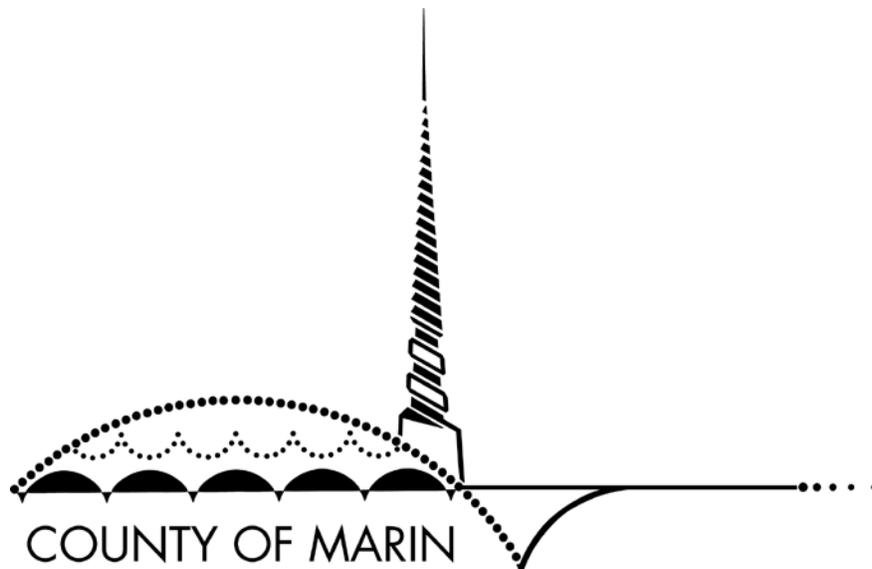
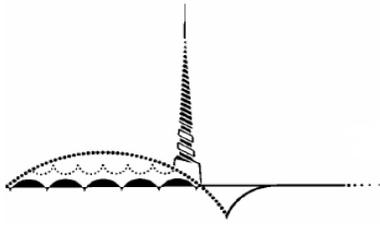


2014/2015 MARIN COUNTY CIVIL GRAND JURY

Managing for Results: A Fine Tool in Need of Sharpening

Report Date: June 19, 2015
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Managing for Results: A Fine Tool in Need of Sharpening

SUMMARY

Managing for Results (MFR) is a proven management method used by both government and private organizations to establish strategic priorities and manage progress towards achieving those priorities. MFR allows the organization to communicate its direction, monitor progress towards meeting its goals, invest resources strategically, and provide accountability for results.¹

In place since 2004, Marin County government's MFR program is implemented using six planned community priorities: Safe Communities, Healthy Communities, Sustainable Communities, Environmental Preservation, Community Preservation, and Organizational Summary. These community priorities should guide departments in setting their supporting goals and performance measurements. Currently, however, each department sets its own goals--typically quantitative counts of workload and results that do not capture goal-related outcomes. Many of the current MFR performance measurements used by Marin County fall short in measuring key results.

If Marin County's MFR program is to be effectively used to create an efficient county government, program goals and desired outcomes must be revised to create relevant measurements. Most managers interviewed are dismissive of the program, describing it as an administrative burden. In addition, the MFR annual reports posted on the County website offer little meaningful information for taxpayers.

The Grand Jury recommends designation of a Marin County government executive to be responsible for the MFR program. That executive would be accountable for building new goals and outcomes, developing a website "dashboard"² to publicly display and provide access to data, training of all personnel, and employing resident and business surveys to solicit Marin public opinion. The Grand Jury also recommends use of cross-department teams to assist in goal setting and to facilitate the process of continuous performance improvement.

BACKGROUND

¹ <http://web.pdx.edu/~stipakb/download/PA555/MFRtrainingslides.pdf>, 5.

² A user interface or Web page that gives a current summary, usually in graphic, easy-to-read form, of key information relating to progress and performance, especially of a business or website. <http://dictionary.reference.com/browse/dashboard>

A close examination of the metrics in the Managing for Results section of Marin County’s FY2014-16 budget documents led to Grand Jury concern. This concern increased after a review of the 2011 Marin County Civil Grand Jury report, *Managing for Results: Distraction or Game Changer?*, which questioned the program’s impact on how effectively Marin County government was operating and communicating its results. The Grand Jury decided to investigate Marin County’s current MFR Program as a follow-up to the 2011 report.

METHODOLOGY

The Grand Jury reviewed Marin County’s Performance Plans, the FY2014-16 Budget Plan, the 2011 Grand Jury report and subsequent responses to that report. Two Supervisors and thirteen County executives and department managers were interviewed. In addition, the Grand Jury consulted an expert in the field of government organizational change and studied the conclusions in two recent books on MFR.³ Telephone interviews with representatives of Coral Springs, Florida and Irving, Texas, both winners of the Malcolm Baldrige National Quality Award,⁴ were conducted.

DISCUSSION

What Is Managing for Results?

Managing for Results (MFR) is a proven management method used by both government and private organizations to establish strategic priorities and measure progress towards achieving them. The intention is to encourage policymakers, program officials, and front-line workers to establish goals that measure progress toward achievement of their strategic priorities and thereby use those results to improve performance.

A General Accounting Standards Board (GASB) study⁵ further defines an important feature of MFR:

“... to develop and track cost and performance data that allow the government to gauge its progress in reaching its goals and objectives, and tweaking (or changing) strategies, programs, policies, management systems, or budgets when necessary.”

