

Results Based Accountability in the Connecticut General Assembly Appropriations Committee

Office of Fiscal Analysis/The Charter Oak Group, LLC

RBA Resource Team

Rev. 3 (10/24/11)

Resources on the Appropriations Committee's RBA Web Page

- 2012 Program Report Card
- Agency Report Card Checklist
- Agency RBA Guidelines
- CT RBA Glossary
- Eight RBA Program Questions
- Explanation of RBA Report Card Elements
- Results Based Accountability in the Connecticut General Assembly Appropriations Committee

Agenda

- Results-Based Accountability at the Connecticut General Assembly: 2012 and beyond
- Program Selection Criteria
- How Will the Report Cards Be Used?
- 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

Where We Have been and Where We Are Going This Year

- Last year:

- Most agencies presented a report card for a selected program and updated a report card from prior year
- Integration of 8 questions into all Appropriations Committee hearings and work sessions
- Continuation of PRI pilot project on RBA

- This year:

- Agencies update highlighted report cards from 2010 and 2011
- Selected employment and training and jobs-creation programs produce new report card
- Continuation of PRI pilot project; Select Committee on Children produces Children's Report Card
- RBA is how Appropriations Committee does its business

Program Selection Criteria

- This year, the new programs selected by the Appropriations Committee are all focused on employment and training or job creation
- These report cards will be presented at a single forum in January as part of an integrated view of the employment and training system in Connecticut
- In addition, agencies that presented a report card for a selected program in 2010 or 2011 are asked to update those report cards with most recent data using the revised report card template
- Any agency that has not been asked to create a jobs program report card for 2012 is free to submit one new report card of its choosing

How Will Report Cards Be Used?

- The forum for the jobs programs is designed to give the legislature a broader system view to inform decisions about possible changes in policy and investment strategies
- Regular budget hearing will again employ the 8 standard questions for any and all programs discussed
- All report cards from 2010, 2011, and 2012 will be provided to the relevant Appropriations Committee sub-committees to inform their budget development

A Word about Technical Assistance and Feedback

- The OFA/COG RBA teams are available to support you in the updating of 2010 and 2011 report cards and the drafting of new 2012 report cards for jobs programs
- They have been doing this work for a long time and know what the legislature is looking for
- The report cards belong to the agencies and they are ultimately responsible for their content. However, issues raised in the feedback that are not addressed in the revised report cards are likely to surface as questions at the forum, budget hearings, or work sessions
- This is especially true with regard to types of measures, presentation of data, and story behind the baseline

Schedule

- Agency trainings and technical assistance through mid-November
- Report cards for new jobs programs due to Susan Keane by November 22
- Updated report cards for programs highlighted in 2010 or 2011 due to Susan Keane by November 22
- Revised and finalized report cards transmitted to Appropriations Committee members by December 15
- Forum for selected jobs programs during third week of January
- Budget hearings with the 8 questions for all programs in February
- Additional guidance, resources, and training for agencies in December and January

