Results Accountability
Decision-making
and Budgeting

Fiscal Policy Studies Institute
Santa Fe, New Mexico

WEBSITES
www.resultsaccountability.com
www.raguide.org

BOOK ORDERS
www Trafford.com
www.amazon.com
Results Accountability

is made up of two parts:

**Population Accountability**
about the well-being of
WHOLE POPULATIONS
For Communities – Cities – Counties – States - Nations

**Performance Accountability**
about the well-being of
CLIENT POPULATIONS
For Programs – Agencies – and Service Systems
Results Accountability

COMMON LANGUAGE

COMMON SENSE

COMMON GROUND

THE LANGUAGE TRAP
Too many terms. Too few definitions. Too little discipline

Modifiers
- Measurable
- Urgent
- Priority
- Targeted
- Incremental
- Core
- Qualitative
- Programmatic
- Performance
- Strategic
- Systemic

Symbols:
- Benchmark
- Result
- Goal
- Objective
- Target
- Measure
- Indicator

Lewis Carroll Center for Language Disorders
DEFINITIONS

RESULT or OUTCOME
A condition of well-being for children, adults, families or communities.
Children born healthy, Children succeeding in school, Safe communities, Clean Environment, Prosperous Economy

INDICATOR or BENCHMARK
A measure which helps quantify the achievement of a result.
Rate of low-birthweight babies, Rate of high school graduation, crime rate, air quality index, unemployment rate

PERFORMANCE MEASURE
A measure of how well a program, agency or service system is working.
1. How much did we do?
2. How well did we do it?
3. Is anyone better off? = Customer Results

From Ends to Means
From Talk to Action

RESULT or OUTCOME
ENDS

INDICATOR or BENCHMARK

PERFORMANCE MEASURE
MEANS

Customer result = Ends
Service delivery = Means
POPULATION ACCOUNTABILITY

For Whole Populations in a Geographic Area

Fiscal Policy Studies Institute
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Results for All Residents of the State, County, City or Neighborhood

A Prosperous Economy
A Clean Environment
Healthy and Safe Communities
Children Ready for and Succeeding in School
Parents and Other Adults Healthy and Self-Sufficient
Elders Living with Dignity in Setting of Their Own Choice

See also: "Healthy, Wealthy and Wise" or "Life Liberty and the Pursuit of Happiness"
## Results for Children, Families and Communities

A Working List

- Healthy Births
- Healthy Children and Adults
- Children Ready for School
- Children Succeeding in School
- Young People Staying Out of Trouble
- Stable Families
- Families with Adequate Income
- Safe and Supportive Communities

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### Every Child Matters – Children Act

Outcomes for Children and Young People

#### Being Healthy:
Enjoying good physical and mental health and living a healthy lifestyle.

#### Staying Safe:
Being protected from harm and neglect and growing up able to look after themselves.

#### Enjoying and Achieving:
Getting the most out of life and developing broad skills for adulthood.

#### Making a Positive Contribution:
To the community and to society and not engaging in anti-social or offending behaviour.

#### Economic Well-being:
Overcoming socio-economic disadvantages to achieve their full potential in life.
Placer County, California

OUTCOMES for CHILDREN

SAFE
HEALTHY
AT HOME
IN SCHOOL
OUT OF TROUBLE

SMART Outcomes - Child Assessment Form

Child's name: [Name]
Date: [Date]
Assessment by: [Assessor]

SAFE
1. 54312: Physical and emotional needs are being met.
2. 54312: Non-aggressive or physical or emotional victim.
3. 54312: Not exposed to injury or illness.
4. 54312: Not engaging in self-harm or risk of injury or illness.
5. 54312: Well nourished, cared for, protected and responded.

HEALTHY
6. 54312: Experiencing physical and emotional well-being, free of disease or recurring illness.
7. 54312: Experiencing positive self-esteem and self-conceptual behavior.
8. 54312: Maintaining good or regular health care.
9. 54312: Free of illness, injury, or hospitalization.
10. 54312: Not pregnant, not causing pregnancy, or program participating in prenatal care.
11. 54312: Achieving appropriate level of physical, mental, and emotional development.

AT HOME
12. 54312: Living in a safe, stable, and nurturing environment.
13. 54312: Interacting positively with all other persons at home.
14. 54312: Receiving appropriate care, shelter, food, and other necessities of life.
15. 54312: Experiencing a positive family and community environment.

IN SCHOOL
16. 54312: Enrolled in a school program that suits abilities and goals.
17. 54312: Participating, engaged in school work, and learning.
18. 54312: Sustaining good grades appropriate to ability, level of development, and future goals.

OUT OF TROUBLE
20. 54312:.Ongoing at risk.
21. 54312: Engaged in self-controlled, positive, non-violent behavior.
22. 54312: Pursuing and enjoying non-violent activities.
23. 54312: Not in crisis or on probation.
24. 54312: Not associating or socializing with gangs.
25. 54312: Contributing to the health and safety of the community.

