City Council Agenda

Monday, April 9, 2012

6:00 p.m.

City Council Chambers

(Times are Approximate)

6:00 p.m. **1. Roll Call**

Voting & Seating Order for April: McGehee, Johnson, Willmus, Pust, Roe

6:02 p.m. **2. Approve Agenda**

6:05 p.m. **3. Public Comment**

6:10 p.m. **4. Council Communications, Reports and Announcements**

6:15 p.m. **5. Recognitions, Donations and Communications**

a. Recognize Outgoing Commissioners

b. Proclaim April 27, 2012 Arbor Day

6:20 p.m. **6. Approve Minutes**

a. Approve Minutes of March 26, 2012 Meeting

6:25 p.m. **7. Approve Consent Agenda**

a. Approve Payments

b. Approve Business and Other Licenses

c. Approve General Purchases and Sale of Surplus items in excess of $5000

d. Award Bid for 2012 Street Maintenance Aggregate Materials and Contractual Concrete

e. Approve Resolution Awarding Bid for 2012 Pavement Management Project

f. Approve Recreation Agreement with the City of Lauderdale

g. Receive Authorization to Accept Minnesota Department of Commerce Grant Fund

h. Amend the Current Joint Powers Agreement of East Metro SWAT to Include Additional Insurance Language

6:35 p.m.	**8.**	**Consider Items Removed from Consent**
	9.	**General Ordinances for Adoption**
	10.	**Presentations**
6:40 p.m.		a. Receive HRA Quarterly Report
	11.	**Public Hearings**
	12.	**Business Items (Action Items)**
7:00 p.m.		a. Waive Appointment Process and Confirm Mayoral Appointments to the Housing and Redevelopment Authority
7:20 p.m.		b. Approve Strategic Planning Mission Statement/Aspirations
	13.	**Business Items – Presentations/Discussions**
7:45 p.m.		a. Continue Discussion on Performance Management Program
8:15 p.m.	**14.**	**City Manager Future Agenda Review**
8:20 p.m.	**15.**	**Councilmember Initiated Items for Future Meetings**
	Closed Meeting	
8:30 p.m.	Discussion of City of Roseville vs. Xtra Lease, et. al. Litigation	
10:00 p.m.	**16.**	**Adjourn**

Some Upcoming Public Meetings………
All meetings at Roseville City Hall, 2660 Civic Center Drive, Roseville, MN unless otherwise noted.

Monday	Apr 16	6:00 p.m.	City Council Meeting
Tuesday	Apr 17	6:00 p.m.	Housing & Redevelopment Authority
Wednesday	Apr 18	6:30 p.m.	Human Rights Commission
Thursday	Apr 19	4:00 p.m.	Grass Lake Water Management Organization
Monday	Apr 23	6:00 p.m.	City Council Meeting
Tuesday	Apr 24	6:30 p.m.	Public Works, Environment & Transportation Commission
May			
Tuesday	May 1	6:30 p.m.	Parks & Recreation Commission
Wednesday	May 2	6:30 p.m.	Planning Commission
Wednesday	May 9	6:30 p.m.	Ethics Commission

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: April 9, 2012
Item No.: 5.a

Department Approval | City Manager Approval

WJMalinen

Item Description: Recognition of Commissioners for their Service to the City of Roseville

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BACKGROUND

The City has six advisory commissions. The commissions assist the council on specific areas of interest. Commissioners are appointed by the City Council to serve three-year terms. Commissioners serve on a volunteer basis, donating many hours to the City of Roseville.

POLICY OBJECTIVE

Publicly acknowledge the contributions that commissioners have made and thank them for volunteering their time and talents to the City of Roseville.

FINANCIAL IMPACTS

None

REQUESTED COUNCIL ACTION

Present certificates of appreciation to retiring commissioners.

Prepared by: William J. Malinen

REQUEST FOR COUNCIL ACTION

Date: 4-9-12
Item No.: 5.b

Department Approval | City Manager Approval

Item Description: Arbor Day Proclamation

BACKGROUND

As a part of our Tree City USA membership, each year the City of Roseville proclaims a specific day as Arbor Day in order to recognize the importance of trees and to promote their proper care and the planting of many additional appropriate tree species to replace the thousands that have been lost over the years.

POLICY OBJECTIVE

This is consistent with the policy adopted many years ago of annually proclaiming Arbor Day.

FINANCIAL IMPACTS

None

STAFF RECOMMENDATION

Staff recommends that April 27th, 2012 be named Roseville Arbor Day.

REQUESTED COUNCIL ACTION

Motion adopting the proclamation

Prepared by: Lonnie Brokke, Director of Parks and Recreation

Attachments: A. Arbor Day Proclamation

PROCLAMATION

ARBOR DAY

April 27, 2012

WHEREAS, Roseville's trees have been a significant element of our Community because of their beauty and importance to our environment; and

WHEREAS, Trees are an increasingly vital resource for Roseville, enriching our lives by purifying air and water, helping to conserve soil and energy, in serving as recreational settings and wildlife habitat of all kinds; and

WHEREAS, Activities such as construction damage and pollution as well as drought and disease have damaged and destroyed many trees and are therefore in need of replacement, and

WHEREAS, The City of Roseville needs to positively impact our world environment by helping to attack the problem of global warming by locally planting trees and insuring that these trees are nurtured and protected; and

WHEREAS, Trees in our city increase property values, enhance the economic vitality of business areas, and beautify our community, and

WHEREAS, Trees, wherever they are planted, are a source of joy and spiritual renewal.

WHEREAS, Our citizens need to be encouraged to care for our trees and plant as many other trees as possible;

NOW THEREFORE BE IT RESOLVED that the City Council of the City of Roseville does hereby proclaim April 27th, 2012 as Arbor Day in the City of Roseville.

IN WITNESS WHEREOF, I have hereunto set my hand and caused the seal of the City of Roseville to be affixed this 27th day of April, 2012.

____

Daniel J. Roe, Mayor

(SEAL)

Date: April 9, 2012
Item: 6.a

Approve March 26, 2012
Council Meeting Minutes

No Attachment

Date: April 9, 2012
Item: 7.a

No Checks Needing Approval
No Attachment

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 04/09/2012
Item No.: 7.b

Department Approval

City Manager Approval

Item Description: Approval of 2012/2013 Business and Other Licenses

BACKGROUND

Chapter 301 of the City Code requires all applications for business licenses to be submitted to the City Council for approval. The following application(s) is (are) submitted for consideration

Cigarette/Tobacco Products License

Discount 7 Store
1110 W Roselawn Ave
Roseville, MN 55113

Exempt Gambling Permit

Junior League of St. Paul at Roseville Area High School
1240 County Road B2 West
Roseville, MN 55113

POLICY OBJECTIVE OF GAMBLING PERMIT

The Junior League of St. Paul would like to hold a small raffle at Roseville Area High School on Saturday, April 28, 2012.

POLICY OBJECTIVE

Required by City Code

FINANCIAL IMPACTS

The correct fees were paid to the City at the time the application(s) were made.

STAFF RECOMMENDATION

Staff has reviewed the applications and has determined that the applicant(s) meet all City requirements. Staff recommends approval of the license(s).

REQUESTED COUNCIL ACTION

Motion to approve the business license application(s) as submitted.

Prepared by: Chris Miller, Finance Director
Attachments: A: Applications

ROSEVILLE

Finance Department, License Division
2660 Civic Center Drive, Roseville, MN 55113
(651) 792-7036

Cigarette/Tobacco Products License Application

Business Name DISCOUNT 7 STORE

Business Address 1110 W ROSELAWN AVE.

Business Phone

Email Address

Person to Contact in Regard to Business License:

Name RIAZ HUSSAIN

Address

Phone

I hereby apply for the following license(s) for the term of one year, beginning July 1, 2012, and ending June 30, 2013, in the City of Roseville, County of Ramsey, State of Minnesota.

License Required	**Fee**
Cigarette/Tobacco Products	$200.00

The undersigned applicant makes this application pursuant to all the laws of the State of Minnesota and regulation as the Council of the City of Roseville may from time to time prescribe, including Minnesota Statue #176.182.

Signature

Date 3/21/2012

If completed license should be mailed somewhere other than the business address, please advise.

Minnesota Lawful Gambling

LG220 Application for Exempt Permit

An exempt permit may be issued to a nonprofit organization that:
- conducts lawful gambling on five or fewer days, and
- awards less than $50,000 in prizes during a calendar year.

Application fee	
If application postmarked or received:	
less than 30 days before the event $100	more than 30 days before the event $50

ORGANIZATION INFORMATION

Check# ______ $______

Organization name: Junior League of Saint Paul

Previous gambling permit number:

Minnesota tax ID number, if any: 8391983

Federal employer ID number, if any:

Type of nonprofit organization. Check one.

☐ Fraternal ☐ Religious ☐ Veterans ☑ Other nonprofit organization

Mailing address	City	State	Zip Code	County
633 Snelling Avenue N	Saint Paul	MN	55104	Ramsey

Name of chief executive officer (CEO) | Daytime phone number | Email address

Attach a copy of ONE of the following for proof of nonprofit status.

Do not attach a sales tax exempt status or federal employer ID number as they are not proof of nonprofit status.

☐ **Nonprofit Articles of Incorporation OR a current Certificate of Good Standing.**
Don't have a copy? This certificate must be obtained each year from:
Secretary of State, Business Services Div., 180 State Office Building, St. Paul, MN 55155
Phone: 651-296-2803

☑ **IRS income tax exemption [501(c)] letter in your organization's name.**
Don't have a copy? To obtain a copy of your federal income tax exempt letter, have an organization officer contact the IRS at 877-829-5500.

☐ **IRS - Affiliate of national, statewide, or international parent nonprofit organization (charter)**
If your organization falls under a parent organization, attach copies of both of the following:
a. IRS letter showing your parent organization is a nonprofit 501(c) organization with a group ruling, and
b. the charter or letter from your parent organization recognizing your organization as a subordinate.

GAMBLING PREMISES INFORMATION

Name of premises where the gambling event will be conducted. For raffles, list the site where the drawing will take place.
Roseville Area High School

Address (do not use PO box)	City or township	Zip Code	County
1240 County Road B2 West	Roseville	55113	Ramsey

Date(s) of activity (for raffles, indicate the date of the drawing)
Saturday, April 28, 2012

Check the box or boxes that indicate the type of gambling activity your organization will conduct:

Bingo* ✓ Raffles Paddlewheels* Pull-Tabs* Tipboards*

* **Gambling equipment** for pull-tabs, bingo paper, tipboards, and paddlewheels must be obtained from a distributor licensed by the Gambling Control Board. EXCEPTION: Bingo hard cards and bingo number selection devices may be borrowed from another organization authorized to conduct bingo.

To find a licensed distributor, go to www.gcb.state.mn.us and click on List of Licensed Distributors, or call 651-639-4000.

LOCAL UNIT OF GOVERNMENT ACKNOWLEDGMENT

If the gambling premises is within city limits, a city official must check the action that the city is taking on this application and sign the application.

___The application is acknowledged with no waiting period.

___The application is acknowledged with a 30 day waiting period, and allows the Board to issue a permit after 30 days (60 days for a 1st class city).

___The application is denied.

Print city name ______________________

On behalf of the city, I acknowledge this application.
Signature of city personnel receiving application

____

Title______________________Date______

If the gambling premises is located in a township, a county official must check the action that the county is taking on this application and sign the application. **A township official is not required to sign the application.**

____The application is acknowledged with no waiting period.

____The application is acknowledged with a 30 day waiting period, and allows the Board to issue a permit after 30 days.

____The application is denied.

Print county name ______________________

On behalf of the county, I acknowledge this application.
Signature of county personnel receiving application

____

Title______________________Date______

(Optional) TOWNSHIP: *On behalf of the township, I acknowledge that the organization is applying for exempted gambling activity within the township limits.* [A township has no statutory authority to approve or deny an application [Minnesota Statute 349.166)]

Print township name ______________________

Signature of township official acknowledging application

Title______________________Date______

CHIEF EXECUTIVE OFFICER'S SIGNATURE

Print form and have CEO sign

The information provided in this application is complete and accurate to the best of my knowledge. I acknowledge that the financial report will be completed and returned to the Board within 30 days of the date of our gambling activity.
Chief executive officer's signature Kathleen Ellis Erikson Date 3/13/12

Complete a separate application for each gambling event:
- one day of gambling activity
- two or more consecutive days of gambling activity
- each day a raffle drawing is held

Send application with:
- a copy of your proof of nonprofit status, and
- application fee for each event
  Make check payable to "State of Minnesota."

To: Gambling Control Board
1711 West County Road B, Suite 300 South
Roseville, MN 55113

Financial report and recordkeeping required
A financial report form and instructions will be sent with your permit, or use the online fill-in form available at www.gcb.state.mn.us. Within 30 days of the activity date, complete and return the financial report form to the Gambling Control Board.

Questions?
Call the Licensing Section of the Gambling Control Board at 651-639-4000.

This form will be made available in alternative format (i.e. large print, Braille) upon request.

Data privacy notice: The information requested on this form (and any attachments) will be used by the Gambling Control Board (Board) to determine your organization's qualifications to be involved in lawful gambling activities in Minnesota. Your organization has the right to refuse to supply the information; however, if your organization refuses to supply this information, the Board may not be able to determine your organization's qualifications and, as a consequence, may refuse to issue a permit. If your organization supplies the information requested, the Board will be able to process your organization's application. Your organization's name and address will be public information when received by the Board. All other information provided will be private data about your organization until the Board issues the permit. When the Board issues the permit, all information provided will become public. If the Board does not issue a permit, all information provided remains private, with the exception of your organization's name and address which will remain public. Private data about your organization are available to: Board members, Board staff whose work requires access to the information; Minnesota's Department of Public Safety; Attorney General; Commissioners of Administration, Minnesota Management & Budget, and Revenue; Legislative Auditor, national and international gambling regulatory agencies; anyone pursuant to court order; other individuals and agencies specifically authorized by state or federal law to have access to the information; individuals and agencies for which law or legal order authorizes a new use or sharing of information after this notice was given; and anyone with your written consent.

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 4/09/2012
Item No.: 7.c

Department Approval | City Manager Approval

Item Description: Approve General Purchases or Sale of Surplus Items Exceeding $5,000

BACKGROUND

City Code section 103.05 establishes the requirement that all general purchases and/or contracts in excess of $5,000 be approved by the Council. In addition, State Statutes require that the Council authorize the sale of surplus vehicles and equipment.

General Purchases or Contracts

City Staff have submitted the following items for Council review and approval:

Department	Vendor	Description	Amount
Recreation	Americana Fireworks Display	Fireworks display for July 4th	$ 11,340.00
Streetscape	Advanced Coating Systems	Refurbish wrought iron fence – Larpenteur Ave. (a)	15,720.00

Comments/Description:

a) The fence along Larpenteur Avenue in front of the Gottfried Pit is showing signs of rust and deterioration. The fence was originally installed in 2001. The fence will need to be sandblasted, primed, and re-painted.

Sale of Surplus Vehicles or Equipment

City Staff have identified surplus vehicles and equipment that have been replaced and/or are no longer needed to deliver City programs and services. These surplus items will either be traded in on replacement items or will be sold in a public auction or bid process. The items include the following:

Department	Item / Description

POLICY OBJECTIVE

Required under City Code 103.05.

FINANCIAL IMPACTS

Funding for all items is provided for in the current operating or capital budget.

STAFF RECOMMENDATION

Staff recommends the City Council approve the submitted purchases or contracts for service and, if applicable, authorize the trade-in/sale of surplus items.

REQUESTED COUNCIL ACTION

Motion to approve the submitted list of general purchases, contracts for services, and if applicable, the trade-in/sale of surplus equipment.

Prepared by: Chris Miller, Finance Director
Attachments: A: None

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 04/09/12
Item No.: 7.d

Department Approval | City Manager Approval

Item Description: Award 2012 Street Maintenance Aggregate Materials and Contractual Concrete

BACKGROUND

Annually, the Street Maintenance Division advertises for bids for materials that are used for street maintenance operations and for contractual concrete. Materials bid include Class 5 gravel for base repair. The concrete bid includes curb, gutter, and sidewalk repair and replacement. Bids were also received at this time to rebuild the concrete bin at the compost site. City staff opened these bids on March 28, 2012.

DISCUSSION OF BIDS

**HIGHLIGHTED 2012 ITEMS INDICATE LOW-BID

BIDDER	UNIT PRICE (not including tax)
Class 5 crushed limestone	
Aggregate Industries	**$11.64**
Landmark Concrete	$29.80
2011 price/del $12.43/ton	
Concrete panels and curb	
Ron Kassa Construction, Inc.	**$60,338**
Q3 Contracting, Inc.	$66,690
Goodmanson Concrete	$66,937
Landmark Construction	$71,009
Compost Bin at Compost Site	
Goodmanson Concrete	$20,900
Landmark Construction	**$15,760**
Ron Kassa Construction, Inc.	*$ 5,000*

On March 29, 2012, staff was notified by Ron Kassa Construction, Inc. that they incorrectly bid $5,000 for the Compost Bin at the Compost Site; they cannot honor this price. Since the City cannot accept revised bids after the opening, the City will consider the next lowest bidder, Landmark Construction for $15,760 as the low bidder.

POLICY OBJECTIVE

Each year city staff uses the competitive bid process to secure maintenance materials and contractual concrete work that fall within budget guidelines. This allows maintenance programs to be completed as planned with quality materials at the lowest possible cost to the city.

FINANCIAL IMPACTS

Street maintenance materials and contractual concrete curb work are funded in the street maintenance budget. Concrete sidewalks and panels are funded in the Pathway Parking Lot budget. The concrete compost bin is funded in the Storm Sewer Utility budget. The bids received are reflective of current market rates.

STAFF RECOMMENDATION

Staff recommends award of the low bid in categories as listed.

REQUESTED COUNCIL ACTION

Motion accepting the following bids for street maintenance materials and contractual work:

1. Class 5 aggregate base	Aggregate Industries
2. Concrete panels, curb, and sidewalk	Ron Kassa Construction, Inc.
3. Concrete Bin at Compost Site	Landmark Construction

Prepared by: Steve Zweber, Street Supervisor

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 4/09/12
Item No.: 7.e

Department Approval | City Manager Approval

Item Description: Approve Resolution Awarding Bid for 2012 Pavement Management Project

BACKGROUND

The 2012 Pavement Management Project consists of Street Reconstruction and Mill and Overlay. Bids were solicited in early March. The bids were opened at 11 a.m. on Thursday, March 29, 2012. Five qualified bids were received this year's pavement project. After thorough review of the bids received, staff recommends awarding the following work:

SEGMENT 1: MUNICIPAL STATE AID

SAP 160-216-018	County Road C-2 (Hamline and Lexington)
SAP 160-217-014	Long Lake Rd (W. County Rd D to W. County Rd C2)
SAP 160-226-006	Lydia Ave W (Fairview Avenue to Snelling Avenue)

SEGMENT 2: ROSEVILLE MILL & OVERLAY

Neighborhood 03	Partridge Rd (Cul-de-sac to W. County Rd C2)
neighborhood 05	Prior Cir (W. County Rd D to Cul-de-sac)
Neighborhood 12	Pascal St N (County Rd C2 to Cul-de-sac)
Neighborhood 48	Eldridge Ave W (Cul-de-sac to Fairview Ave)
Neighborhood 51	Snelling Avenue (County Rd B to Roselawn Ave)
Neighborhood 55	Belmont Ln W (Pascal Ave to Hamline Ave)
	Burke Ave W (Pascal Ave to Hamline Ave)
	Eldridge Ave W (Pascal Ave to Hamline Ave)
	Pascal St N (W. County Rd B to Burke Ave)
	Pascal St N (Eldridge Ave to Belmont Ave)
	Skillman Ave W (Pascal Ave to Hamline Ave)

POLICY OBJECTIVE

Based on past practice, the City Council has awarded the contract to the lowest responsible bidder. For the 2012 Pavement Management Project, the apparent low bid is Valley Paving, Inc. of Shakopee, Minnesota. The following is a summary of the bids received for this project:

Contractor	Bid
Valley Paving, Inc	$2,045,327.52
Midwest Asphalt Corporation	$2,102,923.85
North Valley, Inc	$2,119,662.45
T. A. Schifsky & Sons, Inc	$2,145,955.81
Hardrives Inc.	$2,222,758.15

Financial Discussion

Staff received 5 bids for this project. The low bid submitted by Valley Paving, Inc, $2,045,327.52, is 16% lower than the Engineer's construction estimate of $2,433,893.53. The contract price for the County Road C-2 work, based on estimated quantities, is $402,437.58. This is 25% less than the estimate provided to the City Council at the February 13 meeting.

This project is proposed to be paid for using Municipal State Aid funds; as well as Street, Watermain, Storm Sewer, and Sanitary Sewer Infrastructure funds.

This project is proposed to be completed by Fall 2012.

Staff Recommendation

Staff recommends approval of a resolution awarding bid for 2012 Pavement Management Project in the amount of $2,045,327.52 to Valley Paving, Inc. of Shakopee, Minnesota.

Requested Council Action

Approve resolution awarding bid for 2012 Pavement Management Project in the amount of $2,045,327.52 to Valley Paving, Inc. of Shakopee, Minnesota.

Prepared by: Debra Bloom, City Engineer
Attachments: A: Resolution

EXTRACT OF MINUTES OF MEETING
OF THE
CITY COUNCIL OF THE CITY OF ROSEVILLE

* * * * * * * * * * * * * * * * *

Pursuant to due call and notice thereof, a regular meeting of the City Council of the City of Roseville, County of Ramsey, Minnesota, was duly held on the 9th day of April, 2012, at 6:00 o'clock p.m.

The following members were present: and the following were absent: .

Councilmember introduced the following resolution and moved its adoption:

RESOLUTION No.

RESOLUTION AWARDING BIDS
FOR 2012 PAVEMENT MANAGEMENT PROJECT

WHEREAS, pursuant to advertisement for bids for the improvement, according to the plans and specifications thereof on file in the office of the Manager of said City, said bids were received on Thursday, March 29, 2012, at 11:00 a.m., opened and tabulated according to law and the following bids were received complying with the advertisement:

Contractor	Bid
Valley Paving, Inc	$2,045,327.52
Midwest Asphalt Corporation	$2,102,923.85
North Valley, Inc	$2,119,662.45
T. A. Schifsky & Sons, Inc	$2,145,955.81
Hardrives Inc.	$2,222,758.15

WHEREAS, it appears that Valley Paving, Inc. of Shakopee, Minnesota, is the lowest responsible bidder at the tabulated price of $2,045,327.52, and

NOW, THEREFORE, BE IT RESOLVED by the City Council of the City of Roseville, Minnesota:

1. The Mayor and Manager are hereby authorized and directed to enter into a contract with Valley Paving, Inc. of Shakopee, Minnesota for $2,045,327.52 in the name of the City of Roseville for the above improvements according to the plans and specifications thereof heretofore approved by the City Council and on file in the office of the City Engineer.
2. The City Engineer is hereby authorized and directed to return forthwith to all bidders the deposits made with their bids except the deposits of the successful bidder and the next lowest bidder shall be retained until contracts have been signed.

NOW, THEREFORE, BE IT RESOLVED by the City Council of the City of Roseville, Minnesota:

The motion for the adoption of the foregoing resolution was duly seconded by Member , and upon vote being taken thereon, the following voted in favor thereof: and the following voted against the same: .

WHEREUPON said resolution was declared duly passed and adopted.

STATE OF MINNESOTA)
) ss
COUNTY OF RAMSEY)

I, the undersigned, being the duly qualified City Manager of the City of Roseville, County of Ramsey, State of Minnesota, do hereby certify that I have carefully compared the attached and foregoing extract of minutes of a regular meeting of said City Council held on the 9th day of April, 2012, with the original thereof on file in my office.

WITNESS MY HAND officially as such Manager this 9th day of April, 2012.

