

THE COUNCIL ON LOCAL RESULTS AND INNOVATION
DESIGN OF A RESULTS-ORIENTED MANAGEMENT SYSTEM
FRAMEWORK
FOR MINNESOTA LOCAL GOVERNMENTS

Outcomes

- Develop the organizational capacity for Minnesota Local Governments, in partnership with the State, to implement effective strategic and performance management systems;
- Demonstrate **accountability** for **results** to the public and elected officials;
- Prove **citizen value** and increase **citizen satisfaction**;
- Continuously improve **performance**;
- Increase the **transparency of outcomes** of local governments to citizens.

BACKGROUND

Minnesota Redesign (AMC, 2008, 2009, 2011) has become the brand name of the reform movement of the state-local government enterprise in Minnesota¹. The goal to develop a ROM system is both implicit and explicit in the themes of the Redesign documentation.

The Redesign framework was principally designed by the Redesign Caucus of the Minnesota Legislature, Association of Minnesota Counties, the League of Minnesota Cities, and their affiliates over approximately the last five years. The 2011 state legislature looks to be passionately committed to sponsoring the specific reforms of Redesign (cf. MACSSA, 2010). The Minnesota House of Representatives has a bi-partisan “Redesign Caucus”. Redesign has been a focus of conversation for innovation in local government during this same period by the “big three” in local government—the Association of Minnesota Counties, the League of Minnesota Cities and the Minnesota School Boards Association. State agencies, which are most integral to

¹ The literature, representing the early thinking of what was then called the “State-County Results Accountability Initiative” is available at: <http://www.mncounties.org/s-crai/Resources.html>.

local government Redesign, such as the Department of Human Services and the State Auditor, have been cooperative in making good on the deliverables contained in Redesign legislation.

Two of the more relevant pieces of legislation to the ROM framework are the “Council on Local Results and Innovation”² and the “State-County Results, Accountability, and Service Delivery Redesign” (MS 402A)³. The latter was enacted in 2009 and the former was enacted in 2010. “The Council on Local Results and Innovation” was the brainchild of state representative Paul Marquardt but representative Marquardt involved city, county and state government experts in the design of this legislation. One of the most relevant sections of this statute, for the purposes of developing the ROM framework is:

In addition to its specific duties under paragraphs (a) and (b), the council shall generally promote the use of performance measurement for governmental entities across the state and shall serve as a resource for all government entities seeking to implement a system of local performance measurement. The council may highlight and promote systems that are innovative, or are ones that it deems to be best practices of local performance measurement systems across the state and nation.....foster a collaborative network....seek private funding....replicating best practices.
<https://www.revisor.mn.gov/statutes/?id=6.90>).

The research and model conceptualization undergirding the “State-County Results, Accountability, and Service Delivery Redesign” act was deep and wide (MACSSA, 5/6/09). It received broad, bi-partisan support. The relevant portion of this act to ROM framework design states that the “steering committee on performance and outcome reforms” is tasked to “develop a uniform process to establish and review performance and outcome standards for all essential human

² Performance budgeting is referenced in <https://www.revisor.mn.gov/statutes/?id=16A.10>, and is relevant as a statutory basis for an emergent ROM system but was not a product of Minnesota Redesign.

³ <https://www.revisor.mn.gov/statutes/?id=402A>;
the “Commissioner on Service Innovation, strategic plan, may touch upon a ROM system:
<https://www.revisor.mn.gov/laws/?id=392&year=2010&type=0>

services based on the current level of resources available, and to develop appropriate reporting measures and a uniform accountability process for responding to a county's or human service authority's failure to make adequate progress on achieving performance measures. The accountability process shall focus on the performance measures rather than inflexible implementation requirements". The steering committee also is mandated "by December 15, 2012, for each essential service make recommendations to the legislature regarding (1) performance measures and goals based on those measures for each essential service, (2) a system for reporting on the performance measures and goals, and (3) appropriate resources, including funding, needed to achieve those performance measures and goals" (MS 402A.15). It should be noted that this seminal legislation could apply to any mandated or essential county service, not just Human Services (cf. MS 402A.10).

STATEMENT OF OPPORTUNITY

The State of Minnesota has not had a strategic planning process since the state planning agency was eliminated in 2000 (Kiedrowski & Collins, 2010). State agencies are not required by statute to develop strategic plans. Results-oriented management was not an emphasis of the Pawlenty Administration (2003-2010); there was no discernible methodology or framework that has been employed across state agencies during this time period. The reporting website *Accountability Minnesota (2010)* provided select goals, performance measures, and results for each state agency and policy area but is not representative of a comprehensive performance management system. The *Minnesota Milestones* initiative is noted in performance measurement literature frequently as a peer-recognized practice. The effort used to track 70 statewide progress indicators; it has not been updated since 2002 (State of Minnesota, 2002). The Minnesota Office of the Legislative Auditor has provided acclaimed program evaluation and reporting. However, there has been no requirement that this high level analysis be used at the

explication level of policy, program, practice or case level (Zorn, 2003) or that a “step epidemiology” be followed to account for results (Friedman, 2001); it is disembodied information that has not integrated into a results-oriented management system. Performance budgeting has been a long-standing practice of the office of Minnesota Management and Budget but outputs rather than outcomes have been the emphasis of its reports and the Minnesota legislature does make significant use of the information (Kiedrowski & Collins, 2010). The *Minnesota Compass* site is a broad and robust data-sharing platform and has tremendous potential for expanded reporting of state and local government research and performance measures.

The Dayton Administration is in the early stages of planning for a ROM for state agencies. It is planned to consist of.....

Although developing an enterprise governance framework for information resource development is within the statutory charter for the Office of Enterprise Technology (OET), and OET with other state agencies have made some progress in this regard, state data systems tend to be siloed, existing within legacy systems that are ancient by state-of-the-art technology standards. Local governments are not included in the OET statutes (MS 16E) as enterprise partners, stakeholders, or the end-users of systems. Local governments are therefore not “at the table” for state-local government information resource development or technology investments. OET executives have expressed a willingness to host enterprise-wide solutions for local governments. The Minnesota state data warehouse has restricted and narrow access to and utility for local governments and therefore the available technological, data and performance architecture for business intelligence as it relates to local government policy, program and service performance is limited.

A cursory review of local government websites, strategic plans and reports to state agencies can nonetheless demonstrate that Minnesota municipalities are voracious consumers of data and information and purveyors of public sector measurement and knowledge. However, only a minority of local governments in the U.S. and Minnesota have implemented what could be considered a robust ROM. Of those select few, the adoption or utility of ROM is, for the most part, for specific purposes. There is no uniform and statewide requirement, system or process for strategic planning, performance management, or performance measurement for the whole of city and county government in Minnesota. A small number of cities and counties in Minnesota could be considered exemplars in ROM (e.g. Dakota, Olmsted, Hennepin, Beltrami, Washington, **add city examples** etc.). The *Minnesota Redesign* movement has nevertheless declared a goal to create an ROM for the state-local government enterprise and must deliver upon a design to meet new statutory requirements.