³ Brown, Mark Graham. *Killer Analytics: Top 20 Metrics Missing from Your Balance Sheet*. Wiley and SAS Business Series. September 2013. Mallory, Richard E., *Quality Standards for Highly Effective Government*. Washington, DC: Trafford Library of Congress, 2014.

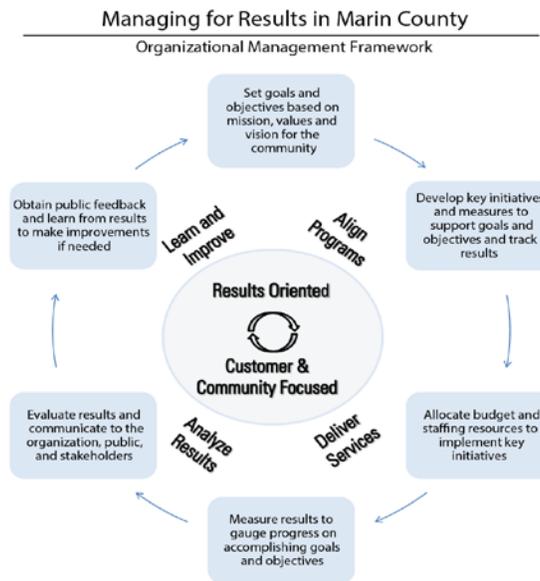
⁴ The U.S. government presents the Malcolm Baldrige National Quality award to organizations in both the public and private sectors that demonstrate excellence in management as defined by the *Baldrige Excellence Framework*.

⁵ Jonathan Walters, Mark Abrahams, and James Fountain. *Managing for Results – An Overview*. (Graham Brown, Wiley and SAS Business Series),13.

Marin County’s Implementation of MFR

The following graphic representation, found in Marin County’s annual budget planning document,⁶ illustrates the GASB definition of the MFR process:

FIGURE 1



In addition, the following statement⁷ found on the Marin County website describes the County of Marin’s MFR program:

In 2004, the Board adopted Managing for Results (MFR) as a key strategy to help the County ‘do the most important things well.’ The overall goals of the MFR program are to:

- Assist the Board of Supervisors by identifying and implementing countywide priorities and linking these priorities to department and program operations;
- Assist departments and programs in evaluating the quality of their services and make continuous improvements to service delivery;
- Inform the budget process to help allocate resources based on the highest priorities;
- Communicate the results and outcomes of our services to the community.

⁶ <http://www.marincounty.org/~media/files/departments/ad/management-and-budget/budget/budgetbook1416.pdf>, 27.

⁷ <http://www.marincounty.org/depts/ad/divisions/management-and-budget/performance-management>

In its Strategic Plans since 2005, the Marin County Board of Supervisors uses the following six Communities as the framework for its MFR program. These categories define goals reflecting the quality of life valued in Marin County. Each general goal (Community), its components and examples of the current indicators, i.e., quantitative measurements, are listed below:⁸

Healthy Communities (Public Health Services, Culture and Lifelong Learning Resources, Healthy Lifestyles). Current indicators include: clients served through Medi-Cal managed care, families receiving food stamps, new applications received for Medi-Cal, foodborne illness complaints responded to within 24 hours.

Safe Communities (Crime Prevention, Emergency Response, Social Justice, Safe Roadways, Emergency Preparedness). Current indicators include: child support cases with support orders, total number of all fires, average response time for sheriff calls.

Sustainable Communities (Affordable Housing, Diverse Modes of Transportation, Sustainable Economy, Efficient Resource Use, Energy Conservation). Current indicators include: new certified green businesses, cost per percent of diverted waste, square feet of road area resurfaced, hybrid and electric vehicles in county fleet.

Environmental Preservation (Environmental Stewardship and Enhancement, Agricultural Heritage, Waste Management, Land Use Planning). Current indicators include: number of acres organically farmed, percent of businesses complying with scanner regulations, ranch or dairy landowners participating in conservation management practices.

Community Participation (Accessible Public Facilities, Public Service Opportunities, Voter Participation, Diversity in Government). Current indicators include: cultural services ticket sales, days that the Marin Veterans' Memorial Auditorium is rented out, County Fair gate admission revenue, electronic items circulated by the library, library visits per resident.

Organizational Summary (Excellent Customer Services, Employer of Choice, Effective Communication, Managing for Results, Financial Responsibility). Current indicators include: percent of department initiatives achieved, debt service per capita, November election turnout, number of visitors to County website.

⁸ <http://www.marincounty.org/~media/files/departments/ad/management-and-budget/managing-for-results/fy1314mfryearendreview.pdf?la=en>, 2-13.

Four Obstacles to an Effective MFR Program

Based on its investigation, the Grand Jury concluded that Marin County government's MFR Program falls short of its potential. The Grand Jury identified the following as significant obstacles to Marin County's implementation of an effective MFR Program.

1. County Structure

Marin County government is organized by departments. This conventional structure may be effective for managing day-to-day operations. However, when multiple departments are separately working on the same goal, the "silo" effect of independent, unrelated activities can impede efforts to continuously improve performance. Improvement may require the formation of cross-department teams to work together on common goals. The Grand Jury found little evidence of using teams to solve problems or investigate improvement. In his book *Quality Standards for Highly Effective Government*,⁹ Richard Mallory concludes that a natural outcome of a team approach to problem-solving is improved processes and systems.

