Results Based Accountability in the Connecticut General Assembly Appropriations Committee

Office of Fiscal Analysis/The Charter Oak Group, LLC

RBA Resource Team

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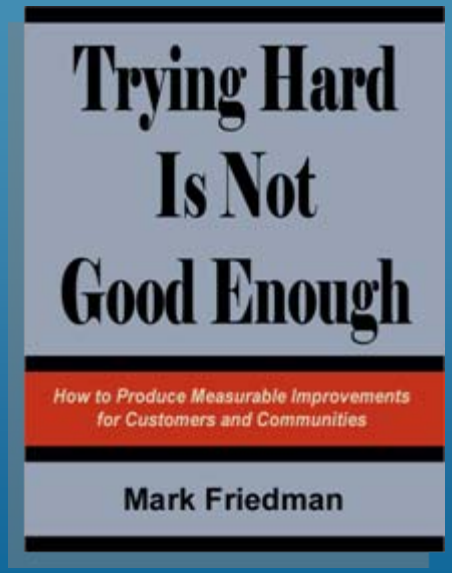
Results Accountability Decision-making and Strategic Planning



Fiscal Policy Studies Institute

Santa Fe, New Mexico

WEBSITES

www.resultsaccountability.com

www.raguide.org

www.charteroakgroup.com

BOOK ORDERS

www.trafford.com

www.amazon.com

Agenda

- Results-Based Accountability at the Connecticut General Assembly: 2011 and beyond
- Program Selection Criteria
- The Basics of RBA
- The Eight Questions: The RBA Thinking Process
- Program Report Cards
- Taking Advantage of the RBA Process: How Agencies Can Make the Most of the Report Cards
- Next Steps
  - Today: Basic RBA and introduction to the process
  - Next 3 months: Individual TA and feedback on report cards
  - Later: Help with preparing for the December RBA forums and the February budget hearings

Results-Based Accountability At the Connecticut General Assembly

- Year 1: Pilot in Early Childhood and Environment, a few programs
- Year 2: More intensive pilot in same areas, several programs; formalization of RBA subcommittee
- Year 3: Even more intensive pilot in same areas
- Year 4: Pilot use of eight questions in subcommittee hearings for selected programs, development of report card for early childhood programs
- Year 5: Extended use of report card to selected programs in many agencies; PRI pilot of RBA in examination of social services program (DCF)

What's Coming

- Year 6 and beyond:
  - All agencies present a report card for a selected program
  - Integration of 8 questions into all Appropriations Committee hearings and sub-committee hearings: RBA is how the Appropriations Committee conducts business
  - Identification of cross-program, cross-agency systems for presentation in 2011 and 2012
  - Continuation of PRI pilot project with examination of DOT programs

Program Selection Criteria

- For each agency, OFA identified the three programs that have the biggest effect on state spending
- Sub-committees selected one new program from this list for presentation in 2011; generally avoided programs that were presented in prior years
- All agencies are requested to submit a report card for the selected program
- In addition, agencies that presented a report card for a selected program in 2010 are asked to update that report card with most recent data

Schedule

- Agency trainings and technical assistance throughout the summer
- Report cards for new programs due to Susan Keane by October 1
- Updated report cards for programs selected in 2010 due to Susan Keane by October 15
- Revised and finalized report cards transmitted to Appropriations Committee members by November 15
- Forums for selected programs in early December
- Budget hearings with the 8 questions for all programs in February
- Additional guidance, resources, and training for agencies in November and December

Results Accountability
is made up of two parts:

Population Accountability
about the well-being of
WHOLE POPULATIONS

For Communities – Cities – Counties – States - Nations

Performance Accountability
about the well-being of
CLIENT POPULATIONS

For Programs – Agencies – and Service Systems

DEFINITIONS

Population

RESULT

A condition of well-being for children, adults, families or communities.

Children born healthy, Children succeeding in school, Safe communities, Clean Environment, Prosperous Economy

INDICATOR

A measure which helps quantify the achievement of a result.

Rate of low-birthweight babies, Rate of high school graduation, crime rate, air quality index, unemployment rate

Performance

PERFORMANCE MEASURE

A measure of how well a program, agency or service system is working.