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

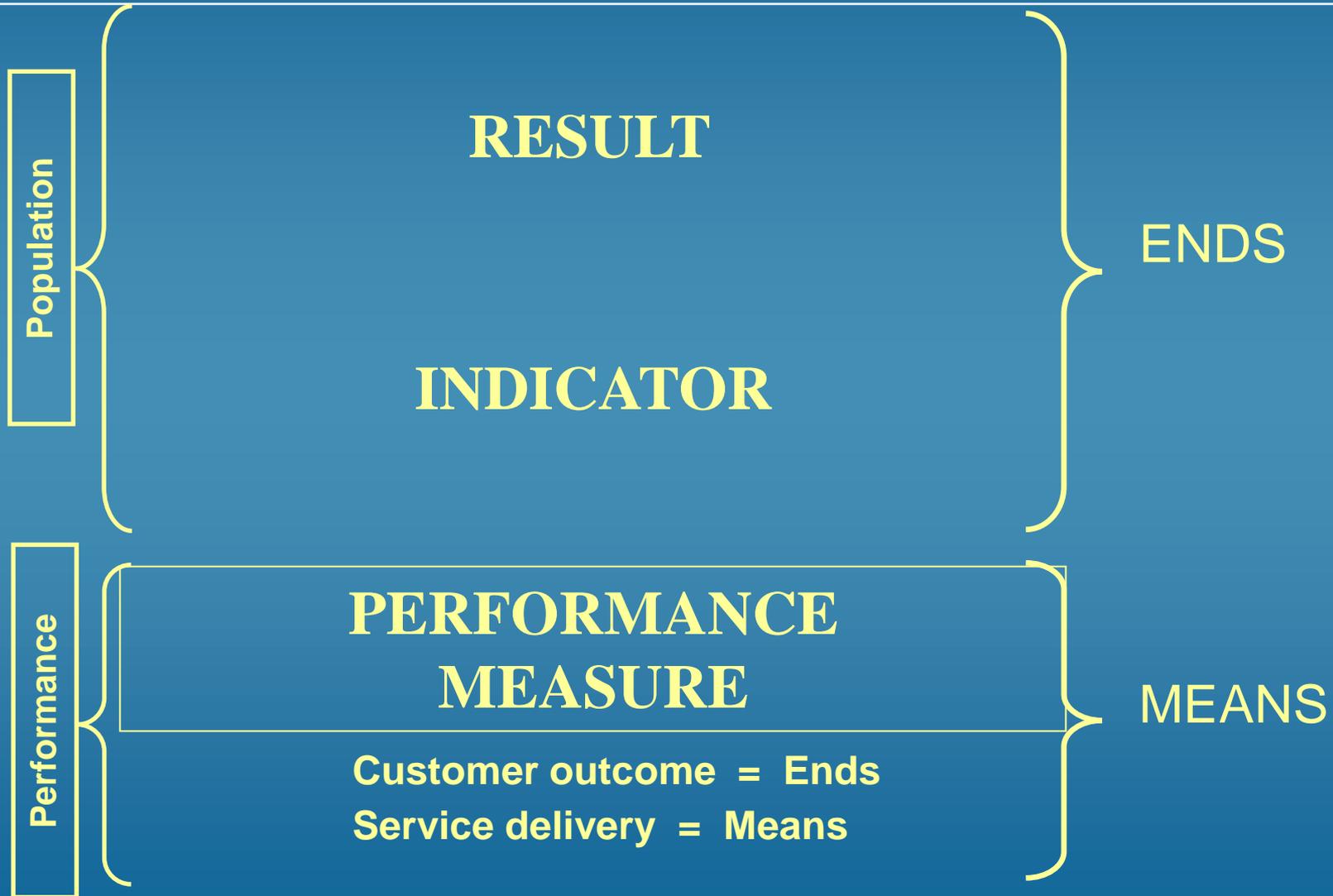
A measure of how well a program, agency or service system is working.

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



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
- All Connecticut working age residents have jobs that provide financial self-sufficiency.

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 vs. 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	<p>How much did we do?</p> <p>Number of students</p>	<p>How well did we do it?</p> <p>Student-teacher ratio</p>		
Effect	<p>Is anyone better off?</p> <table border="1"><tbody><tr><td><p>Number of high school graduates</p></td><td><p>Percent of high school graduates</p></td></tr></tbody></table>		<p>Number of high school graduates</p>	<p>Percent of high school graduates</p>
<p>Number of high school graduates</p>	<p>Percent of high school graduates</p>			

Health Practice

	Quantity	Quality
Effort	<p>How much did we do?</p> <p>Number of patients treated</p>	<p>How well did we do it?</p> <p>Percent of patients treated in less than 1 hour</p>
Effect	<p>Incidence of preventable disease (in the practice)</p>	<p>Rate of preventable disease (in the practice)</p>

Is anyone better off?

Drug/Alcohol Treatment Program

<p>How much did we do?</p> <p>Number of persons treated</p>	<p>How well did we do it?</p> <p>Unit cost of treatment</p>
<p>Is anyone better off?</p>	
<p><u>Number</u> of clients off alcohol/drugs</p>	<p><u>Percent</u> of clients off alcohol/drugs</p> <ul style="list-style-type: none">-at exit-12 months post-exit

What Quadrant?

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

What Quadrant?

