



FY 2011

MANUAL



Office of Management and Budget
Performance Management Unit

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A Message from the Acting Chief Administrative Officer



I am very excited to present to you FY 2011's Charter for Change system. It has been the direction and unyielding effort of the Honorable Jack B. Johnson, County Executive, the former Chief Administrative Officer Dr. Jacqueline Brown, the Budget Director Jonathan R. Seeman, and I to ensure county services operate cost-effectively through our performance management tool called Charter for Change.

As our resources decline, citizens and residents still expect Prince George's County to provide effective, high-quality services. To ensure we not only provide these types of services, but maintain or improve performance, we must use our performance management tools to evaluate and improve upon how we do business. This is absolutely critical as our services must provide the most important and positive benefit to our customers using the least amount of resources.

DATA – DRIVEN DECISIONS

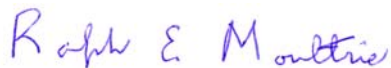
The key to Prince George's County's success during these fiscal difficulties is focusing all of our efforts to achieving the countywide vision and agency missions. To accomplish this, our decisions must use data to drive our decisions through evaluation of our performance measures. This effort will yield information that will guide decisions to facilitate enhanced efficiency and effectiveness of the services we deliver to our customers.

THANK YOU AND GREAT JOB!

Thank you all for your hard work and dedication in this effort. Prince George's County has accomplished many amazing successes using Charter for Change. One of the most impressive successes last year was how the entire county improved in presenting and using their performance information during the budget process. I am excited as we increasingly integrate Charter for Change into our operations to improve performance and achieve results – which our citizens and residents expect from all of us.

I look forward to making data-driven decisions with you this year.

Sincerely,



Ralph Moultrie, Acting Chief Administrative Officer



Summary of Tasks

AGENCIES

ITEM	DUE	TASKS
BUDGET SUBMISSION 1	October 23, 2009	<ul style="list-style-type: none"> ▪ Mission ▪ Core services table ▪ Goals ▪ Objectives ▪ Strategies ▪ Family of performance measures ▪ FY 2010 key accomplishments (requirements are not included in this document)
BUDGET SUBMISSION 2	TBD	<ul style="list-style-type: none"> ▪ Budget submission workbook which includes the requested changes tab which is used to submit action items ▪ Updating performance measures and strategies ▪ Performance measures explanation
DATA REPORTING	End of the month every two months, refer to page 65	<ul style="list-style-type: none"> ▪ Refer to page 65
EMAP	For selected agencies only, refer to page 73	<ul style="list-style-type: none"> ▪ Refer to page 73
AUDIT	For selected agencies only, refer to page 78	<ul style="list-style-type: none"> ▪ Refer to page 78

OMB BUDGET MANAGEMENT ANALYSTS

ITEM	DUE	TASKS
BUDGET ANALYSIS AND RECOMMENDATIONS	Internal review meeting date	<ul style="list-style-type: none"> ▪ Review, analyze, revise, comment, and recommend using the requested changes tab
DATA REPORTING	End of the month every two months, refer to page 65	<ul style="list-style-type: none"> ▪ Review the agency's submission ▪ Ask the agency questions and receive responses ▪ Complete the OMB Checklist



Charter for Change Award Winners

For each budget cycle, OMB rates agencies on the strength and use of performance management information. Highest achievement awards are provided to agencies receiving a rating of excellent and achievement awards are for a rating of good. Agencies can also receive an improvement award, which are provided for departments realizing significant improvement in their rating. Please refer to page 76 for more details.

AWARD WINNERS

Memorial Library	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2009, FY 2010 ▪ Improvement Award: FY 2009
Board of License Commissioners	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Achievement Award: FY 2009 ▪ Improvement Award: FY 2009, FY 2010
Office of Community Relations	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Achievement Award: FY 2009 ▪ Improvement Award: FY 2010
Office of Finance	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Improvement Award: FY 2010
Department of Housing and Community Development	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Achievement Award: FY 2009 ▪ Improvement Award: FY 2009, FY 2010
Office of Law	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Improvement Award: FY 2010
Police Department	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Achievement Award: FY 2009 ▪ Improvement Award: FY 2009, FY 2010
Department of Public Works and Transportation	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2010 ▪ Improvement Award: FY 2010
Fire/EMS Department	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2009 ▪ Achievement Award: FY 2010
Department of Corrections	<ul style="list-style-type: none"> ▪ Highest Achievement Award: FY 2009
Health Department	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009, FY 2010
Department of Family Services	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009, FY 2010
Soil Conservation District	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009, FY 2010
Citizen Complain Oversight Panel	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009, FY 2010
Department of Environmental Resources	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009
Office of Information Technology and Communications	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009, FY 2010
Office of Human Resources Management	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2009
Human Relations Commission	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2010 ▪ Improvement Award: FY 2010
Department of Social Services	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2010 ▪ Improvement Award: FY 2010
Board of Elections	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2010 ▪ Improvement Award: FY 2010
Department of Environmental Resources	<ul style="list-style-type: none"> ▪ Achievement Award: FY 2010
Orphans' Court	<ul style="list-style-type: none"> ▪ Improvement Award: FY 2010
Personnel Board	<ul style="list-style-type: none"> ▪ Improvement Award: FY 2010



Introduction

Charter for Change is Prince George's County Government's performance management system. The overall purpose of Charter for Change is to provide a countywide management tool to positively impact the County's customers. This is accomplished by reviewing, evaluating, and improving the services the County delivers. Performance management is used in all high-performing, results driven, public and private sector organizations as a tool to improve services to positively impact customers by facilitating:

- Accountability
- Transparency
- Efficiencies
- Decision making
- Focus the organization's efforts on working toward and accomplishing a plan
- Communication of the organization's purpose, problems, issues, and successes

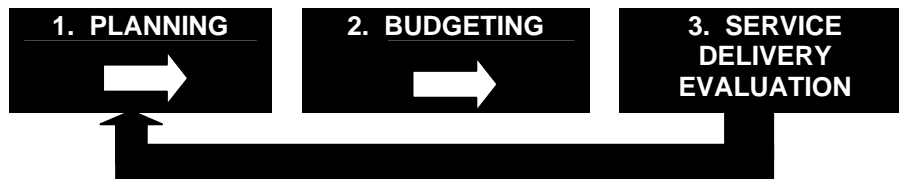
Robert Behn in "Why Measure Performance? Different Purposes Require Different Measures" in *Public Administration Review* September/October 2003 adds that performance management is important for:

- Evaluation: How well are we performing?
- Control: How can we assure we're doing the right thing?
- Budget: What should we spend money on?
- Motivation: How can I get people to do what's necessary to improve performance?
- Promotion: How can I convince stakeholders that we're doing a good job?
- Celebration: What accomplishments are worth celebrating?
- Learning: What works or doesn't work?
- Improvement: What should we do differently?

CHARTER FOR CHANGE – AN OVERVIEW

Charter for Change is the County's performance management tool to improve services to benefit the County's customers. To accomplish this, Charter for Change focuses on a continuous improvement process with three phases: planning, budgeting, and service delivery evaluation.

THE CONTINUOUS IMPROVEMENT PROCESS



1. PLANNING

The purpose of the planning process is to define and communicate what an organization intends to achieve using all of the funding sources they receive. A clear and well written plan focuses the organization on what it is working to accomplish; therefore focusing resources and work to accomplish the plan. Plans include the countywide vision, agency plans, and the family of performance measures.

WHAT ARE PLANS USED FOR?

A vision, agency plans, and performance measures are generally written for three groups of people: decision makers and analysts, employees, and customers. For decision makers and analysts, plans provide a framework to focus limited resources (e.g. time, staff, money) to achieve the highest priority items. Without a plan, it is difficult to focus limited resources in a single, clear direction. For employees, a clear and well written organization plan communicates to employees what they are working toward; allowing them to evaluate and adjust their work to focus on achieving the plan. For customers, a plan communicates what benefit the customer is receiving for their tax dollars. Agencies are responsible for writing, updating, communicating and working toward their agency plans and family of performance measures.



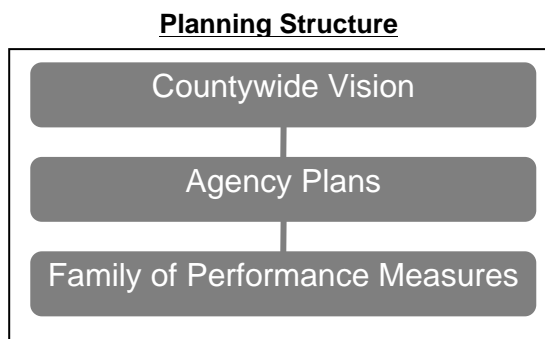
COUNTYWIDE VISION

The countywide vision provides a focused direction for all county services to strive toward. The countywide vision was established by the County Executive and is entitled the Livable Communities Initiative (LCI).

AGENCY PLANS

Mission, goals, and objectives define how the agency is relevant to the countywide vision and defines the agency's core services, customers, and outcomes. Mission, goals, and objectives are not a list of everything the agency wants to accomplish; instead these statements define the long-term impact the agency desires to have on the stated customers through the services delivered.

Strategies are also part of the agency plan. These statements detail the approaches the agency has or will implement to accomplish the agency's mission, goals, and objectives. This is usually the everyday work the agency is engaged in such as specific programs, policies, and tasks.



FAMILY OF PERFORMANCE MEASURES

The family of performance measures are analogous to a dashboard on a car for services; providing quantitative data on how well the agency is accomplishing the plan. Performance measures indicate how well the plan is being achieved and how well services are operating. Performance measures provide a quantitative picture of the agency's resources, tasks, services, production, efficiency, quality, and impact. The family of performance measures refers to having at least one of each type of performance measure, which are: input, output, efficiency, quality, and outcome.

In *Reinventing Government* David Osborne and Ted Gaebler summarized the importance of performance measures:

- If you don't measure results, you can't tell success from failure
- If you can't see success, you can't reward it
- If you can't reward success, you're probably rewarding failure
- If you can't recognize failure, you can't correct it
- If you can demonstrate results, you can win public support

2. BUDGETING

Budgeting is the planned allocation of tax dollars collected from citizens and residents and distributed to operate services for the upcoming fiscal year. Performance based budgeting is the use of performance information to allocate resources to facilitate and focus on accomplishing the plan to ultimately provide a positive outcome to customers. To facilitate this, decision makers need clear and useful performance information to allocate scarce resources to best accomplish the countywide vision.

Budgeting in this manor is analogous to customers purchasing results. This means that the County's customers are paying taxes with the expectation they will receive specific and positive benefits from the services delivered by the County. Performance based budgeting is the County's internal process to facilitate focusing the limited resources the County receives to services that will result in achieving outcomes for citizens and residents.

3. SERVICE DELIVERY EVALUATION





Service delivery is what occurs on a day-to-day basis – responding to 9-1-1 calls, immunizing patients, processing requests, etc. As services are delivered, managers are responsible for reviewing service delivery and collecting data on services allows data-driven decisions to be made in order to accomplish the plan. To accomplish this, Charter for Change requires agencies to regularly report data, which is reviewed and evaluated by OMB. In addition, this step includes regular meetings during the year with the County Executive's Office and OMB to discuss the agency's performance to identify and establish methods to improve service delivery. These meetings are known as the Executive Management Assessment Program (EMAP).



ALIGNING CFC WITH THE AGENCY'S WORK – THE LOGIC MODEL

The logic model is an approach to performance management to frame the agency's work into performance management terminology. In addition, the logic model clearly identifies the relationships between activities, core services, production, outcomes, resources, and customers. The basic premise is an agency has resources that support work on activities that are grouped into core services. The core services produce a widget to customers with the intent of impacting customers positively.


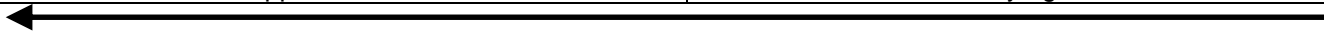
THE LOGIC MODEL

 ACTIVITIES <i>What tasks do we do?</i> The agency completes work in support of core services. Activities can include document processing, responding to calls for service, or immunizing patients.	 CORE SERVICES <i>Why do we do the activity?</i> The activities result and support the creation of core services. Core services can include fire suppression, purchasing, or disease control.	 PRODUCTION <i>What does the core service result in?</i> The core services create an immediate result, producing a widget. Production can include an approved document or arriving at the scene of an emergency.	 OUTCOMES <i>What is the ultimate impact?</i> The intended meaningful, long-term, positive impact on customers. Outcomes can include lives saved, strong fiscal management or a clean environment.
SUPPORTED BY RESOURCES <i>What do we have to complete activities and core services?</i> Resources are the materials used to support the agency's work (activities and core services). Resources can include employees, expenditures, budget, or vehicles.		DELIVERED TO CUSTOMERS <i>Who is served?</i> Customers are the people who receive the benefit of the outcome and the widget produced. Customers can include county citizens and residents or all those that are in the County.	

The logic model can be approached in two ways: (1) starting with activities and (2) starting with outcomes. To start with activities ask "why do I do this?" to start with outcomes ask "how do I achieve this?" An example of both of these approaches is below using the Office of Human Resources Management.

LOGIC MODEL EXAMPLE

Approach 1: Start with activities: "Why do I do this?"

			
Activities	Core Services	Production	Outcomes
Process job applicants	Personnel management	List of candidates	Competent and effective employees
Resources		Customers	
Job applicant reviewers		County agencies	
			

Approach 2: Start with outcomes: "How do I achieve this?"



MORE ABOUT OUTCOMES

Outcomes are the most important part of what the County accomplishes and works toward. Generally, employees do not come to work because they enjoy processing paperwork (activities), being on patrol (core services), or having a high number of arrests (production) in and of themselves. Why they work for the County is to have a positive impact in the County (save lives).

Furthermore, citizens and residents expect their tax dollars will purchase services that ultimately will impact them positively. For example, citizens and residents are less interested in police patrol in and of itself and more interested in its impact: the protection of lives and property.

A significant problem is too often the focus is not on outcomes but on the first four items in the logic model: resources, activities, core services, and production. Do not get confused: it is important to know about these items; however, they must be considered within the context of outcomes.

If an agency is focusing only on resources, activities, core services, and production it could result in service delivery problems – because it is unclear why these things are being done. For example, the police could be arresting a large number of people but they may be the wrong people; thus, there would be little or no impact on the outcome of reducing crime (this would also create other quality issues and problems). In addition, from a customer perspective, citizens and residents are less interested about the mechanics of crime fighting such as how many police officers are on the street and number of arrests in and of itself; and more interested in the crime rate.

OVERCOMING PERFORMANCE MANAGEMENT'S PERCEIVED PROBLEMS

In conversations between agencies and OMB four perceived problems are usually raised; the section below explains how to overcome these problems.

1. THIS WILL NOT LAST

On the contrary, since 1969 Prince George's County has been involved with some type of performance measurement and/or management system. It may have changed names throughout time, but the County for more than 50 years has used in some form, a performance measurement or management system.

In addition, most high performing organizations use a performance management system. In the surrounding area, several government have had success with performance management including the Federal Government, State of Maryland, Commonwealth of Virginia, District of Columbia, Montgomery County, MD, City of Baltimore, Maryland, City of Alexandria, VA, Fairfax County, VA., and Loudoun County, VA..

Furthermore, planning, measuring, and evaluating are just good management practices; without these tools how do you know if services are successful?

2. WHY SHOULD I BE HELD ACCOUNTABLE FOR SOMETHING THAT IS NOT ENTIRELY WITHIN MY CONTROL?

Outcomes are not under the complete control of the County. However, citizens and residents expect the County's services to positively influence outcomes such as crime, highway deaths, and student success. But if the government is not responsible for influencing these and other outcomes for citizens and residents then what is it here to do?

3. THIS IS JUST AN EXERCISE FOR THE BUDGET BOOK, IT IS NOT USEFUL

This is only true if you make it true. Charter for Change is a tool to plan, measure, implement, and evaluate the agency's services. This is very important to ensure the agency is achieving its plan and if not, improving itself to achieve its plan.

4. IT WILL BE USED AGAINST ME

The main purpose of Charter for Change is to facilitate continuous improvement. Using quantitative information to identify problems and resolve them is more effective than assuming a solution will work. If an agency is not achieving their plan or performance measures are not performing well, this is an opportunity to review, evaluate, communicate and resolve problems. Providing a strong plan, accurate performance measure data, and a commitment to improving; even when the agency is not performing well, establishes trust. Illustrating and evaluating performance (good or bad) can help win support with decision makers for limited resources and improve services to customers.



Continuous Improvement Step 1: Planning

As noted in the overview, continuous improvement is a three step process that facilitates service delivery improvement to positively impact the County's customers. This section is a technical guide on how to complete the planning phase of the process which includes the following elements: countywide vision, agency's plan, and the family of performance measures. All of these elements should reflect all funding sources received by the agencies.

Each element is dependent on the item before it. A good rule of thumb is if you are having trouble writing one element, it may be because the item before it needs to be revised.

HEIRARCHY AND EXPLANATION OF PLANNING ELEMENTS

ELEMENT	WHAT DOES IT TELL ME?	CONNECTION TO THE LOGIC MODEL
Countywide Vision	<ul style="list-style-type: none"> ▪ Countywide direction ▪ Countywide focus 	N/A
Mission	<ul style="list-style-type: none"> ▪ Purpose ▪ Departmental alignment with the vision 	<ul style="list-style-type: none"> ▪ Core services ▪ Customers ▪ Outcomes
Core Services Table	<ul style="list-style-type: none"> ▪ Highlighted programs and services, customers, and their impact 	<ul style="list-style-type: none"> ▪ Core services ▪ Customers ▪ Outcomes
Goals	<ul style="list-style-type: none"> ▪ Details one core service's customer(s) and outcome from the mission 	<ul style="list-style-type: none"> ▪ Core services ▪ Customers ▪ Outcomes
Objectives	<ul style="list-style-type: none"> ▪ The measurable targets and timeframe to accomplish the goal's outcome 	<ul style="list-style-type: none"> ▪ Core services ▪ Customers ▪ Outcomes
Strategies	<ul style="list-style-type: none"> ▪ How to accomplish the objective 	<ul style="list-style-type: none"> ▪ Activities ▪ Production
Family of Performance Measures	<ul style="list-style-type: none"> ▪ How well the plan is being accomplished ▪ The resources, workload, demand, output, efficiency, quality, and impact of the objective ▪ Includes items such as descriptive information and annual data 	<ul style="list-style-type: none"> ▪ An indication of all items

Below is the process to submit the elements above as well as their requirements with examples and explanations.



BUDGET SUBMISSION 1 – SUBMITTING THE ELEMENTS IN THE PLANNING PHASE

Budget submission 1 is due on October 23. The submission includes the following items: mission, core services table, goals, objectives, strategies, family of performance measures, and performance measures explanations. The requirements for each of these items are explained in the subsequent sections. How to submit these items is explained below in a five step process.

STEP 1. AGENCY PERFORMANCE INFORMATION IS PREPARED AND LOADED ONTO SHAREPOINT

OMB PMU is responsible for preparing all agency FY 2010 budget pages to be used by agencies to submit their FY 2011 Charter for Change information.

RESPOSIBILITY	OMB Performance Management Unit
DUE	September 30, 2009
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. PREPARE THE MS WORD DOCUMENT <ul style="list-style-type: none"> ▪ Copy the FY 2010 budget pages ▪ Remove budget information ▪ Remove all performance measures tables and graphs 2. PREPARE THE MS EXCEL DOCUMENT <ul style="list-style-type: none"> ▪ Copy the MS Excel file that supports the budget pages for performance measures ▪ Hide the graphing tab ▪ Remove the function column ▪ Add a new column: "Strategy's measure" ▪ Update the FY 2009 Estimated column to read: "FY 2009 Actual" ▪ Update the FY 2010 Projected column to read: "FY 2010 Estimated" ▪ Add the column "FY 2011 Projected" ▪ Unhide all rows and columns 3. UPLOAD ALL FILES ONTO SHAREPOINT <ul style="list-style-type: none"> ▪ Name all files based on the agency's number (50.doc, 50.xls for the Police Department) ▪ Load onto http://pgcintra/SiteDirectory/CFC/ into the folder Shared documents/FY11 CFC Starting Documents



STEP 2. AGENCY DOWLOADS AND UPDATES THEIR MS WORD FILE FOR ALL INFORMATION EXCEPT PERFORMANCE MEASURES

This step is for agency’s to review, revise, add, delete, and ultimately submit their mission, core services table, goals, objectives, and strategies.

RESPOSIBILITY	Agencies
DUE	N/A – do not submit without completing steps 3 and 4
STEPS TO COMPLETE	<p>1. OPEN AND SAVE THE FILE</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY 11 Starting Documents” ▪ Select and open your agency’s Microsoft <u>Word</u> file (i.e. the Health Department is “70.doc”) ▪ Save the file onto your computer <p>2. WORK IN THE FILE</p> <ul style="list-style-type: none"> ▪ Turn on track changes ▪ You may edit, revise, add, or delete any item that you want – however, make sure it complies with the requirements set forth in the manual ▪ <u>Do not copy and paste the performance measures table into the MS Word File</u> <p>3. UPLOAD THE MS WORD FILE ONTO SHAREPOINT</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY 11 Agency Budget Submission” ▪ Select “Upload” from the top navigation bar ▪ Go to the MS Word file on your computer (that you have been using to work on), make sure the name is your agency’s number (i.e. the Police Department should be 50.doc) ▪ To upload your document select the “browse” button than find and select the MS Word file on your computer ▪ Once selected hit “OK” in the dialog box ▪ Select “OK” again on the SharePoint screen
ABOUT SUBMITTING DRAFTS	The agency may submit a draft at any time for the review and comment of OMB PMU. A draft Charter for Change rating will accompany any comment made by OMB PMU.
PLEASE NOTE	<ul style="list-style-type: none"> ▪ Do not copy and paste performance measures tables into the word file ▪ All changes must use <u>track changes</u> to be considered ▪ All elements must align with and comply with the requirements set forth in this manual, refer to each element’s respective section



SAMPLE MS WORD DOCUMENT

Below is an example MS Word document, additional goals and objectives should be organized using the hierarchy explained on page 8. In addition, the below example excludes the marked-up view generated by using track changes (which is required). Of note, for budget submission 1, the performance measures explanation does not need to be reviewed, edited, or submitted.

