AN INVENTORY AND ANALYSIS OF MONTGOMERY COUNTY GOVERNMENT'S STRATEGIC AND LONG RANGE FACILITY PLANS

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EXECUTIVE SUMMARY

A full service local government like Montgomery County traditionally engages in many types of planning, such as land use planning, facility planning, capital improvements programming, and strategic planning. This study includes an inventory of Montgomery County Government's strategic planning documents, and an analysis of the process, content and usefulness of long range facility plans. For the purposes of this study, OLO defined:

- A *strategic plan* as a document that establishes a sense of direction and creates a blueprint for the future. A strategic plan may address operating programs and/or capital facility needs.

- A *long range facility plan* as a type of strategic plan that projects the facilities a department needs to deliver its programs or services over a planning horizon of five years or more. A long range facility plan may address capital needs only or it may be part of a larger, more comprehensive strategic plan document.

The research suggests that the success and value of a strategic or long range facility planning effort relies primarily on the intangibles that surround the process, and not necessarily on the plan document.

The County Government administers a decentralized strategic planning effort that has produced a comprehensive set of 54 strategic plan documents. Eleven different departments prepared these documents and at least one document exists for each of the County's major service areas.

The County Government has 14 long range facility plans prepared by 8 different departments. These plans reflect a mix of longstanding and more recent efforts and address infrastructure needs across many service areas. County departments manage the long range facility plan process and planning approaches vary by department.

OLO found an effective system exists for site selection of new public facilities in the County, however factors outside of the County's control can influence where a facility is finally built. Additionally, an ad hoc pattern of coordination exists between the County Government's long range facility planning and the land use master plan process.

OLO recommends that the Council should:

- Develop a standard list of questions to help structure its future oversight of County Government strategic and long-range facility plans; and

- Convene a meeting to discuss opportunities to improve the coordination between the County Government's long range facility plan practices and the Planning Board's land use master plan process.

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I. INTRODUCTION

A. Authority

Council Resolution 15-281, adopted July 29, 2003, <u>FY 2004 Work Program of the Office of Legislative Oversight.</u>

B. Introduction

Thirty-five years ago, business leaders in the private sector coined the term strategic planning to refer to a set of concepts, procedures and tools managers used to allocate scarce resources, set priorities, and guide their organizations through periods of change. To undertake a strategic planning process, an organization conducted an environmental assessment, established an organizational vision, and implemented an action plan. Many private sector organizations embraced strategic planning because it offered a disciplined way to focus and transform an organization.

In contrast to the private sector, public sector organizations traditionally used a collection of overlapping, planning processes to develop a coherent, rational basis for decision making. For example, a full service local government like Montgomery County routinely engaged in budgeting, facility planning, capital improvements programming, and land use planning to set priorities and guide the County's delivery of services.

Fifteen years ago, in response to increasing concerns about results and accountability, some public sector organizations turned to strategic planning to help their managers think and act more strategically. Some organizations established an integrated management structure that linked planning, budgeting and a performance measurement system. Public leaders embraced strategic planning as an approach that allowed effective managers to exercise as much discretion as possible in areas under their control so that they could meet their mandates and satisfy their constituents.

C. Project Scope and Introduction

This study examines Montgomery County government's inventory of strategic plans and looks in-depth at 14 long range facility plans. For the purposes of this study, OLO defined:

- A *strategic plan* as a document that establishes a sense of direction and creates a blueprint for the future. A strategic plan may address operating programs and/or capital facility needs.

- A *long range facility plan* as a type of strategic plan that projects the facilities a department needs to deliver its programs or services over a planning horizon of five years or more. A long range facility plan may address capital needs only or it may be part of a larger, more comprehensive strategic plan document.

This report presents a brief overview of strategic planning concepts, compiles an inventory of the County Government's strategic and long range facility plans, and conducts an in-depth review of the 14 long range facility plans in the County Government's inventory. This study addresses three interrelated questions:

1. What is the inventory of Montgomery County Government's strategic and long range facility plans?

2. What does an in-depth review of 14 long range facility plans tell us about how these plans are prepared, adopted and used?

3. What does an in-depth examination of these 14 plans tell us about the County Government's ability to think and act strategically to meet its long range facility needs?

The scope of this review is limited to the plans and practices of the County Government. It does not address plans prepared by other County or bi-County agencies, such as land use master plans, functional plans or educational facility plans, although the County Government staff may participate in these studies.

D.   Methodology

OLO worked with staff in the Chief Administrator's Office to identify the County Government's inventory of strategic and facility plans and obtain copies of these plans. Next, OLO identified and reviewed the long range facility plans in detail. Finally, OLO interviewed County Government staff to understand how these plans were prepared and used.

E.   Organization of this report

This report is organized as follows:

> **Chapter II** defines strategic planning and describes the relationship between strategic planning and public sector management reform efforts.
> **Chapter III** presents guidelines for effective planning practices, adapted from the strategic planning literature.
> **Chapter IV** presents an inventory of the County Government's strategic plans.
> **Chapter V** introduces the County Government's inventory of 14 long range facility plans and discusses how these plans were prepared, reviewed and approved.
> **Chapter VI** examines the content of the County Government's long range facility plans.
> **Chapter VII** reports staff observations about the benefits and use of the long range facility plans.
> **Chapter VIII** presents OLO's findings; and
> **Chapter IX** presents OLO's recommendations

F.   Acknowledgments

OLO would like to thank the following individuals for their time and insights: Paul Folkers, Assistant Chief Administrative Officer; John Greiner and Martha Lamborn, Office of Management and Budget; Jim Resnick, Scott Gutshick, and Neil Shorb, Department of Fire and Rescue Services; Greg Bayor, Jeff Bourne, Rick Robinson, Doug Fox, and Bill Tyler, Department of Recreation; Bob Debernardis and Ron Rivlin; Department of Health and Human Services, Cindy Brenneman, Art Holmes, Bruce Meier, Dan Locke, Larry White, Emil Wolanin, and Bruce Mangum, Department of Public Works and Transportation; Barbara Norland, Department of Libraries; Alan Soukup, Department of Environmental Protection; Natalie Cantor, Mid County Regional Service Center; and John King, Nick Tucci, and Paulette Bowles, Montgomery County Police Department.

II.   AN INTRODUCTION TO STRATEGIC PLANNING CONCEPTS AND GUIDELINES

Thirty-five years ago, business leaders established strategic planning practices to allocate scarce resources, set priorities, and guide their organizations through periods of change. Fifteen years ago, in response to increasing concerns about results and accountability, some public sector organizations turned to strategic planning to help their managers think and act more strategically.

This chapter defines strategic planning and describes the strategic plan document and the strategic planning process. It also examines the role of strategic planning in some public sector reform efforts. Chapter III, beginning on page 9, presents guidelines for effective planning practices, adapted from the strategic planning literature.

A.   What is strategic planning?

John M. Bryson, the author of *Strategic Planning for Public and Nonprofit Organizations*, defines strategic planning as "a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does and why it does it." According to Bryson, a strategic planning effort is usually "action-oriented, with a strong emphasis on results."

B.   The strategic plan

An effective strategic plan establishes a sense of direction and creates a blueprint for the future. The content and format of a plan will vary, depending on the plan's intended use. A plan to establish a new organization may emphasize a mission statement, goals, objectives and guidelines; whereas a plan to resolve an operational issue may focus more on the costs and benefits of alternative solutions.

In its simplest form, a strategic plan can be an unwritten agreement between key decision makers about an organization's mission. In contrast, achieving coordinated action among a variety of organizational actors over time usually requires a formal, written plan. This type of plan represents an agreement among key actors, factions and coalitions, that allows everyone to keep track of what they should do and why they should do it.

A plan may include a description of user needs, a description of the planning process and/or plan methodology, a mission statement (with goals and objectives), estimated costs and/or funding sources, implementation timetables, a proposal for ongoing monitoring and follow-up activities, and a statement of approval from the governing board. The adoption of a plan allows the governing board of an organization to review and approve the strategies and plan document.

C.   The strategic planning process

The steps an organization follows to produce a strategic plan vary depending on the nature of the organization and the purpose of the plan. Typically, a strategic planning team will:

- Establish a vision;
- Conduct an assessment; and
- Create an action plan.

Establish a vision. At least two approaches exist to establish an organizational vision. In some cases, participants first describe what an organization should look like after a plan is implemented, and then identify the issues to be addressed. In other cases, participants first define a set of strategic issues at the outset of the process and then establish an organizational vision. Defining a desirable end-state creates an opportunity for an organization to shape its future. Without an urgent issue, however, it may be difficult for an organization to deliberately embrace radical change.

Conduct an assessment. Comprehensive strategic planning efforts include both internal and external assessments of an organization's operating environment.

- An internal assessment identifies an organization's core competencies, or the actions, strategies or resources it uses routinely to perform well.

- An external assessment helps an organization identify key success factors, or those things an organization must do to relate successfully to its external environment.

An organization with a performance measurement system can monitor inputs and outputs to identify its internal strengths and weaknesses. An organization that lacks performance criteria will find it difficult to evaluate alternative strategies or designs.

A governing board is usually better at identifying external threats than employees because of its role of relating the organization to the external environment. According to Bryson, most organizations are like ships trying to navigate in treacherous waters without radar because neither boards nor employees systematically scan their organizations or their operating environment. He recommends a formal assessment process to remedy this situation.

Create an action plan. An action plan lays out the steps to accomplish a strategic plan. An action plan is critical because implementation completes the step from strategic planning to strategic management. According to Bryson, an action plan should identify:

- Implementation roles and responsibilities;
- Specific objectives, results and milestones;
- Specific action steps;

- Schedules;
- Resource requirements and sources;
- Communication processes;
- Review, monitoring and midcourse correction procedures; and
- Accountability procedures.

Putting together an action plan creates a clear understanding of what needs to be done and when, why, and by whom. It provides assurance that the key features of an adopted plan are maintained during implementation.
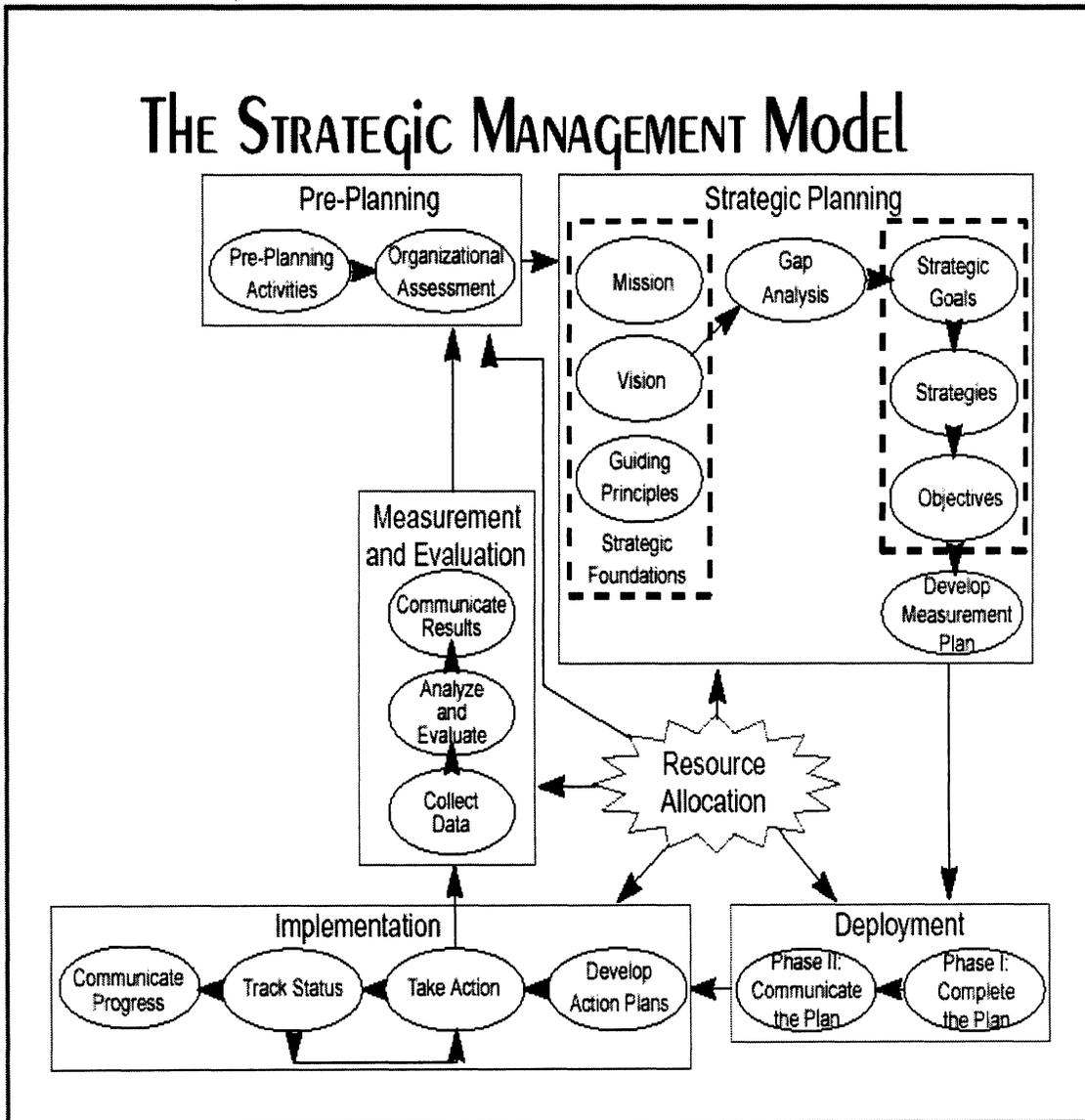
D. Strategic planning and public sector management reform efforts

During the last fifteen years, many governments at the federal, state and local level combined strategic planning and performance measurement systems to create a continuous process of "governing for results."

A "governing for results" management structure closely links strategic planning, budgeting and performance measurement systems. It uses strategic planning to identify desired goals; it relies on performance measures to monitor results and track achievements; and it uses results measures to make budgeting decisions. Over time, these systems are intended to clarify an agency's goals, priorities and accomplishments. They are also meant to improve accountability.

Exhibit 1 on page 7 shows how strategic planning fits into the larger context of a performance based management system.

The Strategic Management Model

Pre-Planning

- Pre-Planning Activities
- Organizational Assessment

Strategic Planning

Strategic Foundations
- Mission
- Vision
- Guiding Principles

- Gap Analysis
- Strategic Goals
- Strategies
- Objectives
- Develop Measurement Plan

Measurement and Evaluation

- Communicate Results
- Analyze and Evaluate
- Collect Data

Resource Allocation

Implementation

- Communicate Progress
- Track Status
- Take Action
- Develop Action Plans

Deployment

- Phase II: Communicate the Plan
- Phase I: Complete the Plan

Source: Department of the Navy Total Quality Leadership Office, Strategic Management for Senior Leaders: A Handbook for Implementation, Office Publication #94-02....

Research suggests that the establishment of an integrated results systems requires a substantial commitment of resources, and that efforts have achieved mixed success. For example,

- Maricopa County, Arizona implemented a managing for results system over a five year period. The County, which operates under a Commission-Administrator governance structure, initiated the effort in 1998 when it established a steering committee and requested six pilot departments to develop strategic plans with fully aligned performance measures. Subsequently, the County retained a consulting firm, prepared a strategic planning resource guide, and provided staff training to help all departments develop strategic plans that integrated planning, budgeting and performance measures.