William J. Malinen, City Manager

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 4-9-12
Item No.: 7.f

Department Approval | City Manager Approval

Item Description: Approve Recreation Agreement with the City of Lauderdale

BACKGROUND

It has been a practice for the City of Roseville Parks and Recreation Department to work with surrounding communities to provide and enhance quality parks and recreation programs and services for the primary benefit of Roseville Citizens and to share services where possible, practical and is a benefit to all communities involved.

In 2011 the City of Roseville formalized an agreement with the City of Lauderdale to provide recreation programs. The arrangement worked well in 2011 and Lauderdale is requesting the same arrangement. Staff is supportive and is proposing to renew the attached agreement.

The proposed agreement provides several recreation program services to the City of Lauderdale between June 18th, 2012 and August 14th, 2012. The agreement had been reviewed by the City Attorney and is recommended for approval by staff.

Generally, the agreement allows for the City of Lauderdale residents to receive:

1. Existing Roseville Summer Recreation Programs offerings at a resident rate
2. Summer Recreation Programs at Lauderdale Community Park between the dates of June 18th and August 14th, 2012.
3. The popular Puppet Wagon performances at Lauderdale Community Park one day per week and at their annual community "day in the park" celebration.

In exchange, Roseville Parks and Recreation will receive:

1. Payment for the difference between the resident fee and non-resident fee by the City of Lauderdale.
2. Payment for the Puppet Wagon appearances at the agreed upon rate
3. Access to the Lauderdale facilities at the agreed upon times

This agreement is consistent with the vision of the recently adopted Parks and Recreation System Master Plan and with the encouragement of exploring shared services.

The agreement benefits Roseville financially and programmatically and affords the City of Lauderdale the opportunity for their residents to participate in an expanded array of recreation programs.

POLICY OBJECTIVE

This proposal is consistent with the Parks and Recreation System Master Plan and with the encouragement to share services whenever practical and possible.

FINANCIAL IMPLICATIONS

The City of Lauderdale will be paying for the services rendered per agreement.

STAFF RECOMMENDATION

Based on the Parks and Recreation System Master Plan and the policy of sharing services whenever practical and possible, staff recommends approval of the attached agreement.

REQUESTED COUNCIL ACTION

Motion authorizing the Mayor and City Manager to sign the attached agreement between the City of Lauderdale and the City of Roseville Parks and Recreation for the provision of Summer Recreation Programs between June 18th, 2012 and August 14th, 2012 as outlined.

Prepared by: Lonnie Brokke, Director of Parks and Recreation
Jill Anfang, Assistant Director of Parks and Recreation

Attachments: A. Lauderdale Agreement

City of Roseville
City of Lauderdale

Recreation Agreement

THIS AGREEMENT is effective March 19, 2012, by and between the City of Lauderdale (LAUD), 1891 Walnut Street ~ Lauderdale, MN 55113, and City of Roseville Parks and Recreation (RPR), 2660 Civic Center Drive ~ Roseville, Minnesota 55113. Roseville Parks and Recreation agrees to provide recreation program services within the City of Lauderdale between June 18 and August 14, 2012.

City of Lauderdale and City of Roseville Parks and Recreation agree to the following obligations:

1. RPR agrees to:
   - Provide recreation programs and experiences to Lauderdale residents for the same fee as paid by Roseville residents.
   - Coordinate registration, supervision, and program curriculum appropriate for the recreation programs.
   - Provide the following summer recreation programs at Lauderdale Community Park (subject to change based upon demand).
     - Kick and Slugger Sports ~ June 18 – August 11
     - Passport to Play ~ June 18 – July 26
     - Preschool Play Pals ~ July 24 – August 14
     - Puppet Wagon Shows ~ June 18 – July 26
   - Provide program staff, program supplies and equipment, and program maintenance support for all agreed upon and contracted recreation services. The City of Roseville agrees to provide field prep, such as lining of the soccer field.

2. LAUD agrees to:
   - Provide maintained program locations at Lauderdale Community Park. The City of Lauderdale agrees to provide regular maintenance such as mowing of the grass, dragging the ball field, and sanitation services.
   - Provide facilities access and keys to Roseville Park and Recreation Staff.
   - Compensate RPR as agreed upon and outlined below.

Payment

1. LAUD agrees to pay RPR the difference between resident and non-resident fees for all recreation program registrations made by Lauderdale residents. Payment for programs shall be made no later than 30 days after receipt of invoice from Roseville.

2. LAUD agrees to pay RPR for Puppet Wagon Performances at Lauderdale Community Park. The agreed upon rate is $90 for staffing and $10 for supplies and materials ($100 per week).
   - Day in the Park event charged at $36/hour
   - Payment for Puppet Wagon Performances shall be made no later than 30 days after receipt of invoice from Roseville.

Liability

Roseville shall defend and indemnify Lauderdale and it employees, officers, volunteers and agents for any claims against Lauderdale arising from Roseville's performance or failure to perform its duties under this Agreement.

Lauderdale shall defend and indemnify Roseville and it employees, officers, volunteers and agents for any claims against Roseville arising from Lauderdale's performance or failure to perform its duties under this Agreement.

Under no circumstances, however, shall a party be required to pay on behalf of itself and the other party, any amounts in excess of the limits on liability established in Minnesota Statutes, Chapter 466 applicable to any one party. The limits of liability for the parties may not be added together to determine the maximum amount of liability for any party.

Employees of Roseville and Lauderdale shall remain employees of their respective cities regardless of where services are provided under this Agreement. Each party shall be responsible for injuries to or death of its own personnel. Each party will maintain workers' compensation insurance or self-insurance coverage, covering its own personnel while they are providing services pursuant to this Agreement. Each party waives the right to sue the other party for any workers' compensation benefits paid to its own employees or their dependants, even if the injuries were caused wholly or partially by the negligence of the other party.

IN WITNESS WHEREOF, the parties have duly executed this Agreement effective as of the date first above written.

City of Roseville	City of Lauderdale
By: ______________________	By: ______________________
Title: Mayor	Title: Mayor
Date: ______________________	Date: ______________________
By: ______________________	By: ______________________
Title: City Manager	Title: City Administrator/Clerk
Date: ______________________	Date: ______________________

REQUEST FOR COUNCIL ACTION

Date: April 9, 2012
Item No.: 7.g

Department Approval

City Manager Approval

Item Description: Receive Authorization to Accept Minnesota Department of Commerce Grant Fund

BACKGROUND

The Roseville Police Department requested funding from the Minnesota Department of Commerce, Division of Insurance Fraud Prevention Auto Theft Prevention Program for the purchase of automated license plate readers (ALPR's) to assist in the apprehension of auto theft suspects and the recovery of stolen autos. On October 14, 2011, the Roseville Police Department was notified that it had been awarded funding in the amount of $44,031, allowing for the purchase of two automated license plate readers.

In October of 2011, the Roseville Police Department was also informed it could apply for additional resources within the same grant. The grant was set to close soon after the Department received this additional information. The Roseville Police Department submitted a supplemental application for grant proceeds to outfit a bait car- See Attachment B. On March 7, 2012, the Department was awarded $22,052 in grant funds to outfit a bait car to be used in combating auto thefts- See Attachment C .

PROPOSED ACTION

Allow the Roseville Police Department to accept the $22,052 in grant funds to be used as requested. With the use a bait car, the Department's goal will be to achieve a decrease in auto thefts and an increase the number of suspects apprehended.

BUDGET IMPLICATIONS

There is no match required by this grant; therefore, no cost to the City of Roseville. Any ongoing costs after the grant expires will be funded by Roseville Police Department forfeiture funds or other grants and donations.

STAFF RECOMMENDATION

Allow the Roseville Police Department to accept the Minnesota Department of Commerce grant funding thereby allowing to outfit a bait car by June 30, 2013.

REQUESTED COUNCIL ACTION

Authorize the Mayor and City Manager to sign the attached two copies of the State of Minnesota Grant Contract – See Attachment A- thereby allowing the City of Roseville to accept the grant funding and proceed with the outfitting a bait car.

Prepared by: Chief Rick Mathwig
Attachments: A: State of Minnesota Grant Contract
B: Grant Application
C: Award Letter

Attachment A

Amendment # 1 for Grant Agreement # 37716

Contract Start Date:	December 12, 2011	Total Contract Amount:	$66,083.00
Original Contract Expiration Date:	June 30, 2013	Original Contract:	$44,031.00
Current Contract Expiration Date:	NA	Previous Amendment(s) Total:	$0.00
Requested Contract Expiration Date:	NA	This Amendment:	$22,052.00

This amendment is by and between the State of Minnesota, through its Commissioner of Commerce ("State") and City of Roseville Police Department, 2660 Civic Center Drive, Roseville, MN 55113 ("Grantee").

Recitals

1. The State has a grant contract with the Grantee identified as SWIFT Contract Number 37716 ("Original Grant Contract") to perform projects for the purpose of reducing the incidence of auto theft.
2. The State has made additional grant awards pursuant to its Round 2 Request for Proposals.
3. The State and the Grantee are willing to amend the Original Grant Contract as stated below.

Grant Contract Amendment

REVISION 1. Clause 2. **"Grantee's Duties"** is amended as follows:

2.1 ***Activities***. The Grantee, who is not a state employee, will perform the necessary duties and tasks specified in:

A) the ~~applicable~~ Round 1 Request for Proposal and ~~included in~~ Grantee's Round 1 grant application for the Auto Theft Prevention Program, which are incorporated into this grant contract and are on file with the State and located at the Department of Commerce, 85-7th Pl. E., St. Paul MN 55101.

B) the Grantee's Round 2 grant application, which is attached and incorporated into this contract as Exhibit B.

REVISION 2. Clause 4 **"Consideration and Payment"** is amended as follows:

4.1 ***Consideration***. The State will pay for all services performed by the Grantee under this grant contract as follows:

(a)Compensation. The Grantee will be reimbursed ~~an amount not to exceed $44,031.00,~~ for activities identified in Grantee's Round 1 grant application according to the breakdown of costs contained in Exhibit A, which is attached and incorporated into this grant contract.

i.) $22,015.50 is available from July 1, 2011 through June 30, 2012 for activities identified in Grantee's Round 1 grant application. Funds not expended by the Grantee for this program through June 30, 2012 will be available to the Grantee until June 30, 2013.

ii.) $22,015.50 is available from July 1, 2012 through June 30, 2013 for activities identified in Grantee's Round 1 grant application.

iii.) $22,052.00 for activities and budget amounts according to the breakdown of costs identified in Exhibit B, Grantee's Round 2 grant application.

(b) Travel Expenses. Reimbursement for travel and subsistence expenses actually and necessarily incurred by the Grantee as a result of this grant contract will not exceed the amount identified for travel in the Grantee's Round 1 and 2 grant applications; provided that the Grantee will be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than provided in the current "Commissioner's Plan" promulgated by the Commissioner of Minnesota Management and Budget (MMB). The Grantee will not be reimbursed for travel and subsistence expenses incurred outside Minnesota unless it has received the State's prior written approval for out of state travel. Minnesota will be considered the home state for determining whether travel is out of state.

(c)Total Obligation. The total obligation of the State for all compensation and reimbursements to the Grantee under this grant contract will not exceed ~~$44,031.00~~ $66,083.00.

Except as amended herein, the terms and conditions of the Original Grant Contract and all previous amendments remain in full force and effect.

1. STATE ENCUMBRANCE VERIFICATION
Individual certifies that funds have been encumbered as required by Minn. Stat. §§16A.15 and 16C.05.

Signed: ______________________

Date: ______________________

SWIFT Contract/PO No(s). ______________________

2. GRANTEE
The Grantee certifies that the appropriate person(s) have executed the grant contract on behalf of the Grantee as required by applicable articles, bylaws, resolutions, or ordinances.

By: ______________________

Title: ______________________

Date: ______________________

By: ______________________

Title: ______________________

Date: ______________________

3. STATE AGENCY
Individual certifies the applicable provisions of Minn. Stat. §16C.08, subdivisions 2 and 3 are reaffirmed.

By: ______________________
(with delegated authority)

Title: ______________________

Date: ______________________

Distribution:
Agency
Grantee
State's Authorized Representative - Photo Copy

Attachment B

MINNESOTA DEPARTMENT OF COMMERCE
Division of Insurance Fraud Prevention

Detailed Budget Worksheet
To be completed by
CURRENT GRANTEES WHO WERE AWARDED FUNDS IN ROUND 1
(Form 4)

Organization: City of Roseville Police Department
Program: Auto Theft Reduction
Budget Period: from July 1, 2011 through June 30, 2013

Personnel
For staff supported by this grant request, list the position title(s). Show the annual salary rate and the percentage of time devoted to the program for the grant period.
Example: Coordinator $30,000/yr x .8 FTE x 2 years = $48,000

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
Overtime for two attendees to two conferences in 2012 to manage bait car project and use; three days of overtime per attendee @ $50.00/hr (dept. median OT rate)—48 hours		$2400	$2400
TOTAL		$2400	$2400

Payroll Taxes & Fringe
Include fringe benefits should be based on actual employer costs for the personnel listed in the 'Personnel' category and only for the FTE budgeted to the project. Explain what is included in the fringe category and the total percentage you are estimating.
Example: R. Smith (Health/life insurance, UC, WC, pension, FICA) @ 28.5% of salary = $6,840

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
TOTAL			

Contract Services
If professional or technical consultants or subcontractors are required, include the name of the consultant, services provided, hourly or daily fees, expenses, and estimated time on the program. Examples of consultants may include evaluators, trainers, or strategic planners. Examples of contracted services may include vehicle lease, maintenance agreements, security services, translation services, or subcontracts with outside agencies.

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
TOTAL			

Attachment B

Travel

Itemize travel expenses for program personnel and program participants by purpose (e.g., participant field trip costs, staff mileage between sites, participant cab fare, etc.). Mileage reimbursement may not exceed $.50 per mile ('10 rate).

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
Airfare Mpls to Kansas City MO (2 people); Airfare Mpls to Charleston, SC (2people) Lodging: Kansas City MO & Charleston, SC (two people, nine nights) Per Diem $25/person/day—10 days (both trip x two people)		$1600 $2200 $500	$1600 $2200 $500
TOTAL		$4300	$4300

Training

Itemize training planned for staff, volunteers, and program participants. Estimate the nature of the training, location, registration fee, travel, and subsistence for the trainee(s).

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
2012 IAATI (Int'l Assoc Auto Theft Inv) Conference (2 people)—Kansas City MO, 8/19-24, 2012		$1500	$1500
2012 How to Implement A Successful Bait Vehicle Program, (2 people)—N Charleston, SC Police Dept, 1/27-1/30/2012—waiting for info on 2nd class to be offered May or June 2012		$1200	$1200
TOTAL		$2700	$2700

Office Expenses

If the program requires the set up of an additional site or needs office supplies, office equipment, or services not already paid for by the agency, estimate the expenses below. Examples include postage, telephone service, Internet service subscription, or copying.

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
Deep cycle marine battery @$250; battery charger w/wire @$250; battery box @$25; mounting board/cover & carpeting @$150; heavy chain & padlock @$35; metal tool box for pick up truck if used as bait car @$150; two year air card charge @ $30/month @$720		$1580	$1580
TOTAL		$1580	$1580

Program Expenses

Examples of program expenses include the purchase of materials such as books, software, curriculum, craft supplies, and cameras; computers; publicity; costs of convening community meetings; activity fees; etc.

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
MPH-90000OPC—Operations Center License (two each)	$1950		$1950
ENG SUP—Day rate for ELSAG North America engineering staff	$1250		$1250
Video/Audio Surveillance System (see quote #1026)		$2272	$2272
Installation of the bait vehicle equipment & supplies (see quote #1187)		$2100	$2100
TOTAL	$3200	$4372	$7572

Equipment over $5,000 per unit

Include only items that have an acquisition cost of $5,000 or more per unit and have a useful life of one-year or longer. Purchases under $5,000 per unit should be included in either the Program Expenses or Office Expenses line items. Examples: Communications system, recreational apparatus, etc.

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
MPH-900X3—Mobile License Reader—two each	$40831		$40831
Stinger 1 vehicle package: in-vehicle unit; BSM software maintenance (see quote #1186)		$6100	$6100
TOTAL	$40831	$6100	$46931

Other Expenses (itemize)

Itemize other program costs that do not fit into budget line items above such as overhead, building occupancy costs, rent, confidential funds, etc.

Line Item Detail	Grant Awarded Round 1	Grant Request Round 2	Total Grant Funds Round 1 plus Round 2
Maintenance budget for possible damage from arrestees Re-Keying vehicle when locks are popped by suspects		$2000 $1000	$2000 $1000
TOTAL	$44031	$3000	$3000

Total Grant Funds PROPOSED for Round 2	$22052

Attachment D

Roseville Police Department

Request for Proposal—Bait Car

AUTO THEFT PREVENTION GRANT

The Roseville Police Department is requesting funding from the Minnesota Department of Commerce, Division of Insurance Fraud Prevention Auto Theft Prevention Program. The Department is specifically requesting funding for the purchase of components necessary to equip and implement a bait car. The Department will furnish the bait car through its aggressive vehicle forfeiture program.

The Department takes auto theft and theft from auto crimes very seriously. Since 2000, the City of Roseville has averaged 128 auto thefts per year, 68 recovered stolens per year, and 368 thefts from auto annually.

A first ring suburb of Minneapolis and St. Paul, Roseville is situated such that four major highways (Minnesota State Highways 36, 51, 280 and I35W) run through it. The City's population is 33,690.

Analyzing crime statistics, the department has identified four high auto theft areas in the City: Rosedale Mall (5,759 parking spaces and over 14 million visitors annually), HarMar Mall, Motel 6/Super 8, and the Rose Center Mall. Through the use of overtime grant money, the department has been able, as funds permit, to increase patrol in these four locations.

With the second largest shopping center in the state in its jurisdiction and a very predominant retail community, the department does not have the resources to dedicate an on-duty officer to auto theft/theft from auto prevention; however, realizing that a serious problem exists, the Department continues to pursue and has received grant funding to pay officers overtime to work crime impact details, one of which is focused on auto theft/theft from auto.

Deployment of the Department's crime impact teams has allowed for:

- Improved methods to analyze trends and methods of auto thefts
- Identified high risk vehicles
- Identified problem locations
- Improved use of statistics to schedule routine and directed patrols
- Improved section surveillance at various target areas
- Increased information sharing with other urban police departments
- Increased the time spent on investigation of auto thefts
- Identified local chop shops
- Improved training for officers in auto theft investigation

The Department has used a decoy vehicle equipped with a surveillance camera. The team parks the decoy vehicle in a highly visible area, leaves the vehicle unlocked with the keys in the ignition and then monitors any criminal activity. This has proven somewhat effective, but also is very time consuming and costly due to staffing and the necessity of officer overtime. Due to the possibility of a police-initiated pursuit with the use of this technique, there is the potential for an increased risk for both officer and public safety.

A more effective method for this Department as has been demonstrated in other departments where a fully equipped bait car is in use (e.g. Minneapolis Police Department) would be a system that alerts 911 when the vehicle is stolen so police officers are not required to monitor the car.

BSM Wireless offers such a system (see attached quotes) that incorporates leading-edge technology monitoring systems that automatically detect when a vehicle has been stolen, and report back to dispatch in real-time, critical vehicle activity information, including the vehicle's GPS position.

From a central point of control, dispatchers can remotely monitor and control vehicle functions including door locks and engine disablement. Also incorporated is audio/video recording technology that automatically records all activity in the bait vehicle for evidentiary purposes.

Agencies (Mesa, Arizona and Minneapolis) currently using the video recording in the bait car are reporting that tax dollars are saved as criminal offenders are taking plea deals rather than face video evidence in court and state that many of the cases never go to trial. The Mesa, Arizona Police Department further states that 80% of the suspects arrested as a result of the bait car system are individuals with previous arrests for auto thefts.

According to the National Insurance Crime Bureau (NICB) the top ten cars stolen in Minnesota include, in order: 1994 Honda Accord, 1995 Honda Civic, 1994 Chevrolet Pickup (full size), 1999 Toyota Camry, 1995 Acura Integra, 2000 Dodge Caravan, 1995 Saturn SI, 1995 Oldsmobile Cutlass, 2002 Ford Explorer, and the 1993 Toyota Corolla.

While seeking funding to purchase the components to outfit the bait car, maintenance and any applicable training costs, the Department will incur the cost of the actual bait vehicle. When one of the top ten stolen vehicles becomes "available" through the Department's Alcohol Forfeiture or Narcotics Forfeiture program, it will be set aside and designated as the Department's bait vehicle.

The Roseville Department works closely with other law enforcement agencies in programs such as Safe & Sober, K9 support and through East Metro SWAT, a tactical unit that includes officers from the Roseville Police Department, the New Brighton Department of Public Safety, the St. Anthony Police Department, the North St. Paul Police Department, and the University of Minnesota Police Department. The consolidation of these agencies allows their respective officers to extend services beyond their jurisdictions for the purpose of providing assistance and enforcing the law in emergency situations. If granted the funds to outfit a bait car, the Roseville Police Department would be in a position to deploy the bait car to neighboring agencies as

Attachment D

feasible. For example, in the summer of 2010, the Roseville Police Department "borrowed" the Maplewood Police Department's bait car for three weeks.

It is the Department's plan to deploy the bait vehicle on a weekly basis, Thursday through Tuesday in any area of the City where there is significant auto theft activity or an increase in auto theft activity. It will be the responsibility of the Department's Lieutenant of Operations to oversee the bait car program.

To the best of our ability at this time, we have included our anticipated costs for implementation of a fully equipped bait car as requested in the Detailed Budget Worksheet of this RFP. Airfares are at costs specified on expedia.com December 6, 2011. The North Charleston Police Department has yet to schedule the *How to Implement A Successful Bait Vehicle Program* training that they anticipate will be held in May or June of 2012; therefore, conference costs are based on the registration fees listed for the January 2012 session. Trainees overtime costs are based on 2011 contractual rates.

The Roseville Police Department is anxious and ready to continue its efforts to reduce auto theft and increase the number of recovered stolen autos.

Auto theft is a deterrent to public safety, security and quality of life. The Roseville Police Department is committed to maintaining and improving the community's quality of life as stated in its mission statement, *"We are committed to work as a team with other city departments and our community to provide innovative, effective and efficient service which will improve the quality of life in the City of Roseville."*

Thank you for considering our Department's Request for Proposal.

Attachment C

MINNESOTA DEPARTMENT OF COMMERCE

85 7th Place East, Suite 500
St. Paul, Minnesota 55101-2198
651.296.4026 FAX 651.297.1959 TTY 651.297.3067

March 7, 2012

Lieutenant Scott Williams
Roseville Police Department
2660 Civic Center Drive
Roseville, Minnesota 55113

Dear Lt. Williams:

On behalf of the Minnesota Department of Commerce, I am pleased to inform you that the Roseville Police Department has been awarded an Auto Theft Prevention Grant amendment in the amount of $22,052. This amendment is a supplement to the award you have previously received from this program. Your grant agreement will expire on, and all activities covered by this grant must be completed by June 30, 2013.

As you know, auto theft affects not just victims who lose their cars but also consumers because of higher insurance costs. The mission of the Auto Theft Prevention Program is to reduce motor vehicle theft in Minnesota, collaborate with law enforcement agencies, educate Minnesotans about auto theft, and help lower insurance costs for Minnesota.

Enclosed are two copies of an amendment to your current grant agreement, please sign, date and return both copies of the amendment. **Please note that no work or purchases related to items covered by this amendment are authorized to commence until this amendment is fully executed. Work may begin and purchases made once a fully executed copy of the amendment is returned to you.**

If you have any questions please contact Det. Brandon Johnson by email at brandon.johnson@state.mn.us, or by phone at (651) 297-7058.

The Minnesota Department of Commerce values our partnership with your agency in our common efforts to combat auto theft in Minnesota.