ASSESSMENT RATING KEY:
1 = Sustaining the outcome with no system support
2 = Sustaining the outcome with limited system support
3 = Sustaining the outcome with complex system support
4 = Sustaining the outcome with complex system support
5 = In crisis
1 = Crisis (If crisis rating is met, a plan of action must be developed.)
MEANS not ENDS

To Improving Results In Themselves

1. COLLABORATION
2. SYSTEMS REFORM
3. SERVICE INTEGRATION
4. DEVOLUTION
5. FUNDING POOLS

Leaking Roof
(Results thinking in everyday life)

Experience:
Measure:
Story behind the baseline (causes):
Partners:
What Works:
Action Plan:
Results-Based Decision Making
Getting from Talk to Action

**Population:** e.g. Children prenatal to age 5

**Result:** e.g. Children enter school healthy and ready to learn

What we want for children in plain English, plain Spanish...

**Indicators:**
(Measures of the result)

1. 
2. 
3. 
4. 

Plus a Data Development Agenda

**Baselines:**
Where we've been & where we're headed

**Story**
behind the baselines:
The causes, the forces at work; the epidemiology of the baselines

**Partners**
with a role to play:
Public and private sector agencies and individuals

**What works**

What would it take to turn the curve in this community, best practices, best hunches

Plus Information & Research Agenda Part 2

**Criteria**
Could include:
- **Specificity:** clear who, what, when, where, how
- **Leverage:** power to turn the curve
- **Values:** consistent with community values
- **Reach:** feasible, affordable

**Action Plan and Budget**
What we propose to do: multi-year action plan and budget

How the "what works" pieces fit together in a community system of services and supports

**Performance Measures:** Measures of how well programs, services, supports, agencies and service systems, included in the action plan, are working: How much did we do? How well did we do it? Is anyone better off?

Plus a Cost of Bad Results Analysis

Plus Information & Research Agenda Part 3
Criteria for Choosing Indicators as Primary vs. Secondary Measures

Communication Power
Does the indicator communicate to a broad range of audiences?

Proxy Power
Does the indicator say something of central importance about the result?
Does the indicator bring along the data HERD?

Data Power
Quality data available on a timely basis.

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Choosing Indicators Worksheet

Outcome or Result: Safe Community

<table>
<thead>
<tr>
<th>Candidate Indicators</th>
<th>Communication Power</th>
<th>Proxy Power</th>
<th>Data Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measure 1</td>
<td>H M L</td>
<td>H M L</td>
<td>H M L</td>
</tr>
<tr>
<td>Measure 2</td>
<td></td>
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<tr>
<td>Measure 3</td>
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<tr>
<td>Measure 4</td>
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<tr>
<td>Measure 5</td>
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<tr>
<td>Measure 6</td>
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<tr>
<td>Measure 7</td>
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<tr>
<td>Measure 8</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Data Development Agenda
Three Part Indicator List for each Result

Part 1: Primary Indicators
- 2 or 3 or 4 "Headline" Indicators
- What this result “means” to the community
- Meets the Public Square Test

Part 2: Secondary Indicators
- Everything else that's any good (Nothing is wasted.)
- Used later in the Story behind the Curve

Part 3: Data Development Agenda
- New data
- Data in need of repair (quality, timeliness etc.)

The Matter of Baselines

Baselines have two parts: history and forecast
The Cost of Bad Results

The costs of remediating problems after they occur

**Revenue**

**Investment Track**

**Cost**

**Convergence of Cost & Revenue**

$300 billion

**Invest in prevention to reduce or avoid out-year costs.**

---

**Total Cost of Bad Results**

*United States 1971 - 2010*

- **Current $**
- **Constant $**
- **Forecast Current $**
- **Forecast Constant $**

- 2005
Alternative to Traditional Evaluation Methods:
DEMONSTRATING a CONTRIBUTION
to complex change efforts ... requires 3 elements:

A Curve to Turn

1. We tried a bunch of stuff that had a credible chance of making a difference ...

2. ... and it had a timely relationship to ....

3. ... a turn in the curve.
Performance Accountability
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“All performance measures that have ever existed for any program in the history of the universe involve answering two sets of interlocking questions.”
**Program Performance Measures**

<table>
<thead>
<tr>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>How Much</strong></td>
<td><strong>How Well</strong></td>
</tr>
<tr>
<td>did we do?</td>
<td>did we do it?</td>
</tr>
<tr>
<td>(#)</td>
<td>( % )</td>
</tr>
</tbody>
</table>

**Program Performance Measures**

<table>
<thead>
<tr>
<th>Effort</th>
<th>Effect</th>
</tr>
</thead>
<tbody>
<tr>
<td>How hard did we try?</td>
<td>Is anyone better off?</td>
</tr>
</tbody>
</table>
Program Performance Measures

<table>
<thead>
<tr>
<th>Effort</th>
<th>How</th>
<th>How</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Much</td>
<td>Well</td>
</tr>
<tr>
<td></td>
<td>Effect</td>
<td></td>
</tr>
</tbody>
</table>

Performance Measures

<table>
<thead>
<tr>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Input Effort</td>
<td></td>
</tr>
<tr>
<td>How much service did we deliver?</td>
<td>How well did we deliver it?</td>
</tr>
<tr>
<td>Output Effort</td>
<td></td>
</tr>
<tr>
<td>How much change / effect did we produce?</td>
<td>What quality of change / effect did we produce?</td>
</tr>
</tbody>
</table>
Performance Measures