EXAMPLE MS WORD DOCUMENT

MISSION AND SERVICES		
<p>Mission - The Police Department provides patrol, emergency police response and investigative services to county citizens, residents and visitors in order to protect lives and property.</p>		
<p>The agency's mission supports accomplishing the countywide vision by:</p> <ul style="list-style-type: none"> ▪ Working for safe communities ▪ Working for economic vibrancy ▪ Working for a clean environment ▪ Working for sound county management 		
<p>The agency is responsible for -</p>		
Services	Customers	Impact on Customers
<ul style="list-style-type: none"> ▪ Patrol, including responding to calls for service ▪ Emergency police response 	<ul style="list-style-type: none"> ▪ County citizens ▪ County residents ▪ County visitors 	<ul style="list-style-type: none"> ▪ Protect lives and property
SERVICE DELIVERY PLAN AND PERFORMANCE		
<p>GOAL 1 —To provide uniform patrol services to the County's citizens, residents and visitors in order to mitigate crime.</p>		
<p>Objective 1.1 -</p>		
Statement and Targets	Objective's Long Term Target Compared with Performance	
<p>Reduce the number of violent crime incidents from 7.4 per 1,000 residents in calendar year (CY) 2008.</p> <ul style="list-style-type: none"> ▪ Short term: By CY 2010 – 6.7 ▪ Intermediate term: By CY 2013 – 6.5 ▪ Long term: By CY 2016 – 6.3 		
<p>Performance Measures -</p> <p>Performance Measures Explanation – Violent crime includes homicides, rapes, robberies, carjacking and assaults. Violent crime has declined from 8,844 in 2005 with additional reductions expected in 2008, 2009 and 2010. Data is reported on a calendar year basis to correspond with the Uniform Crime Reporting standards. Please note, violent crime numbers for 2008 are estimated. In some cases CY 2006 data is unavailable.</p> <p>Strategies to Accomplish the Objective –</p> <ul style="list-style-type: none"> ▪ Strategy 1.1.1 – Partner with county, municipal, State and Federal law enforcement agencies ▪ Strategy 1.1.2 – Hold statistical review meetings with all law enforcement partners to discuss how to achieve and improve toward the agency's objective ▪ Strategy 1.1.3 – Concentrate police and probation resources on the most violent offenders who are highly likely to commit future violent crimes ▪ Strategy 1.1.4 – Utilize the EXILE program combining law enforcement, prosecution and community action to combat gun crime which if a person is convicted requires mandatory federal prison sentences 		



STEP 3. AGENCY DOWLOADS AND UPDATES THEIR MS EXCEL FILE FOR PERFORMANCE MEASURES

Below are the steps to submit the agency’s performance measures. Please refer to the sections below for details and requirements.

RESPOSIBILITY	Agencies
DUE	N/A – do not submit without completing steps 2 and 4
STEPS TO COMPLETE	<p>1. OPEN AND SAVE THE FILE</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY 11 Starting Documents” ▪ Select and open your agency’s Microsoft <u>Excel</u> file (i.e. the Health Department is “70.xls”) ▪ Save the file onto your computer <p>2. WORK IN THE FILE</p> <ul style="list-style-type: none"> ▪ Turn on track changes ▪ You may edit, revise, add, or delete any item that you want – however, make sure it complies with the requirements set forth in the manual ▪ <u>Do not copy and paste the performance measures table into the MS Word File</u> ▪ Please note, any changes to <u>actual</u> data must be accompanied by a <u>separate</u> raw data submission with an explanation <p>3. UPLOAD THE MS EXCEL FILE ON TO SHAREPOINT</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY 11 Agency Budget Submission” ▪ Select “Upload” from the top navigation bar ▪ Go to the MS Excel file on your computer (that you have been using to work on), make sure the name is your agency’s number (i.e. the Police Department should be 50.xls) ▪ To upload your document select the “browse” button than find and select the MS Excel file on your computer ▪ Once selected hit “OK” in the dialog box ▪ Select “OK” again on the SharePoint screen
ABOUT SUBMITTING DRAFTS	The agency may submit a draft at any time for the review and comment of OMB PMU. A draft Charter for Change rating will accompany any comment made by OMB PMU.
PLEASE NOTE	<ul style="list-style-type: none"> ▪ Do not copy and paste performance measures tables into the word file ▪ All changes must use <u>track changes</u> to be considered ▪ All performance measures must at minimum have FY 2009 actual data, FY 2010 estimated data, and FY 2011 projected data ▪ Performance measures must align with and comply with the requirements set forth in this manual



SAMPLE MS EXCEL DOCUMENT

Below is an example MS Excel document. Of note, the below example excludes the marked-up view generated by using track changes (which is required).

**EXAMPLE MS EXCEL DOCUMENT
ILLUSTRING THE HEADER AND ONE ROW ONLY**

Objective	Measure Name	Objective's Measure	Strategy's Measure	Measure Category	Methodology	Favorable Trend	Data Source	Reporting Frequency	FY 2007 Actual	FY 2008 Actual	FY 2009 Actual	FY 2010 Estimated	FY 2011 Projected
1.1	Number of advance life support (ALS) capable ambulances			Input	Count from the fleet inventory (2008 edition)	Increase	2008 fleet inventory	Annually	13	13	14	14	14

STEP 4. AGENCY BUDGET SUBMISSION 1

RESPOSIBILITY	Agencies
DUE	October 23, 2009
STEPS TO COMPLETE	<ol style="list-style-type: none"> All previous steps must be completed An email from the agency's director or a signed memorandum indicating the Charter for Change submission must be sent by the due date to Jonathan R. Seeman, Budget Director with Greg Useem, Planning and Accountability Officer copied

STEP 5. OMB PMU REVIEW, EDITING, AND FINALIZATION

RESPOSIBILITY	OMB PMU
DUE	November 6, 2009
STEPS TO COMPLETE	<ol style="list-style-type: none"> Download and save all submissions on OMB's internal shared drive Review all documents and approve/deny changes with a note identifying why if denied Save the files with notes onto SharePoint here: http://pgcintra/SiteDirectory/CFC/Shared documents/CFC Plans/FY11 CFC Documents with Comments Update the files with all approved changes and save it on SharePoint here: http://pgcintra/SiteDirectory/CFC/Shared documents/CFC Plans/FY11 CFC Documents Ready for Submission 2 Email the agency that all documents are available Remove all documents in the "FY11 Agency Budget Submission"



COUNTYWIDE VISION

The countywide vision under the Honorable Jack B. Johnson, County Executive is entitled the Livable Communities Initiative (LCI). The countywide vision defines the direction and focus of the County government. LCI is defined as:

A community that is culturally and geographically diverse, proudly progressive, united for educational excellence, committed to vibrant economic development and dedicated to the preservation of natural and historic resources.

LCI will focus on eight priority areas:

1. Education
2. Public Safety
3. Health and Human Services
4. Transportation
5. Environment
6. Housing and Community Development
7. Economic Development
8. Cultural Arts and Historic Preservation

ESSENTIAL COMPONENTS TO ACCOMPLISH THE LCI

To accomplish the LCI, the County will work toward eight essential components listed below:

- **Working for safe communities:** To make certain all lives and property within the County are protected to ensure all are safe, secure, and productive to enhance the quality of life for the citizens and residents of the County.
- **Working for educational excellence:** To create an exceptional learning environment which provides an opportunity for every child in the County to grow and prosper.
- **Working for a clean environment:** To provide a livable and esthetically pleasing environment for all those who come into the County; free of litter, debris, and health hazards.
- **Working for economic vibrancy:** To provide an atmosphere that encourages business to grow and prosper in the County.
- **Working for healthy citizens and residents:** To promote and protect the health and wellbeing of all county citizens and residents to ensure they have a healthy and long life.
- **Working to support families and individuals in need:** To provide assistance to all those in need to offer all an opportunity for a high quality of life.
- **Working for sound county management:** To provide accountable and responsible management of county resources ensuring cost effective services are provided to citizens and residents.
- **Working for cultural arts and historic preservation:** To present cultural arts and protect historical sites to the public in order to provide all an opportunity to experience and learn about all cultures and our history.



MISSION STATEMENT

The mission statement is the agency's broad, overarching statement of purpose to achieve the countywide vision. The statement accomplishes this by identifying the agency's core services, customers, outcome and how the agency's mission supports accomplishing the countywide vision. The mission statement is the foundation of the agency's plan and facilitates writing goal and objective statements.

Mission statements should be written for a layman. A statement that is easy to understand for anyone will help communicate to taxpayers, decision makers, analysts, and employees the core services' customers and the outcomes the agency is working to provide. The key to accomplish this is avoiding technical language, acronyms, and jargon.

RATING

Agency mission statements are scored based on the criteria listed below on a scale of 0-3. A check mark indicates the item is required to receive the related score. For example, to achieve a rating of two, items 1-2 must be accomplished.

MISSION STATEMENT RATING

RATING	1. THE MISSION IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. THE MISSION'S OUTCOME HAS SIGNIFICANT IMPACT ON THE IDENTIFIED CUSTOMERS
0			
1	✓		
2	✓	✓	
3	✓	✓	✓

Below the rating area requirements and explanations are detailed.

1. THE MISSION IS INCLUDED

This rating item requires that a mission statement is submitted for an agency to receive a score of at least one. If the statement is not submitted, the agency will be rated a zero.



2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS

The mission statement formula has four requirements, which are listed below.

- The statement must include all required components (items in the formula's black boxes)
- The statement must include all of the required components in the order illustrated in the formula
- All other text in the formula (i.e. provides, in order to) must be included; only the words provides, to, and in order to may be substituted for synonyms
- All required components must align with their definition, which is explained in more detail below

STATEMENT'S FORMULA, REQUIRED COMPONENTS (BLACK BOXES), AND EXAMPLE

FORMULA AND REQUIRED COMPONENTS	
The	agency's name provides core services
to	customers in order to outcome
The agency's mission supports accomplishing the countywide vision by:	
▪	Accomplishing the LCI
EXAMPLE	
The	Department of Corrections provides care and custody and education programs
to	inmates in order to allow the incarcerated to become productive members of society.
The agency's mission supports accomplishing the countywide vision by:	
▪	Working for safe communities
▪	Working to support families and individuals in need

Definitions of Required Components

Below are definitions for the formula's components (items in the black boxes above).

Agency's Name

The full name of the agency is included in this box. For example, "Office of Management and Budget" would be inserted in this section.



Core Services

Input the agency’s core services separated by commas. Core services are a group of tasks and activities that directly support an agency in achieving its intended outcomes. In order to write core services effectively, avoid listing all of the agency’s activities and tasks.

Do Core Services Directly Align with the Agency’s Divisions?

Sometimes core services are organized as an agency’s division For example, public works employees plow snow (activities) to support the snow removal core service. However, in other cases the connection between a division and core services is not as clear and includes multiple divisions. For example, repairing roads (activities) supports the roadway management core service which is worked on by the planning division, the roadway repair division, and support services division. Below is a table to further explain core services using an example from the Police Department.

WHAT ARE CORE SERVICES?

ACTIVITIES	CORE SERVICES	PRODUCTION
<ul style="list-style-type: none"> ▪ Respond to 9-1-1 calls ▪ Drive around neighborhoods in patrol cars 	<ul style="list-style-type: none"> ▪ Patrol services 	<ul style="list-style-type: none"> ▪ Arrests

Customers

Customers are those who will receive the long-term benefit of the core services and can be county agencies, residents, and/or citizens. In Charter for Change customers must be the people who will receive the benefit of the core service’s outcome. Therefore, builders who are required to have county permits are not the customer. The customers are citizens and residents because the outcome is to protect the safety of those who live in the buildings. This does not mean the County no longer serves builders, the County still needs to work with the builders to ensure the buildings are safe.

Generally speaking, there are two types of customers: recipients and clients. Recipients are customers that have no service delivery choice. An example is public safety services. When a customer calls 9-1-1 they cannot request another county or a specific station come and serve them, instead they are served by the closest available station within the County.

Clients are customers who have a choice to receive services from the County. An example is recreation services. A customer can choose which park or recreation center they go to, which may be in a different jurisdiction or run by the Federal or State governments.

Customers can also be internal or external. Internal customers are those within county government and external customers are those outside county government. For example, for the Office of Finance an internal customer is county agencies and an external customer is county citizens and residents.

Outcome

Outcomes are the large impact or end result the agency wants to have on its customers using its core services. In the mission statement formula, the outcome is generally a general statement encompassing one or many related outcomes. An outcome is the agency’s intended end result of the work the agency produces and provides to the customers. This is the reason why taxpayers pay taxes.

For example, the Office of Central Services has a budget and staff (resources) which are partially used for buying police cars (activities) which support the purchasing core service that produces marked and equipped police cars (production). The customer is the Police Department with the outcome being a police car that functions properly.



Outcomes are not completely controlled by the agency. However, it is what the agency is trying to impact and influence, and it is what customers expect from the service. For example, the Police Department does not have complete control over crime. Many external factors impact the crime rate; nevertheless, citizens and residents expect the Police Department to be responsible for influencing the crime rate.

Outcomes are sometimes confused with activities, production, and customer satisfaction. To further clarify, below is a table to distinguish the differences:

WHAT ARE OUTCOMES?

ACTIVITIES	PRODUCTION	CUSTOMER SATISFACTION	OUTCOMES
Respond to 911 calls	Arrests	Number of complaints per 100 911 calls	Crime

Outcomes for Support Agencies

Outcomes for support agencies are perceived to be more difficult because it is assumed that outcomes must be something citizens and residents directly benefit from. However, this is not the case. Outcomes are what the agency’s customers directly benefit from.

For example, the Office of Human Resources Management’s (OHRM) customers for position management (core service) are not job applicants. Instead, OHRM’s customers are county agencies and an outcome of providing the best, most qualified human resources to accomplish the agency’s work.

Writing Broad Outcome Statements

Outcomes in mission statements must also be a concise but broad statement. The outcome must communicate what impact the agency intends to have on its customers. However, having a list of items the agency wants to impact is not an effective approach to writing a mission statement as goals and objectives will later define specifically what the agency is working to accomplish. For example, an outcome the states: “in order to ensure a high quality of life” is better than “in order to ensure less homeless people, more adoptions, and less domestic violence.”

Accomplishing the LCI

This section of the formula is a list identifying the alignment the agency’s mission has with the countywide vision. The agency selects which essential components their agency intends to accomplish based on the department’s mission statement’s outcome (listed below). Of note, more than one essential component may be included, but for each essential component a new bullet point must be added. Do not include items not in the Accomplishing the LCI list, which is listed below.

ITEMS TO CHOOSE FROM FOR ACCOMPLISHING THE LCI

- | | |
|--|--|
| <ul style="list-style-type: none"> ▪ Working for safe communities ▪ Working for educational excellence ▪ Working for a clean environment ▪ Working for economic vibrancy | <ul style="list-style-type: none"> ▪ Working for healthy citizens and residents ▪ Working to support families and individuals in need ▪ Working for sound county ▪ Working for cultural arts and historic preservation |
|--|--|

Definitions for each item in the Accomplishing the LCI can be found on page 18.



3. THE MISSION'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE IDENTIFIED CUSTOMERS

There must be one outcome statement that identifies a benefit, impact, or positive result of the agency's work provided to customers. Having a significant impact on customers means the outcome will positively benefit customers in an important and meaningful way.

Avoiding proxy indicators of impact and processes will help ensure an effective outcome statement. For example, proxy indicators and processes include achieving a mandate, providing more training, responding faster, serving more people, or providing more services. Conversely, supporting agency operations to accomplish their objectives, saving lives, using alcoholic beverages responsibly, ensuring an aesthetically pleasing county, and enhancing quality of life are outcomes with a significant impact on customers.

CORE SERVICES TABLE

Core services are a group of tasks that directly support an agency in achieving its intended outcomes and are identified in the agency's mission and goal statements. The list of core services is included both in the mission statement and in the core service's table of the budget pages. This means core services must be submitted separately in the core services section but also must be included in the core services section of the mission statement. Core services also have a brief description of the core service following the core services statement.

Below is an example core services table and how it is related to the mission statement. In the services column of the table, the mission statement's core services are listed with a brief description. In the customers column, the customers section of the mission statement is highlighted. The column with the title "Impact on Customers" includes the mission statement's outcome.

CORE SERVICES TABLE EXAMPLE

Mission - The Department of Public Works and Transportation provides roadway infrastructure, litter control, mass transportation and stormwater management to all users in the County in order to ensure a safe and aesthetically pleasing transportation system

The agency's mission supports accomplishing the countywide vision by:

- Working for safe communities
- Working for economic vibrancy
- Working for sound county management
- Working for a clean environment

Services	Customers	Impact on Customers
<ul style="list-style-type: none"> ▪ Roadway infrastructure including design, construction and maintenance ▪ Litter control, snow and ice removal ▪ Mass transportation ▪ Stormwater management includes maintenance of flood control facilities 	<ul style="list-style-type: none"> ▪ All users in the County 	<ul style="list-style-type: none"> ▪ Ensure a safe transportation system ▪ Ensure an aesthetically pleasing transportation system



GOAL STATEMENT

A goal statement is a more detailed description of each core service identified in the mission statement. In the goal statement, the core service's customers and outcomes are explained in greater detail. As one goal statement is written for each core service listed in the mission.

Goal statements, like mission statements, should be written for a layman. A statement that is easy to understand for anyone will help communicate to taxpayers, decision makers, analysts, and employees the core services, customers, and outcomes the agency is working to provide. The key to accomplish this is avoiding technical language, acronyms, and jargon.

RATING

Agency goal statements are rated on a scale of 0-3 based on the criteria listed below. A check mark indicates the item is required to receive the related score. For example, to receive a rating of two items 1-3 below must be achieved.

GOAL STATEMENT RATING

RATING	1. THE GOAL IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. EACH CORE SERVICE IN THE MISSION HAS A GOAL	4. THE MISSION'S CUSTOMERS AND CORE SERVICES ARE MORE SPECIFICALLY DEFINED IF POSSIBLE AND THE OUTCOME IS MORE SPECIFICALLY DEFINED	5. THE GOAL'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE IDENTIFIED CUSTOMERS
0					
1	✓				
2	✓	✓	✓		
3	✓	✓	✓	✓	✓

Below are the explanations and definitions for each item in the statement's rating.

1. THE GOAL IS INCLUDED

This rating item requires that each agency have at least one goal statement, to receive a rating of at least one. If a statement is not included, the agency will be rated a zero.



2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS

The formula below is how to write a goal statement. The goal statement formula has four requirements, which are listed below.

- The statement must include all required components (items in the black boxes)
- The statement must include all of the required components in the order illustrated in the formula
- All other text in the formula, but provide, to, and in order to may be substituted for synonyms
- All required components must align with their definition, which is explained in more detail below

STATEMENT'S FORMULA, REQUIRED COMPONENTS (BLACK BOXES), AND EXAMPLE

FORMULA AND REQUIRED COMPONENTS							
Goal	number	- To provide	core service	to	customers	in order to	outcome

EXAMPLE							
Goal	1	- To provide	public transportation	to	all users	in order to	ensure mobility

Definitions of Required Components

Below are definitions for the formula's required components (items in the black boxes above).

Number

Goal statements are numbered using whole numbers, i.e. 1, 2, 3, 4. The number helps track goal statements as well as prioritizes goal statements. Therefore, the lower the number, the higher the importance or priority the goal is which means, the top priority would be less likely removed compared with a lower priority.

An example of how goals are numbered is as follows: Goal 1; Goal 2; Goal 3. Goal 1 would be the highest priority and Goal 3 would be the lowest priority.

Core Service

A goal statement's purpose is to specify one of the agency's core service's impact on its customers. Therefore, the core service component of the goal statement is one of the mission statement's core services. In the mission statement each core service listed must have at least one goal statement. Rating area item three describes and explains this in more detail.

If possible, the core service in the goal statement should be more specifically stated than in the mission statement. This is because mission statements are broad general statements and goals are to help specify the mission. Rating area item four describes and explains this in more detail.

Customers

Customers are the people that will receive the benefit of the core service's outcome must also be the people who will receive the benefit of the core service's outcome. Generally this is county agencies, residents, and/or citizens.

If possible, the customer in the goal statement should be more specifically stated than in the mission statement. This is because mission statements are broad general statements and goals are to help specify the mission. Rating area item four describes and explains this in more detail.



Outcome

The outcome in the goal statement is the specific and intended impact of the core service. Outcomes are the large impact or end result the agency wants to have on its customers using its core services. An outcome is the agency’s intended end result of the work the agency produces and provides to the customers. Outcomes are generally not process based – such as screenings or responses; rather, outcomes focus on the benefit of customers such as their health and safety. In the formula, the outcome is generally one impact that will benefit customers.

Outcomes are sometimes confused with activities, production, and customer satisfaction. To further clarify, below is a table to distinguish the differences:

WHAT ARE OUTCOMES?

ACTIVITIES	PRODUCTION	CUSTOMER SATISFACTION	OUTCOMES
Respond to 911 calls	Arrests	Number of complaints per 100 911 calls	Crime

The outcome in the goal statement must be more specifically stated than in the mission statement. This is because mission statements are broad general statements and goals are to help specify the mission. Rating area item four describes and explains this in more detail.

3. EACH CORE SERVICE IN THE MISSION HAS A GOAL

For each core service listed in the mission statement, there must be a goal statement. This is because goal statements specify each core service’s customers and outcome. There should be no more and no less goal statements than the number of core services listed in the mission statement. Below is an example.

GOAL’S CORE SERVICES AND THE MISSION STATEMENT

Mission - The Office of Homeland Security provides 9-1-1 call center services (GOAL 1), technology support (GOAL 2) and emergency management (GOAL 3) to public safety and criminal justice agencies and all those in the County in order to ensure the County’s safety and security.

The agency’s mission supports accomplishing the countywide vision by:

- Working for safe communities
- Working for sound county management

Goal 1- To provide 9-1-1 emergency call services to citizens, residents and the general public in order to ensure emergencies have the appropriate and timely public safety services deployed.

Goal 2 - To provide technology support services to public safety and criminal justice agencies in order to ensure vehicles and officers have appropriate working technology equipment to support their efforts.

