requested our assistance in developing their own quality of life indicators or who used the *Florida Benchmarks* as a reference work. We have assisted community groups in Broward, Hillsborough, Leon, Martin, Orange, and Osceola counties in the development of their own reports. The Commission has been featured in *Governing* magazine, *Florida Trend*, *Florida Living*, *Florida Chamber News*, *The Public Innovator*, *Best Management Practices in State Government* (Council of State Governments), *A Guide to Selecting Results and Indicators* (The Finance Project), *Resource Guide of Results-Based Accountability Efforts* (Harvard Family Research Council), *Government Finance Review* (Government Finance Officers Association), and *Social Indicators of Child and Family Well-Being* (Child Trends, Inc.). We have been invited to speak on accountability by the American Society for Public Administration, the Florida Council of 100, Florida TaxWatch Inc., Government Chief Information Officer Summit, National Association of State and Local Inspectors General, Leadership Florida of the Florida Chamber of Commerce, and the Conference Board of Canada. We have advised two national organizations developing appropriate performance measures for governments: Government Accounting Standards Board and the Government Performance Project. The work of the Commission is attracting favor from across the state, the nation and the world.

## PRIORITIES FOR 1997-1998

- Publish the 1998 Florida Benchmarks Report
- Initiate cooperative efforts where separate state agencies conduct activities to accomplish similar outcomes
- Partner with local efforts to develop community quality of life measures





June 15, 1997

Dear Floridians:

Where should Florida be in the years 2000 and 2010? The Government Accountability to the People (GAP) Commission has taken the first step in setting state priorities to guide our decisions into the 21st century. We have sought opinions from hundreds of Floridians, using their ideas and insights as a foundation for the first *Critical Benchmark Goals* report.

Targets can motivate us, help us measure our success and show us where we need to work harder. All segments of society share this responsibility. Individuals and groups, the public and private sectors, paid professionals and volunteers — together, we can realize the highest possible quality of life for Florida.

The GAP Commission will use the *Critical Benchmark Goals* to encourage and monitor the success of state government's contribution to our well-being. We are challenging you to work with your neighbors to achieve, even surpass, the targets set for the years 2000 and 2010. Use these goals to help shape policy and funding decisions, make choices at the ballot box and develop innovative solutions in your own communities.

Floridians have the potential to fulfill our promise of greatness. Your participation can make the difference.

Sincerely,

Adelaide A. Sink  
Chairman

Sincerely,

Arnold A. Heggstad, Ph.D.  
Chairman, Goals Development Committee



## "HOW IS FLORIDA DOING?"

In February 1996, the GAP Commission published the first edition of *The Florida Benchmarks Report*, a report to the people of Florida on how the state is doing in seven major areas: *Families and Communities, Safety, Learning, Health, Economy, Environment and Government*. The Commission developed this report with extensive input from the general public, state agencies, and business/civic organizations. In addition, a volunteer task force of ten measurement experts from the public and private sector reviewed hundreds of measures. The two hundred seventy (270) that they recommended met ten pre-set criteria including validity, reliability and accuracy. Historical trends on these indicators show how Florida has progressed since 1980. The next logical question is "Where are we headed?"

## "WHERE SHOULD FLORIDA BE IN 2000 AND 2010?"

To focus attention on the most important Florida Benchmarks, the Commission selected 60 critical measures which it believed best reflected overall quality of life in Florida. Seven surveys were developed — one for each benchmark area (e.g., *Our Economy, Our Health*). These surveys displayed historical data for each critical indicator and, where available, comparative information on other states. A mailing list was compiled with the assistance of 95 organizations, such as the Florida Chamber Foundation, Florida League of Cities and the League of Women Voters, who were asked to identify people with a statewide interest and perspective on a broad range of issues relevant to each benchmark area. Surveys were mailed to 2,000 citizens in the fall of 1996. For each indicator, respondents were asked to use their personal judgment to set ambitious, yet realistic, goals for the years 2000 and 2010. More than 700 of the 2,000 people responded, some to more than one benchmark area, depending on their knowledge and interests. They shared excellent advice and expertise with us. Using their contributions, the GAP Commission set the goals for years 2000 and 2010 published in this report.