Three types:

1. How much did we do?
2. How well did we do it?
3. Is anyone better off? = **Customer Outcomes**

From Ends to Means
From Talk to Action

Population

RESULT

INDICATOR

ENDS

Performance

PERFORMANCE MEASURE

Customer outcome = Ends
Service delivery = Means

MEANS

Results

- Results (population results or quality of life results) are conditions of well-being for children, adults, families or communities, stated in plain English (or plain Spanish, or plain Korean...).
- They are things that voters and taxpayers can understand. They are not about programs or agencies or government jargon. Results include: "healthy children, children ready for school, children succeeding in school, children staying out of trouble, strong families, elders living with dignity in setting they prefer, safe communities, a healthy clean environment, a prosperous economy."
- Definition: A condition of well-being for people in a place, stated as desired result. "All _____ in _____ _____." e.g. All children in Connecticut born healthy and developmentally on target from Birth to 3" or "A clean and healthy Long Island Sound for Connecticut's residents"

Connecticut Result Statements

- All children in the State of Connecticut are ready for school success at age five and achieving school success by age nine
- A clean and healthy long island sound
- All adults are economically self sufficient
- All CT children at risk of justice involvement or justice involved will realize their full potential and live safe and independent lives

Criteria for

Choosing Indicators

as Primary vs. Secondary Measures

Communication Power

Does the indicator communicate to a broad range of audiences?

Proxy Power

Does the indicator say something of central importance about the result?

Does the indicator bring along the data **HERD**?

Data Power

Quality data available on a timely basis.

Population versus Performance Accountability

At the population level, we ask what kinds of strategies (collections of activities or programs) we want to buy to achieve our quality of life result

At the performance level, once we have decided to buy a particular program, we want to know how well it is working and whether anyone is better off as a result

Program Performance Measures

	Quantity	Quality
Effort	How much did we do?	How well did we do it?
Effect	Is anyone better off?	
	#	%

Education

	Quantity	Quality
Effort	How much did we do? **Number of students**	How well did we do it? **Student-teacher ratio**
Effect	Is anyone better off? **Number of high school graduates**	**Percent of high school graduates**

Health Practice

	Quantity	Quality
Effort	How much did we do? **Number of patients treated**	How well did we do it? **Percent of patients treated in less than 1 hour**
	Is anyone better off?	
Effect	**Incidence of preventable disease** (in the practice)	**Rate of preventable disease** (in the practice)

What Quadrant?

- % participants who got jobs
- staff turnover rate
- # participants who got jobs
- % of children reading at grade level
- cost per unit of service
- # applications processed
- % patients who fully recover

What Quadrant?

- % of customers satisfied with outcome of service (from survey)
- % of customers satisfied with service quality (from survey)
- % of applications processed within 2 working days
- # on waiting list
- % of teachers with certification

Separating the Wheat from the Chaff

Types of Measures Found in Each Quadrant

How much did we do?

Clients/customers served

Activities (by type of activity)

How well did we do it?

% Common measures

e.g. client staff ratio, workload ratio, staff turnover rate, staff morale, % staff fully trained, % clients seen in their own language, worker safety, unit cost

% Activity-specific measures

e.g. % timely, % clients completing activity, % correct and complete, % meeting standard

Is anyone better off?

#

#

#

#

Point in Time vs. Point to Point Improvement

% Skills /Knowledge

(e.g. parenting skills)

% Attitude /Opinion

(e.g. toward drugs)

% Behavior

(e.g. school attendance)

% Circumstance

(e.g. working, in stable housing)

Choosing Headline Measures

	Quantity	Quality
Effort	How much did we do?	How well did we do it?
	# Measure 1 ----------	% Measure 8 ----------
	# Measure 2 ----------	% Measure 9 ----------
	# Measure 3 ----------	% Measure 10 ----------
	# Measure 4 ----------	% Measure 11 ----------
	# Measure 5 ----------	% Measure 12 ----------
	# Measure 6 ----------	% Measure 13 ----------
	# Measure 7 ----------	% Measure 14 ----------
Effect	Is anyone better off?	
	# Measure 15 ----------	% Measure 15 ----------
	# Measure 16 ----------	% Measure 16 ----------
	# Measure 17 ----------	% Measure 17 ----------
	# Measure 18 ----------	% Measure 18 ----------
	# Measure 19 ----------	% Measure 19 ----------
	# Measure 20 ----------	% Measure 20 ----------
	# Measure 21 ----------	% Measure 21 ----------