Definitions

Organizational Capacity:

“By capacity, we mean government’s intrinsic ability to marshal, develop, direct, and control its financial, human, physical, and information resources”. Having “organizational capacity” for strategic and performance management is to have the right resources at the right place at the right time to perform well. Organizational capacity is about having the management and technical skill, as well as capital in the following core areas: organizational, human resource, financial, and information technology. (Ingraham, Joyce, and Kneedler Donahue, 2003)

Strategy Aligned Management (S.A.M.):

is a performance management system that looks at program activity and the use of resources against desired goals and objectives to ensure decision-making about resources is aligned with intended outcomes. “Effective performance management systems help ensure that goals, programs, activities, and resources are aligned with priorities and desired results. Alignment must be both vertical (from the top to the bottom of the organization structure and also from organizationwide to individual goals) and horizontal (across organizational units and, optimally, across governments serving the same population). A lack of alignment creates two significant impediments to success: 1) The organization will act like multiple organizations rather than a single one, potentially compromising efficiency and effectiveness; and 2) Components of the organization will compete for resources rather than developing ways to cooperate” (NPMAC, 2010).

Strategic Management/Managing for Results:

“is a way to recast planning, budgeting, management, and reporting in direct relation to what government wants (or is expected) to accomplish. The ideas behind MFR are basic: to identify the needs a government is trying to address; to develop an overall plan (mission, goals, objectives, and strategies) for addressing those needs; to come up with policies, programs, and services to meet those needs; to organize and implement budgeting, accounting, and management systems that support the strategies, goals, and objectives laid out in the overall plan; and finally 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” (Walters, Abrahams, & Fountain in GASB, 2003).

Performance management:

“in the public sector is an ongoing, systematic approach to improving results through evidence-based decision making, continuous organizational learning, and a focus on accountability for performance. Performance management is integrated into all aspects of an organization’s management and policy-making processes, transforming an organization’s practices so it is focused on achieving improved results for the public” (National Performance Management Advisory Commission, July 2009. A Performance Management Framework for State and Local Government: From Measurement and Reporting to Management and Improving. p.3).

Performance measurement:

“is the regular systematic collection, analysis and reporting of data that tracks resources used, work produced and whether specific outcomes were achieved”. (Fairfax County Virginia).

(ibid) **Performance Measurement:** “A process of assessing progress toward achieving predetermined goals, including information on the efficiency with which resources are transformed into goods and services (outputs); the quality of those outputs, i.e., how well they are delivered to customers and the extent to which customers are satisfied (service quality); and the qualitative results of a program activity compared to its intended purpose (outcome)”.