## "WHERE DO YOU WANT YOUR COMMUNITY TO BE IN 2000 AND 2010?"

An increasing number of communities in Florida are developing quality of life measures similar to the Benchmarks and setting goals for achievement. The Jacksonville Community Council, Inc. began tracking quality of life in Duval County in 1985. Now other counties are embarking on similar projects tailored to their communities — Hillsborough, Orange, Osceola, Broward, and Martin, to name a few. We have learned a great deal from them and believe you will too.

*For information about The Florida Benchmarks, the goal setting methodology or local benchmarking efforts, please contact the Commission staff at the following address:*



GAP Commission  
154 Holland Building  
Tallahassee, Florida 32399-0950  
(850) 922-6907 FAX (850) 921-2215

# VIOLENT AND NON-VIOLENT CRIME 2.1



"We have learned over time the importance of fighting the violent crime rate through early intervention and education. Let's keep up the good work and achieve the lowest percentage in crime yet by 2010."

Robin Russell

Office of the Clerk of the Courts

Orlando

"... to have a sustained effect, prisons need more work programs for the many prisoners who have not had meaningful work in their lives."

Gerald Abdul-Wasi

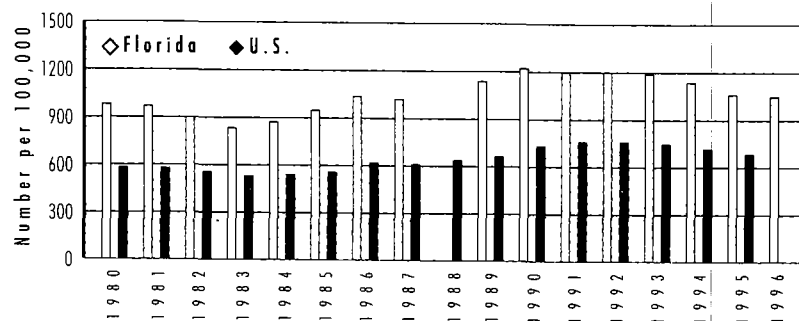
Florida Department of Corrections

Ft. Lauderdale

**WHY IS THIS IMPORTANT?** Crime exacts a devastating social and economic cost on our society. It violates our sense of right and wrong, imposes grave personal losses, and causes us to fear for our safety in our own communities. For business, it creates one more hurdle for survival. High-profile crimes, especially against visitors, threaten Florida's vital tourism industry. To deal with the problem, we siphon millions of dollars into prisons and programs for offenders that could be spent for education, health care, infrastructure, or other improvements to benefit the general population.

**HOW ARE WE DOING?** Florida's violent and non-violent crime rates have consistently decreased since the late '80s and early '90s, but are still significantly higher than U.S. rates. As of 1995, Florida had the highest violent crime rate in the nation. Violent crimes include murder, forcible sex offenses, robbery and aggravated assault. Non-violent crimes include burglary/breaking and entering, larceny/theft and motor vehicle theft.

## VIOLENT CRIME RATE BEGINS DECLINE BUT STILL HIGHEST IN NATION



### WHERE ARE WE GOING?

*Violent crime rate*

1996: 1,050

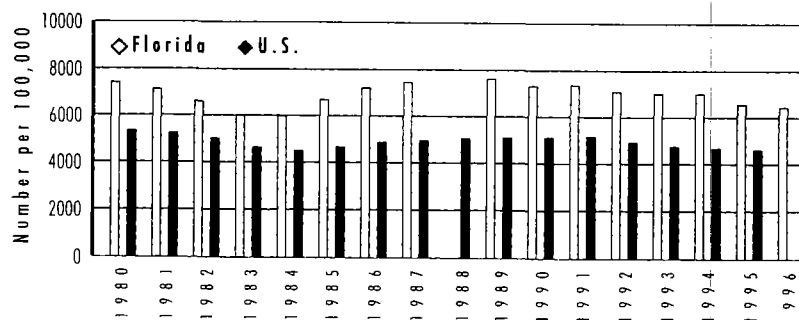
Goal 2000: 955

Goal 2010: 850

*Number of violent crimes reported to law enforcement (per 100,000 population)*

*Data source: Florida Department of Law Enforcement*

## NON-VIOLENT CRIME RATE SUSTAINS DECLINE SINCE 1989



### WHERE ARE WE GOING?

*Non-violent crime rate*

1996: 6,441

Goal 2000: 6,000

Goal 2010: 5,400

*Number of non-violent crimes reported to law enforcement (per 100,000 population)*

*Data source: Florida Department of Law Enforcement*

## JUVENILE ARRESTS 2.2



"Florida's arrest rates for juveniles are among the highest in the nation. What are we doing about root causes? How are we relating our arrest rates to poverty and the quality of education?"

