



Connecticut General Assembly Appropriations Committee Results Based Accountability 101

Office of Fiscal Analysis/The Charter Oak Group, LLC

RBA Resource Team

Rev. 1 (9/18/10)

Results Accountability Decision-making and Strategic Planning

**Trying Hard
Is Not
Good Enough**

*How to Produce Measurable Improvements
for Customers and Communities*

Mark Friedman

**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

Objectives for Today



- **Understand the basic concepts and language of Results Based Accountability (RBA)**
- **Know the different types of performance measures and how to use them for accountability and program improvement**
- **Learn how RBA is being used in Connecticut and determine how it can be helpful to your organization**

SIMPLE

COMMON SENSE

PLAIN LANGUAGE

MINIMUM PAPER

USEFUL

Results Accountability is made up of two parts:



Population Accountability
about the well-being of
WHOLE POPULATIONS

For Communities – Cities – Counties – States - Nations

Performance Accountability
about the well-being of
CLIENT POPULATIONS

For Programs – Agencies – and Service Systems

Results and Performance Accountability



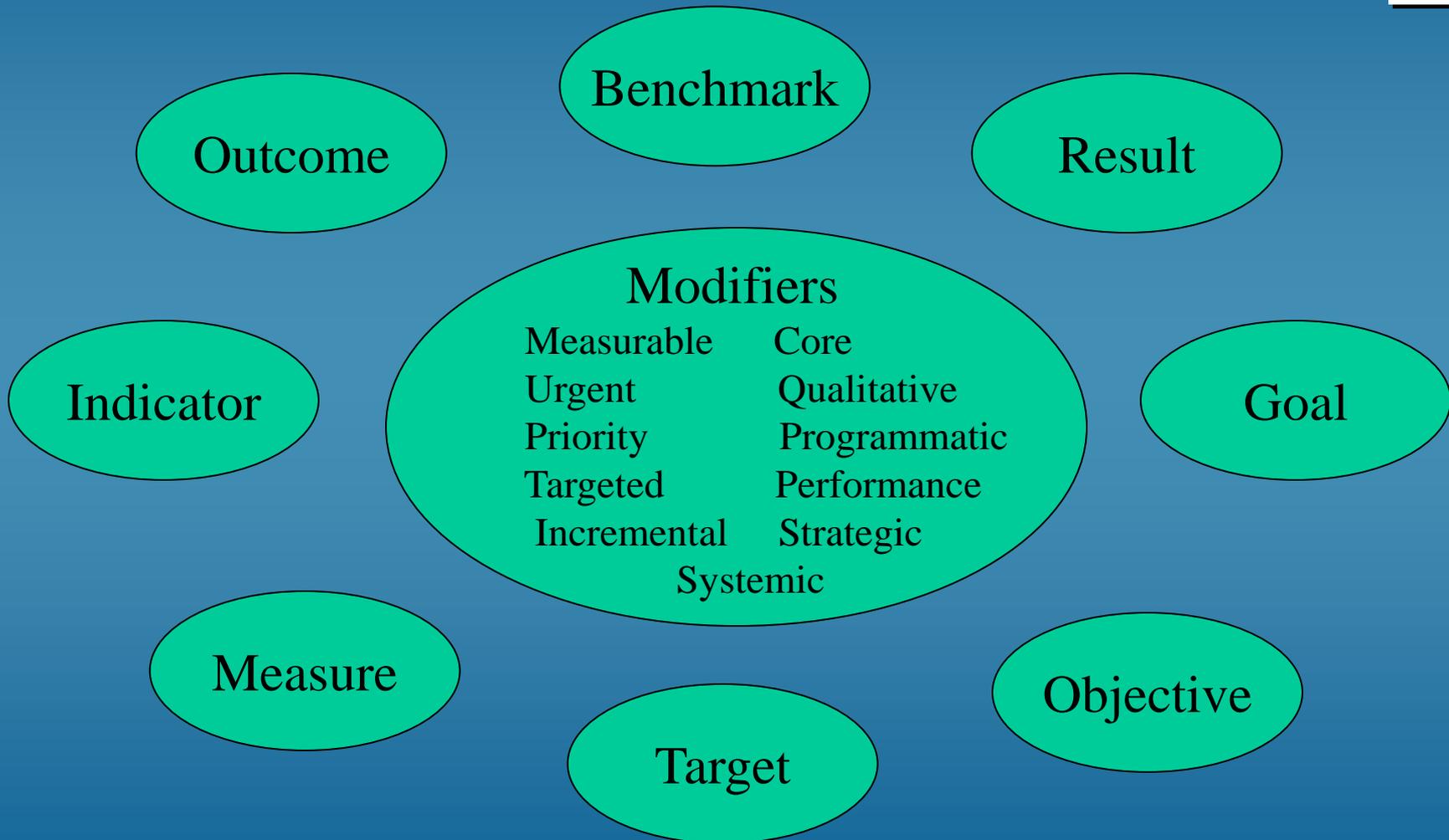
COMMON LANGUAGE

COMMON SENSE

COMMON GROUND

THE LANGUAGE TRAP

Too many terms. Too few definitions. Too little discipline



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

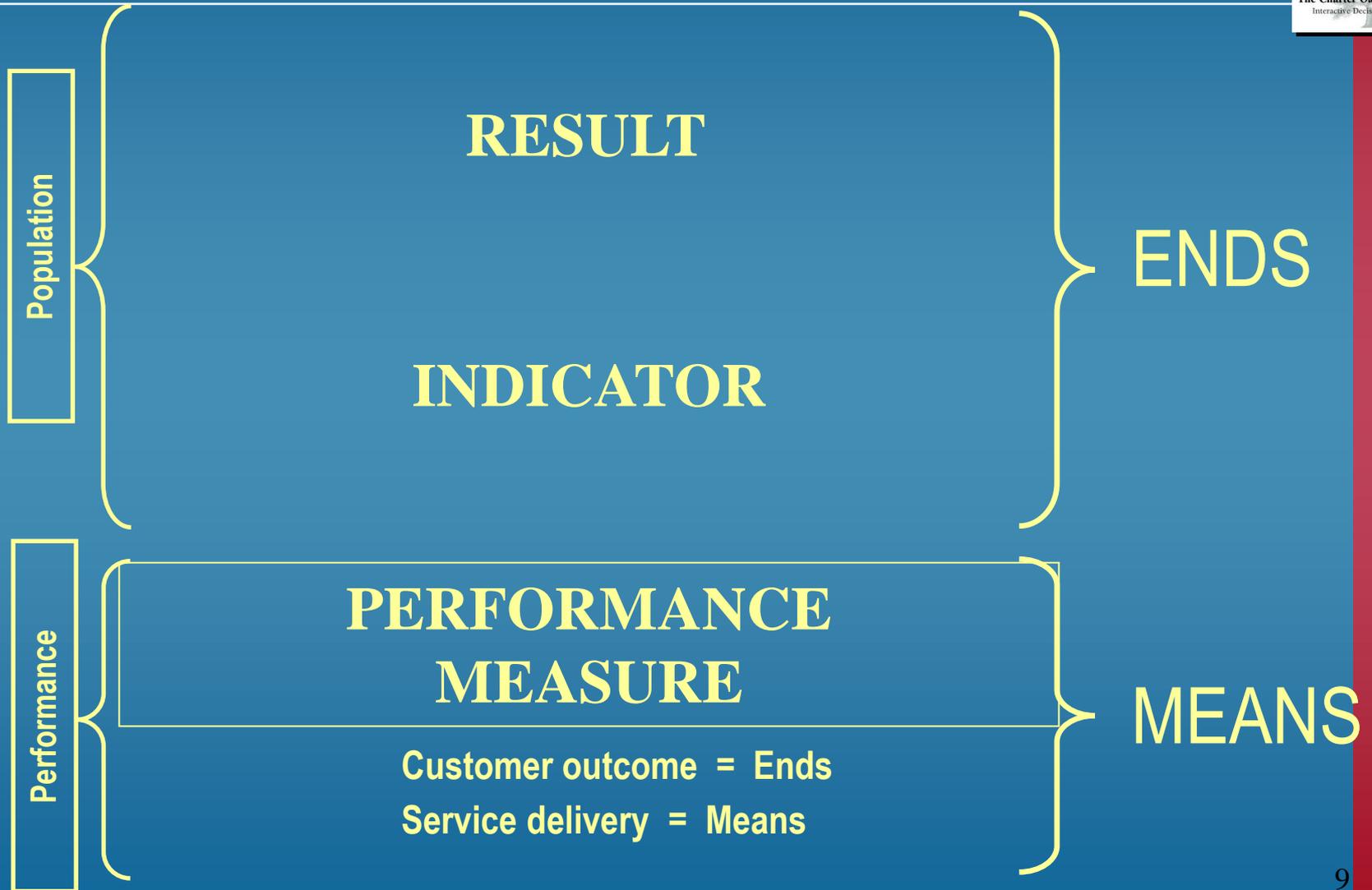
A measure of how well a program, agency or service system is working.