2. Lack of Management Commitment

Interviews with both elected officials and managers illustrate a disconnect with MFR as the tool for managing Marin County government. The Grand Jury heard remarks such as "MFR is just an exercise," "I prefer working with my staff," "I risk losing budget," "We just measure activity," and "It's a waste of my staff's time." The two Supervisors interviewed indicated their lack of involvement in the MFR program, mentioning only one annual meeting at which it was discussed.

One executive indicated that departments are reluctant to establish challenging goals or supply data reflecting shortfalls because they fear budget cuts or disciplinary action if they fail to reach their goals. As it currently exists, MFR measures routine activities but does not measure effectiveness. Further, there is no MFR audit function in place and MFR training is optional. While the County has attempted to utilize MFR for ten years, it remains a tenuous work in progress rather than an established vehicle for improving the performance of Marin County government.

3. Lack of Resident and Business Surveys

As noted in Figure 1, residential and business surveys are an essential component of the MFR process. Such surveys provide valuable insight into how county governance is viewed by the consumers of the county services. Marin County last performed a resident survey six years ago; the Grand Jury found no evidence of business surveys having been conducted.

4. Superficial Goals

⁹ Mallory, Richard E., *Quality Standards for Highly Effective Government* (Washington, DC: Trafford Library of Congress, 2014), 16.

The Grand Jury found that department goals do not align with community priorities, possibly because goals are being driven from the bottom up rather than from the top down. As a result, the Community goals contain few appropriate metrics. For instance, the Safe Community goal includes, as an indicator of safety, “child support with support orders” but has no measurement of crime or accident rates. The Healthy Community goal references “families receiving food stamps” but does not reference critical health parameters such as the incidence of cancer, cardiopulmonary disease or life expectancy.

Goals should be developed by answering such questions as “What makes a safe community?” If a community wants to be “safe,” what does that mean? How can “safe” be measured as an outcome? How can that measurement be reported? And then, how can “safety” be improved?

In addition to the absence of goals that reflect Community priorities, many Marin County government departments set goals that are easy to accomplish and measure but which achieve little in real progress and list many of the same goals year after year. Intended to measure outcomes, these goals instead measure activity or planned events. County leadership has apparently condoned this weakness and therefore lost the opportunity to lead an effective approach to continuous improvement. The Grand Jury believes this shortcoming reinforces the status quo and fails to challenge the organization.

The Grand Jury reviewed all 98 effectiveness measures in the County of Marin Fiscal Year 2013-14 Managing for Results Year End Report and found few that qualify as high-level metrics for Marin County government. **In fact, the Grand Jury found virtually no measures that represent key outcomes for education, transportation, housing, crime, accidents, or health care results desired at the Community level.**

The Marin County website contains MFR reports going back seven years. In recent years, the budget report and the year-end performance report each ran over 200 pages but lacked meaningful high level metrics, such as comparative crime rates or peer comparisons to other entities. This information gap makes it impossible to reach valid conclusions about the effectiveness of County government. The GASB document referenced earlier concludes with this statement about MFRs:

. . . the ultimate purpose of MFR is not to produce thick documents packed with data. The ultimate purpose of MFR is to provide a systematic process to help improve the way government is functioning: to develop goals and objectives, to manage based on intended results, to adjust policies and programs based on actual results, to budget based on strategies for achieving desired results, to identify ways to improve the performance of their programs, and to be

able to communicate to their constituents to what extent goals and objectives have been achieved.¹⁰

Example of Ineffective Charts and Ineffective Metrics

The Grand Jury selected the following chart regarding smoking cessation as a representative example of the 98 charts in the County of Marin Fiscal Year 2013-14 Managing for Results Year End Report purporting to show the effectiveness of Marin County’s government. The Grand Jury evaluated both the quality of the chart methodology in presenting information and the value of the data to the management of the Communities.

Objective: Maximize the effectiveness of tobacco education sessions and tobacco cessation groups¹¹

Workload Measures	2010/11	2011/12	2012/13		2013/14		Result
	Actual	Actual	Actual	Target/Estimate	Actual	Target/Estimate	
Number of adults participating in tobacco education services	360	300	325	300	290	300	
Number of adults participating in tobacco cessation services	70	65	76	65	74	65	
Number of agencies/clinics that are trained to promote cessation services	10	8	5	8	11	8	
Effectiveness Measures							Result
Percent of program participants that have quit or reduced smoking at six months following program completion	60%	55%	55%	55%	55%	55%	ACHIEVED

Ineffective Chart

The design of the chart is ineffective because:

- The data are not compared to any benchmark or best practice data, e.g., no benchmark is shown of other cessation programs to gauge what is realistically achievable.
- Actual results are not compared with the target for 2010/11 and 2011/12.
- No explanation is given for what “reduced smoking” means or whether such a reduction has any substantive effect on a person’s health.
- Last column to right is ambiguous: top three spaces are empty, yet the corresponding spaces to the left compare actual to target.
- The stated objective does not present a clear statement of purpose including a measurable and meaningful outcome. The objective should be to maximize the number of people who quit smoking rather than the “. . . effectiveness of tobacco education sessions and tobacco cessation groups.”