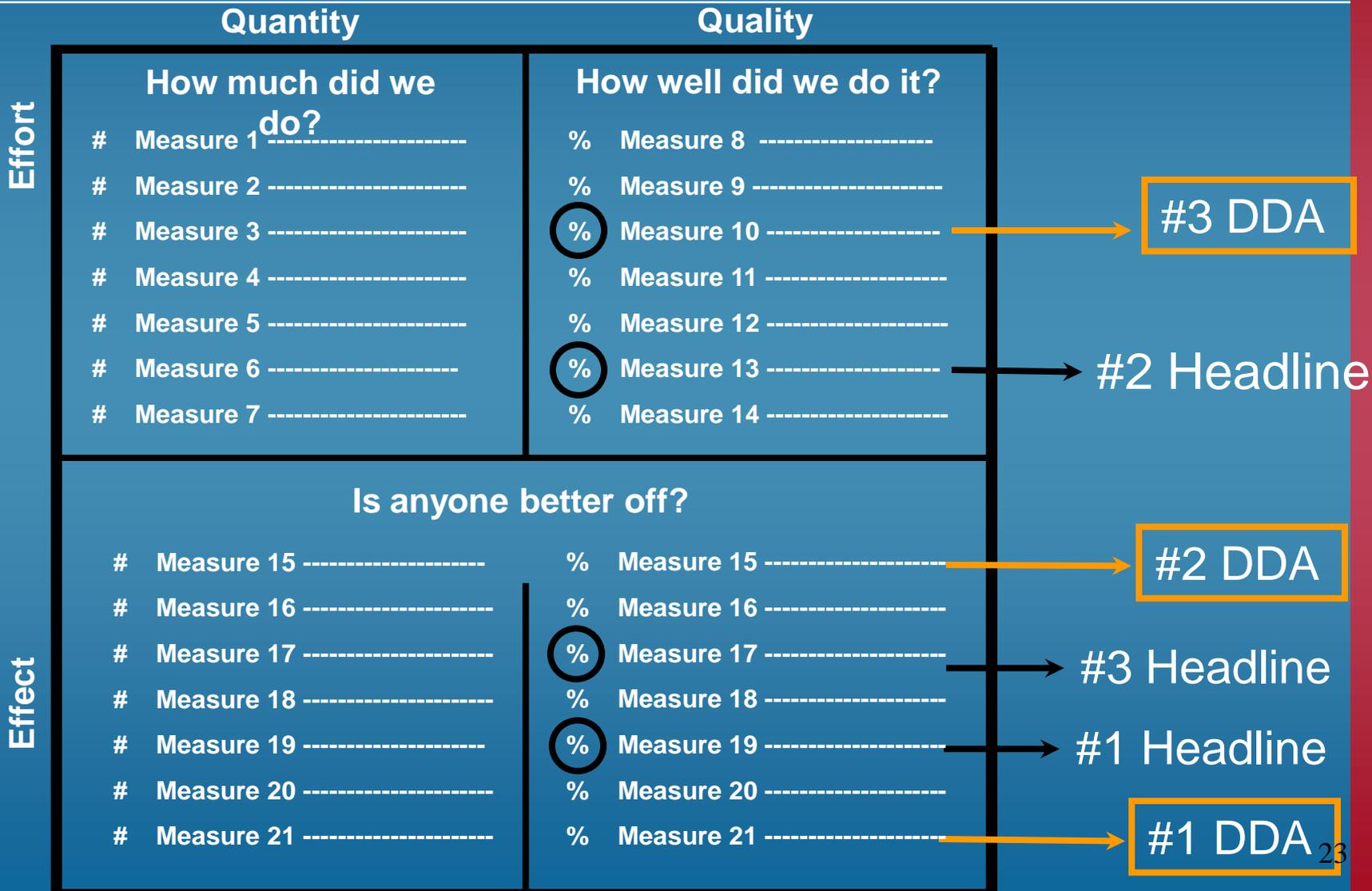
- % of customers satisfied with outcome of service (from survey) LR
- % of customers satisfied with service quality (from survey) UR
- % of applications processed within 2 working days UR
- # on waiting list UL, UR
- % of teachers with certification UR, LR

Separating the Wheat from the Chaff

Types of Measures Found in Each Quadrant



Choosing Headline Measures



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

CUSTOMER
Outcomes

Alignment
of measures

Appropriate
responsibility

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 Connecticut working age residents have jobs that provide financial self-sufficiency.
- All CT children are healthy and ready to learn
- A clean and safe Long Island Sound
- 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 enables parents to be self-sufficient and children to become ready for school by providing childcare subsidies to low income working parents

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?

All Connecticut residents

At risk youth

Parents

Mollusks (Long Island Sound programs) 😊

Infants and toddlers

Children birth-9

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?