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much did we do?</td>
<td>How well did we do it?</td>
<td></td>
</tr>
</tbody>
</table>

Effect

<table>
<thead>
<tr>
<th>#</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is anyone better off?</td>
<td></td>
</tr>
</tbody>
</table>

Education

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of students</td>
<td>Student-teacher ratio</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effect</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of high school graduates</td>
<td>Percent of high school graduates</td>
<td></td>
</tr>
</tbody>
</table>

Education

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of students</td>
<td>Student-teacher ratio</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effect</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of high school graduates</td>
<td>Percent of high school graduates</td>
<td></td>
</tr>
</tbody>
</table>
### Education

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>How much did we do?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Number of students</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Student-teacher ratio</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effect</th>
<th>Quality</th>
<th>How well did we do it?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Is anyone better off?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of 9th graders who enter college or employment after graduation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Percent of 9th graders who enter college or employment after graduation</td>
</tr>
</tbody>
</table>

### Health Clinic

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>How much did we do?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Number of patients treated</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effect</th>
<th>Quality</th>
<th>How well did we do it?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Is anyone better off?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Profit amount</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Recovery number (for patients of the clinic)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Percent of patients treated in less than 1 hour</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Profit rate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Recovery rate (for patients of the clinic)</td>
</tr>
</tbody>
</table>
How much did we do? How well did we do it? Is anyone better off?

**Health Clinic**

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>How much did we do?</td>
<td>How well did we do it?</td>
</tr>
<tr>
<td></td>
<td>Number of patients treated</td>
<td>Percent of patients treated in less than 1 hour</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Is anyone better off?</th>
</tr>
</thead>
<tbody>
<tr>
<td># children fully immunized</td>
</tr>
</tbody>
</table>

**Drug/Alcohol Treatment Program**

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>How much did we do?</td>
<td>How well did we do it?</td>
</tr>
<tr>
<td></td>
<td>Number of persons treated</td>
<td>Percent of staff with training/certification</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Is anyone better off?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of clients off of alcohol &amp; drugs</td>
</tr>
<tr>
<td>- at exit</td>
</tr>
<tr>
<td>- 12 months after exit</td>
</tr>
</tbody>
</table>

| Percent of clients off of alcohol & drugs |
| - at exit |
| - 12 months after exit |
Fire Department

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much did we do?</td>
<td>Number of responses</td>
<td>Response Time</td>
</tr>
<tr>
<td>How well did we do it?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is anyone better off?</td>
<td>Amount of building damage in fire call responses</td>
<td>Percent of building damage in fire call responses</td>
</tr>
</tbody>
</table>

General Motors

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much did we do?</td>
<td># of production hrs # tons of steel</td>
<td>Employees per vehicle produced</td>
</tr>
<tr>
<td>How well did we do it?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is anyone better off?</td>
<td># of cars sold</td>
<td>% Market share</td>
</tr>
<tr>
<td></td>
<td>$ Amount of Profit</td>
<td>Profit per share</td>
</tr>
<tr>
<td></td>
<td>$ Car value after 2 years</td>
<td>% Car value after 2 years</td>
</tr>
</tbody>
</table>

Source: USA Today 9/28/98
How much did we do?
Not All Performance Measures Are Created Equal
How well did we do it?

Most Important
Least Important

Is anyone better off?

Quantity
Least
Most

Quality

Important

Effect

Effect

1. Did we treat you well?
2. Did we help you with your problems?

Process

Input

Output

Impact

Benefit value

Customer Satisfaction

(quality service delivery & customer benefit)

Cost / Benefit ratio

Return on investment

Client results or client outcomes

Efficiency, Admin overhead, Unit cost

Efficiency, Admin overhead, Unit cost

RBA Categories Account for All Performance Measures
(in the history of the universe)

Cost

TQM

Effort

Value added

Product

Effectiveness

Value added

Productivity

* World’s simplest complete customer satisfaction survey
The Matter of Control

<table>
<thead>
<tr>
<th>Effort</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much did we do?</td>
<td>How well did we do it?</td>
</tr>
<tr>
<td><strong>Most</strong> Control</td>
<td></td>
</tr>
<tr>
<td><strong>Least</strong> Control</td>
<td>Is anyone better off?</td>
</tr>
</tbody>
</table>

Partnerships needed to improve performance

The Matter of Use

1. The **first purpose** of performance measurement is to **improve performance**.

2. **Avoid** the performance measurement equals **punishment trap**.
   - Create a healthy organizational environment.
   - Start small.
   - Build bottom-up and top-down simultaneously.
Comparing Performance

1. To Ourselves First
   Can we do better than our own history?

2. To Others
   When it is a fair apples/apples comparison.

3. To Standards
   When we know what good performance is.

The Matter of Standards

1. Quality of Effort Standards are sometimes WELL ESTABLISHED
   - Child care staffing ratios
   - Application processing time
   - Handicap accessibility
   - Child abuse response time

BUT

2. Quality of Effect Standards are almost always EXPERIMENTAL
   - Hospital recovery rates
   - Employment placement and retention rates
   - Recidivism rates

AND

3. Both require a LEVEL PLAYING FIELD and an ESTABLISHED RECORD of what good performance is.
Advanced Baseline Display

- Create targets only when they are: FAIR & USEFUL
- Goal (line)
- Target or Standard
  Avoid publicly declaring targets by year if possible.
- Your Baseline
- Comparison Baseline
  Instead: Count anything better than baseline as progress.