Sincerely,

Mike Rothman
Commissioner

Enclosure(s).

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 4/9/2012
Item No.: 7.h

Department Approval | City Manager Approval

Item Description: Amend the Current Joint Powers Agreement of East Metro SWAT to Include Additional Insurance Language

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BACKGROUND

The City of Roseville Police Department Tactical Team was established in 1999. In 2002, the City of Roseville approved a Joint Powers Agreement for a combined tactical team with the City of St. Anthony. In 2007, the City of New Brighton's Department of Public Safety was invited to join and accepted which made the team more viable in the community. Since that time, the North St. Paul Police Department and the University of Minnesota Police Department have also joined. The combined tactical team is known as the East Metro SWAT.

In 2011 the current Joint Powers Agreement (JPA) was authorized by Roseville City Council authorizing the JPA and to allow for the mayor and city manager's signatures.

PROPOSED ACTION

Since the original document was signed the League of Minnesota Cities' Insurance Trust has authored language to clearly address insurance coverage of vehicles used by East Metro SWAT. The language has since been authorized by the city attorney. The proposed language has been included in Attachment A. beginning on page 6, line 308, and reads in full, "<u>When a party to this agreement loans an automobile to East Metro Swat, East Metro Swat's automobile liability coverage shall be primary when East Metro Swat is in possession of the automobile. East Metro Swat agrees to defend and indemnify the owner of the automobile and any other parties to this agreement for any liability claims related to the use of the automobile, subject to the limitations in Section 3.08 of this Agreement.</u>"

Each agency of East Metro SWAT will arrange to have

FINANCIAL IMPACTS

None

STAFF RECOMMENDATION

Authorize the revision of the current JPA and to allow for the mayor and city manager's signatures.

REQUESTED COUNCIL ACTION

Authorize the revision of the current JPA and allow the mayor and city manager's signatures.

Prepared by: Chief Rick Mathwig
Attachments: A: Amended East Metro SWAT Joint Powers Agreement

East Metro Special Weapons and Tactics Team

Joint Powers Agreement

I. MISSION

The primary mission of the East Metro Swat Team (EMS) is to jointly provide specialized police services for its members in critical incident emergency situations more effectively and efficiently than those services could be provided by each member on its own. The EMS team assists member law enforcement agencies and non-member law enforcement agencies, should they request mutual aid, in the resolution of high risk or critical incidents. The EMS team is specially trained and equipped to work as a coordinated team to respond to and resolve critical incidents.

Examples of situations where EMS can be of assistance include, but are not limited to, the following:

A. Incidents of Hostage Taking.
B. Incidents of a Barricaded Suspect(s).
C. Building or Field Searches for Armed or Dangerous Suspects.
D. High Risk Warrant Service.
E. Incidents of Civil Disturbance and Crowd Control.
F. Providing and Assisting with Dignitary Protection.
G. Any Other High Risk Incident or Situation Deemed Appropriate by EMS Operating Board.

II. JOINT POWERS AGREEMENT

The parties to this Agreement are units of government responsible for critical incident response in their respective jurisdictions. This Agreement is made pursuant to the authority conferred upon the parties by Minn. Stat. § 471.59.

NOW, THEREFORE, the undersigned governmental units, in the joint and mutual exercise of their powers, agree as follows:

1. **Name.**
The parties hereby establish the ***East Metro Swat Team (EMS)***.

2. **General Purpose.**
The purpose of this Joint Powers Agreement is to establish an organization to coordinate efforts to develop and provide joint response to critical incidents or high risk entries where there is a risk of criminal violence, occurring within the parties' jurisdictions.

3. **Parties.**
The parties to this Agreement shall consist of the following units of government that have signed this agreement:

The City of Roseville

The City of St. Anthony

The City of New Brighton

The City of North St. Paul

The University of Minnesota

III. GOVERNANCE

3.01 Governing Board

The governing board of EMS shall consist of the following:

East Metro Swat shall be governed by a governing board. Members of this board will be known as "Directors." The Chief Law Enforcement Officer from each member, or his or her designee, shall serve as Director.

Members of the governing board shall not be deemed to be employees of the governing board and shall not be compensated by the governing board.

3.02 Terms

Appointees shall serve at the pleasure of the appointing party and may be removed only by the appointing party.

3.03 Chair

The board will elect a chair. The Chair shall have no more power than any other Director except that the Chair shall: give notice of meetings when scheduled or otherwise called; call meetings to order and provide for their orderly and efficient conduct; provide for the preparation of minutes; and when authorized by the passage of a motion by board, execute contracts, agreements, reports, filing and other documents on behalf of EMS.

3.04 Meetings

The governing board shall have a minimum of one meeting per year. Special meetings may be called by the Chair or two Directors. All meetings and notice of meeting shall comply with the Minnesota Open Meeting Law, Minnesota Statutes, Chapter 13D, as amended. The presence of a simple majority of the Directors shall constitute a quorum.

3.05 Voting

Each party to this agreement shall have one vote at any meeting of the governing board. Proxy votes are not permitted. The governing board shall function by a majority vote of board members or alternate members present, provided that a quorum is present.

3.06 Duties of the Governing Board

The governing board will formulate a program to carry out its purpose.

The governing board will coordinate information between the parties and EMS.

The governing board shall appoint and supervise the Team Commander of East Metro Swat. Appointments require the concurrence of the chief law enforcement officer of the Team Commander's employer.

3.07 Powers of the Governing Board

The governing board may enter into any contract necessary or proper for the exercise of its powers or the fulfillment to its duties and enforce such contracts to the extent available in equity or at law, except that the governing board shall not enter into any contract the term of which exceeds the term of this agreement. No payment on any invoice shall be authorized unless approved by a majority of its members. The chair shall report to the governing board any such payments at its next meeting. The governing board may apply for and accept gifts, grants or other property (excluding real property) or assistance from the United States government, the State of Minnesota, or any person, association, or agency for any of its purposes; enter into any agreement in connection therewith;

and hold, use and dispose of such money or other property and assistance in accordance with the terms of the gift, grant or loan relating thereto.

All powers granted herein shall be exercised by the governing board in a fiscally responsible manner and in accordance with the requirements of law.

The governing board may cooperate with other federal, state and local law enforcement agencies to accomplish the purpose for which it is organized.

3.08 Insurance

The governing board must obtain and maintain liability insurance in amounts not less than the statutory liability limits established under Minn. Stat. Ch. 466 and may obtain other insurance it deems necessary to insure the parties, the governing board, its members and employees of the parties for actions arising out of this Agreement.

Any excess or uninsured liability shall be borne equally by all the members, but this does not include the liability of any individual officer, employee, or volunteer which arises from his or her own malfeasance, willful neglect of duty, or bad faith.

IV. BUDGET AND FINANCE

4.01 Budget

By March 31 of each year the governing board shall prepare and adopt a budget for the following calendar year and may amend the same from time to time.

4.02 Expenses

The parties intend to fund EMS through an equal, annual contribution paid by each party. The governing board shall establish the contribution by March 31 of the year prior to the year when the contribution is payable. The parties agree to pay the contribution as determined by the governing board on or before January 31 of the year following the determination. These funds may be paid from grants funds, drug forfeitures, and any funds voluntarily contributed by any member.

4.03 Accountability

The Roseville Police Department shall act as the fiscal agent for EMS. All funds shall be accounted for according to generally accepted accounting principles. A report on all receipts and disbursements shall be forwarded to the parties quarterly and on an annual basis.

V. POSITIONS

5.01 Team Commander

The Team Commander shall be a licensed peace officer appointed by the governing board. Appointment as Team Commander pursuant to this agreement shall not obligate any party to pay to its employees so appointed either supervisory or other premium pay.

5.02 Leadership Positions

The Team Commander shall appoint licensed peace officers to serve as executive officers, and team leaders subject to approval of the governing board. Appointment to a leadership position pursuant to this agreement shall not obligate any party to pay to its employees so appointed either supervisory or other premium pay.

Peace officers assigned to leadership positions within EMS at all times will remain employees of the members’ own jurisdictions and will not be employees of the governing board.

Peace officers assigned to leadership positions shall be the liaison between the team members and the Team Commander when an EMS team has been deployed pursuant to this agreement.

5.03 Team members

The chief law enforcement officer of each party shall assign licensed peace officers to serve as EMS team members, subject to approval of the Team Commander. Appointment as a team member pursuant to this agreement shall not obligate any party to pay its employees so appointed any premium pay.

Team members assigned to the EMS at all times will remain employees of the members' own jurisdictions and will not be employees of the governing board.

A party may decline to make its personnel available to respond to a call for assistance. Failure to provide assistance in response to a request made pursuant to this agreement will not result in any liability to the party that fails to provide assistance or to the EMS.

5.04 Direction and Control

Personnel and equipment provided pursuant to this agreement shall be under the direction and the tactical control of the licensed peace officer in command of the scene of the jurisdiction to which assistance is being provided. They shall remain under this tactical control until the request for assistance ends, or they are recalled by the Team Commander.

5.05 Compensation

When EMS provides services to a requesting party, the personnel of EMS shall be compensated by their respective employers just as if they were performing the duties within and for the jurisdiction of their employer. No charges will be levied by EMS or by parties for specialized response operations provided to a requesting party pursuant to this agreement unless that assistance continues for a period exceeding 48 continuous hours. If assistance provided pursuant to this agreement continues for more than 48 continuous hours, and the assistance is not provided in connection with a criminal investigation, any party whose officers provided assistance for EMS shall submit itemized bills for the actual cost of any assistance provided, including salaries, overtime, materials and supplies, to EMS and EMS shall submit the invoices to the requesting party. The requesting party shall reimburse EMS for that amount, and EMS shall forward the reimbursement to its respective members.

Each of the parties is required by Minn. Stat., § 12.27, Subd. 3 to designate employees or officers who are authorized to dispatch equipment and personnel, in certain emergencies, to other jurisdictions. For purposes of dispatching EMS teams, each of the parties delegates such authority to EMS, which is authorized to dispatch such personnel and equipment, taking into consideration each party's available resources.

Calls for assistance from non-parties to EMS shall be governed by Minn. Stat., § 12.331. Each of the parties delegates to EMS the authority to respond with the personnel and equipment of that party that are assigned to EMS as a sending political subdivision within the meaning of Minn. Stat., § 12.331, Subd. 1, which is authorized to dispatch such personnel and equipment, taking into consideration each party's available resources.

If EMS provides services to an entity not a party to this agreement, the responding parties may submit itemized bills for the actual cost of any assistance provided, including salaries, overtime, materials and supplies, to EMS, and EMS may bill such entity for the actual costs in accordance with Minn. Stat., § 12.331.

5.06 Workers' Compensation

Each party to this agreement shall be responsible for injuries to or death of its own employees in conjunction with services provided pursuant to this agreement. Each party shall maintain workers' compensation coverage or self-insurance coverage, covering its own personnel while they are providing assistance as a member of EMS. Each party to this agreement waives the right to sue any other party for any workers' compensation benefits paid to its own employee or their dependents, even if the injuries were caused wholly or partially by the negligence of any other party or its officers, employees or agents.

5.07 Damage to Equipment

Each party shall be responsible for damage to or loss of its own equipment occurring during deployment of EMS. Each party waives the right to sue any other party for any damages to or loss of its equipment, even if the damages or losses were caused wholly or partially by the negligence of any other party or its officers, employees or agents. Any equipment purchased or acquired by EMS shall be maintained and accounted for by the EMS Board and fiscal agent designated under section 4.03. Surplus property may be disposed of only under procedures authorized by law and distribution of property upon termination of this agreement shall be as provided for by Minn. Stat. §471.59, Subd. 5.

5.08 Indemnification

East Metro Swat shall defend and indemnify the parties, and their officers, employees, and volunteers, from and against all claims, damages, losses, and expenses, including attorney fees, arising out the acts or omissions of any person acting on behalf of the governing board in carrying out the terms of this agreement. This agreement does not constitute a waiver on the limitations of liability set forth in Minn. Stat. § 466.04.

Nothing herein shall be construed to provide insurance coverage or indemnification to an officer, employee, or volunteer of any member for any act or omission for which the officer, employee, or volunteer is guilty of malfeasance in office, willful neglect of duty, or bad faith.

To the fullest extent permitted by law, action by the parties to this agreement are intended to be and shall be construed as a "cooperative activity" and it is the intent of the parties that they shall be deemed a "single governmental unit" for the purposes of liability, as set forth in Minn. Stat., § 471.59, subd. 1a(a), provide further that for purposes of that statute, each party to this agreement expressly declines responsibility for the acts or omissions of another party. The parties to this agreement are not liable for the acts or omissions of another party to this agreement except to the extent they have agreed in writing to be responsible for the acts or omissions of the other parties.

When a party to this agreement loans an automobile to East Metro Swat, East Metro Swat's automobile liability coverage shall be primary when East Metro Swat is in possession of the automobile. East Metro Swat agrees to defend and indemnify the owner of the automobile and any other parties to this agreement for any liability claims related to the use of the automobile, subject to the limitations in Section 3.08 of this Agreement.

5.09 Term

This agreement will be in force for a period of three years from the date of execution.

VI. WITHDRAWL AND TERMINATION

6.01 Withdrawal

Any party may withdraw from this agreement upon thirty (30) days written notice to the other parties. Withdrawal by any party shall not terminate this agreement with respect to any parties who have not withdrawn. Withdrawal shall not discharge any liability incurred by any party prior to withdrawal. Such liability shall continue until discharged by law or agreement.

6.02 Additional Members and Change in Membership

A governmental unit may join EMS and become a member upon approval by the Governing Board and execution of a copy of this Agreement by its governing body.

The Governing Board may involuntarily terminate a member if that member has failed to provide a minimum of one officer to East Metro Swat for more than 12 consecutive months.

6.03 Termination

This agreement shall terminate upon the occurrence of any one of the following events: (a) when necessitated by operation of law or as a result of a decision by a court of competent jurisdiction; or (b) when a majority of remaining parties agrees to terminate the agreement upon a date certain.

6.04 Effect of Termination

Termination shall not discharge any liability incurred by EMS or by the parties during the term of this agreement. Upon termination and after payment of all outstanding obligations, property or surplus money held by EMS shall then be distributed to the parties in proportion to their contributions.

6.05 Amendments

This agreement may be amended only in writing and upon the consent of each of the parties' governing body.

6.06 Counterparts

This agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which shall constitute one and the same instrument. Counterparts shall be filed with the Roseville Police Department.

Execution

Each Party, hereto has read, agreed to and executed this Joint Powers Agreement on the date indicated.

The City of Roseville

Mayor Dan Roe

Signature: _________________________________ Date: __________________

City Manager Bill Malinen

Signature: _________________________________ Date: __________________

Roseville HRA Quarterly Update

April 9, 2012

City Council Meeting

RHRA Strategic Plan

"Hand up, not a hand out"

Roseville HRA Strategic Plan 2008-2012

The mission of the Housing & Redevelopment Authority for the City of Roseville is to plan, implement, and manage housing projects and activities for citizens by providing equal opportunities for quality, decent, safe homes, and a suitable living environment; and strengthening partnerships among all levels of government, non-profit and for-profit organizations to maximize social and economic benefits.

Below are the goals and polices of the HRA strategic plan:

I. ***To encourage the development of a variety of housing options in price and product type to meet life cycle needs of the community as well as to retain and attract a diverse mix people and family types with varying economic statuses, ages, and ability.***

a) Provide a link between Roseville seniors seeking to move out of existing single family homes and young families seeking first time purchase options.

b) Support, initiate, and promote alternate housing for seniors to enable them to remain a vital part of the community.

c) Preserve existing housing and develop new housing in partnership with federal, state and regional agencies and non-profit community groups and private sector development partners.

d) Encourage the development of market-rate intergenerational housing.

e) Regularly review official controls to ensure opportunities for development of housing stock that provides a diversity of housing choices.

f) Encourage the integration of affordable housing in new and existing neighborhoods.

II. ***To see that funding sources are identified and well managed in order to support/provide housing options/ for residents within the City of Roseville.***

a) In order to ensure that funding sources are implemented and well managed, the HRA will move aggressively to secure funding through a variety of Federal, State, County, City and non-profit, and private sources.

b) Ensure that policies are in place regarding the use funding mechanisms that will promote the provision and improvement of housing through such tools as Housing Improvement Areas, Conduit Debt Financing, and Bonding.

III. ***To promote the City as a safe community with an enhanced quality of life and a sense of community and vibrant neighborhoods.***

a) Provide information regarding the importance of quality housing opportunities and diverse, close-knit neighborhoods to foster a sense of community.

b) Increase awareness of the HRA to all levels of the community both internally and externally.

c) Increase awareness of HRA's financial resources, housing programs and the services of the *HousingResource* Center that are available to all residents, property owners and others.

d) Partner with police and fire departments, neighboring cities, school districts, non-profits, and consumers to foster a better overall quality of life in the City.

e) Foster the creation of neighborhood individual neighborhood identities in partnership with new and existing neighborhood organizations that promote each neighborhood's unique attributes and amenities.

IV. ***To provide necessary staff support to make sure that the goals and objectives are carried out on a daily basis following well-established best management practices.***

a) The Community Development Director of the City of Roseville shall serve as the Executive Director of the Roseville HRA.

b) The Housing Coordinator, along with necessary staff and/or consultants will implement day to day tasks for all aspects of the HRA.

c) Actively promote education, growth, and advancement of employees, board members and community members.

d) Quarterly Progress Reports on all funding sources, grant programs and the overall operations of the Roseville HRA will be provided to the HRA board.

e) Annually review with the City Council the Roseville HRA's strategic Plan and budget. A new strategic plan will be developed every four years.

f) Leverage technology to allow for the HRA to deliver its services more efficiently and effectively as well to better inform the public.

V. ***To develop and review Zoning and building code standards to ensure that the existing housing stock and neighborhoods are properly maintained in the City of Roseville.***

a) The HRA, in partnership with the City, maintain proactive code enforcement policies to prevent nuisance properties from negati impacting surrounding properties.

b) The HRA, in partnership with the City, will continue to work wi Community Development staff to enhance code enforcement effi within the Housing Maintenance Section of the City Code.

c) The HRA, in partnership with the City, will explore further regulation, including licensing, of rental units within the City of Roseville.

VI. ***To develop sustainable solutions to housing through the promotion and advocacy of green building techniques and environmental stewardship practices.***

a) Develop standards for supporting green building techniques, including the use of alternative building materials and recycling building materials (wherever feasible) in a new construction and rehabilitation.

b) Leverage technological advances in the areas of energy and wat conservation, natural drainage systems and wastewater treatmen and incorporate them into the design of new and renovated hous units.

c) Promote transit-oriented development by conducting (and fundi planning at key transit nodes.

d) Work with local utility companies to establish and expand progr to encourage improvements to properties that increase energy efficiency and conservation of resources.

e) Create programs and resources that better inform residents of ba green improvements that can be made to their homes.

f) Promote walkability and pedestrian connectivity in new and redevelopment housing projects.

g) Create programs that assist residents to implement green practic by providing technical resources (architects, construction expert and financial resources.

VII. ***To respond to priorities, develop, drive, and inform resider and stakeholders regarding the housing market within Roseville.***

a) Each quarter, the HRA will ask guest speakers to represent to th HRA and Roseville community. These presentations will focus issues like housing stabilization, preservation, code enforcement LEED certification and sustainability.

b) Promote and provide effective resources that meet the needs of stakeholders while actively seeking out and developing service improvements.

c) Consult stakeholders and actively listen to and act upon their views regarding development opportunities affecting their residences.

d) Continue rethinking strategies internally to promote organizational development, continuous improvement, and appropriate responses to budget challenges and program changes.

VIII. ***To implement the Housing Goals contained in Roseville's 2030 Comprehensive Plan***

a) The HRA will, in coordination and consultation with the City Council, implement the housing goals and policies identified within the 2030 Comprehensive Plan.

IX. ***To encourage the development of neighborhood identities that build a sense of community and foster neighborhood interaction.***

a) In partnership with the City and other City commissions and boards, the HRA will assist residents in developing and maintaining neighborhood organizations and forums.

b) The HRA will partner with neighborhood organizations to provide forums for residents to participate in the achievement of housing and neighborhood goals.

Living Smarter Fair

Another successful event with nearly 1,100 people attending.

Zero waste event with 96% recovered/reused/recycled and 4% trash.

Many positive comments from attendees and exhibitors.

Living Smarter

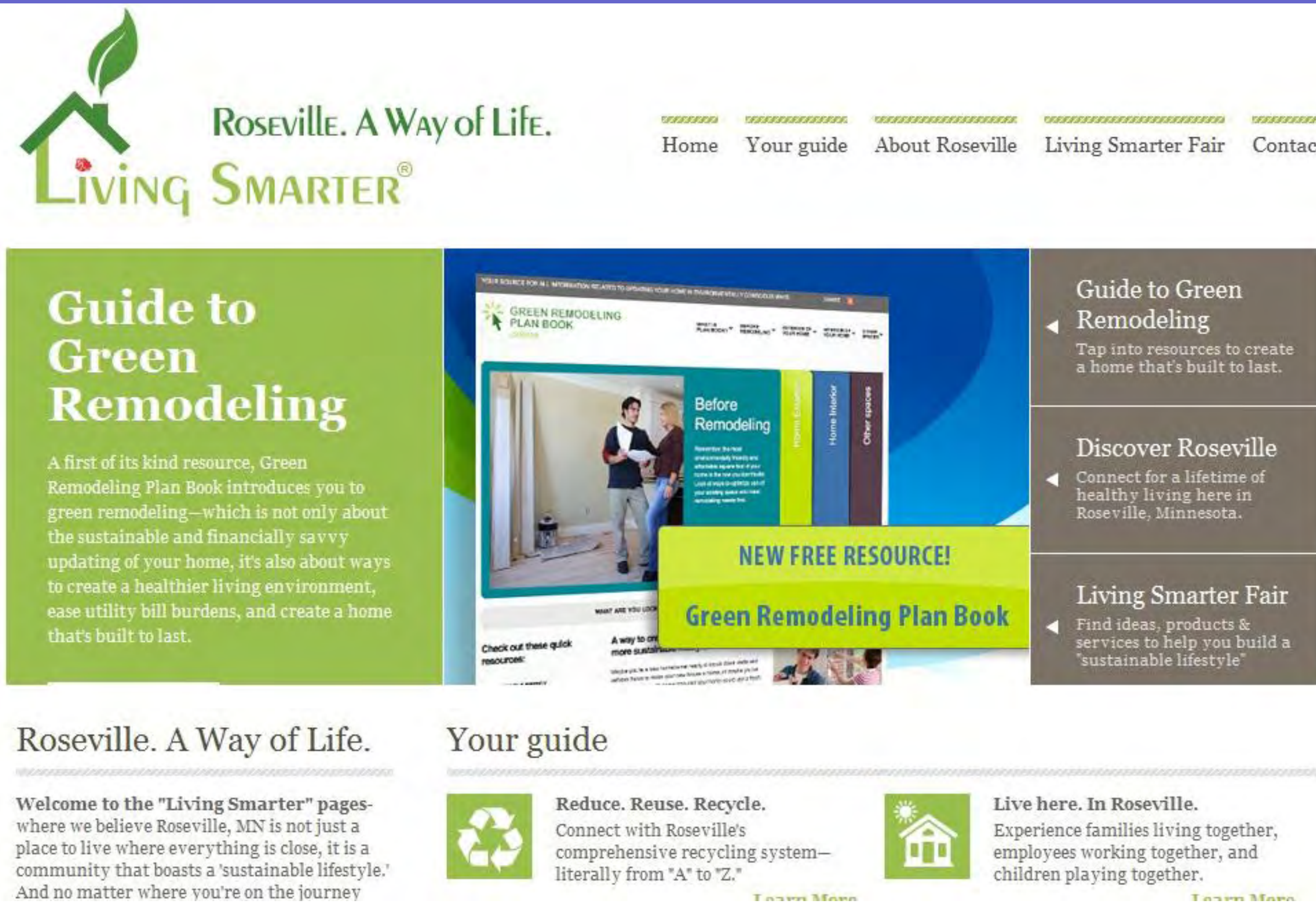
HRA Strategic Plan

- The Roseville HRA is In the midst of creating a new strategic plan.
- Process began in January 2012 and hope to be completed by June 2012
- Conducted an online survey and met with key stakeholders.
- Next steps for the HRA is to meet on Saturday morning, April 21st to identify key issues and solutions.
- The HRA is planning on coming to a Council meeting in May to review the draft plan with the Council.