Measure

- 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

Example of How to Report

- 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
- Ratio of 1 case manager to every 40 clients
- 76% of program participants complete the program

Story behind the Baseline

- The story behind the baseline explains the data in the graph or table, how we got to where we are on a measure, and what the forecast shows. It identifies the causes and forces at work that account for the current performance. It also discusses where there are weaknesses in the data or research and references the Data Development Agenda for making improvements in them.
- Do not spend precious space just explaining what the chart shows unless an interpretation of the data is required or you need to emphasize a particular element of the chart.

Story behind the Baseline for a “How Well” Measure

Example

The relatively flat trend suggests performance on this measure will continue to be about the same unless additional action is taken. We must address two factors affecting the preschool staff turnover rate: low wages and the lack of qualified candidates, both of which drive turn-over. If existing pre-school subsidies decrease, these factors will become even more problematic.

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?

Measure

- 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

Example of How to Report

- 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

Story behind the Baseline for a “Better Off” Measure

Example

The scores on the parent skill assessment have steadily declined in the past three years. This can be happening for several reasons. The training may not be engaging parent and meeting their needs; the curriculum was acquired a number of years ago and needs to be reviewed and updated; some of the trainers are not effective and the program has had trouble retaining trainers from year to year.

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

Other specific state agencies

Municipalities

Non-profit organizations

Business

Faith community

Advocates

Families

Community groups

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

- 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.

- 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 and trend symbol
- Actions proposed to turn the curve(or do the least harm if there are cuts)
- Data Development Agenda

Report Card Template: Page 1

2012 Program Report Card: [Insert Program Name (Insert Agency Name)]

Quality of Life Result: [For jobs programs, use the following. For other programs, substitute the appropriate result.] All Connecticut working age residents have jobs that provide financial self-sufficiency.

Contribution to the Result: [Insert Contribution]

Program Expenditures:	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 11				
Estimated FY 12				

Partners: [Insert Partners]

How Much Did We Do?

[Insert name of measure]

[Insert Graph or Table]

Story behind the baseline:

Trend: [Use ▲, ▼, or ◀▶]

How Well Did We Do It?

[Insert name of measure]

[Insert Graph or Table]

Story behind the baseline:

Trend: [Use ▲, ▼, or ◀▶]

How Well Did We Do It?

[Insert name of measure]

[Insert Graph or Table]

Story behind the baseline:

Trend: [Use ▲, ▼, or ◀▶]

Report Card Template: Page 2

2012 Program Report Card: [Insert Program Name (Insert Agency Name)]

Quality of Life Result: [For jobs programs, use the following. For other programs, substitute the appropriate result.] All Connecticut working age residents have jobs that provide financial self-sufficiency.

Is Anyone Better Off?

[Insert name of measure]

[Insert Graph or Table]

Story behind the baseline:

Trend: [Use ▲, ▼, or ↔]

Is Anyone Better Off?

[Insert name of measure]

[Insert Graph or Table]

Story behind the baseline:

Trend: [Use ▲, ▼, or ↔]

Proposed Actions to Turn the Curve:

Data Development Agenda:

Quality of Life Result

- 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.)

Contribution to the Result

- Provide a brief statement of how 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

- Break out total funding by state funding, federal funding, and other funding
- Then list total program 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 addresses one of three program components: 1) How Much service the program is delivering, 2) How Well the program is delivering its services, and 3) whether its customers are Better Off.
- Select no more than 1 How Much measure, 1 or 2 How Well measures, and 1 or 2 Better Off measures. 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.

Performance Measures

- If you do not have baseline data or better data are needed, what are your plans for collecting the necessary data? Use the Data Development Agenda in the last column to document your plans. Elect no more than 3-5 performance measures that answer both questions.

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. It is a diagnosis that identifies the causes and forces at work that account for the current performance.
- It also discusses where there are weaknesses in the data and refers to the data development agenda 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.
- Be sure to use the appropriate symbol to indicate what direction the trend is going.

Proposed Actions to Turn the Curve

- Identify concrete steps that you propose to take to turn the curve for your program. 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.

Data Development Agenda

- Identify measure you need to develop or improve data for
- Briefly describe the measure, the type (e.g., Better Off or How Well measure), and the purpose of the new measure or how improved data for an existing measure will better identify customer outcomes or program quality
- Document your plans for obtaining the data and developing or improving the measure

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 can point to 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

Results-Based Accountability™

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**Trying Hard
Is Not
Good Enough**

*How to Produce Measurable Improvements
for Customers and Communities*

Mark Friedman

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