  Next, the Board of Supervisors adopted a Managing for Results policy that linked future funding to mandatory department participation in the program. The Board of Supervisors also adopted a mission statement and a set of corporate strategic policies. In FY 2001, the Office of Management and Budget used these policies to evaluate departmental funding requests. The County also enhanced its financial accounting system so that its structure of accounts paralleled the programs, activities and services in each department's strategic plan.

- A report produced by the Florida Legislature's Office of Program Policy Analysis and Government Accountability reviewed state government performance-based budgeting programs for the Florida legislature. This study concluded that legislators should not expect performance-based budgeting to be a mechanistic, rational system that will replace the political process of making resource choices in a complex environment of competing demands. The study reported agencies face several inherently difficult tasks in setting up a performance based budget.[1] The study also indicates that using a strategic plan as the basis for budgeting would naturally produce plans that were more focused on what is achievable with current resources. As a result, over time, plans would become less change oriented, reducing their utility as a tool for long range, visionary thinking.

- In 1993, Congress passed the Government Performance Results Act. Since its enactment, the General Accounting Office (GAO) has reviewed implementation of the Act. The GAO identified several barriers to implementation, such as a lack of agreement on agency mission among key stakeholders, a lack of senior management involvement in the development of goals and measures, and a lack of analytical and technical staff capacity to develop and maintain performance measurement information.

Appendix A, © 1 provides a more detailed description of these examples.

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[1] First, agencies lack training to think in evaluative ways. Second, because the problems a government attempts to solve are often larger social concerns with many contributing factors, it is difficult to determine how to hold an agency directly responsible for changes in these problems. Finally, demonstrating the results of long term activities in the short run is also difficult.

III. GUIDELINES FOR EFFECTIVE PLANNING PRACTICES

John Bryson's book, *Strategic Planning for Public and Nonprofit Organizations,* contains many useful observations about strategic planning that address how planning relates to broader organizational issues. OLO adapted the following guidelines from Bryson's book and OLO's literature review. OLO believes these insights provide useful guidelines to help County departments think and act strategically.

> **GUIDELINE #1** - <u>Efforts to coordinate separate planning activities must recognize that, in practice, management systems operate as loosely organized units.</u>

Managers of large organizations sometimes hope planning can be used to create a comprehensive organizational structure. In theory, a multi-layered organization can develop a planning system that applies across sub-units, levels and functions. In practice, according to Bryson, planning systems usually do not integrate results across all sub-units because different parts of the organization are subject to different politics and operate on different time frames.

> **GUIDELINE #2** - <u>It is easier to manage a planning process in an organization if the decision makers belong to one organization or unit. It is more difficult to organize an effective planning process in a shared power context.</u>

The structure of an organization and its environmental setting influence the complexity and success of a planning process. Generally, it is easier get members of one unit together to make decisions, reconcile differences and coordinate implementation. It is more difficult to manage a successful planning process if the decision makers are outsiders or when the process addresses an interdepartmental function. In these cases, the process must address how to organize collective thought and action within an inter-organizational network in which no one person, group, organization or institution is fully in charge.

In these settings, more time must be invested in organizing discussion forums, involving diverse constituencies, negotiating agreements and coordinating the actions of relatively independent people. For example, a community-based process will be more iterative and take longer than a planning process within a single organization because there are more people involved and it will take more time to reach consensus. Bryson recommends establishing a committee or task force of key decision makers to sponsor a community-based planning process.

GUIDELINE #3 - <u>The senior leadership team has sole responsibility for setting the strategic direction of an organization.</u>

Bryson cautions against letting customers dictate an agency's strategic direction. He believes it is important to draw a clear distinction between soliciting community input and community-based decision making. He argues for a public participation process that solicits community input, while recognizing that the senior leadership team is in charge.

GUIDELINE #4 - <u>The success and value of a strategic or long range planning effort relies primarily on the intangibles that surround the process, and not necessarily on a document.</u>

No guarantee exists that a well managed planning process or a well written plan will automatically succeed. The research literature identifies five necessary ingredients for a successful effort: the right people, good data, preparation, a structured process, and adequate resources.

1. The "right people" include a process champion to manage the effort and a leader to give it legitimacy.
2. Good data refers to easy availability of relevant, hard data to describe the current situation.
3. Preparation suggests a planning team has thought ahead about the relevant questions to address, people to include and data to assemble.
4. A structured process is needed so that agreement exists on the roles, responsibilities and process before the process gets underway.
5. Adequate resources means that there must be enough time and money allocated to the process to get the job done.

In sum, the success of planning is enhanced if there is a "coalition of the willing" that is large enough and strong enough to formulate and implement strategies that deal effectively with key issues. In a local government organization, this initial group typically includes council members, the city manager, and key department heads. Middle management personnel may also be included because of their vital role in translating policies and decisions into operations. Technical people may be included because strategic change will directly affect their work.

GUIDELINE #5 - <u>The success of strategic planning is improved if an effective policy making body exists to link the plan to the areas where policies are adopted and decisions are made.</u>

Bryson stresses that policy making bodies can be most effective when they establish a set of policy objectives for the community they oversee and continually question how each recommendation serves the community's purposes, values and policies. As Bryson states, the process works only if enough key decision makers and planners support it and use it with common sense and sensitivity to the particulars of a situation.

For community-based plans, special efforts are necessary to make sure linkages are made between strategic or long range plans, comprehensive plans and other implementation devices such as the operating budget, the capital improvements plan and zoning.

GUIDELINE #6 - Planning is not a substitute for leadership.

Strategic planning helps leaders enhance organizational achievement; however, it is not a substitute for leadership. If an organization faces a leadership vacuum, the literature advises deferring a strategic planning effort until after the leadership issue has been resolved.

GUIDELINE #7 - Planning is not a substitute for strategic management.

Strategic planning is only useful to the extent that it improves strategic thinking and action. In fact, Bryson advises that if any particular approach to planning gets in the way of strategic thought and action, that planning approach should be scrapped. He cautions that too much attention to planning or an excessive reverence for plans can blind an organization to other unplanned, unexpected, yet incredibly useful sources of information, insight and action.

Bryson advises that the ultimate goal of planning should not be rigid adherence to a particular process or an insistence on the production of plans. Instead, it should promote wise strategic thought and action on behalf of an organization and its key stakeholders. What steps to follow, in what sequence, and whether or not to prepare formal plans are subsidiary concerns.

GUIDELINE #8 - Planning can be a waste of time if the organization lacks the skills, resources or commitment by key decision makers to produce a good plan.

Bryson observes that the paradox of strategic planning is that it is most needed where it is least likely to work and least needed where it is most likely to work. The strategic plan process will not yield benefits unless the leadership of the organization commits the organization to the outcome and supports the effort with resources. The Navy's Total Quality Leadership Office advises not to begin strategic planning unless the senior leadership team is committed to implementation because confusion will arise at the operational level.

IV. THE COUNTY GOVERNMENT'S INVENTORY OF STRATEGIC PLANS

This chapter summarizes information about Montgomery County Government's strategic plans. This study defines a strategic plan as any document that establishes a sense of direction and creates a blueprint for the future. Under the rubric OLO applied for this study a strategic plan may address operating programs and/or capital facility needs.

OLO worked closely with the Office of the Chief Administrative Officer (CAO) to identify and collect strategic plans. In September 2003, the CAO asked each department to provide a list and copies of its strategic or long range plan documents, particularly those with operating budget or capital program impacts. The CAO also provided OLO with a description of the County's Executive's strategic planning policy.

A.   The County Executive's strategic planning policy

At OLO's request, the CAO provided the following description of the County Executive's strategic planning policy:

> The County Executive encourages department directors and their staffs to think strategically and plan for the long term needs of Montgomery County and its residents. Department directors are given broad latitude in operating their departments. Some long range planning documents are legally required and departments update these on a regular schedule. Other departments have identified the need to create strategic or long range plans for their departments as a whole or for specific service areas. It is each department director's responsibility to develop the long range plans he or she feels are appropriate.

B.   Montgomery County Government's inventory of strategic plans

OLO compiled an inventory of 54 County Government strategic plans. The plans were published over a ten-year period from 1993 to 2003.

A review of this list shows that plans address many different services areas, and each service area has at least one plan. For example there are:

- 15 general government plans;
- 12 health and human service plans;
- 8 public works and transportation plans;
- 7 environment plans;
- 5 culture and recreation plans;
- 4 public safety plans and;
- 3 economic development and housing plans.

The collection of strategic plans also suggest departments prepare plans to address a variety of purposes. Specifically:

- Most plans in the inventory address individual services or functions within a department. For example, the health and human services plans address topics such as child welfare services, welfare reform, mental health services, early childhood services, linkages to learning, seniors, a space analysis and juvenile justice. Similarly, the public works and transportation plans address transit, highway services, recycling, and commuter services.

- Some departments, including the Police Department, the Department of Public Libraries, the Department of Fire and Rescue Services and Community Use of Public Facilities, have prepared department–wide strategic plans.

- Since FY 94, the Office of Management and Budget has published a fiscal plan document. These documents, which have evolved over time, display six year projections for the tax supported and non-tax supported funds of the agencies of the County Government. The plan documents project total uses of resources based on the capital program and also identify illustrative expenditure pressures, based on potential program initiatives.

In the last five years, Montgomery County governments developed and submitted performance measures as part of the County's budget process. To date, however, the County has not used its strategic plans to establish a managing for results system that would link its strategic planning efforts to its budgeting and performance measurement systems.

Table 1, beginning on page 14 contains a complete list of strategic plans by service area.

TABLE 1: INVENTORY OF THE COUNTY GOVERNMENT'S STRATEGIC PLANS BY SERVICE AREA

SERVICE AREA	#	PLAN TITLE	DEPARTMENT	DATE
CULTURE AND RECREATION	1	Public Libraries Strategic Plan	MCPL	2001
	2	Public Libraries Strategic Facilities Plan	MCPL	1997
	3	Aquatic Facility Plan	DOR	1997
	4	Recreation Facility Development Plan	DOR	1997
	5	Community Use of Public Facilities	CUPF	1998
ENVIRONMENT	6	Countywide Stream Protection Strategy	DEP	1998
	7	Annual Report NPDES Municipal Separate Storm Sewer System Permit	DEP	2003
	8	Forest Preservation Strategy	DEP	2000
	9	Environmental Assessment	DEP	2000
	10	Groundwater Protection Strategy	DEP	2001
	11	Energy Policy	DEP	2000
	12	Ten-Year Comprehensive Water Supply and Sewerage Systems Plan	DEP	2003
GENERAL GOV'T (TECHNOLOGY, BUDGET, AND OHR)	13	Office of Human Resources - Programs, Strategies, and Future Initiatives	OHR	2002
	14	Horizon 21, Information Technology Strategic Plan 1998	DTS	1998
	15	Horizon 21, Information Technology Strategic Plan 1999	DTS	1999
	16	Fiscal Planning: A Framework for Public Debate: FY 94 - 99	OMB	1993
	17	Fiscal Planning: A Framework for Public Dialogue FY 95 – 00	OMB	1994
	18	Update of Fiscal Projections FY 96 – 01	OMB	1995
	19	Fiscal Projections FY 97 – 02	OMB	1996
	20	Fiscal Projections FY 98 – 03	OMB	1996
	21	County Executive's Recommended Fiscal Plan FY 99 – 04	OMB	1998
	22	Looking Ahead Fiscally: FY 00 – 05	OMB	1999
	23	FY 01 – 06 Fiscal Plan	OMB	2000
	24	FY 02 – 07 Fiscal Plan	OMB	2001
	25	FY 03 – 08 Fiscal Plan	OMB	2002
	26	Countywide Strategic Facility Plan: Rockville Core Report	DPWT	2003
	27	Regional Services Centers Draft Facilities Strategic Plan	RSC	1995

SERVICE AREA	#	PLAN TITLE	DEPARTMENT	DATE
HEALTH AND HUMAN SERVICES	28	Partnerships for People: A Plan for the Future	DHHS	1999
	29	Accountability Strategic Plan	DHHS	2000
	30	Strategic Plan Child Welfare Services	DHHS	2002
	31	Improving the Health of Our Community	DHHS	N/A
	32	Framework for Effective Welfare Reform in Montgomery County	DHHS	1996
	33	A Strategic Plan for Mental Health Services	DHHS	2002
	34	Linkages to Learning Six Year Plan	DHHS	1999
	35	Montgomery County Early Childhood Initiative: Comprehensive Plan	DHHS	2000
	36	The Senior Initiative	DHHS	2001
	37	Charting the Right Course for the First Five Years: Report and Recommendations of the Early Childhood Task Force	DHHS	1998
	38	DHHS Facilities Analysis	DHHS	1996
	39	The Montgomery County Comprehensive Strategy: A Juvenile Justice Plan	DHHS	1994
HOUSING AND DEVELOPMENT	40	Montgomery County – The Place to Call Home	DHCA	2001
	41	Montgomery County Site Review for Technology Development	DED	2001
	42	Montgomery County: The IDEALocation, Strategic Plan for Our Community's Quality of Life and Economic Development	DED	2002
PUBLIC SAFETY	43	Police Strategic Implementation Plan	MCPD	2001
	44	Police Facilities Master Plan	MCPD	1997
	45	Fire, Rescue, and Emergency Medical Services Master Plan	DFRS	1994
	46	Countywide Strategic Facility Plan: Circuit Court Report	DPWT	2002
PUBLIC WORKS AND TRANSPORTATION	47	Strategic Transit Plan	DPWT	1997
	48	The Division of Highway Services Strategic Plan Draft	DPWT	2001
	49	Division of Public Works Strategic Plan	DPWT	1994
	50	A Plan Update to Achieve 50 Percent Recycling	DPWT	2003
	51	Commuter Service Section Strategic Plan	DPWT	1999
	52	Advanced Transportation Management System (ATMS) Strategic Plan – Deployment	DPWT	2001
	53	Go Montgomery! Transportation Plan for Our Future	DPWT	2002
	54	Ten-Year Comprehensive Solid Waster Management Plan	DPWT	2003

V.   AN OVERVIEW OF THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

Public facilities are those roadways, water and sewer lines, solid waste facilities, buildings, vehicles, and equipment that the County Government uses to deliver services. Over time, facilities must be located systematically, built in a timely manner, and provided at a level that enhances the overall quality of life. As a community develops, the County must not only fund facilities to support new growth but also pay for updating and renovating the existing infrastructure.

The process of planning, locating and building a public facility takes several years and requires coordination across multiple actors and organizations. How successfully or effectively a local government provides a system of public facilities depends, in part, on its ability to think and act strategically.

When OLO worked with the CAO to identify the County Government's strategic plans, OLO requested that the CAO ask each department to include long range facility plan documents with its submission of strategic plan documents. Given the nature of public facility planning, OLO hoped these plans would create a manageable sample of plans for in-depth study. The following three chapters present the results of OLO's in-depth review:

- This chapter identifies the County's inventory of long range facility plans and presents the practices departments use to prepare, review, approve and amend these plans.
- Chapter VI, beginning on page 27 examines the content of these plans and
- Chapter VII, beginning on page 35 reports staff observations about the usefulness and effectiveness of these plans.