#3 DDA

#2 Headline

#2 DDA

#3 Headline

#1 Headline

#1 DDA

THE LINKAGE Between POPULATION and PERFORMANCE

POPULATION ACCOUNTABILITY

Healthy Births

Rate of low birth-weight babies

Children Ready for School

Percent fully ready per K-entry assessment

Self-sufficient Families

Percent of parents earning a living wage

POPULATION RESULTS

Contribution relationship

PERFORMANCE ACCOUNTABILITY

Job Training Program

# persons receiving training	**Unit cost per person trained**
# who get living wage jobs	**% who get living wage jobs**

Alignment of measures

Appropriate responsibility

CUSTOMER Outcomes

The RBA Thinking Process in Eight Questions

1. What is the quality of life result to which the program makes the most important contribution?
2. How does the program contribute to the result?
3. Who are the programs major customers?
4. What measures do you use to tell if the program is delivering its services well?
   - How are you doing on the most important of those measures?
5. What measures do you use to tell if the program's customers are better off?
   - How are you doing on the most important of those measures?
6. Who are the partners with a major role to play in doing better?
7. What works, what could work, to do better, or to do the least harm in a difficult financial climate?
8. What do you propose to do over the next two years? Focus on 1) no-cost and low-cost actions, 2) actions to reduce the harm of budget reductions, and 3) reallocation of existing resources to obtain best results.

1. What is the quality of life result to which the program makes the most important contribution?

- All CT residents are safe from crime
- All CT children are healthy and ready to learn
- A clean and safe Long Island Sound
- All Connecticut adults are economically self-sufficient
- All Connecticut residents have a fair election process
- All Connecticut residents have safe and well maintained roads
- All Connecticut residents have access to the health care they need

2. How does the program contribute to the result?

The program deters crime by increasing the police presence in a specific area

By providing funding to municipalities for the improvement of sewage treatment facilities, the program reduces harmful levels of nitrogen in LI Sound

3. Who are the program's major customers?

Residents in the area with increased police presence

At risk youth

Children birth-9

Mollusks (Long Island Sound programs) ☺

4. What measures do you use to tell if the program is delivering its services well? How are you doing on the most important of those measures?

- The number of additional hours that police are on patrol in relation to the amount of funding provided
- Penetration rate for issue awareness campaign
- % of qualified staff for childcare program
- Staff turnover rate for childcare facility
- Cost per participant or service
- Staff to client ratio
- Program completion rates
- Percent of scheduled road improvement projects completed with no rework necessary
- 43% of the target audience was contacted
- 60% of staff have at least an associates degree
- 80% of the staff have been on staff for at least 1 year
- Each job training workshop costs $50 per participant or $1000 with full enrollment
- Ratio of 1 case manager to every 40 clients
- 76% of program participants complete the program
- 67% of road improvement projects completed on time with no rework necessary

5. What measures do you use to tell if the program's customers are better off ? How are you doing on the most important of those measures?

- The crime rate of the area subjected to increased police patrols
- Percent of children ready for kindergarten on kindergarten assessment
- Percent of adults who are earning at or above 200% of the poverty level following program participation
- Average number of days Long Island Sound is above acceptable threshold for hypoxia
- Percentage of residents reporting they feel they live in state with fair election processes
- Percentage of residents reporting they feel they have safe and well maintained roads
- 50% of children entering Kindergarten are assessed as ready on all 6 domains of the assessment
- 66% of adults are earning at or above 200% of the poverty level following participation
- 55 days out of the year, significant portions of LIS are above the acceptable threshold for hypoxia
- 87% of state residents report they feel they live in a state with fair election process
- 73% of residents report they feel they have safe and well maintained roads

6. Who are the partners with a major role to play in doing better?

- Civic organizations
- Business
- Neighborhoods
- Other state agencies
- Municipalities
- Non-profit organizations
- Faith community
- Advocates
- Families

7. What works, what could work, to do better, or to do the least harm in a difficult financial climate?

- Deployment of police patrols to maximize deterrence
- Integration (and non-duplication) of services through joint case management meetings
- Increased use of web based services
- More intensive triage of client needs and working with system partners to set priorities for service
- Prioritization of projects using multiple weighted criteria
- Pooling/leveraging funding
- Seek changes in legislation to remove barriers to coordination and data sharing
- Offer reduced hours of service but at times more convenient to the customers

8. What do you propose to do over the next two years? Focus on 1) no-cost and low-cost actions, 2) actions to reduce the harm of reductions, and 3) reallocation of existing resources to obtain best results.