Choosing Headline Measures and the Data Development Agenda

<table>
<thead>
<tr>
<th>Quantity</th>
<th>Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much did we do?</td>
<td>How well did we do it?</td>
</tr>
<tr>
<td># Measure 1</td>
<td>% Measure 8</td>
</tr>
<tr>
<td># Measure 2</td>
<td>% Measure 9</td>
</tr>
<tr>
<td># Measure 3</td>
<td>% Measure 10</td>
</tr>
<tr>
<td># Measure 4</td>
<td>% Measure 11</td>
</tr>
<tr>
<td># Measure 5</td>
<td>% Measure 12</td>
</tr>
<tr>
<td># Measure 6</td>
<td>% Measure 13</td>
</tr>
<tr>
<td># Measure 7</td>
<td>% Measure 14</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effort</th>
<th>Is anyone better off?</th>
</tr>
</thead>
<tbody>
<tr>
<td># Measure 15</td>
<td>% Measure 15</td>
</tr>
<tr>
<td># Measure 16</td>
<td>% Measure 16</td>
</tr>
<tr>
<td># Measure 17</td>
<td>% Measure 17</td>
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<tr>
<td># Measure 18</td>
<td>% Measure 18</td>
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<tr>
<td># Measure 19</td>
<td>% Measure 19</td>
</tr>
<tr>
<td># Measure 20</td>
<td>% Measure 20</td>
</tr>
<tr>
<td># Measure 21</td>
<td>% Measure 21</td>
</tr>
</tbody>
</table>

#1 DDA ➔ #1 Headline
#2 DDA ➔ #2 Headline
#3 DDA ➔ #3 Headline
## Separating the Wheat from the Chaff

Types of Measures Found in Each Quadrant

<table>
<thead>
<tr>
<th>How much did we do?</th>
<th>How well did we do it?</th>
</tr>
</thead>
<tbody>
<tr>
<td># Customers served</td>
<td>% Common measures</td>
</tr>
<tr>
<td>(# by customer characteristic)</td>
<td>Workload ratio, staff turnover rate, staff morale, percent of staff fully trained, worker safety, unit cost, customer satisfaction: <em>Did we treat you well?</em></td>
</tr>
<tr>
<td># Activities</td>
<td>% Activity-specific measures</td>
</tr>
<tr>
<td>(# by type of activity)</td>
<td>Percent of actions timely and correct, percent customers completing activity, percent of actions meeting standards</td>
</tr>
</tbody>
</table>

### Is anyone better off?

<table>
<thead>
<tr>
<th>#</th>
<th>% Skills / Knowledge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(e.g. parenting skills)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>#</th>
<th>% Attitude / Opinion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>including customer satisfaction: <em>Did we help you with your problems?</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>#</th>
<th>% Behavior</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(e.g. school attendance)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>#</th>
<th>% Circumstance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(e.g. working, in stable housing)</td>
</tr>
</tbody>
</table>
The 7 Performance Accountability Questions
For Programs, Agencies and Service Systems

1. Who are our customers?

2. How can we measure if our customers are better off?

3. How can we measure if we are delivering services well?

4. How are we doing on the most important of these measures?

5. Who are the partners that have a role to play in doing better?

6. What works to do better, including no-cost and low-cost ideas?

7. What do we propose to do?
North Lincolnshire
Public Sector Homes
Percent Empty 1999 - 2005

Montgomery County, Ohio
K-12 Attendance Per Year
with 2-year moving average
How Population & Performance Accountability FIT TOGETHER

THE LINKAGE Between POPULATION and PERFORMANCE

**POPULATION ACCOUNTABILITY**

- **Healthy Births**
  - Rate of low birthweight babies

- **Stable Families**
  - Rate of child abuse and neglect

- **Children Succeeding in School**
  - Percent graduating from high school on time

**PERFORMANCE ACCOUNTABILITY**

**Child Welfare Program**

- # of investigations completed
- % completed within 24 hrs of report
- # repeat Abuse/Neglect
- % repeat Abuse/Neglect

**RESULTS**

- Contribution relationship
- Alignment of measures
- Appropriate responsibility
Every time you make a presentation, use a two-part approach.

**Population Accountability**

**Result:** to which you contribute to most directly.

**Indicators:**

---

**Story:**

**Partners:**

**What would it take?:**

**Your Role:** As part of a larger strategy.

---

**Performance Accountability**

**Program/Service:**

**Performance measures:**

---

**Story:**

**Partners:**

**Action plan to get better:**
Board of Directors Meeting

AGENDA

1. New data
2. New story behind the curves
3. New partners
4. New information on what works.
5. New information on financing
6. Changes to action plan and budget
7. Adjourn
Different Kinds of Progress

1. Data
   
a. Population indicators: Actual turned curves: movement for the better away from the baseline.

b. Program performance measures: customer progress and better service:
   - How much did we do?
   - How well did we do it?
   - Is anyone better off?