ENTERPRISE RESULTS-ORIENTED MANAGEMENT MODEL

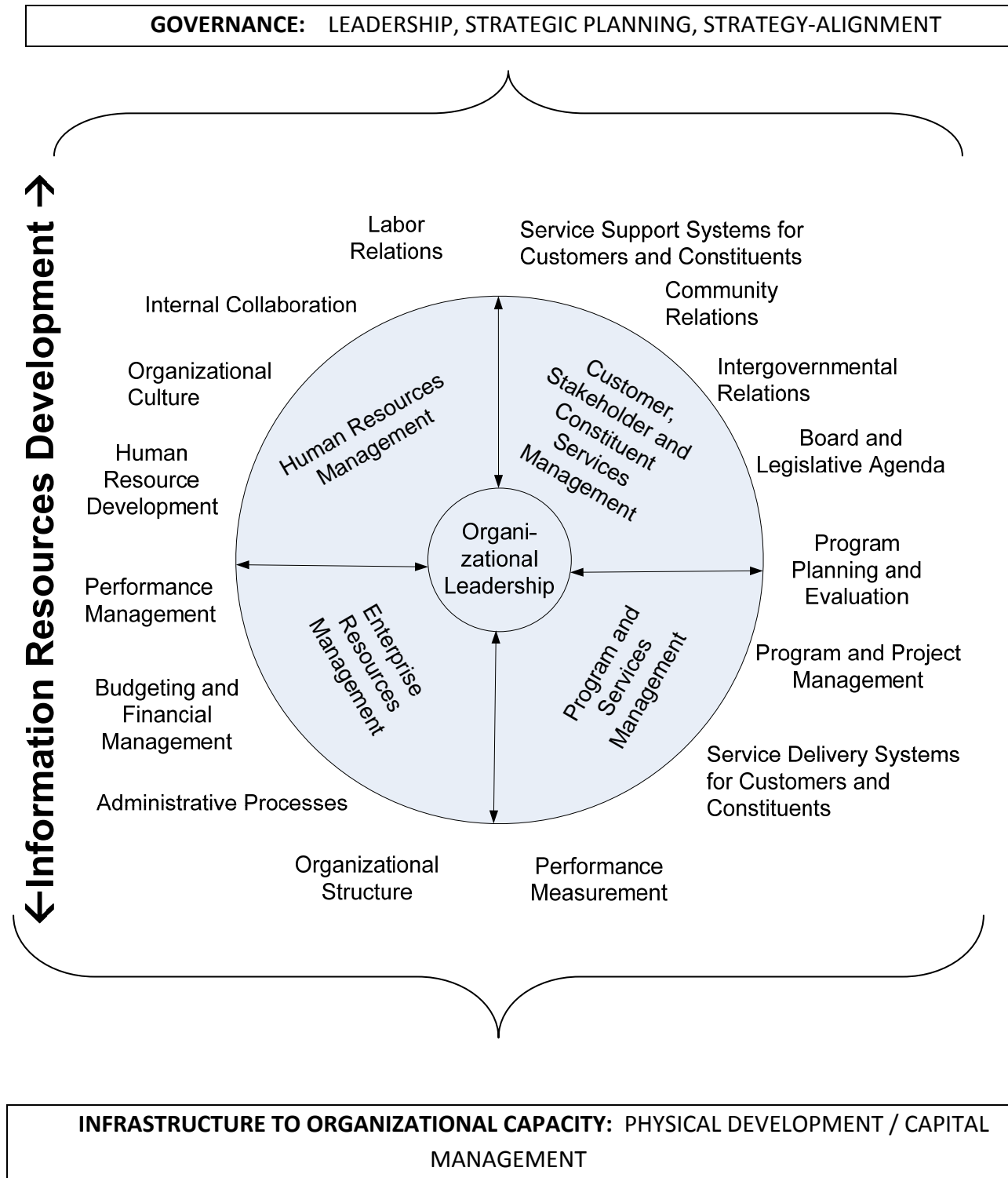


Figure 1 : Adapted from Poister, 2003 by Tim Walsh

**THE DESIGN OF A RESULTS-ORIENTED MANAGEMENT SYSTEM
FOR MINNESOTA LOCAL GOVERNMENTS**

ORGANIZATIONAL CAPACITY

<p style="text-align: center;">ORGANIZATIONAL CAPACITY FOR RESULTS-ORIENTED MANAGEMENT</p> <p style="text-align: center;">What do local governments need to be able to do well to deliver on these outcomes?</p>	<p style="text-align: center;">What organizational capacity do local governments need to develop or improve?</p>
<p>I. Governance & Strategic Alignment: partner with respective state agencies and the legislature to align policy- area vision, mission, goals and outcomes and target resources.</p> <p>Strategy Aligned Management (S.A.M.) is a performance management system that looks at program activity and the use of resources against desired goals and objectives to ensure decision-making about resources is aligned with intended outcomes.</p>	<p>State-Local Government Org. Capacity</p> <ul style="list-style-type: none"> • Executive sponsorship • Stakeholder support • Empowering Legislation • Model Policies • Strategic Planning • Alignment Tools • Standard measures & normative data • Research • State Accountability Measures e.g. program reviews and audits • Guidance • Training • Public Communications • Technical Assistance
<p>II. Performance Management System (or Organizational Capital Management): selection, implementation, adoption</p> <p>Performance management: “in the public sector is an ongoing, systematic approach to improving results through evidence-based decision making, continuous organizational learning, and a focus on accountability for performance. Performance management is integrated into all aspects of an organization’s management and policy-making processes, transforming an organization’s practices so it is focused on achieving improved results for the public”.⁴</p>	<ul style="list-style-type: none"> • PMS methodology (e.g. S.A.M., MFR, BSC, RBA) • Strategic Management <ul style="list-style-type: none"> ▪ Service system design & delivery ▪ Program/service planning and evaluation ▪ Performance Management ▪ Performance Agreements/ “pay for performance” ▪ Resource Management ▪ Business Process Redesign ▪ Performance Improvement and Corrective Action ▪ Contract management ▪ Change Management, etc. • Business Intelligence

⁴ National Performance Management Advisory Commission, July 2009. **A Performance Management Framework for State and Local**

<p>III. Performance Measurement System (Information Capital Management)</p> <p>Performance measurement: “is the regular systematic collection, analysis and reporting of data that tracks resources used, work produced and whether specific outcomes were achieved”. (Fairfax County Virginia)</p> <p>(ibid) Performance Measurement: “A process of assessing progress toward achieving predetermined goals, including information on the efficiency with which resources are transformed into goods and services (outputs); the quality of those outputs, i.e., how well they are delivered to customers and the extent to which customers are satisfied (service quality); and the qualitative results of a program activity compared to its intended purpose (outcome)”.</p>	<ul style="list-style-type: none"> • I.T. Business Solution (software) • Data Capture/Sources • Data Integrity • Data Storage/Warehouse • Data Access • Data Integration • Data Analysis • Data Interpretation/Translation • Performance Tracking and Reporting • Benchmarking • Comparative Analysis • Community Indicators • Citizen surveys • Projections & Trend Analysis
<p>IV. Human Resource Development (or Human Capital Management)</p>	<ul style="list-style-type: none"> • Technical Assistance; Shared Expertise • Training/Curricula • Best Practices Dissemination • Collaborative Networking • Trainers, Planners & Analysts • Project Management • Evidence Based Practices Models
<p>V. Strategic Budgeting (or Financial Capital Management)</p>	<ul style="list-style-type: none"> • Funding • Resource Sharing • Incentives • Performance Budgeting (or budgeting for results)

**THE DESIGN OF A RESULTS-ORIENTED MANAGEMENT SYSTEM
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DESIGN ELEMENTS

STATE-LOCAL GOVERNMENT LEADERSHIP	
DESIGN ELEMENTS OF A ROM ARCHITECTURE	WHAT WORKS
Executive Leadership	<ul style="list-style-type: none"> ✓ Legislation empowers ROM ✓ City Council or County Board commits to ROM ✓ City or County Administration commits to ROM ✓ State-local government partners use program and service audits, reviews, reporting requirements, performance improvement plans, and corrective action plans to improve performance ✓ The State partners with counties to provide statewide technical assistance, training, awards and recognition ✓ Local governments collaboratively network with one other and state agencies to share innovation and excellence in ROM practices ✓ Seed money and shared resources are provided for State-local government development of ROM ✓ State-local government partners develop a communications plan to report meaningful data to the public ✓ Organizational leaders integrate performance data into executive decision-making, policy-making, management, and service evaluation.
Enterprise-Governance	<ul style="list-style-type: none"> ✓ State-local government Intergovernmental Performance Partnership Agreements are employed ✓ State-local government jointly develop and agree upon performance standards ✓ A State-local government enterprise approach to ROM is articulated ✓ A clear and cohesive performance measurement and management framework is established ✓ ROM framework is fully adopted, implemented, and integrated into organizational decision-making and continuous improvement efforts ✓ A formal ROM methodology is adopted (e.g. Balanced Scorecard Method, Strategy-Aligned Management, Results Based Accountability); *can differ by local government ✓ State-local government Enterprise Architecture provides the performance architecture, business intelligence and

	technology infrastructure to support ROM
Strategic Planning	<ul style="list-style-type: none"> ✓ Local government tracks relevant external “trends” and “forces”. ✓ Strategic Plans (e.g. capital, transportation, development, information technology, communication, board goals, comprehensive plan, etc.) incorporate results-oriented measures. ✓ The local government’s strategic vision from these long-term plans is effectively communicated to both internal and external stakeholders. ✓ State-local government policy and program areas have clear and agreed upon goals, objectives, outcomes, shared values.
Strategic Alignment	<ul style="list-style-type: none"> ✓ The Organization’s “mission, mandates, strategies and operations, along with major strategic initiatives such as policies, programs and projects”, and resources are developed and aligned. (Bryson, Berry, & Yang, 2010, p.496) ✓ Members of the agency are committed to the mission and vision and attempt to nurture the organizational culture in support; they have a public service motivation. ✓ All levels of the agency develop “strategic agendas” that integrate with the overall agency vision and plan. ✓ All management agendas (activities) are guided by these “strategic agendas”.
CUSTOMER, STAKEHOLDER, AND CONSTITUENT SERVICES MANAGEMENT	
DESIGN ELEMENTS OF A ROM ARCHITECTURE	WHAT WORKS
Service and support systems for customers and constituents	<ul style="list-style-type: none"> ✓ Citizen surveys and client satisfaction surveys are periodically conducted. ✓ Results-oriented, performance measures (PMs) indicate the efficiency, quality and effectiveness outcomes of services. ✓ ROM is demonstrated to actually improve the quality and effectiveness of programs and delivery of services. ✓ External support for the agency is effective in relationship to stakeholders, customers, partners, contractors/vendors. ✓ Citizens report being treated with “courtesy, respect, and compassion. They think that government employees.... exhibit knowledge in their area of work, (are) helpful and responsive, take initiative to solve problems, and give timely responses” (Cohn Berman, 2008, p.3). ✓ PMs assist the organization to assess service needs.