Dale Street Fire Station

- The Roseville HRA has been discussing the potential purchase of a property immediately south of the Dale Street Fire Station.
- The Roseville HRA considers this site along with the Dale Street Fire Station as a good redevelopment site for housing.
- The Roseville HRA is intending to assemble the land for the private market to develop.
- Before the HRA goes any further, the Board wanted to gather input from the Council in regards to the HRA facilitating the project and the interest of the City Council to have the Dale Street Fire Station as part of the project.

Living Smarter Website



www.livingsmarter.org

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: April 9, 2012
Item No.: 12.a

Department Approval	City Manager Approval

Item Description: Waive Appointment Process and Confirm Mayoral Appointments to the Housing and Redevelopment Authority

BACKGROUND

Housing and Redevelopment Authority (HRA) Board Member Debora Battisto resigned from the HRA in March. She had been appointed to fill a term that expires September 23, 2015. The term had previously been held by Susan Elkins, who resigned because of a conflict. Ms. Elkins had originally been appointed to the HRA in January 2006 and was reappointed September 2010.

The HRA is about to undertake an extensive strategic planning process. HRA Chair Dean Maschka has expressed to the Mayor his concern that this important process may be delayed while waiting for new appointments.

Ms. Elkins has indicated that her circumstances have changed and she is willing and interested to return to service on the HRA. The Mayor notes that Ms. Elkins had been a very valuable and constructive member of the HRA board in the past.

Councilmember Pust has indicated that she will not run for reelection in the November election. Her appointment to the HRA is congruent with her position on the Council. Councilmember Pust wishes to step down from the HRA now so that another councilmember with a longer tenure can be appointed to the HRA and to play a role in the strategic plan. Accordingly, the advertisement and interview process is not applicable in this case.

Mayor Roe requests that the recruitment and interview process contained in Resolution 10783 be waived for these appointments and that Council approves appointing Susan Elkins to a term that expires September 23, 2015, and Councilmember Bob Willmus to a term that expires December 31, 2014.

REQUESTED COUNCIL ACTION

Waive the Resolution 10783 appointment process for these appointments.

Approve Mayor Roe's appointment of Susan Elkins to complete the HRA term through September 23, 2015.

Approve Mayor Roe's appointment of Councilmember Bob Willmus to complete the HRA term starting May 1, 2012 through December 31, 2014.

Prepared by: **William J. Malinen, City Manager**

Attachments:
- A: Draft Resolution appointing Susan Elkins to the HRA
- B: Draft Resolution appointing Councilmember Bob Willmus to the HRA
- C: Certificate of Appointment
- D: Susan Elkins 2005 application
- E: Resolution 10783

Attachment A

EXTRACT OF MINUTES OF MEETING OF THE CITY COUNCIL OF THE CITY OF ROSEVILLE

Pursuant to due call and notice thereof, a regular meeting of the City Council of the City of Roseville, County of Ramsey, Minnesota, was held on the ninth day of April 2012, at 6:00 p.m.

The following members were present:
and the following were absent:

Councilmember __________________ introduced the following resolution and moved its adoption:

RESOLUTION # _________

RESOLUTION APPROVING MAYOR'S APPOINTMENT OF SUSAN ELKINS TO THE HOUSING AND REDEVELOPMENT AUTHORITY IN AND FOR THE CITY OF ROSEVILLE TO FILL AN UNEXPIRED TERM

WHEREAS, On March 29, 2012, Ms. Deborah Battisto resigned her position as a Board Member for the Housing & Redevelopment Authority in and for the City of Roseville ("HRA"), and

WHEREAS, Ms. Battisto's term as HRA Board member will expire on September 23, 2015, and

WHEREAS, the Mayor has submitted for this Council's consideration the appointment to the HRA board of resident Susan Elkins, with a term expiring on September 23, 2015;

NOW, THEREFORE, BE IT RESOLVED, by the Roseville City Council that the City Council approves the Mayor's appointment of Susan Elkins to the Roseville HRA Board.

The motion for the adoption of the foregoing resolution was duly seconded by:
and upon vote taken thereon, the following voted in favor thereof:
and the following voted against the same:

Whereupon said resolution was declared duly passed and adopted.

Attachment B

EXTRACT OF MINUTES OF MEETING OF THE
CITY COUNCIL OF THE CITY OF ROSEVILLE

Pursuant to due call and notice thereof, a regular meeting of the City Council of the City of Roseville, County of Ramsey, Minnesota, was held on the ninth day of April 2012, at 6:00 p.m.

The following members were present:
and the following were absent:

Councilmember ___________________ introduced the following resolution and moved its adoption:

RESOLUTION # _________

RESOLUTION APPROVING MAYOR'S APPOINTMENT OF
COUNCILMEMBER BOB WILLMUS TO THE
HOUSING AND REDEVELOPMENT AUTHORITY IN AND FOR
THE CITY OF ROSEVILLE TO FILL AN UNEXPIRED TERM

WHEREAS, On April 1, 2012, Councilmember Tammy Pust resigned her position as a Board Member for the Housing & Redevelopment Authority in and for the City of Roseville ("HRA"), and

WHEREAS, Councilmember Pust's term as HRA Board member will expire on December 31, 2012, and

WHEREAS, Minnesota Statues 469.003 Subdivision 6, states that "any member of the governing body of a city may be appointed and may serve as a commissioner of the authority for the city. The council of any city which appoints members of the city council as commissioners may set the terms of office of a commissioner to coincide with the commissioner's term of office as a council member," and

WHEREAS, the Mayor has submitted for this Council's consideration the appointment to the HRA board of Councilmember Bob Willmus, with a term expiring December 31, 2014;

NOW, THEREFORE, BE IT RESOLVED, by the Roseville City Council that the City Council approves the Mayor's appointment of Councilmember Bob Willmus to the Roseville HRA Board.

The motion for the adoption of the foregoing resolution was duly seconded by:
and upon vote taken thereon, the following voted in favor thereof:
and the following voted against the same:

Whereupon said resolution was declared duly passed and adopted.

Attachment C

CITY OF ROSEVILLE
STATE OF MINNESOTA

MAYOR'S CERTIFICATE
of
APPOINTMENT OF BOARD MEMBER
to the
HOUSING AND REDEVELOPMENT AUTHORITY
IN AND FOR THE CITY OF ROSEVILLE

Pursuant to state law, I hereby appoint Susan Elkins as a Member of the Roseville Housing and Redevelopment Authority. As provided by law, this re-appointment is subject to Council Approval. Ms. Elkins will fill a term expiring September 23, 2015.

Witness my hand as the Mayor of the City of Roseville, Minnesota this ninth day of April, 2012.

Mayor Daniel J. Roe

CITY OF ROSEVILLE
STATE OF MINNESOTA

MAYOR’S CERTIFICATE
of
APPOINTMENT OF BOARD MEMBER
to the
HOUSING AND REDEVELOPMENT AUTHORITY
IN AND FOR THE CITY OF ROSEVILLE

Pursuant to state law, I hereby appoint Bob Willmus as a Member of the Roseville Housing and Redevelopment Authority. As provided by law, this re-appointment is subject to Council Approval. Mr. Willmus’s term will fill a term expiring December 31, 2014.

Witness my hand as the Mayor of the City of Roseville, Minnesota this ninth day of April, 2012.

Mayor Daniel J. Roe

Attachment D
SEP 2 3 2005

ROSEVILLE

www.ci.roseville.mn.us
HRA/City of Roseville • 2660 Civic Center Drive • Roseville MN 55113
Fax: 651.792.7070
Direct questions to Cathy Bennett at City Hall at 651-792-7015

Application for Housing & Redevelopment Authority

*A Housing and Redevelopment Authority (HRA) is a separate legal authority under state statutes **469.001** to **469.047** that directs redevelopment projects with the specific purpose of removing blight and promoting affordable, safe and decent housing. The HRA was established by the Roseville City Council on June 17, 2002. The Roseville City Mayor makes the appointments to the **HRA** with **City** Council approval.*

X New Term

☐ Reappointment

Name: Susan Elkins

City/State/Zip: Roseville, MN 55113

Work Experience: (specify any experience in a housing, finance or real estate field)

Currently- Bremer Bank, Community Development Products.
Named co-chair of 2006 Affordable Housing congress
Co-Chaired the 2005 Native American Housing Conference, Mille Lacs 9/05
Member of the Governor's Emerging Market Initiative Advisory Committee
Member of Central MN Housing Partnership Advisory Group
Written several CASA applications to MHFA
Adminster the Bremer Employee Downpayment Assistance Program
Member of the Payne-Lake Partnership (Knight-Ridder housing grant)
Work with all of our banks for CRA quotas
Worked with GHMC on Arona-Hamline project

Education: High School

Civic and Volunteer Activities: ***(Past and Present)***

Board President of Concordia Arms, Maplewood, MN (housing for elderly)
Board Member of No Place Like Home Communities (housing for disabled)

Please state your reasons for wanting to serve as a member of the Housing & Redevelopment Authority: *(Please be as specific as possible - use additional sheet if necessary)*

Feel Roseville needs to be revitalized for affordable, first time homebuyers with young families. Also feel residents need to become fully aware of opportunities available in Roseville, whether rehab monies or downpayment assistance for purchasing. Have been actively involved and would like to continue with pilot programs in neighborhoods.

What is your view of the role of a member of the Housing & Redevelopment Authority?

To bring all available opportunities to the table, to discuss these opportunities for the best fit in Roseville

Other Comments: *(Include any further information you would like the Mayor and City Council to consider or that you feel is relevant to the appointment you are seeking. You may also attach other materials you would like considered.)*

Tennessen Warning - Some or all the information that you are asked to provide is classified by State law as either private or confidential. Private data is information that generally cannot be given to the public but can be given to the subject of the data. Confidential data is information that generally cannot be given to either the public or the subject of the data.

The City of Roseville is collecting the information to deteimine qualifications to serve on a Citizen Advisory Commission. You are not legally required to provide this information. However, if you do not supply the information, you may not serve on a Citizen Advisory Commission.

Other persons or entities authorized by law to receive this information are City Council members, staff, residents of Roseville, and interested others.

I understand that all information provided in this application, except my telephone numbers, fax number and email address, may be distributed by the City to the public including, but not limited to, being posted on the City of Roseville website. I agree to waive any and all claims under the Minnesota Government Data Practices Act, or any other applicable state and federal law, that in any way related to the dissemination to the public of information contained in this application that would be classified as private

EXTRACT OF MINUTES OF MEETING
OF THE
CITY COUNCIL OF THE CITY OF ROSEVILLE

* * * * * * * * * * * * * * * * *

Pursuant to due call and notice thereof, a regular meeting of the City Council of the City of Roseville, County of Ramsey, Minnesota was duly held on the 8th day of February, 2010 at 6:00 p.m.

The following members were present: Johnson, Ihlan, Roe and Klausing and the following were absent: Pust.

Member Ihlan introduced the following resolution and moved its adoption:

Resolution No. 10783
(Supersedes Resolution No. 10541)
To Define the Appointment and Reappointment Process, for the Members of the Board of the Housing & Redevelopment Authority In and For the City of Roseville

WHEREAS, the Housing & Redevelopment Authority In and For the City of Roseville (HRA) was established by the City Council in 2002 to provide housing programs and promote safe, decent, and affordable housing options for the community; and

WHEREAS, the Roseville HRA Board is composed of seven resident members and is a separate entity with legal authority established under MN Statutes 469.001 to 469.047; and

WHEREAS, the governing state statutes establish that appointments to the Roseville HRA Board are made by the Mayor, subject to the approval of the City Council; and

WHEREAS, the Mayor and City Council desire to define an open and collaborative process by which appointments and reappointments to the Roseville HRA Board will be made; and

WHEREAS, the appointment and reappointment process for the Roseville HRA Board has not been specifically defined to this point;

NOW, THEREFORE, BE IT RESOLVED, by the Roseville City Council as follows:

POLICY STATEMENT:

It is the intent of this policy to establish a fair and open notification and selection process that encourages Roseville residents to apply for appointment to the Roseville HRA Board.

PROCEDURE STATEMENT:

I.

When a vacancy occurs on the HRA Board the following procedure will be used.

A. The Ma yor and City Council, at a regular meeting, will establish a deadline for receiving applications, and the date(s) of the Council Meeting(s) to interview the applicants. The time between the application deadline and the interviews will be no more than 30 days.

B. HRA Board vacancies will be advertised in the City's legal newspaper and, if different, the Roseville Review at least two (2) times before the application deadline. Vacancies will also be advertised on the City of Roseville's Cable Television Channel and posted on the City Hall Bulletin Board.

C. Applications received after the established deadline but before the established date of applicant interviews may be considered, at the discretion of the Mayor.

D. The names and applications of applicants will be provided to the Mayor and City Council, and to the public, after the application deadline.

E. Applicants will be interviewed at the established meeting(s) by the Mayor and the City Council. The Chair or designee of the HRA Board will be invited to attend and participate in the interviews. The interviews will be open to the public. The Mayor may elect to eliminate any applicants from consideration, with reasonable notice to such applicants and the City Council, prior to the established date of applicant interviews.

F. The Mayor will make appointments to the HRA Board from among the qualified applicants at a subsequent City Council meeting following the meeting at which the interviews are conducted.

G. The City Council will vote on approval of the Mayor's appointments at the same meeting at which the appointments are made.

H. If not enough Mayoral appointments from among the qualified applicants are approved by the City Council to fill all of the associated vacancies, the remaining vacancies will be re-advertised as described in A-E above.

I. HRA Board applications will be kept on file for one year. If during that time a vacancy occurs on the HRA Board or any standing City Advisory Commission, all applicants for the HRA Board, and all applicants for any standing City Advisory Commissions, whose applications are on file at the time of the vacancy, will be advised of the vacancy in writing.

II.

When a current HRA Board member's term is expiring, the following procedure will be used.

A. No later than 60 days prior to the expiration of a term, at a regular City Council meeting, the Mayor will either reappoint HRA Board members whose terms are expiring, or declare the appropriate vacancies to exist.

B. The City Council will vote on approval of the Mayor's reappointments at the same meeting at which the reappointments are made.

C. If the City Council does not approve of a reappointment, that shall create a vacancy on the HRA Board.

D. The procedure for filling vacancies declared or created by this procedure shall be as described in Section I above.

The motion for the adoption of the foregoing resolution was duly seconded by Member Roe, and upon a vote being taken thereon, the following voted in favor thereof: Johnson, Ihlan, Roe and Klausing

and the following voted against the same: none.

WHEREUPON said resolution was declared duly passed and adopted.

STATE OF MINNESOTA)
) ss
COUNTY OF RAMSEY)

I, the undersigned, being the duly qualified City Manager of the City of Roseville, County of Ramsey, State of Minnesota, do hereby certify that I have carefully compared the attached and foregoing extract of minutes of a regular meeting of said City Council held on the 8th day of February, 2010 with the original thereof on file in my office.

WITNESS MY HAND officially as such Manager this 8th day of February, 2010.

WJMalinen

William J. Malinen, City Manager

(Seal)

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: April 9, 2012
Item No.: 12.b

Department Approval | City Manager Approval

Item Description: Adopt Strategic Planning Mission Statement and Community Aspirations

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BACKGROUND

On March 26, 2012 the Council reviewed the Mission Statement and Community Aspirations of the citywide strategic plan. At that meeting the Council created an ad hoc committee of Mayor Roe and Councilmember McGehee to explore and review these sections further.

POLICY OBJECTIVE

Approve the mission statement and community aspirations section of the strategic planning summary.

BUDGET IMPLICATIONS

None.

STAFF RECOMMENDATION

Adopt mission statement and community aspirations.

REQUESTED COUNCIL ACTION

Adopt mission statement and community aspirations.

Prepared by: William J. Malinen, City Manager
Attachments: A: Mission Statement/Community Aspirations

City of Roseville, Minnesota, Mission Statement:

Mission:

To provide ethical, efficient, and responsive local government, in support of community aspirations, guided by policies of the City Council, and implemented by professional staff, to ensure that Roseville remains strong, vibrant, and sustainable for current and future generations.

Community Aspirations:

As a community, we aspire to be

- Welcoming, inclusive, and respectful;
- Safe and law-abiding;
- Economically prosperous, with a stable and broad tax base;
- Secure in our diverse and quality housing and neighborhoods;
- Environmentally responsible, with well maintained natural assets;
- Physically and mentally active and healthy;
- Well-connected through transportation and technology infrastructure; and
- Engaged in our community's success as citizens, neighbors, volunteers, leaders, and businesspeople.

ROSEVILLE

REQUEST FOR COUNCIL ACTION

Date: 04/09/12
Item No.: 13.a

Department Approval

City Manager Approval

Item Description: Continue Discussions on a Comprehensive Performance Management Program

BACKGROUND

At the 3/12/12 City Council meeting, the Council received an overview of a proposed Comprehensive Performance Management Program. The three Councilmembers in attendance were supportive of the concept but added that the discussion should be continued to allow the full Council to weigh in.

At the previous meeting, Staff noted that the City had undertaken a number of new initiatives designed to improve the effectiveness and sustainability of day-to-day operations while ensuring that the City's long-term goals are met. These initiatives included a 20-year visioning process, strategic planning, citizen survey, performance measurement, and a number of long-term financial and non-financial planning exercises. Staff went on to note that these initiatives were consistent with governmental best practices and have been categorized by other cities into a broader Performance Management Program.

The Council is asked to consider establishing a formal and comprehensive Performance Management Program like other cities have. By formally establishing this Program, the Council will commit to an on-going process and operational cycle that ensures that the allocation of resources is aligned with desired outcomes.

Included in the 3/12/12 Council packet was a framework that identified a number of performance management principles and described how incorporating these principles into governmental processes and decision making can lead to systematic improvements, enhanced accountability, and better results.

This framework was developed by a joint effort of 11 leading state and local public interest associations which eventually led to the formation of the National Performance Management Advisory Commission. The Commission includes industry-leading organizations including the International City/County Management Association (ICMA), Government Finance Officers Association (GFOA), National League of Cities, and others. A copy of the Commission's Report (framework) is included in *Attachment B.*

The Report (excluding appendices) is just under 50 pages long, and is somewhat technical. The Council is invited to read the full report, but a quasi-executive summary can be found beginning with the Foreword and continuing to the page 10. There are also a number of graphical depictions that give a brief snapshot of some of the main concepts behind Performance Management. They are included on pages 13 and 21.

Again, it should be noted that the City should not necessarily design its Performance Management Program based solely on information contained in this Report. The Report simply serves as an outline of why the City might consider having a Program and how it might be structured.

Proposed Performance Management Program
Based on the framework provided in *Attachment B*, and incorporating the various processes the City has already committed to, the following draft of a Performance Management Program is included in *Attachment A*.

POLICY OBJECTIVE
Establishing a Performance Management Program demonstrates a commitment to effective decision-making and ensuring that the allocation of resources is aligned with desired outcomes.

FINANCIAL IMPACTS
Not applicable.

STAFF RECOMMENDATION
Staff recommends that the Council consider establishing a Performance Management Program.

REQUESTED COUNCIL ACTION
For discussion purposes only. No formal action is required.

Prepared by: Chris Miller, Finance Director
Attachments: A: Performance Management Program - Draft
B: Performance Management Program Framework

Attachment A

City of ROSEVILLE Minnesota, USA

Performance Management Program

Program Component	Program Measure	Cycle	2012	2013	Timeframe	Lead
Citizen/Stakeholder Input	Community Visioning Process	10+ Years			Oct-May	City Council
	Community Survey **	Biennial	✓	✓	Oct-Nov, Jan **	City Council
	Budget Hearing	Annual	✓	✓	Aug	Staff
Long-Term Planning	City Council Goal-Setting *	Biennial	✓	✓	Feb-Mar *	City Council
	Financial Policy Review	Biennial		✓	May	City Council
	Strategic Plan	Biennial	✓		May-Jun	Staff
Operational Planning	Budget and Program Priorities	Biennial		✓	Apr	City Council
	Capital Improvement Plan	Biennial		✓	Apr-May	Staff
	Biennial Budgeting	Biennial		✓	May-Aug	Staff
Short-Term Planning	Areas of Emphasis / Work Plan *	Annual	✓	✓	Jan-Mar	City Council
	Legislative or Operational Impacts	Annual	✓	✓	Mar-Jun	Staff
	Budget & Levy Adoption	Annual	✓	✓	Sep, Dec	Staff
	Utility Rate Adjustments	Annual	✓	✓	Nov	Staff
Results Monitoring	Performance Measurement	Annual	✓	✓	Mar	Staff
	Financial Reviews	Semi-annual	✓	✓	Apr, Jul	Staff

* These two processes would take place in alternating years.
** Community Survey would be conducted Oct-Nov, with the presentation of the results in January.

Program Measure Descriptions

Community Visioning Process
Over the past 20 years, the City has conducted two comprehensive citywide visioning exercises; Vista 2000 in 1992, and Imagine Roseville in 2006. It is suggested that the City conduct this type of exercise every 10-15 years to be facilitated by a professional planning consultant.

The Community Vision should lay the foundation for all long-term planning, goal-setting, and city priorities. City Council Goal-Setting and Work Plans should begin with a review of the Community Vision.

Community Survey
The City's most recent community survey took place in the fall of 2011. It is suggested that the City conduct a survey on a biennial basis at a minimum. The Community Survey, along with the Community Vision, should be the basis for the City Council Goal-Setting and Work Plans.

City of ROSEVILLE Minnesota, USA

Performance Management Program

Budget Hearing
The purpose of the Budget Hearing is to provide citizens with an opportunity to address proposed tax levy and spending plans. The City Council can use this input in determining the preliminary, not-to-exceed levy; and tentative budget.

City Council Goal-Setting
Council goal-setting would be conducted based on the information derived from the Community Survey and Vision. Council Goals should serve as the basis for establishing the Strategic Plan and setting financial policies.

Financial Policy Review
The Council should conduct a biennial review of the budget and financial policies that establish parameters for the adoption of a budget and capital improvement plan.

Strategic Plan
The Strategic Plan is developed by City Staff in accordance with City Council goals. The Strategic Plan provides the framework for the Budget and Program Priorities and the Capital Improvement Plan.

Budget and Program Priorities
The City Council should establish budget and program priorities based on the Strategic Plan. This should include a Council priority-ranking exercise to determine how financial resources are allocated.

Capital Improvement Plan
The Capital Improvement Plan is developed in accordance with the Strategic Plan an in conjunction with the establishment of Budget and Program Priorities. The CIP should span over a period of 10 years at a minimum. The first two years of the CIP should be reflected in the Biennial Budget.

Biennial Budgeting
The City Council should adopt a Biennial Budget based on the Council's Budget & Program Priorities and the Capital Improvement Plan. The purpose of the Biennial Budget is to give greater emphasis on long-term strategies and goal-setting, rather than reactionary-type decision making.

Although the Biennial Budget spans over two years, the City must formally adopt an annual budget and tax levy in accordance with State Statute. The second year of the Biennial Budget should be generally consistent with the first except in extenuating circumstances; and should require only minimal review.

City of ROSEVILLE Minnesota, USA

Performance Management Program

Areas of Emphasis / Work Plan
Similar to Council goal-setting, it is expected that the Council will meet to review the progress made on previously-established goals. Where necessary, the Council will establish new or refined Areas of Emphasis to ensure consistent progress in achieving these goals. These Areas of Emphasis should serve as the basis for making budget adjustments, but should NOT upend the Strategic Plan or Budget Priorities.