2. Accomplishments: Positive activities, not included above.

3. Anecdotes: Stories behind the statistics that show how individuals are better off.

What’s Next?
A Basic Action Plan for Results Accountability

TRACK 1: POPULATION ACCOUNTABILITY
- Establish results
- Establish indicators, baselines and charts on the wall
- Create an indicators report card
- Set tables (action groups) to turn curves

TRACK 2: PERFORMANCE ACCOUNTABILITY
- Performance measures, and charts on the wall for programs, agencies and service systems
- Use 7 Questions supervisor by supervisor and program by program in management, budgeting and strategic planning
### Turn the Curve Exercise: Population Well-being

5 min: **Starting Points**
- timekeeper and reporter
- geographic area
- two hats (yours plus partner’s)

10 min: **Baseline**
- pick a curve (or curves) to turn
- forecast – OK or not OK?

15 min: **Story behind the baseline**
- causes/forces at work
- information & research agenda part 1 - causes

15 min: **What works? (What would it take?)**
- what could work to do better?
- each partners contribution
- no-cost / low-cost ideas
- information & research agenda part 2 – what works

10 min: **Report** convert notes to one page

---

### ONE PAGE Turn the Curve Report: Population

**Result:** _______________

**Indicator**

**Baseline**

**Story behind the baseline**

---------------------------

--------------------------- (List as many as needed)

**Partners**

--------------------------- (List as many as needed)

**Three Best Ideas – What Works**

1. ---------------------------
2. ---------------------------
3. --------- No-cost / low-cost

---

Sharp Edges
Turn the Curve Exercise: Program Performance

5 min: Starting Points
- timekeeper and reporter
- identify a program to work on
- two hats (yours plus partner’s)

10 min: Performance measure baseline
- choose 1 measure to work on – from lower right quadrant
- forecast – OK or not OK?

15 min: Story behind the baseline
- causes/forces at work
- information & research agenda part 1 - causes

15 min: What works? (What would it take?)
- what could work to do better?
- each partner’s contribution
- no-cost / low-cost ideas
- information & research agenda part 2 – what works

10 min: Report  Convert notes to one page

---

Program: ____________________

Performance Measure
Baseline

Story behind the baseline
---------------------------
---------------------------
(List as many as needed)

Partners
---------------------------
---------------------------
(List as many as needed)

Three Best Ideas – What Works

1. ---------------------------
2. ---------------------------
3. --------- No-cost / low-cost
--------- Off the Wall

Sharp Edges
Wyoming Strategic Planning Design - Part I
(To be completed by the Governors Planning Department)

<table>
<thead>
<tr>
<th>Quality of Life Result:</th>
</tr>
</thead>
<tbody>
<tr>
<td>E.g. A Clean Environment, A Prosperous Economy, Strong Stable Families, Children Ready for and Succeeding in School, etc.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Why is this important?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Briefly explain, so a taxpayer could understand, why this quality of life condition is important to the people of Wyoming.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How are we doing?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Show the 3 to 5 most important indicators in the form of baselines with at least 3 years of actual history. Optional: provide a 2 year forecast at current effort level.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>The story behind the baselines:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Explain, so a taxpayer could understand, the causes behind the indicator baselines above. Use additional data as necessary to tell this story.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>What it will take to do better and the role of state government:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Include no-cost and low-cost ideas and the role of the state’s partners.</td>
</tr>
</tbody>
</table>

Appendix A: Data development Agenda: List priorities for new or better indicator data
Wyoming Strategic Planning Design - Part II
Same format for Departments, Divisions and Programs

Department/Division/Program:

Contribution to Wyoming Quality of Life:
Briefly explain, so a taxpayer could understand, how your (Dept/Div/Prog), in conjunction with other public and private partners, contributes to the quality of life of the people of Wyoming.

Basic Facts:
Show total number of staff and size of budget in total and general funds.
List the 5 most important programs or functions and show annual number served,

Performance:
Show the 3 to 5 most important performance measures in the form of baselines with at least 3 years of actual history. Optional: provide a 2 year forecast of performance at current effort level.
Performance measures must be those that best answer the questions:
- How well are we delivering service?
- Are our customers better off? (CUSTOMER RESULTS)

Story behind (last 3 years of) performance:
Briefly explain, so a taxpayer could understand, the causes behind your performance for the last few years, including an explanation of the picture of performance shown in the baselines above. Reference your accomplishments where they have contributed. Use additional performance data as necessary to tell this story. Best formatting is short paragraphs with first sentence underlined.

What do you propose to do to improve performance in the next 2 yrs?
Include no-cost and low-cost ideas and the contribution of partners. Best formatting is short paragraphs with action item underlined.