A.   The Inventory of Long Range Facility Plans

For the purposes of this study, a long range facility plan is a type of strategic plan that projects the facilities a department needs to deliver its programs or services, using a planning horizon of five years or more. A long range facility plan may address capital needs only or it may be part of a larger, more comprehensive strategic plan document.

OLO identified 14 plans from the County Government's strategic plan inventory that met OLO's definition of a long range facility plan. Table 2 lists the plans by service areas and provides a brief summary of each plan.

The plan summaries show these plans address many of the County's capital infrastructure needs, including culture and recreation facilities, the water supply and sewerage system, the transportation system, the traffic management system, solid waste facilities, and public safety facilities.

TABLE 2: INVENTORY OF THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

CULTURE AND RECREATION		
Aquatic Facility Plan	1997	The Aquatic Facilities Plan serves as a capital programming guide for pools. The plan gives a snapshot of the availability and distribution of existing public indoor and outdoor pools in Montgomery County, identifies un-served regions, and suggests a prototype facility for the future.
Montgomery County, MD Department of Libraries Strategic Facilities Plan, Fiscal Year 2001-2004	1997	The Library Facilities Plan serves as a capital programming guide for the renovation of existing libraries and the development of new facilities. The plan profiles current library facilities, establishes a timetable for renovations, and identifies areas where new facilities may be needed because of program changes or population growth. The plan ties into the mission, values, and vision, stated in the Strategic Plan for Libraries for FY 1996 – 2001.
Recreation Facility Development Plan, Fiscal Year 1997-2010	1997	The Recreation Facilities Plan serves as a capital programming guide for recreation centers. The plan updates the proposed size, features and service area standards for a prototype recreation center, which were recommended in a 1988 study. The plan makes specific recommendations for the development of new centers and renovations to existing centers. The plan recommends a 15 year plan to phase the development of new facilities and renovations to existing facilities and uses this schedule to estimate long term operating budget impacts.
ENVIRONMENT		
Ten-Year Comprehensive Water Supply and Sewerage Systems Plan, 2003-2012	2003	The Water and Sewer Plan serves as a capital programming guide for water and sewer facilities. The plan provides "an overview of the planning policies, needs, issues and planned infrastructure related to community and individual water and sewerage systems, public health, environmental protection and land use issues in Montgomery County. It is intended to provide both background information and a planning basis for the evaluation of water supply and sewerage system needs in the county. It is also expected to allow a more thorough context for developing, analyzing, and evaluating the issues related to the review and implementation of the Capital Improvement Program (CIP), including the timing and funding of identified projects." State law requires the County to prepare a comprehensive update of this plan every three years.

GENERAL GOVERNMENT		
Countywide Strategic Facility Plan: Rockville Core Report	2003	The Rockville Core Report projects the staff and space requirements of the County Executive and Council departments/subsets within the "Rockville Core" over a 20-year planning horizon. The report looks at the existing inventory of County owned and leased buildings and projects space shortfalls based upon County space standards. The plan identifies criteria for locating in the Core, estimates expansion potential based upon current zoning requirements, documents department/subset operations and functions, and addresses technology issues and adjacency requirements.
Regional Services Centers Draft Facilities Strategic Plan	1995	The Regional Services Center (RSC) Facilities Plan proposes a 20-year facility implementation plan for the County Government's Regional Services Centers. The plan provides a history of how the existing service centers were established and documents the demographics, service area boundaries, and services delivered at the current centers. The plan defines a set of core programs and facilities that should be common to all service centers and uses demographic growth forecasts to develop a snapshot of the proposed regions and service centers for the year 2015. The plan recommends increasing the number of regions and centers from five to nine centers and proposes a four phase implementation plan to time the development of new facilities.
HEALTH AND HUMAN SERVICES		
Department of Health and Human Services Facilities Analysis	1996	The DHHS Space Analysis identifies the office space requirements and facility needs created by the reorganization of the Department of Health and Human Services (DHHS) in 1996. The plan identifies the locations of the departments' existing programs and facilities, examines opportunities for co-locating and consolidating certain facilities and offices, and proposes four options for fitting the restructured HHS into existing and leased space. The plan evaluates and ranks the four options using planning objectives developed by DHHS.
The Montgomery County Comprehensive Strategy: A Juvenile Justice Plan	1995	The Juvenile Justice Strategy develops a comprehensive strategy to address juvenile justice issues in Montgomery County. The development of this plan was part of a larger effort by the State of Maryland to apply a model developed by the U.S. Department of Justice (DOJ). The DOJ model proposes the use of community-based efforts to prevent delinquency and respond to serious, violent and chronic juvenile offending. The model simultaneously aims to reduce risk factors and strengthen protective factors and uses outcome based planning to provide a framework for targeting risk factors. In Montgomery County, the Steering Committee reviewed 70 outcome based goals and selected 10 first-year outcome based goals for the Juvenile Justice Plan. This plan qualifies as a long range facility plan because it recommends the need for a juvenile justice assessment center.
PUBLIC SAFETY		
Fire, Rescue, and Emergency Medical Services Master Plan	1994	The Fire and Rescue Plan serves as an operational and capital programming guide for the Department of Fire and Rescue Services (DFRS). The plan provides a comprehensive description of DFRS services and examines the trends and factors affecting the demand for services. The plan contains several recommendations to provide a desired level and quality of service. The recommendations address service demand, the delivery of emergency services, life safety services, fire and rescue personnel, facilities, vehicles and equipment, communication and data systems, and future planning. County law requires the adoption of a master plan and requires an amendment every five years.

TABLE 2: INVENTORY OF THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS CONT.

		PUBLIC SAFETY CONTINUED
Montgomery County MD Police Facilities Master Plan	1997	The Police Plan serves as a capital programming guide for County police facilities. The plan projects county-wide demand for police services through 2016, and determines operational, staffing and facility needs. The plan recommends the creation of a new police district and a new station, replacement and relocation of four existing district stations; the establishment of district satellite facilities; development of a new County Police Center (CPC); and renovation and expansion of the Public Services Training Academy.
Countywide Strategic Facility Plan: Circuit Court Report	2002	The Circuit Court report projects caseload, judgeships, space requirements, and space shortfalls for the departments of the Circuit Court over a 20 year planning horizon. The report documents departmental/subset functions and addresses planning and technology issues and adjacency requirements. The study developed five facility scenarios and selected one, based on operating issues, cost, ease of construction, and timeliness.
		PUBLIC WORKS AND TRANSPORTATION
Montgomery County Advanced Transportation Management System (ATMS) Strategic Plan – Deployment	2001	The ATMS Plan serves as a capital programming guide for the County's ATMS system. The plan is the second of two documents that comprise the ATMS Strategic Plan. The first document defines the County's visions, goals and strategies for managing congestion and the relationship of the County's Strategic ATMS plan to the national and regional architecture. This plan provides a description of the ATMS major subsystems and elements, presents the projected budgets for implementation and deployment, and identifies proposed funding requirements for implementation as defined in the strategic plan.
Go Montgomery! Transportation Plan for Our Future	2002	The Go Montgomery! Plan serves as a capital programming guide for high priority highway and transit projects to relieve traffic congestion. The plan identifies six goals and recommends a $1 billion plan for transit, roads, hiker/biker/pedestrian trails and traffic safety components. The plan lists specific projects to be funded and also identifies priority state projects. The plan proposes incentives to encourage telecommuting and recommends tax and fee increases and a development impact tax to fund the proposed projects.
Ten-Year Comprehensive Solid Waste Management Plan	2003	The Solid Waste Plan serves as a capital programming guide for solid waste facilities. The plan describes the County's programs for managing solid waste generated by the residential, commercial, institutional, industrial, and agricultural sectors. The plan estimates the amount of solid waste the County will generate over the next ten years, based on household and employment forecasts. It describes the capacity of the County's solid waste disposal systems and acceptance facilities and estimates the collection and disposal of solid waste by public or private entities in the County over the next ten years. The plan uses this information to determine the need for additional facilities and/or changes to collection and disposal practices. State law requires the County to prepare a comprehensive update of this plan every three years.

Three of the long range facility plans fulfill legal requirements in State or County law. Eleven plans were initiated by County departments, absent any legal requirements.

> ➢ The Solid Waste plan fulfills a State requirement, Subtitle 5, Article 9 of the Environmental Article of the Annotated Code of Maryland;

> ➢ The Water and Sewer plan satisfies a State requirement, Subtitle 5, Title 26, Chapter 1 of the Environmental Article of the Annotated Code of Maryland; and

> ➢ The Fire and Rescue plan meets a legal requirement found in Montgomery County Code Chapter 21, Section 4-1.

County staff published the first long range facility plan in 1972 and the most recent plan in 2003. The long range facility plans reflect a mix of older and more recent efforts. As Table 3 shows, three plans were first published in the seventies, two in the eighties, five in the nineties and four after the year 2000.

TABLE 3: PUBLICATION DATES OF INITIAL LONG RANGE FACILITY PLANS

TITLE	DATE OF INITIAL PLAN
Aquatic Facilities Plan	1974
Libraries Facilities Plan	1984
Recreation Facilities Plan	1988
Water and Sewer Plan	1973
Regional Services Centers Facilities Plan	1995
DHHS Space Analysis	1996
Juvenile Justice Plan	1999
Police Facilities Plan	1997
Fire and Rescue Plan	1994
ATMS Plan	2001
Go Montgomery! Plan	2002
Solid Waste Plan	1972
Rockville Core Plan	2003
Circuit Court Report	2002

The plans also reflect a mix of ongoing and one-time planning efforts. The one-time efforts, which generally addressed a unique or urgent issue, include the DHHS Space Analysis, the Juvenile Justice plan, the Go Montgomery! plan, the Rockville Core Plan, and the Circuit Court Report.

The ongoing planning efforts consist of an initial plan document and a subsequent amendment or update. These efforts include the Aquatic plan, the Libraries plan, the Recreation plan, the Water and Sewer plan, the RSC plan, the Fire and Rescue plan, the Police plan, the ATMS plan and the Solid Waste plan.

TABLE 4: ONE-TIME AND ONGOING LONG RANGE FACILITY PLANS

TITLE	ONE-TIME	ONGOING
Aquatic Facilities Plan		✓
Libraries Facilities Plan		✓
Recreation Facilities Plan		✓
Water and Sewer Plan		✓
Regional Services Centers Facilities Plan		✓
DHHS Space Analysis	✓	
Juvenile Justice Plan	✓	
Police Facilities Plan		✓
Fire and Rescue Services Plan		✓
ATMS Plan		✓
Go Montgomery! Plan	✓	
Solid Waste Plan		✓
Rockville Core Plan	✓	
Circuit Court Report	✓	

B.   Plan Preparation

Most department staff draft their own plans, collaborating with other County departments and agencies, as needed. Five departments hired a consultant to draft their plan and one department hired a consultant to compile the information that staff used to write the plan.

- Departments that draft their own plans generally seek technical assistance or review from the Office of Management and Budget (OMB), Facilities and Services in the Department of Public Works and Transportation (DPWT) and the Regional Service Center (RSC) Directors. They may also consult with Maryland National Capital Park and Planning Commission (M-NCPPC) and/or the Washington Suburban Sanitary Commission (WSSC).

- DPWT, acting as project manager, retained a consulting firm, Vitetta, to draft the Regional Services Center plan, the Police plan, the DHHS Space Analysis, the Rockville Core Plan, and the Circuit Court Report. In each case, County staff worked closely with the consultant in preparing the draft.

- Staff in DPWT who drafted the ATMS plan retained the services of Public Technology Inc. (PTI) and its groupshare software to collect and organize the relevant technical information. Another consultant analyzed this information and passed it back to ATMS staff who wrote the final document.

- The Rockville Core Report had a management group lead by the Senior Assistant CAO, with DPWT as project manager, and representatives from OMB, the Council, other major County departments, the City of Rockville and M-NCPPC. The County Council's Management and Fiscal Policy Committee received periodic briefings during the planning process.

- The Circuit Court Report had a management group lead by an Assistant CAO with DPWT serving as project manager, and representatives from the Circuit Court, OMB and Council representatives. During the process, the management group briefed the County Council's Management and Fiscal Policy Committee, judges, Court departments and the Criminal Justice Coordinating Committee.

TABLE 5: AUTHORSHIP OF THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

TITLE	CONSULTANT	COUNTY STAFF
Aquatic Facilities Plan		✓
Libraries Facilities Plan		✓
Recreation Facilities Plan		✓
Water and Sewer Plan		✓
Regional Services Centers Facilities Plan	✓	
DHHS Space Analysis	✓	
The Juvenile Justice Plan		✓
Fire and Rescue Plan		✓
Police Facilities Plan	✓	
ATMS Plan	✓	✓
Go Montgomery! Plan		✓
Solid Waste Plan		✓
Rockville Core Plan	✓	
Circuit Court Report	✓	

C.   Public Input

The process for seeking public input in the development of a plan varies by department, depending on whether a plan is an internal document and/or a department's assessment of whether public input is warranted. Most departments seek public input as part of the draft plan review process. For plans that are not deemed to be internal documents, the methods for seeking public input include the following:

Advisory board – An advisory board is a group of citizens who are charged with advising a department on its operations and programs. Advisory boards may be established formally or informally. Frequently, the members are appointed by the County Executive and approved by the County Council. Citizen advisory boards meet regularly and a department usually provides staff support to the board. Department staff may present a draft plan at an advisory board meeting and request feedback from the board members.

Public forum – A public forum is an open public meeting. A department may decide to hold a public meeting to solicit comments about a plan. The department may choose to sponsor this meeting or staff may ask the advisory board to sponsor it.

Focus group – A focus group is a meeting of invited participants, formally structured to solicit opinions about specific issues. A department may convene a focus group to solicit input from its key stakeholder groups.

Survey – A survey is a solicitation of individual perceptions about an issue. Many survey methods exist such as telephone or mail surveys. Surveys may be informal or they may be structured to produce statistically valid results.

Although departments use several methods to seek input, most rely on standing citizen advisory boards to review the draft plan and provide feedback. The following bullets summarize the approaches used to seek public input:

➤ Staff collected public input through standing advisory boards for the Regional Services Centers plan, the Libraries plan, the Recreation plan, the Aquatics plan and the Circuit Court Report. For example, Recreation staff held public forums sponsored by the Recreation Advisory Boards to address the proposed development sequencing for recreation centers. Similarly, in preparing the Library plan, the library director consulted with members of the local library advisory committee to conduct an in-depth facility assessment and identify evolving community service and program needs.

➤ The Fire and Rescue Commission (FRC) conducted a telephone survey of 5,000 County residents to assess community perceptions and satisfaction with existing fire and rescue services.

➤ The County Executive sent a letter to 100 stakeholders requesting their participation in the preparation of the County's Juvenile Justice Plan. Staff also held focus groups with juveniles who had been or were currently in the juvenile justice system.

➤ Staff prepared the ATMS plan, the DHHS Space Analysis, the Go Montgomery! plan, the Rockville Core Plan, and the Police plan without any direct public input. (Note: The 1997 Police plan did not have any public input; however MCPD placed a draft of its 1999 plan in public libraries for comment and held a public forum. The Go Montgomery! plan did not have a public input process; however, the plan represented the County Executive's response to the Planning Board's Transportation Policy Report (TPR) which had extensive community involvement. The County Council held two public forums on the TPR in early 2002 before the Go Montgomery! plan was published in mid-2002.)