Community Relations	<ul style="list-style-type: none"> ✓ The public is engaged, informed, active, and involved in evaluation, priority setting, and approval of government services and performance goals ✓ Community Indicators bridge program level measures to policy and societal level indicators representing the community’s relative health. ✓ PMs are used to report and/or create accountability to the media and general public and acts as an incentive to improve performance. ✓ Public reports are accessible, clear, and simple. Information provides understanding of the challenges of government, ways to access additional information, the status of how government is doing and how that compares to other jurisdictions. ✓ Citizens are supportive of performance measurement (PM). ✓ The budgeting and policy process is transparent to the public and citizens have a say in budget and policy outcomes.
Intergovernmental Relations	<ul style="list-style-type: none"> ✓ Comparative performance data—including both external and internal benchmarking-- is standardized and explanatory data accounts for key differences between departments and jurisdictions. ✓ A rigorous benchmarking process is maintained. ✓ All stakeholder government agencies are involved in the PM process.
PROGRAM AND SERVICES MANAGEMENT	
DESIGN ELEMENTS OF A ROM ARCHITECTURE	WHAT WORKS
Program Planning & Evaluation	<ul style="list-style-type: none"> ✓ Program is relatively stable (i.e. invest ROM in enduring programs and services). ✓ PMs are used to assess and report program results, identify causal factors and flag critical areas for improvement. ✓ Organization has capacity to evaluate programs and conduct research. (Can be coordinated with the State, Policy and Academic Institutions). ✓ PM is cross-cutting across the multiple agencies that impact upon a policy area. ✓ Program evaluators identify intended outcomes of programs, establish and revise goals, identify factors that affect goal-achievement, and develop strategies. ✓ A logic model links program performance goals, objectives, activities, and measures to process, intermediate and long-term outcomes.
Program & Project	<ul style="list-style-type: none"> ✓ Performance status or “interactive inquiry” meetings are held regularly, responsibility for program performance is

Management	<p>assigned, ideas shared, and follow-up to performance gaps occurs and tactics for improvement rapidly approved.</p> <ul style="list-style-type: none"> ✓ Managers are empowered to make the changes that are indicated by the data.
Service Delivery Systems for Customers and Constituents	<ul style="list-style-type: none"> ✓ Cross-sector collaborations are created to share organizational strengths, compensate for weaknesses, create new partnerships and ways of delivering services, and new ways of thinking about and addressing community problems. ✓ Local governments voluntarily enter into multi-jurisdictional agreements to better deliver service.
<p>Information Resource Development (Knowledge Management)</p> <ul style="list-style-type: none"> • Performance Measurement 	<ul style="list-style-type: none"> ✓ Adequate business information technology is utilized: e.g. business intelligence software, data capture, storage, access, integrity, analysis, interpretation, tracking, reporting, trends and projections, integration. ✓ Experts are available to do the technical design of the strategic, performance management and measurement systems. ✓ The ROM system is customized to the local government’s specific stakeholder needs, mission, values, strategies and objectives. ✓ Usage of PMs is ensured in “strategic planning, resource allocation, program management, monitoring, evaluation and reporting to internal management, elected officials, and citizens or the media” (de Lancer Julnes, P., and Holzer, M. 2001). ✓ Information for users is complete, accurate, consistent, timely and valid. ✓ Explanatory notes are provided to decision-makers to account for either favorable or unfavorable results. ✓ Performance measures are standardized and data is normative. ✓ Information is customized to the needs of the organizational level (i.e. operational level requires specific, discrete, concrete information).
ENTERPRISE RESOURCE MANAGEMENT	
DESIGN ELEMENTS OF A ROM ARCHITECTURE	WHAT WORKS
Performance Management	<ul style="list-style-type: none"> ✓ Performance incentives are strong and enforced; awards and recognition for high performance or performance improvement are given. ✓ (Incentives likely should be group rather than individual incentives in the Public Sector) ✓ Performance accountability is integrated into performance evaluation systems; performance agreements or contracts are

	<p>the basis for performance incentives i.e. “pay for performance”</p> <ul style="list-style-type: none"> ✓ Managers (and local governments in general) are given greater flexibility and control in exchange for increased performance accountability
Budgeting and Financial Management	<ul style="list-style-type: none"> ✓ PMs are used to inform budgeting, resource allocations, and program management decisions. ✓ Funding/resources are dedicated to ROM. ✓ Strategic budgeting or “budgeting for performance” is used statewide and agency to agency. ✓ Internal and external competition is fostered to leverage performance improvement.
Administrative Processes	<ul style="list-style-type: none"> ✓ PMs are driven down into the business processes and within a replicable ROM system in order to be maintained from administration to administration and replicated from Department to Department. ✓ PMs are used to inform policy development or change. ✓ PMs are used to establish deliverables and performance accountability in contracts and grant agreements. ✓ PMs are used to redesign business processes to increase efficiency and continuously improve. (i.e. a continuous process improvement methodology is used).
Organizational Structure	<ul style="list-style-type: none"> ✓ Organization has decentralized decision-making. ✓ Central office/administration coordinates, directs, guides implementation of ROM and reporting of data is mandatory and frequent.
Board & Legislative Agenda	<ul style="list-style-type: none"> ✓ PMs are used to report meaningful information to elected officials and increase accountability for results. ✓ Performance information is used to advocate for resource allocation, policy goals, and expanded budgets. ✓ Elected officials engage with communities to understand the values and set the overall priorities of local government.