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



Connecticut Glossary of RBA Terms



- The Appropriations Committee standardized the terms we use in Connecticut
- Terms in Connecticut glossary are consistent with Friedman's RBA approach
- Everyone in Connecticut– executive branch, legislative branch, and now communities – is using a common language and speaking with a common understanding

COMMON SENSE

COMMON GROUND

POPULATION ACCOUNTABILITY

**For Whole Populations
in a Geographic Area**

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" or "All Connecticut citizens secure and free from crime."

Connecticut Early Childhood Result Statements



- Ready By Five, Fine By Nine
- Goal 1: All Children Healthy and Ready For School Success at Entry To Kindergarten
- Goal 2: All Children Healthy and Achieving School Success By Age 9
- All Infants and Very Young Children Achieve Optimal Health and Development In Safe, Nurturing Families and Environments

Result Statements Developed by Non-profits and Funders



- Connecticut children of all races and income levels are ready for school by age five and are successful learners by age nine
- Families and individuals live in stable, affordable housing
- All Connecticut residents are healthy throughout their lives
- All children and youth in Connecticut become resilient, empowered, productive and engaged citizens
- All Capital Region adults are self-sufficient
- All Capital Region residents enjoy a healthy economy

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.

Communication Power



- Does the indicator communicate to a broad range of audiences?
- Public square test: If you had to stand in a public square and explain to your neighbors "what we mean, in this community, by children healthy and ready for school," what two or three pieces of data would you use?
- You could bring a thick report to the square and begin a long recitation, but the crowd would thin quickly. It is hard for people to absorb or understand more than a few pieces of data at time. The indicators must be common sense and compelling.
- Communication power means that the data must be clear to diverse audiences.

Proxy Power



- Does the indicator say something of central importance about the result or is it peripheral?
- Does this measure capture an important aspect of the plain English statement of well-being? What pieces of data really get at the heart of the matter?
- Indicators run in herds. If one indicator is going in the right direction, often others are as well. You do not need 3 indicators telling you the same thing. Pick the indicators which have the greatest proxy power, i.e. those which are most likely to match the direction of the other indicators in the herd.

Data Power



- Do we have quality data on a timely basis? We need data which is reliable and consistent. And we need timely data so we can see progress - or the lack thereof - on a regular basis.
- Problems with data availability, quality or timeliness can be addressed as part of the data development agenda.

Choosing Indicators

Worksheet



Outcome or Result Safe Community

Candidate Indicators	Communication Power	Proxy Power	Data Power
Measure 1	H M L	H M L	H M L
Measure 2			
Measure 3	H	H	H
Measure 4	H	H	L
Measure 5			
Measure 6			
Measure 7			
Measure 8			