Goal 3 – To provide emergency management to all those in the County in order to lessen the effects of an emergency.



4. THE MISSION'S CUSTOMERS AND CORE SERVICES ARE MORE SPECIFICALLY DEFINED IF POSSIBLE AND THE OUTCOME IS MORE SPECIFICALLY DEFINED

The goal statement has the same elements the mission statement has; the difference in the two statements is the goal statement specifies the customers and outcome for each core service listed in the mission statement. Therefore, the goal statement must have a more specific statement of outcome than in the mission statement. Additionally, if the core service and customer in the mission statement is stated in general terms, more specific terminology may be used for the goal; but this is not required.

Below is an example from the Health Department of specifying customers and outcomes from a mission statement to a goal statement.

GOING FROM MISSION TO THE GOAL STATEMENT

STATEMENT	CORE SERVICES	CUSTOMERS	OUTCOME
Mission	Protect and promote health	Individuals	Ensure a healthy quality of life
Goal 1	Protect health	County citizens and residents	Prevent disease

5. THE GOAL'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE IDENTIFIED CUSTOMERS

For a rating of three, the goal statement must include an outcome that has an important benefit, impact, or positive result of the agency's work provided to customers. Having a significant impact on customers means the outcome will positively benefit customers in an important and meaningful way.

Avoiding proxy indicators of impact and processes will help ensure the statement is strong. For example, proxy indicators and processes include achieving a mandate, providing more training, responding faster, serving more people, or providing more services. However, supporting agency operations to accomplish their objectives, saving lives, using alcoholic beverages responsibly, ensuring an aesthetically pleasing county, and enhancing quality of life are outcomes with a significant impact.



OBJECTIVE STATEMENT

Objectives are the quantification of the agency's outcome identified in the goal statement. Quantifying the outcome allows all stakeholders to understand what the actual impact of the agency is and will be. In addition, the objective provides a clear indication of what success will look like in out years and helps guide discussion on how to improve service delivery.

Objective statements should be written for a layman. A statement that is easy to understand for anyone will help communicate to taxpayers, decision makers, analysts, and employees the outcome the agency is working to provide. The key to accomplish this is avoiding technical language, acronyms, and jargon.

RATING

Agency objective statements are rated based on the criteria listed below. Each item is scored on a scale of 0-3. A check mark indicates the item is required to receive the related score. For example, the only requirement to receive a score of one is the objective statement is included. In order to receive a rating of two all items from columns 1-4 must be accomplished.

OBJECTIVE STATEMENT RATING

RATING	1. THE OBJECTIVE IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. THERE IS AT LEAST ONE OBJECTIVE FOR EACH GOAL	4. THE GOAL'S OUTCOME IS MEASURED	5. THE OBJECTIVE'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE GOAL'S IDENTIFIED CUSTOMERS
0					
1	✓				
2	✓	✓	✓	✓	
3	✓	✓	✓	✓	✓

Below, each rating requirement is defined and explained in more detail.

1. THE OBJECTIVE IS INCLUDED

This rating item requires that at least one objective statement is included in the budget submission for an agency to receive a rating of at least one. If the statement is not included, the agency will be rated a zero.



2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS

The objective statement details a goal's desired level of impact (quantitative) within a short, intermediate, and long-term timeframe. At minimum, one objective is required for each goal statement.

The formula below is how to write the objective statement. The objective statement formula has four requirements, which are listed below.

- The statement must include all required components (items in the black boxes)
- The statement must include all of the required components in the order illustrated in the formula
- All other text in the formula (i.e. from, short term) must be included; only increase/decrease may be substituted for synonyms
- All required components must align with their definition, which is explained in more detail below

STATEMENT'S FORMULA, REQUIRED COMPONENTS (BLACK BOXES), AND EXAMPLE

FORMULA AND REQUIRED COMPONENTS	
Objective	number - Increase / decrease outcome
from	quantified baseline in FY 2008.
<ul style="list-style-type: none"> ▪ Short term: by FY 2010 – ▪ Intermediate term: by FY 2013 – ▪ Long term: by FY 2016 – 	quantified target quantified target quantified target
EXAMPLE	
Objective	1.1 - Reduce the number of violent crime incidents
from	7.4 in CY 2008.
<ul style="list-style-type: none"> ▪ Short term: by FY 2010 – ▪ Intermediate term: by FY 2013 – ▪ Long term: by FY 2016 – 	6.7 6.5 6.3

Definitions of Required Components

Below are definitions for the formula's required components (items in the black boxes above).

Number

Objective statements are numbered using numbers with decimals, i.e. 1.1, 2.1, 3.1, 4.1. The first number represents the goal statement the objective is aligned with and the second number is the objective's number.

The numbers also reflect priorities. The lower the objective number the higher the importance or priority the objective has meaning the top priority would receive funding over lower priority.

An example of how objectives are numbered is as follows:

Goal 1-

Objective 1.1 -

Objective 1.2 -

Goal 2-

Objective 2.1 -



Outcome

The outcome is the measurable benefit the agency is working to provide its customers. This benefit is usually not within the total control of the agency, but it is what customers expect the agency to influence. This is the statement of outcome from the goal statement, but if necessary, more specific and measurable.

To accomplish this, the goal's outcome statement must be converted into a quantifiable statement. This is because the objective measures the ultimate success and benefit of accomplishing the goal's outcome. Therefore, the objective's outcome must be able to be counted in some form (percentage, number, dollars, etc.). Rating area item four discusses this in more detail.

An example of the relationship between goals and objectives is illustrated below.

OBJECTIVE'S RELATIONSHIP TO A GOAL STATEMENT

Goal 1 —To provide uniform patrol services to the County's citizens, residents and visitors in order to **mitigate crime.**

Objective 1.1 – Reduce the **number of violent crime incidents** from 7.4 per 1,000 residents in calendar year (CY) 2008.

- Short term: By CY 2010 – 6.7
- Intermediate term: By CY 2013 – 6.5
- Long term: By CY 2016 – 6.3

Quantitative Baseline

The quantitative baseline is the FY 2008 status for the objective. This is important to know as the agency sets out year targets to improve – FY 2008 is the starting point. Because the objective's outcome statement is a performance measure, the objective's measure's data for FY 2008 will be entered into this part of the objective statement. Below is an example.

OBJECTIVE'S RELATIONSHIP TO THE PERFORMANCE MEASURES

Objective 1.1 – Reduce the number of violent crime incidents from **7.4** per 1,000 residents in calendar year (CY) 2008.

- Short term: By CY 2010 – 6.7
- Intermediate term: By CY 2013 – 6.5
- Long term: By CY 2016 – 6.3

Performance Measures –

Measure Name	Measure Category	CY 2007 Actual	CY 2008 Actual	CY 2009 Actual	CY 2010 Estimated	CY 2011 Projected
Number of officers assigned to patrol squads in district stations	Input	1,001	1,040	1,050	1,050	1,050
Number of calls for service for violent crime	Output	7,047	6,391	6,070	5,810	5,810
Number of patrol officers per 1,000 population	Output	1.2	1.2	1.2	1.2	1.2
Average number of violent crime calls per patrol officer	Efficiency	7.0	6.1	5.8	5.5	5.5
Average response time for priority calls	Quality	5.2 min.	5.1 min.	5.1 min.	4.6 min.	4.6 min.
Number of violent crimes per 1,000 population	Outcome	8.2	7.4	7.0	6.7	6.7



When Will the Baseline Year Change?

The baseline year will change to the short-term target year once the short-term target year has actual data. Therefore, the baseline will change from FY 2008 to FY 2010 when FY 2010 actual data is available (which will be for the FY 2012 budget process).

Quantified Targets

Quantitative targets in the objective are required for FY 2010, FY 2013, and FY 2016. These targets identify the level of performance the agency intends to be in each of these fiscal years. The targets are not set scientifically, they are determined based on expertise, review of the family of performance measures trends and conditions, desired level of achievement, and internal and external factors.

In addition, targets must indicate better or improved performance from the baseline and increasingly better performance at each year. Targets should be selected that are attainable, but also afford meaningful improvement from the baseline.

A few guidelines regarding setting objective's targets are as follows:

- Use industry standards
- Use best practices
- Ensure they are aggressive yet attainable
- Encourages higher levels of performance
- Important from the taxpayer's perspective

Short term, by FY 2010

The numeric level of performance the outcome is desired to achieve by FY 2010. This is the short-term target that will facilitate reaching the FY 2016 target. This target must be an improvement from the FY 2008 baseline and FY 2009 actual.

Intermediate term, by FY 2013

The numeric level of performance the outcome is desired to achieve by FY 2013. This is the intermediate target that will facilitate reaching the FY 2016 target. The data must indicate worse performance than FY 2016 but an improvement from FY 2010.

Long term, by FY 2016

The numeric level of performance the outcome is desired to achieve by FY 2016 that is the culmination of the FY 2010 and FY 2013 targets. The data must indicate improved performance from FY 2013.

What if There is No More Room for Improvement?

If performance has reached its absolute maximum, the targets may reflect maintaining performance. For example, if the County was able to have a crime rate of 0, than the short, intermediate, and long-term targets could all indicate a target of 0.

When Will the Target Years Change?

Short, middle, and long-term targets will change once the short term target becomes the baseline (when it is actual); which will require changes in all of the targets. For example, the short term target is FY 2010, when it becomes actual it will be the baseline, than the short term target will become FY 2013, intermediate target will become FY 2016, and the long term target will become FY 2019.

Can the Agency Change the Targets Established Last Year?

The target data for an objective can only be altered with expressed approval from OMB PMU. In most cases, target data will remain the same unless the baseline has changed.

3. THERE IS AT LEAST ONE OBJECTIVE FOR EACH GOAL

In order to receive at least a rating of two, each goal statement must have at minimum one objective statement. This is to ensure that all goal statement's outcomes have an objective to facilitate measurement, tracking, and improved performance.



4. THE GOAL'S OUTCOME IS MEASURED

The goal statement's outcome is clearly and comprehensively indicated in the objective. To have a well written objective statement transitioning from an outcome statement in the goal to a quantitative measure is important. The question to answer about the goal's outcome is "what does success look like for the customer?" Below are three examples comparing the goal and objective's outcomes.

OUTCOME STATEMENT FROM GOAL TO OBJECTIVE

GOAL	OBJECTIVE
Retain quality employees	Percent of employees with a good evaluation that have been in the County for five years or more
Protect the County's water quality	Number of containments found in the County's drinking water
Assist with housing for those with low and moderate income	Percent of homeless persons in the County

In some cases, more than one objective is needed to comprehensively indicate the goal's outcome. This usually occurs when the goal statement's outcome has a generalized and/or broad statement. One example of this is with the Police Department. Their goal 1's outcome is "in order to mitigate crime." While it would be permissible to have an objective that measures all crime, the department has chosen to have two objectives: "Reduce the number of violent crime incidents from 7.4 per 1,000 residents in CY 2008" and "Reduce the number of property crime incidents per 1,000 residents from 42.2 in CY 2008" (please note these objectives have some required components removed for presentation purposes). However, in this example what would not be acceptable is having only one of these two objectives from the department because one of these objectives alone does not fully explain the goal's outcome.

5. THE OBJECTIVE'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE GOAL'S IDENTIFIED CUSTOMERS

For a rating of three, the objective statement must include an outcome that has an important benefit, impact, or positive result of the agency's work provided to customers. Having a significant impact on customers means the outcome will positively benefit customers in an important and meaningful way.

Avoiding proxy indicators of impact and processes will help ensure the statement is effective. For example, proxy indicators and processes include achieving a mandate, providing more training, responding faster, serving more people, or providing more services. However, supporting agency operations to accomplish their objectives, saving lives, using alcoholic beverages responsibly, ensuring an aesthetically pleasing county, and enhancing quality of life are outcomes with a significant impact.

WHEN OBJECTIVES ARE NOT FOCUSED ON OUTCOMES – HAVING TOO MANY OBJECTIVES

A common problem is having a set of objectives wherein one or more of the statements are not focused on outcomes. When there is more than one objective, sometimes the cause of this problem is having too many objectives. Below are four rules of thumb for identifying objectives that should be removed:

1. The objective is not directly measuring the goal's outcome
2. There are overlapping performance measures in the objective statements
3. It is difficult to have an outcome measure for the objective statement (an indication the objective is not outcome based)
4. The objective reflects the logic model's resources, activities, core services, and production items (an indication the objective is not outcome based)



Below is an example of a goal with multiple objective statements. Following the example is a brief analysis regarding the objectives.

HOW TO KNOW WHEN YOU HAVE TOO MANY OBJECTIVES

Goal 1 - To provide ambulatory service to county citizens and residents in order to save lives.

OBJECTIVE (1)	ANALYSIS
Objective 1.1 – To reduce the number of deaths per 100 ambulance 911 calls from 10 in FY 2008.	Objective 1.1 provides the most important outcome measure of success for Goal 1.
Objective 1.2 – To increase the cardiac arrest survival rate per 10 ambulance 911 calls from 1 in FY 2008.	Objective 1.2 is more detailed than 1.1, but is still outcome based and describes achieving the goal's outcome.
Objective 1.3 – To increase staff training for all paramedics.	Objective 1.3 should be removed because it is: <ul style="list-style-type: none"> ▪ Not a critical measure of achieving the goal's outcome (saving lives) ▪ Not outcome based ▪ Not measurable – it is unclear what the measure is (i.e. number of training hours is measurable) ▪ Excluded the FY 2008 baseline performance data

Note 1 – the targets were removed for presentation purposes.

STRATEGY STATEMENTS

Strategies are the methods and approaches implemented to accomplish the objective. This is the agency's opportunity to list all of the tasks and activities that occur every day and includes everything the agency works on to deliver services to citizens. Strategies are an action plan to accomplish the objective's targets and assume that the continuation or changes of resources, activities, core services, or production in an agency will result in achieving the desired outcome.

For example, if the Police Department's objective is to reduce violent crime than the department's patrol services program (cost center) could have strategies to maintain 100 officers per 1,000 persons, utilize community policing programs, and partner with other law enforcement agencies.

This relationship is an "IF THEN" relationship. The assumption is if "X" occurs than "Y" will happen. The "X" is activities, core services, and production. The "Y" is the outcome. However, usually this cause and effect relationship has many "IF THEN" relationships that start with resources and conclude with the outcome. This is illustrated below.

STRATEGIES: IF – THEN RELATIONSHIP

IF	THEN	IF	THEN	IF	THEN	IF	THEN
100 officers per 1,000 persons	Respond to 911 Calls Faster	Mitigate Problems	Not Allow Problems to Become Violent	Reduce Violent Crime Rate			

Strategies should be written for a layman. A statement that is easy to understand for anyone will help communicate to taxpayers, decision makers, analysts, and employees how the agency is working to accomplish the objective. The key to accomplish this is avoiding technical language, acronyms, and jargon.



RATING

Agency strategy statements are rated based on the criteria listed below. Each item is scored on a scale of 0-3. A check mark indicates the item is required to receive the related score. For example, the only requirement to receive a score of one is the strategy statement is included. To receive a rating of three items 1-4 must be accomplished.

STRATEGY STATEMENT RATING

RATING	1. THE STRATEGY IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. THERE IS AT LEAST ONE STRATEGY FOR EACH OBJECTIVE	4. A COMPREHENSIVE LIST OF STRATEGIES IS INCLUDED FOR EACH OBJECTIVE
0				
1	✓			
2	✓	✓	✓	
3	✓	✓	✓	✓

Below, each rating item is explained and defined in more detail.

1. THE STRATEGY IS INCLUDED

This rating item requires that each agency have at least one strategy statement, to receive a score of at least one. If the statement is not included, the agency will be scored a zero.

2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIRED COMPONENTS

The strategy statement details how the objective will be accomplished. At minimum, one strategy is required for each objective statement.

The formula below is how to write the strategy statement. The strategy statement formula has three requirements, which are listed below.

- The statement must include all required components (items in the black boxes)
- The statement must include all of the required components in the order illustrated in the formula
- All required components must align with their definition, which is explained in more detail below

STATEMENT'S FORMULA, REQUIRED COMPONENTS (BLACK BOXES), AND EXAMPLE

FORMULA AND REQUIRED COMPONENTS			
Strategy	number	-	act activity
EXAMPLE			
Strategy	1.1.1	-	Screen 10% of the County's population for diseases



Definitions for Required Components

Below are definitions for the formula's required components (items in the black boxes above).

Number

The number indicates the strategy's alignment with the objective and the strategy's priority. Strategies are numbered using decimals and follow the goal and objective numbers. This is to illustrate a strategy's alignment with goal and objective statements. The first number represents the goal statement, the second number following the decimal is the objective's number, and the last number, following the second decimal is the strategy. Therefore, strategy 3.2.1 is the first strategy, aligned with the second objective within the third goal.

The number also indicates the strategy's priority. The lower the strategy's number is, the higher the importance or priority the strategy has; meaning the top priority would receive funding over lower priority.

An example of how strategies are numbered is as follows:

Goal 1-

**Objective 1.1 –
Strategy 1.1.1**

**Objective 1.2 -
Strategy 1.2.1
Strategy 1.2.2**

Goal 2-

**Objective 2.1 –
Strategy 2.1.1**

Act

Generally a verb, the act is the work or action that will be taken to accomplish the objective. Acts can include words such as maintaining, evaluating, engaging, providing, or utilizing. However, acts are not changes in conditions therefore the following words, and similar ones, should be excluded: installing, implement, increasing, or decreasing. Of note, changes in condition are written in action items.

Activity

Activities are the description of how the agency will accomplish the objective. This part of the strategy statement is usually a specific statement regarding what will be accomplished can include a quantified value (i.e. 100 police officers per call for service) or may not (i.e. train all employees to be certified).

3. THERE IS AT LEAST ONE STRATEGY FOR EACH OBJECTIVE

To receive a rating of at least two, one requirement is each objective must have at least one strategy.



4. A COMPREHENSIVE LIST OF STRATEGIES ARE INCLUDED FOR EACH OBJECTIVE

Strategies must clearly explain and identify how the agency will achieve the objective. The list must include current and proposed strategies included in the agency’s current operations and proposed in the agency’s requested budget. A comprehensive list of strategies is not any particular number, but the list must capture all the activities the agency is employing to accomplish the objective.

To achieve a rating of three and successfully accomplish this requirement, strategies must include all known approaches to accomplish the objective and at least one of each of the below five focus areas.

STRATEGY FOCUS AREAS AND EXAMPLES

FOCUS AREA	STRATEGY EXAMPLES (1)
Alignment of workload / demand for service and resources	<ul style="list-style-type: none"> ▪ Ensure one patrol officer is available for every 700 annual calls for service ▪ Deploy advanced life support based on call volume needs
Management of the agency’s resources	<ul style="list-style-type: none"> ▪ Ensure staff have all required certifications ▪ Provide working and required medical equipment in all county medical facilities
The utilization of a variety of activities, tasks, and programs	<ul style="list-style-type: none"> ▪ Utilize security cameras in areas of the County where 10 homicides a month occurred on average last year ▪ Operate a facility to install and maintain technology systems for public safety and criminal justice officers and their vehicles
Production levels	<ul style="list-style-type: none"> ▪ Provide temporary cash assistance to those in need ▪ Arrest offenders
Interagency collaboration	<ul style="list-style-type: none"> ▪ Partner with county, municipal, State, and Federal law enforcement agencies ▪ Participate with other county agencies in the Livable Communities task force

Note 1 – For presentation purposes the word “strategy” and the strategy’s number have been excluded.

CONNECTION WITH THE OBJECTIVE STATEMENT

As noted previously, strategies are the methods or approaches to accomplish the objective. Activities must relate directly to accomplishing the objective. There are no strict rules on how they should relate – but it should be reasonable. For example, it is reasonable to assume that a strategy of cleaning pipes in the drainage system would facilitate the objective of reducing flooding in the County. However, it is probably unreasonable to assume that to reduce flooding a useful strategy would be to pave roadways. The reasonableness of a strategy is at first an assumption – however, in the end can be proven by using data and analysis.



FAMILY OF PERFORMANCE MEASURES

Performance measures are a dashboard of information for analysts, decision makers, and to communicate how well the agency is performing. Specifically, the family of performance measures indicates resources the agency has (i.e. money, staff, money spent), the work to be completed and has completed, how well resources were used given the work, the quality of the completed work, and how well the plan is being achieved and positively impacting customers.

Each set of performance measures indicates how well the agency is accomplishing an objective, and as such, each objective must have a family of performance measures. The family of performance measures area set of five performance measures which are entitled: (1) input; (2) output; (3) efficiency; (4) quality; and (5) outcome.

As part of the indicators for an objective, strategies that are aligned with the objective also have performance measures. These performance measures are integrated into the objective's performance measures to illustrate how well the strategy is performance in accomplishing the objective.

Performance measures should be written for a layman. Performance measures that are easy to understand for anyone will help communicate to taxpayers, decision makers, analysts, and employees the resources, needs, workload, demand, efficiency, quality, and effectiveness of the agency's services. The key to accomplish this is avoiding technical language, acronyms, and jargon. For example, writing measure names with terms to clearly state what is being measured such as "Number of", "Percent", and "Average and instead of having "Number of staff" being more specific such as "Number of filled 911 call takers."

RATING

Family of performance measures are rated based on the criteria listed below. Each item is scored on a scale of 0-3. A check mark indicates the item is required to receive the related score. For example, the only requirement to receive a score of one is to include performance measures.

FAMILY OF PERFORMANCE MEASURES RATING

RATING	1. PMS ARE INCLUDED	2. EACH OBJECTIVE HAS A FAMILY OF PMS	3. THE OBJECTIVE'S MEASURE IS INCLUDED IN THE FAMILY OF PMS AS AN OUTCOME MEASURE	4. EACH STRATEGY HAS AT LEAST ONE PERFORMANCE MEASURE	5. PMS INDICATE THE OBJECTIVE'S PERFORMANCE	6. DESCRIPTIVE INFORMATION IS CORRECTLY FILLED-OUT	7. ALL PMS HAVE AT LEAST FY09, FY10, AND FY11 DATA	8. AT LEAST ONE OBJECTIVE HAS MORE THAN ONE OUTCOME MEASURE
0								
1	✓							
2	✓	✓	✓	✓	✓	✓	✓	
3	✓	✓	✓	✓	✓	✓	✓	✓

Note – "PM" stands for "performance measure."