Ineffective Metrics

¹⁰ Walters, Abrahams, and Fountain, *Managing for Results*, 24.

¹¹County of Marin Fiscal Year 2013-14 Managing for Results Year End Report, 131.

The numbers in the chart show:

- Over a 20% drop occurred in the participation in education services, from 360 in 2011 to 300 in 2014, with NO explanation of why this happened.
- Participation in tobacco cessation services was flat over a four year period with only five or six people participating per month with no explanation.
- No intent to achieve *better* outcomes, indicated by the mediocre expectation of a 55 percent success rate for each of the last three years, down from a high of 60 percent in 2011. Thus, the targets (percentages) in the chart show a failure to strive for improved results.
- Smoking cessation is a worthy sub-goal of a “Healthy Community” but in a county with a population of over 258,000, the target of forty-one people (74 times 55%) ceasing **or** reducing smoking is insignificant, particularly if some of those have only “reduced” their amount of smoking.

A “Story Behind Performance” paragraph, written for many other performance charts, would have been helpful to answer the above-mentioned concerns.

Doubtful Value to the Community

The data raise questions about the value Marin County gains from this program and makes the Grand Jury question whether any program with such mediocre results should be continued:

- The number of participants in the education program decreased over the period covered by the report. Going back one additional year, the reviewer would find that 805 people participated in the 2009-2010 fiscal year, thus making more recent results even less impressive.
- The number of participants who quit smoking **or** reduced their usage (reduction not defined) comes to 41, an insignificant health accomplishment in a population of over 258,000.
- The reduction in the number of participants and the lack of improvement in the success rate should have raised questions from management.

Effective Metrics: Raising the Bar

The concept of results management is crucial to the success of an MFR program. Accordingly, the Grand Jury found examples of result metrics that other government agencies have created to measure performance.

Under an MFR approach, a department made a broader goal for itself of safe, efficient highways and used it as a prime directive to influence their officers in the field. Instead of judging a patrol officer on number of traffic stops, number of drivers assisted, and so forth, the department focused on results-oriented criteria such as accident rates throughout the state’s highway system (e.g., “safe highways”). Almost immediately, officers started to think and act differently, such as writing tickets to slow drivers along particularly hazardous stretches of road and reporting potholes or poorly marked lanes

which the Transportation Department could then address. Not surprisingly, accident rates dropped.¹²

To illustrate the use of effective metrics, the Grand Jury selected three programs: State of Maryland; Coral Springs, Florida; and Los Angeles, California. (See Appendix A for examples of these graphics.)

Maryland uses many measures to track its results and illustrates percentage improvement as the criterion for performance acceptability. The Grand Jury considered Coral Springs, Florida, a winner of the Baldrige Award, as a good source of best practices as it uses benchmark data and trends to compare its performance against other cities, as well as to its county, its state and the nation. The City of Los Angeles employs a feature referred to as the “Dashboard.”¹ In its budget and strategic plan, the city identifies groupings similar to Marin’s Communities and then breaks out significant metrics to which City executives and residents can easily relate. The metrics collectively capture the essence of quality of life in their city. A single click on the Dashboard brings the observer to the detail making up a Dashboard metric. Thus a person can go from strategic viewer to analyst very quickly and begin evaluating opportunities for improvement.

CONCLUSION

If the County of Marin MFR program is to be effective in creating an efficient county government, the program goals and desired results must be revised to create relevant outcomes that can be measured. Over the years Marin County has failed to realize the potential of their MFR Program. Rather than challenging departments with strategic, improvement-oriented metrics, the County allowed the use of many activity measures that do not measure anything meaningful. The Grand Jury believes this should be rectified.

See Appendix B, “Rebooting the Managing for Results Program,” for regenerating an MFR program. See Appendix C, “Significant Features of Baldrige Award Winners,” for qualities found in Baldrige Award winners applicable to transforming an organization.

FINDINGS

- F1. The Marin County government’s MFR program is not an integral part of the strategic planning process.
- F2. The current quantitative measurements of the MFR program are not aligned with the important goals of the Communities described in the strategic plan.
- F3. The Board of Supervisors has not utilized the MFR program to improve Marin County services.

¹² Walters, Abrahams, and Fountain, *Managing for Results*, 13.

- F4. Department managers are not using MFR metrics as an integral part of a continuous improvement activity; a majority of department metrics show little or no history of improvement.
- F5. The County fails to portray its data in a modern multimedia form to transmit information to its employees and the public, e.g., it does not use a dashboard or similar displays of data.
- F6. MFR reports do not compare benchmark results of other similar government entities as a tool for evaluation.
- F7. The Marin County government has not conducted a resident survey in six years, and the Grand Jury found no evidence of business surveys being conducted, thereby missing the opportunity to gather critical feedback to guide County efforts.

RECOMMENDATIONS

- R1. The Marin County Board of Supervisors strengthens the Managing for Results Program with meaningful goals and measurements that emphasize major outcomes or eliminates the MFR Program.
- R2. The Marin County Board of Supervisors designates a County executive to be responsible for the MFR Program including the following:
- Build new goals and outcomes.
 - Develop a dashboard to publicly display Community group and department level metrics.
 - Develop an MFR training program ranging from basic orientation to advanced certifications.
 - Develop cross-department teams to define community goals and implement improvement initiatives using established problem solving techniques.
 - Conduct resident and business surveys to provide insight into how County services are viewed by the consumers of those services.