Data Development Agenda



Three Part Indicator List for each Result



Part 1: Primary Indicators

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

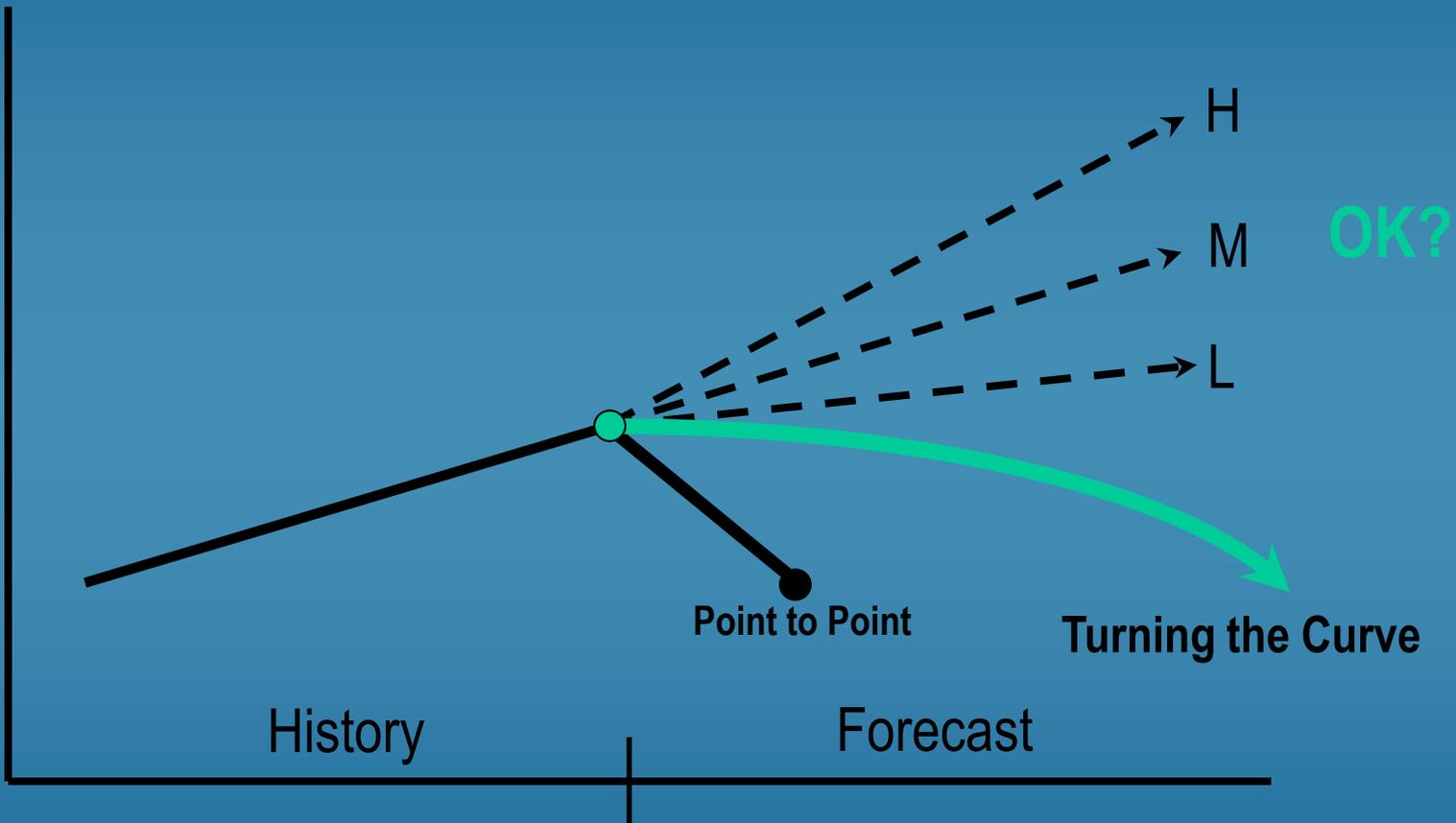
Part 2: Secondary Indicators

- Everything else that’s any good (Nothing is wasted.)
- Used later in the story behind the baseline

Part 3: Data Development Agenda

- New data
- Data in need of repair (quality, timeliness etc.)

The Matter of Baselines



Baselines have two parts: history and forecast

Caution



- Data are not the same as reality. Think of a leaking roof. No water in the bucket under the leak does not prove that the roof is fixed. In fact, the ceiling may be about to come down.
- Data are a proxy for the condition of well-being we want. Our goal is not no water in the bucket; it is a fixed roof and a dry house.
- The better the proxy, the closer to reality we get. Having more than one indicator increases the chance that we have actually captured reality.
- The rating of headline indicators is not the last word. You must look at the identified indicators and see if, as a whole, they encompass the important dimensions of the result statement.
- Iteration is central to RBA. The indicators may cause you to go back and tweak the result statement.

Seven Population Accountability Questions



- What are the quality of life conditions we want for the children, adults and families who live in our community?
- What would these conditions look like if we could see them?
- How can we measure these conditions?
- How are we doing on the most important of these measures?
- Who are the partners that have a role to play in doing better?
- What works to do better, including no-cost and low-cost ideas?
- What do we propose to do?

Turn the Curve Exercise: Population Well-Being



5 min: Starting Points

- timekeeper and reporter
- two hats (yours plus partner's)

5 min: Baseline

- forecast: Where is the trend line going?
- turn the curve: Is forecast OK or not OK?

15 min: Story behind the baseline

- causes/forces at work
- information & research agenda part 1 - causes

25 min: What works? (What would it take?)

- what could work to do better
- each partner's contribution
- no-cost / low-cost ideas
- information & research agenda part 2 – what works

**Two
pointers
to action**

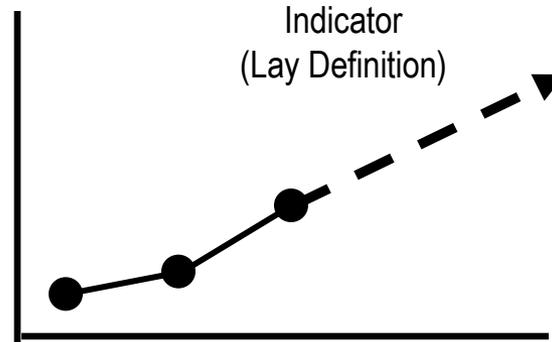
A vertical red line is positioned to the right of the 'What works?' and 'Story behind the baseline' sections. Two horizontal black arrows point from this line to the left, one pointing to the 'What works?' section and the other pointing to the 'Story behind the baseline' section.