James E. Mills  
Juvenile Welfare Board  
Pinellas Park

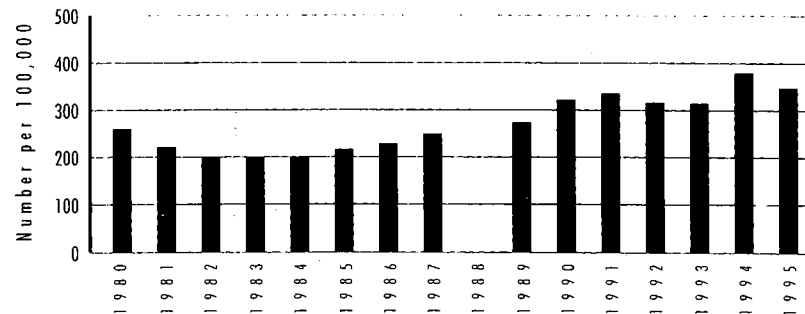
"The community should be implementing effective programs for at-risk youth before they become an arrest statistic."

Major Robert C. Oates  
Hillsborough County Sheriff's Office  
Tampa

**WHY IS THIS IMPORTANT?** Juvenile arrests reflect the success or failure of our educational and social efforts to raise law-abiding children. They also serve as an indicator of future crime rates.

**HOW ARE WE DOING?** Non-violent offenses (*burglary/breaking and entering, larceny/theft and motor vehicle theft*) account for the large majority of juvenile arrests. Between 1980 and 1995, the juvenile arrest rate for non-violent crimes decreased 25%. However, the juvenile arrest rate for violent crimes (*murder, forcible sex offenses, robbery and aggravated assault*) increased 34% during this time period, while the state's violent crime rate for the general population was declining.

### MORE JUVENILES ARRESTED FOR VIOLENT CRIMES



#### WHERE ARE WE GOING?

*Juvenile violent arrest rate*

1995: 346

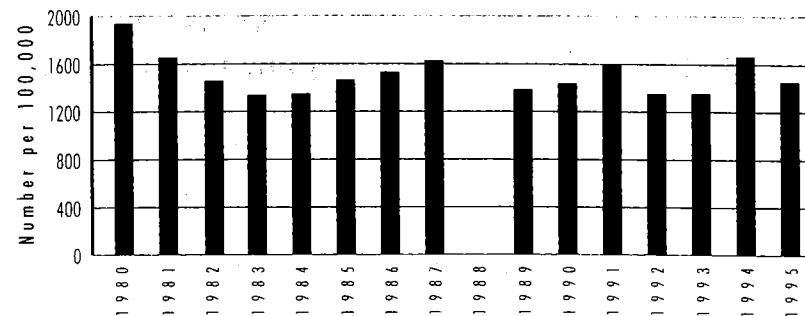
Goal 2000: 300

Goal 2010: 260

*Number of children taken into custody by police because they were suspected of committing a violent crime (per 100,000 children ages 10-17)*

Data source: Florida Department of Law Enforcement

### JUVENILE ARRESTS FOR NON-VIOLENT CRIMES DECREASE



#### WHERE ARE WE GOING?

*Juvenile non-violent arrest rate*

1995: 1,453

Goal 2000: 1,300

Goal 2010: 1,200

*Number of children taken into custody by police because they were suspected of committing a non-violent crime (per 100,000 children ages 10-17)*

Data source: Florida Department of Law Enforcement

## JUVENILE DELINQUENCY 2.3



"Juvenile crime is our most serious problem. We need to take the hard core recidivists out of circulation and concentrate on saving the balance through education and programs."