REQUEST FOR RESPONSES

Pursuant to Penal Code section 933.05, the Grand Jury requests responses as follows:

From the following governing body:

- Marin County Board of Supervisors: All Findings and Recommendations

The governing bodies indicated above should be aware that the comment of response of the governing body must be conducted subject to the notice, agenda and open meeting requirements of the Ralph M. Brown Act.

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APPENDIX A

This appendix contains a variety of metric presentation techniques designed to provide on-demand performance data for the public on the government agency's website. The techniques also display information to trigger staff's critical thinking about performance improvement.

Los Angeles

Los Angeles' management framework is similar to Marin's use of the Communities. From that framework they derive categories of icons related to performance. By selecting any icon on the dashboard shown below, the observer can easily display more detailed levels of information leading to valuable insight into root causes of problems.

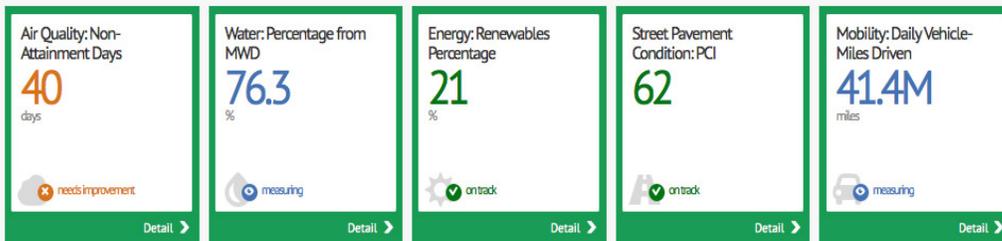
Los Angeles' Use of Dashboards¹³

¹³ "Los Angeles Dashboard." Socrata. Accessed March 29, 2015. <https://performance.lacity.org/>