10 min: Report: Convert notes to one page

ONE PAGE Turn the Curve Report

Result: _____

Indicator
Baseline



Story behind the Baseline

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

Partners

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

Three Best Ideas – What Works

1. -----

2. -----

3. -----No-cost / low-cost

4. -----Off the Wall

Sharp
Edges



Population versus Program Accountability



Population Accountability

- About the well being of entire populations, like all young children in Waterbury
- Not about any program or service system

Performance Accountability

- About the well being of client populations only
- Applies to programs, agencies, or service systems

Population versus Performance Accountability



- At the population level, we ask what strategies (collections of activities or services) we want to buy to achieve our quality of life result
- At the program level, once we have decided to buy a particular program or service, we want to know how well it is being implemented and whether anyone is better off

**“All Performance Measures
that have ever existed
for any program
in the history of the universe
involve answering two sets of
interlocking questions.”**

Program Performance Measures



		Quantity	Quality
Input	Effort	How much service did we deliver?	How well did we deliver it?
Output	Effect	How much change/effect did we produce?	What quality of change/effect did we produce?

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"><tr><td><p>Number of high school graduates</p></td><td><p>Percent of high school graduates</p></td></tr></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>Is anyone better off?</p> <p>Incidence of preventable disease (in the practice)</p>	<p>Rate of preventable disease (in the practice)</p>

What Quadrant?



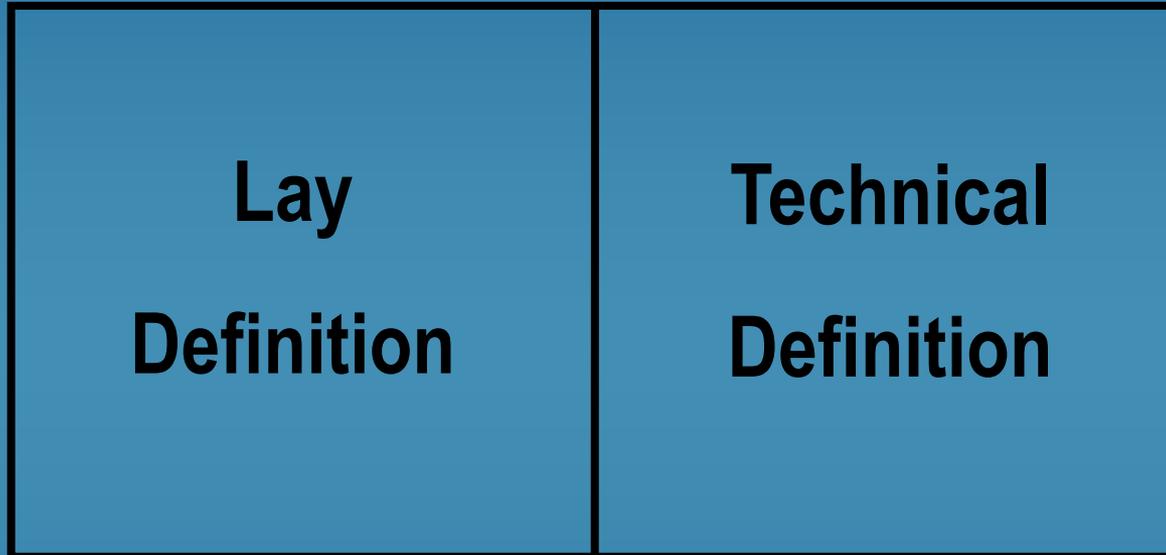
- % participants who got jobs
- staff turnover rate
- # participants who got jobs
- % of children reading at grade level
- cost per unit of service
- # applications processed
- % patients who fully recover