*Stephen H. Grimes*

*Florida Supreme Court Justice*

*Tallahassee*

"Ultimately, no juvenile crime and associated delinquency is desired, but those juveniles committing offenses should be bound by the consequences of their actions."

*Darcy Foster*

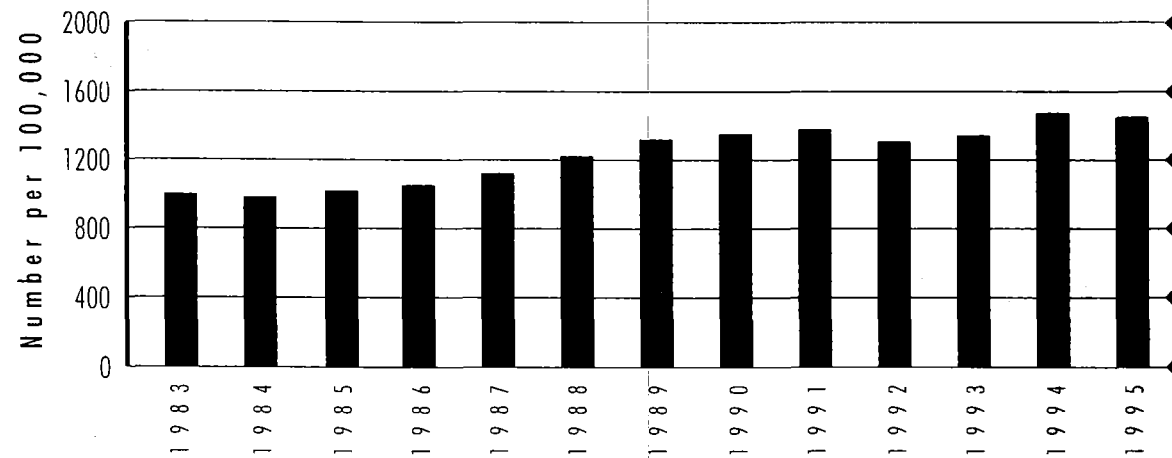
*Florida League of Cities, Inc.*

*Tallahassee*

**WHY IS THIS IMPORTANT?** Juvenile delinquency indicates whether families and communities have succeeded in helping troubled youth before court action is required for criminal offenses.

**HOW ARE WE DOING?** Florida's juvenile delinquency rate has been generally rising since 1983 and by 1995, was 46% higher than 1983 levels.

JUVENILE DELINQUENCY RATES ARE UP



### WHERE ARE WE GOING?

1995: 1,449

Goal 2000: 1,300

Goal 2010: 1,200

*Number of juveniles who were adjudicated delinquent, i.e., who, according to the court, have committed an offense that would be considered a crime if committed by an adult (per 100,000 children ages 10-17)*

*Data source: Florida Department of Juvenile Justice*

## FEAR FOR SAFETY 2.4



"While reality will show crime down  
and prisoners serving longer sentences,  
perception is that crime is running  
rampant."

Geoffrey Monge  
Sarasota County Sheriff  
Sarasota

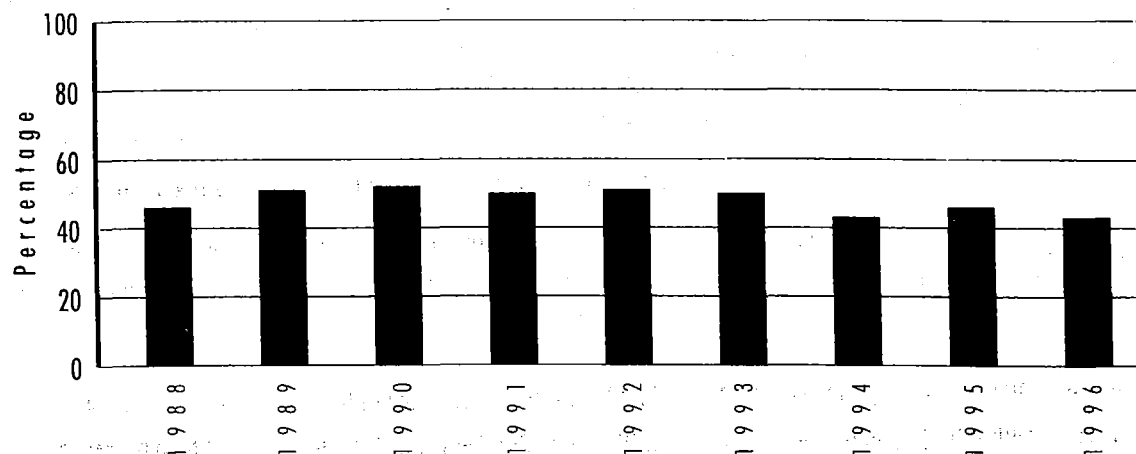
"As the news media continues to report  
public safety as a daily interest, the  
public's perception of personal safety  
erodes. Through certain programs —  
Neighborhood Watch, crime preven-  
tion, and an agency's Assigned Vehicle  
Program — these perceptions can be  
positively influenced."