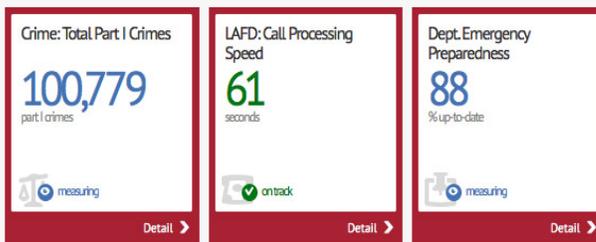
A Prosperous City



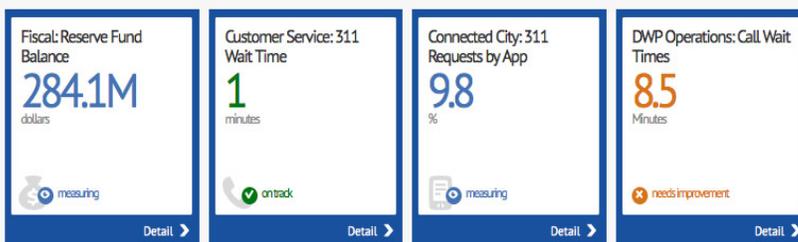
A Livable and Sustainable City



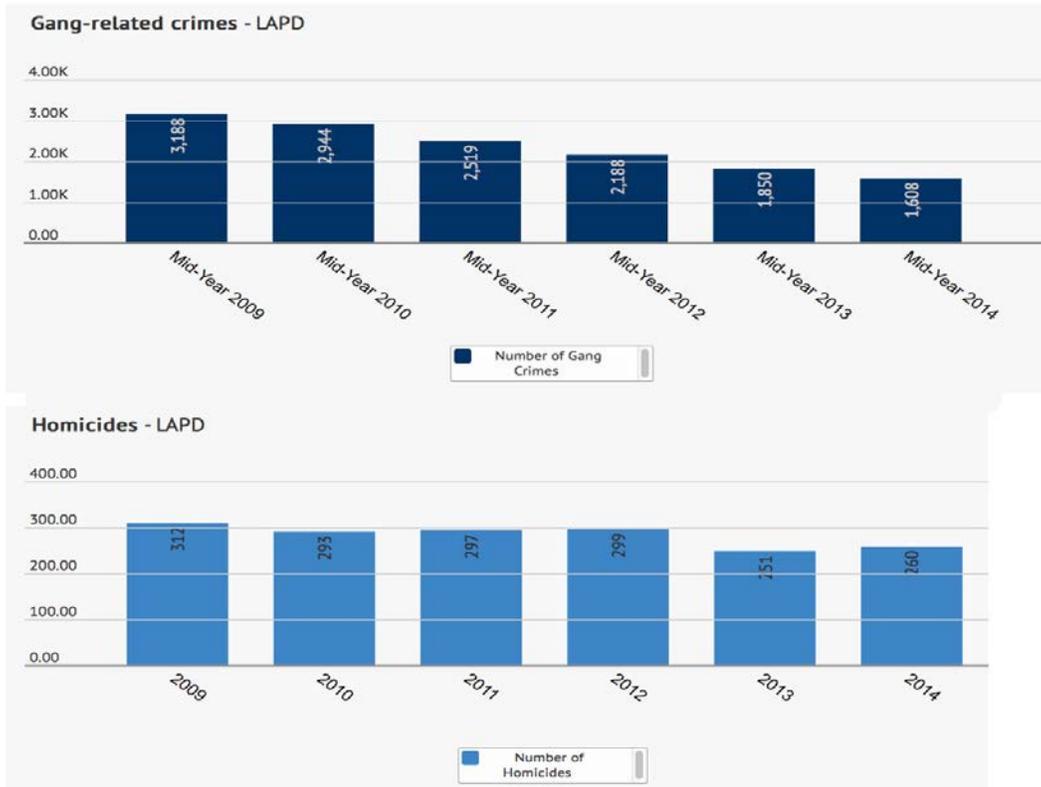
A Safe City



A Well-Run Government

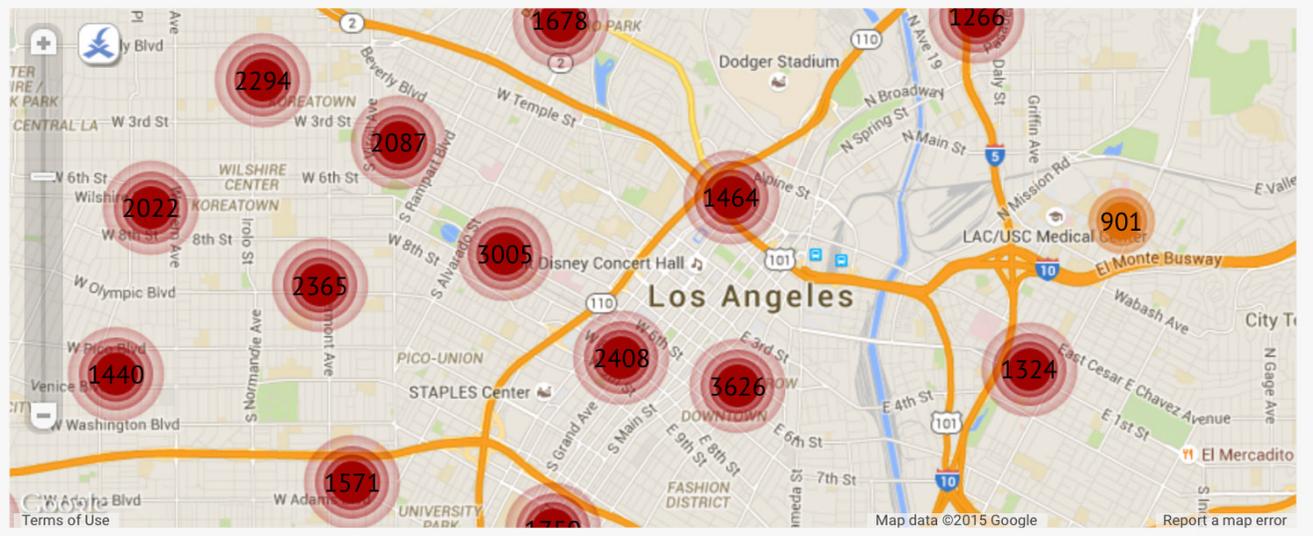


The presentation below results from selecting an icon on the Dashboard to show underlying details on the crime metric.



Crime and Collision Map - LAPD

The following map displays all crimes and collisions within the past month.

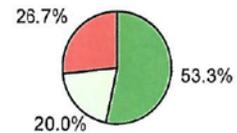


Maryland’s Use of Graphics¹⁴

The state of Maryland’s MFR program uses many measures to track results of various initiatives. In the following charts, the excellent color-coded display alerts the reader to measures requiring attention and to those performing well. Percentage improvement constitutes the criterion for performance acceptability.

MARYLAND: SMART, GREEN AND GROWING

Status	Number of Indicators	Percent
Favorable Performance (Change >10%)	8	53.3%
Favorable Performance (3% to 10% Change)	3	20.0%
Stable Performance (0% - 2% Change)	0	0.0%
Unfavorable Performance (3% to 10% Change)	0	0.0%
Unfavorable Performance (Change > 10%)	4	26.7%
Total	15	100%



Agency/ Data Source	Indicator	2008	2009	2010	2011	2012	4 Year Change
UMCES EcoCheck	Chesapeake Bay Habitat Health Index- MD (CY 2008 - CY 2011)	41%	45%	40%	33%		-19.5%
DNR	Acres of submerged aquatic vegetation (CY 2008 - CY 2012)	42,481	47,286	40,192	34,424	24,512	-42.3%
DNR	Dredge survey index of stock size - crabs (2009 - 2013)	43	67	52	79	32	-25.6%
DNR	Oyster biomass index (2009 - 2013)	0.9	0.9	0.9	1.6	1.6	77.8%
DNR	Estimated nitrogen load to the Chesapeake Bay from Maryland (in million lbs.) (2008 - 2012)	54.36	52.12	52.76	50.15	49.96	-8.1%
MDA	Acres of cover crops planted (2009 - 2013)	238,839	206,810	381,257	402,000	413,826	73.3%
MDE	Waters impaired by nutrients per the Integrated Report of Surface Water Quality (2004 - 2012)	97	85	75	62	20	-79.4%

Coral Springs’ Use of Benchmarks¹⁵

¹⁴ Maryland Department of Budget and Management, *Managing for Results Annual Performance Report*, January 2014, 53.

Using both bar charts and line graphs, the City of Coral Springs, Florida uses benchmark data and trends to compare its performance to other locations.