HUMAN RESOURCE MANAGEMENT

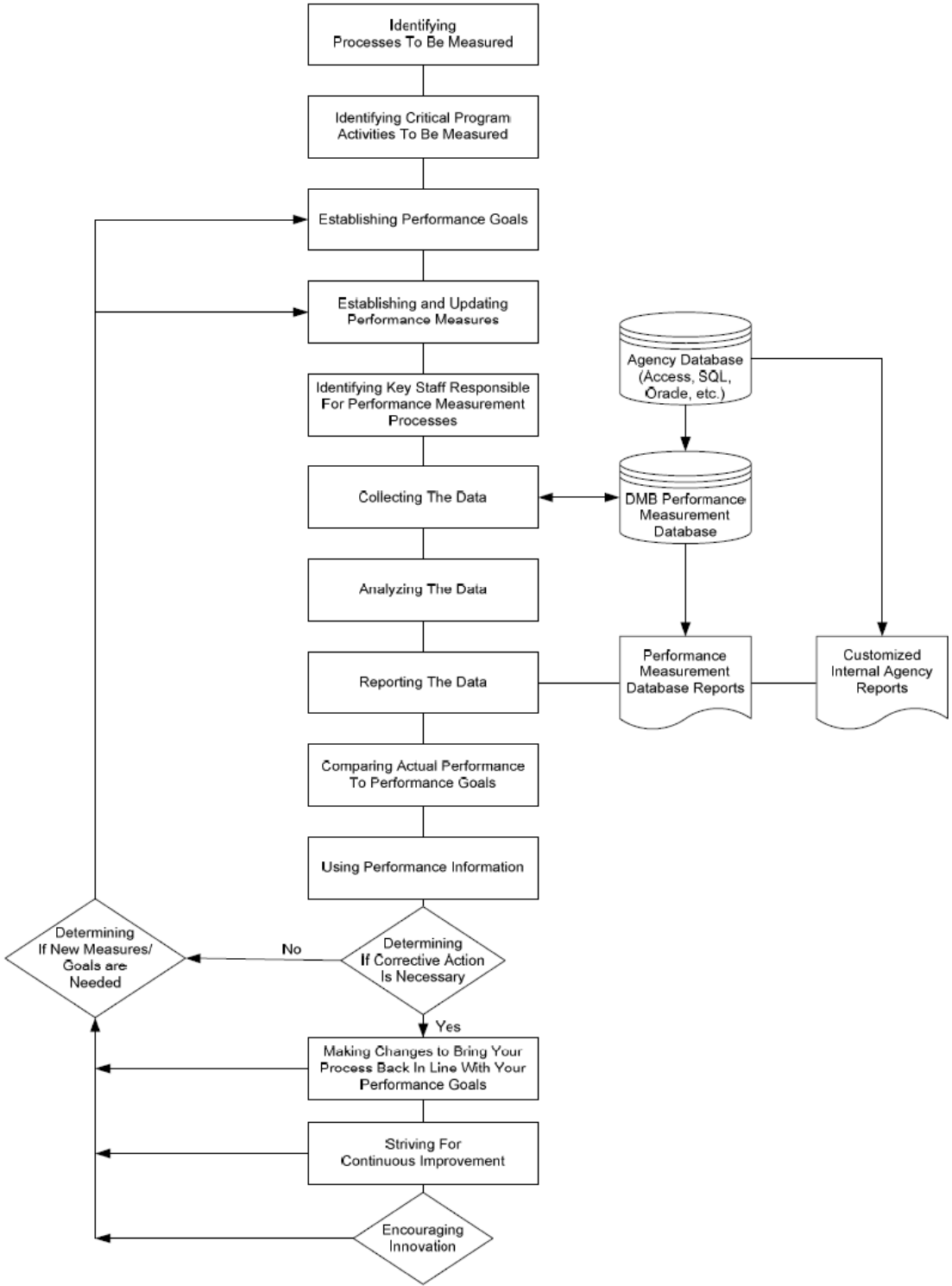
DESIGN ELEMENTS OF A ROM ARCHITECTURE	WHAT WORKS
Labor Relations	<ul style="list-style-type: none"> ✓ Unions are involved in and support the organizational change & ROM.
Internal Collaboration	<ul style="list-style-type: none"> ✓ There is system-wide coordination of cross-cutting programs and services i.e. integrated service delivery. ✓ Members of the organization are involved in ROM.
Human Resource Development	<ul style="list-style-type: none"> ✓ Departments, teams, and individuals are assigned specific responsibility for all operational aspects of the ROM. ✓ Direct service staff are skilled, motivated and continuously trained to perform their duties well.

	<ul style="list-style-type: none"> ✓ They are trained specifically on ROM systems. ✓ Managers of programs and services provide high quality supervision.
Organizational Culture	<ul style="list-style-type: none"> ✓ The organization supports a performance culture and readies the organization for change through a change management process. ✓ Organizational culture is oriented towards “entrepreneurship, risk taking, and adaptability” (Moynihan & Pandey, 2005, p.433) ✓ Employees are valued as expressed through “fair, respectful, participative, communicative relations with them” (Rainey & Ryu, 2004, p.33) ✓ Results are used for learning, increasing organizational knowledge, and making improvements, not for punishing.
Physical Development/Capital Management	

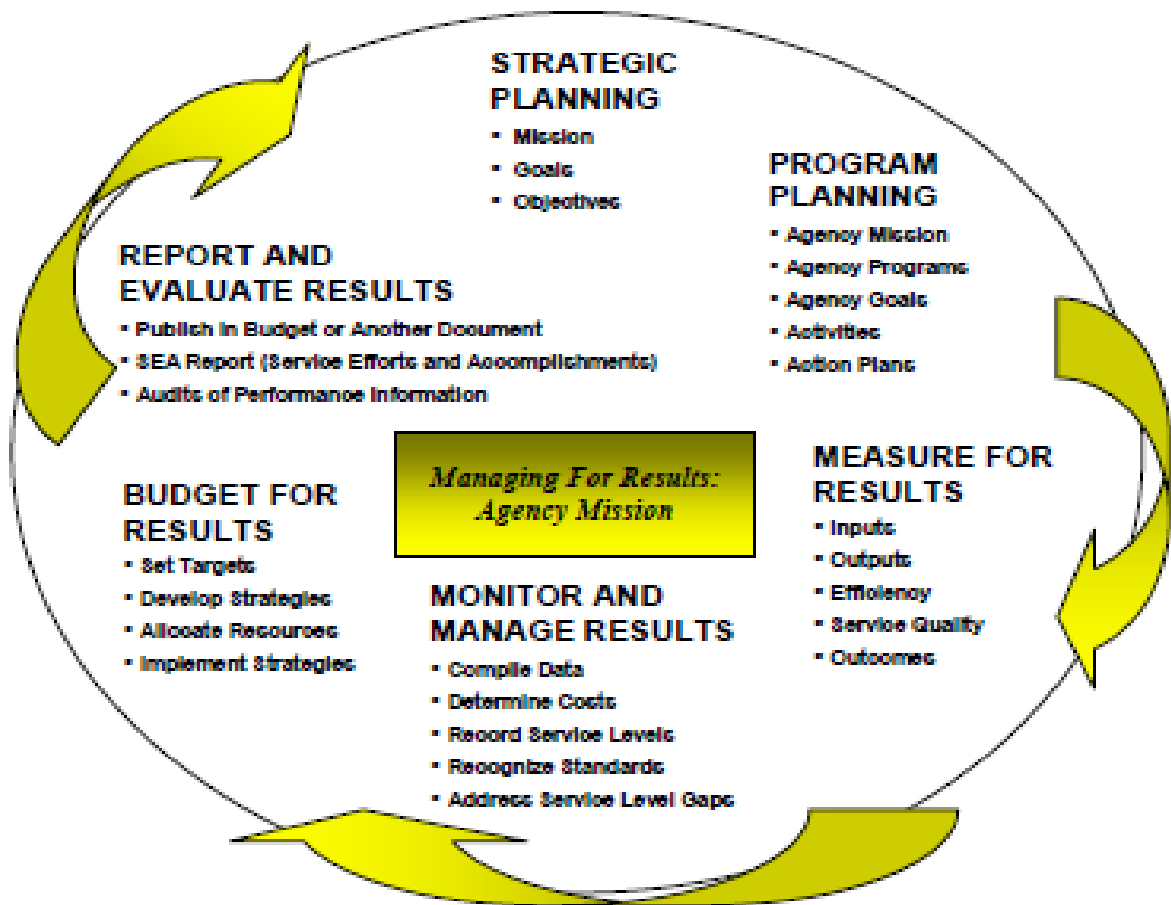
Fairfax County (2007) has refined the “Managing for Results” process into more distinct steps to facilitate ease of use and understanding of this process to maximize results:

1. Focusing on Results
2. Strategic Planning in the Context of Performance Measurement
3. Program Planning
4. Budget Implications of Performance Measurement
5. Identifying Processes to Be Measured
6. Identifying Critical Activities to be Measured
7. Establishing Performance Goals
8. Establishing and Updating Performance Measures
9. Identifying Key Staff to be Responsible for Performance Measure Processes
10. Collecting the Data
11. Analyzing the Data
12. Reporting the Data
13. Comparing Actual Performance to Performance Goals
14. Using Performance Information
15. Determining if Corrective Action is Needed
16. Making Changes to Implement Corrective Action
17. Determining If New Goals and Performance Measures are Needed

Managing For Results Workflow



Strategic Planning and Performance Measurement Process Flow Chart



Fairfax County (2003)

LOCAL GOVERNMENT RESOURCE GUIDES FOR RESULTS-ORIENTED MANAGEMENT

**ADD MORE CITY RESOURCES

Empowering Legislation

- <https://www.revisor.mn.gov/statutes/?id=6.90>
- <https://www.revisor.mn.gov/statutes/?id=16A.10>

Guides

- **Making Results-Based State Government Work**
<http://www.urban.org/UploadedPDF/results-based-stategovt.pdf>
- **ICMA Center for Performance Management; ICMA Results Network;**
www.icma.org/performance
http://icma.org/en/results/center_for_performance_measurement/home
- **A performance management framework for State and Local Government**
<http://www.ppmrn.net/images/resources/APerformanceManagementFramework.pdf>
- **Fairfax County Virginia Performance Measurement and Management Manuals**
http://www.fairfaxcounty.gov/dmb/performance_measurement/basic_manual.pdf
(Basic Guide)
http://www.fairfaxcounty.gov/dmb/performance_measurement/survey_manual.pdf
(Surveying for Customer Satisfaction)
http://www.fairfaxcounty.gov/dmb/performance_measurement/data_collection_manual.pdf
(Manual for data collection for performance measurement)
http://www.fairfaxcounty.gov/dmb/performance_measurement/manages_for_results.pdf
(Manages For Results: A Guide to Advanced Performance Measurement)
- **Iowa Department of Management Guidebooks**
http://www.dom.state.ia.us/planning_performance/tools_resources/aga.html
- **Multnomah County Oregon Performance Measurement Manual**
<http://www.ppmrn.net/resources/manuals-guides/3017>

- **Maricopa County Arizona Managing for Results Resource Guide**
<http://www.maricopa.gov/mfr/pdf/ResourceGuide.pdf>
- **King County Washington Strategic Planning and Performance Management Guide**
http://www.kingcounty.gov/operations/auditor/performance_measurement.aspx
- **Results-Based Accountability/Outcomes-Based Accountability Implementation Guide**
<http://raguide.org/>

http://raguide.org/RA/complete_paper.htm

- **Performance Measurement: Getting Results (Urban Institute, 2002)**
<http://www.urban.org/books/PerformanceMeasurement/>
- **Municipal Benchmarks: Assessing Local Performance and Establishing Community Service Standards. David Ammons (2001). 2nd Edition**

Methodologies

- **Results Based Accountability**
- **Managing for Results**
- **Balanced Scorecard for Local Government**
- **Strategy-Aligned Management**

Training Curricula

Tool Box

- **General:**
 - Fairfax County Virginia**
http://www.fairfaxcounty.gov/dmb/performance_measurement/manages_for_results.pdf
 - Minnesota Milestones**
<http://www.mnplan.state.mn.us/mm/goal.html>
 - State of Washington (GMAP), Accountability & Performance, "How to" Guides**
<http://www.accountability.wa.gov/resources/guidelines/guides.asp>

- **Benchmarks/Comparative Measures:**

ICMA Center for Performance Measurement www.icma.org/performance

Oregon Progress Board (Benchmark Resources)

http://www.oregon.gov/DAS/OPB/obm_action.shtml

[Benchnet, The Benchmarking Exchange http://www.benchnet.com/](http://www.benchnet.com/)

Ontario Municipal Benchmarking Initiative <http://www.ombi.ca/index.asp>

Florida Benchmarking Consortium <http://flbenchmark.org/>

North Carolina Benchmarking Project

<http://www.sog.unc.edu/programs/perfmeas/index.html>

Community Indicators Consortium <http://www.communityindicators.net/>

- **Citizen Reports:**

<http://www.agacgfm.org/citizen/completed.aspx>

- **Strategy Maps:**

1. Hennepin County
2. Dakota County
3. Olmsted County

- **Logic Models:**

<http://www.accountability.wa.gov/leadership/framework/tools/Logic%20Model.pdf>

Software

- **Insightvision (both BSC and RBA applications)**

<http://www.insightformation.com>

- **MFR Live!**

<http://www.weidnerinc.com/mfr-live.php>

Data Sources

Minnesota Compass (one stop shop)

www.mncompass.org

Minnesota Counties Data Collaborative

 **Trainers/Technical Assistance**

 **Model Policies**

http://www.dhs.state.mn.us/main/groups/business_partners/documents/pub/dhs16_156670.pdf