PLAN TITLE	ADVISORY BOARD	PUBLIC HEARING	PUBLIC FORUM	FOCUS GROUPS	SURVEY	NONE
Aquatic Facilities Plan	✓					
Libraries Facilities Plan	✓					
Recreation Facilities Plan	✓		✓			
Water and Sewer Plan	✓	✓				
Regional Services Centers Facilities Plan	✓					
DHHS Space Analysis						✓
Juvenile Justice Plan				✓		
Fire and Rescue Plan		✓			✓	
Police Facilities Plan			✓			✓
ATMS Plan						✓
Go Montgomery! Plan						✓
Solid Waste Plan	✓	✓				
Rockville Core Plan						✓
Circuit Court Report	✓					

D.   Plan Review and Adoption Process

All draft plans received both an internal staff technical review as well as an external review by public officials. The County Council held a formal public hearing for three plans. In sum:

> County staff frequently distributes plans to other departments or agencies for technical review. The most frequently mentioned partners were OMB, DPWT-DFS, and M-NCPPC.

> The County Executive reviewed all plans; however, the nature of the review varied. In some cases, staff met with the Executive to brief him on the plan's content and issues. In other cases, the department forwarded the written plan for review and incorporated any written comments in the final plan.

> The County Council reviewed all of the plans, usually through a Council Committee. As required by State or County law, the Council held a public hearing for the Solid Waste plan, the Water and Sewer plan and the Fire and Rescue plan, and adopted a resolution to approve each of these plans.

TABLE 7: THE REVIEW AND ADOPTION PROCESS FOR THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

PLAN TITLE	REVIEWED BY		ADOPTED BY
	COUNTY EXECUTIVE	COUNCIL COMMITTEE	COUNCIL RESOLUTION
Aquatic Facilities Plan	✓	PHED	No
Libraries Facilities Plan	✓	HHS	No
Recreation Facilities Plan	✓	PHED	No
Water and Sewer Plan	✓	T&E	Yes
Regional Services Centers Facilities Plan	✓	MFP	No
DHHS Space Analysis	✓	HHS	No
Juvenile Justice Plan	✓	HHS	No
Fire and Rescue Plan	✓	PS	Yes
Police Facilities Master Plan	✓	PS	No
ATMS Plan	✓	T&E	No
Go Montgomery! Plan	✓	T&E	No
Solid Waste Management Plan	✓	T&E	Yes
Rockville Core Plan	✓	MFP	No
Circuit Court Report	✓	MFP	No

D.   Plan Amendments

Nine of the plan documents which OLO reviewed are part of a longstanding, ongoing planning process[2]. In some cases, e.g. Libraries, Water and Sewer and Solid Waste, departments have been preparing long range facility plans for twenty or thirty years.

State law requires the County to update the Water and Sewer plan and the Solid Waste plan every three years. County law requires staff to update the Fire and Rescue plan every ten years. Other plans do not have a formal amendment schedule; however, many plan updates are currently underway.

In November 2003, the Council completed its review of the 2003 Water and Sewer plan amendment. In 2004, the Council will receive six plan updates for review. The Police Facilities plan will be ready for Council review in 2004 or 2005. Table 8 lists the required amendments and anticipated updates.

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[2] As mentioned on page 20 the one-time long range facility plan efforts include the DHHS Space Analysis, the Juvenile Justice plan, the Go Montgomery! plan, the Rockville Core Plan, and the Circuit Court Report.

TABLE 8: AMENDMENT REQUIREMENTS AND SCHEDULED UPDATES

PLAN TITLE	DATE OF ORIGINAL PLAN	UPDATE REQUIRED?	NEXT COUNCIL REVIEW
Aquatic Facilities Plan	1974	No	2004
Libraries Facilities Plan	1984	No	2004
Recreation Facilities Plan	1988	No	2004
Water and Sewer Plan	1973	Yes	2006
Regional Services Centers Facilities Plan	1995	No	TBD
Fire and Rescue Plan	1994	Yes	2004
Police Facilities Plan	1997	No	TBD
ATMS Plan	2001	No	TBD
Solid Waste Plan	1972	Yes	2004
Rockville Core Plan	2003	No	2004
Circuit Court Report	2002	No	TBD

VI.   A CONTENT ANALYSIS OF THE LONG RANGE FACILITY PLANS

Local governments typically prepare public facility plans to identify when and where facilities will be needed and how much they will cost. The public facility planning process usually requires knowledge about:

- The program of requirements or facility prototype,
- The amount and location of future growth or development, and
- The standards that must be met to achieve quality service.

With this information, staff can develop a long term facility plan that identifies when and where new facilities will be needed, and when renovations to existing facilities will be needed. Staff can use this schedule to estimate a plan's long term fiscal and operating budget impacts.

This chapter examines how the County's long range facility plans address some common elements, such as purpose statements, the use of forecast data, and budget and fiscal impacts. Given the importance of linking plans to other decision making processes, it also looks at linkages to land use master plans and the capital improvements program.

A.   Purpose statements

The County's long range facility plans address many different types of facilities. As a result, the plans contain many different purpose statements. Table 9, on page 29, displays the purpose statements and elements in each plan. All of the 14 long range facility plans fulfill one or more of the following purposes:

- Determine *future* program or facility needs, given population or employment changes (14 plans),
- Describe *existing* programs or facilities (13 plans),
- Provide direction to decision makers to guide *future* capital improvement decisions (10 plans),
- Describe future budget/fiscal impact of future facility needs (8 plans),
- Define prototype facilities[3] (4 plans),
- Fulfill legal requirements (3 plans).

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[3] A prototype facility identifies a set of generic planning, building and space specifications that meet specific service delivery requirements. Some departments which deliver services throughout the County have established prototype facilities.

B.   The source and use of forecast data

Most plans incorporate forecast data. Generally, the source of this data differs from plan to plan. Most plans use cooperative forecasts[4] from M-NCPPC; however, some plans report they used M-NCPPC estimates. Other plans reference a M-NCPPC study as their source of data.

In a few cases, the date of the forecast corresponds with the date of the plan, suggesting the forecasts were current when the plan was published. In other cases, there is as much as a three year gap between the date the forecast data was created and the date the plan was published. Many plans do not provide a date for their forecast data.

The use and significance of the forecast data varies from plan to plan. In some plans, a direct link exists between the forecast data, the adopted service standards and the plan recommendations. In other plans, the forecast data provide interesting background information but do not link directly to the plan recommendations or the outcome of the plan.

Table 10, on page 30, summarizes the use of technical and forecast data in the County's long range facility plans.

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[4] The Washington Metropolitan Council of Governments administers a cooperative forecast process for the Washington Metropolitan region that estimates the growth in population, households and employment. The forecast is updated periodically.

TABLE 9: COMMON PURPOSE/ELEMENTS OF THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

Plan Title	Purpose/Elements					
	Determine *future* program or facility needs given population or employment changes	Describe *existing* programs or facilities	Provide direction to decision makers and guide *future* capital improvement decisions	Describe budget and fiscal impact of future facility needs	Define prototype facilities	Fulfill legal requirements
Aquatic Facilities Plan	✓	✓	✓		✓	
Libraries Facilities Plan	✓	✓	✓		✓	
Recreation Facilities Plan	✓	✓	✓	✓	✓	
Water and Sewer Plan	✓	✓	✓	✓		✓
Regional Services Centers Facilities Plan	✓	✓				
DHHS Space Analysis Services	✓	✓				
Juvenile Justice Plan	✓	✓				
Fire and Rescue Plan	✓	✓	✓	✓		✓
Police Facilities Plan	✓	✓	✓	✓	✓	
ATMS Plan	✓	✓	✓	✓		
Go Montgomery! Plan	✓		✓	✓		
Solid Waste Management Plan	✓	✓		✓		✓
Rockville Core Plan	✓	✓	✓			
Circuit Court Report	✓	✓	✓	✓		
Total	14	13	10	8	4	3

TABLE 10: FORECAST DATA IN THE COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

Plan Title	Data Elements				
	Does the plan report forecast data?	What is the data source?	Date of forecast	Date of Plan	Relationship between forecasts, service standards and determination of facility needs
Aquatic Facility Plan	No	N/A	N/A	N/A	N/A
Libraries Strategic Facilities Plan	Yes	M-NCPPC Coop. Forecast Round 5.3	April 1996	Sept 1997	Plan uses forecast data to determine need for and general location of future facilities based on a standard of 5,000 people for a branch library, 16,000 people for a community facility and a 80% of customers living within a two-mile radius.
Recreation Facility Development Plan	Yes	M-NCPPC Study	April 1994	June 1997	Plan uses forecast to justify number of centers based on a standard of one center for 30,000 people.
Water and Sewer Plan	Yes	M-NCPPC Coop. Forecast Round 6.2	2000	2003	Plan uses M-NCPPC Round 6.2 population forecasts and current water use factors for single family dwelling units, multi-family dwelling units and employees to project water demand through 2020.
Regional Services Centers Draft Facilities Strategic Plan	Yes	M-NCPPC estimate	No date	1995	Plan uses population forecast data to define the number and location of future service areas.
Space Analysis for Department of Health and Human Services	Yes	M-NCPPC estimate	No date	1996	Plan focuses on internal office and program adjacencies more than demographic factors affecting service delivery.
The Montgomery County Juvenile Justice Plan	No	N/A	N/A	N/A	Plan uses historical demographic changes to generally describe trends that will affect need for Juvenile Justice programs.
Fire, Rescue, and Emergency Medical Services Master Plan	Yes	M-NCPPC Coop. Forecast Round 5	1994	1994	Plan presents forecasts but uses volume of calls per service to determine facility need and location.
Police Facilities Master Plan	Yes	M-NCPPC projections	1997	1997	Plan reports population forecasts but uses calls for service to determine future facility needs. Increase in upcounty calls for service used to justify new 6th district.
Advanced Transportation Management System Strategic Plan	No	N/A	N/A	N/A	N/A
Go Montgomery! Transportation Plan for our Future	No	N/A	N/A	N/A	Plan reports projected changes in population and travel time based on 25 year regional forecast.
Comprehensive Solid Waste Management Plan	Yes	M-NCPPC Coop. Forecast Round 6.2	2000	2003	Plan uses population and employment forecasts to project tons of waste and compares that to capacity.
Rockville Core Plan	Yes	M-NCPPC Projections	N/A	2003	Plan uses both M-NCPPC data for population growth and past growth data for departments.
Circuit Court Report	Yes	M-NCPPC Projections and other	N/A	2002	Plan uses both M-NCPPC data for population plus other data from judicial reports.

C.   Budget and fiscal impacts

Over half of the long range facility plans address the budget and fiscal impacts of the plans' proposed recommendations. Some of these plans include a detailed fiscal assessment; others refer the reader to another document for fiscal information. These references to other information sources vary in their completeness.

TABLE 11: BUDGET AND FISCAL IMPACTS IN COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS

PLAN TITLE	DOES PLAN ADDRESS FISCAL IMPACTS?	COMMENTS
Aquatic Facility Plan		Plan states it is difficult to project the fiscal impact and suggests using recent projects to forecast future costs.
Libraries Facilities Plan		Plan proposes renovation schedule but does not estimate any budget or fiscal impacts.
Recreation Facility Development Plan	✓	Plan estimates that the capital costs for seven centers will total $39.8 million and annual operating costs will be $295,000.
Water and Sewer Plan	✓	OMB oversees the operating and capital program budgets for County agencies, including WSSC, with a primary emphasis on fiscal accountability and responsibility. OMB staff work closely with DEP, WSSC and County Council staff on their review of WSSC's budget submissions.
Regional Services Centers Plan		None
Space Analysis for DHHS		None
The Juvenile Justice Plan		None
Police Facilities Master Plan	✓	Plan estimates total cost of the facility improvements recommended in the plan at $65.6 million.
Fire, Rescue, and Emergency Medical Services Master Plan	✓	Plan provides estimates for facilities recommended in the plan.
Comprehensive Solid Waste Management Plan	✓	Plan refers the reader to the Operating Budget and Capital Improvement Program documents.
ATMS – Strategic Plan	✓	Plan estimates cost of all ATMS projects at $16.2 million and states estimate is subject to change as the project develops.
Go Montgomery!	✓	Plan insert presents estimated costs for proposed transportation improvements as a ten year capital program.
Rockville Core Plan		None
Circuit Court Report	✓	Plan provides cost estimates for the five future Circuit Court facility scenarios.

D.   References to the General Plan and/or Master Plan

Six of the long range facility plans refer to the County's General Plan or its land use master plans. These references vary in their detail. The most complete references to the general/master plans are found in the Water and Sewer Plan and the Fire and Rescue Plan.

➤ Chapter 2 in the Water and Sewer plan describes the Montgomery County General Plan, On Wedges and Corridors. It states that an objective of the Water and Sewer Plan is to plan for community service to implement and reinforce the Wedges and Corridors concept, and that wedge preservation policies are complemented by the limitation of community water and sewer service. In addition, the plan states that DEP staff coordinate closely with M-NCPPC staff with regard to the water and sewer service recommendations developed in local area master plans. Finally, the Water and Sewer Plan includes a table that describes the special master plan water and sewer service recommendations in the County's adopted land use master plans.

➤ The DFRS plan states that community master plans prepared by M-NCPPC are intended to guide future growth in the County and affect County decisions on capital improvements. The DFRS plan reports that the fire and rescue service had limited participation in past master planning efforts and that this effort had been handicapped by the lack of a master plan for fire, rescue and emergency medical services. DFRS suggests the adoption of this plan will make it easier to give the M-NCPPC more comprehensive input during the community planning process; however a process is needed that ensures input from the fire and rescue service on community master plans and input from the M-NCPPC on fire and rescue facility planning for fire stations and water tanks. The plan proposes two recommendations to address this issue:

- First, the plan recommends strengthening the relationship between the fire and rescue service and the M-NCPPC in the siting of fire stations and water tanks, the reuse of old fire and rescue stations, and the development of community master plans.[5]

- Second, the plan recommends that the Fire and Rescue Commission work with the corporations to develop a process for station siting that involves the M-NCPPC from the beginning, coordinates the identification of fire and rescue station and water tank sites with community master planning efforts, provides for public input, and addresses the reuse of old stations where appropriate.

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[5] DFRS reports progress in strengthening this relationship over the past ten years and cites the Potomac Sub Region Master Plan, the Shady Grove Sector Plan, and the Gaithersburg vicinity master plan as examples of improved coordination. See Chapter X, County Executive comments, beginning on page 55

General or indirect references to the County's land use plans are found in the Solid Waste Plan, the Regional Service Center Plan, and Library plan.

> ➢ The Solid Waste Plan acknowledges that land use policies are implemented through planning and zoning decisions. It states that the County's General Plan was adopted in 1964 and most recently amended in 1993 and that the General Plan has been amended by a series of master plans, sector plans and functional plans. The Plan also cites the Environmental Objective and Strategies from Chapter 9 of the General Plan.

> ➢ The Regional Service Center plan includes a wedges and corridors geographic components map. References County planning areas, the agricultural wedge, and discusses up-county communities.

> ➢ The Department of Libraries Strategic Facility Plan notes that the facilities included in the plan are included in the M-NCPPC master plans for each County region.

In addition to these direct references the Department of Recreation reports that the basis of the Recreation plan is "the collective information such as population statistics, land development, and other criteria contained in and referenced by the General Plan." Close coordination also exists between the Recreation plan and the Parks, Recreation and Open Space Comprehensive Plan for Montgomery County ("the PROS plan"), which is also closely coordinated with the County's General Plan and area land use plans.