Below is an explanation and definition of each item in the rating table.



1. PERFORMANCE MEASURES ARE INCLUDED

This item rates the agency on if any performance measures are included. If performance measures are included, regardless of their quality, a rating of one can be obtained. If no performance measures are included, the agency will be rated a zero.

2. EACH OBJECTIVE HAS AT LEAST ONE OF EACH MEASURE IN THE FAMILY OF PERFORMANCE MEASURES

The family of performance measures includes five measures: (1) input; (2) output; (3) efficiency; (4) quality; and (5) outcome. Each objective statement should include at minimum one set of all five performance measures. Each measure provides a different piece of information regarding how well the agency is accomplishing their objective and indicates how well the strategy is performing. Not having all five indicators will negatively impact the rating for this component. Please note this also means the measures are in the correct category per their definition. Below are the five measures and their definitions with examples.

THE FAMILY OF PERFORMANCE MEASURES

MEASURE CATEGORY	DEFINITION	EXAMPLES
Input	The value of resources utilized to achieve the objective	<ul style="list-style-type: none"> ▪ Amount of expenditures ▪ Number of staff
Output	The amount of work to be completed (demand), the amount of work produced, and the workload for the objective	<ul style="list-style-type: none"> ▪ Number of contracts received ▪ Number of contracts processed
Efficiency	Amount of work to be completed or produced per resources <u>This measure is always output measures divided by input measures</u>	<ul style="list-style-type: none"> ▪ Average number of calls responded to per staff member ▪ Average cost per contract processed
Quality	Accuracy, timeliness, and customer service	<ul style="list-style-type: none"> ▪ Number of errors per contract processed (accuracy) ▪ Average response time for a service call (timeliness) ▪ Number of complaints per 100 contracts received (customer service)
Outcome	Intended, long-term, ultimate impact of services on customers; the first outcome <u>directly</u> comes from the objective	<ul style="list-style-type: none"> ▪ Number of fire related deaths per fire ▪ Bond rating

Proxy Measure as an Outcome Measure

Measuring the outcome can be difficult for many reasons. First, the outcome may not have immediate change due to its nature. For example, infant mortality rates are not changed easily with changes in an agency’s resources, tasks, services, or production. Second, an outcome may be un-measurable, because the agency does not collect the data or the data is difficult to collect.

In either of these cases, a proxy measure may be used. A proxy measure is a substitute measure when cost, complexity, or timeliness prevents measurement. However, in the case of an outcome measure, a proxy measure is assumed to have the same impact as what one is trying to measure. For example, ambulance survivability currently is not tracked in the County. Therefore, as a proxy measure ambulance response times are used because it is assumed that the faster an ambulance arrives on the scene of a medical emergency the more likely the patient will survive.

Of note, a proxy measure is not another type of performance measure in the family of performance measures. It is a measure that is used in place of an outcome measure; in this case the measure category is still an outcome.



Selecting Performance Measures

Selecting the right performance measures is important because they will be used to make decisions, evaluate the agency, and during the performance based budgeting and EMAP processes. There are no rules regarding the selection of the correct performance measures, but there are five guidelines to follow:

1. **Provides as close to a comprehensive picture of the objective as possible -**
The measures capture all important dimensions of service delivery to make decisions, providing a clear picture of the services being delivered to accomplish the objective.
2. **Can be measured and is accurate**
Measures need to have a mechanism to be captured and must be accurate or else they will be not useful.
3. **Clear and understandable**
The measures collected must be useful to all those who will read and use the information; some of whom may not be familiar with agency specific terminology. In addition, writing measure names with terms to clearly state what is being measured such as “Number of”, “Percent”, and “Average of.” Also, being specific about a measure also helps so instead of having “Number of staff” being more specific such as “Number of filled 911 call takers.”
4. **Measure what matters**
Make sure the performance measures are the most important measures indicating how well the agency is accomplishing the objective.
5. **Measure the work that you want accomplished**
Once performance measures are communicated to employees, employees will work toward improving them. Therefore, make sure the measures are what you want your employees working toward. Be careful because the wrong measures can lead to many problems including negative changes in employee behavior and work product.

3. THE OBJECTIVE’S MEASURE IS INCLUDED IN THE PERFORMANCE MEASURES AS AN OUTCOME MEASURE

An objective statement, by definition, is a quantified outcome. In order to track how well the objective is performing towards its targets, the objective must be measured and included in the performance measures. Therefore, the outcome listed in the objective statement should be one of the outcomes in the agency’s performance measures. Not having the objective as an outcome in the performance measures will negatively impact the rating for this item. Below are several examples.

OBJECTIVES AND PERFORMANCE MEASURES

OBJECTIVE (1)	OUTCOME MEASURE
Reduce the amount of payouts resulting from litigation against the County from \$3.0 million in FY 2008.	Amount of payouts resulting from litigation against the County
Reduce the percent of low birth weight infants born in the County from 10.7% in CY 2008.	Percent of low birth weight babies born to county residents

Note 1. The word “objective,” the objective’s number, and targets have been removed for presentation purposes.



4. EACH STRATEGY HAS AT LEAST ONE PERFORMANCE MEASURE

In order to understand how well strategies are working to accomplish the objective they must be measured. Therefore, each strategy must have at least one performance measure (usually not an outcome measure) to track how well it is working. Not having at least one performance measure for each strategy is required to accomplish this part of the rating.

Below are some strategies from agencies in FY 2010 and some potential performance measures that would be able to track their performance.

STRATEGIES AND PERFORMANCE MEASURES

STRATEGY (1)	POTENTIAL PERFORMANCE MEASURES
3.13 – Patrol and respond to calls for dangerous, stray, and dead animals	<ul style="list-style-type: none"> ▪ Number of animal control officers ▪ Number of calls responded to ▪ Number of dangerous animals found ▪ Number of dangerous animals euthanized ▪ Number of stray animals found ▪ Number of dead animal removed
3.11 – Train officers in homicide investigative techniques	<ul style="list-style-type: none"> ▪ Number of homicide investigators ▪ Number of homicide investigators sent to training ▪ Number of homicide investigators trained ▪ Percent of homicide investigators trained ▪ Number of hours required for one homicide investigator to be trained
2.11 – Prioritize the creation of new applications to meet agency requirements	<ul style="list-style-type: none"> ▪ Number of new applications in queue ▪ Number of new applications prioritized ▪ Percent of applications currently being worked on that are not considered the highest priority ▪ Percent of agencies satisfied with their new application (one year after development is completed)

Note 1. The word “strategy” was removed for presentation purposes.

5. PERFORMANCE MEASURES INDICATE THE OBJECTIVE’S PERFORMANCE

The family of performance measures indicate must indicate, for the objective they are assigned, the resources, workload, demand, efficiency, quality, and impact. This means the performance measures must have a rational connection to the objective and must indicate important information regarding the objective.



6. DESCRIPTIVE INFORMATION IS FILLED-OUT PER THE DEFINITIONS

Each performance measure requires nine descriptive fields to be completed. This is to provide critical information regarding the performance measure to ensure that all stakeholders can clearly understand the performance measure's data.

- **Objective:** The number of the objective the performance measure is related to. This is one objective number. Blanks are not allowed.
- **Measure Name:** The name of the measure, for example, "number of staff." Usually measure names start with words like number, average, or percent. Performance measures name should be written in a format that is clear to a layman (avoids jargon and acronyms) and includes specific information on what is being measured (number of filled police officers instead of police officers).
- **Objective's Measure:** A field indicating if this performance measure is in the objective statement. For each objective, this is only one performance measure. This is indicated by including the word "yes" next to the correct performance measure. All other fields are blank. For example, if an objective is "To reduce the number of violent crimes per 1,000 persons from 5 in FY 2008" the objective's measure would be "The number of violent crimes per 1,000 persons" (excluding the objective's targets for presentation purposes).
- **Strategy's Measure:** The number of the strategy the performance measure is related to. This can be one or more strategy number. Blanks are allowed if there is no connection with the strategy. Strategies and objectives may share a single performance measure.
- **Measure Category:** The identification of the type of performance measure of the family of performance measures: input, output, efficiency, quality, and outcome.
- **Methodology:** The clear explanation on how the data is being captured, collected, and/or calculated. Information such as fund/account/centers, position identification numbers, and other critical information on how the information is calculated is needed for this field. For efficiency measures, indicate which two performance measures are being divided. Simply listing the software system's name where the data was collected from is an example of a source not the methodology.
- **Favorable Trend:** A choice between increase and decrease; indicating the direction in which performance is favorable. For example, number of staff would be increase and average response times would be decrease.
- **Data Source:** The source of the performance measure's data. For example, a software system's name.
- **Reporting Frequency:** The timing of when the data is available including daily, monthly, and annually. This is the smallest unit possible to report the data.



Below is an example of a completed set of descriptive information.

DESCRIPTIVE INFORMATION EXAMPLE

Objective 1.1 - Increase the percent of advanced life support (ALS) ambulance responses arriving within 10 minutes from 65% in FY 2008.

- By FY 2010 – 70%
- By FY 2013 – 80%
- By FY 2016 – 90%

Objective	Measure Name	Objective's Measure	Strategy's Measure	Measure Category	Methodology	Favorable Trend	Data Source	Reporting Frequency
1.1	Number of advance life support (ALS) capable ambulances			Input	Count from the fleet inventory (2008 edition)	Increase	2008 fleet inventory	Annually
1.1	Number of ALS capable fire engines			Input	Count from the fleet inventory (2008 edition)	Increase	2008 fleet inventory	Annually
1.1	Number of advanced life support (ALS) ambulances and fire engines			Input	Total of ambulances and fire engines (above two performance measures)	Increase	2008 fleet inventory	Annually
1.1	Number of ALS calls for service			Output	Number of calls from the computer aided dispatch (CAD) system that a ALS unit responded to (dispatched and was on the scene)	Decrease	CAD	Daily
1.1	Average number of ALS calls for service per ALS ambulance and fire engine		1.1.1	Efficiency	The performance measures on rows 4 and 5 are divided against each other	Increase	CAD	Daily
1.1	Average ALS response time			Outcome	Average time between call being entered into CAD and the arrival of an ALS capable unit	Decrease	CAD	Daily
1.1	Percent of ALS responses arriving within 10 minutes	Yes		Outcome	Percent of responses (dispatched and unit was on scene) wherein a unit arrived within 10	Increase	CAD	Daily

Strategy 1.1.1 – Deploy resources to respond to ALS calls for service



7. ALL PERFORMANCE MEASURE HAVE AT LEAST FY 2009 ACTUAL, FY 2010 ESTIMATED, AND FY 2011 PROJECTED DATA

All performance measures are required to have at minimum FY 2009 – FY 2011 data to accomplish this rating item.

How to Calculate Estimated and Projected Performance Measure Data

OMB requires agencies to provide estimated and projected performance measures. Estimated performance data is based on the year-to-date monthly performance data reported by the agency and projecting for the remainder of the year. Projected performance data reflects the agency’s performance levels based on the resources allocated to the agency and their impact on performance as well as trends in the actual and estimated performance measures data. Below are several tools that may be useful to provide estimated and projected performance data.

- **Straight-Line (average):** Summing all of the data, dividing it by the number of occurrences, and multiplying it by the final number of data points. This tool is accurate when data is consistent over the time period being studied.

For example:

Total Expenditures through June	/	Number of Months Lapsed	=	Average per Month	X	Months in 1 Year	=	Estimated / Projected Expenditures For One Year
\$100,000		11		\$9,091		12		\$109,091

- **Floating Average:** Sometimes data has a large range, one month the data may be very low and the next month the data may be very high. In this case, we may want to exclude a period where the data is significantly different from the majority of the data as this will negatively impact the average.

For example:

	July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June
Number of persons Served	10	10	15	20	11	12	100	130	8	9		

In this example, we want to exclude January and February because these months will alter the average to perhaps be inaccurate. To accomplish this, we will average the other months and exclude January and February.

Number of Persons Served through April (excluding Jan. & Feb.)	/	Number of Months Lapsed (excluding Jan. & Feb.)	=	Average per Month	X	Months in 1 Year	=	Estimated / Projected Expenditures For One Year
95		8		12		12		144

- **Median:** This is the middle number in a set of data. MS Excel can find the median by using the formula =Median() within the parenthesis is the range of data you want MS Excel to find the median for, for example =Median(A7:A20).
- **Educated Guess:** After carefully reviewing the past performance an analyst may arrive at the conclusion different from any calculation based on operational knowledge of the agency, this is also a valid approach.
- **Using the objective target:** For the objective target’s related performance measure, using the FY 2010 objective target for the FY 2010 performance measure is reasonable if the agency thinks the objective target will be reached.



8. AT LEAST ONE OBJECTIVE HAS MORE THAN ONE OUTCOME MEASURE

The most important indicator for tracking the success of an agency's impact and the benefit received by customers are outcomes. That is why a rating of three is achieved if an agency has more than one outcome measure in one or more performance measures tables for an objective.

The first outcome measure is from the objective's outcome. Additional outcome measures can provide a breakdown of the outcome from the objective or an additional indicator that is important and related to the objective's performance. Providing a breakdown outcome measure means that the objective's measure has several components that can be illustrated separately but in total make-up the objective's measure. A related outcome is where an outcome measure indicates a different impact than the outcome but it has a connection to the objective's measure.

For example, if the objective's outcome measure was the crime rate a breakdown of the crime rate could be included like violent crime and property crime. An example of a related outcome is if the objective's outcome measure is deaths due to fire an important and related outcome could be injuries due to fire.



Continuous Improvement Step 2: Budgeting

As noted in the overview, continuous improvement is a three step process that facilitates service delivery improvement to positively impact the County's customers. This section is a technical guide on how to complete the budgeting phase of the process which has three steps: (1) agency submission, (2) OMB recommendation, and (3) the Charter for Change rating.

Performance based budgeting is the use of performance information such as objectives, strategies, and the family of performance measures to assist in determining funding levels in the budget process. Performance based budgeting does not replace decisions that consider politics, mandates, line-item changes, and financial limitations. Instead, performance based budgeting communicates to decision makers the agency's performance information, approaches to improve performance, and impacts of budgetary changes - providing a clear data driven explanation of the agency's budget request.

To accomplish this, performance based budgeting views the budget programmatically instead of by line-items. Line-item budgeting is still important and critical to the County's financial systems. However, viewing an agency's budget programmatically provides a framework to determine how resources impact the agency's ability to achieve results. Viewing a budget programmatically means viewing multiple funds, accounts, and centers as programs that deliver services to customers. For example, a program budget that supports the Police Department's patrol core service cuts across general and special revenue funds, compensation, fringe, and operating costs and in multiple divisions. Below is an example.

VIEWING A BUDGET PROGRAMMATICALLY

LINE – ITEM VIEW				PROGRAMATIC VIEW
Fund	Account	Center	Amount	
GF01	511999	500101	\$1,000,000	Patrol services = \$1,100,000
GF01	591999	500101	\$50,000	
SR07	522199	500299	\$50,000	
TOTAL			\$1,100,00	

EXPLANATION OF PERFORMANCE BASED BUDGETING ITEMS

ELEMENT	WHAT DOES IT TELL ME? / WHAT IS IT?
Action Items	Budgetary changes for FY 2011 that improve, reduce, eliminate, or maintain the agency's ability to operate a strategy
Requested Changes Worksheet	A list of all budgetary changes from FY 2010 to FY 2011 by fund/account
Performance Measures Explanation (PME)	Description and analysis of the trends and conditions of the family of performance measures
Plan and Performance Measure Adjustments	Updating the agency's strategies and performance measures information, if needed, to reflect up-to-date data and the agency's budget request
Charter for Change Rating	An indication of how well an agency's Charter for Change components are written and used as well as how well the agency is performing

The subsequent subsections explain how to submit, write, and use all of the elements and tools in this step of the continuous improvement process.



PERFORMANCE BASED BUDGETING PROCESS FOR BUDGET SUBMISSION 2

The due date for budget submission 2 is tentative. The submission requires the budget submission workbook with the requested changes tab correctly filled out – which will include action items. The requirements for each of these items are explained in the subsequent sections. How to submit these items is explained in the below process.

STEP 1. AGENCY'S PERFORMANCE BASED BUDGET WORK AND SUBMISSION

RESPONSIBILITY	Agencies
DUE	TBD
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. Fill-out all of the budget submission workbook 2. <u>Make sure that EXPBUD and the requested changes tab MATCH</u> 3. Once completed, send the workbook with the rest of the budget submission per the budget instructions

SAMPLE REQUESTED CHANGES WORKSHEET

Account	Action Item	Requested \$ Change from FY 2010 to FY 2011	Description
FY 2010 APPROVED BUDGET		\$100,000,000	
719901		\$884,207	Full time regular compensation.
719901		\$235,693	Vacancy savings which includes attrition.
720101		-\$23,000	Reduction in phone costs due to new voice over internet protocol program
720399	1.1.1.1 - Discontinue printing of educational handouts for fire prevention to schools in the County in order to eliminate the strategy.	-\$21,100	Currently the department distributes 10,000 fire prevention handouts to school children. Our survey has found that 1/10 children read the handouts and less than 1/10 give the information to their parents. This is an ineffective approach to distribute fire prevention information.
721199		-\$58,900	Required reduction to training per OMB. All non-mandatory training will be eliminated.
720299	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$4,800	Remove utilities from station 300
720199	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$1,100	Remove telephone costs from station 300
722599	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$3,000	Remove office supplies from station 300
723899	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$20,000	Discontinue building maintenance on station 300
799199		\$800,000	Fringe at rate XX% for full time compensation.
799199		-\$20,000	Fringe at rate XX% for vacancy savings
FY 2010 REQUESTED BUDGET		\$101,768,000	



STEP 2. PERFORMANCE MEASURES UPDATE

RESPOSIBILITY	Agencies
DUE	With budget submission 2
STEPS TO COMPLETE	<p>1. OPEN AND SAVE THE FILE</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY11 CFC Documents Ready for Submission 2” ▪ Select and open your agency’s Microsoft <u>Excel</u> file (i.e. the Health Department is “70.xls”) ▪ Save the file onto your computer <p>2. WORK IN THE FILE</p> <ul style="list-style-type: none"> ▪ Turn on track changes ▪ <u>Focus on changing only the FY 2009 estimated and FY 2010 projected data if the monthly data and/or budget request indicates a revision is warranted</u> ▪ <u>Do not copy and paste the performance measures table into the MS Word File</u> ▪ Please note, any changes to <u>actual</u> data must be accompanied by a <u>separate</u> raw data submission with an explanation <p>3. UPLOAD THE MS EXCEL FILE ON TO SHAREPOINT</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY 11 Agency Budget Submission” ▪ Select “Upload” from the top navigation bar ▪ Go to the MS Excel file on your computer (that you have been using to work on), make sure the name is your agency’s number (i.e. the Police Department should be 50.xls) ▪ To upload your document select the “browse” button than find and select the MS Excel file on your computer ▪ Once selected hit “OK” in the dialog box ▪ Select “OK” again on the SharePoint screen
ABOUT SUBMITTING DRAFTS	The agency may submit a draft at any time for the review and comment of OMB PMU. A draft Charter for Change rating will accompany any comment made by OMB PMU.
PLEASE NOTE	<ul style="list-style-type: none"> ▪ Do not copy and paste performance measures tables into the word file ▪ All changes must use <u>track changes</u> to be considered ▪ All performance measures must at minimum have FY 2009 actual data, FY 2010 estimated data, and FY 2011 projected data ▪ Performance measures must align with and comply with the requirements set forth in this manual



STEP 3. PERFORMANCE MEASURES EXPLANATION SUBMISSION AND STRATEGY UPDATE

RESPOSIBILITY	Agencies
DUE	With budget submission 2
STEPS TO COMPLETE	<p>1. OPEN AND SAVE THE FILE</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY11 CFC Documents Ready for Submission 2” ▪ Select and open your agency’s Microsoft <u>Word</u> file (i.e. the Health Department is “70.doc”) ▪ Save the file onto your computer <p>2. WORK IN THE FILE</p> <ul style="list-style-type: none"> ▪ Turn on track changes ▪ Focus on writing the performance measures explanation and updating the strategies if the budget request warrants an update ▪ <u>Do not copy and paste the performance measures table into the MS Word File</u> ▪ Please note, any changes to <u>actual</u> data must be accompanied by a <u>separate</u> raw data submission with an explanation <p>3. UPLOAD THE MS EXCEL FILE ON TO SHAREPOINT</p> <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Select “Shared Documents” ▪ Select the folder “CFC Documents” ▪ Select the folder “FY 11 Agency Budget Submission” ▪ Select “Upload” from the top navigation bar ▪ Go to the MS Excel file on your computer (that you have been using to work on), make sure the name is your agency’s number (i.e. the Police Department should be 50.xls) ▪ To upload your document select the “browse” button than find and select the MS Excel file on your computer ▪ Once selected hit “OK” in the dialog box ▪ Select “OK” again on the SharePoint screen
ABOUT SUBMITTING DRAFTS	The agency may submit a draft at any time for the review and comment of OMB PMU. A draft Charter for Change rating will accompany any comment made by OMB PMU.
PLEASE NOTE	<ul style="list-style-type: none"> ▪ Do not copy and paste performance measures tables into the word file ▪ All changes must use <u>track changes</u> to be considered ▪ All performance measures must at minimum have FY 2009 actual data, FY 2010 estimated data, and FY 2011 projected data ▪ Performance measures must align with and comply with the requirements set forth in this manual



STEP 4. OMB BUDGET MANAGEMENT ANALYSTS' PERFORMANCE BASED BUDGETING ANALYSIS AND RECOMMENDATIONS

RESPONSIBILITY	OMB Budget Management Analysts
DUE	On the date of the internal review
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. Save the agency's budget submission workbook on the shared drive with the agency's number (i.e. 50.xls would be police) here: I:\Ombadmin\OMB Central BUDGET Files\FY 2011\Agency Submission Workbook 2. Create an internal review workbook for the agency and name the file using the agency's name (i.e. 54.xls would be environmental resources) here: I:\Ombadmin\OMB Central BUDGET Files\FY 2011\Internal Review 3. Copy and paste the requested changes tab from the agency submission workbook into the internal review workbook 4. Conduct analysis and make recommendations in the requested changes tab based on the instructions in this manual 5. Present all recommendations and documents for Charter for Change and the budget at the internal review meeting
PLEASE NOTE	Analysts are solely responsible for providing all documents at the budget meetings including Charter for Change documents

STEP 5. CHARTER FOR CHANGE RATING FINALIZATION BY OMB PMU

RESPONSIBILITY	OMB PMU
DUE	FY 2011 rating is due on the date of the OMB agency review meeting
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. Review all agency submissions and rate the agency 2. Ensure the rating is applied fairly across all agencies 3. Send the final rating to the assigned Budget Management Analyst <p>Budget Management Analyst presents the Charter for Change rating in the agency budget review meeting and CAO review meeting</p>



AGENCY'S PERFORMANCE BASED BUDGET

Performance based budgeting is the use of the agency's performance information to justify the use of and focus resources toward accomplishing the agency's plan. The use of this information informs analysts and decision makers on the impacts and trade-offs of budgetary decisions on service delivery performance.