- Establish neighborhood watches to deter crime
- Improve accuracy of record keeping
- Increase coordination with partners
- Use existing data to make wiser management decisions
- Seek partnerships with philanthropy and business
- Make coordinated resource allocations with system partners
- Move funding from smaller functions/programs with little impact to larger more critical functions/programs
- Explore fee-for-service options
- Seek federal and foundation funding

The Program Report Card

- Result statement
- Contribution of the program to the result
- Funding
- Partners
- Headline measures with baselines
- Story behind the baseline for each measure presented
- Actions proposed to do better (or do the least harm if there are cuts)

Program Name

In the header, list the full name of your program, with the agency name in parentheses

Quality of Life Result to Which Program Contributes

- Provide a brief plain-language statement of the desired result for the population to which the program makes its major contribution. Say it in a way that the average voter and taxpayer can understand. For example, "All Children Healthy and Ready for School Success at Age 5."
- The result statement is not about your program; it is about the quality of life that we want for everyone in Connecticut regardless of whether they benefit from your program
- You may include additional result statements as necessary if the program contributes to more than one primary result. (For those agencies that have several related result statements, e.g., Early Childhood Cabinet agencies, clearly indicate the particular result statement associated with the program being presented.)

Program's Contribution to Result

- Provide a brief statement of <u>how</u> the program contributes to the result. Make the connection between the quality of life result and the program's purpose even if it seems obvious to you
- Avoid jargon like, "By eliminating the detrimental effects of hypoxia in LI Sound through improving municipal sewage treatment infrastructure as a key component of a comprehensive management strategy…"
- Instead try: "The Clean Water Fund reduces harmful levels of oxygen in LI Sound by helping municipalities improve their sewage treatment systems."

Funding

- List total program funding
- Then break out total funding by state funding, federal funding, and other funding
- If you have questions about how to allocate funding to the selected program, confer with your RBA resource team.

Partners

- List the major partners who have a role to play in doing better
- Partners are not the program's customers. They are individuals, agencies, and organizations outside of your program that you need to help your program succeed.
- Be sure to include unusual suspects as appropriate. Is their an important role for the business community? The faith community?

Performance Measures

- A performance measure is a numerical measure that tells how well the program is delivering services and whether its customers are better off.
- Select no more than 3-5 performance measures that answer both questions.
- Present as much history of the performance for each measure as possible, preferably 3-5 years, and a forecast of where performance is likely to go if the program keeps doing what it has been doing.
- If you are unable to report the appropriate measures because you do not have the data, say so directly and indicate what you will do to obtain the data. This is your Data Development Agenda.

Story Behind the Baseline

- The story behind the baseline explains what the data in the graph show, how we got to where we are on a measure and what the forecast shows. <u>It is a diagnosis that identifies the causes and forces at work that account for the current performance.</u>
- It also discusses where there are weaknesses in the data or research and what the agenda is for making improvements in them.
- The report card is an abbreviated document and space is limited. Please place only the information most critical to understanding the baseline here.

Proposed Actions to Turn the Curve

- Identify the concrete steps that you propose to take to turn the curve on each measure. These actions should respond to the diagnosis in the Story behind the Baseline.
- Be sure to lead with no-cost or low-cost actions, including reallocation of exiting resources.
- For each action step, include a one-sentence statement of your rationale, explaining why you think this action will help to turn the curve.
- If the program is facing cuts, instead of turning the curve to improve performance, you may need to talk about actions to do the least harm.

Taking Advantage of the RBA Process

- Preparing a program report card is an opportunity to demonstrate success and to convey important information about your program to the legislature
- When program performance problems do exist, the program report card can convey the story behind the baseline in a credible and transparent way
- A solid program report card can support an agency's budget request especially in this year's difficult economic climate. It tells the legislature that you care about results
- If the report card is the result of the RBA thinking process, it gives you an immediate set of measurable actions to do better

Taking Advantage of the RBA Process

- Developing the report card can be an effective way for the program to tell its story within the agency and make connections with related agency programs
- Having both executive and program staff involvement in the process has proved very effective for many agencies, both internally and in discussions with the legislature
- What you get out of the process is largely a function of what you put into it; if this is just a compliance exercise, there is not likely to be any benefit to the agency