E.   References to the Capital Improvements Program (CIP)

Over half of the plans include direct or indirect references that facilities discussed in the plans are to eventually become CIP projects. The most explicit reference to the CIP is found in the Water and Sewer Plan.

> ➢ A paragraph in Chapter 2 of this plan, Relationship to the CIP, describes the CIP as a six year planning document that identifies the extent, timing and funding of approved projects.

> ➢ The plan also describes the CIP approval process, noting that water supply and sewerage systems capital planning originates at WSSC, which coordinates with the County agencies. WSSC submits a recommended CIP for its major water supply and sewerage projects to the Executive who transmits his recommendations to the Council. The WSSC CIP is reviewed and jointly approved by the Prince George's County Council and the Montgomery County Council.

> ➢ The plan also provides a list and brief description of the currently approved capital projects in Appendix A. DEP updates this listing more frequently than the Plan's three year amendment cycle.

In addition, 7 plans recommend facilities that will become CIP projects, but these plans do not make direct references to the CIP. These plans are:

- Go Montgomery!;
- Libraries Strategic Facilities Plan;
- Recreation Facility Plan;
- Fire and Rescue Services Master Plan;
- Police Facilities Master Plan;
- Aquatic Plan; and the
- Circuit Court Report.

F.   Plan recommendations and action plans

All of the long range facility plans contain recommendations, including recommendations for new facilities, facility renovations, programmatic changes, organizational changes, etc.

The Juvenile Justice plan is the only plan with an internal action plan. The action plan identifies how each recommendation/strategy in the plan will be fulfilled and the time period for its completion. The plan identifies those agencies involved in implementing the recommendations/strategies. To ensure completion, the Juvenile Justice Plan assigns a committee to oversee implementation of the action plan. Monitoring the progress of implementing this plan is shared by the Collaboration Council for Children, Youth and Families and the Department of Health and Human Services Children, Youth and Family Services.

VII.   COUNTY STAFF OBSERVATIONS ABOUT LONG RANGE FACILITY PLANS

OLO interviewed County staff who prepared the long range facility plans and County staff who participate in the facility site selection process. OLO asked interviewees to address the benefits of the plans, whether the plans accomplished their recommendations, and the usefulness of the linkages with the capital improvements program and/or the master plan process. OLO also asked for general observations about the County Government's site selection process. This chapter summarizes the key points from these interviews.

A.   The Benefits of the County Government's Long Range Facility Plans

General benefits. Most staff characterized their long range facility plans as effective internal documents that help map department goals, set priorities and give direction for the future. Several departments' staff, including Libraries, Juvenile Justice (DHHS), and the Regional Service Centers, used the term "road map" to describe their plans.

Several County staff reported that the plans play a useful role when the department prepares its capital improvements program request. Typically, the plans include all of the necessary information to justify a capital project request and help satisfy the budget office that a project is ready to proceed. Staff observed that it is important for departments to prioritize the recommendations within a plan to communicate to OMB, the County Executive and the County Council what projects are vital or the projects that would give the County "the most bang for the buck."

DPWT staff reported that, within the site selection process established by the Chief Administrative Officer (CAO), a site evaluation committee will use a long range facility plan to define the service boundaries of a facility and understand the facility requirements. DPWT staff also use the parameters described in a plan to start the site selection search.

Staff also observed that the plans serve an important educational benefit. Many staff, e.g., ATMS, Recreation, and Libraries, reported that a plan gives the County Executive and County Council a "sense of security" about the future of their department. Staff noted that the plan preparation and review process provides a forum for department staff, the Executive and the Council to develop a shared understanding of a department's mission, function and priorities.

Specific benefits. In addition to the general benefits mentioned above, many staff reported benefits that applied to a specific planning effort. For example:

> ➤ Staff in DHHS reported that the Space Analysis plan resolved many critical, longstanding space issues.

> Staff in DPWT reported that the ATMS plan allowed DPWT to leverage federal funds.

> In the case of the Fire and Rescue Services plan and the Regional Services Center plan, staff reported that the planning exercise helped to clarify the overall mission and goals of each organization. DFRS staff reported that the Fire and Rescue plan, which was undertaken soon after the department was created, provided an opportunity to conduct a thorough assessment of the issues the new department had to address. Similarly, the Regional Services Center plan allowed the Regional Services Centers to evolve their mission from an emphasis on satellite service delivery to a place where citizens would come to connect and interact with their government.

> Staff who prepare the plans required by State law, i.e., the Water and Sewer plan and the Solid Waste plan, reported that each plan identifies future issues to be addressed, which, in effect, establishes an ongoing work program.

> The Police Department staff observed that their plan provided a much needed inventory of their owned and leased sites, and reported that the plan created a useful countywide perspective.

> The Recreation Department staff reported that a benefit of its previous planning effort was a directive to incorporate the delivery of senior services into the community center facilities. The Department states it has addressed this issue in its forthcoming update.

B. The Effectiveness of the County Government's Long Range Facility Plans

General comments. Most staff believed their plans are effective because the recommendations in the plan were either implemented or addressed. For example, DFRS staff reported that the Fire and Rescue plan contained over 40 recommendations and noted that the majority of these recommendations had been implemented or discussed since the plan was adopted.

For the most part, staff reported the number and types of facilities recommended in the long range facility plans were implemented. Staff noted that implementation has generally followed the sequencing recommended in the plans, although the timing of projects was often delayed due to funding constraints.

In a few instances, departments reported that projects in their plans were tweaked because of a new development, e.g. the redevelopment of Silver Spring led to changes in the library, police station and fire station projects for downtown Silver Spring.

<u>Specific comments</u>. In addition to these comments, County staff provided some additional comments about the effectiveness of their specific planning efforts. For example:

➢ Staff characterized the DHHS Space Analysis as a very effective plan because it resulted in the CAO authorizing the department to locate the additional space to consolidate and align offices from four departments into one new department.

➢ Staff observed that the effectiveness of the Go Montgomery! plan has been hampered because the plan was predicated on funding sources that did not materialize.

➢ Recreation staff observed that they are working to improve the effectiveness of their plan by integrating the plans for recreation facilities and aquatic facilities, which were previously published as two separate plans bound together. The forthcoming plan update also incorporates aging services. Recreation would like to address the need for art centers as part of a future plan amendment.

➢ ATMS staff reported that their plans were effective in large part because of an open-ended planning framework. The staff approached planning for ATMS with a commitment to do something, show it off and let it sell itself. This commitment to an incremental, iterative process allowed staff to learn from people's real world experience with the technology and also stay open and responsive to new ideas and new applications of technology.

➢ The planning process for the Regional Services Centers helped the center directors develop a unified but flexible service delivery framework. The plan also helped the center directors respond to the demographic changes within their communities by defining core services and other services that meet unique community needs.

➢ Juvenile Justice staff reported that the Juvenile Justice plan helped lay a common groundwork among the numerous County departments working in the juvenile justice field. Also the plan gave departments' direction and prioritized the issues which needed to be addressed. Most importantly, this plan provided the impetus for the establishment of the County's Juvenile Assessment Center.

C. The County Government's Site Selection Process

Historically, after completing a long range facility plan, a department worked closely with DPWT's Division of Facilities and Services and the Office of Management and Budget (OMB) to obtain funding and to identify and select a site. A few years ago, the County government instituted two major changes to the site selection process.

➤ First, in response to concerns raised by the County Council and OMB, DPWT established a Site Selection PDF so that departments could begin looking for sites earlier in the capital programming process. The Site Selection PDF lists upcoming capital projects that are actively seeking sites. Previously, departments could not access funding for site acquisition through the Advanced Land Acquisition Revolving Fund (ALARF). Now, the Site Selection PDF makes it possible for departments to use ALARF for site acquisition. A sample Site Selection PDF is in Appendix B, © 6.

➤ Second, the CAO charged the Regional Services Center Directors with the responsibility to chair site evaluation committees for new facilities in their respective regions. The CAO directed DPWT to provide staff support for the site evaluation process, including all documentation and final report preparation. The Center Directors were charged with drafting a memorandum making a final site recommendation to the Executive for consideration when making the actual site selection decision. A copy of the January 2000 CAO memorandum describing the RSC Directors' roles in the process can be found in Appendix C, © 7.

These changes added resources and clarified the roles and responsibilities in the site selection process for public and community facilities. As a result of these changes, the Regional Service Center Directors lead the site evaluation process with assisted by DPWT staff and department staff.

D.   Siting and Building New Public Facilities

General Comments. Staff across the departments report that many factors influence their ability to obtain sites and build new facilities. They added that often these factors are outside of a department's control. Staff shared many site selection anecdotes. Based on these stories, some of the factors that have influenced projects in the past include:

➤ The availability of publicly owned sites;
➤ The availability and cost of privately owned sites;
➤ The state of the local, state, and national economy;
➤ The money available through ALARF;
➤ Whether the project attracts the attention of the media;
➤ The amount of political support for the project;
➤ Whether a crisis exists that justifies the project;
➤ The influence of the local business community;
➤ The location of the project in a redevelopment area; and
➤ Community perceptions about how the project will affect the neighborhood.

Staff in the police and fire departments reported that citizens and businesses take a keen interest in the location of their facilities. The police department reported difficulties locating the animal disposal facility and the abandoned auto lot. Both fire and police

staff reported that they have difficulty locating new stations because of perceptions about community impact. Surprisingly, however, staff in DFRS reported they encounter equally strong resistance when they try to close a station in an established community.

Specific Comments. Staff emphasized that "the plan" is only one piece of a complex and imperfect process. Several departments reported that, because of fiscal constraints, high land prices, and a diminishing supply of vacant land and large undeveloped parcels, it is increasingly difficult to find sites. Staff observed it is hard for the County Government to compete with the private sector's ability to buy and sell property quickly. Also, when a site is found, a lack of money for site acquisition in ALARF can also be a problem.

Staff reported there has been a shift in philosophy from looking for the "best site" to the "best site we can afford." This is coupled with strong encouragement to limit the selection process to publicly-owned sites.

DPWT staff work closely with staff in other public agencies, i.e., MCPS, M-NCPPC and WSSC, to identify potential sites. In fact, DPWT reports that surplus school sites are a good source of publicly owned land for County government facilities. The Recreation Department prefers to site its facilities on public park land but notes it has encountered problems with policies that govern how much park land can be in active use.

E. Coordination between the Long Range Facility Planning Process and the Land Use Master Plan Process

The County's land use master plan process controls the development and redevelopment of land because it determines the appropriate zoning. Montgomery County Planning Department staff at the M-NCPPC prepare a draft land use master plan. The Montgomery County Planning Board holds a public hearing and worksessions on a draft master plan and forwards the Planning Board's Recommended Master Plan to the County Council. The County Council, sitting as the District Council, holds a public hearing and worksessions and adopts the plan. Land use master plans usually address the public facilities that will be needed to support development called for in the plan.

County staff reported different levels of coordination with Planning staff during the preparation of a master plan. Staff in the Department of Environmental Protection, DPWT and the Department of Public Libraries maintain a close working relationship with Planning staff. DFRS staff reported progress in strengthening its relationship with M-NCPPC over the past ten years; other staff review Planning Board agendas but are not regularly involved in the land use master plan process.

OLO heard some concerns about the disconnect between the land use master plan process and the County's public facility plans. Several staff cited the forthcoming Shady Grove Public Hearing Draft Sector Plan as an example of this issue. The Shady Grove plan recommends redevelopment of the County service park area just north of the Shady Grove Metro station. Several County staff observed that this proposal would displace many centrally located public facilities and services, and severely impact many

operations. Given the nature of these facilities, staff believed many would be difficult to relocate. County staff were concerned that the plan did not address in more detail the effects the proposed redevelopment on the existing public facilities.

OLO heard mixed feedback about the value of using the master plan process to dedicate sites for public facilities. On one hand, staff recognized the land use master plan process could be an effective mechanism for identifying and acquiring sites through dedication. DPWT staff noted that as sites become harder to find, staff discussed the possibility of using the master plan process to dedicate sites for facilities. DPWT staff suggested it may be useful to consider this process for public safety facilities at a minimum, due to the difficulty of land acquisition and siting facilities mentioned on the previous page.

On the other hand, the County's experience of using the master plan process to identify and dedicate sites has been fitful in some cases. Recreation staff reported that a master plan recommendation to locate a community center in North Bethesda did not result in the site being dedicated as expected. In an example of a different type of disconnect, Recreation staff reported that the Friendship Heights plan resulted in the dedication of a center that does not meet its minimum requirements for this type of facility and was not called for in its long range facility plan. Notwithstanding these issues, Recreation staff anticipates that it will have to program this facility.

VIII. FINDINGS

A full service local government like Montgomery County traditionally engages in many types of planning, such as land use planning, facility planning, capital improvements programming, and strategic planning. This report looks at documents for the County's strategic planning and long range facility planning efforts. For the purposes of this study, OLO defined:

- A *strategic plan* as a document that establishes a sense of direction and creates a blueprint for the future. A strategic plan may address operating programs and/or capital facility needs.

- A *long range facility plan* as a type of strategic plan that projects the facilities a department needs to deliver its programs or services over a planning horizon of five years or more. A long range facility plan may address capital needs only or it may be part of a larger, more comprehensive strategic plan document.

This study includes an inventory of Montgomery County's strategic planning documents, and an analysis of the process, content and usefulness of 14 long range facility plans. This chapter reports OLO's findings.

A.   FINDINGS ABOUT THE COUNTY'S STRATEGIC PLANNING EFFORTS

FINDING #1   **The County Government administers a decentralized strategic planning effort that has produced a comprehensive set of 54 strategic plan documents.**

The County Government generally has followed a decentralized approach to strategic planning. The County places the responsibility for identifying and preparing strategic plans with the department directors. The County's philosophy states:

> The County Executive encourages department directors and their staffs to think strategically and plan for the long term needs of Montgomery County and its residents. Department directors are given broad latitude in operating their departments. Some long range planning documents are legally required and departments update these on a regular schedule. Other departments have identified the need to create strategic or long range plans for their departments as a whole or for specific service areas. It is each department director's responsibility to develop the long range plans he or she feels are appropriate.

The County Government has an inventory of 54 strategic plan documents. Eleven different departments prepared these documents and at least one document exists for each of the County's major service areas. Some plans address the operation of an entire department; most plans focus on the major programs within a department. (See Table 1, page 14-15 for a list of the County Government's strategic plans.)

FINDING #2   **The County Government's current decentralized approach to strategic planning does not lend itself to using strategic planning as the basis for a "governing for results" management structure.**

During the last fifteen years, many governments have linked strategic planning and performance measurement systems to create a continuous process of "governing for results." A "governing for results" management structure closely links strategic planning, budgeting and performance measurement systems. It uses strategic planning to identify desired goals; it relies on performance measures to monitor results and track achievements; and it uses results oriented performance measures to make budgeting decisions. Over time, these systems are intended to clarify an agency's goals, priorities and accomplishments and improve accountability.

Research suggests that establishing an integrated results systems requires a substantial commitment of resources. Maricopa County, Arizona, for example, took several years to institute its managing for results system, which included significant changes to its financial accounting software and human resources systems. The governance structure in Maricopa County, which has an elected Board of Supervisors and an appointed County Manager, may also have facilitated the establishment of an integrated system.