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

All Data Have Two Incarnations

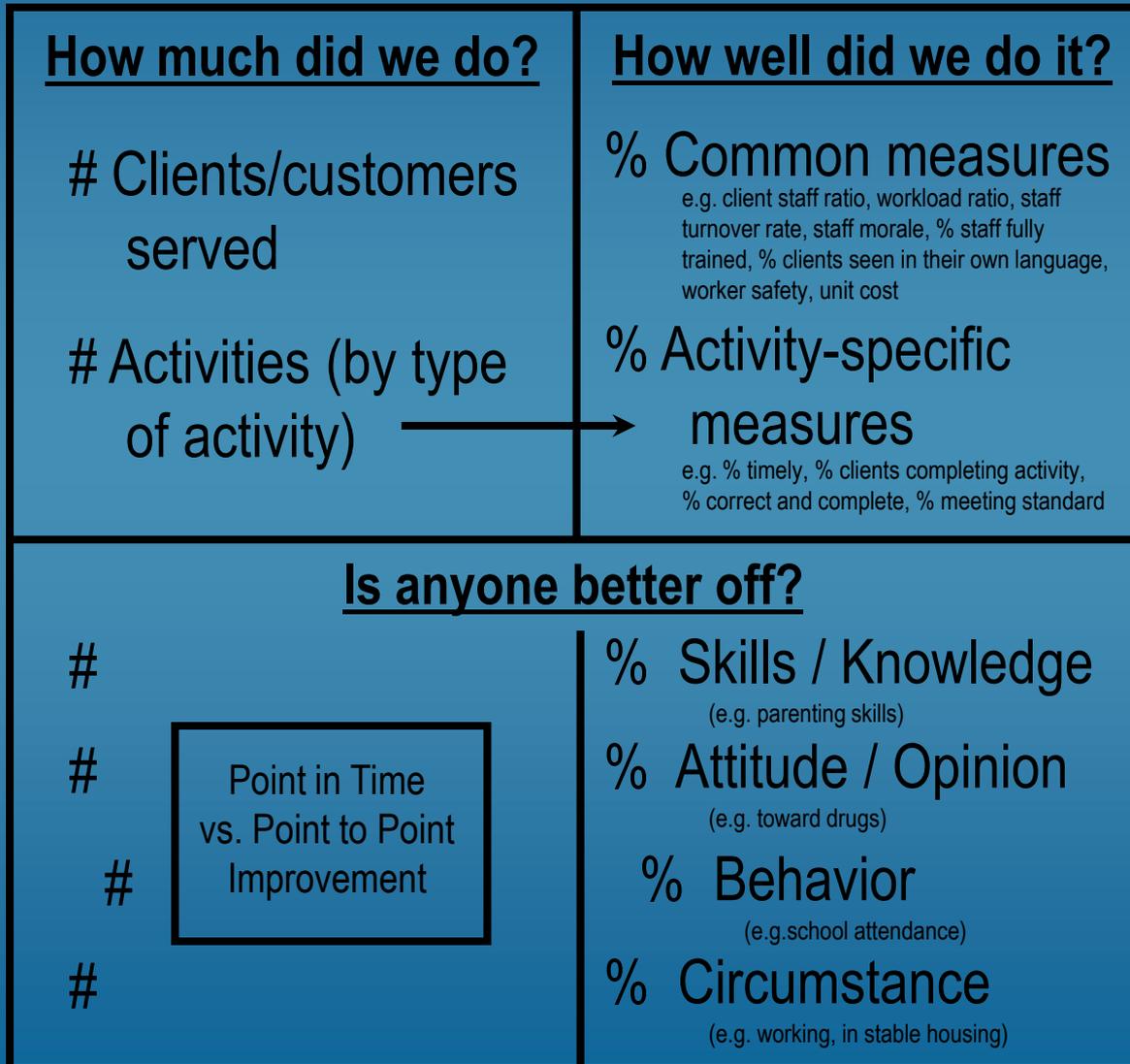


HS Graduation Rate

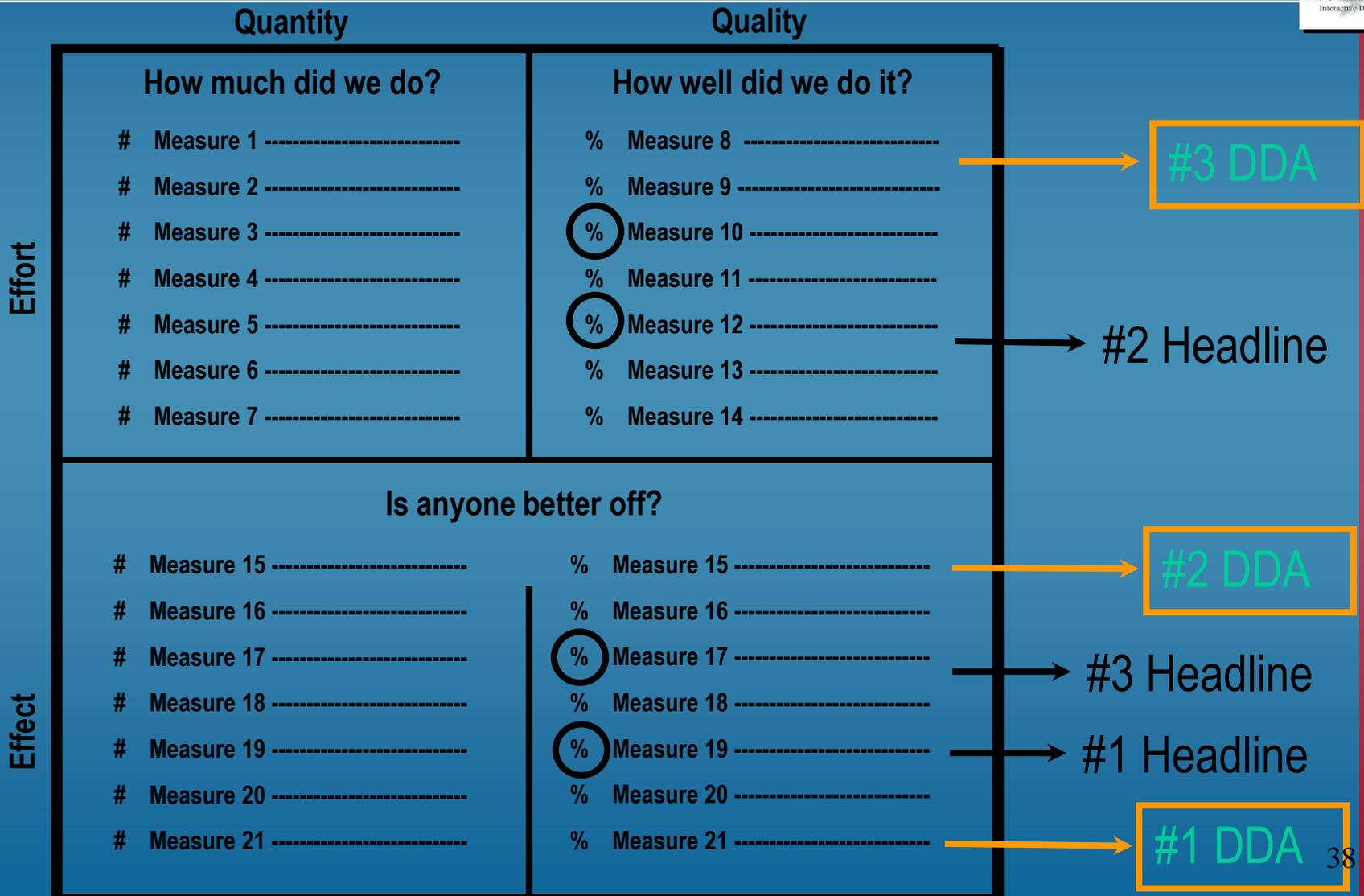
- % enrolled June 1 who graduate June 15
- % enrolled Sept 30 who graduate June 15
- % enrolled 9th grade who graduate in 12th grade

Separating the Wheat from the Chaff

Types of Measures Found in Each Quadrant



Choosing Headline Measures and the Data Development Agenda



Performance Accountability

For Programs, Agencies and Service Systems



1. Who are our customers?
2. How can we measure if our customers are better off? — LR
3. How can we measure if we are delivering service well? — UR
4. How are we doing on the most important of these measures?
5. Who are the partners with a role to play in doing better?
6. What works, what could work, to do better?