The Areas of Emphasis / Work Plan exercise is done on an alternating basis with the broader City Council Goal-Setting process.

Short-Term Planning
In addition to the annual Areas of Emphasis/Work Plan process, the City should also annually undertake a review of legislative or other operational impacts or trends that can have a significant impact on both day-to-day operations and long-term objectives.

In addition, the City should also annually review its utility rates to ensure that the City's water and sewer revenue sources are sufficient to accommodate operations and capital improvements.

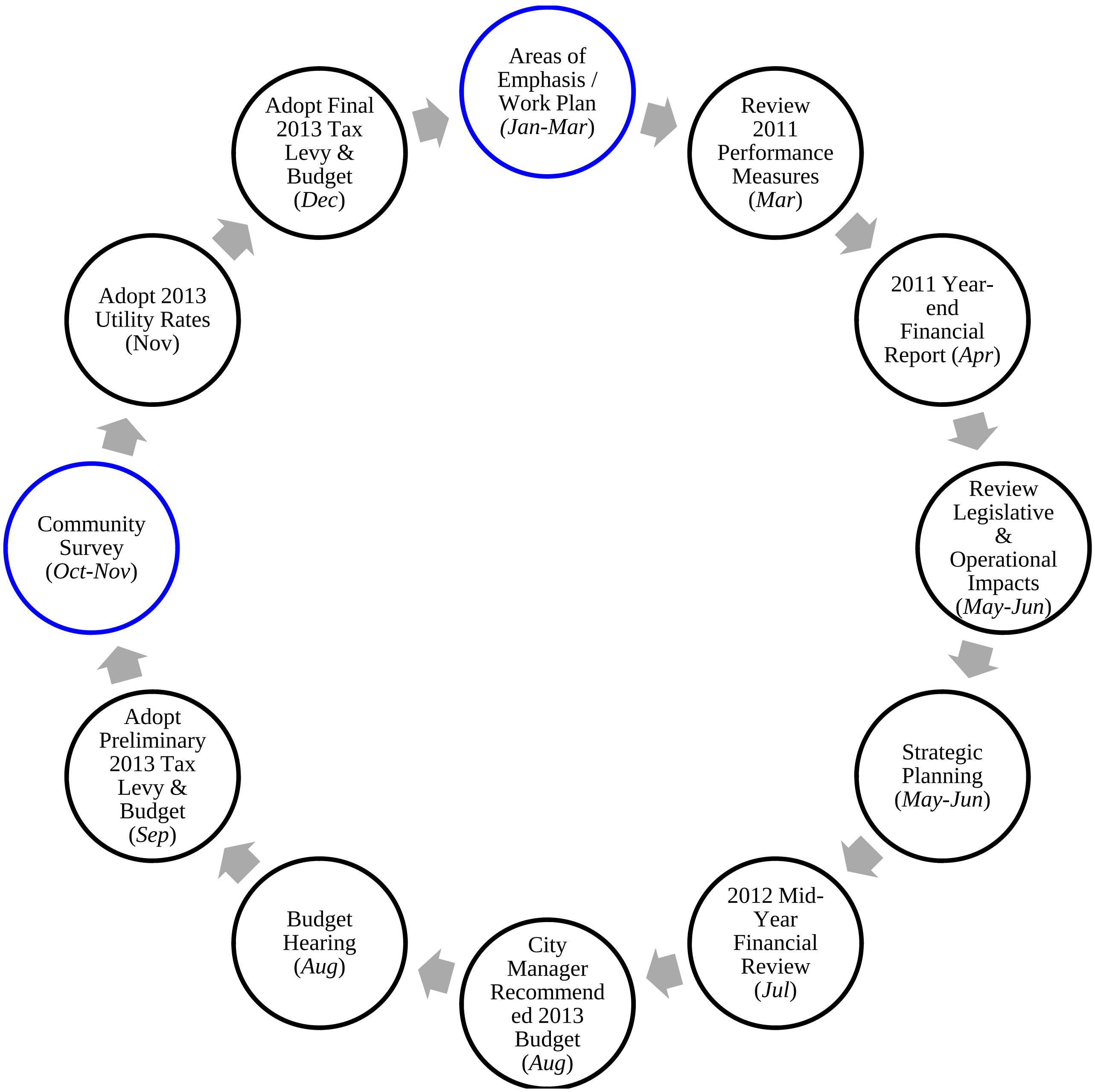
Results Monitoring
Both Performance Measurement and Financial Reviews represent look-back features of the Performance Management Program cycle. These processes ensure that emerging trends or unforeseen events are identified and managed. They also provide information that should be used in future planning and budgeting cycles.

These Performance Management Program measures, their sequential cycle, and their interrelationships are depicted below.

City of ROSEVILLE Minnesota, USA

Performance Management Program

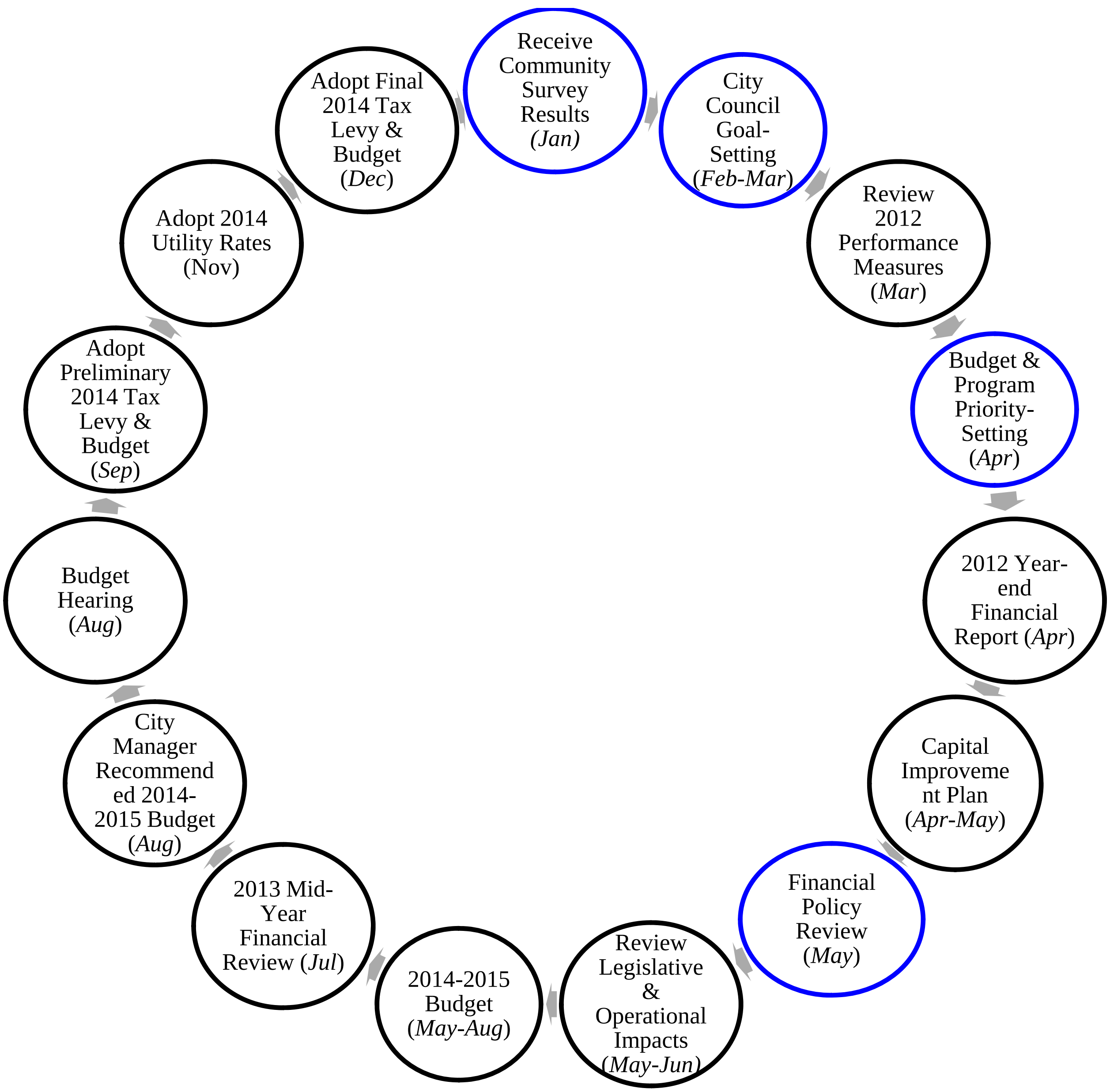
2012 Calendar



City of ROSEVILLE Minnesota, USA

Performance Management Program

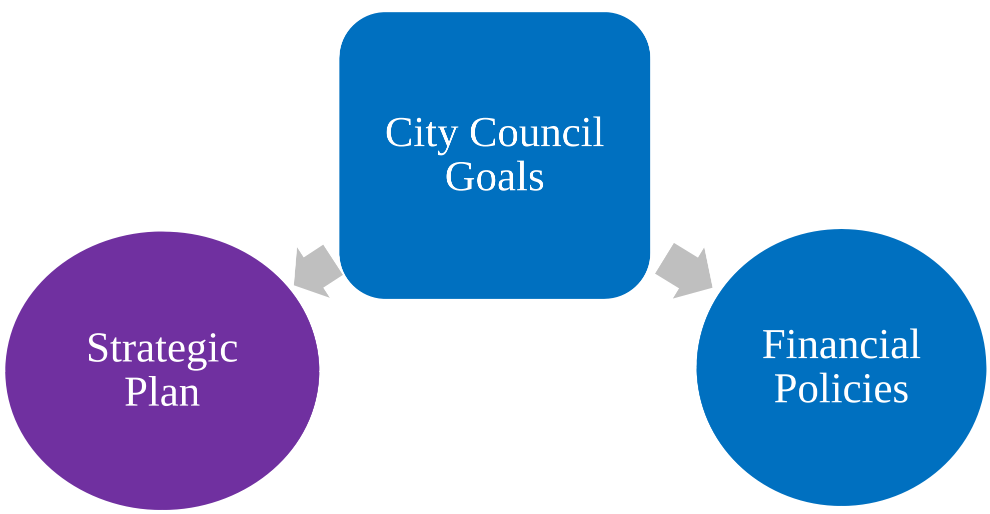
2013 Calendar



City of ROSEVILLE Minnesota, USA

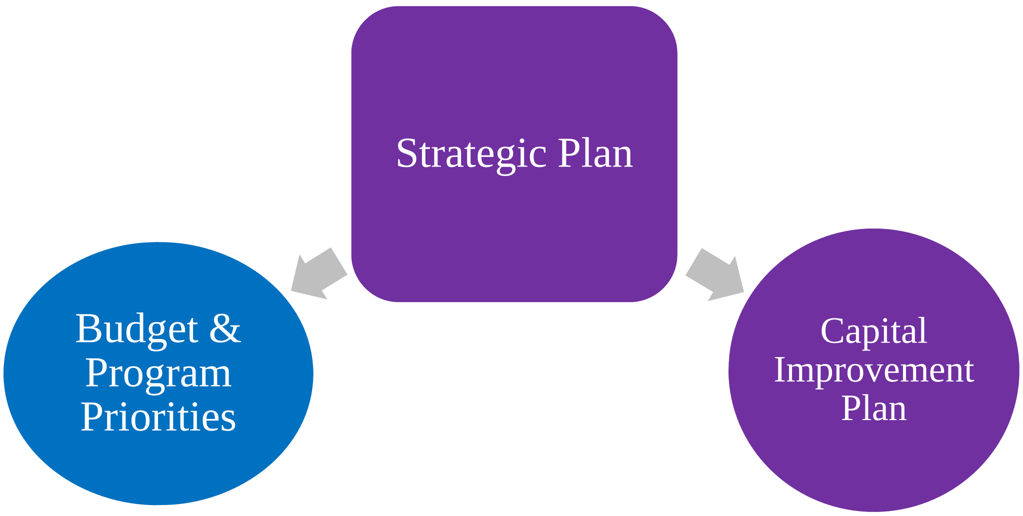
Performance Management Program

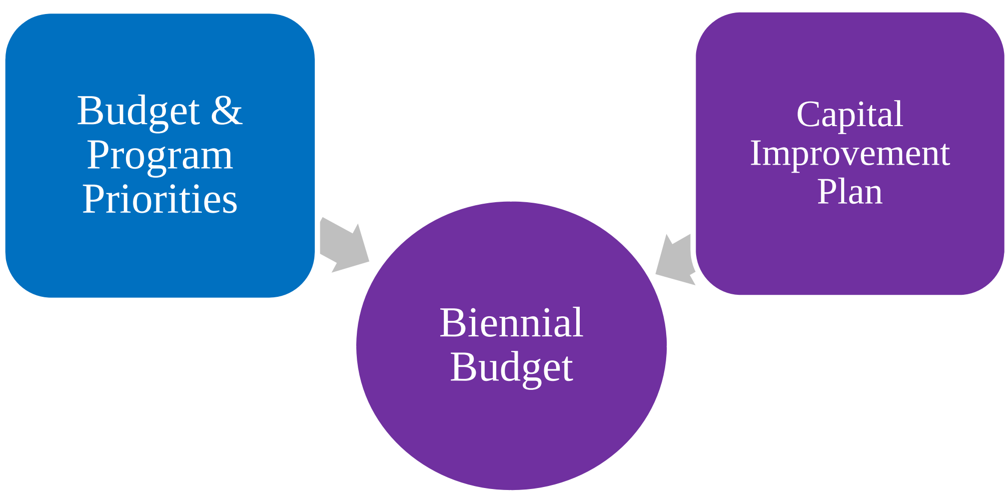
Program Relationships



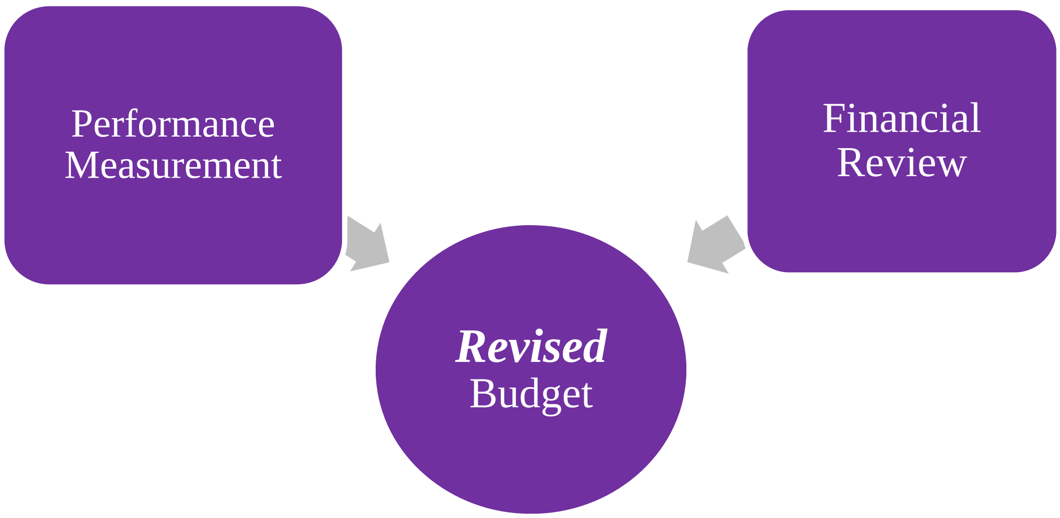
City of ROSEVILLE Minnesota, USA

Performance Management Program





Performance Management Program



Attachment B

A Performance Management Framework for State and Local Government:

From Measurement and Reporting to Management and Improving

National Performance Management Advisory Commission

A Performance Management Framework for State and Local Government:

From Measurement and Reporting to Management and Improving

National Performance Management Advisory Commission

National Performance Management Advisory Commission
203 North LaSalle Street, Suite 2700
Chicago, Illinois 60601
www.pmcommission.org

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Members of the National Performance Management Advisory Commission

Sponsoring Organizations
Association of School Business Officials International (ASBO)
National Association of State Budget Officers (NASBO)
The Council of State Governments (CSG)
Government Finance Officers Association (GFOA)
International City/County Management Association (ICMA)
National Association of Counties (NACo)
National Association of State Auditors, Comptrollers, and Treasurers (NASACT)
National Center for State Courts (NCSC)
National Conference of State Legislatures (NCSL)
National League of Cities (NLC)
United States Conference of Mayors (USCM)

Commission Members
M. Jacqueline Nytes, Chair (NLC), Councillor, City of Indianapolis and Marion County, Indiana
Richard Devlin, Vice Chair (NCSL), Senate Majority Leader, State of Oregon

David Ammons, Professor, University of North Carolina at Chapel Hill
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Rod Bockenfeld (NACo), Commissioner, Arapahoe County, Colorado
Michael F. Brown (ICMA), Chief Executive Officer, County of Santa Barbara, California
Barbara Cohn Berman, Director, Center on Government Performance at the Fund for the City of New York and National Center for Civic Innovation
Sharon Daboin (NASBO), Deputy Secretary for Performance Improvement, Governor's Budget Office, State of Pennsylvania
Peter Franchot (NASACT), Comptroller, State of Maryland Comptroller's Office
Larry Jones (USCM), Assistant Executive Director, United States Conference of Mayors
John Kenney (NASACT), State of Maryland, Comptroller's Office
Lee V. Legutko (ASBO), Chief Business Officer for multiple school districts in Florida (retired)
Kenneth L. Rust (GFOA), Chief Administrative Officer, City of Portland, Oregon
William C. Vickrey (CSG), Administrative Director of the Courts, State of California

Sponsoring Organization Representatives
Jacqueline Byers (NACo), Director of Research and Outreach, National Association of Counties
Jeffrey L. Esser (GFOA), Executive Director/CEO, Government Finance Officers Association
Daniel Hall (NCSC), Vice President, Court Consulting Services, National Center for State Courts
Chris Hoene (NLC), Director, Center for Research and Innovation, National League of Cities
Anne Spray Kinney (GFOA), Director, Research and Consulting Center, Government Finance Officers Association
Michael Lawson (ICMA), Director, ICMA Center for Performance Measurement, International City/County Management Association
John Mountjoy (CSG), Director of Policy and Research, The Council of State Governments
Robert J. O'Neill, Jr. (ICMA), Executive Director, International City/County Management Association
Scott Pattison (NASBO), Executive Director, National Association of State Budget Officers
Kinney Poynter (NASACT), Executive Director, National Association of State Auditors, Comptrollers, and Treasurers
Michael J. Robinson (CSG), Senior Deputy Executive Director, Council of State Governments
Ron Skinner (ASBO), Assistant Executive Director, Association of School Business Officials International
Ron Snell (NCSL), Director of State Services, National Conference of State Legislatures
Catherine L. Spain (NLC), Director, Enterprise Programs, National League of Cities
Judy Zelio (NCSL), Program Director, Fiscal Affairs, National Conference of State Legislatures

Commission Staff
Anne Spray Kinney (GFOA), Director, Research and Consulting Center, Government Finance Officers Association
Christina Altmayer (GFOA), Consultant, Government Finance Officers Association
Mike Mucha (GFOA), Senior Consultant/Analyst, Government Finance Officers Association

Contents

A Performance Management Framework for State and Local Government:

From Measurement and Reporting to Management and Improving

At no time in modern history have state, local, and provincial governments been under greater pressure to provide results that matter to the public, often within severe resource constraints. At the same time, government officials and managers are challenged to overcome the public's lack of trust in government at all levels.

We have developed this Performance Management Framework for State and Local Government to help public-sector organizations address these challenges.

The primary motive driving the commission and public-sector performance management in general is the conviction that governments must improve their focus on producing results that benefit the public, and also give the public confidence that government has produced those results. The emphasis on process and compliance that has typified traditional public-sector management has not been sufficient to make this happen. Therefore, governments must change their approach. Public-sector management must become synonymous with performance management.

Now is the time for governmental leaders to ensure that the organizations they lead are taking responsibility for achieving results that matter to the public – by practicing performance management.

Accomplishing this will require more than a conceptual framework. It will require public-sector leaders at all levels, both elected and appointed, not only to set high expectations for performance but also to make a commitment to improving performance. Leaders must instill a sense of urgency about improving performance in their governments, build performance-based organizational cultures and management structures, continuously communicate the necessity of listening to the public, and provide resources to assure that a performance-based culture and related practices are initiated and sustained. We believe that seeking out, understanding, and applying performance management principles and practices is not only a critical responsibility of public officials and managers, but that it is an ethical obligation.

To practice performance management, officials and managers must have accurate, timely, and relevant information for decision making, along with the skills and knowledge to analyze results and design improvements when needed. These are the learning and improving aspects of performance management.

Democratic governments are also obligated to be accountable to their owners – the citizenry. Performance management principles and practices give governments the ability to provide easily understood and timely information to the public so citizens can assess the results their government is producing and fulfill their role as collective owners of their governments.

The feedback we have received during the process of creating this framework has reinforced our view that governments want better information and practices that will help them improve results. This means providing better ways to:

- understand public needs;
- identify and implement programs and services that will meet those needs;
- assure that policies, strategies, and services are in alignment;
- collect and analyze performance information;
- apply information to continuously improve results and become more efficient;
- use data more effectively to inform policy decisions;
- support accountability, both within the organization and to the public;
- provide understandable information on performance to the public; and
- encourage citizens to provide feedback and get involved in the government's decision-making processes.

We know that the creation of the framework is only the first step. We will continue, as members of the commission, to advocate that governments implement performance management initiatives and that the public-sector associations we represent provide tools, techniques, and training for their members to support the adoption and continuous enhancement of public-sector performance management.

We urge public-sector officials, managers, and all others who have a stake in improving the performance of governments to review this framework and make the commitment to apply the principles and practices contained in it for the benefit of their jurisdictions.

The members of the National Performance Management Advisory Commission:

M. Jacqueline Nytes, Chair (NLC), Councillor
City of Indianapolis and
Marion County, Indiana

Richard Devlin, Vice Chair (NCSL), Senate Majority Leader
State of Oregon

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State of California

Introduction to the Framework

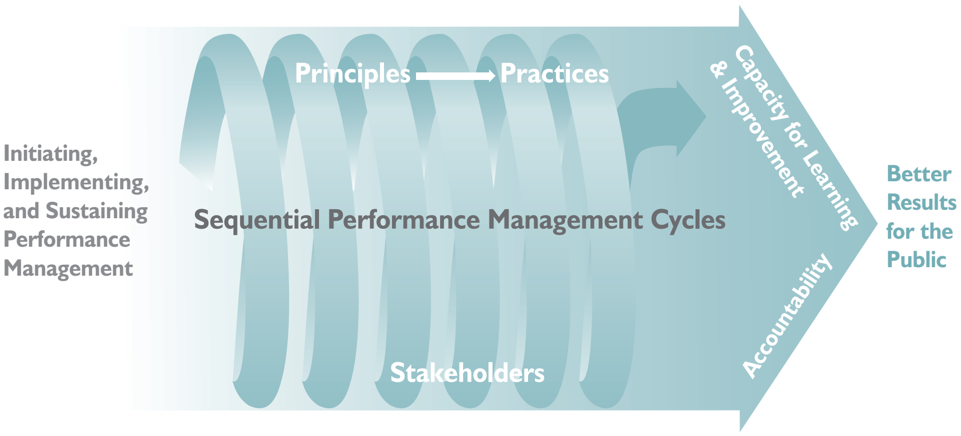
The National Performance Management Advisory Commission developed the performance management framework to help governments move beyond measuring and reporting those measures to managing performance toward improved results.

The framework is conceptual; even though this report provides useful information for governments for learning about and implementing performance management initiatives, the framework was not intended to be a how-to guide. For governments that currently have performance measures, the framework offers information on how they can use them to get better results. For governments that have not yet developed performance measures, the framework provides a starting point for creating a performance management system. The framework is intentionally flexible and high-level so it can be used by all state, provincial, and local entities – agencies, cities, counties, school districts, the judiciary, and special districts.