State-Local Government Leadership

DESIGN ELEMENTS OF A ROM ARCHITECTURE	EVIDENCE OF WHAT WORKS
Executive Leadership	<ul style="list-style-type: none"> • Legislator support, top-level executive sponsorship and department head “buy-in” is sustained for ROM (Center for Digital Government, 2008; Jackson in de Lancer Julnes, P., and Holzer, M. 2001; Melkers, & Willoughby, 2005; Wang & Berman, 2001; Steinberg, 2009). • Leadership is committed, effective and credible (Rhys & Boyne, 2003); the chief executive has the power to have organization implement ROM (Bourdeaux and Chikoto in Moynihan & Pandey, 2005; Rainey & Ryu 2004). Administration requires use of ROM (Wang & Berman, 2001). • Administration is stable (Askim, Johnsen & Christophersen in Moynihan & Pandey, 2005) • Empowering legislation and state requirements mandate the development and use of ROM (de Lancer Julnes, Holzer, & Holzer, 2001; Linder, Dawson & Brooks, 2005) • The State provides accountability measures to local governments such as program audits, reviews, reporting requirements, performance improvement and corrective action plans (MS 402A; OLA, 2008) • The State and local governments have an “Intergovernmental performance partnership” wherein they agree on outcome indicators; local agencies report quarterly to central agency; central agency tabulates and provides summary and comparison data to other jurisdictions; the State (and high performing counties) provide technical assistance to low performers; and all promote exemplary practices (Hatry, 2009, p.171; MS 402A; 2010 MS 6.90; OLA, 2008; Urban Institute, 2001). • The State provides seed money for local government ROM development, general technical assistance, training, public reporting of data, awards and recognition (Urban Institute, 2001). • Leaders and managers use results data as integral to decisionmaking: policymaking, management, and evaluation of progress (Ingraham, Joyce, & Kneedler Donahue , 2003).
Enterprise-Governance	<ul style="list-style-type: none"> • There are “regimes of laws, administrative rules, judicial rulings, and practices that constrain, prescribe, and enable”

	<p>ROM (Lynn, Heinrich, & Hill, 2000, p.235).</p> <ul style="list-style-type: none"> • Mechanisms are established for an enterprise approach to ROM (Center for Digital Government , 2008); a clear and cohesive performance measurement and management framework is understood and adopted throughout the organization; there is a ROM system design (Poister, 2003). • A formal “Managing for Results” framework is established (Melkers, & Willoughby, 2004; Fairfax County, VA, 2003) • Enterprise Architecture or Service Oriented Architecture (MS 16E) • Network-governance is structured and managed effectively (Provan & Kenis, 2008)
Strategic Planning	<ul style="list-style-type: none"> • External “trends” and “forces” which affect the local government are tracked (Poister & Streib, 1999) • Performance measures are used to develop strategic plans and other long-term planning efforts (Melkers, & Willoughby,2004; Urban Institute, 2001) • The strategic vision is effectively communicated to both internal and external stakeholders (Poister & Streib, 1999) • Organization has clear and agreed upon goals, objectives, outcomes, shared values, (Moynihan & Pandey, 2005; Rainey & Ryu, 2004; Jennings & Haist, 2004)
Strategic Alignment	<ul style="list-style-type: none"> • The Organization’s “mission, mandates, strategies and operations, along with major strategic initiatives such as policies, programs and projects”, and resources are developed and aligned (Bryson, Berry, & Yang, 2010, p.496) • Members of the agency are committed to the mission and vision and attempt to nurture the organizational culture in support; they have a public service motivation (Poister & Streib, 1999; Rainey & Ryu, 2004). • All levels of the agency develop “strategic agendas” that integrate with the overall agency vision and plan (Poister & Streib, 1999); • All management agendas (activities) are guided by these “strategic agendas” (ibid).
#1 Organizational Capacity of Customer, Stakeholder and Constituent Services Management (Extra-Enterprise Relations)	
Organizational Capacities	Determinant Factors of Improved Performance
Service and support systems for customers	<ul style="list-style-type: none"> • Citizen surveys and client satisfaction surveys are periodically conducted (Ammons, 1995).

<p>and constituents</p>	<ul style="list-style-type: none"> • Performance Measures (PMs) indicate the efficiency, quality and effectiveness outcomes of services (Ammons, 2002). • ROM is demonstrated to actually improve the quality and effectiveness of programs and delivery of services (Wholey, 2001; Willoughby, 2004) • External support for the agency is effective in relationship to stakeholders, customers, partners, contractors/vendors (Rainey & Ryu, 2004) • Citizens report being treated with “courtesy, respect, and compassion. They think that government employees.... exhibit knowledge in their area of work, (are) helpful and responsive, take initiative to solve problems, and give timely responses” (Cohn Berman, 2008, p.3). • PMs assist the organization to assess service needs (ICMA, 2010).
<p>Community Relations</p>	<ul style="list-style-type: none"> • The public is engaged, informed, active, involved in evaluation, priority setting, and approval of government services and performance goals (Marshall, Wray, Epstein, Grifel, 1999; IBM, 2010). • Community Indicators bridge program level measures to policy and societal level indicators representing the community’s relative health (IBM, 2010) • PMs are used to report and/or create accountability to the media and general public and acts as an incentive to improve performance (Steinberg, 2009; Melkers, & Willoughby,2004; Marshall, et.al., 1999; Poister, 2003). • Public reports are accessible, clear, and simple. Information provides understanding of the challenges of government, ways to access additional information, the status of how government is doing and how that compares to other jurisdictions (Cohn Berman,2008). • Citizens are supportive of performance measurement (PM). (Wang & Berman, 2001) • The budgeting and policy process is transparent to the public and citizens have a say in budget and policy outcomes (Arnett, Lu & Willoughby, 2009).
<p>Intergovernmental Relations</p>	<ul style="list-style-type: none"> • Comparative performance data—including both external and internal benchmarking-- is standardized and explanatory data accounts for key differences between departments and jurisdictions (Ammons, et. al. , 2001; Hernandez, 2002; Morley, Bryant, & Hatry,2001) • A rigorous benchmarking process is maintained (Ammons, et.al., 2001) • Other government entities are involved in the PM process (Melkers, & Willoughby,2004)