Kay Ersch  
Orange County Sheriff's Office  
Orlando

**WHY IS THIS IMPORTANT?** Perceptions of safety have a dramatic effect on people's perceived quality of life. These perceptions also influence whether tourists and businesses want to visit or relocate to the state.

**HOW ARE WE DOING?** Between 1989 and 1993, about half of Floridians reported that they were afraid to walk alone at night in an area within a mile or so of their home. During the last three years (1994-96), this percentage has been somewhat lower (43% in 1996). However, it still indicates that a fairly large portion of people fear for their safety at night in or near their own neighborhood.

MANY FLORIDIANS FEEL UNSAFE IN OWN NEIGHBORHOOD



### WHERE ARE WE GOING?

1996: 43%

Goal 2000: 40%

Goal 2010: 35%

*By survey, the percentage of people age 18 and older who say they are afraid to walk alone at night in an area near where they live*

*Data source: FIU/Florida Poll, Florida International University*

# CHILD ABUSE/NEGLECT AND DOMESTIC VIOLENCE 2.5



"More funding is needed for children who come out of violent homes to prevent the intergenerational cycle from continuing."

Penny Morrill

Sunrise Domestic Violence  
& Rape Crisis Center  
Dade City

"As a society, Americans tolerate too much child abuse and neglect."

Marty E. Moore

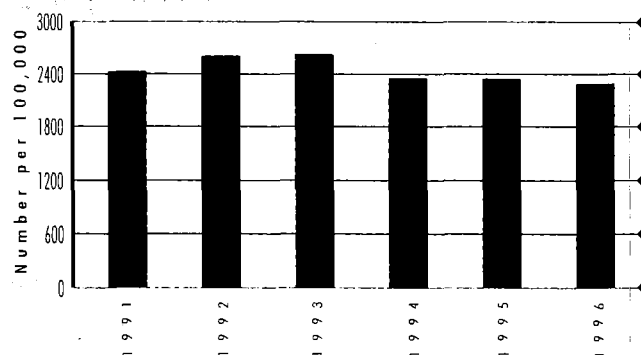
Office of the Attorney General  
Tallahassee

**WHY IS THIS IMPORTANT?** Happy children in a loving family are less likely to become delinquent, abuse drugs or become teen parents. Encouraging strong, loving families spares children suffering and saves the costs of foster care, economic assistance and medical treatment. Domestic violence takes a heavy toll on the victims, the family and the community. In 1996, more than 200 people were killed and more than 125,000 assaulted as a result of domestic violence in Florida.

**HOW ARE WE DOING?** The rate of child abuse and neglect in Florida has been slowly declining since 1991. However, as of 1996, the incidence of child abuse and neglect (2,283 per 100,000) was still twice as high as the violent crime rate for the general population (1,050 per 100,000).

The domestic violence murder rate has declined steadily since these data were first compiled in 1992. Nevertheless, in 1996, almost one in five people murdered in Florida (18%) were killed by a household or family member.