In developing the framework, the commission identified many audiences that are served by performance management, both internal to the government (e.g., elected officials, executives, managers, departmental supervisors, and staff) and external (e.g., the public, neighborhood and special interest groups, businesses, non-profit organizations, the media, and other governments). The commission believes that the framework will be useful for all these audiences. *However, the commission created the framework expressly for public managers and public officials, who must provide leadership for initiating and sustaining performance management because they have primary responsibility for achieving results.*

The framework illustrated below shows the dynamic nature of performance management. Ideally, when performance management principles are incorporated into traditional governmental processes – planning, budgeting, operational management, and evaluation, for

Performance Management Framework



example – these processes are transformed into a single, well-aligned structure for producing value for the public in the form of better services, effective programs, focused policies, and, ultimately, improved community condition. Performance improves through successive management cycles as the organization's capacity for learning and improving increases.

The desired result of performance management is shown in the previous illustration as "better results for the public." This raises the question of who decides what these results will be. In this framework, the government uses public needs and expectations to identify desired results. More information on how governments identify these needs and expectations is provided in the Performance Management Practices section.

Simply superimposing a performance management process onto a traditionally managed organization may sound good, but in practice, it is not likely to make any difference. To make real improvements, organizational culture must also be addressed.

In addition, it is important to keep in mind that the framework is a means to an end, not an end in itself. Simply superimposing a performance management process onto a traditionally managed organization may sound good, but in practice, it is not likely to make any difference. To make real improvements, organizational culture must also be addressed.

Finally, while benefits do accrue from the beginning, those benefits increase over the years, as performance management principles and practices become embedded in the organization's culture. Consequently, organizations that sustain performance management reap the greatest benefit.

Examples of governmental performance management practices from many types and sizes of governments are provided throughout this report. As these examples will show, there are many approaches to performance management. Because each government has its own unique characteristics and history, approaches that work well for one may not be appropriate for another. However, all good performance management systems incorporate the principles described in the framework.

What Is Performance Management?

Performance management in the public sector is an ongoing, systematic approach to improving results through evidence-based decision making, continuous organizational learning, and a focus on accountability for performance. Performance management is integrated into all aspects of an organization's management and policy-making processes, transforming an organization's practices so it is focused on achieving improved results for the public.

Performance management comprises the concerted actions an organization takes to apply objective information to management and policy making in order to improve results.[1] Performance management uses evidence from measurement to support governmental planning, funding, and operations. Better information enables elected officials and managers to recognize success, identify problem areas, and respond with appropriate actions – to learn from experience and apply that knowledge to better serve the public.

Performance measurement and performance management are often used interchangeably; however, they are distinctly different. For decades, some governmental entities have measured outputs and inputs, and, less commonly, efficiency and effectiveness. Performance measurement helps governments monitor performance. Many governments have tracked and reported key statistics at regular intervals and communicated them to stakeholders. Although measurement is a critical component of performance management, measuring and reporting along have rarely led to organizational learning and improved outcomes. Performance management, on the other hand, encompasses an array of practices designed to improve performance. Performance management systematically uses measurement and data analysis as well as other tools to facilitate learning and improvement and strengthen a focus on results.

[1] David N. Ammons, ed., *Leading Performance Management in Local Government* (Washington, DC: ICMA Press, 2008), v, ix.

Why Performance Management?

Performance Management and the Evolution of Public Management

Performance management can be viewed in historical context as the most recent stage in the evolution of public-sector management. Early governments in the United States were plagued by spoils and corruption. Then, as a reform, a bureaucratic, merit-based system was instituted, focusing on processes to eliminate financial improprieties and nepotism and promote fair access to government contracts.[2] Performance management, while continuing to assure appropriate controls through effective processes, has expanded the meaning of accountability and protecting the public interest to encompass achieving results that benefit the public. While bureaucratic processes focus on preventing bad things from happening, performance management adds a focus on assuring that government actually produces positive results. Performance management is becoming the new standard for public-sector management. Underlying this transition is the recognition that:

- Rationality is the underlying force of performance management. Public managers at all levels are able to make better desicions when the process is informed by relevant data.
- A process approach to accountability is not sufficient. Officials, managers, and employees at all levels must be accountable not just for following processes but for producing results the public needs.
- Performance management is not only a professional expectation for public officials and employees but also an ethical expectation.
- While politics will always be an important force in the governmental environment, there must also be a place for accurate, timely, and unbiased information for high-level decision making as well as for day-to-day management.

Addressing Challenges

Performance management has the potential to help governments address the performance challenges they face. Some of the most important are listed below.

The need to focus the organization on results that are important for stakeholders. Performance management begins with setting objectives and targets that are relevant to stakeholders' needs and expectations. It focuses the organization's resources and efforts toward achieving results that will provide the greatest benefit to the jurisdiction and its stakeholders. Managers and staff also need to gain expertise in understanding and incorporating the public's needs into decisions by engaging with citizens about what they want and need.

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[2] For further discussion of this evolution, refer to "Challenges to Implementing Performance Management," a Performance Management Advisory Management Commission issue paper by Michael F. Brown, Chief Executive Officer, Santa Barbara County. The paper is available at http://pmcommission.org.

The need to improve results within resource constraints. Governments are constantly challenged to provide high-quality services and improved outcomes within limited resources. Performance management addresses this challenge by promoting the use of evidence about effective and efficient approaches and by fostering a culture of continuous improvement in pursuit of the best results for the least amount of money.

The need to engage all public employees, not just top officials and managers, in finding ways to better serve the public in an era of complexity and rapid changes in the environment. "Business as usual" is an inadequate guide for governing in the current environment. Narrow expertise or basic skills in planning and budgeting will not insulate the manager from the need to know how to do more with less. Managers and employees must gain expertise in analysis and process improvement, performance measurement, and the application of technology to solve business problems.

The need to gain and keep the public's trust and confidence. Performance management improves accountability and supports confidence in government not only by enhancing governments' ability to communicate performance information but also by giving governments the right tools for improving results.

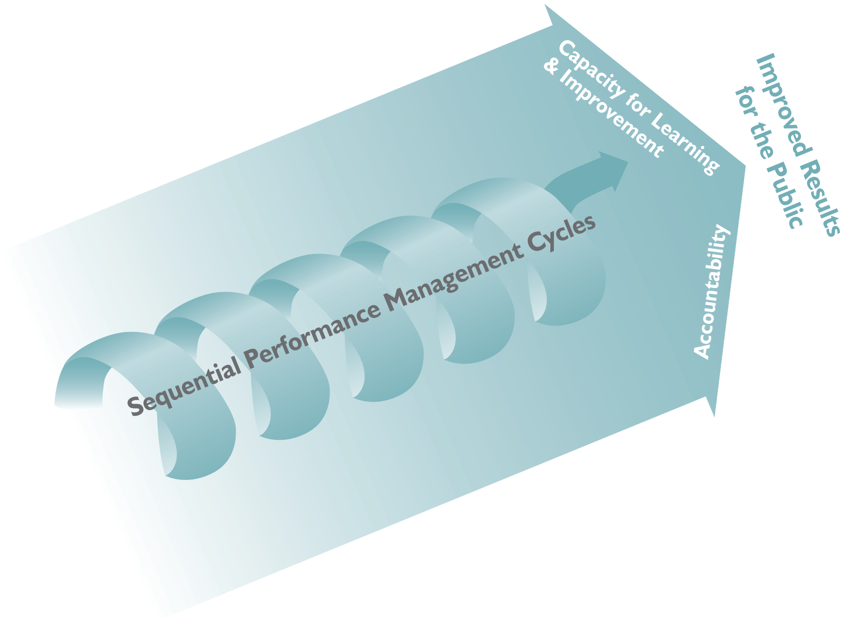
Moving from Measuring and Reporting to Managing and Improving Results

Early practitioners of performance measurement who relied on rudimentary measures of inputs and outputs were often frustrated that their investments did not yield the benefits they expected. Moving from measuring to approaches that use measurement as a component of improving performance can help close that gap. What benefit can governments and the public expect? The fundamental benefit is that performance management enables governments to produce better results for the public. Through continuous cycles of evidence-based planning, resource allocation, program or policy execution, and evaluation, organizations are able to use performance information to identify what works and what does not.

> The fundamental benefit of performance management is that it enables governments to produce better results for the public.

Staff that has been well trained in performance management principles and practices is equipped to learn from the evidence provided by past experience and from the experience of other organizations to modify old strategies or fashion new strategies for improved results. Public officials and managers sometimes hesitate to make the move to performance management because they fear that new costs will accompany the change. This fails to recognize the heavy costs often borne by governments that provide suboptimum services and make poor decisions without the benefit of data and analysis. The costs inherent in performance management are simply the costs of good management.

Benefits of Performance Management



The highest goal and expectation of performance management is improved results for the public. Governmental organizations have used performance management practices to achieve cost savings and improve both performance against targets and customer satisfaction. While much more research is needed to document this connection, practitioners who have applied performance management principles and practices see it happening.

Organizational Commitment to Improving Performance

Some government officials have hoped that simply developing and reporting performance measures would produce better results and have refrained from pursuing performance management. Often, these governments have experienced only modest success from their limited focus on measurement and reporting, and their minimal investment in management infrastructure, training and data collection, storage, and analytic tools that would allow performance measures to be applied to learning and improvement. The Metropolitan Government of Nashville and Davidson County example on the following page illustrates how a transition to performance management from measurement can work.

Performance management is not a mechanical process that can be set in motion and left to run on auto-pilot. Benefits are not realized without engaged leadership and a strong organizational commitment to changing inadequate decision-making processes, structures, and a culture of complacency. Practitioners of performance management have learned that achieving better results through the principles and practices of performance management requires a sound technical approach, strong leadership, ever-improving expertise, and a culture that constantly reinforces a focus on results.

Case Study

The Metropolitan Government of Nashville and Davidson County

The Metropolitan Government of Nashville and Davidson County (Nashville) found that its initial investments in performance measurement did not yield the results it expected. Reported measures were not linked to business or strategic objectives, and they were not making a significant impact on organizational culture. A study by the Nashville Office of Management and Budget found that more than half of the government's departments did not use performance measurement information from the system for monitoring and management purposes, and nearly half collected data only so it could be published in the annual budget book. Through its Results Matter initiative, Nashville transformed its performance measurement process into one that is linked to budgeting and strategic planning. The program's goal is to successfully bring about a cultural shift in the organization and to implement a systematic focus on achieving results. Results Matter has helped change the nature of budget discussions in the City Council, putting more focus on desired and actual results. While it had not been uncommon for debate to center on line-item expenses, now council members more often discuss the outcomes that are being pursued and their relative importance. Results Matter also included a citywide effort to manage operations based on performance information. With increased reliance on performance data for decision making, the city has been able to reduce backlogs in functional areas and streamline processes.

Performance Management Principles

The framework described in this report is established on a foundation of seven principles, which are described below. These principles help transform and unite governmental processes such as planning, budgeting, management, and evaluation into a single, well-aligned system for improving results. Applying these principles to management and policy making creates public value in the form of better policies, services, and programs, and, ultimately, improved community condition.

7 Principles of Performance Management

1. A results focus permeates strategies, processes, the organizational culture, and decisions.
2. Information, measures, goals, priorities, and activities are relevant to the priorities and well-being of the government and the community.
3. Information related to performance, decisions, regulations, and processes is transparent — easy to access, use, and understand.
4. Goals, programs, activities, and resources are aligned with priorities and desired results.
5. Decisions and processes are driven by timely, accurate, and meaningful data.
6. Practices are sustainable over time and across organizational changes.
7. Performance management transforms the organization, its management, and the policy-making process.

1. A Results Focus Permeates Strategies, Processes, the Organizational Culture, and Decisions

A results focus is central and essential to performance management. Community-wide plans, long-term and annual budgets, customer service strategies, and individual efforts all revolve around articulating and producing desired results.

Traditional government processes and practices have too often emphasized a process-compliance definition of results rather than an outcome-based definition. Compliance with prescribed processes may help to assure fairness, fiscal probity, or adherence to the law, but it often results in less emphasis on achieving actual substantive benefits for the public. Performance management principles and practices work to assure that the organization's strategies, processes, and the culture itself are aligned with the results the organization aims to achieve, while still insuring fairness, proper stewardship, and adherence to the law.

2. Information, Measures, Goals, Priorities, and Activities Are Relevant to the Priorities and Well-Being of the Government and the Community

The principle of relevancy requires that an organization establish goals and performance targets that are important and meaningful to intended audiences. Some goals and targets may be technical, such as those related to complying with technical environmental protection laws for drinking water. These are relevant to staff members who are responsible for maintaining compliance and assuring the safety of drinking water, for example. Many residents, however, just want to know that they can drink the water that comes from the tap and that it will be available when they want it. Thus, a government might need to set both technical and resident-friendly goals and provide plain-language interpretations of water drinkability and availability. Relevancy requires that policymakers, executives, managers, and staff clearly understand how to use performance management tools and practices so appropriate goals and targets can be developed and resources can be devoted to achieving them.

3. Information Related to Performance, Decisions, Regulations, and Processes Is Transparent — Easy to Access, Use, and Understand

The principle of transparency means that information is not only easy to access, but also that it is complete, well organized, easy to use, and easy to understand. Information that is known only by a small group or an individual does little to foster evidence-based planning, budgeting, and decision making. Making performance information widely available can encourage dialog about how to improve performance, thus offering the potential for improved resource management, better policy making, and an enhanced ability for the public to participate in their government.

In addition, performance management practices have the potential to change long-established processes and service levels as performance information is used to evaluate performance and perhaps to reallocate resources to better match priorities. Stakeholders will want to know how such decisions are made.

4. Goals, Programs, Activities, and Resources Are Aligned with Priorities and Desired Results

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

5. Decisions and Processes Are Driven by Timely, Accurate, and Meaningful Data

Collecting performance data, storing it in useable form, and applying it to managing and decision making are essential to performance management. Policy makers, executives, managers, and staff must have performance data in order to track and understand results. Data-informed decision making allows the organization to learn from experience, replicate successful strategies, and improve on efforts that fail to meet expectations.

6. Practices Are Sustainable Over Time and Across Organizational Changes

To be successful, performance management must be a sustained organizational improvement effort. Performance management is not an event, a program, or a quick fix intended to address only current issues. A performance management system must be sufficiently flexible to adapt to inevitable changes that occur over time such as leadership changes, changes in organizational structure, or unanticipated events. The benefits of performance management increase over time as it becomes the standard approach to management and decision making. Performance management requires that leaders make a significant commitment to provide resources, develop expertise, and enlist employee involvement. Performance management becomes a sustained effort when the organization uses performance management practices routinely, believes in performance management as the preferred mechanism for managing resources, and, finally, develops the expectation that decisions will be based on performance information.

7. Performance Management Transforms the Organization, Its Management, and the Policy-Making Process

The preceding six principles contribute to this final principle, that of transformation. For performance management, the term "transformation" means a shift from focusing primarily on process and on inputs and outputs to emphasizing results organization-wide. A transformed organization uses evidence-based planning and management and objective goal setting, and works to align its structure, systems, and resources toward achieving results. Transformation also means going from a bureaucratic model toward a more flexible model of results-based management and decision making. Finally, transformation changes organizational culture to one that that values evidence, learning, and accountability for results as well as accountability for complying with laws and regulations.

Initiating, Implementing, and Sustaining Performance Management

Systematic, ongoing performance management requires a sustained effort. Organizations that have implemented and institutionalized large-scale performance management know that it is a constantly evolving process, not something that works perfectly on day one. First, someone takes the lead to initiate performance management. Assuming that authorization and resources follow, the initiative is implemented. Then, if the full benefits of performance management are to be achieved, the effort must continually grow and become a regular part of doing business, which requires active management and sustained focus.

It is also important to keep in mind that in cases where an organization-wide performance management initiative is not possible, limited efforts initiated by a single division or department can yield benefits. These limited efforts can also serve as examples to the entire government and build expertise for a later large-scale effort. However, it is difficult to initiate performance management in an organization where the leadership of the organization is not driven by a desire to deliver quality services at a reasonable cost.

Initiating Performance Management

As with any large-scale change, someone is compelled to break out of the status quo. A performance management champion, motivated to make the change, gathers support for the effort. The three driving forces discussed below are typical.

Desire to improve. Public officials may decide that performance management would be an effective tool for improving services, responding to community needs, addressing citizen preferences, or enhancing the government's reputation. Performance management practices, coupled with better information for better decisions, can lead to improved performance.

> Performance management is a constantly evolving process, not something that works perfectly on day one.

Increased demands and expectations. Governments face myriad demands and expectations – from citizens, businesses, other governments, government workers and supervisors, labor unions, neighborhood groups, and special-interest organizations. Once governments have identified stakeholders' needs and expectations, they can use performance management practices to accomplish outcomes stakeholders will value.

A response to fiscal stress. Officials and managers need better information for allocating scarce resources and countering non-sustainable budget-balancing methods such as across-the-board cuts or use of reserves. A performance approach, based on performance information and data analysis, can help officials and managers make better decisions about setting priorities and using limited funds.

Implementing Performance Management

It can take years for an organization to make performance management the standard way of doing business. But the initial implementation of key elements such as performance-driven planning, changing the budgeting process, and training managers and employees on using data to improve programs and services can be accomplished relatively quickly.

It can take years for an organization to make performance management the standard way of doing business.

Implementation Steps

Although specific implementation steps will vary by government, the following steps are representative.

- Present the case for performance management to the appropriate decision makers to enlist support, obtain authorization, and secure resources. While organization-wide implementation is optimal, individual sub-units – agencies, departments, or bureaus, for example – may decide to implement performance management independently. Regardless of the organization's size, scale, or purpose, support from organizational or sub-unit leaders is essential. Without such support, efforts to implement and sustain the effort are not likely to succeed.

- Identify key purposes and objectives of initiating performance management. Governments usually have more than one reason for implementing performance management. Clarifying and communicating key purposes and establishing specific objectives at the beginning will help to determine process design and enlist support.

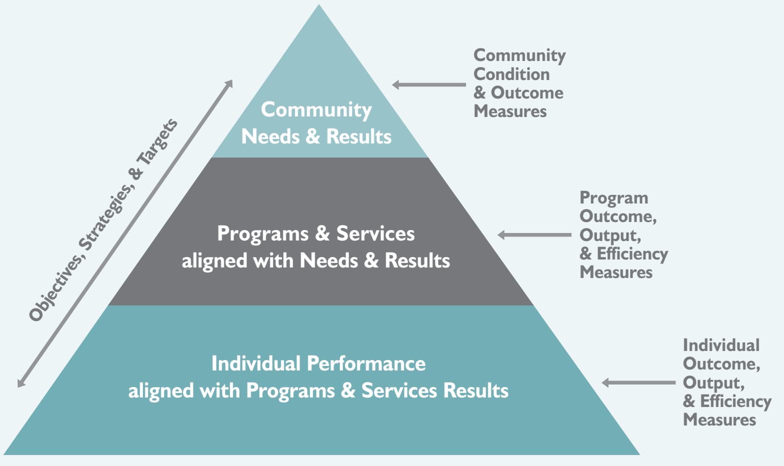
- Define the performance management process. There are several performance management systems that many governments are using, including a strategic planning-based cascading system of objectives, strategies, and measures (see the illustration on the following page); the "balanced scorecard" approach popularized by Robert S. Kaplan and David P. Norton; and the Stat system approach (e.g., CompStat and CitiStat). Governments can adopt one of these approaches fully or partially, or select elements from several to create their own unique system. The Baldrige Management Model, the framework used in the Malcolm Baldrige National Quality Award program, is a system that focuses on leadership, strategic planning, customer focus, measurement, staff, process management, and improving results. This model recommends a structured

A Strategic Cascading Performance Management System

Ideally, a cascading system of performance management establishes alignment all the way from community needs to individual performance. Overarching priorities and objectives are set through a planning process, along with high-level performance measures and targets. Strategies for achieving the objectives are then set through a strategic planning or budgeting processes. Program, service, or organizational unit objectives and measures are also developed that align with overarching objectives and strategies. Individual performance objectives, strategies, and measures may also be part of a cascading system, as illustrated below.

Cascading Systems

Aligned objectives, strategies, and measurement at all levels



approach to management based on criteria set up for receiving the Baldridge Award. While the Baldrige criteria have been used mainly in the private sector, both the City of Coral Springs, Florida, and the Jenks Public School District, Oklahoma, are Baldrige Award winners.

Regardless of the specific approach, performance management typically includes the following elements:[3]

1) A planning process that defines the organizational mission and sets organizational priorities that will drive performance. This is the planning phase of the performance

[3] *The Performance-Based Management Handbook, Volume 1, Establishing and Maintaining a Performance-Based Management Program*, U.S. Department of Energy Performance-Based Management Special Interest Group (September 2001), www.orau.gov/pbm. Each of these elements is listed in the DOE handbook; however, they have been revised for the purposes of this framework.

management cycle. Once strategic priorities are established that are consistent with the mission, long-term objectives, annual targets, and strategies can be set.

2) A process for engaging the public and identifying community needs. Without such a process, it is difficult or impossible to fulfill the promise of performance management to produce results the public needs. When establishing the process, government should identify the purpose for engaging the public, points in the process where the public will be involved, how and when information gained from the public will be used in the performance management system, and the specific public involvment methods that will be used.

> The organization needs the capacity fo analyze data, not just collect and report it.

3) A budget process that allocates resources according to priorities. A complete performance management system must include a performance approach to budgeting. Rather than developing budgets from the previous year's expenditures, funding is allocated according to priorities and information about what actions are effective in reaching desired results.

4) A measurement process that supports the entire performance management system. A key challenge in this step is integrating measures both horizontally (across organizational processes and boundaries) and vertically (from a community condition level all the way down to the work of departments and individual employees in support of improved conditions).

5) Accountability mechanisms. Accountability refers to the obligation a person, group, or organization assumes for the execution of authority and/or the fulfillment of responsibility. "This obligation includes: answering – providing an explanation or justification – for the execution of that authority and/or fulfillment of that responsibility; reporting on the results of that execution and/or fulfillment; and assuming responsibility for those results."[4]

6) A mechanism for collecting, validating, organizing, and storing data. This process assures data reliability and availability.

7) A process for analyzing and reporting performance data. The organization needs the capacity to analyze data, not just collect and report it, so that data can be interpreted and useful information provided to management, policy makers, and the public.

[4] Ibid, p. 21.

8) A process for using performance information to drive improvement. At this stage, information is used as evidence to help the organization make decisions on whether to continue programs or activities, prompt and test new strategies, use data to set up improvement incentives, or try something else. The capacity for using performance information to drive improvement includes being able to compare current performance to past performance, established standards, or the performance of other organizations.

- Communicate the plan to gain understanding, enlist support, and assure that stakeholders have the facts. Communication is a critical component of any change effort. Setting up a multifaceted communication effort will help all parties gain understanding and build and maintain support. By not just providing information but inviting feedback and questions, a good communication process can counter inaccurate information by rapidly identifying inaccuracies and making sure that accurate and relevant information is provided.

- Build organizational capacity through training, hiring, or developing in-house technical and other expertise; providing performance management tools; and building common terminology. While training is generally part of initial implementation, it should not be viewed as a one-time event. Existing staff benefit from recurring training, and new hires need proper introduction to the way the organization practices performance management. The organization's efficiency and effectiveness will benefit from deeper staff understanding of performance management practices and principles.

- Monitor the implementation process and make adjustments as necessary. Just as monitoring and adjusting are part of the performance management cycle, the performance management initiative itself must be continually monitored and changes must be made to assure that it is becoming ingrained in the organization and that benefits are being achieved.

> Any major organizational change requires both a sound technical approach and a workable approach to change itself.