7. What do we propose to do?

FPSI

How
Population
&
Performance Accountability
FIT TOGETHER

THE LINKAGE Between POPULATION and PERFORMANCE



POPULATION ACCOUNTABILITY

Healthy Births

Rate of low birth-weight babies

Stable Families

Rate of child abuse and neglect

Children Succeeding in School

Percent graduating from high school on time

POPULATION
RESULTS

Contribution
relationship

PERFORMANCE ACCOUNTABILITY

Child Welfare Program

# Foster Children Served	% with Multiple Placements
# Repeat Abuse/Neglect	% Repeat Abuse/Neglect CUSTOMER Outcomes

Alignment
of measures

Appropriate
responsibility

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

PERFORMANCE ACCOUNTABILITY

Job Training Program

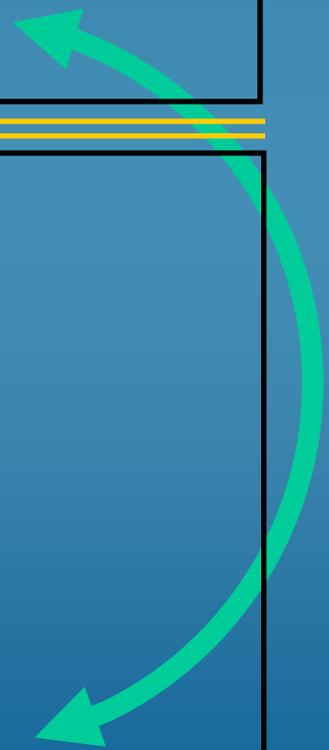
# persons receiving training	Unit cost per person trained
# who get living wage jobs	% who get living wage jobs