The research also suggests that efforts to establish managing for results systems have achieved mixed success. A study prepared for the Florida legislature reported that setting up a performance based budget is difficult. The study found:

- agencies lack training to think in evaluative ways;
- officials face difficulties determining how to hold an agency directly responsible for changes in problems that have many contributing factors; and
- agencies encounter difficulties demonstrating the results of long term activities within the short timeframe of a budget cycle.

The study concluded that legislators should *not* expect performance-based budgeting to create a mechanistic, rational system to replace the political process of making resource choices in a complex environment of competing demands.

Montgomery County departments have established performance measures to report both program activities and program results. The County publishes these measures with the budget document to provide the Council with a more detailed understanding of departmental programs and services. Although many departments have published strategic plan documents and established many performance measures, OLO found very few links between these systems. This suggests the County government's current approach to strategic planning would not support the establishment of an integrated governing for results management structure without a significant investment of resources.

B.   FINDINGS ABOUT THE COUNTY'S LONG RANGE FACILITY PLANS

FINDING #3   The County Government's 14 long range facility plans were prepared by 8 different departments and reflect a mix of longstanding and more recent efforts. The plans address the County's infrastructure needs across many service areas.

Table 12, on page 46 lists the County's 14 long range facility plans. The table shows that nearly half of the County's plans are the result of longstanding planning efforts. The departments that plan for water and sewer, solid waste, libraries, recreation and aquatics facilities published their first plans in the seventies and eighties. More recent plans to identify facility needs for regional service centers, fire and rescue, police, DHHS and a Juvenile Justice Center began in the nineties. Four plans, the Automated Transportation Management Systems (ATMS) plan, the Go Montgomery! plan, the Circuit Court Report, and the Rockville Core Plan, are the most recent initiatives.

FINDING #4   The County plans reflect a mix of one-time and ongoing efforts. Departments conduct long range facility planning for different reasons.

Five of the County's long range plans were one-time efforts undertaken to address an urgent issue or specific program need.

1. The DHHS Space Analysis identified the amount and location requirements for office space required to house the newly consolidated Department of Health and Human Services.

2. The Montgomery County Comprehensive Juvenile Justice Strategy, which was completed to develop a strategic response to juvenile justice needs, identified the need for a Juvenile Justice center.

3. The Go Montgomery! plan proposed a financing strategy and critical list of master planned transportation projects to solve the County's traffic congestion problems.

4. The Circuit Court Report proposed five facility options to address the future growth and space needs for the departments of the Circuit Court.

5. The Rockville Core Plan projects the staff and space requirements of the County Executive and Council within the "Rockville Core" at five year increments over the next 20 years.

Three of the County's ongoing planning efforts address State or County legal requirements.

1. The Solid Waste plan fulfills a state requirement, Subtitle 5, Article 9 of the Environmental Article of the Annotated Code of Maryland;

2. The Water and Sewer plan satisfies a state requirement, Subtitle 5, Title 26, Chapter 1 of the Environmental Article of the Annotated Code of Maryland; and

3. The Fire and Rescue plan meets a County requirement, Montgomery County Code Chapter 21, Section 12.

The remaining six ongoing planning efforts identify infrastructure and capital facility needs to deliver public safety, culture and recreation, general government and traffic management services. These plans recommend the location, type and amount of infrastructure needed to deliver services effectively and efficiently on a countywide scale.

Table 12, on page 46 shows the five one-time plans verses the nine ongoing plans.

FINDING #5 **The County's management of its long range facility plans occurs at the department level. Department staff determine the plan content, prepare a draft plan, solicit technical guidance, seek public input and brief public officials. The specific approach varies by department.**

Most departments draft their own plans, collaborating with other County departments and agencies, as needed. Departments generally seek technical assistance or review from the Office of Management and Budget, Facilities and Services in the Department of Public Works and Transportation (DPWT) and the Regional Services Center Directors. They may also consult with M-NCPPC and/or WSSC.

Staff in DPWT who drafted the ATMS plan retained the services of Public Technology Inc. and its groupshare software to collect and organize the relevant technical information. Another consultant analyzed this information and passed it back to ATMS staff who wrote the final document.

Five plans, the Regional Services Center plan, the DHHS Space Analysis, the Police facilities plan, the Rockville Core Plan, and the Circuit Court Report, were written by VITETTA. DPWT provided project management, in close coordination with department staff.

Most departments seek public input as part of the plan review process, generally relying on standing citizen advisory boards to review the draft plan and provide feedback. The Fire and Rescue Commission conducted a telephone survey of 5,000 County residents to assess community satisfaction with existing services, as part of the Fire and Rescue plan. Staff working on the Juvenile Justice plan used focus groups and surveys to solicit public input.

County staff prepared the ATMS plan, the DHHS Space Analysis, the Go Montgomery! plan, the Police plan, and the Rockville Core plan without any direct public input. The 1997 Police plan did not have any public input; however MCPD placed a draft of its 1999 plan in public libraries for comment and held a public forum. The Go Montgomery! plan did not solicit public feedback; however, the plan represented the County Executive's response to the Planning Board's Transportation Policy Report (TPR) which had extensive community involvement. The County Council held two public forums on the TPR in early 2002 before the Go Montgomery! plan was published in mid-2002.

All draft plans received both an internal review as well as an external review by public officials. County staff frequently distribute plans to other departments or agencies for technical review. The most frequently mentioned partners were OMB, DPWT-DFS, and M-NCPPC.

The County Executive reviewed all plans; however, the nature of the review varied. In some cases, departments met with the Executive to brief him on the plan's content and issues. In other cases, the department forwarded the written plan for review and incorporated any written comments in the final plan.

The County Council reviewed all of the plans, usually through a Council Committee. As required by State or County law, the Council held a public hearing for the Solid Waste plan, the Water and Sewer plan and the Fire and Rescue plan, and adopted a resolution to approve each of these plans.

Table 12, on page 46, summarizes the author, the type of public input, and the Council Committee review for each plan.

FINDING #6   **The plans prepared to meet State and County legal requirements have a formal amendment cycle, whereas those initiated voluntarily by a department do not. Five departments currently have updates underway and expect to transmit their plans for Council review in 2004.**

Five of the 14 plans analyzed by OLO represent one-time efforts that will not be updated or amended. The other nine plan documents which OLO reviewed are part of an ongoing planning process. The amendment requirements for these plans vary. State law requires the County to update the Water and Sewer plan and the Solid Waste plan every three years. County law requires an update to the Fire and Rescue plan every ten years. The other six plans do not have a formal amendment schedule. Table 12, page 46, shows that the Council will review the following six plan updates in 2004:

- The Libraries Strategic Facilities Plan,
- The Recreation Facility Development Plan,
- The Aquatic Facility Plan[6],
- The Solid Waste Plan,
- The Fire Rescue and Emergency Services Plan, and
- The Rockville Core Plan.

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[6] In 2004, the Recreation Facility plan and Aquatic Facility Plan Update will appear as one document.

TABLE 12: SUMMARY OF MONTGOMERY COUNTY GOVERNMENT'S 12 LONG RANGE FACILITY PLANS

Plan Title	Lead Department	Date of First Plan	Date of Most Recent Update	Legally Required?	Author	Type of Public Input	Council Committee Review	Expected Date of Next Council Review
ONE-TIME								
1. Space Analysis for Department of Health and Human Services	Health and Human Services	1996	1996	No	Consultant	None	HHS	Not Applicable
2. The Montgomery County Comprehensive Strategy: A Juvenile Justice Plan	Health and Human Services	1999	2003	No	County staff	Focus Groups	HHS	Not Applicable
3. Go Montgomery! Transportation Plan for our Future	Public Works and Transportation	2002	2002	No	County staff	None[7]	T&E	Not Applicable
4. Rockville Core Plan	Public Works and Transportation	2003	2003	No	Consultant	None	MFP	2004
5. Circuit Court Report	Public Works and Transportation	2002	2002	No	Consultant	Advisory Board	MFP	TBD
ONGOING								
6. Comprehensive Solid Waste Management Plan	Public Works and Transportation	1972	2003	Yes State Law	County staff	Advisory Board	T&E	2003-2004
7. Water and Sewer Plan	Environmental Protection	1973	2003	Yes State Law	County staff	Advisory Board	T&E	2003
8. Libraries Strategic Facilities Plan	Libraries	1984	1998	No	County staff	Advisory Board	HHS	2004
9. Recreation Facility Development Plan	Recreation	1988	1997	No	County staff	Advisory Board	PHED	2004
10. Aquatic Facility Plan	Recreation	1988	1997	No	County staff	Advisory Board	PHED	2004
11. Fire, Rescue, and Emergency Medical Services Master Plan	Fire &Rescue Services	1994	1994[8]	Yes County Law	County staff	Survey	PS	2004
12. Regional Services Centers Draft Facilities Strategic Plan	Regional Service Centers	1995	1995	No	Consultant	Advisory Board	MFP	TBD
13. Police Facilities Master Plan	Police	1997	1997	No	Consultant	None[9]	PS	2004 or 2005
14. Advanced Transportation Management System Plan	Public Works and Transportation	2001	2001	No	County staff	None	T&E	TBD

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[7] DPWT staff note that the plan implements transportation staff in the approved master plans which have extensive public review and require County Council approval.

[8] In 1999 DFRS submitted an amendment to its 1994 plan; the Council adopted the amendments in 2000.

[9] A 1999 update to the Police Facilities plan solicited public input through a public meeting and posting in County libraries.

January 13, 2004

FINDING #7 **Most long range facility plans incorporate forecast data. About half of the plans include a fiscal analysis.**

Ten of the plans that OLO reviewed incorporate forecast data. Most of these plans use cooperative forecasts from the M-NCPPC; however, some plans use estimates or reference a M-NCPPC study. In a few cases the date of the forecast corresponds with the date of the plan, suggesting the forecasts were current when the plan was published. In other cases, there is as much as a three year gap between the forecast date and the date of the plan. Many plans do not provide a date for their population or forecast data. Table 10, on page 30, provides more details.

The significance of the forecast data varies from plan to plan. In some plans, the forecast data ties directly to the plan recommendations. In other plans, the forecast provides interesting background information but does not affect the outcome of the plan.

Approximately half of the long range facility plans address the budget and fiscal impacts of the plans' proposed recommendations. Some of these plans include a detailed fiscal assessment; others refer the reader to another document for fiscal information. These references vary in their completeness. Table 11, on page 31, provides more details.

C. **FINDINGS ABOUT THE BENEFITS AND EFFECTIVENESS OF COUNTY GOVERNMENT'S LONG RANGE FACILITY PLANS**

FINDING #8 **The long range facility planning process yields several important benefits.**

Most staff characterize their plans as effective internal documents that help map their departments' goals, set priorities and give direction for the future. Several staffs use the term "roadmap" to describe their plans. Most departments feel that writing a plan helps them create an overall mission statement and relay their goals and desires to both the Executive and Council.

Staff identified several other benefits of long range facility plans. For example, staff reported the plans:

> ➢ Provide useful information when the department prepares its capital improvements program request;
> ➢ Serve an important educational benefit;
> ➢ Give the County Executive and Council a "sense of security" about the future of their department;
> ➢ Provide a forum for department staff, the Executive and the Council to develop a shared understanding of a program's mission, function and priorities; and
> ➢ Help formalize and build consensus about the future needs and overall direction within their departments.

FINDING #9   County staff perceive that the long range facility plans are effective
             because the recommendations are either implemented or addressed.
             An equally meaningful measure of effectiveness could look at whether
             the planning process helps staff to think and act strategically.

County staff observed their plans were effective because the plan recommendations had
either been implemented or at least addressed. For the most part, staff reported that the
number and types of facilities recommended in long range facility plans have been
implemented. Staff also noted that implementation has generally followed the
sequencing of projects recommended in the plan, although the timing of projects was
often delayed due to funding constraints.

OLO also found that the County's long range planning exercises are effective because
they provided an opportunity for departments to think and act strategically. For example:

> The ATMS staff reported that their plan was effective in large part because of
  an open-ended planning framework. ATMS staff approached planning for an
  automated transit management system with a commitment to do something,
  show it off, and let it sell itself. This commitment to an incremental, iterative
  process allowed staff to learn from people's real world experience with the
  technology and also stay open and responsive to new ideas and new
  applications of technology.

> The planning process for the Regional Services Centers plan developed a
  unified but flexible service delivery framework. The plan's two-level
  definition of core and customized services empowers center directors to
  respond directly and continually to ongoing demographic changes within their
  communities.

D.   FINDINGS ABOUT SITING AND BUILDING NEW PUBLIC FACILITIES

FINDING #10   The County Government has an effective system in place for site
              selection of new public facilities in the County.

The County has a process for site selection of public facilities that involves the necessary
actors. Documentation exists to describe the roles and responsibilities in the process.

A few years ago, the County instituted changes to the site selection process for public and
community facilities.

> The first change was to establish a site selection PDF for future capital projects.
  The PDF allows departments to begin looking for sites earlier in the public
  facilities planning and programming process. It also allows departments to access
  funding for site acquisition through the Advanced Land Acquisition Revolving
  Fund (ALARF).

> The second change, instituted by the CAO in January 2000, was to charge the Center Directors with the responsibility to chair site evaluation committees for new facilities in their respective regions. As a result of this change, the Regional Services Center Directors and DPWT jointly manage the site selection process with departments providing technical assistance. (See Appendix C, © 7 for a copy of the CAO's memo that explains this change.)

Staff observe that these changes add resources and structure to the site selection process. Using the RSC Directors to lead the site evaluation team has increased the number of meetings that can be held. It also instituted a layer of citizen input that may have broader or different representation than the advisory committees that participated in the preparation of a long range facility plan.

FINDING #11 **The research suggests that the success and value of a strategic or long range facility planning effort relies primarily on the intangibles that surround the process, and not necessarily on the plan document.**

The research cautions that no guarantee exists that a well managed planning process or a well written plan will automatically succeed. Instead, it reports that the success of planning is enhanced if there is a "coalition of the willing" that is large enough and strong enough to formulate and implement strategies that deal effectively with key issues. The literature identifies five necessary ingredients for a successful effort. They are:

1. **The "right people"** include a process champion to manage the effort and a leader to give it legitimacy.
2. **Good data** refers to easy availability of relevant, hard data to describe the current situation.
3. **Preparation** suggests a planning team has thought ahead about the relevant questions to address, people to include and data to assemble.
4. **A structured process** is needed so that agreement exists on the roles, responsibilities and process steps before the process gets underway.
5. **Adequate resources** means that there must be enough time and money allocated to the process to get the job done.

FINDING #12 **Even with a long range facility plan and an effective site selection process in place, any number of factors will influence when and where a public facility is finally built. Most of these factors are outside of a department's control; many are outside of the County's control as well.**

Building a new public facility is a long, complicated undertaking. County staff report that many factors influence a department's ability to obtain a site and build a planned project. They recognize that "the plan" is only one piece of a complex and imperfect process.

Staff shared many site selection anecdotes. Based on these stories, some of the factors that have influenced site selections in the past include:

> The availability of publicly owned sites;
> The availability and cost of privately owned sites;
> The status of the local, state, and national economy;
> The money available through ALARF;
> Whether the project attracts the attention of the media;
> The amount of political support for the project;
> Whether a crisis exists that justifies the project;
> The influence of the local business community;
> The location of the project in a redevelopment area; and
> Community perceptions about how the project will affect the neighborhood.