Justifying and informing the impacts of budgetary changes is critical to ensure decision makers understand the impact of their choices. To ensure this is clearly communicated, all of the agency's services and their impacts must be outlined within the agency's plan and performance measures. In addition, clearly connecting the agency's budget request based focusing on accomplishing the agency's plan.

Focusing resources means that budgetary decisions are made to accomplish the most important outcomes. This does not mean that budgetary cuts or increases null this concept. Instead, these budgetary changes must be applied logically to the plan. This means that budgetary support for programs and services are only for those that are working and of high priority (increases, maintenance, and continuation). In addition, programs and services that are not working or are ineffective must be reengineered or eliminated. Lastly, programs and services should be eliminated if they are not critical or of a lower priority to accomplishing the agency's most important outcomes.

To accomplish this, the performance based budgeting process for agencies has two items to complete, which are:

1. Write action items
2. Complete and submit the budget submission workbook

Each of these items is described in more detail below utilizing the rating requirements.

RATING

The agency's budget submission is rated based on the criteria listed below. This area is scored on a rating of 0-3. A check mark indicates the item is required to receive the related score. For example, the only requirement to receive a score of one is to submit the budget submission workbook. To receive a score of two items 1-4 must be achieved.

PERFORMANCE BASED BUDGETING RATING

RATING	1. THE BUDGET SUBMISSION WORKBOOK HAS BEEN SUBMITTED	2. THE BUDGET SUBMISSION WORKBOOK HAS BEEN SUBMITTED ON TIME	3. ACTION ITEMS INCLUDE ALL OF THE FORMULA'S REQUIREMENTS	4. SOME INFORMATION IN THE REQUESTED CHANGES TAB IN THE BUDGET SUBMISSION WORKBOOK IS NOT CORRECT, BUT COULD STILL BE USED BY OMB	5. ALL OF THE INFORMATION IN THE REQUESTED CHANGES TAB IN THE BUDGET SUBMISSION WORKBOOK IS CORRECT AND CAN BE USED BY OMB
0					
1	✓				
2	✓	✓	✓	✓	
3	✓	✓	✓	✓	✓

1. THE BUDGET SUBMISSION WORKBOOK HAS BEEN SUBMITTED

To receive a minimum score of one, the budget submission workbook (MS Excel) must be submitted to OMB for the budget process. Not submitting the workbook will result in a score of zero.



2. THE BUDGET SUBMISSION WORKBOOK HAS BEEN SUBMITTED ON TIME

One of the requirements to receive a score of two or better is to submit the budget submission workbook on the due date (TBD) to OMB. This is important because OMB Budget Management Analysts must conduct their review and analysis. A delay in the submission workbook usually will limit the amount of time the OMB Budget Management Analysts will have in completing a thorough analysis.

3. ACTION ITEMS INCLUDE ALL OF THE FORMULA'S REQUIREMENTS

Action items are a group of individual changes that are requested by the agency from last year's budget to establish next year's budget. This group of budgetary changes focus on maintaining, supporting, reducing, revising, or eliminating how the agency is operating to accomplish the objective (strategy).

Grouping Line-Items into Action Items

Action items must reflect all of the budgetary changes in the requested changes tabs that are programmatic in nature. This focus is different than fund/account (line-item) changes as action include several or parts of the agency's individual fund/account budgetary changes. An example of the differences is illustrated below.

HOW ACTION ITEMS AND LINE – ITEMS ALIGN

ACTION ITEMS (1)	LINE-ITEM CHANGES
Add 100 police officers	<ul style="list-style-type: none">▪ Full time compensation - +\$300,000▪ Fringe benefits - +\$60,000▪ Training - +\$10,000▪ Equipment - +\$100,000
Maintain employees' professional certifications	<ul style="list-style-type: none">▪ Training - +\$14,000▪ Travel - +\$,8000

Note 1. For illustrative purposes, action items do not include the words "action item" and the action item number required by the formula.

Impact on Performance

Action items can positively or negatively affect or even maintain a strategy's ability to accomplish an objective. Action items can have a negative, positive, supporting, maintaining, or revising effect on the ability of the agency to accomplish the objective. However, just because money changes – it does not necessarily have a direct impact on performance. Reducing costs through greater efficiencies and eliminating unnecessary or ineffective programs may still maintain or even improve performance. Conversely, adding ineffective programs, providing more resources to ineffective strategies may spend more money, but result in no better or even worse performance.

How do I Submit Action Items?

Action items are submitted as part of the requested changes tab in the budget submission workbook in the action item column. Refer to 61 for a sample requested changes tab.



How to Write the Statement

The action item formula has five requirements, which are listed below.

- The statement must include all required components (items in the black boxes)
- The statement must include all of the required components in the order illustrated in the formula
- All other text in the formula must be included only the words “add/remove/maintain” may be substituted for synonyms
- All required components must align with their definition, which is explained in more detail below
- The action item must align with the strategy

STATEMENT’S FORMULA, REQUIRED COMPONENTS (BLACK BOXES), AND EXAMPLE

FORMULA AND REQUIRED COMPONENTS	
Action item	number - Add/remove/maintain item
	strategy impact
EXAMPLE	
Action item	1.1.1.1 - Add 100 police officers
	in order to maintain and support the strategy

Definitions of Formula Requirements

Below are definitions for the formula’s components (items in the black boxes above).

Number

The number indicates the action item’s alignment with the strategy and the action item’s priority. Action items are numbered using decimals which follow the strategy statement to illustrate their alignment with strategy and all other previous statements. The first number represents the goal statement, the second number following the decimal is the objective’s number, the third number following the second decimal is the strategy, and the fourth number after the fourth decimal is the action item. Therefore, action item 3.2.1.4 is the fourth action item, aligned with the first strategy in the second objective within the third goal.

The number also indicates the action item’s priority. The lower the action item’s number is, the higher the importance or priority the action item has; meaning the top priority would receive funding over lower priority.

An example of how strategies are numbered is as follows:

Goal 1-

- Objective 1.1 –
- Strategy 1.1.1 -
- Action item 1.1.1.1 -
- Action item 1.1.1.1.2 -

Goal 2-

- Objective 2.1 –
- Strategy 2.1.1 -
- Action item 2.1.1.1 -



Items

This part of the statement describes what the agency intends to change for the budget. This text is an activity, task, or core service that is the revision to correspond to the budgetary change. For example, if the department has always distributed 100 handouts than the action item is not to continue that distribution, unless the cost to do so has changed, instead, if the agency wants to increase the number of handouts to 150, than the item would be to distribute an additional 50 handouts.

Items directly align with programmatic budgetary changes. In general this means items should not reflect one object or account name such as increase training or maintain contracts, items should be programmatic such as certify nurses or install red light cameras.

Items may also include the number of items the department will be adding, removing, or maintaining. This is not a dollar value. For example, 100 police officers, 50 classes, if a number does not correspond with the item (i.e. eliminate the leaf collection program) this may be skipped.

Strategy Impact

This part of the action item statement identifies the impact the action item will have on the strategy. There are four options for this part of the statement which are listed below. Please note, only the bold words are inserted into the statement.

- **In order to maintain and support the strategy** - the budgetary change will allow for the same or enhanced ability to accomplish the objective
- **Which will reduce the strategy's ability to accomplish the objective** – the budgetary change will negatively impact the strategy's ability to accomplish the objective
- **In order to revise the strategy** – the processes, procedures, operations, focus, etc. have been revised to make the strategy more efficient or effective in accomplishing the objective
- **Which will eliminate the strategy** – the strategy is eliminated
- **In order to support the new proposed strategy** – a new strategy is proposed to be implemented



Determining Which Strategy Impact to Use

The strategy impact statements are to be written based on the results of four analytic tools. The first is that the action item has a rational connection with the strategy. The second is an analysis of the strategy to determine if it is effective. The third tool is alignment with a type of budgetary change. The fourth analytic tool is prioritization. Below these analytic tools and their alignment with the strategy impact statement is summarized, with the exception of prioritization. Instructions on how to complete each analytic tool is described below the table.

STRATEGY IMPACT STATEMENT ALIGNMENT WITH ANALYTIC TOOLS

STRATEGY IMPACT STATEMENT	ANALYTIC TOOL 1: RATIONAL CONNECTION WITH THE STRATEGY	ANALYTIC TOOL 2: STRATEGY ANALYSIS	ANALYTIC TOOL 3: TYPES OF BUDGETARY CHANGES
In order to maintain and support the strategy	Is rational	Strategies may be working or over performing	<ul style="list-style-type: none"> ▪ Maintenance ▪ Workload alignment ▪ Realized efficiency ▪ Enhancement
Which will reduce the strategy’s ability to accomplish the objective	Is rational	Strategies may be working or over performing	Reductions to operations
In order to revise the strategy	Is rational	Strategies may not be working or may be over performing	<ul style="list-style-type: none"> ▪ Maintenance ▪ Workload alignment ▪ Realized efficiency ▪ Enhancement ▪ Reductions to operations
Which will eliminate the strategy	Is rational	<ul style="list-style-type: none"> ▪ Strategies may not be working ▪ Strategies may be working or over performing 	Reductions to operations
In order to support the new proposed strategy	Is rational	N/A	<ul style="list-style-type: none"> ▪ Enhancement ▪ New mandate or directive



Analytic Tool 1: the Action Item and Strategy have a Rational Connection to the Strategy

This analytic tool is to determine if the action item has a rational connection to the strategy. For all of the strategy impact types the impact must have a reasonable connection to the strategy. The bottom line is if the agency is making a budgetary change (action item) it should make sense in relation to the agency's strategy. Below are examples for rational strategy impact statements.

RATIONAL CONNECTIONS BETWEEN ACTION ITEMS AND STRATEGIES

STRATEGY IMPACT STATEMENT	STRATEGY (1)	ACTION ITEM (1)
In order to maintain and support the strategy	Provide job training to citizens and residents who live below the poverty line	Maintain the job training contract in order to maintain and support the strategy
Which will reduce the strategy's ability to accomplish the objective	Provide job training to citizens and residents who live below the poverty line	Reduce the number of people trained for jobs from 5,000 to 4,000 which will reduce the strategy's ability to accomplish the objective
In order to revise the strategy	Target job training to citizens and residents who live below the poverty line and are receiving unemployment benefits	Reduce the number of people trained for jobs from 5,000 to 3,000 which will reduce the strategy's ability to accomplish the objective
Which will eliminate the strategy	Provide job training to citizens and residents who live below the poverty line	Eliminate the job training program which will eliminate the strategy
In order to support the new proposed strategy	Provide community college classes to citizens and residents who live below the poverty line	Add 100 attendance vouchers for those who live below the poverty line to attend community college in order to support the new proposed strategy

Note 1. For presentation purposes statement's name and numbers have been excluded.

If a strategy does not have a rational connection or alignment, this means that the action item may not have an impact on the strategy. It could be that the connection is unclear, but this means the connection must be explained. One example of a strategy and action item without a clear connection is below. In this example, it is unclear how increasing unemployment payments will facilitate maintenance or support of the job training strategy.

AN ACTION ITEM WITHOUT A RATIONAL CONNECTION TO THE STRATEGY

STRATEGY IMPACT STATEMENT	STRATEGY (1)	ACTION ITEM (1)
In order to maintain and support the strategy	Provide job training to citizens and residents who live below the poverty line	Increase the amount of unemployment paid per person from \$2,000 a month to \$3,000 in order to maintain and support the strategy.

Note 1. For presentation purposes statement's name and numbers have been excluded.



Analytic Tool 2: Strategy Analysis

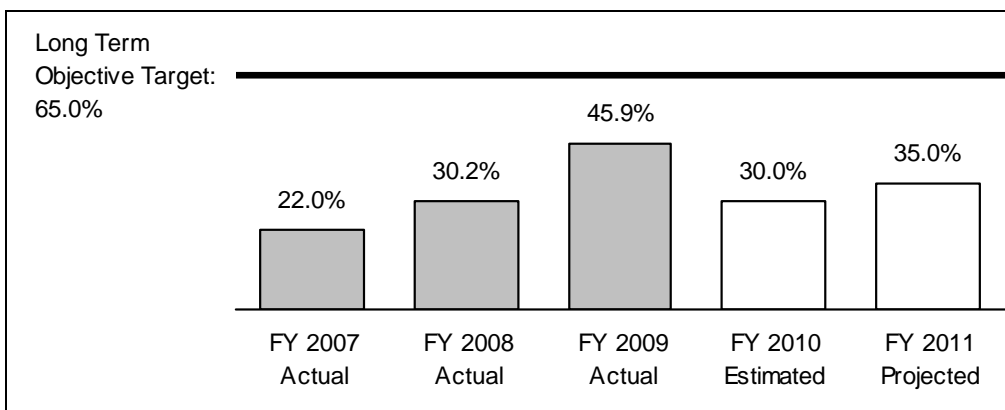
Evaluating objectives and strategies can facilitate determining how well services are accomplishing the objective. Below is a three step process to determine how well the strategy is performing. The result of this analysis will determine when and if a strategy should be maintained/supported, reduced, revised, eliminated, or a new strategy is required.

STEP 1 – DETERMINE THE OBJECTIVE’S PERFORMANCE

Evaluating the objective’s performance is part of determining if the agency’s strategies are effective. Identifying the objective’s performance is based on two variables: (1) where the agency’s performance is now (most recent data) compared to its long-term FY 2016 target and (2) the trend of the data for all of the years it is available.

Determining the objective’s performance is a two step process. First, the objective’s data must be compared with the objective’s targets. To accomplish this first the estimated data must be updated to reflect the most up-to-date information is critical to ensure an accurate review. Using the tools on page 40 to accomplish this step can be useful. Next, assess the trend of the agency’s data from FY 2008 (baseline in the objective) to FY 2010 is essential. In the below example, there is no trend in the FY 2008 – FY 2010 data as the data increases in FY 2009, but falls back to FY 2008 levels in FY 2010. Thirdly, review how close the objective’s FY 2009 performance is to the FY 2016 objective target. In the below example there is a gap of 19.1% between FY 2009’s performance and the FY 2016 target.

EXAMPLE OBJECTIVE PERFORMANCE



After the objective’s trends and conditions have been reviewed, a determination regarding the objective’s performance can be made using the table below. The table uses the two variables described in the above analysis; which are in rows 2 and 3. Row 1 is the objective’s performance – which requires the variables in rows 2 and 3 to be in the detailed condition. For instance, using the example above the performance measure’s trend (row 2) has no trend and there is a gap in the objective’s performance in FY 2009 (row 3). Therefore, the objective’s performance needs improvement.

OBJECTIVE’S PERFORMANCE ANALYSIS

1	PERFORMANCE:	NEEDS IMPROVEMENT		IMPROVING	AT TARGET	ABOVE TARGET
2	TREND OF OBJECTIVE’S PERFORMANCE MEASURE	Away from Objective’s Target	No Trend	Toward Objective’s Target	Meeting Objective’s Target	Exceeding Objective’s Target
3	COMPARISON BETWEEN PERFORMANCE AND OBJECTIVE’S TARGET	Gap	Gap	Gap	No Gap	Above Target



STEP 2 – EVALUATING STRATEGIES

Once the objective’s performance has been established in step 1, the strategy’s performance must also be reviewed. Determining the performance of a strategy is based on the answering the following question: “Is this strategy performing well (yes or no)?”

To answer this question, the strategy’s performance measures data must be analyzed (indicated by the “strategy number” column in the performance measures). A strategy’s performance is positive if the majority of the strategy’s performance measures are improving from FY 2008 (or the first available year) – FY 2010. In conducting this analysis be aware that depending on the strategy, positive performance may differ from the favorable trend of the performance data and root causes, internal, and external factors must also be considered.

In the example below, for strategy 3.1.1, almost all of the strategy’s workload is increasing (calls, animals found, and animals removed) while the number of officers have remained steady. This means that the strategy has positive performance because the animal control officers are able to handle the increased workload and they are finding more animals.

In the example below, for strategy 3.1.2, this strategy does not have positive performance as the number of rabid animals have been increasing while vaccinations have also been increasing. This may also be an indication that a 3.1.2 may need to be revised, removed, or replaced with a new strategy.

EXAMPLE STRATEGY AND PERFORMANCE MEASURES (1)

Strategy 3.1.1 – Patrol and respond to calls for dangerous, stray, and dead animals
Strategy 3.1.2 – Provide free rabies vaccinations for pets in the County

Measure Name	Strategy Number	FY 2007 Actual	FY 2008 Actual	FY 2009 Actual	FY 2010 Estimated	FY 2011 Projected
Number of animal control officers	3.1.1	20	20	20	20	20
Number of animals vaccinated for rabies	3.1.2	500	600	700	800	900
Number of animal control calls responded to	3.1.1 & 3.1.2	10,000	11,000	12,000	13,000	14,000
Number of rabid animals found	3.1.1 & 3.1.2	1,300	1,400	1,500	1,900	2,100
Number of stray animals found	3.1.1	4,000	5,000	4,000	4,500	4,500
Number of dead animals removed	3.1.1	200	250	230	250	250
Average number of animal control officers per call responded to	3.1.1	500	550	600	650	700

Note 1. Please note, the family of performance measures and most of the descriptive information fields have been excluded for presentation purposes.



STEP 3 – CONCLUSION

Using the information in steps 1 and 2, the strategy's performance can be determined. To accomplish this, the table below can be utilized. Row 2 indicates the objective's performance from step 1, and row 3 indicates the strategy's performance based on step 2's analysis. Therefore, if the objective's performance was improving (row 2) and the strategy does not have positive performance, than the strategy may not be working.

STRATEGY AND OBJECTIVE EVALUATION SUMMARY

1	STRATEGIES:	MAY <u>NOT</u> BE WORKING		MAY BE WORKING		MAY BE WORKING - OVER PERFORMING
2	OBJECTIVE'S PERFORMANCE	ALL OBJECTIVE PERFORMANCE TYPES		IMPROVING	AT TARGET	ABOVE TARGET
3	STRATEGY HAS POSITIVE PERFORMANCE	Yes / No	Yes / No	Yes	Yes	Yes

By using the table above, one can determine which type of action item should be utilized, which is outlined below.

STRATEGIES MAY NOT BE WORKING:
STRATEGY ANALYSIS USE IN THE STRATEGY IMPACT STATEMENT

STRATEGY IMPACT STATEMENT	EXPLANATION WHY IT FALLS WITHIN THIS AREA	FUNDING IMPACTS
In order to revise the strategy	The strategy may not performing well and therefore to become more effective the strategy may need to be revised	<ul style="list-style-type: none"> ▪ Increased ▪ Continued ▪ Decreased
Which will eliminate the strategy	The analysis has determined that the strategy may be ineffective therefore the strategy should be eliminated	<ul style="list-style-type: none"> ▪ Removed

STRATEGIES MAY BE WORKING:
STRATEGY ANALYSIS USE IN THE STRATEGY IMPACT STATEMENT

STRATEGY IMPACT STATEMENT	EXPLANATION WHY IT FALLS WITHIN THIS AREA	FUNDING IMPACTS
In order to maintain and support the strategy	The strategy is performing effectively and should continue to operate.	<ul style="list-style-type: none"> ▪ Increased ▪ Continued
Which will reduce the strategy's ability to accomplish the objective	If the strategy is over performing, than a reduction to the strategy's effectiveness should be considered.	<ul style="list-style-type: none"> ▪ Reduced
Which will eliminate the strategy	If the strategy is performing effectively, but due to budget constraints must be eliminated.	<ul style="list-style-type: none"> ▪ Removed
In order to revise the strategy	If a more efficient approach to accomplish the objective is found, than the strategy may need to be revised.	<ul style="list-style-type: none"> ▪ Increased ▪ Continued ▪ Reduced



Analytic Tool 3: Types of Budgetary Changes

Different types of budget changes are always in agency’s budget request. From the performance based budgeting perspective there are six types of fiscal changes: maintenance, workload alignment, enhancement, realized efficiency, reduction, and new mandate or directive. Each of these types of changes is programmatic and aligns with one or more strategy impact.

These changes must align with the strategy’s performance analysis (analytic tool 2) and have a rational connection with the strategy (analytic tool 1). This is because making budgetary changes that are in conflict with the strategy’s performance – and have no rational impact – will not focus the agency on achieving their objectives. For instance, if a contract requires additional funds to maintain it; but the related strategy is not performing well – than there is no reason to continue the contract without any change, or distribute more money to it.

The table below briefly describes each of these types of changes, provides examples, and identifies which types of strategy impacts each aligns with.