Managing the Change

Any major organizational change, including implementation of performance management, requires both a sound technical approach and a workable approach for the particular organization involved. Organizational change management is indispensable to assuring that performance management will become the organization's ongoing way of doing business. At its heart, performance management is an organizational improvement process that hinges on aligning employee interests with the organization's objectives. Achieving this alignment requires that the organization pay attention to key issues that employees have during the transition.

There are many challenges to implementing performance management. It cannot be promised as a quick fix, although benefits usually begin early. It takes time, and those who would typically have responsibility for implementation have other tasks they must accomplish simultaneously. It may also be a reputational risk for those who undertake it. There are no guarantees of success. While many practitioners have had successes, there are as yet no systematic studies that rigorously quantify the direct or indirect benefits of performance management efforts.

> Organizational and structural issues often have the potential to affect the success of a change effort, so strategies to address those issues should commence before performance management implementation begins.

Organizational and structural issues often have the potential to affect the success of a change effort, so strategies to address those issues should commence before performance management implementation begins. Initiators of performance management should consider the culture of their organizations and identify potential barriers as they develop their implementation strategies. The earlier change management efforts begin, the stronger the foundation becomes to support a sustained performance management initiative. While a comprehensive description of change management is beyond the scope of this document, a sound change management process includes, at minimum, the following steps:

- **Assess the organization's capacity for change.** Review how the organization has responded to changes in the past, what the key barriers have been, and how they have (or have not) been overcome.

- **Assess implementation risks.** A risk assessment identifies environmental threats (e.g., people, events, finances, and cultural factors) that may impede progress or even stop the initiative. Doing such an assessment in the beginning enables planners to consider how to respond to these threats should they occur and also to decide on the timing of the initiative.

- **Create a change management component.** Give responsibility to an individual or a group for addressing change management issues separate from the technical components of performance management implementation.

- **Establish a process for communication.** As mentioned earlier in the implementation section, communication should be systematic and frequent. A communication plan that identifies key audiences, key messages, and appropriate communication channels, and then provides timely communications, is an essential part of managing the transition.

- Provide coaching and individual attention to participants. Provide coaching and feedback so individuals in the organization are able to use performance management and understand not only why it is good for the organization, but also how each person fits into a performance management approach.

- Manage resistance. No matter how well justified the initiative may be, acceptance levels will vary. Some individuals will enthusiastically adopt, some will adopt because it is expected, and others will drag their feet or simply refuse to get on board. Managing resistance is a multi-faceted activity that involves identifying the specific sources of resistance and developing responses that are appropriate in scale and intensity.

- Celebrate success. Although we have emphasized that performance management is an evolutionary process, successes occur at every stage. In the beginning, gaining resources for an implementation plan is an early success. Creating key organizational priorities is another. It is important to announce successes and involve employees as a way of nurturing the message that performance management is not itself a program or owned by a single group of people, but rather the organization's new way of doing business.

Key Factors in Sustaining Performance Management

Although this section presents initiating, implementing, and sustaining performance management as a three-part sequence, in fact, the ability to sustain a performance management initiative begins in the two earlier stages. Assuring that the performance management initiative becomes an ongoing effort integrated into the organization's practices and culture begins with the steps taken in establishing the initiative. The following factors are important to a sustained effort. In the initiating stage, it is important to analyze the extent to which the following factors are present. At that point, if deficiencies exist, there is time to remedy them or create work-around strategies.

Supportive leaders. Performance management initiatives cannot achieve optimum success without energetic and sustained support from an organization's top managers. Leaders need to articulate a vision for performance management that tells stakeholders how they will benefit and encourages involvement. Leadership must also make clear that performance management is not an experiment and is in fact how business will be conducted.

Elected officials may need to be convinced of the value of implementing and sustaining performance management. Some officials are concerned that instituting a process driven by high-level outcomes and numerical targets may interfere with their authority to set goals and make decisions. Elected officials need to be very involved in their role as policy makers, in the planning stages, where goals are set, and also in later stages, where their oversight responsibilities should be exercised. There are many ways in which elected officials can benefit from performance management, including the following examples:

- A good performance management system has the potential to improve results, explain or defend the distribution of resources, and, through good management, increase benefits to the entire community. These are positive factors for elected officials.

- The information provided by performance management systems can be used in dealing with powerful organized interests. Officials can use survey data, information on public preferences and priorities, and performance information to counter such interests.

- Performance management systems provide elected officials with objective information they can share with constituents when they discuss the rationale for decisions or votes they have made.
- Good data from performance management systems may help elected officials reach agreement on priorities faster, and with a higher comfort level that they have made the right decision.

It is also important that a full explanation and a context be provided when information is made public. Elected officials are likely to be much more comfortable with having performance data be made public if comparative data from the region or similar governments is included, along with an explanation of the context. For example, if a certain type of crime has increased (or decreased), providers of information may report whether this is part of a regional or national trend driven by demographics, and how the government's performance compares to that of surrounding governments.

Internal champions. A small number of internal champions committed to success and to putting in the time it will take to create a sustained effort can make performance management happen. Champions are committed to implementing performance management and are willing to use their time, talents, and resources to help develop, improve, and get others committed to the effort. This includes finding the time to do research, organize meetings, assign staff to projects, and develop fact-based arguments for countering resistance.

Sufficient financial resources. Performance management results in greater efficiency and more effective use of resources in the long run, but it requires an upfront investment of

Case Study

The City of Columbus, Ohio

The City of Columbus, Ohio, views performance management as a critical tool in developing the accountability necessary to achieve the mayor's goals and objectives. When the city implemented its system, the first step was to hire an experienced leader and create an office of performance management within its financial management division. The office of performance management was given the mission of "ensuring that city leaders and departments have the information they need to track performance, document successes, and identify opportunities for improvement in city services." The city also identified "internal champions" to staff the office – individuals who could act as internal consultants to departments, provide support, and continue to advocate for performance management.

resources for implementation. People, expertise, technology, and money are necessary to establish and maintain tools and practices for revising processes, developing measures, and collecting and storing data.

Performance management expertise. Developing a successful performance management system requires much more than creating new forms and developing new measures. Performance management systems represent a fundamental change in organizational culture. Accessing outside expertise from individuals who have previously implemented performance management allows governments to take advantage of lessons learned and avoid common problems. Sometimes this expertise is already on hand. Identifying and enlisting the support of individuals within the organization who are knowledgeable about the various elements of performance management, preferably those with previous experience, is a good strategy.

External champions. External champions such as good-government organizations, citizen groups, or businesses that have adopted performance management practices can be valuable in gaining and keeping support from both the public and within the government. External champions can advocate on behalf of a results-driven approach to government leaders and the media. While it can be beneficial to have the support of such groups, performance management initiatives can succeed even where this advocacy does not exist.

Professional organizations and other educational and research groups. Many of the organizations that have sponsored the creation of this framework, as well as academic institutions and non-profits across the United States and Canada, provide a multitude of resources governments can use to help them sustain their performance management initiatives.

The ability to demonstrate improvement. One of the best ways to sustain the effort is to demonstrate improvements resulting from performance management. To do so, it is important to maintain data, conduct reviews, and communicate success.

Performance Management Without a Formal System

Performance management thrives where managers and supervisors take responsibility for influencing results and favor facts over intuition in decision making. One reading of this framework might imply that an organization – a city, an agency, or school district – can only implement performance management practices when they are integrated into multiple dimensions of an organization's management system. Undoubtedly, those who operate in governments where performance management is the norm and where organization-wide systems are in place to support this norm are in a better position to make data-driven decisions than are their counterparts operating without such systems and support. Nevertheless, many managers and supervisors operating without formal organization-wide systems and without major executive or legislative encouragement can and do engage in performance management regularly. Without much fanfare, program directors and middle managers commit random acts of performance management that benefit the citizens they serve. These "random acts" refer to programs, processes, or activities that use performance data within a limited scope to improve their operations. While it is important to encourage formal, organization-wide systems of performance management, it is also important to neither forget nor fail to encourage isolated and individual efforts at using performance data to achieve better results.

Many of the fundamentals that are essential elements of comprehensive performance management systems also apply to individual practitioners attempting to make data-driven decisions on their own. Establishing performance goals, defining metrics to measure progress, setting targets, regularly monitoring progress, and motivating managers and employees to improve results are the essential elements of performance management, and whether the organization has a comprehensive system or not, the individual practitioner can put these elements in place at the program level to aid the decision processes there.

Performance management is the responsibility of all professional managers throughout an organization. Executive support and comprehensive systems can propel the volume and value of data-driven decisions in an organization and can create an environment or culture that demands performance management, but individuals who are committed to performance management in their corner of an organization that is lacking such a culture can still boost performance. These efforts should be recognized and encouraged.

While organization-wide systems to facilitate performance management are noteworthy and deserving of emulation, isolated instances of data-driven or data-influenced decisions are undoubtedly more numerous and similarly deserving of encouragement.

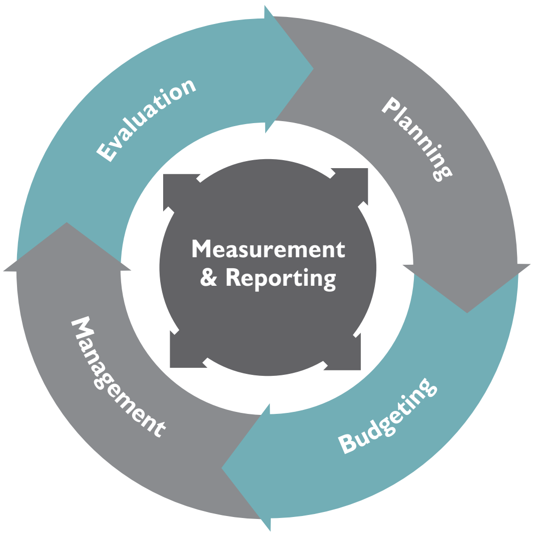
For example, in 2008, an ambitious fiscal manager at the County of Los Angeles Department of Parks and Recreation implemented a system to track the percentage of times the department successfully earned a vendor discount, with a goal of 100 percent. Within four weeks, the department's success in securing vendor discounts climbed from 55 percent to 97 percent.

Or consider the success achieved by the County of Los Angeles Department of Beaches and Harbor. The department had been frustrated by multiple efforts to implement performance management systems. In 2009, it employed performance management practices to tackle a constant concern about its operations – how clean are the restrooms? Beaches and Harbor implemented a simple charting system to track which facilities were cleaned at what time of day and to rate the cleanliness. The tracking system allowed the department to reassign staff and justify hiring additional employees to address cleanliness at the busiest beach facilities during the busiest times of day.

Performance Management Practices

Practices represent performance management principles in action – the way that performance management is applied to the ongoing operations of government. Traditional management practices become performance-driven when they incorporate the principles described previously. This section first describes the key performance management characteristics of the four processes that comprise the performance management cycle (illustrated below) – planning, budgeting, management, and evaluation. Then it describes two cross-cutting practices – measurement and reporting – that are used in all four processes.

The Performance Management Cycle



While the processes shown above constitute a cycle, each process typically operates on a different timeline. Planning may be long term or medium term (two, three, five, or more years). Budgeting is usually short term, either one or two years. Operational management is day to day. So even though each process informs the next, the reality is that the decision timeframe for the next process is shorter than the last, and evaluation informs each of the other processes.[5]

There are several implications. First, managers must recognize these differences and decide how to address the challenges they present (for example, have a flexible five-year plan that

[5] This material on the different performance timelines of performance management cycle processes was provided by Michael Jacobson, Manager, Performance Management Section, King County Washington Office of Strategic Planning and Performance Management.

is updated annually based on the government's experience in the most recent fiscal year). Second, assuring that the processes in the cycle stay aligned requires constant attention. Third, different measures, targets, and feedback/analysis frequencies are required for each process, with operational management needing the most frequent feedback and analysis. Stat systems such as Baltimore's acclaimed CitiStat system are intended to provide this rapid feedback and analysis, so management can change operational strategies quickly as conditions change.

Because it is not possible to identify and describe all existing performance management practices here, we provide examples within each process. The examples come from the experience of cities, provinces, states, counties, schools, and special districts that have adopted performance management. While the commission encourages the adoption of performance management throughout the organization, individual departments or program managers can improve results by instituting these and other performance management practices, even if the entire organizatin has not implemented performance management.

Planning: Defining the Results to Be Achieved

Strategic Planning

Strategic planning should systematically address an organization's purpose, internal and external environment, and value to stakeholders, and it should be used to set an organization's long-term course. In addition to setting direction, performance-driven strategic planning enables a government to evaluate performance in relation to objectives so information on past performance can inform and help improve future performance.

The Government Finance Officers Association's best practice on strategic planning states that "... all governmental entities should use some form of strategic planning to provide a long-term perspective on service delivery and budgeting, thus establishing logical links between authorized spending and broad organizational goals."[6]

The Government Performance and Results Act says that strategic planning is "an opportunity to unify the management, employees, stakeholders, and customers through a common understanding of where the organization is going, how everyone involved can work to that common purpose, and how we will measure our progress and levels of success."[7]

Planning in a performance management context includes articulating the organization's vision and mission, establishing measureable organization-wide objectives or priorities, and identifying strategies for achieving the objectives. Although these elements may be developed without conducting a formal strategic planning process, a formal process helps assure that key stakeholders are appropriately consulted or involved and that the resulting objectives and strategies are recognized as the accepted future direction of the organization.

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[6] The GFOA's Recommended Budget Practice on the Establishment of Strategic Plans (2005) is available at http://www.gfoa.org/downloads/budgetStrategicPlanning.pdf.

[7] "Serving the American Public: Best Practices in Customer-Driven Strategic Planning," Federal Benchmarking Consortium Study Report (February 1997), http://govinfo.library.unt.edu/npr/library/papers/benchmrk/customer.html.

Setting priorities in a political environment is challenging. It can be particularly challenging at the state level and in local governments where partisan politics is a factor. The broader principle of performance management calls for decisions to be informed by data, but good strategic planning cannot take the politics out of government, nor should it. Good strategic planning can, however, provide an unbiased assessment of the environment, identify critical issues, and suggest effective strategies for addressing these issues that can have power even in the most politically charged environment. The following practices are part of a performance-driven planning process.

Vision and mission identification. Essential to the planning process is the definition of a vision and mission for the organization. A vision provides a focus on a future state and provides a context for creating measures that reflect progress toward that future state. A vision statement is often inspirational, and it helps answer the question, "Where do we need to go?" A mission statement is more concrete. Public-sector organizations cannot be all things to all stakeholders; a clearly defined mission statement says what the purpose of the organization is and also helps readers understand what is outside the purpose. It therefore helps the organization identify what it needs to accomplish, establish priorities, and set expectations.

Environmental scan and analysis. This practice enables the organization to understand the internal and external forces that are likely to affect its ability to achieve desired results. Organizations need to put together a full picture of the challenges and opportunities the environment presents. From this information, assumptions can be made to guide the remainder of the planning process.

Setting priorities in a political environment is challenging. It can be particularly challenging at the state level and in local governments where partisan politics is a factor.

Stakeholder perspectives on priorities and performance. Performance management begins with the premise that governments need to produce results their constituents need and want. Consequently, while other factors such as economic and demographic trends are important to understand, stakeholder priorities and expectations are crucial in setting objectives and determining strategies for achieving the organization's mission. Collecting information in a variety of ways from a wide sampling of constituents helps ensure that diverse views are factored in, not just those of the most active interests.

Public involvement and a true understanding of public priorities are crucial to performance management systems. They span planning, budgeting, management, and evaluation of results. However, public involvement is used most heavily in the planning phase because planning drives these other components. Community meetings, citizen surveys, focus groups, and other information-gathering techniques are most frequently used in planning processes. In the budget, feedback mechanisms such as hearings or Web-based budget choice “voting” systems may be useful. In management processes, point of service surveys, focus groups organized around specific services or service areas, or newsletters are some of the methods for helping service managers identify citizen preferences, expectations, and problems.

Key objectives and strategies. Well-articulated and measureable objectives provide a basis for setting annual targets and for assessing the extent to which the organization is meeting its goals. Strategies describe how objectives will be accomplished. Strategies can be used to develop programs and activities that enable the organization to pursue the objectives.

Creating Organizational Objectives and Strategies

Setting objectives begins with considering the future that leaders and stakeholders are describing. What should the community look like in five years? What should be expected in ten or more years? The main elements of a desired future state can be incorporated into a relatively small number of objectives that are clearly articulated, specific, measureable, and relevant to stakeholders. Strategies are logically linked to critical issues and describe how objectives will be achieved. For example, if the public is very dissatisfied because roadways are congested, then what condition is desirable? What is the public’s view of a reasonable travel time to get to work? A measureable objective might be established around the public’s expectation and around transportation experts’ knowledge of how quickly a jurisdiction can move from the current travel time to a time that better meets the public’s expectation. Strategies are interrelated with setting targets because strategies help determine what can be achieved over a specific timeframe. In this example, a community might consider improved roadways or decreasing the number of traffic interruptions due to accidents, or alternatives to automobile travel such as light rail systems or improved bus service — or all of these strategies.

Operational Planning

Operational plans (often called business plans or action plans) translate high-level objectives into policies, programs, services, and activities aimed at achieving these objectives. Operational plans need to clearly explain the connection between activity and results, and provide specific measures so progress can be evaluated. Operational plans typically cover a two- or three-year period and are updated annually. Governments such as the City of Charlotte, North Carolina, have merged their budgets and operational plans to help keep the spotlight on performance. Others, including the City of Minneapolis, Minnesota, require each department to develop a business plan.

Case Study

The City of Minneapolis, Minnesota

In 2005, the City of Minneapolis, Minnesota, started a new strategic planning process that identified six city goals and 31 strategic objectives. Each department prepares a business plan that says what it will do to support the six city goals and 31 strategic objectives. A departmental business plan includes the department's organizational chart, mission statement, and a brief description of primary business lines, department goals and objectives. It also identifies the department's alignment with city goals and performance measures. The link among city's goals and departmental objectives is clearly designated in table format. Plans are updated every five years, and yearly progress reports are provided.

Linking Strategic Planning and Long-Range Financial Planning

A strategic plan and the objectives and strategies that emerge must be grounded in fiscal reality. Otherwise, it can create citizen, political, and staff expectations that may not be realistic or attainable. It is therefore important that a long-range financial plan be developed concurrently and in association with the strategic plan.

Performance Budgeting: Achieving Results through Good Resource Allocation

Performance budgeting begins where the strategic plan and/or operational plan ends, using the objectives and strategies from the planning process as the basis for developing a spending plan. The primary purpose of performance budgeting is to allocate funds to activities, programs, and services in a manner most likely to achieve desired results. A performance approach to budgeting emphasizes accountability for outcomes (that is, what constituents need and expect from their government), whereas line-item budgeting focuses on accountability for spending from legally authorized accounts. (Spending from appropriate accounts is, of course, also important in performance budgeting, but it does not drive the process.) There are many valid approaches to performance budgeting. What they all share is the goal of assuring that funding is directly linked to achieving high-priority results. Performance budgeting has three essential elements: 1) desired results must be articulated; 2)strategies for achieving results must be developed; and 3) the budget must explain how an activity will help accomplish the desired result. Including performance measures in a line-item budget does not constitute performance budgeting. Performance budgeting requires a new approach that includes:

- A shift of emphasis from budgetary inputs to outcomes. Inputs – dollars, people, supplies, equipment – are justified based on how they are expected to contribute to the achievement of desired results.

- The integration of budgeting and strategic planning and an associated focus on long-term results. Performance budgets are developed within the context of long-term objectives and strategies established in strategic plans. Traditional budgeting focuses much more on tactical approaches and a short time horizon.

- Greater attention to the needs of residents and businesses. Traditional budgeting, due to its focus on inputs and its tactical nature, tends to look inward, on the priorities of departments and agencies. Performance budgeting practices, by emphasizing the relationship between spending and results, causes more attention to be focused outward, on what is relevant to the community.

While a basic tenet of performance budgeting is that spending should be aligned with an organization's key objectives and strategies, a significant limitation to doing so in most budgeting processes – even performance budgeting processes – is that budget requests are prepared by individual departments. At this point in the process, the link between spending and the achievement of key organizational objectives is often weak. Budgeting for Outcomes (BFO), described in David Osborne and Peter Hutchinson's *The Price of Government*,[8] offers a way around the department-by-department barrier to make a more direct link between funded activities and outcomes.

Beyond Department-by-Department Budgeting: BFO

Budgeting for Outcomes (BFO) is a performance budgeting process that is based on articulating high-level priorities, identifying strategies that will enable the organization to achieve priority outcomes, and directly tying spending to those results. At the beginning of the budgeting process, BFO directly assigns all estimated available funding to high-level priorities. Departments, rather than preparing departmental budget requests, prepare individual program or service proposals specifically related to helping the jurisdiction achieve one or more of its overall priorities. Through a prioritization process, these proposals are reviewed and ranked. Proposals are funded according to their rankings within each priority, until no more funds are available. Once decision makers have reached agreement on a final set of programs and activities to be funded, the spending plan is organized into departmental budgets for financial monitoring and accounting purposes. The BFO approach has been used by states, cities, counties, and school districts in the United States, including: Dallas, Texas; Fort Collins, Colorado; Jefferson County Schools, Colorado; Mesa County, Colorado; Multnomah County, Oregon; Oregon Department of Education; Polk County, Florida; the Quinault Indian Nation; Redmond, Washington; Savannah, Georgia; Snohomish County, Washington; and the atate of Washington.

[8] David Osborne and Peter Hutchinson, *The Price of Government: Getting the Results We Need in an Age of Permanent Fiscal Crisis* (Cambridge, MA: Basic Books, 2004).

Management Practices: Aligning Operations with Outcomes

Management practices constitute an organization's operational strategies for achieving results manifested in its work processes, staff, and external partners and contractors. Performance management practices are focused on results. As previously noted, there are currently no definitive sources of information on the effectiveness of performance management practices. Nevertheless, governments can learn from each other based on evidence from their experience with performance management.

In theory, using performance data to make operational decisions is a common-sense, logical approach. In practice, it may run counter to an organization's ingrained decision-making processes, which are often based more on hierarchical position, perceived professional expertise, or tradition than on evidence. "Evidence-based management entails a distinct mind-set that clashes with the way many managers and companies operate. It features a willingness to put aside belief and conventional wisdom – the dangerous half-truths that many embrace – and replace these with an unrelenting commitment to gather the necessary facts to make more informed and intelligent decisions."[9]

The practices below illustrate a sampling of sound performance management approaches. They are organized in three categories:

- Managing processes. Managing operational processes.
- Managing staff. Managing staff through human resource practices.
- Managing relationships. Managing external relationships, primarily partners and contractors that help organizations achieve results.

Managing Operational Processes

This category relates to approaches that drive performance through continuously measuring and analyzing performance compared to targets or the results achieved by similar operations. A key component of each of these practices is a process that enables managers and staff to analyze and discuss performance information, and reach conclusions that lead to changes intended to improve results.

Business process management. Business process management – also known as business process improvement or business process reengineering – has been used both as an overall approach to managing performance as well as a specific management practice. The Vermont Agency of Transportation uses its business process management system to link day-to-day operations with strategic objectives, for example. Other governments (including the City of Redmond, Washington; the City of Chicago, Illinois; the City of Cape Coral, Florida; and the City of Conroe, Texas) have used business process management methodologies to improve the efficiency and effectiveness of specific processes.

As performance management transforms the organization to meet strategic objectives and

[9] Jeffrey Pfeffer and Robert I. Sutton, "Evidence-Based Management," *Harvard Business Review* (January 2006).

ensure strategic alignment, business process management focuses on people, processes, and systems to achieve process improvement. Process improvement, accompanied by performance management, provides efficient and effective processes that deliver outcomes valued by the public.