#2 Organizational Capacity of Program and Services Management (Intra-Enterprise Relations)	
Organizational Capacities	Determinant Performance Factors
Program Planning & Evaluation	<ul style="list-style-type: none"> • Program is relatively stable (Hatry, 1999). • PMs are used to assess and report program results, identify causal factors and flag critical areas for improvement (Melkers, & Willoughby, 2004; Metzenbaum, 2009) • Organization has capacity to evaluate programs and conduct research (GAO, 2008). • PM is cross-cutting across the multiple agencies that impact upon a policy area (Page, 2006) • Program evaluators identify intended outcomes of programs, establish and revise goals, identify factors that affect goal-achievement, and develop strategies (Wholey, 2001, p.344) • A logic model links program performance goals, objectives, activities, and measures to process, intermediate and long-term outcomes (Swiss & Straus, 2005; Poister, 2003; Ammons, 1995).
Program & Project Management	<ul style="list-style-type: none"> • Performance status or “interactive inquiry” meetings are held regularly, responsibility for program performance is assigned, ideas shared, and follow-up to performance gaps occurs and tactics for improvement rapidly approved (Behn, 2008; Metzenbaum, 2006). • Managers are empowered to make the changes that are indicated by the data (GAO, 2008).
Service Delivery Systems for Customers and Constituents	<ul style="list-style-type: none"> • Cross-sector collaborations are created to share organizational strengths, compensate for weaknesses, create new partnerships and ways of delivering services, and new ways of thinking about and addressing community problems (Crosby, Bryson, & Stone, 2006). • Local governments voluntarily enter into multi-jurisdictional agreements to better deliver service (MACSSA, 2008)
Information Resource Development (Knowledge Management)	<ul style="list-style-type: none"> • Adequate business information technology is utilized: e.g. business intelligence software, data capture, storage, access, integrity, analysis, interpretation, tracking, reporting, trends and projections, integration (Center for Digital Government, 2008; Behn, 2008; Wang & Berman, 2001) • Experts are available to do the technical design of the
<ul style="list-style-type: none"> • Performance 	

Measurement	<p>strategic, performance management and measurement systems (Wholey, 2001).</p> <ul style="list-style-type: none"> • The ROM system is customized to the local government’s specific stakeholder needs, mission, values, strategies and objectives (Lynch & Day,1996). • Usage of PMs is ensured in “strategic planning, resource allocation, program management, monitoring, evaluation and reporting to internal management, elected officials, and citizens or the media” (de Lancer Julnes, P., and Holzer, M. 2001). • Information for users is complete, accurate, consistent, timely and valid (GAO, 2008). • Explanatory notes are provided to decision-makers to account for either favorable or unfavorable results (Ammons, 1995). • Performance measures are standardized and data is normative (Walters, 2007). • Information is customized to the needs of the organizational level (e.g. operational level requires specific, discrete, concrete information)(Hernandez, 2002)
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#3 Organizational Capacity of Enterprise Resource Management

Organizational Capacities	Determinant Factors of Improved Performance
Performance Management	<ul style="list-style-type: none"> • Performance incentives are strong and enforced; awards and recognition for high performance or performance improvement are given (Lynn, Heinrich, & Hill, 2000; Hatry, 1999; Rainey & Ryu, 2004); Incentives likely should be group rather than individual incentives in the Public Sector (Metzenbaum, 2006). • Performance accountability is integrated into performance evaluation systems; performance agreements or contracts are the basis for performance incentives i.e. “pay for performance” • Managers (and local governments in general) are given greater flexibility and control in exchange for increased performance accountability (Moynihan, 2006; AMC, 2009; Atkinson, 2003).
Budgeting and Financial	<ul style="list-style-type: none"> • PMs are used to inform budgeting, resource allocations, and program management decisions (Melkers, & Willoughby,2004; Arnett, Lu & Willoughby, 2009; Fairfax

Management	<p>Co., 2003)</p> <ul style="list-style-type: none"> • Funding/resources are dedicated to ROM (Plant, 2006; Boyne, 2003). • Strategic budgeting or “budgeting for performance” is used statewide and agency to agency (Arnett, Lu & Willoughby, 2009) • Internal and external competition is fostered to leverage performance improvement (Jennings & Haist, 2004; Rainey & Ryu, 2004)
Administrative Processes	<ul style="list-style-type: none"> • PMs are driven down into the business processes and within a replicable ROM system in order to be maintained from administration to administration (Steinberg, 2009; IBM, 2010). • PMs are used to inform policy development or change (Melkers, & Willoughby,2004) • PMs are used to establish deliverables and performance accountability in contracts and grant agreements (Melkers, & Willoughby,2004; Hatry, 2009) • PMs are used to redesign business processes to increase efficiency and continuously improve (ICMA, 2010; Fairfax, 2003).
Organizational Structure	<ul style="list-style-type: none"> • Organization has decentralized decision-making (Moynihan & Pandey, 2005; Atkinson, 2003) • Central office coordinates, directs, guides implementation of ROM and reporting of data is mandatory and frequent (Wang & Berman, 2001, p.424).
Board & Legislative Agenda	<ul style="list-style-type: none"> • PMs are used to report meaningful information to elected officials and increase accountability for results (Melkers, & Willoughby,2004) • Performance information is used to advocate for resource allocation, policy goals, and expanded budgets (Moynihan, 2005).
#4 Organizational Capacity of Human Resource Management	
Organizational Capacities	Determinant Factors of Improved Performance
Labor Relations	<ul style="list-style-type: none"> • Unions are involved in and support the organizational change & ROM (Jackson, 1996; de Lancer Julnes, Holzer, & Holzer, 2001; GASB, 2003).

Internal Collaboration	<ul style="list-style-type: none"> • There is system-wide coordination of cross-cutting programs and services (Lynn,Heinrich, & Hill, 2000; Cohn Berman, 2008; GAO, 1999). • Members of the Organization are involved in ROM (Melkers and Willoughby 2005; de Lancer Julnes, Holzer, & Holzer, 2001).
Human Resource Development	<ul style="list-style-type: none"> • Departments, teams, and individuals are assigned specific responsibility for all operational aspects of the ROM (Ammons, 1995). • Direct service staff are skilled, motivated and continuously trained to perform their duties well (Lynn,Heinrich, & Hill, 2000; Yang & Hsieh, 2007; Rainey & Ryu, 2004) and trained specifically on ROM systems (Plant, 2006) • Managers of programs and services provide high quality supervision (Lynn,Heinrich, & Hill, 2000)
Organizational Culture	<ul style="list-style-type: none"> • The organization supports a performance culture and readies the organization for change through a change management process (Jackson, 2006; de Lancer Julnes, Holzer, & Holzer, 2001). • Organizational culture is oriented towards “entrepreneurship, risk taking, and adaptability” (Moynihan & Pandey, 2005, p.433) • Employees are valued as expressed through “fair, respectful, participative, communicative relations with them” (Rainey & Ryu, 2004, p.33) • Results are used for learning, increasing organizational knowledge, and making improvements not for punishing (Steinberg, 2009; Poister, 2003).
Infrastructure to Organizational Capacity: Physical Development/Capital Management	