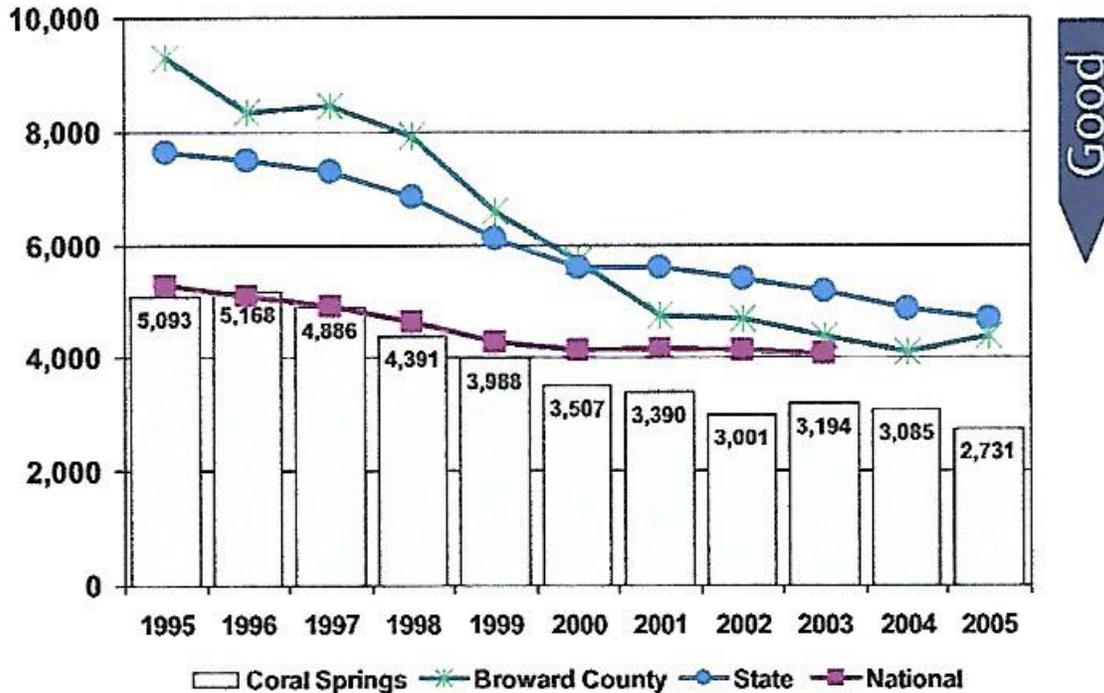


Figure 7.1-6 Crime Rate Incidents per 100,000 (Composite Index Indicator and KIO)

The City of Coral Springs’ crime rate is lowest in State and the fourth lowest in the nation for cities with populations of 100,000-499,999. We had the 10th lowest crime rate in the United States overall, in all categories.

¹⁵ City of Coral Springs, Florida, *Coral Springs Application for the 2007 Malcolm Baldrige National Quality Award* (Coral Springs, FL, 2014), 39.

The figure below represents another way of conveying comparison information.¹⁶

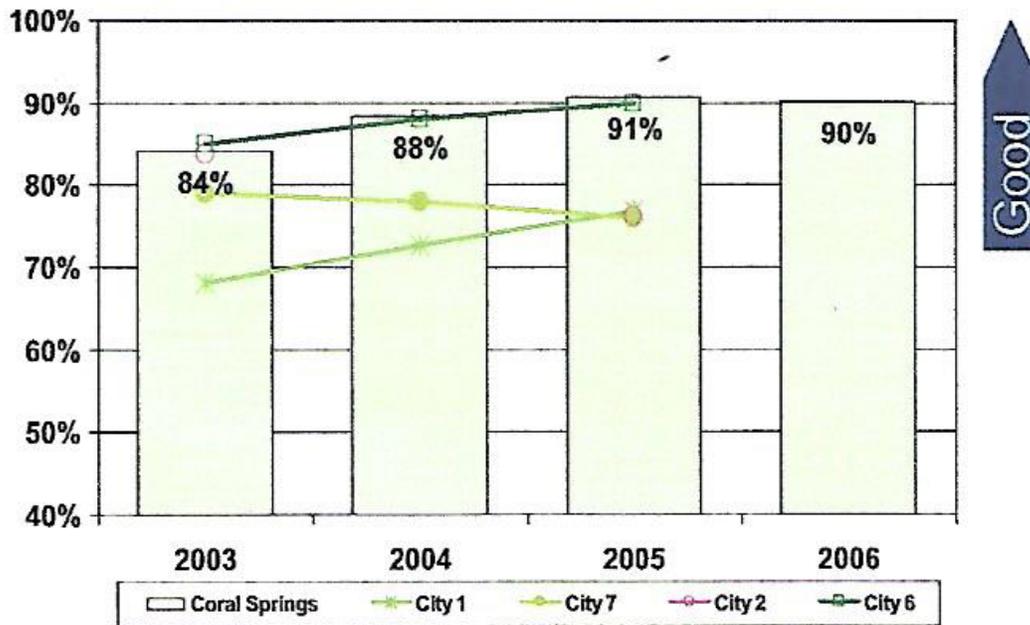


Figure 7.1-8 Fractal Response in Eight Minutes or Less by the Fire Department for Fire Calls

Recent fire truck and fire station redesign have reduced turnout time for emergency calls. Coral Springs is within the range of other ICMA benchmark cities.