CHILD ABUSE AND NEGLECT RATE TWICE AS HIGH AS VIOLENT CRIME RATE



## WHERE ARE WE GOING?

*Child abuse and neglect victims*

1996: 2,283

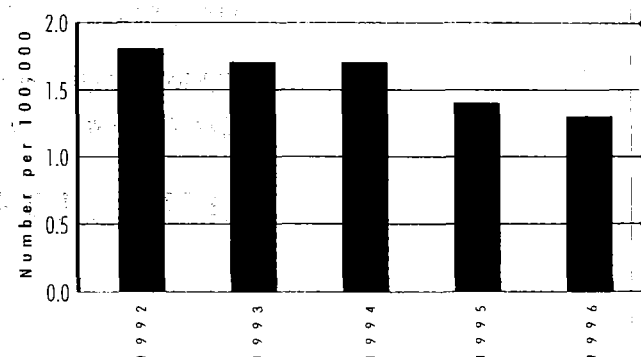
Goal 2000: 2,100

Goal 2010: 1,500

*Number of child abuse and neglect victims whose maltreatment was verified or found to have some evidence of occurrence (per 100,000 children under age 18)*

*Data source: Florida Department of Children & Families*

DOMESTIC VIOLENCE MURDER RATE IN SLOW DECLINE



## WHERE ARE WE GOING?

*Domestic violence murders*

1996: 1.3

Goal 2000: 1.2

Goal 2010: 1.0

*Number of people murdered by a family or household member (per 100,000 population)*

*Data source: Florida Department of Law Enforcement*

## DRIVING UNDER THE INFLUENCE (DUI) 2.6



**WHY IS THIS IMPORTANT?** In 1995, more than 1,100 people were killed in alcohol-related traffic accidents. Nationally, more than 17,000 fatalities and one million injuries in alcohol-related accidents cost an estimated \$45 billion, including \$7 billion in medical treatment.

**HOW ARE WE DOING?** The DUI arrest rate has decreased significantly over the last decade. As of 1995, the DUI arrest rate was less than half the rate reported in 1984.

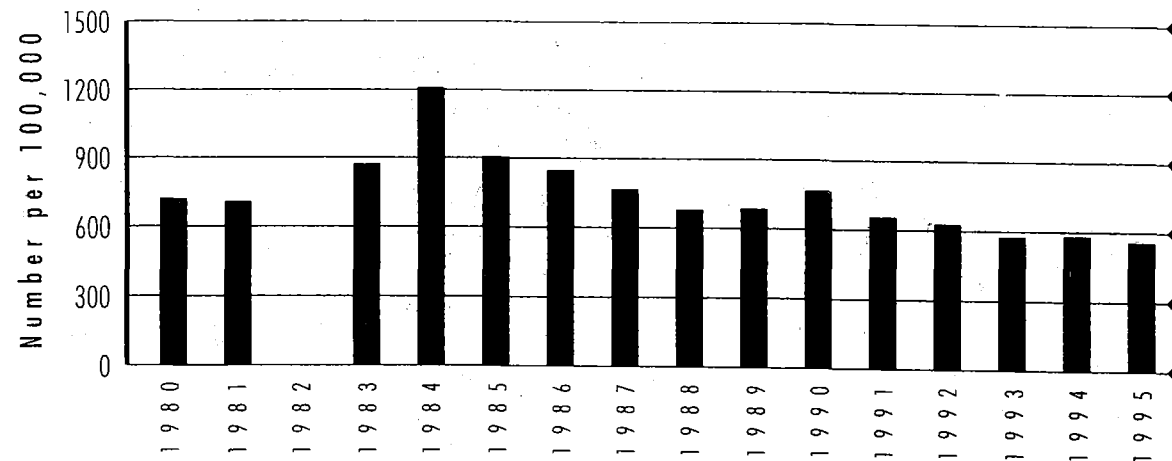
"Keep trend moving in this direction,  
Need more treatment and prevention for  
addiction."

Ernest Cantley, D.P.A.  
Stewart-Marchman Center  
Daytona Beach

"The public attitude has changed  
towards DUI as did smoking over the  
past 20 years. It's no longer viewed as a  
'boys will be boys' attitude but a  
potential killer."

D.A. Williamson  
Florida Department of Law Enforcement  
Tallahassee

DUI ARREST RATE DECLINES



### WHERE ARE WE GOING?

1995: 554

Goal 2000: 500

Goal 2010: 400

*Number of DUI arrests in Florida (per 100,000 population age 18 and older)*

*Data source: Florida Department of Highway Safety & Motor Vehicles*