Staff in several departments' report that, in response to fiscal constraints and high land prices, there has been a shift in philosophy from looking for the "best site" to the "best site we can afford." This has been coupled with strong encouragement to limit the selection process to publicly owned sites.

DPWT states that as available sites have become harder to find, the County Government has discussed the possibility of using the master plan process to dedicate sites for facilities. Staff suggests it may be useful to consider this process, at a minimum, for public safety facilities.

FINDING #13   An ad hoc pattern of coordination between the County government's long term facility planning practices and the land use master plan process complicates the process of public facility planning and implementation.

OLO heard mixed views about the linkages between the County's long range facility plans and the land use master plan process. Some County staff maintain a close working relationship with Planning staff; others are less involved in the land use master plan process or the subdivision review process.

Several County staff mentioned concerns about the forthcoming Shady Grove Public Hearing Draft Sector Plan, which recommends redevelopment of the several County sites just north of the Shady Grove Metro station. County staff observed that the redevelopment proposal would displace many centrally located public facilities and services, and severely impact many operations. Given the nature of these facilities, staff believed it would be difficult to relocate many of these facilities. County staff raised concerns that the Shady Grove plan did not address the effects of the proposed redevelopment on the existing public facilities in more detail.

County staff voiced mixed feedback about the value of using the master plan process to dedicate sites for public facilities. On one hand, staff recognized the land use master plan process could be an effective mechanism for identifying and acquiring sites through dedication. DPWT staff suggested it may be useful to consider this process for public safety facilities at a minimum, due to the difficulty of land acquisition and siting facilities. On the other hand, the County's experience of using the master plan process to identify and dedicate sites has been fitful in some cases. For example, Recreation staff reported that a master plan recommendation to locate a community center in North Bethesda did not result in the site being dedicated as expected.

IX.   RECOMMENDATIONS

The County Government has an extensive inventory of strategic and long range facility plans. These plans, primarily produced at the department level, reflect the County's decentralized approach to planning. OLO proposes the following recommendations for Council actions to improve the County's Government's long range facility planning efforts.

Recommendation #1:   The Council should develop a standard list of questions to help structure its oversight of strategic and long range facility plans.

The planning literature identifies five ingredients associated with successful planning efforts: the right people, good data, preparation, a structured process, and adequate resources. The literature also emphasizes the importance of an action plan that creates a clear understanding of how a plan will be implemented.

The County's practice of briefing a Council Committee about a plan's content and recommendations provides a valuable opportunity for Council oversight. OLO recommends that the Council use the department briefing to ask about these critical success factors and about how a department intends to implement its plan.

In 2004, County Government departments expect to forward six plan updates to Council for review and/or approval. Two of these plans, the Solid Waste plan and the Fire and Rescue plan, address requirements in State or County law. Four of these plans, the Library plan, the Recreation plan, the Aquatic plan, and the Rockville Core Plan were initiated as voluntary efforts to address location, type and timing issues associated with a department's service delivery infrastructure.

OLO recommends the Council use the list of questions below as a starting point for its review of the six County Government long range facility plans coming to the Council in 2004. OLO suggests that the Council forward this list to the Chief Administrative Officer so that departments have the opportunity to prepare answers before their Council Committee briefing.

LIST OF REVIEW QUESTIONS FOR LONG RANGE FACILITY PLANS

1. Who are the members of the planning team? Who is the plan process champion (manager) and who is the plan leader?

2. What demographic assumptions or growth factors does this plan rely on, if any? What is the source of these data? What is the planning horizon for these data? Are these data current? Which team member(s) are responsible for reviewing the plan's technical data and conclusions?

3. Describe the relationship between the plan's service standards, the forecast data, and the current capacity of the existing facilities. Is there a projected capacity surplus or deficit? When is it expected to occur?

4. Explain the basis for the service standards and describe the relationship between the plan's service standards and the proposed facility recommendations.

5. Describe the plan's proposed phasing plan and estimate its budget and fiscal impacts.

6. Identify the sources of revenue that will fund these proposed facilities. What are the implications of the phasing plan for programming Advanced Land Acquisition Revolving Fund?

7. Provide the action plan the department will follow to implement the plan. This plan should address the implementation team roles and responsibilities, the specific action steps and milestones, the implementation schedule, the resource requirements and the procedures for monitoring and communicating progress.

Recommendation #2: The Council should convene a meeting with representatives from the County Government and the Montgomery County Planning Board to discuss opportunities to improve the coordination between the County Government's long range facility plans and the Planning Board's land use master plan planning process.

An ad hoc pattern of coordination exists between the County staff who manage the County Government's long range facility plans and Planning staff who prepare land use master plans. This lack of coordination can result in missed opportunities to locate a facility strategically, missed opportunities to acquire a site through dedication, or unanticipated pressures to relocate public facilities. Improved coordination between these two planning processes is needed to address these issues.

OLO recommends that the Council convene a meeting with representatives from the County Government and the Montgomery County Planning Board to discuss Montgomery County's current public facility planning policies and practices. OLO recommends the Council focus on the coordination needed to make more strategic use of the County's land use planning powers and public facility investments. OLO suggests the Council facilitate discussion of the following issues:

- What are the roles and responsibilities of County staff and Planning staff in public facility planning? Where do they overlap and what opportunities exists to clarify and/or redefine these roles?

- What patterns characterize the coordination between the long range facilities plans and master plans? What are the characteristics of examples where the coordination works well? What are the characteristics of examples where the coordination needs to be improved?

- What approaches exist to increase the supply and availability of sites for public facilities, particularly hard to locate facilities? What are the pros and cons of using the master plan process to dedicate land for public facilities? What resources or process changes would be needed to make this happen?

- What are the merits of amending the County's General Plan to add a Public Facilities Element that would articulate policies to guide the appropriate location of new facilities, site acquisition; opportunities for co-location, and service standards?

X.   COUNTY EXECUTIVE COMMENTS

The Office of Legislative Oversight circulated a final draft of this report to the County Government. The final report incorporates all of the technical corrections provided by the agencies.

Written comments from the Chief Administrative Officer are included in their entirety beginning on the following page.

OLO greatly appreciates the time taken by everyone who reviewed the draft report and looks forward to discussing the issues raised in this study.

Douglas M. Duncan
County Executive

Bruce Romer
Chief Administrative Officer

MEMORANDUM

December 24, 2003

TO: Karen Orlansky, Director
            Office of Legislative Oversight

FROM: Bruce Romer, Chief Administrative Officer

SUBJECT: DRAFT Office of Legislative Oversight (OLO) Report 2004-2:
            An Inventory and Analysis of Montgomery County Government's
            Strategic and Long Range Facility Plans

            Thank you for the opportunity to review and comment on the DRAFT
Office of Legislative Oversight (OLO) Report 2004-2: An Inventory and Analysis of
Montgomery County Government's Strategic and Long Range Facility Plans. The report
is informative and constructive.

            We have received comments from a number of departments which are
attached. The comments reflect a general agreement with the accuracy, findings, and
recommendations presented in OLO Report 2004-2 and provide some suggested changes
or clarifications. We agree with the conclusion that the coordination between County
departments and the MNCPPC on long range facility plans is uneven and we will be
working with MNCPPC to address this issue. We look forward to further discussions
with the Council on the report.

BR:dar

Attachment

SUMMARY OF DEPARTMENTAL COMMENTS

Fire and Rescue Services

- The Report categorizes the existing Fire, Rescue and EMS Master Plan solely as a Long Range Facility Plan. We believe that the Plan could also be categorized as a strategic plan in that it addresses more than facilities. The Plan addresses service demand, delivery of services (both emergency and non-emergency), resource needs and deployment, personnel needs/issues, communications, information technology and related planning issues of a strategic planning nature. In addition to facilities and equipment, this Plan, including its recommendations, focuses on all facets of the MCFRS that have direct or indirect impact on delivery of effective, efficient and equitable service to the citizens of Montgomery County. We believe that the Fire, Rescue and EMS Master Plan meets the definition in the OLO Report of a strategic plan because it establishes a "sense of direction" for the MCFRS, and the 39 recommendations serve as a "blueprint for the future."

- As the Report noted, MCFRS is working on a comprehensive update of the Fire, Rescue and EMS Master Plan. The Plan will be a combination of a strategic plan and long-range facility plan, much like its predecessor. The Plan revision process has and will include a significant amount of public input, including meetings with each of the five Citizen Advisory Boards (CABs) associated with the five Regional Service Areas in the county, a survey of citizens' perception of fire-rescue issues for 2005-2015 completed by CAB members, and review of the draft plan by any county resident or business owner wishing to review it and provide comments (i.e., draft will likely be posted on MCFRS web site for all to see). In addition, the MCFRS is coordinating an arrangement with a local university for graduate students to design, conduct and report the results of a survey to determine the expectations of county residents concerning fire-rescue service delivery.

- The OLO Report stresses the importance of MCFRS and Maryland-National Capital Park & Planning Commission (M-NCPPC) strengthening their relationship, working cooperatively to provide input to one another's master plans and to develop a process for fire station siting that includes M-NCPPC. We wanted to point out that considerable progress has been made in recent years to strengthen this relationship and to ensure that MCFRS facility needs are addressed in M-NCPPC's community master plans that are being revised. For example, the new Potomac Sub-Region Master Plan includes language concerning the need for locating a fire station in the vicinity of the Traville community. In addition, the draft Shady Grove Sector Plan addresses the need for a fire-rescue facility (a combined fire station and office for the Fire and Explosive Investigations staff) at the intersection of Shady Grove Road and Route 355.

MCFRS will also be providing input to the updating of the Gaithersburg Vicinity Master Plan which will need to identify the Public Safety Training Academy as the appropriate site for the future Travilah fire station. The MCFRS has also gone before the Planning Board for Mandatory Referral on potential sites for the West and East Germantown fire stations and will do likewise for candidate sites for the future Clarksburg station.

Health and Human Services

- We have reviewed the report and have found the information associated to HHS to be factually accurate.

- On page 33, in the final paragraph where it states that a committee oversees the implementation of the plan, a final sentence should be added: "Monitoring the progress of implementing this plan is shared by the Collaboration Council for Children, Youth and Families and the Department of Health and Human Services, Children, Youth and Family Services".

- On page 36, the last bullet refers to the Juvenile Justice Plan. We recommend that the final sentence of that bullet read as follows: "Most importantly, this plan provided the impetus for the establishment of the County's Juvenile Assessment Center".

Public Works and Transportation

- On page 28, a check mark should be added in the <u>ATMS Plan</u> row, under the column <u>Provide direction to decision makers and guide *future* capital improvement decisions</u>.

- On page 45, Table 12, Go Montgomery, Item 3, Note 5 should be changed to read as follows: "5. Plan implements transportation projects in Approved Master Plans which have extensive public review and require County Council approval".

Public Libraries

- On page 52, Item 5 in Recommendation # 1 could only be responded to in general. We can estimate the costs of operating a new library based on existing costs; the costs to build, and the sources of revenue are really not addressed in our plans because the timing depends on the pace of development or the pace of changes in the community. That's a function of the CIP process.

- On page 52, Item 7 in Recommendation # 1 is a step we deliberately leave out. It again depends on changing conditions as to whether you will build a building or not. We deliberately do not put in an estimated year for a new building because we don't want to raise expectations that we will build in X year. Other than that step, the "action plan" to implement is to go through the CIP process.

Recreation

- The Report recommends a closer integration of MNCPPC's General and Area Plans with Montgomery County's long range facility plans but does not reference the *Parks, Recreation, and Open Space Comprehensive Plan for Montgomery County (PROS)*. This State mandated document is required for participation in Maryland's Program Open Space (POS) which funds significant acquisition and development of parks and recreation facilities throughout the County. Although administered through MNCPPC, these benefits and public policy impacts affect all County residents.

- On the more detailed level, Recreation staff did identify some modifications that could help to improve accuracy regarding the Department's documents:

    1. Table 10 lists ratio for the population served by Community Recreation Centers as 1:75,000; the correct number is 1:30,000.

    2. Pages 31-33, several indications are made to the plan not referencing the General Plan, PROS, or the CIP. The entire basis of the plan is the collective information such as population statistics, land development and use criteria as contained in and referenced by the General Plan. The PROS plan specifically excerpts portions of our document and budget document information for its narrative.

    3. Pages 35-36, there is reference to the Department's "forthcoming new plan" and future "amendments". Our current effort is producing key updates to the existing *Recreation Facility Development Plan, 1997-2010*; not a new plan at this time. Sometime in 2008 we anticipate commencing development of a "new" plan for the 2010-2030 timeframe and not a further additional amendment of the 1997-2010 Plan.

    4. Page 39, in the last paragraph, reference is made to a recommended facility in Friendship Heights not being a part of the Plan. This facility, recommended by the MNCPPC planning process, does not appear in the plan and is also not up to the minimum requirements for this type of facility.

    5. Page 44, it may be appropriate to note that our updated Plan will no longer appear as two separate documents effective with the completion of the 2004 update effort.

AN INVENTORY AND ANALYSIS OF MONTGOMERY COUNTY GOVERNMENT'S STRATEGIC AND LONG RANGE FACILITY PLANS

OLO REPORT 2004-2

APPENDIX

Appendix	Description	Circle Number
A	Strategic Planning and Performance Based Management Reforms in the Public Sector	© 1-5
B	Facilities Site Selection: MCG – No. 500152	© 6
C	January 4, 2000 Memorandum, Subject: Regional Center Directors' Role and Responsibilities	© 7-9

APPENDIX A

STRATEGIC PLANNING AND PERFORMANCE BASED MANAGEMENT REFORMS IN THE PUBLIC SECTOR

During the last fifteen years, governments at the federal, state and local level have combined strategic planning and performance measurement systems to create a continuous process of governing for results. This approach characterizes strategic planning as "a continuous process that requires constant feedback about how current strategies are working." This management structure relies on strategic planning to look forward while performance measures look backward. The organization conducts strategic planning to identify desired goals and uses performance measures to track achievements. Over time, these systems are intended to clarify an agency's goals, priorities and accomplishments.

This appendix discusses the relationship between strategic planning and performance based management reforms. The examples below illustrate how governments at the federal, state and local level use strategic planning as one piece of a broader reform effort to integrate planning, programming and budgeting.

A. MANAGING FOR RESULTS AT THE LOCAL GOVERNMENT LEVEL– MARICOPA COUNTY, ARIZONA

At the local government level, Maricopa County, Arizona uses Managing for Results, "a fully integrated management system focused on results for citizens." Maricopa County has an elected Board of Supervisors, a county manager appointed by the Board, and several officers who are elected countywide, including the assessor, the superintendent of schools, the county attorney, the treasurer, the clerk of the superior court, and the sheriff. The County serves as the statutory funding authority for these entities but has limited management authority. The Board of Supervisors also serves as the statutory board of directors for a flood control, library and stadium taxing district.

Maricopa County established its management structure over a five year period, with the help of a consulting firm. In 1998, the County's Office of Management and Budget developed a proposal for strategic budgeting which would align planning, budgeting and performance measurement in a unified process. The Resource Accountability Project (RAP) consisted of a steering committee and six pilot departments that attempted to develop strategic plans with fully aligned performance measures.

In 2000, the County retained a consulting firm to assist in broadening RAP to all departments. The County provided a strategic planning resource guide and staff training to help all departments develop strategic plans that integrated planning, budgeting and performance measures. Most plans were completed by the spring of 2001. Each departmental strategic plan includes an environmental assessment, an issue statement, a mission statement, and strategic goals. Since the Fall of 2001, each department has provided quarterly performance measurement data and progress commentaries.