CUSTOMER Outcomes

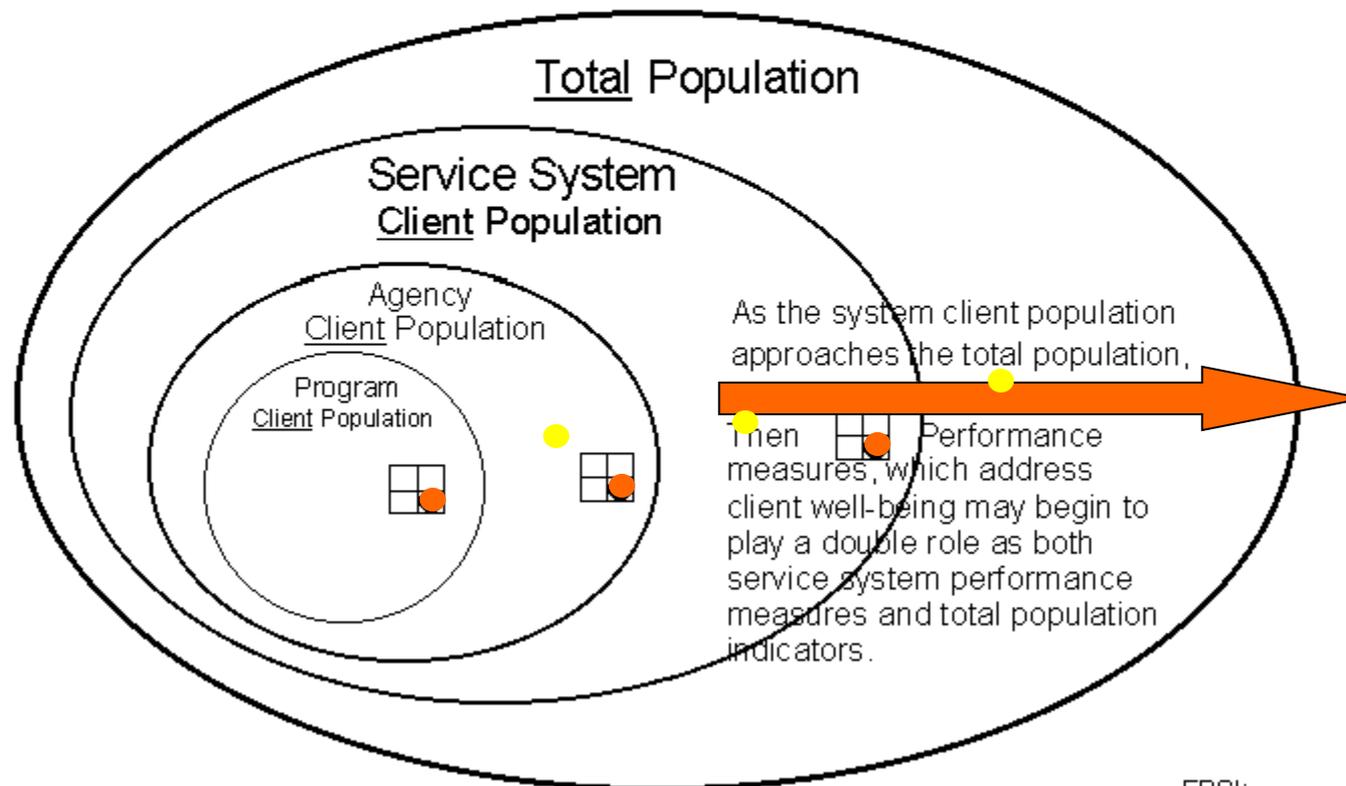
Contribution relationship

Alignment of measures

Appropriate responsibility



An Advanced View of the Relationship Between Indicators and Performance Measures



How RBA Is Being Used in Connecticut



- Connecticut legislature
- State agencies
- Communities
- Non-profits
- Funders