Appendix A: Data development Agenda: List priorities for new or better data on performance
Appendix B: Link to Budget: Provide detail on priorities identified above which show in the current or proposed budget.
A 5-step method for identifying performance measures for any program in 45 minutes

The following five step scripted process is the best way to select the most important performance measures and identify a Data Development Agenda for any program or service. With practice, this process can be completed in about 45 minutes. Participants should each have a copy of the performance measurement summary on page 28.

**Step 1. How much did we do?** Draw the four quadrants on a piece of flip chart paper. Start in the upper left quadrant. Write down the measure “number of customers served.” Ask if there are better, more specific ways to count customers or important subcategories of customers and list them, such as the number of children with disabilities served.

Next, ask what activities are performed. Convert each activity into a measure. The activity of “training people” becomes number of people trained. Paving roads becomes number of miles of road paved. When you're finished, ask if there are any major activities that are not listed. Don’t try to get every last detail, just the most important categories of customers and activities.

**Step 2. How well did we do it?** Ask people to review the common measures listed in the upper right quadrant of the performance measurement summary. Write each one that applies in the upper right quadrant of the flipchart paper.

Next take each activity listed in the upper left quadrant and ask what measures tell how well that particular activity was performed. If you get blank looks, ask if timeliness or accuracy matters. Convert each answer into a measure and be specific. The timeliness of case reviews becomes percent of case reviews completed on time. If you are not sure whether a measure goes in the upper right or lower right quadrant, put it where you think best and move on. All the measures in both quadrants will be considered equally in Steps 4 and 5.

**Step 3. Is anyone better off?** Ask “If your program works really well, in what ways are your customers’ lives better? How could we observe this? How could we measure it?” Create pairs of measures (number and percentage) for each answer. For example, the number of clients who get jobs goes in the lower left quadrant. And the percent of clients who get jobs goes in the lower right quadrant. It saves time, when entering these measures, to write them only once in the lower right quadrant, and place # signs in the lower left quadrant across from each measure.

Identifying whether anyone is better off is the most interesting and challenging part of this process. Dig deep into the different ways in which service benefits show up in the lives of the people served. Explore each of the four categories of better-offness: Skills / Knowledge, Attitude / Opinion, Behavior, and Circumstance. If people get stuck, try the reverse question: "If your service was terrible, how would it show up in the lives of your customers?"
Look first for data that is already collected. Then be creative about things that could be counted and how the data could be generated. It is not always necessary to have data for all of your customers. Data based on samples can be used. Pre and post testing can be used to show improvement over time in skills, knowledge, attitude and opinion. When no other data is available, ask clients to self-report about improvements or benefits.

Keep in mind that all data have two incarnations: a lay definition and a technical definition. The lay definition is something that everyone can understand. The technical definition gives the exact way in which the measure is constructed. For example, “high school graduation rate” is a lay definition with many possible technical definitions. The easiest technical definition is the number who graduate on June 15th as a percentage of enrollment on June 1st. This will always be close to 100%. A tougher technical definition would compare graduation numbers to enrollment on September 30 of the previous year. A still tougher definition would compare graduation to the enrollment of 9th graders four years earlier. Each technical definition constitutes a separate measure.

When you complete step 3, you will have filled in the four quadrants with as many entries as possible. In steps 4 and 5, we use a shortcut method to assess the communication, proxy and data power of each measure and winnow these down to the most important measures.

**Step 4. Headline measures:** Review the list of upper right and lower right quadrant measures and identify those for which there is good data. By good data we mean that timely and reliable data for the measure is available today or could be produced with little effort. Put a circle next to each one of these measures. Next, ask "If you had to talk about the performance of your program in a public setting, such as a public hearing or conference, and you could only use one of the measures with a circle, which one would you choose?" Put a “#1” by the answer. Then ask "If you could have a second measure... and a third?" You should identify no more than 3 to 5 measures. These should be a mix of upper right and lower right measures. These choices represent a working list of headline measures for the program.

**Step 5. Data Development Agenda:** Ask, "If you could buy one of the measures for which you don't have data, which one would it be?" The word “buy” is used because data is expensive both in terms of money and worker time. With a different colored marker, write DDA #1 next to the chosen measure. "If you could buy a second measure... and a third?" List no more than 3 to 5 measures. These measures are the program’s Data Development Agenda in priority order.

This process leads to a three part list of performance measures:

- **Headline measures:** Those 3 to 5 most important measures for which you have good data, the measures you would use to present your program's performance in a public setting.

- **Secondary measures:** All other measures for which you now have good data. These measures will be used to help manage the program, and will often figure in the story behind the baselines.