TYPES OF BUDGETARY CHANGES

TYPE OF CHANGE	BRIEF EXPLANATION	ACTION ITEM (1)	REQUESTED CHANGES \$ CHANGE	STRATEGY IMPACT ALIGNMENT
Maintenance	Costs that are required to continue operations and the strategy. This type of change could include inflationary adjustments or contract maintenance costs. However, COLAs and merits would be excluded from this change – because they do not specifically align with a programmatic change.	Maintain outside contractor to clean county buildings three times a week in order to maintain and support the strategy.	+\$20,000 contracts	In order to maintain and support the strategy In order to revise the strategy
Workload alignment	A workload budgetary change occurs when the agency’s workload is too high or too low for the resources the agency currently has. If the workload is too high, additional resources should be requested. If the workload is too low than resources should be reduced. In order to make a valid argument for this budgetary change, the agency’s performance measures must indicate a need – which would illustrate an incongruity of resources (input) and demand, workload (output) through efficiency measures.	Add 100 police officers to respond to calls for service in order to maintain and support the strategy.	+\$100,000 compensation +\$10,000 fringe benefits +\$20,000 training +\$10,000 equipment	In order to maintain and support the strategy In order to revise the strategy
Realized efficiency	Improving the processes to reduce the amount of resources needed to accomplish the workload. This can be accomplished through a variety of means including contracting services out, bringing contracted services in, leasing, purchasing buildings, revised processes and procedures, and automation.	Discontinue service and bring it in-house in order to maintain and support the strategy.	-\$520,000 contracts +\$50,000 compensation +\$30,000 fringe benefits +\$20,000 supplies	In order to maintain and support the strategy In order to revise the strategy



TYPES OF BUDGETARY CHANGES (CONTINUED)

TYPE OF CHANGE	BRIEF EXPLANATION	ACTION ITEM (1)	REQUESTED CHANGES \$ CHANGE	STRATEGY IMPACT ALIGNMENT
Enhancement	<p>An enhancement is the increase of the scope, size, or amount of the services delivered.</p> <p>For example this could mean an agency expands to serve more people. If a new program or service is being implemented, than a new strategy needs to be created.</p>	Immunize 1,000 additional citizens and residents in order to maintain and support the strategy.	+\$50,000 supplies +\$20,000 overtime	<p>In order to maintain and support the strategy</p> <p>In order to support the new proposed strategy</p> <p>In order to revise the strategy</p>
Reduction to operations	<p>This occurs in two different situations. The first is the strategy is not working per the strategy analysis and the strategy will be revised or eliminated. The second is the strategy is working, but will be reduced, resulting in a reduced ability to accomplish the objective. In either case, this is a cut the programs operated by the agency.</p>	Reduce training classes offered to employees from 20 a year to 10 a year in order to revise the strategy.	-\$50,000 contact -\$10,000 printing	<p>In order to revise the strategy</p> <p>Which will eliminate the strategy</p> <p>Which will reduce the strategy's ability to accomplish the objective</p>
New mandate or directive	The County Executive, Federal, or State governments are requiring the agency to implement something new or revise their current operations.	Conduct discrimination investigations required by State code 300-5-555 enacted on 1/1/09 in order to support the new strategy being proposed.	+\$100,000 compensation +\$50,000 fringe +\$20,000 supplies	In order to support the new proposed strategy

Note 1. For presentation purposes statement's name and numbers have been excluded.



Analytic Tool 4: Prioritization

Prioritization is the organization of needs ordered from highest to lowest priority in order to facilitate decision making. This is important because regardless of the number of effective strategies that are available, funding for these strategies is limited. Therefore the most cost-effective strategies and action items must be selected and funded which means that in some instances, effective strategies may not be funded.

The question is how to pick items to eliminate or reduce. This is where prioritization can be utilized. Strategies and action items are all numbered based on their priority, the lower the number, the higher their priority. The prioritization of these items must be based on the previous analytic tools as well as the agency’s plan in general. Below is how to use these tools to prioritize funding reductions in order of the first items to cut.

PRIORITIZATION

PRIORITY TO ELIMINATE / REDUCE FUNDING	ITEM	REASON
1	Work, programs, and services that are not reflected in the agency’s plan and have no impact on accomplishing the agency’s objectives	If the agency is expending effort (resources like money and staff time) on tasks that are not important in accomplishing the agency’s plan than they should be eliminated. There is no reason to continue to work on something that is not important or effective in accomplishing the agency’s plan. However, this assumes that the agency’s plan includes all important outcomes it is responsible for influencing and the strategies to accomplish the outcomes.
2	Strategies that are not working	Based on analytic tool 2, if a strategy is not performing well or having an impact on achieving the objective there is no reason to continue to operate or use limited resources to continue their operation.
3	Low priority strategies	Strategies that have the least impact on achieving the objective or are the least cost-effective in achieving the objective.
3	Over performing strategies	Strategies with performance above the FY 2016 objective target.
5	All other strategies	After the above reductions / eliminations have occurred, all other strategies must be considered. The reduction / elimination should be based on effectiveness and cost which should be reflected in the strategy number. Therefore, the higher the strategy number, the more likely it should be impacted.

4 & 5. COMPLETING THE REQUESTED CHANGES TAB CORRECTLY

The requested changes tab in the agency’s budget submission workbook details how the agency’s budget changes from FY 2010 to FY 2011. The purpose of this worksheet is twofold; the first is to communicate to analysts and decision makers what the agency is requesting the changes in the budget are and second what impact the changes will have on the agency’s performance. The requirements to complete this tab of the workbook correctly are:

- **The worksheet must match EXPbud**
- Programmatic changes must be identified with an action item
- Accounts may have to be split-up and listed multiple times to correctly account for all programmatic changes
- All fields must be completed per the requirements listed in this manual

Below, a sample requested changes tab is illustrated with each field described, defined, and explained in detail.



REQUESTED CHANGES WORKBOOK TAB

Account	Action Item	Requested \$ Change from FY 2010 to FY 2011	Description
FY 2010 APPROVED BUDGET		\$100,000,000	
719901		\$884,207	Full time regular compensation.
719901		\$235,693	Vacancy savings which includes attrition.
720101		-\$23,000	Reduction in phone costs due to new voice over internet protocol program
720399	1.1.1.1 - Discontinue printing of educational handouts for fire prevention to schools in the County which will eliminate the strategy.	-\$21,100	Currently the department distributes 10,000 fire prevention handouts to school children. Our survey has found that 1/10 children read the handouts and less than 1/10 give the information to their parents. This is an ineffective approach to distribute fire prevention information.
721199		-\$58,900	Required reduction to training per OMB. All non-mandatory training will be eliminated.
720299	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$4,800	Remove utilities from station 300
720199	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$1,100	Remove telephone costs from station 300
722599	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$3,000	Remove office supplies from station 300
723899	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$20,000	Discontinue building maintenance on station 300
799199		\$176,841	Fringe at rate 20% for full time compensation.
799199		\$47,139	Fringe at rate 20% for vacancy savings
FY 2010 REQUESTED BUDGET		\$101,211,980	



REQUESTED CHANGES WORKBOOK TAB FIELD DEFINITIONS AND EXPLANATIONS

Below are the definitions and explanations for the requested changes tab’s fields.

Account

This field indicates the account number where the budgetary change is occurring. Individual accounts may be listed several times in different action items or budgetary changes. Therefore, an account’s change value may have to be separated. An example of this is below.

EXAMPLE OF SPLITTING ACCOUNTS

Account	Action Item	Requested \$ Change from FY 2010 to FY 2011	Description
720199		-\$23,000	Reduction in phone costs due to new voice over internet protocol program
720199	2.1.1.1 - Close station 300 in order to maintain and support the strategy.	-\$1,100	Remove telephone costs from station 300

Action Item

An action item is a programmatic change in the budget that ultimately impacts the objective and aligns with the strategy. Action items include one or group of budgetary changes that could be maintenance, reduction, or increases to the budget.

Action items also account for a programmatic change that occurs in the requested dollar changes column. Therefore, the full cost of the action item should be included – meaning for each line item change the action item should be identified. Using the example above, closing a station (action item 2.1.1.1) will result in multiple changes in costs such as telephones, equipment, supplies, and other items. All of these individual account changes must have the action item listed with it. As noted in the previous section, this may also require accounts to be split to illustrate the change correctly.

For more details and requirements on how to write action items refer to page 50.

Requested \$ Change from FY 2010 to FY 2011

The value of the budgetary change from FY 2010 to FY 2011 for the account listed in the first column. Please note, this value is not the total value of a specific account/but the change. For example if the account in FY 2010 was \$1,000 and in FY 2011 is requested to be \$5,000, the requested change (what to enter in the worksheet above) would be \$4,000.

Description / Explanation

Any additional information explaining what the change is may be inputted into this section. This information is critical to ensure the understanding of the change for analysts and decision makers. To be most effective, for budgetary changes with action items, include a summary of the action item’s strategy impact analysis that starts on page 52.



OTHER BUDGETARY CONSIDERATIONS

- **Evaluate the root cause, do not assume it:** Evaluation is necessary to make informed decisions to change resources, activities, core services, and production and understand internal and external factors to ensure new and revised strategies will result in the improving the outcome.
- **Additional resources do not necessarily result in better performance:** While it may seem counterintuitive, becoming more efficient and effective does not necessarily require additional resources. Redeploying and focusing resources on accomplishing an objective may result in the same or less cost. In addition, increasing funding in an ineffective strategy will not result in better performance.
- **Resources are limited:** All agencies and services are in direct competition with each other to accomplish the highest priority results because resources are limited, not infinite. Therefore, performance management allows agencies and services to strategically plan and measure their impacts so that resources can be distributed for the most impact to accomplish the objective with the least cost. In addition, it provides decision makers information on where to allocate resources based on the LCI, agency plans, and family of performance measures. This ensures resources are used efficiently and effectively.
- **Backing into performance based budgeting:** Performance based budgeting is designed to direct the line-item budget. Therefore, it will most likely be more difficult to prepare the line-item budget first and then back-into the performance based budgeting.

PERFORMANCE MEASURES AND STRATEGY UPDATE

Depending on the agency's budget request and to-date performance measures data, the agency may need to update performance measures' data and strategies. Of note, changing performance measures and strategies may require additional changes to other fields and elements per the requirements outlined in this manual. Please make sure to review the performance measures and strategy sections of this manual before making a revision.

PERFORMANCE MEASURES

Performance measures' data may need to be updated to align with to-date information that may indicate a trend or condition that will result in a potentially different year-end estimate. In addition, if the agency's budget request will change operations including revisions to resources and processes – this may have a direct impact on the estimated and projected performance measures data. If this is the case, estimated and projected performance measures should be revised accordingly. Tools to accomplish this can be found on page 39.

STRATEGIES

In the case of strategies, an agency's budget request may include new or revised strategies, as detailed by the action item (refer to page 47). In these cases, strategies should be revised accordingly. Of note, strategies that are being eliminated should remain in the text, but be noted as eliminated in the action item.



PERFORMANCE MEASURES EXPLANATION (PME)

The performance measures explanation is a brief summary of the agency's performance measures data for each objective. The purpose of the statement is to explain the performance measures' data that a layman may not understand.

RATING

Performance measures explanations are rated based on the criteria listed below. Each item is scored on a scale of 0-3. A check mark indicates the item is required to receive the related score. For example, the only requirement to receive a score of one is to include a performance measures explanation. To receive a rating of two items 1-3 must be accomplished.

PERFORMANCE MEASURES EXPLANATION RATING

RATING	1. A PME IS INCLUDED	2. ALL PERFORMANCE MEASURES TABLES HAVE A PME	3. PMES DISCUSS SOME, BUT NOT ALL OF THE REQUIRED ITEMS	4. PMES DISCUSS ALL OF THE REQUIRED ITEMS
0				
1	✓			
2	✓	✓	✓	
3	✓	✓	✓	✓

Note – a "PME" stands for performance measures explanation.

Below all of the rating requirements are explained and defined.

1. A PERFORMANCE MEASURES EXPLANATION IS INCLUDED

To receive a minimum rating of one, a performance measures explanation needs to be included on one of the objectives. If no performance measures explanations are included, a rating of zero will be received.

2. ALL PERFORMANCE MEASURES TABLES HAVE A PERFORMANCE MEASURES EXPLANATION

For each objective there is a performance measures table. Under this table, a performance measures explanation is required. Refer to the example under rating areas three and four.

3 & 4. PERFORMANCE MEASURES EXPLANATION REQUIRED ITEMS

The performance measures explanation should be no longer than a paragraph and should include all five items listed below. Overlapping the required information is acceptable to achieve this rating, as the example in this section illustrates.

- **Overview and clarification:** Discuss the importance of the objective and performance measures and explain and information that, to a layman, may not be clear or easy to understand.
- **Performance measures history and trends:** Explain key performance indicator changes including trends and unexpected changes in data. This must be reviewed with the information that is being displayed, not with years that are not in the performance measures table. This item answers the questions below.
 - If a performance measure over time is increasing; why did this occur?
 - If a performance measure over time is decreasing; why did this occur?
 - If there is a one year increase or decrease; why did this occur?
- **Factors and conditions:** Describe if there are any internal or external impacts affecting any performance measure. Do not include limited financial resources. This item should answer the questions below.
 - Are there any restricting factors impacting performance?
 - Are there any contributing factors impacting performance?



- **Estimates and projections and budget relationship:** Describe how and why the value for the estimated and projected data is rationale given the agency's budget and performance trends. This item should answer the questions below.
 - If the FY 2010 estimated and FY 2011 projected data is anticipated to increase, why is that?
 - If the FY 2010 estimated and FY 2011 projected data is expected to decrease, why is that?
 - Will any budgetary changes impact the agency's performance and how?

- **Missing data:** If data is missing data for one or more performance measures for one or more years, briefly state why performance measure data is missing. This is only required if it is applicable.

Below is an example of a performance measures explanation.



PERFORMANCE MEASURES EXPLANATION EXAMPLE

Objective 1.1 - Increase the percent of advanced life support ambulance responses arriving within 10 minutes from 65% in FY 2008.

- By FY 2010 – 70%
- By FY 2013 – 80%
- By FY 2016 – 90%

Strategy to Accomplish the Objective –

Strategy 1.1.1 – Deploy and respond to 9-1-1 calls for service

Performance Measures -

Measure Name	Measure Category	FY 2007 Actual	FY 2008 Actual	FY 2009 Actual	FY 2010 Estimated	FY 2011 Projected
Number of advanced life support (ALS) capable ambulances	Input	13	13	14	14	14
Number of ALS capable fire engines	Input	1	2	3	3	3
Number of advanced life support (ALS) ambulances and fire engines	Input	14	15	17	17	17
Number of ALS calls for service	Output	41,350	41,524	43,400	45,000	46,000
Average number of ALS calls for service per ALS ambulance and fire engine	Efficiency	2,953.6	2,768.3	2,552.9	2,647.1	2,705.9
Average ALS response time	Outcome	9:46	9:30	9:09	9:23	9:20
Percent of ALS responses arriving within 10 minutes	Outcome			65%	66%	67%

Performance Measures Explanation - The department provides advanced life support on ambulances and fire engines. Advanced life support is a capacity for the department's vehicles and their staff to provide complex medical procedures for more complicated emergencies than basic life support. Examples of advanced life support emergencies include heart attack and stroke. The department has the funds to continue to operate 17 ALS capable vehicles and their staff for FY 2010 and into FY 2011. It is anticipated, based on past performance that calls for service will continue to increase. *This is partially driven by the urbanization of the County and the increase in the County's population.* Although the average number of calls per service per unit is expected to increase into FY 2010, the department is planning a redeployment of fire engines and ambulances to be able to respond faster to emergencies and to effectively operate as the FY 2011 budget includes closing five stations. The redeployment of resources will better align with the call's locations, which is the reason why the department expects response times to continue to improve. This is anticipated to have an impact because in the past, response times have improved since FY 2007 even as calls for service have increased as the department has increased the number of ALS vehicles and has redeployed ALS vehicles. The percent of responses arriving within 10 minutes is unavailable for FY 2007 and FY 2008 because it was not collected until FY 2009.

KEY

REQUIRED PME ITEMS	IDENTIFIED IN THE EXAMPLE
Overview and clarification	Bold
Performance measures history and trends	Underlined
Factors and conditions	Italic
Estimates and projections and budget relationship	Grey highlight
Missing data	Black highlight



OMB BMA PERFORMANCE BASED ANALYSIS AND RECOMMENDATIONS

The ultimate purpose of performance based budgeting is to facilitate the agency's ability to accomplish its objectives within the resources it has available. Therefore, the general question an analyst is evaluating this information on is: "Is this budgetary change reasonable given the agency's plan and performance?"

To answer this question and ensure resources are utilized effectively to accomplish their objectives is accomplished through a four step process:

1. Prepare all documents for analysis
2. Evaluate and recommend budgetary changes
3. Present the performance based budgeting summary at the budget meetings

Below are the details on how to complete each of these steps.

1. PREPARE ALL DOCUMENTS FOR ANALYSIS

The requested changes tab in the budget submission workbook communicates how budgetary changes from FY 2010 to FY 2011 relate to accomplishing the objective.

To prepare for your analysis, complete the following ten step process:

1. Move the requested changes tab in the agency's submission workbook into the internal review workbook
2. Review the requested changes tab to make sure the amounts are correct (match EXPbud and other worksheets), if not work with the agency to resolve all problems

2. REVIEW AND ANALYZE THE AGENCY'S REQUEST AND MAKE A RECOMENDATION

Using the requested changes tab in the internal review workbook, update/revise/add/delete the agency's requested to align with your recommendation based on the following steps:

1. Review the requested changes tab to see if any other performance based changes are missing and should be included, if so, add them to the requested changes tab and create an action item (refer to page 50)
2. Ensure that the agency's analysis aligns with all of the analysis steps on page 52.
3. Ask the agency any clarification questions
4. Add any additional programmatic changes to the requested changes tab based on the steps on pages 50 and 52

3. PRESENT THE PERFORMANCE BASED BUDGETING SUMMARY AT THE BUDGET MEETINGS

The Budget Management Analyst is responsible for presenting this worksheet in the internal review package during all budget meetings. In addition, the analyst is responsible for keep this information up-to-date at all times.

CHARTER FOR CHANGE RATING FINALIZATION BY OMB PMU

The third step of the budget process is the rating of the agency's budget submission (submissions 1 and 2). OMB PMU will complete their Charter for Change rating by the time the agency review occurs and will be included in the agency's review meeting package. All of the Charter for Change rating requirements and standards can be found on page 79.



Continuous Improvement Step 3: Service Delivery Evaluation

As noted in the overview, continuous improvement is a three step process with the ultimate aim of positively impacting the County's customers. This section is a technical guide on how to complete the service delivery evaluation phase of the process.

Agency plans and the family of performance measures provide an excellent qualitative and quantitative picture of an agency, but reporting and presenting this information is not useful in and of itself. Using plans and measures to make data-driven decisions and facilitate achieving the LCI and the agency's plan is critical to improve service delivery. In Charter for Change this is accomplished through two processes: data reporting and the Executive Management Assessment Program (EMAP).

EXPLANATION OF SERVICE DELIVERY EVALUATION ITEMS

ELEMENT	WHAT DOES IT TELL ME?
Data Reporting	The regular reporting and review of performance measures' data
EMAP	A regular meeting between the County Executive's Office, OMB, and the agency to discuss performance information and improve results

The subsequent subsections explain how to submit, write, and use all of the elements and tools in this step of the continuous improvement process.

DATA REPORTING

Regularly tracking and reporting performance measure data is the first step to implementing and evaluating agency plans, strategies, and performance measures. Agency's performance measures' data is submitted bi-monthly for two months of data. For example, data for July and August (separate data for each month) is reported on September 30.

Reporting this data on a bi-monthly basis provides a regular report to the agency, analysts, and decision makers. This information can be used to determine adjustments in service delivery, inform those outside the agency of the agency's performance, and communicate to employees how well the agency is performing – so they can adjust accordingly.

As the County increasingly relies on performance information to make decisions, collecting performance measures data on a regular basis will assist the below programs which require performance data:

- EMAP
- Budget process
- Cost Savings and Incentive Program
- Management analysis
- Regular review of performance to make service delivery adjustments as necessary



STEPS AND SUBMISSION DETAILS

The data reporting process has three steps which are completed six times during the year. The due dates for each step are outlined below and the process for each step follows the table below.

DATA REPORTING CALENDAR

MONTH OF DATA	1. AGENCY SUBMITS DATA	2. OMB BUDGET MANAGEMETN ANALYST REVIEW COMPLETED	3. OMB PMU COMPLETES REVIEW AND FINALIZES A SUMMARY REPORT
July	September 30	October 7	October 30
August			
September	November 30	December 7	January 15
October			
November	January 28	February 5	February 26
December			
January	March 31	April 7	April 30
February			
March	May 28	June 4	June 30
April			
May	July 30	August 6	August 31
June			

1. AGENCY SUBMITS PERFORMANCE MEASURES' DATA

RESPOSIBILITY	Agency
DUE	Every two months, refer to the data reporting calendar
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. Go to http://pgcintra/SiteDirectory/CFC/default.aspx 2. Go to the shared documents folder 3. Select the data reporting folder 4. Open the file for your agency (police is 50.xls) 5. Save the file onto your computer 6. Fill in two months of data that are due (refer to the monthly reporting calendar) 7. Save the file on your computer 8. Go to http://pgcintra/SiteDirectory/CFC/default.aspx 9. Go to the shared documents folder 10. Select the data reporting folder 11. Select the button "upload" on the navigation bar 12. Browse and select the file on your computer 13. Make sure the file name is the agency's number, with no other information except the file extension so it looks like this: 50.xls 14. Select the button "OK" 15. Email Rushane Jones and your assigned budget management analyst that the agency's data has been submitted
PLEASE NOTE	A sample data reporting form can be found in Appendix A



2. OMB BUDGET MANAGEMENT ANALYST REVIEW

RESPOSIBILITY	OMB Budget Management Analyst
DUE	Every two months, refer to the data reporting calendar on page 66
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. Review the agency's data submission <ul style="list-style-type: none"> ▪ Go to http://pgcintra/SiteDirectory/CFC/default.aspx ▪ Go to the shared documents folder ▪ Select the data reporting folder ▪ Open the file for your agency (police is 50.xls) 2. Ask the agency follow-up questions <ul style="list-style-type: none"> ▪ Ask the agency questions by phone / email ▪ Go to I:/OMB ADMIN/CFC/Data Reporting/Questions and Responses ▪ Complete and save the OMB Question Form 3. Complete your review <ul style="list-style-type: none"> ▪ Go to I:/OMB ADMIN/CFC/Data Reporting ▪ Complete the OMB Review form (OMB Checklist.xls) by inputting relevant information on the first blank line ▪ Save the file ▪ Email Rushane Jones that you have completed the task

3. PERFORMANCE MANAGEMENT UNIT COMPLETES REVIEW AND FINALIZES A SUMMARY REPORT

RESPOSIBILITY	OMB PMU
DUE	Every two months, refer to the data reporting calendar on page 66
STEPS TO COMPLETE	<ol style="list-style-type: none"> 1. Review all agency's data and OMB's review forms to ensure the data is correct, accurate, and all questions have been asked and answered 2. Complete the OMB PMU Review Form located at I:/OMB ADMIN/CFC/Data Reporting/PMU named Review.xls 3. Update the database located at I:/OMB ADMIN/CFC/Data Reporting/PMU and named Database.xls 4. Lock all agency performance measures data for the latest two months reported 5. Submit to Greg Useem a summary bi-monthly data report and save the file at I:/OMBADMIN/CFC/Data Reporting/PMU/Summary Report



STEP 1: AGENCY PERFORMANCE MEASURES' DATA SUBMISSION

On a bi-monthly basis, agencies must submit their performance measures' data. Data must be reported accurately and on time to ensure the data can be reviewed and used effectively by analysts and decision makers. Requirements set for data reporting are explained and described below using the Charter for Change rating.