The Board of Supervisors adopted a Managing for Results policy that indicated the Board's support for the effort and made it clear that department participation would be required for future funding. The County also established a corporate level review team to review and accept the department plans. This team also identified a list of issues the County would be facing. The Board of Supervisors reviewed this list, discussed how these issues would impact the County's established budget priorities and then adopted a mission statement and set of corporate strategic priorities.

In FY 2001, OMB used the Board of Supervisor's strategic direction and budget goals to evaluate departmental funding requests. The County enhanced its financial accounting system so that the structure of accounts parallels the programs, activities and services in each department's strategic plan. It also revamped the employee performance management system so that departmental performance measures are used to develop performance standards for individual employees.

Maricopa County reports that it is committed to a budget system that provides financial and performance information so that decision makers can make good, informed business decisions that achieve results. It states the County uses the operational structure of the strategic plan to structure financial planning and that reports for each departments ensure that the budget is driven by policy and customer needs. According to the County, "Integrating Budgeting for Results with strategic planning is critical in creating an integrated management system where financial resources, policy, departmental operations and County staff are aligned to achieve results."

B.   STATE PERFORMANCE-BASED BUDGETING REFORMS

Budgets often represent the most important and consequential policy statements that governments or nonprofit organization make. The research recommends that special efforts are necessary to make sure linkages exist between a strategic plan, a comprehensive plan and other implementation devices such as an operating budget and/or a capital improvements plan. During the same period the federal government implemented the Results Act, some state governments implemented performance-based budgeting to integrate strategic planning into the budget decision making process.

Whereas traditional budgeting focuses on directing spending through line item appropriations and uses incremental funding to satisfy immediate needs, performance-based budgeting relates appropriations to program performance and expected outcomes. A performance based budget differs from a traditional budget in several ways:

- It presents the major purpose for which funds are allocated and sets measurable objectives;
- It reports on past performance and allows comparison of programs rather than their line items;

- It offers managers flexibility to reallocate resources when conditions warrant, and it provides rewards for achievement and sanctions for failure; and
- It incorporates findings from periodic, performance specific evaluation and is supported by reliable credible information that can be independently verified.[1]

Like the underlying structure of the Results Act at the federal level, performance-based budgeting establishes an ongoing, cyclical relationship among strategic planning, i.e., a government's goals and objectives, a performance measurement system, and the budgeting process.

The role of strategic planning in each performance-based budgeting system varies widely, depending on the purpose and emphasis of the reform effort. For example:

- The Florida legislature enacted the Government Performance and Accountability Act (GPAA) to grant state agencies more flexibility in their use of resources while holding them accountable for their service delivery. It provided agencies incentives to deliver services efficiently and effectively. It measured agency performance against clearly defined missions, goals, and objectives and provided information on performance to the states citizens. Florida's GPAA management system concentrates on identifying programs that are conducive to performance based budgeting, developing performance measures (outputs and results) for these programs, and appropriating funds based on this information;

- In comparison, Texas based its performance based budget on an agency's strategic plan. An agency uses its strategic plan to identify goals, objectives and measures and these items are lifted into the budget. An agency receives funding based on the results of performance measures which describe how well the strategy works for achieving stated goals. An agency reports on a quarterly basis to a legislative board whose nonpartisan staff evaluate performance on measures. The state auditor reviews the measures for validity and reliability. An electronic tracking system that records measures and funding history supports the strategic planning and budgeting efforts.

A review of state government performance-based budgeting programs for the Florida legislature identified several useful lessons regarding the implementation of performance budgeting.

- A performance based budgeting system is largely intended to show public accountability of government so that a legislature and the public can understand the specific goals and strategies that public funds support. To be relevant, a performance measurement system must be tied to budget decisions. Otherwise, the system risks becoming merely another reporting mandate.

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[1] Carter, Karen, The Performance Budget Revisited: A Report on State Budget Reform. Legislative Finance Paper #91, National Conference of State Legislatures, Washington, DC, February 1991. Cited in Performance-Based Program Budgeting in Context: History and Comparison, Office of Program Policy Analysis and Government Accountability, April 1997, [page 2.

- Both the executive and legislative branches of government serve important leadership roles, particularly in defining the purposes of the effort. A joint and explicit understanding of the purpose between the legislature and chief executive is an essential element. A reform effort is more likely to fail if the executive and legislative branches have conflicting objectives and/or a conflicting understanding of why the reform is necessary.

- Agencies face several inherently difficult tasks in setting up a performance based budget. First, agencies lack training to think in evaluative ways. Second, because the problems a government attempts to solve are often larger social concerns with many contributing factors, it is difficult to determine how to hold an agency directly responsible for changes in these problems. Finally, demonstrating the results of long term activities in the short run is also a difficult expectation to meet.

- Using strategic planning as a budget basis has advantages and drawbacks. It makes the system more realistic for executive branch use because performance measures track the achievement of established goals. However, using strategic planning in this way may also reduce its utility for long range visionary thinking about the best solutions to identified problems. The format of a strategic plan may become less future oriented or change oriented and more focused on what is achievable with current resources. Thus, it may be limited as a tool to envision best solutions.

- Performance-based budgeting should not be expected to be a mechanistic, rational system that will replace the political process of making resource choices in a complex environment of competing demands. Instead, it can become an information based process that demands good performance through accountability, rewards good performance with flexibility and other incentives and offers decision makers and the public an understanding of the benefits derived through investment in government so they can make informed choices.

C. FEDERAL PERFORMANCE BASED BUDGETING REFORMS AND THE GOVERNMENT PERFORMANCE RESULTS ACT (GPRA)

Ten years ago, Congress enacted legislation to reform how federal agencies are managed. The centerpiece of this legislation was the GPRA or the Results Act. To hold federal agencies accountable for program results, the Act shifted the focus of government decision-making from activities to the results of activities. Federal agencies had to clarify their missions, set program goals, and measure performance towards achieving those goals.

According to GAO, the Results Act envisions a strategic plan as the starting point and basic underpinning for an agency's performance based management system. A strategic

plan serves as a basis for guiding agency operations. The plan helps Congress and other policymakers make decisions about activities and programs. A plan is also intended to be the starting point for the transformation that must occur for an agency to implement performance based management. Once a strategic plan is in place, annual performance planning and measurement are meant to create more direct links between long term strategic planning and daily agency operations.

The Results Act requires each plan to contain six elements:

- A comprehensive agency mission statement;
- General agency wide long term, outcome-related goals and objectives for all major functions and operations;
- A description of the approaches (or strategies) the agency will follow to achieve the goals and resources that will be needed;
- A description of the relationship between the long-term goals and objectives and the agency's annual performance goals;
- An identification of key external factors beyond the agency's control that could affect achievement of the agency's goals; and
- A description of how the agency used program evaluations to establish or revise strategic goals plus schedule of future evaluations.

GAO assessments of the strategic plans prepared by several federal agencies found that the plans were still a work in progress. GAO called for continued progress to improve agency efforts to set a strategic direction. Specifically, GAO found:

- Plans often did not clearly link strategic goals, objectives and strategies.
- Many goals did not focus on results and were not always expressed in a manner conducive to assessing progress in terms of actual performance.
- The descriptions of strategies were incomplete and underdeveloped because they lacked a discussion of how agencies would accomplish the goals. For example, some agencies failed to address critical issues such as unreliable information technology systems that threatened their ability to meet strategic goals and objectives.

GAO's assessment of the implementation of the Results Act identified the following barriers to implementation:

- A lack of agreement on agency mission by key stakeholders;
- The turnover rate of top political appointees;
- A lack of senior management involvement in goals and measures development;
- A lack of staff analytical and technical capacity to develop and maintain performance measurement information; and
- A lack of incentives to encourage agencies to undertake improvement initiatives.

Facilities Site Selection: MCG — No. 500152

Category	**General Government**	
Agency	**Public Works & Transportation**	
Planning Area	**Countywide**	
Relocation Impact	**None**	

Date Last Modified	**May 20, 2002**
Previous PDF Page Number	**9-13 (01 App)**
Required Adequate Public Facility	**NO**

EXPENDITURE SCHEDULE ($000)

Cost Element	Total	Thru FY01	Estimate FY02	Total 6 Years	FY03	FY04	FY05	FY06	FY07	FY08	Beyond 6 Years
Planning, Design and Supervision	310	1	159	150	25	25	25	25	25	25	0
Land											
Site Improvements and Utilities											
Construction											
Other											
Total	310	1	159	150	25	25	25	25	25	25	0

FUNDING SCHEDULE ($000)

	Total	Thru FY01	Estimate FY02	Total 6 Years	FY03	FY04	FY05	FY06	FY07	FY08	Beyond 6 Years
Current Revenue: General	310	1	159	150	25	25	25	25	25	25	0

ANNUAL OPERATING BUDGET IMPACT ($000)

DESCRIPTION
This project provides funds for site selection for these projects: North County Depot, Bethesda Police District Station, Damascus/Clarksburg Indoor/Outdoor Pools, West County Community Recreation Center, Kensington Community Recreation Center, Travilah Fire Station, and Kemp Mill Community Recreation Center.
Plans and Studies
Police Facilities Plan (Draft - October, 1999)
Recreation Facility Development Plan FY 1997-2010
Cost Change
Addition of FY03-FY08.
OTHER
These funds will be used for site selection only. No land will be purchased without notice to the County Council that must include the reasons why the proposed site is appropriate for the specific project being planned, including the expected size of the facility and how the site is responsive to community needs. Notice to the County Council regarding the purchase of land for the Silver Spring Library must include an evaluation of the current site. Any land acquisition will be funded initially through ALARF: MCG, then reimbursed by a future appropriation from the specific project. The County Council's Management and Fiscal Policy Committee intends to review the current processes for facility planning and site selection and may decide in future years that site selection should not continue to be a separate project.

APPROPRIATION AND EXPENDITURE DATA

		($000)
Date First Appropriation	FY01	
Initial Cost Estimate		140
First Cost Estimate		
Current Scope	FY03	310
Last FY's Cost Estimate		160
Present Cost Estimate		310
Appropriation Request	FY03	25
Appropriation Request Est.	FY04	25
Supplemental Appropriation Request	FY02	0
Transfer		0
Cumulative Appropriation		160
Expenditures/ Encumbrances		12
Unencumbered Balance		148
Partial Closeout Thru	FY00	0
New Partial Closeout	FY01	0
Total Partial Closeout		0

COORDINATION

Office of Management and Budget
Department of Public Works and Transportation, Division of Facilities and Services
Montgomery County Police Department
Department of Public Libraries
M-NCPPC
Regional Services Centers
Department of Recreation

MAP

MONTGOMERY COUNTY, MD
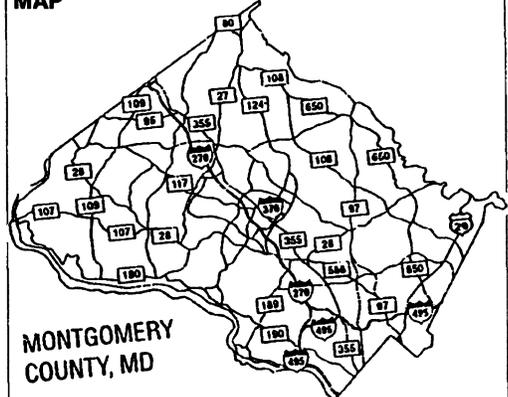
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MEMORANDUM

January 4, 2000

TO: Regional Service Center Directors
           Department Directors

FROM: Bruce Romer
           Chief Administrative Officer

SUBJECT: Regional Center Directors' Role and Responsibilities

Decision-making that reflects the needs of the community is an important and a distinguishing characteristic of Montgomery County and a critical objective of the County Executive. "Citizen democracy" will be best served when the County is fully in tune with community needs and recognizes that needs differ across the County and among its diverse interest groups.

The comprehensive understanding of the diversity of regional community needs and resources as provided by the five Regional Services Centers is a critical link in our decision-making process. Additionally, knowledge of what County departments and agencies are pursuing in the different regions is essential for coordination of effort, for efficiency and to ensure support from the community. Combining this understanding and knowledge of regional community needs and resources with our department objectives is a major responsibility of the Regional Service Centers working with the regional Citizen Advisory Boards.

For this reason I have been working with our five Regional Service Center Directors to elevate the role of the Center Directors in order to improve the County decision-making process and at the same time to continue to reinforce the importance of the regional Citizen Advisory Boards (CAB) as advisors to the County Executive.

Center Directors track most important issues that affect their regions and constituencies, and they provide the regional community viewpoint to my office. I attend all CAB monthly meetings and depend on them as a valuable source of input concerning issue development and resolution. I also expect the Center Directors to proactively work to keep departments informed of issues and to work together to resolve community problems. Further, it is my expectation that departments' internal processes will ensure Regional Service Center Directors

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Department Directors
December 29, 1999
Page 2

similar input, particularly for those issues that are brought forward to the Chief
Administrative Officer for action. The Executive and I believe that these efforts will help
us make better-informed local service delivery decisions.

It is time to formally strengthen and advance the role of the Regional
Services Centers to insure better-informed local service delivery decisions. I have
reviewed several options with the Center Directors that appropriately involve the Regional
Centers and want to provide a set of policies that are to be followed. Some of these
policies are not new, but may not be the practice of all departments.

- The Regional Service Centers Directors are direct extensions of the Office of
  the County Executive and Chief Administrative Officer in their regions and as
  such the Center Directors should be viewed essentially as having the most
  complete and direct knowledge of their respective regions. Frequent
  consultation and cooperation with the Center Directors must be the norm.

- Departments shall include Center Directors in planning efforts for new projects
  and initiatives early in the process. Center Directors will work with their
  CABs to coordinate citizen input.

- We are going to work, through the budget process, to provide resources to the
  Regional Centers to empower the Directors to be responsive to their
  communities when they have local issues that can and should be addressed
  expeditiously.

- Programs of Requirements (PORs) for any facilities (and the equivalent
  documents for infrastructure projects) will have a signature line for the Center
  Director from the respective area of the County where the project will be built.
  In the POR, the participating departments and the Center Director will define
  the site selection criteria that will be utilized in the site selection process.

- The respective Center Director will chair site selection committees for new
  facilities in their respective regions. DPW&T will provide the support for the
  site selection process, including all documentation and final report preparation.
  Drafting the decision memorandums making the final site recommendation to
  the Executive will be the responsibility of the Center Director.

Regional Service Center Directors
Department Directors
December 29, 1999

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- Decision Memorandums will include coordination with those Center Directors who have constituencies affected by the action under consideration. While this is often a judgement call to determine which Centers Directors should provide input, it is important to ensure the widest possible review of program and policy changes to ensure that all those who will be affected are consulted. Often, changes affect the regional centers either because they deal with the constituency or because the change impacts the operation of the regional center itself.

- Center Directors will become a regular participant in operating budget and capital improvement program considerations by OMB and the Office of the County Executive.

- Public meetings in the regions will be coordinated with the Center Directors as far in advance as practical. The Office of Public Information will establish a regular process for consultation and planning for events and information dissemination.

        Thank you in advance for your cooperation in this matter. Please contact me if you have any questions or suggestions as to other areas where we can improve our service delivery initiatives at the regional level.

BR:wmm

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