APPENDIX B

REBOOTING THE MANAGING FOR RESULTS PROGRAM

Understanding the Need for Performance Goals

The County leadership must set performance goals affecting the quality of life for identified communities of interest. These performance goals should provide the exclusive trigger for action in a continuous improvement environment. Departments’ performance goals should be directed toward improving the communities. (Refer to Appendix C for proven successful practices.)

¹⁶ Ibid, 39.

Transparency

In order for performance goals to fulfill the desired function, they must be well integrated into a user-friendly on-line information system often known as a Dashboard. The Dashboard provides link access from the community metrics to the pertinent department performance goals.

A Short List of Possible Metrics

Some of the major metrics suggested for the communities are:

SAFE COMMUNITY

- | | | | |
|---|------------------|---|---------------|
| 1 | Crime statistics | 4 | Fires |
| 2 | Gang activity | 5 | Floods |
| 3 | Accidents | 6 | Other hazards |

HEALTHY COMMUNITY

- | | | | |
|----|----------------------------------|----|-----------------------------------|
| 9 | Life expectancy (demographic and | 15 | Disease vectors |
| 10 | geographic) | 16 | Cancer |
| 11 | EMS effectiveness | 17 | Heart disease |
| 12 | Substance abuse | 18 | Mental health prevention measures |
| 13 | Obesity | 19 | |
| 14 | Homelessness | | |

SUSTAINABLE COMMUNITY

- | | | | |
|----|---------------------|----|--------------------|
| 22 | Education | 26 | Road conditions |
| 23 | Housing | 27 | Water conservation |
| 24 | Transportation | 28 | Waste management |
| 25 | Economic conditions | | |

ENVIRONMENTAL COMMUNITY

- | | | | |
|----|----------------|----|-------------------------|
| 31 | Air quality | 33 | Earthquake preparedness |
| 32 | Sea level rise | | |

COMMUNITY PARTICIPATION

- | | | | |
|----|---------------------|----|--------|
| 36 | Voter participation | 38 | Events |
| 37 | Volunteers | | |

WELL RUN GOVERNMENT

- | | | | |
|----|------------------------------------|----|-------------------------|
| 41 | Financial Performance | 45 | Pension Liability |
| 42 | Staffing levels | 46 | Problem solving culture |
| 43 | Resident and business satisfaction | | |
| 44 | (survey results) | | |

47
48
49
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1 **Additional Suggestions**

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- 3 1. The communities identified in the Budget Plan satisfy the intent, but the Grand Jury
- 4 suggests that the passive “Organizational Summary” be changed to “Well Run
- 5 Government.”
- 6
- 7 2. Metrics should be designed to assure evaluation and action at appropriate intervals.
- 8 Long-term trends such as job growth may deserve attention quarterly while disease
- 9 outbreaks may need real time monitoring.
- 10
- 11 3. Encourage interested managers to join the American Society for Quality, Government
- 12 Division to give them access to best practices in government.
- 13
- 14 4. To challenge the organization, consider comparing the County government against
- 15 the Baldrige Excellence Framework, then apply for the Malcolm Baldrige National
- 16 Quality Award. The County may find Baldrige Excellence Checklist helpful in the
- 17 initial evaluation.
- 18
- 19
- 20

21 **APPENDIX C**

22

23 **SIGNIFICANT FEATURES OF BALDRIGE AWARD WINNING CITIES (FROM INTERVIEWS**

24 **WITH IRVING AND CORAL SPRINGS)**

25

- 26 1. The cities used the Baldrige framework to evaluate their organizations and make
- 27 changes accordingly to become most effective.
- 28
- 29 2. All staff members knew how their responsibilities aligned with the strategic goals of
- 30 the government.
- 31
- 32 3. The chief city executive drove the process; s/he was the champion. The process was
- 33 driven from the top down, not the bottom up.
- 34
- 35 4. One city created a support organization to monitor progress, lead major improvement
- 36 efforts, and manage resident and employee surveys which were accomplished by on-
- 37 line suppliers.
- 38
- 39 5. One city trained 53 employees with different levels of certifications in Lean Six
- 40 Sigma (problem-solving) programs.
- 41
- 42 6. One city created dashboards for each strategic goal as well as for department level
- 43 activities.
- 44

- 1 7. Monetary incentives such as bonuses or theater tickets were used to stimulate
2 employee interest and recognize achievements. Budget surpluses provided funding
3 for some of the resources.
4
- 5 8. Each city was still enthusiastically engaged in the system improvement process even
6 though a number of years had elapsed since they won the award.
7
- 8 9. The focus was always on improvement. Failure to meet goals was not viewed as a
9 performance issue but as an opportunity for further improvement.
10
11

12 Reports issued by the Civil Grand Jury do not identify individuals interviewed. Penal Code Section 929 requires that
13 reports of the Grand Jury not contain the name of any person, or facts leading to the identity of any person who
14 provides information to the Civil Grand Jury. The California State Legislature has stated that it intends the provisions
15 of Penal Code Section 929 prohibiting disclosure of witness identities to encourage full candor in testimony in Civil
16 Grand Jury investigations by protecting the privacy and confidentiality of those who participate in any Civil Grand Jury
17 investigation.