RATING

Below is the rating for the agency's bi-monthly data reporting submission. The data reporting rating is for the period of January 2009 – December 2009. To receive a score of one in this area the data must have been reported at least once (item 1), to receive a score of two items 1-3 must be achieved.

DATA REPORTING RATING

RATING	1. DATA WAS REPORTED	2. ALL DATA WAS REPORTED	3. ALL DATA WAS REPORTED ON TIME	4. ALL DATA REPORTED WAS ACCURATE
0				
1	✓			
2	✓	✓	✓	
3	✓	✓	✓	✓

Below the rating items are defined and explained.

1. Data was Reported

Some, if not all of the performance measures must have reported data at least once since January 2009 to receive a score of one.

2. All Data was Reported

In the performance measure's descriptive information the data reporting frequency indicates how often the data can be reported by the agency. Therefore, for purposes of the bi-monthly data reporting required by Charter for Change, the agency's performance measures data must be reported based on this information. This means, if the agency included in the reporting frequency field "monthly" than data for each month should be reported. However, if a performance measure can be reported more frequency than monthly, it still is only reported monthly for purposes of this process. Conversely, if the data is reported less frequently than monthly such as bi-monthly, than the data must be reported based on this schedule; meaning blanks would be allowed in cells wherein data could not be reported.

3. All Data was Reported On Time

This requirement means that all data for the agency's performance measures must be reported on time, by the due date (refer to page 66). The reason for this is because OMB needs to complete its review and analysis within a short timeframe. If the data is late, the ability for OMB to complete its analysis will be hindered. Of note, the ability of the agency to report a specific performance measure on time is based on the reporting frequency.

4. All Data Reported is Accurate

One of the most important requirements in reporting data is providing accurate information. The purpose of reporting data on a regular basis is to use it for analysis, decision making, and feedback to employees. However, if the data is inaccurate than the information and analysis, decisions, and feedback will be wrong.

Reporting data accurately means that data must not have errors – including typos. The determination if data is rational and accurate is based on other month's reported data, the agency's annual data (actuals and estimates), the methodology (in the performance measures' descriptive information field) as well as any known factors such as budgetary changes, events, and any response to OMB Budget Management Analyst questions.



How do I change past monthly data?

Once the agency's data is reported, revising that data requires raw data to be submitted to OMB. This is because OMB wants to ensure that the data is accurate. Therefore, to change past monthly data that has already been reported the agency must submit a request to Rushane Jones with all of the raw data that supports the agency's requested change.

STEP 2: OMB BUDGET MANAGEMENT ANALYST REVIEW

Budget management analysts are responsible for reviewing the agency's information and resolving questions and issues that may appear from the reported performance measures data. The reason for this is twofold. First, having and evaluating this information is important to understanding the agency's operations. This is important because analysts can use this information to make recommendations on management issues and budgeting by recommending approaches to facilitate performance – and understand what hinders performance. Secondly, this step is important to track and record the agency's performance. To accomplish both of these tasks the analyst must complete a four step process which is outlined below.

1. Review the data reported by the agency for the most recent data reporting period: the analyst needs to review the agency's latest reported data (refer to the data reporting calendar on page 66). The analyst should review this data for the following:

- **Data increases and declines:** Major changes in the data such as an increase or decline for a specific timeframe. For example, if July had 100 widgets and August had 500 widgets, this may be an issue to question and/or review in more detail.
- **Constant data:** Data that does not change, or looks the same each month. For example, if July – June had reported data of 800 widgets every month that may be an issue due to its unyielding consistency which may need to be questioned or reviewed in more detail.
- **Efficiency measures:** make sure all efficiency measures are being correctly calculated which requires one output measure to be divided against one input measure.
- **The monthly data is projected to be above or below the estimate and/or actuals:** for example if the FY 2010 estimate is 10,000 widgets to be produced but the data for July – December totals 10,000 – this indicates the total around 20,000 for the year. Due to this variation, the analyst may need to review or question this trend in the data.
- **Known changes that have not impacted the data:** the budget, events, programs, or other known changes are not being illustrated in the data. For example, perhaps the agency added money in their budget to print 100 additional handouts, but the performance measures data to-date has not reflected this increase compared with last year's data. This issue would need to be reviewed in more detail or questioned.
- **Blank data:** if the data has not been filled-out when the reporting frequency indicates it should have been reported the analyst should review this issue in more detail or question this issue.



2. Ask the Agency Questions, Receive Responses, and Complete the OMB Question Form

If one or more of the issues identified in step 1 requires the analyst to follow-up with questions, the analyst must track this information in the OMB Question form. This tracking is to ensure that the analyst and the PMU have all of the necessary background information on any issues regarding the reported data.

The form has four fields: data reporting months in review, sender, question, and answer. The data reporting months in review are the two months of the data reporting period. The sender is the person sending the question – which should be the analyst’s name. The question is the question the analyst asked the department and the answer is the agency’s answer. At any time the analyst may add rows, each row should include only one question and answer. Below is an example.

OMB QUESTION FORM EXAMPLE

Data Reporting Months in Review	Sender	Question	Answer
March/April	Jessica	Thank you for submitting the Library’s Charter for Change data on-time. I just have one follow-up question for you regarding the data submitted. There was an increase of over 100 events and programs sponsored by the library in the month of April over the month of March. I was wondering if this is a normal increase for this time of the year.	Yes, National Library Week and Children’s Book Week both take place in April – all the branches have increased programming for those two events.



3. Complete the OMB Checklist Worksheet

In order to keep track of the agency's submission for rating purposes, analysts must complete the OMB Checklist worksheet which should be completed per the sample and instructions below.

OMB CHECKLIST EXAMPLE

Agency	Was the data reported on-time? (an email was sent to you before the end of the month)	Month of the data that is reported	Does every measure have data for this month?	Notes	Does the data for this month make sense in review of past performance and issues that you know of?	Notes
Select	Select	Select	Select		Select	

Select your agency	Select yes or no	Select the month	Data is included?	Notes	Does the data make sense?	Notes
This is a drop-down box with every agency's name	This is a drop-down box with yes or no as the choices. Indicate if the data was submitted by the agency by the due date (refer to page 66).	This is a drop-down box with every month. Select the month the data has been reported for	Is the data for every measure included; yes or no? This is a drop down box	Open field. If data is not included is there a good reason for it? Is there another issue that we need to be aware of?	Review past data. Given this information, does the data for this month make sense? Is there a major spike or decline? Is the number type the same (i.e. percent v. fraction). This is a drop down box to select yes or no.	Open field. Based on the previous column, please provide additional information. If a performance measure spiked or declined why did it occur? If it does not make sense, then note why it does not.

4. Send Rushane Jones an Email When the Analyst has Completed Steps 1-3



STEP 3: PMU REVIEW AND FINALIZATION

PMU is responsible for reviewing and finalizing all data. This is a six step process:

1. **Complete the OMB PMU Review form:** Review all agency data and analyst comments and agency responses to questions to ensure issues are resolved – and update any document that requires updating.
2. **Download data:** This is a three step process to save all past data. (1) Open all data reporting files in SharePoint's data reporting folder (for every agency); (2) open the file Database.xls in I:\Ombadmin\OMB Central Files\CFC\Data Reporting; (3) create a new tab in the database file without links – naming it according to the data reported.
3. **Maintain file structure:** Make sure each agency has only one file – if there are multiple files – ascertain the correct file (most up-to-date) and remove all other files.
4. **Protect data:** Lock all reported monthly data which is a five step process: (1) save all agency data reporting files from SharePoint onto the computer desktop; (2) select columns with newly reported data; (3) go to format, cells, protection, select "locked", and click "OK"; (4) go to tools, protection, protect sheet, insert the password, select "OK". Save the file; (5) go to SharePoint's data reporting file and upload all files (saving over the original files).
5. **Organize and manage OMB data:** This is a six step process, these steps are: (1) open the file OMB Checklist.xls located at I:\Ombadmin\OMB Central Files\CFC\Data Reporting; (2) unshared the workspace and sort by agency; (3) select all cells with reported information; (4) go to format, cells, protection, select "locked", and click "OK"; (5) go to tools, protection, protect sheet, insert the password, select "OK"; (6) save the file.
6. **Write a memo summarizing important trends, conditions, and issues in the performance measures data to the Planning and Accountability Officer**



EXECUTIVE MANAGEMENT ASSESSMENT PROGRAM (EMAP)

EMAP is a meeting between the County Executive's Office, OMB, and county agencies to improve county services delivered to customers. To accomplish this, EMAP provides a collaborative environment for decision makers, stakeholders, and analysts to evaluate and discuss approaches to facilitate service delivery improvements for the County's customers.

EMAP is an integral part of Charter for Change – allowing for the regular evaluation of data to solve problems and facilitate service delivery improvements. The result of these improvements will enhance the agency's ability to focus on and accomplish their objectives and ultimately facilitate accomplishing the countywide vision. This is accomplished through the seven benefits EMAP offers:

- Continuous improvement of service delivery to customers
- Resolution of issues and problems
- Collaboration between agencies
- Efficient and effective service delivery
- Agency face-to-face time with upper level government management to communicate the organization's purpose, problems, and successes
- Data-driven decisions

EMAP operates on five key principles, which are implemented in the EMAP system. The five principles of EMAP are:

1. Improve services delivered to our customers
2. Focus on continuous improvement and learning
3. Develop collaborative, out-of-the-box, data-driven solutions to identified problems
4. Implement effective strategies with the required resources to resolve identified problems
5. Relentless follow-up and assessment



STEPS AND SUBMISSION DETAILS

Below are details regarding when and how the EMAP process operates.

PHASE-IN SCHEDULE

Below is the planned schedule to phase-in all agencies into EMAP by FY 2013. Please note this schedule is tentative and is subject to change.

EMAP PHASE-IN SCHEDULE

YEAR TO START PARTICIPATING	AGENCY
FY 2010	<ul style="list-style-type: none">▪ Department of Corrections▪ Department of Public Works and Transportation▪ Fire/EMS Department▪ Police Department
FY 2011	<ul style="list-style-type: none">▪ Board of License Commissioners▪ Department of Environmental Resources▪ Health Department▪ Memorial Library▪ Office of Information Technology and Communications▪ Office of Law
FY 2012	<ul style="list-style-type: none">▪ Board of Elections▪ Citizen Complaint Oversight Panel▪ Office of Community Relations▪ Department of Family Services▪ Department of Social Services▪ Orphans' Court▪ Soil Conservation
FY 2013	<ul style="list-style-type: none">▪ Human Relations Commission▪ Office of Central Services▪ Office of Finance▪ Office of Homeland Security▪ Office of Human Resources Management▪ Personnel Board▪ Redevelopment Authority▪ Department of Housing and Community Development



EMAP PROCESS

Below is the EMAP process with the tasks and responsibilities for each step described.

EMAP PROCESS

STEP	TASKS	RESPONSIBLE	DUE	
1	EMAP meeting is scheduled	<ul style="list-style-type: none"> ▪ Coordination of all stakeholders' calendars ▪ An outlook calendar invite is sent to all stakeholders ▪ A request is sent for the agency to submit the EMAP Plan's status report section and other follow-up items ▪ The EMAP meeting room is reserved. The primary location for EMAP meetings is the media room (also known as the County Executive's press conference room) located on the first floor of the County Administrative Building in Upper Marlboro, MD. 	OMB, Performance Management Unit (PMU)	4-6 weeks prior to an EMAP meeting
2	Status of EMAP Plan(s) and any other follow-up from the last EMAP meeting is submitted	<ul style="list-style-type: none"> ▪ Complete the EMAP Plan's status report section ▪ Submit any other follow-up items requested ▪ Submit to OMB PMU by email 	Agency Director	3-4 weeks prior to an EMAP meeting
3	Preparation for EMAP meeting through collaboration between with the agency and OMB	<ul style="list-style-type: none"> ▪ Review and evaluate and information submitted in step 2 ▪ Research best practices, standards, and other available data sources ▪ Conduct analysis ▪ Prepare the EMAP presentation ▪ Prepare a list of questions and issues for discussion ▪ Send a draft document to the agency and Jon for their review and feedback (by email) 	OMB, PMU	1 week prior to an EMAP meeting
4	Agency review of draft document(s)	<ul style="list-style-type: none"> ▪ Review and provide feedback to OMB PMU by email 	Agency Director	3 working days prior to an EMAP meeting
5	EMAP presentation, questions, and issues are finalized and provided to participants	<ul style="list-style-type: none"> ▪ All documents are finalized ▪ Documents are posted at http://pgcintra/SiteDirectory/CFC/ under the folders shared documents/EMAP/ and the agency's name ▪ Question and issue files are titled "Questions & Issues [EMAP meeting date].doc"; EMAP presentation are titled "EMAP presentation [EMAP meeting date].ppt" ▪ Email is sent to all participants communicating that all files are available 	OMB PMU	1-2 working days prior to an EMAP meeting
6	EMAP meeting is held		Participants	



EMAP PROCESS (CONTINUED)

STEP	TASKS	RESPONSIBLE	DUE
7	Meeting notes and follow-up items are posted <ul style="list-style-type: none"> ▪ Documents are posted at http://pgcintra/SiteDirectory/CFC/ under the folders shared documents/EMAP/ and the agency's name ▪ Meeting note files are titled "Meeting notes [date].doc" ▪ Email is sent to all participants communicating that all files are available 	OMB, PMU	1 working day after EMAP meeting
8	EMAP Plan is completed and submitted (refer to Appendix B) <ul style="list-style-type: none"> ▪ Agency completes the applicable sections the EMAP Plan, if requested in the meeting ▪ Agency sends the completed EMAP Plan to their assigned OMB Budget Management Analyst by email or hard copy 	Agency Director	2 weeks after the EMAP meeting
9	OMB review of the EMAP Plan <ul style="list-style-type: none"> ▪ Reviews the EMAP Plan ▪ Completes the OMB Review form (refer to Appendix C) ▪ Communicates to agency questions and if any action(s) are required ▪ Resolve any outstanding issues ▪ OMB Budget Management Analyst sends the EMAP Plan to OMB PMU by email or hard copy who reviews ▪ OMB PMU sends the form to the OMB Director who has final approval ▪ If approved, PMU communicates to agencies if their plan is approved and posts the approved plan on SharePoint at: http://pgcintra/SiteDirectory/CFC/ under the folders shared documents/EMAP/ and the agency's name with the file name "EMAP Plan & Status Report [date of EMAP meeting associated with the plan].doc" 	OMB Budget Management Analyst	1 week after agency's submission is received

MORE ABOUT EMAP

EMAP meetings are to review, evaluate, and determine approaches to improve agency performance. EMAP meetings are scheduled by the County Executive's Office and/or the OMB. This section describes the types of meetings, meeting rules, and participants.

TYPES OF MEETINGS

There are two types of EMAP meetings that will be held: (1) agency performance reviews and (2) special issues, described below.

1. **Agency performance reviews** – Regularly scheduled EMAP meetings that focus on reviewing, evaluating, and discussing approaches to improve performance to accomplish an agency's objective. The meeting will focus on the objective's related performance measures and strategies as well as any other data or information that is available.
2. **Special issues** – EMAP meetings that focus on reviewing, evaluating, and solving a problem identified by the County Executive's Office or OMB. These meetings are not regularly scheduled and in most cases special issues will require participation from multiple agencies.



MEETING RULES

EMAP meetings have three rules to ensure the meeting is effective in focusing on improving the agency's performance which are:

1. Meetings must adhere to time standards
2. Participants must only discuss items presented and table all other discussion
3. All arguments, discussion, and decisions must be supported by data that is presented or data that is available at the meeting

MEETING PARTICIPANTS

Below is a list of EMAP meeting participants, as noted some of the participants are required to attend.

EMAP PARTICIPANTS

AGENCY	PARTICIPANT	REQUIRED?
County Executive's Office	County Executive	
	CAO and/or Special Assistant to the County Executive	Yes
	DCAO Budget, Finance, and Administration	
OMB	Director	Yes
	Operating Budget Officer	Yes
	PMU staff	Yes
	Assigned Budget Management Analyst	Yes
Agency in the EMAP	DCAO	Yes
	Director	Yes
	Staff	
Other	Agency invited by OMB	If requested by OMB, yes

Below are each required participant's roles and responsibilities in an EMAP meeting:

- **CAO and/or Special Assistance to the County Executive** – lead and participate in the EMAP meeting
- **OMB Director, Operating Budget Officer, and Budget Management Analysts** – participate in EMAP meetings by providing feedback and ideas
- **OMB PMU** – lead EMAP meetings, present analyzed data, and recommend solutions to improve performance
- **Agencies** – participate in EMAP meetings by providing feedback and ideas as well as context and additional data if available



Other Tools

This section of the manual focuses on explaining and detailing two tools that are used for Charter for Change. The first, data audit, is a process to ensure that performance measures data is accurately reported in the budget document, budget process, and data reporting process. The second, the Charter for Change rating, is to communicate to agencies how well they are utilizing and operating within the Charter for Change system. The rating also results in Charter for Change awards for agencies.

Below, each of these tools are explained and detailed.

DATA AUDIT

To ensure the performance measures data collected and reported is accurate, OMB will conduct a bi-annual performance data audit. This is important because the performance measures' data is provided to the public for their consumption as well as to analysts and managers to make decisions. Inaccurate data will adversely impact the transparency of the government to citizens and residents and it will hinder data-driven decisions, evaluation, and improvement of agency performance.

To accomplish this, OMB will select four objective statement's family of performance measures to audit, two will be selected randomly and two will be selected intentionally. Agencies selected for the audit will be required to provide all data sources, reports, calculations and any other information that will verify the performance information that has been reported. It is highly recommended agencies keep up-to-date and comprehensive documentation for their performance measures to facilitate the speed of this process.

PROCESS

There are four main stages represented in the data audit framework which are described below

1. **Plan** – In July and January, OMB PMU will select 1-4 objective statements and audit their respective family of performance measures. Some objectives will be selected at random while others will be selected by the PMU. To accomplish this, there are two required steps listed below.
 1. Choose 1-4 objective statements to be audited. OMB PMU will utilize an Excel worksheet to satisfy the random selection of objective statements.
 2. Notify agencies that their objective(s) has been chosen for audit and request all raw data reports for the related performance measures from agencies.
2. **Reviewing the Data and Information** – Agencies selected for the audit will be required by OMB PMU to provide all data sources, reports, calculations and any other information that will verify the performance information that was submitted. The objective's performance measures will be reviewed to ensure they are rational and accurate. Below is a sample of some of the questions that OMB PMU will be asking during it's review.
 - Does the measure name make sense?
 - Does the methodology reflect the data collection process and how the data is calculated?
 - Is the data source correct?
 - Is the reporting frequency correct?
 - Does the favorable trend make sense?
 - Is the data reported monthly and annually correct?
3. **Complete a Report** – A report detailing the findings of the audit along with any recommendations will be prepared and submitted to all stakeholders for review, revision, and finalization.
4. **Implement Findings** - Once the report has been finalized all recommendations must be employed by the agency. If an agency does not implement the findings, performance measures data will be removed resulting in a negative impact on the agency's Charter for Change rating.



CHARTER FOR CHANGE RATING

During the budget cycle agencies are rated by OMB on how well they write, use, and perform Charter for Change components. The rating's purpose is to provide agencies and OMB feedback on how well they are accomplishing Charter for Change. Based on the ratings, OMB provides agencies awards for their achievements.

WHY IS THE AGENCY RATED ON CHARTER FOR CHANGE?

Ratings provide information regarding the quality of an agency's Charter for Change elements and how well the agency is performing. This is important for the County Executive's Office, OMB, and the agency to improve their Charter for Change elements, the documents submitted, and the agency's performance. Improvement is important because without clear and comprehensive Charter for Change elements and documents it is difficult to use for results-based decisions in the budget process and EMAP. In addition, agencies are rated on their actual performance in accomplishing the objective; which is the main purpose of Charter for Change.

RATINGS

Each year, the rating areas and their percentages do not change however the score ranges vary due to new and revised criteria. The reason why the ratings have changed is to better reflect expectations regarding Charter for Change.

RATING AREAS AND SCORES

RATING AREA	SCORE RANGE	PERCENT RANGE
Excellent	22- 27	80% - 100%
Good	16 - 21	57.5% - 79.9%
Fair	10 - 15	36% - 57.4%
Needs Significant Improvement	0 - 9	0% - 35.9%

Agencies are rated on nine categories. Each rating area is on a scale of 0 – 3. A zero for a rating means the area needs significant improvement, a one means the element is fair, a two means the area is good, and a three means the area is excellent.

Requirements for each element are detailed in the respective elements section of the manual. Below are the summary rating tables that indicate how each element is rated. To receive a specific rating all items with a check mark must be achieved. For example, in the mission statement rating, to receive a rating of three, the mission must be included, the statement must include all of the formula's requirements, and the mission's outcome has a significant impact on the identified customers.