- **Data Development Agenda:** A prioritized list of measures where you need new or better data. You will later need to make a judgment about how far down this list you can afford to go.
## TOOL FOR CHOOSING A COMMON LANGUAGE

### Framework Idea

<table>
<thead>
<tr>
<th>A. The Basics</th>
<th>Common Labels for Each Idea</th>
<th>Modifiers (if you must)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A condition of well-being for children, adults, families and communities stated in plain language</td>
<td>Result, Outcome, Goal, Vision</td>
<td>Population Community-wide (For &quot;client results&quot; see 09)</td>
</tr>
<tr>
<td>2. A measure that helps quantify the achievement of a result.</td>
<td>Indicator, Benchmark</td>
<td></td>
</tr>
<tr>
<td>3. A coherent set of actions that has a reasoned chance of working to improve results.</td>
<td>Strategy, What works</td>
<td></td>
</tr>
<tr>
<td>4. A measure of how well a program, agency or service system is working.</td>
<td>Performance measure, Performance indicator</td>
<td>Program, Agency, System, Cross-system</td>
</tr>
</tbody>
</table>

| B. Other Important Ideas - Part 1 | |
|----------------------------------|-----------------------------|-------------------------|
| 1. A picture of a desired future, one that is hard but possible to attain. | Vision, Desired future | Often contains one or more results |
| 2. The purpose of an organization. | Mission, Purpose |  |
| 3. A person or organization who benefits from program or agency service delivery. | Customer, Client, Consumer |  |
| 4. A person or organization who has a significant interest in the performance of a program, agency or service system. | Stakeholder, Constituent |  |
| 5. A person or organization who has a role to play in improving results. | Partner | Current, Potential |
| 6. A visual display of the history and forecast(s) for a measure. | Baseline, Trendline |  |
| 7. An analysis of the conditions, causes and forces at work that helps explain why a baseline looks the way it does. | Story behind the baseline, Epidemiology, Etiology |  |
| 8. Possible actions that could make a difference on a result or performance measure. | What works, Options, Strategy | Research-based Asset-based |
| 10. The components of an action or strategic plan. | Goals and Objectives, Planned actions |  |
| 11. A description of the funding of existing and/or proposed actions. | Budget, Funding plan |  |
| 12. A document that describes what new data is needed or existing data that needs to be improved. | Data Development Agenda |  |
| 13. A document that describes what new information is needed about causes, conditions and/or what works. | Information and Research Agenda | About causes, About solutions |
| 14. A desired level of achievement for an indicator or performance measure. | Target, Goal, Standard | Realistic, Arbitrary, Punitive, Insane |
### C. Other Important Ideas - Part 2

<table>
<thead>
<tr>
<th>Framework Idea</th>
<th>Common Labels for Each Idea</th>
<th>Modifiers (if you must)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A description of why we think an action or set of actions will work.</td>
<td>Theory of change, Logic model</td>
<td>Used at both the population and performance levels.</td>
</tr>
<tr>
<td>2. A structured analysis of how well a program is working or has worked.</td>
<td>Program evaluation</td>
<td></td>
</tr>
<tr>
<td>3. A system or process for holding people in a geographic area responsible for the well-being of the total population or some defined subpopulation</td>
<td>Results Accountability, Results-based Accountability, Outcome Accountability, Outcome-based Accountability, Performance accountability</td>
<td>&quot;Results Accountability&quot; is sometimes used to describe all of 3 through 7 combined</td>
</tr>
<tr>
<td>4. A system or process for holding managers and workers responsible for the performance of their programs, agencies and service systems.</td>
<td>Results-based decision making, Outcome-based decision making</td>
<td>Program, Agency, Service system</td>
</tr>
<tr>
<td>5. A system or process of working from ends to means, using population and/or program results to drive decisions about what to do.</td>
<td>Results-based budgeting, Outcome-based budgeting</td>
<td></td>
</tr>
<tr>
<td>6. A system or process of working from ends to means, using population and/or program results to drive the budget.</td>
<td>Results-based grantmaking, Outcome-based grantmaking</td>
<td></td>
</tr>
<tr>
<td>7. A system or process of working from ends to means, using population and/or program results to drive grantmaking decisions.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### D. Types of Performance Measures

| Measure of the quantity or amount of effort, how much service was delivered. | How much did we do?, Input, Output, Resources, Process measure, Product measure | 1. |
| Measures of the quality of effort, how well the service delivery and support functions were performed. | How well did we do it?, Efficiency measure, Process measure, Customer satisfaction | 2. |
| Measures of the quantity and quality of effect on customers' lives. | Is anyone better off?, Effectiveness measure, Customer result, Customer outcome, Impact, Cost/benefit ratio, Return on investment, Output, Outcome, Product, Value added, Customer satisfaction | 3. |

### E. A Basketful of Modifiers to use with any of the above.

| Measurable, Urgent, Priority, Targeted, Incremental, Systemic, Core | Quantitative, Qualitative, Positive, Negative, Short-term, Mid-term, Long-term | Intermediate, Internal, External, Eternal, Allegorical, Extraterrestrial |
Program Outcome Statement

The Elections Division promotes civic involvement in the election process by registering eligible voters and conducting honest and accurate elections on behalf of the citizens of San Mateo County.