MISSION STATEMENT RATING

RATING	1. THE MISSION IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. THE MISSION'S OUTCOME HAS SIGNIFICANT IMPACT ON THE IDENTIFIED CUSTOMERS
0			
1	✓		
2	✓	✓	
3	✓	✓	✓



GOAL STATEMENT RATING

RATING	1. THE GOAL IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. EACH CORE SERVICE IN THE MISSION HAS A GOAL	4. THE MISSION'S CUSTOMERS AND CORE SERVICES ARE MORE SPECIFICALLY DEFINED IF POSSIBLE AND THE OUTCOME IS MORE SPECIFICALLY DEFINED	5. THE GOAL'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE IDENTIFIED CUSTOMERS
0					
1	✓				
2	✓	✓	✓		
3	✓	✓	✓	✓	✓

OBJECTIVE STATEMENT RATING

RATING	1. THE OBJECTIVE IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. THERE IS AT LEAST ONE OBJECTIVE FOR EACH GOAL	4. THE GOAL'S OUTCOME IS MEASURED	5. THE OBJECTIVE'S OUTCOME HAS A SIGNIFICANT IMPACT ON THE GOAL'S IDENTIFIED CUSTOMERS
0					
1	✓				
2	✓	✓	✓	✓	
3	✓	✓	✓	✓	✓



STRATEGY STATEMENT RATING

RATING	1. THE STRATEGY IS INCLUDED	2. THE STATEMENT INCLUDES ALL OF THE FORMULA'S REQUIREMENTS	3. THERE IS AT LEAST ONE STRATEGY FOR EACH OBJECTIVE	4. A COMPREHENSIVE LIST OF STRATEGIES IS INCLUDED FOR EACH OBJECTIVE
0				
1	✓			
2	✓	✓	✓	
3	✓	✓	✓	✓

FAMILY OF PERFORMANCE MEASURES (PM) RATING

RATING	1. PMS ARE INCLUDED	2. EACH OBJECTIVE HAS A FAMILY OF PMS	3. THE OBJECTIVE'S MEASURE IS INCLUDED IN THE FAMILY OF PMS AS AN OUTCOME MEASURE	4. EACH STRATEGY HAS AT LEAST ONE PERFORMANCE MEASURE	5. PMS INDICATE THE OBJECTIVE'S PERFORMANCE	6. DESCRIPTIVE INFORMATION IS CORRECTLY FILLED-OUT	7. ALL PMS HAVE AT LEAST FY09, FY10, AND FY11 DATA	8. AT LEAST ONE OBJECTIVE HAS MORE THAN ONE OUTCOME MEASURE
0								
1	✓							
2	✓	✓	✓	✓	✓	✓	✓	
3	✓	✓	✓	✓	✓	✓	✓	✓



PERFORMANCE BASED BUDGETING RATING

RATING	1. THE BUDGET SUBMISSION WORKBOOK HAS BEEN SUBMITTED	2. THE BUDGET SUBMISSION WORKBOOK HAS BEEN SUBMITTED ON TIME	3. ACTION ITEMS INCLUDE ALL OF THE FORMULA'S REQUIREMENTS	4. SOME INFORMATION IN THE REQUESTED CHANGES TAB IN THE BUDGET SUBMISSION WORKBOOK IS NOT CORRECT, BUT COULD STILL BE USED BY OMB	5. ALL OF THE INFORMATION IN THE REQUESTED CHANGES TAB IN THE BUDGET SUBMISSION WORKBOOK IS CORRECT AND CAN BE USED BY OMB
0					
1	✓				
2	✓	✓	✓	✓	
3	✓	✓	✓	✓	✓

PERFORMANCE MEASURES EXPLANATION (PME) RATING

RATING	1. A PME IS INCLUDED	2. ALL PERFORMANCE MEASURES TABLES HAVE A PME	3. PMES DISCUSS SOME, BUT NOT ALL OF THE REQUIRED ITEMS	4. PMES DISCUSS ALL OF THE REQUIRED ITEMS
0				
1	✓			
2	✓	✓	✓	
3	✓	✓	✓	✓

DATA REPORTING RATING

RATING	1. DATA WAS REPORTED	2. ALL DATA WAS REPORTED	3. ALL DATA WAS REPORTED ON TIME	4. ALL DATA REPORTED WAS ACCURATE
0				
1	✓			
2	✓	✓	✓	
3	✓	✓	✓	✓



AGENCY PERFORMANCE RATING

RATING	1. OBJECTIVES CAN BE COMPRED WITH AND TRACKED WITH PERFORMANCE MEASURES	2. STARTING IN FY 2008, SOME OBJECTIVES HAVE IMPROVED PERFORMANCE	3. FROM 2008 – 2010 ALL OBJECTIVES HAVE IMPROVED PERFORMANCE	4. IT IS ANTICIPATED THAT THE AGENCY WILL MEET OR EXCEED IT'S FY 2010 OBJECTIVE TARGET
0				
1	✓			
2	✓	✓		
3	✓	✓	✓	✓

AWARDS

Based on the Charter for Change ratings agencies will be eligible for four Charter for Change awards. These awards are provided annually by the Office of the County Executive and OMB at the end of June. The awards are based on the agency's Charter for Change information used and published for the budget year.

- **Charter for Change Award for Highest Achievement:** The Charter for Change rating is within the “excellent” rating area
- **Charter for Change Achievement Award:** The Charter for Change rating is within the “good” rating area
- **Charter for Change Improvement Award:** The Charter for Change rating has improved from one rating area to another (i.e. “good” to “excellent”)
- **Charter for Change Performance Award:** Implemented during the FY 2011 process, the performance award is for agencies when they receive a score of three in the agency performance rating area.



Resources

Below is a list of available performance management resources. A note of caution, performance management terminology does not usually translate between organizations.

STANDARD DATA

POPULATION

DATA ITEM	SOURCE	2007	2008	2009 (1)	2010 (1)	2011 (1)
Number of persons in the County	U.S. Census Bureau	825,318	820,852	817,000	813,000	809,000

Note 1. Estimated based on past trends.

AVAILABLE DATA ONLINE

- Maryland National Capital Park and Planning: http://www.pgplanning.org/About-Planning/Our_Divisions/Countywide_Planning/Research/Facts_and_Figures.htm
- U.S. Census Bureau: <http://quickfacts.census.gov/qfd/states/24/24033.html>
- U.S. Bureau of Economic Analysis: <http://bea.doc.gov/index.htm>
- Governing.com Sourcebook: <http://sourcebook.governing.com/index.jsp>
- Federal Government's data catalog: <http://www.data.gov/>

COMPREHENSIVE RESOURCES GOVERNMENTS AND ORGANIZATIONS

- City of Albuquerque, NM: <http://www.cabq.gov/budget/>
- City of Austin, TX: <http://www.ci.austin.tx.us/budget/mfr.htm>
- Fairfax County, VA: http://www.fairfaxcounty.gov/dmb/perf_measure.htm
- Governing.com: <http://www.governing.com/pm>
- Government Finance Officer's Association (GFOA): <http://www.gfoa.org>
Under this website's resources button there is a link to their performance management website which includes relevant performance management articles, training documents, links, and other references
- Maricopa County, AZ: <http://www.maricopa.gov/mfr/>
- Public Performance Measurement and Reporting Network: <http://www.ppmrn.net>
- Virginia Performs: <http://vaperforms.virginia.gov/>

BOOKS AND ARTICLES

- Ammons, David N. and William C. Rivenbark. "Factors Influencing the Use of Performance Data to Improve Municipal Services: Evidence from the North Carolina Benchmarking Project." *Public Administration Review* March/April 2008, p 304-318.
- Benh, Robert. "Why Measure Performance? Different Purposes Require Different Measures." *Public Administration Review* September/October 2003, p 586-602.
- Lawson, Michael. "Why Performance Matters." *Public Management* April 2006, p 8-12.
- Leithe, Joni L. Implementing Performance Measurement in Government. GFOA 1997.
- Miller, Ken. "Greed is Good." *Governing.com* January 23, 2008.
- Miller, Ken. We Don't Make Widgets; Overcoming the Myths that Keep Government from Radically Improving. Governing Books 2006.
- Osborne, David and Peter Hutchinson. The Price of Government. Basic Books 2004.
- Walters, Jonathan. Measuring Up 2.0. Governing Books. 2008.



USING PERFORMANCE INFORMATION IN BUDGETING AND DECISION MAKING

- Ammons, David. *Tools for Decision Makers*. CQ Press. 2002.
- Behn, Robert D. "What All Mayors Would Like to Know About Baltimore's CitiStat Performance Strategy." IBM Center for the Business of Government *Managing for Performance and Results Series* 2007.
- Hatry, Harry P., Philip S. Schaanman, Donald M. Fisk, John R. Hall Jr., and, Louise Snyder. *How Effective Are Your Community Services?* ICMA 2006.
- Kinney, Anne Spray, Peter Hutchinson, and David Osborne. "Finding Opportunity in Fiscal Stress: How to Balance Your Budget and Improve Performance." *Government Finance Review* August 2002. p 12-15.
- Perlman, Ellen. "Stat Fever." *Governing Magazine* January 2007 (pages unknown, online posting).
- Scheps, Philip B., "Linking Performance Measures to Resource Allocation." *Government Finance Review* June 2000, p 11-14.
- Swiss, James E. and Stephen K. Straus. "Implementing Results-Based Management in Local Government." *Popular Government* Spring/Summer 2005, p 31-41.
- Walters, Jonathan. "Data Driven Decisions." *Governing.com* June 1, 2007.

LOGIC MODEL

- University of Wisconsin Extension: <http://www.uwex.edu/ces/pdande/evaluation/evallogicmodel.html>

RATING SYSTEM

- Rivenbark, William C. and Dale J. Roenigk. "A MAP Approach to Performance Management in Local Government." *Government Finance Review* June 2006. p 28-33.

STAT SYSTEMS (SIMILAR TO EMAP)

- City of Baltimore, MD: <http://www.ci.baltimore.md.us/government/citistat/>
- Montgomery County, MD: <http://www.montgomerycountymd.gov/statmpl.asp?url=/Content/EXEC/stat/index.asp>
- State of Washington: <http://www.accountability.wa.gov/>

SOURCES

This manual was developed using several sources adapted for Prince George's County's use, these sources are:

- City of Hartford, Connecticut
- Fairfax County, Virginia
- Commonwealth of Virginia
- City of Baltimore, Maryland
- Performance Institute's Performance Logic Model
- University of Wisconsin Extension's Logic Model
- Rivenbark, William C. and Dale J. Roenigk. "A MAP Approach to Performance Management in Local Government." *Government Finance Review* June 2006. p 28-33.
- State of Washington
- Montgomery County, Maryland



Glossary

Accomplishing the Livable Communities Initiative (LCI) – the plan to accomplish the countywide vision Livable Communities which is included in the agency's mission statement.

Action Item – a budgetary change, that is programmatic, that impacts the strategy and ultimately effects the agency's ability to accomplish the objective.

Agency Plans – a department's strategic plan that defines the core services that will be provided, the customers that will be served, the impact core services will have on its customers, and approaches to accomplish the outcome; consists of mission, goal, objective, and strategy statements.

Charter for Change (CFC) – the County's performance management system.

Charter for Change Rating – the scoring of the agency's plans, family of performance measures, performance measures explanation, data reporting, performance based budgeting, and objective performance.

Core Service – a group of activities that directly support an agency in achieving its intended outcomes and are identified in the agency's mission and goal statements.

Core Services Table – a summary of the core services, customers, and outcomes in the mission statement

Countywide Vision – refer to *Livable Communities Initiative*.

Customers – persons that utilize county core services and receive the benefit of the outcomes the agency provides.

Data Reporting – the submission of monthly performance data on a bi-monthly basis.

Data Source – the source from which a performance measure's information emanates from.

Effective – an indication of the degree to which a core service produces its intended result.

Efficiency – using a minimum amount of resources to produce a product.

Efficiency Measure – the division of two performance measures: output and input. Indicates how well resources (input measure) are used per widget produced (output measure), expressed quantitatively; one of the measures in the family of performance measures.

Executive Management Assessment Program (EMAP) – meetings with the County Executive's Office, OMB, and agencies to discuss agency plans, performance measures data, as well as managerial, budgetary, and expenditure issues.

Family of Performance Measures – a group of five performance measures: input, output, efficiency, quality, and outcome that provide as close to a comprehensive quantitative illustration as possible of an objective's performance.

Favorable Trend – a description of the positive data movement for a performance measure with two choices: positive and negative.

Goal – a statement that specifies each of the agency's core services' customers and outcomes which is stated more specifically than in the mission statement; a component of agency plans.

Impact – refer to *outcome*.

Indicators – refer to *performance measure*.



Input Measure – the value of resources utilized to produce work product, expressed quantitatively; one of the measures in the family of performance measures.

Livable Communities Initiative (LCI) – the countywide vision that has the following priority areas: education, public safety, health and human services, transportation, environment, housing and community development, economic development, and cultural arts and historic preservation.

Logic Model – a framework or map of how work is completed and impacts customers through outcomes.

Measures – *refer performance measures.*

Measure Category – the type of measure from the family of performance measures which include: input, output, efficiency, quality, and outcome.

Measure Name – the title of a performance measure.

Methodology – the clear explanation on how the data is being calculated.

Mission – a broad statement of the agency’s purpose that is clearly aligned with the countywide vision and includes the agency’s core services, customers, and outcomes; a component of agency plans.

Objective – a statement quantifying and setting a timeframe to reach a goal’s outcome (quantified); a component of agency plans.

Objective’s Measure – the identification of the performance measure that is indicating the objective’s outcome.

Objective Target – a quantitative aim to reach by a particular year part of the performance measures table.

Outcome – the ultimate end result or affect of a program or service on the intended customer.

Outcome Measure – the measure of the ultimate end result or affect of a program or service on the intended customer, usually expressed quantitatively; one of the measures in the family of performance measures.

Output Measure – the quantity of work produced and/or the amount of work to be completed, usually expressed quantitatively; one of the measures in the family of performance measures.

Performance Based Budgeting – the use of Charter for Change components and elements to facilitate resource allocation decisions in the budget; includes action items and the requested changes tab.

Performance Data – the quantitative information measured by a performance measure.

Performance Management – *refer to Charter for Change.*

Performance Measure – an indicator that specifies the quantitative performance of an objective and includes five types of measures: input, output, efficiency, quality, and outcome.

Performance Measures Explanation — a brief summary of each objective’s performance measure data which explains to the layman the performance data.

Proxy Measure – a measure that is the closest assumed indication of an outcome and is used to replace the outcome measure when an agency is unable to capture an accurate outcome measure.

Quality Measure – an indication of a service’s customer satisfaction, accuracy, or timeliness, usually expressed quantitatively; one of the measures in the family of performance measures.

Reporting Frequency – the number of times performance data is reported (i.e. daily, monthly).



Requested Changes Tab – a worksheet in the agency’s budget submission workbook (MS Excel) that details the budgetary changes by account and identifies what impact the changes will have on the agency’s performance through action items, a tool for performance based budgeting.

Required Charter for Change Component – an item identified as a required part of a statement or item to be included; this is used to score agencies in the Charter for Change rating.

Services – *refer to core services.*

Strategy – a component of agency plans that identifies the agency’s plan to accomplish the objective’s target.



Appendix



**APPENDIX A
EXAMPLE
DATA COLLECTION FORM**

Use: For an agency to submit bi-monthly reporting of monthly performance measure data	Location: http://pgcintra/SiteDirectory/CFC/default.aspx under the “shared documents folder” within the “data reporting” folder	File Name: depends on agency (i.e. 50.xls)
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Objective	Measure Name	Objective's Measure	Strategy's Measure	Measure Category	Methodology	Favorable Trend	Data Source	Reporting Frequency	FY 2006 Actual	FY 2007 Actual	FY 2008 Actual	FY 2009 Estimated	FY 2010 Projected	July FY 2010	August FY 2010	September FY 2010	October FY 2010	November FY 2010	December FY 2010	January FY 2010	February FY 2010	March FY 2010	April FY 2010	May FY 2010	June FY 2010	
1.1	Number of advance life support (ALS) capable ambulances			Input	Count from the fleet inventory (2008 edition)	Increase	2008 fleet inventory	Annually	13	13	14	14	14	14	14	14	20	20	20	20	20	20	20	20	20	20

Measure Information

This information comes from the FY 2009 budget and includes the objective number, measure name, measure category, methodology, favorable trend, reporting frequency, and data source.

This field cannot be edited

Annual Data

This is the performance data from FY 2004- FY 2009 from the FY 2009 budget.

This field cannot be edited

Monthly Data (fill this part out)

This section allows the agency to input performance data for every month during the fiscal year for each performance measure.

This field is REQUIRED to be completed



APPENDIX B EXAMPLE AND INSTRUCTIONS EMAP PLAN

Use: Submit a plan requested during EMAP to improve performance	Location: http://pgcintra/SiteDirectory/CFC/ under the folders shared documents/EMAP/	File Name: EMAP Plan Template.doc.
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AGENCY NAME:

Office of Disease Control

OBJECTIVE NUMBER AND NAME:

1.1 – Reduce the number of persons per 1,000 with diseases from 5,637 in FY 2008

STRATEGY NUMBER AND NAME:

1.11 – Provide a bi-annual community outreach education program regarding communicable diseases

Is this strategy (circle one):

NEW

REVISED **2**

CURRENT (1)

What are your performance measure(s) (name only) for successful completion of the step?

Measure Name	Circle One
Number of attendees to the education outreach program	New Revised Current(1)
Number of attendees to the education outreach program per capita	New Revised Current(1)
Number of advertisements and TV ads	New Revised Current(1)

PLAN DETAILS							STATUS REPORT	
No.	Steps and Tasks <i>List all of the work required to implement the strategy</i>	Who is Responsible?	Target Date <i>By When? (Month)</i>	Resources Needed <i>Please be specific</i>	Funding Source (circle one)	Funding Source Location and Amount Needed <i>Please identify the source and item – i.e. F/A/C, PIN, etc.)</i>	Has this Step Been Accomplished? <i>If Yes, input the date If No, state No</i>	Please Write Any Notes Here
3	1 Hire five staff members to conduct the training	Jane Smith, Director of Community Development and Outreach	December	Five Community developer I/II G100	Dedicated & Available (1) Reallocated Needed but Not Available	Stimulus funds \$600,000	12/31/09 4	
2	2 Advertise the event	Jane Smith, Director of Community Development and Outreach	January	Advertisement funding for print and TV ads	Dedicated & Available (1) Reallocated Needed but Not Available	Transfer funding from GF01/999999 /999999 which supported a needle exchange program to GF01/888888/ 888888 for \$50,000	1/15/09	Ads on public access TV and the Washington Post are currently running and will conclude within one month
3	3 Prepare the meeting room and presentation materials	Jane Smith, Director of Community Development and Outreach	February	Copying and printing materials	Dedicated & Available (1) Reallocated Needed but Not Available	\$1,000	No	Working with OMB to find funding

Director Signature (for approval)	
Signature <i>John Doe</i> 5	Date 7/15/09

NOTES

1. Included in the FY 2010 approved budget book



INSTRUCTIONS AND EXPLANTION

SECTION 1 – This section includes fields to identify the agency’s name and objective that was discussed in the EMAP meeting.

SECTION 2 – This section requires the agency to include a new, revised, or current (current means included in the FY 2010 approved budget book) strategy that will be undertaken to improve. It also includes a section on a new, revised, or current (current means included in the FY 2010 approved budget book) performance measure(s) that will indicate success accomplishing the plan. For new or revised performance measures PMU will work with the agency to update its related Charter for Change documents.

SECTION 3 – Agencies complete the plan detail section to indicate the steps required to complete the plan in support of the strategy. This information includes identifying responsibilities, target dates, resources, and funding sources.

SECTION 4 – This is the status report section which is completed after the EMAP Plan is approved by OMB and in preparation for the next EMAP meeting. At that time, the agency will note which items in the plan details have been completed.

SECTION 5 – The agency’s Director must sign the document before submitting it to OMB in this section.



**APPENDIX C
EXAMPLE AND INSTRUCTIONS
OMB BUDGET MANAGEMENT ANALYST REVIEW FORM**

Use: OMB's review of the agency's submitted EMAP Plan	Location: http://pgcintra/SiteDirectory/CFC/ under the folders shared documents/EMAP/	File Name: EMAP OMB Review Form.doc
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Is the form completely filled out? <i>This means that all fields are filled-out completely, correctly, and clearly.</i>	<input checked="" type="radio"/> Yes / <input type="radio"/> No	Notes:
Does this plan complete the follow-up items in the EMAP meeting notes? <i>This information is in the meeting notes posted at http://pgcintra/SiteDirectory/CFC/ under the folders shared documents/EMAP/ and the agency's name and are titled "Meeting notes [date].doc"</i>	<input checked="" type="radio"/> Yes / <input type="radio"/> No	
In your opinion, using all information that is available to you, will this accomplish/facilitate improved performance. <i>Based on the EMAP meeting, data available, and any other information - will this work, does this make sense? Please explain in the notes section how you reached your conclusion.</i>	<input checked="" type="radio"/> Yes / <input type="radio"/> No	Given the data and conclusion 1 presented in the EMAP meeting, community outreach is necessary to improve the performance to accomplish this objective.
Are the resources identified include correct amounts, available, correctly identified, and not negatively impact another important service/program? <i>Review your agency's budget and ensure that the information the agency has provided regarding funding is rational. In addition, assess if the calculations are correct for the identified resources.</i>	<input checked="" type="radio"/> Yes / <input type="radio"/> No	
In your opinion, are the performance measures selected the most useful to indicate how well the agency is accomplishing their EMAP Plan? <i>Will the performance measures be useful to track this plan? Are there any measures you would suggest that would be useful?</i>	<input checked="" type="radio"/> Yes / <input type="radio"/> No	
Overall, do you recommend this plan?	<input checked="" type="radio"/> Yes / <input type="radio"/> No	
Other notes and comments		

OMB Budget Management Analyst Signature and Date Bob Smith 1/1/00

Instructions: Once you have completed this form please attach the agency's EMAP Plan form to this document and submit it to Greg Useem. **2**

OMB PMU Signature and Date Indicating Approval Dana Franks 1/2/00

OMB Director Signature and Date Indicating Approval Jack Smith 1/3/00

INSTRUCTIONS AND EXPLANATION

SECTION 1 – Budget Management Analysts answer the six questions in this section by circling “yes” or “no” and may include any notes in the last column and at the bottom of the form.

SECTION 2 – Both the Budget Management Analyst, PMU, and the OMB Director sign the document indicating they have resolved all issues and approved the plan from the agency.