Headline Measures

<table>
<thead>
<tr>
<th>Percent of Eligible Voters Registered</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fiscal Years</td>
</tr>
<tr>
<td>99-00</td>
</tr>
<tr>
<td>55.1%</td>
</tr>
<tr>
<td>North Fair Oaks</td>
</tr>
<tr>
<td>All San Mateo County</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Percent of Registered Voters Who Voted in Last Election</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fiscal Years</td>
</tr>
<tr>
<td>99-00</td>
</tr>
<tr>
<td>47.5%</td>
</tr>
<tr>
<td>North Fair Oaks</td>
</tr>
<tr>
<td>All San Mateo County</td>
</tr>
</tbody>
</table>

Story Behind Baseline Performance

During FY1999-2000, Elections staff conducted the following purges of the voter file: SB 1313 purge (which requires the review and cleanup of voter files to ensure all information is current), targeting voters who had not voted in four years, and also Change of Address purge using post office data. More than 30,000 voters were removed from active voter file as a result of these efforts. There was a larger increase in voter registrations in February 2000, in anticipation of the March 2000 Presidential Primary Election. In addition, there was an increase in voter turnout during the November 2000 Presidential General Election. As anticipated, more people register and vote during a Presidential Primary and General Election. Voter registration and turnout is anticipated to drop off in FY 2001-02. However, voter registration and turnout will increase slightly in FY 2002-03 due to the November Gubernatorial Election.

There will be ongoing voter registration occurring via Department of Motor Vehicles registrations, political party activity in the County and via the 210 affidavit sites, including four in the North Fair Oaks Area, administered by the League of Women Voters.

What Will Be Done to Improve Performance in the Next Two Years

The Elections Office will meet performance targets by doing the following:

Continue Community Outreach and Education to Increase Voter Registration and Turnout
- Partner with League of Women Voters, community organizations, county agencies, political parties and other resources
- Develop a plan to coordinate the voter registration activities of the political organizations
- Partner with “Frontiers in Leadership” to engage in voter registration and voter turnout efforts
- Attend festivals and major community events to register people
- Conduct voter registration and voting classes in the community at key locations, including the community center and local schools

Source: County of San Mateo: Recommended Budget FY 2001-2002 FY 2002-2003
## Performance Measures Summary Table

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What/How Much We Do</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of new voters registered:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- North Fair Oaks</td>
<td>402</td>
<td>443</td>
<td>600</td>
<td>400</td>
<td>450</td>
</tr>
<tr>
<td>- All San Mateo County</td>
<td>22,404</td>
<td>24,482</td>
<td>25,000</td>
<td>20,000</td>
<td>25,000</td>
</tr>
<tr>
<td><strong>How Well We Do It</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percent of eligible voters registered to vote:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- North Fair Oaks</td>
<td>57.5%</td>
<td>55.1%</td>
<td>61.1%</td>
<td>58.6%</td>
<td>60.0%</td>
</tr>
<tr>
<td>- All San Mateo County</td>
<td>70.1%</td>
<td>66.0%</td>
<td>70.2%</td>
<td>67.7%</td>
<td>69.0%</td>
</tr>
<tr>
<td><strong>Is Anyone Better Off?</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of registered voters who voted in last election:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- North Fair Oaks</td>
<td>1,723</td>
<td>2,198</td>
<td>3,539</td>
<td>2,640</td>
<td>2,772</td>
</tr>
<tr>
<td>- All San Mateo County</td>
<td>150,967</td>
<td>181,190</td>
<td>261,297</td>
<td>207,268</td>
<td>217,631</td>
</tr>
<tr>
<td>Percent of registered voters who voted in last election:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- North Fair Oaks</td>
<td>36.3%</td>
<td>47.5%</td>
<td>70.0%</td>
<td>50.0%</td>
<td>55.0%</td>
</tr>
<tr>
<td>- All San Mateo County</td>
<td>44.8%</td>
<td>57.5%</td>
<td>77.0%</td>
<td>60.0%</td>
<td>65.0%</td>
</tr>
</tbody>
</table>

Source: County of San Mateo: Recommended Budget FY 2001-2002 FY 2002-2003
RESULTS ACCOUNTABILITY IMPLEMENTATION
Self Assessment Questions

1. Has your group or organization adopted a common language using the tool for choosing a common language or some other method? Does this common language allow you to clearly distinguish population and performance accountability?

2. Has your organization identified one or more population level results or conditions of well-being stated in plain language to which your work contributes?
   a. Have you identified the 3 to 5 most important indicators for each of these results?
   b. Have you created a baseline with history and a forecast for each of these measures?
   c. Have you analyzed the story and causes behind these baselines?
   d. Do you have a written analysis of what it would take to turn these conditions around at the national, state, county, city or community level?
   e. Have you articulated the role your organization plays in such a strategy?

3. Has your organization established the 3 to 5 most important performance measures for what you do, using the performance accountability categories *How much did we do? How well did we do it? Is anyone better off?*
   a. Have you created a baseline with history and a forecast for each of these measures?
   b. Do you track these measures on a daily, weekly, monthly or quarterly basis?
   c. Do you periodically review how you are doing on these measures and develop action plans to do better using the performance accountability 7 questions?
   d. Have you adapted your organization’s management, budget, strategic planning, grant application, and progress reporting forms and formats to reflect systematic thinking about your contribution to population conditions and your organization’s performance?

4. Are the population and performance baseline curves you are trying to turn displayed prominently as one or more charts on the wall?

5. Have you identified an in-house expert to train and coach other staff in this work?

6. Have you turned any curves?