As a process discipline, an organization's employees need to understand the process, not only as it relates to their specific areas of control, but also from the perspective of understanding the process from end to end. A thorough understanding of the end-to-end process creates a process-oriented view throughout the organization instead of the functional departmental views commonly known as silos. When the entire process is understood, it can be improved upon. In addition, business process management includes effective management of the organization's information technology resources (systems). As more reliance is placed on information technologies, it is important that these investments meet the strategic business objectives that support those critical business processes. Alignment of people, process, and systems coupled with performance management creates value for all stakeholders.

A number of organizations have used business process management methodologies to improve the efficiency and effectiveness of specific processes.

Stat systems. The term Stat refers to a operational performance management system based on the New York City CompStat initiative (short for computer statistics or comparative statistics model) that was later adapted by the City of Baltimore as CitiStat. Broadly, it can be defined as:

> A series of regular, periodic meetings during which the leadership and/or leadership top aides use data to discuss, examine, and analyze with the individual directors of different agencies past performance, future performance objectives, and overall performance strategies.[10]

Since 2000, this model has been replicated and expanded by numerous governments as a way to track and evaluate results against targets in an open, transparent, and problem-solving way. Stat meetings are typically held at least quarterly.

Four key elements have been associated with successful efforts at managing operational processes and testing operational strategies:[11]

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[10] Robert D. Behn, "The Varieties of CitiStat," *Public Administration Review* (May/June 2006), 332.

[11] Based on the work of Jack Maple (1991) and Bratton (1998) as noted in the chapter, "The Core Drivers of CitiStat," Robert Behn, *Leading Performance Management*, ed. David Ammons (Washington, DC: ICMA Press, 2008).

- **Accurate and timely data shared by everyone at the same time.** Performance data anchor discussions. Data are displayed against agreed-upon targets in graphical and table format to facilitate understanding of actual performance against plan. Meetings are generally widely attended by all those who have an active role in contributing to positive performance. This may include administrative support functions such as human resources, contracting, and information technology as well direct operations and/or program staff.

> Stat meetings are used to track and evaluate results against tragets in an open, transparent, and problem-solving way.

- **Regular and frequent meetings to accelerate learning.** Meetings are held on a regular schedule to reinforce the commitment to results and to monitor how agreed-upon corrective actions are effecting results. The meetings provide the forum in which alternative performance strategies are explored, discussed, and prioritized.
- **Relentless follow-up and assessment.** A common component of meetings is the generation of commitments – specific actions that the agency, department, or unit will commit to undertaking before the next performance review meeting to improve results. Future meetings are then used to continuously compare actual results against planned results and determine whether further corrective strategies are warranted.
- **A problem-solving model that works for the organization.** The emergence of operational review approaches such as Stat systems as a performance management strategy might imply that it is a uniform approach. While the core tenets as identified are common, how they unfold reflects the culture of the organization and its leadership. Each organization must adapt standard approaches to work within its culture and structure.

Benchmarking. Benchmarking is one of the ways to understand organizational performance. It works by comparing an organization's performance to that of organizations having similar missions, scope, and responsibilities.

Efforts such as those supported by the International City/County Management Association (ICMA) Comparative Performance Measurement Program assist cities and counties in the United States and Canada with collecting, analyzing, and applying operational performance information. This program gives member governments the ability to engage in interagency benchmarking as well as making internal comparisons.[12]

When considering benchmarking, it is important to keep in mind that this approach is not as simple as conducting a survey of several jurisdictions or taking information from budg-

[12] See ICMA Center for Performance Measurement project information available at www.icma.org. The center assists more than 220 cities and counties with populations ranging from less than 10,000 to more than one million.

ets or actual reports and comparing it. Good benchmarking includes due diligence to assure that data are comparable. Even then, however, it is often difficult to make true comparisons, so conclusions reached through benchmarking must be carefully considered, and there should be full disclosure of methods used.

Broad comparisons are useful among organizations where information sharing is the norm and services are similar. They may also be more useful in comparing some services than other services. For example, benchmarking retirement systems has been useful because public retirement systems typically comply with standards set by the Governmental Accounting Standards Board (GASB) when reporting financial information, so comparisons are relatively easy to do. The National Association of State Auditors, Comptrollers, and Treasurers collects information on back-office functions, which may be more amenable to comparison than direct citizen services. Conversely, benchmarking human service activities has been difficult because of the varying populations, approaches, and regulations involved.

Good benchmarking includes due diligence to assure that data are comparable. Even then, it is often difficult to make true comparisons, so conclusions must be carefully considered.

There has been some success in cases where several jurisdictions in a region join together to develop and use standard measures, and a formal process exists for collecting, validating, and sharing data. Ensuring comparable data requires uniform guidelines for data gathering (e.g., whether or not to include overhead costs in calculating operating costs) and a comprehensive data-cleaning effort. State-wide and regional benchmarking consortiums such as the Florida Benchmarking Consortium, the North Carolina Benchmarking Project, the Ontario Municipal Benchmarking Initiative, and the Michigan Local Government Benchmarking Consortium are good examples.

While the most visible benefit of participating in a comparative benchmarking project is being able to assess an organization's performance against that of its peers, the underlying and perhaps most important benefit occurs for organizations that exchange information on practices and effective strategies after comparing data. The City of Toronto has also found that providing side-by-side comparisons of its performance information with that of other cities has added to the credibility of its performance information. Toronto also provides multi-year internal trends in its performance reporting. By including both perspectives (internal historical comparisons as well as city-to-city comparisons), Toronto believes residents get a more complete view. For example, while internal trends might show year-to-year improvement, an interagency comparison may show that the government is actually in the bottom quartile when compared to others, thus providing information on how much improvement is possible.

The North Carolina Benchmarking Project

The North Carolina Benchmarking Project was initiated by the University of North Carolina and participating municipalities in 1995 and currently assists 17 communities, including the Town of Cary, the Town of Carrboro, the City of Salisbury, and the City of Raleigh, all in North Carolina.* The project provides a comparative basis for local governments to assess service delivery and costs. It allows participating units to make comparisons among themselves and with their own internal operations over time. The benchmarking process includes compiling service and cost information, cleaning the data for accuracy, calculating the selected performance measures, and comparing the results. The project has achieved some overall goals and produced valuable lessons regarding performance measurement, benchmarking, and cost accounting, in addition to specific results for the participating municipalities.

What the project has achieved:

1. The project's methodology, consisting of service profiles, performance measures, cost accounting, and explanation of results, provides a comprehensive source of information to compare service delivery and cost between jurisdictions. The project's accounting model is especially effective in capturing the full cost of service delivery.

2. The performance data have been used in numerous jurisdictions for service improvement, especially in the areas of residential refuse collection and household recycling.

3. The project's success is directly related to consensus on service definitions and measurement statistics, involving numerous local government officials from the participating municipalities.

What we have learned:

1. Local governments can produce accurate, reliable, and comparable performance and cost data, which can be used for service improvement.

2. Specific service definitions are vital to performance measurement and benchmarking, including explanatory information.

3. Data availability and data quality are very important to performance measurement.

4. Auditing or verifying the accuracy of performance data is a necessary component of performance measurement and benchmarking.

5. Performance measurement and cost accounting are time consuming. However, performance measures provide valuable information in the quest to provide quality services at reasonable cost.

* This information about the North Carolina Benchmarking Project was taken from the project's Web site, at http://www.sog.unc.edu/programs/perfmeas/.

Managing Staff

Performance-driven human resources practices are focused on engaging and motivating employees to actively support achievement of results, often by tactics designed to help align individual objectives with organizational objectives. An organization creates a culture that motivates increasing levels of performance by using a system of rewards, financial and non-financial, and recognition. Some practices that can accomplish these ends are mentioned below. Their effectiveness and practicality depend on the particular culture and circumstances of each government.

An organization creates a culture that motivates increasing levels of performance by using a system of rewards, financial and non-financial, and recognition.

Pay-for-performance. Pay-for-performance is a broad name for practices that relate to rewarding individuals or teams for achieving performance targets. The fundamental points are motivating employees to achieve targets and specifying a reward for achieving the result. Target-based systems are especially reliant on credible data. This practice has not been adopted widely for several reasons. First, civil service rules, union contracts, and regulations and agreements make it difficult to provide different rewards for performance. Second, there are no best practices for establishing measures and setting reasonable targets that governments can apply. Third, in the past, many governments did not have well-established organizational performance systems that could be linked to individual performance, although that is a goal that many government performance management systems aspire to. Finally, it is difficult to reward (or sanction) staff for achieving specific targets when so many external factors influence results. It is obviously easier to reward specific production targets, which the government has greater control over, than to reward changes in community condition such as the infant mortality rate.

Another perspective is that individual performance evaluations should be less focused on meeting specific numerical targets and more focused on the extent to which individuals understand and use the organization's performance management system and practices. For managers, this includes assuring that other staff also understand and use performance management practices. Specific numeric targets may be part of the mix, but it is also important that individuals, especially managers, use data for decision making, are able to understand why targets were or were not achieved, and are empowered to develop alternatives when current approaches are not working.[13]

[13] See Shelley H. Metzenbaum, *Performance Accountability: The Five Building Blocks and Six Essential Practices* (Washington, D.C.: The IBM Center for the Business of Government, 2006).

Task systems. Common in meter reading and solid waste collection, task systems encourage the diligent completion of the day's tasks – the tasks that have been determined to be a fair day's work. Upon completion, the employee or crew is free to leave for the day, providing service quality has been maintained. Task systems have been credited with improving efficiency and route completion and reducing overtime.

Gainsharing. In the most common form of gainsharing, an organization awards bonuses to employees or employee groups who achieve key departmental or organizational objectives at lower-than-budgeted costs. The bonuses, then, are paid from a portion of the savings. In other cases, the practice extends to revenue-generating and quality-enhancing performance, as well. Three characteristics of ideal gainsharing programs are:

- They focus on opportunities to reduce costs or increase revenue. This thus allows gainsharing programs to be self-funded.
- They feature meaningful employee participation. Gainsharing programs should not comprise just submitting suggestions but also collaborating with other workers and management in brainstorming and decision making.
- Employees earn financial bonuses. Bonuses should be based on group success in securing desired gains.[14]

Recognition may take many forms. The specific recognition mechanism should be developed based on its perceived effectiveness and practicality in each government's culture and circumstances.

- Non-financial recognition. Recognition may take many forms, from receiving immediate feedback from supervisors or managers, to informal celebrations of success, to formal awards programs and award ceremonies. The specific recognition mechanism should be developed based on its perceived effectiveness and practicality in each government's culture and circumstances.

Managing External Relationships: Contractors and Partners

For services where the government does not have the necessary capacity or expertise, or where the private sector can provide services in a more cost-effective manner, governments are increasingly relying on private and non-profit vendors to assist in providing services

[14] David N. Ammons, ed., *Leading Performance Management in Local Government*, David Ammons and William C. Rivenbank, "Gainsharing in Local Government (Washington, D.C.: ICMA Press, 2008), 130.

directly to the public. As with standard government-provided services, opportunities exist to institute performance management practices that drive improved results.

Performance-based contracting. Outcome-based or performance-based contracting represents a shift from contracting for the delivery of specified *services* to contracting for the delivery of *results*. Performance contracting agreements are typically silent on the methods the contractor will use to achieve agreed-on results, thus creating incentives for developing innovative solutions to achieve the desired results. (There are obvious limitations to that discretion, such as regulatory or legal requirements.) Performance-based agreements, although complex in development, share the following elements:

> With contracted services, as with standard government-provided services, opportunities exist to institute performance management practices that drive improved results.

- **Service objectives are prioritized.** The intended results of the services to be provided should be identified. This requires organizations to prioritize the most important objectives for the service and to be explicit when elements of service delivery may be competing for resources. Organizations need to ask themselves what the target level of quality should be, and what the cost limitations are likely to be.

- **A data collection and reporting system is established.** A key implementation issue in any performance-based model is collecting and managing performance data. Data collection and management can be broken down into three activities: 1) defining the specific metrics to be collected; 2) defining a format for reporting intervals and deadlines; and 3) defining the recipient of the information to be submitted.

- **Provisions are set for meeting, exceeding, or not meeting performance.** In general, there are three basic forms of monetary incentives: 1) payments for achieving pre-established results or milestones; 2) liquidated damages for failing to achieve agreed-upon results or milestones; and 3) bonus incentives for high achievement of key contractual results or goals. While monetary incentives represent the most traditional form of performance-based contracting, they are not the exclusive method. Will contractor incentives for meeting or exceeding targets be used? Will there be penalties for falling short? Generally, the incentive is linked to achieving milestones that are related to performance, not to activities. For example, the state of Tennessee Department of Children's Services has successfully used performance-based contracts that pay providers based on children achieving increasing levels of safety and permanency.

  Reasonable targets should be established, based on past experience, evidence of what can be achieved in the specific environment where the contract applies, and discussion between the government and the provider. Setting unattainable or unreasonable targets for political or other purposes is a misuse of performance contracting and is not consistent with performance management principles.

- Future procurement decisions are linked to contractor performance. Three types of procurement incentives reach beyond the current contract term: giving preferential treatment in future procurement processes to contractors that perform well; determining whether to extend a contractual option period based on performance; and precluding unsuccessful contractors from participating in the next procurement cycle or terminating their contracts.

- The final agreement reflects the provisions outlined above as well as the process for regular performance monitoring. Regular feedback on performance should be incorporated into all performance agreements.

Evaluation: Assessing and Understanding Results

Evaluation is the systematic appraisal used to determine the value of something. Evaluation must be a component of performance management because understanding the relationship between the activities government carries out and the results it achieves is necessary to learning, improvement, and accountability. It is the follow-up step whereby the results of programs and expenditures can be assessed according to expected results. Evaluations rely on developing objectives that results can be measured against, and the availability of data on results. A basic performance evaluation includes the following phases:

- Defining the question.
- Establishing a data collection strategy.
- Collecting data.
- Analyzing and reporting conclusions.

Evaluation must be a component of performance management because understanding the relationship between the activities government carries out and the results it achieves is necessary to learning, improvement, and accountability.

Data validation is an important component of evaluation, and a performance management system will not function well without it. Government personnel must be trained in both the importance of having reliable data and how to test for it. If data validation is not addressed, performance management systems could create and communicate inaccurate pictures of actual performance.

Case Study

The Ramsey County, Minnesota, Human Services Department

The Ramsey County, Minnesota, Human Services Department has created an information infrastructure that continually provides information to get at the "what works" question from different angles, rather than simply conducting a set number of program evaluations each year. The department has had an evaluation unit in place since 1981. Initially, the unit focused on outcome information from its contracted agencies. Through technology improvements, the unit has been able to integrate in-house and contracted services information for evaluation purposes. While staff occasionally conducts special studies, the overall focus is on producing ongoing outcome information for use in monitoring, decision making, and service improvement.

The Virginia Housing Development Authority makes a distinction between evaluations that examine the economy and efficiency of a strategy and evaluations that assess the impact or outcomes of a strategy:[15]

Economy and efficiency evaluations determine: 1) whether implementing a strategy involved the economic and efficient acquisition, protection, and use of resources; and 2) the causes of inefficiencies or uneconomical practices. For example, when considering whether a strategy was implemented economically and efficiently, an organization might consider whether it:

- Followed sound procurement practices.
- Acquired the appropriate type, quality, and amount of resources at an appropriate cost.
- Avoided duplication of effort by its employees and avoided work that didn't add value.
- Had an adequate management control system for measuring reporting and monitoring a strategy's economy and efficiency.

Evaluating the impact or outcomes of the strategy includes assessing the extent to which the organization identified whether goals and objectives are being achieved, and the actual impact or result of the strategy. Evaluations may:

- Assess whether the strategic goals and objectives were proper, suitable, or relevant.
- Determine the extent to which the strategy achieved the objectives.

[15] This material was provided by Herbert Hill, Managing Director of Policy, Planning and Communications, Virginia Housing Development Authority.

- Identify factors inhibiting satisfactory performance and ways of making the strategy work better.
- Determine whether management considered alternatives that might have achieved the objectives at lower costs.
- Determine whether management has reported outcome measures that are relevant, valid, and reliable.

Types of Evaluation: Formative vs. Summative

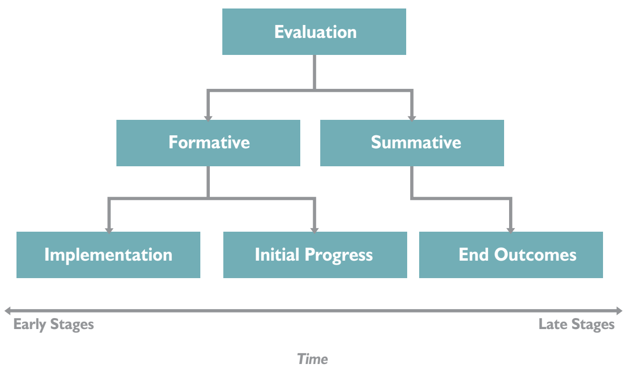
Evaluation as a discipline distinguishes between approaches that focus on improvement and ones that focus on accountability, and the evaluation literature discusses formative or summative evaluation as two different approaches.* Much of the performance measurement literature fails to distinguish between these two important objectives.

Formative evaluation is intended to assist programs in understanding what is working, how a program is working, and how results differ among individuals. The purpose is to provide a feedback loop to program staff to identify successes and problems, with the goal of making appropriate adjustments. Summative evaluation is an approach that focuses on whether or not a program was successful. Did the program achieve the goals it was supposed to? In this approach, the intention is to make a decision about whether the program should continue as is, or if it should be modified or terminated.

Evaluators should recognize that these are two different functions and that the method of data collection, and the information collected, are frequently quite different. In addition, formative evaluation is frequently seen as something that is done as a program or service is becoming established. Summative evaluation is done much later and after the program is established.

* This material is a summary of "Evaluation and Performance Management: Making Data Useful" by Laurie Hestness, from *The State and Local Government Performance Management Sourcebook*, edited by Anne Spray Kinney and Michael J. Mucha (Chicago: Government Finance Officers Association, 2010).

Type of Evaluation



Other performance management practitioners distinguish between evaluations aimed at accountability and those intended for learning and improvement. Accountability evaluations (often called audits) say what occurred (see text box on the previous page). For learning and improvement, evaluations must provide "how" and "why" information. Simply knowing that an intervention worked or did not work is insufficient. Making decisions about what actions to take requires information about how the program was implemented, and under what circumstances (e.g., the specific features of a community). Organizations also need to identify unintended consequences of a program or an intervention. This can help the organization understand connections between strategies and programs and can also lead to innovation.

> Some performance management practitioners distinguish between evaluations aimed at accountability and those intended for learning and improvement.

Learning and improvement is a continuous cycle, not a once-a-year event. To support continuous improvement, organizations need the capability to regularly review program performance and provide information so corrective actions can be taken. However, few governments have appropriated sufficient resources to conduct full-scale formal evaluations. Governments can use good operational action research, which links outcomes to planning through clearly defined targets or milestones and approaches, without spending additional dollars for evaluation. This basic approach to evaluation can be built into program design.

Cross-Cutting Practices: Measurement and Reporting

Planning, budgeting, management, and evaluation rely on two cross-cutting practices that are essential to all organizations engaged in performance management:

- Measurement. Practices used to develop, collect, store, analyze, and understand performance, including indicators of workload or activity, effectiveness, efficiency, and actual results or improvements.
- Reporting. Practices used to communicate performance measurement information to audiences including internal staff such as employees, management, and executives, along with elected officials, other organizations such as community interest groups and rating agencies, and the public.

Measurement

Performance measures provide factual information used in making decisions for the planning, budgeting, management, and evaluation of government services. Measures can inform decision makers on a wide variety of topics, including quantity, efficiency, quality, effectiveness, and impact. Credible, timely performance data is essential to having an effective performance management system and to accomplishing much of what is described in this report. Organizations should also ensure that the measures they are developing are:

- Informative. Measurement information must add value to the discussion. The focus of performance management systems is on using performance information to make decisions, so it is critical that managers and decision makers have confidence in the information, and that it can be used to make well-informed decisions.
- Well understood. Measurement definitions must be transparent so data collectors, managers, and policy makers are clear on the data's meaning and are able to use the information appropriately.
- Relevant. Measurement information must be appropriate for the audience for which it is intended – department managers, budget directors, elected officials, or citizens. Often, what is useful to one group may not be useful to or understood by another. If measures are not relevant to the situation and meaningful to the audience, they will not be used. Measures serve multiple audiences: management and staff, who need information to improve performance; policy makers, who need data to make good decisions; and constituents, who require current information on community services and conditions important to them. To accommodate this diversity of interests, many governments have developed measures that serve multiple stakeholder groups.

> Performance measures provide factual information used in making decisions for the planning, budgeting, management, and evaluation of government services. Measures can inform decision makers on a wide variety of topics.

When developing measures, it is best to keep things simple.[16] There is no advantage to tracking hundreds of performance measures that are never used. It is important, however, to collect the right measures. While some service areas are a more natural fit for measurement, the commonly used excuse that "you can't measure what we do" is simply not true. All service areas can measure performance in a way that helps staff, managers, elected officials, or citizens either make decisions or evaluate the effectiveness of provided services. A

[16] Many organizations have resources available to assist with developing measures. For example, the GASB has defined different types of measures in its Proposed Guidelines for Voluntary Reporting. In addition, the ICMA Center for Performance Management and other benchmarking groups have identified common measures to facilitate information sharing. Governments can also look to peer jurisdictions for ideas on what measures to use.

good set of measures provides a complete picture of an organization's performance.[17]

It is impossible to overstate the importance of measurement in the operations of government. While reporting to the public is an important element of accountability, it would be impossible to fulfill the promise of performance management for improving results without the existence of measures needed for internal use. Such measures must be relevant to specific processes, programs, or policies; collected with sufficient frequency to enable the government to monitor and make adjustments; and easy to access, not only for managers but for all employees involved in a particular process or program.

> It is impossible to overstate the importance of measurement in the operations of government. It would be impossible to fulfill the promise of performance management for improving results without the existence of measures needed for internal use.

Reporting: Communicating Performance Information

Collecting performance data will not yield results unless the information provided is communicated effectively. Effective communication requires that the target audience has access to and understands the message or information contained in the data, which requires more than distributing reports. Providing this information is essential to engaging managers, policy makers, and staff in improving results and in keeping stakeholders informed and actively interested in their government. The creation and distribution of performance information can provide the vehicle for understanding results and trigger discussion and debate on how to improve results.

To be effective at communicating performance information, governments must understand the diverse audiences the information will serve. Citizen-focused measures that generally provide high-level information on broad community outcomes will allow the public to evaluate the overall effectiveness of public services.[18] The National Center for Civic Innovation found that people often use different measures and ways of judging government performance than the typical measures developed by governments alone.[19] Keeping

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[17] David Ammons, "The Basics of Performance Measurement," *Leading Performance Management*, ed. David Ammons (Washington, DC: ICMA Press, 2008), 3.

[18] The Association of Government Accountants has produced guidelines for preparing "citizen-centric" reports (available at http://www.agacgfm.org/citizen) that are intended to foster innovative, clear, and understandable means of communication between governments and their citizenry.

[19] The National Center fo Civic Innovation's Trailblazer Program has worked with 67 governments that have consulted with their constitutnets and produced new types of reports that reflect the public's point of view (see www.civicinnovation.org). Further information on this topic is available in *Listening to the Public: Adding the Voices of the People to Government Performance Measurement and Reporting*, by Barbara Cohn Berman (New York: Fund for the City of New York, 2005).

this in mind, the performance information should be presented in a brief, clear format that is free of jargon or complex data that would not be understood by the public. But this information, while very informative for the public, is likely to be insufficient for supervisors, who need greater detail. Regardless of the level of detail, governments should provide audience-specific performance information that is:

- Accessible. Technology can make up-to-date information accessible to a wide audience of both internal (employees and supervisors) and external (the public) recipients. Web and database technology allows large amounts of relevant data to be readily available just about anywhere. In addition, dashboards (software applications that track business activity, similar to the way an automobile dashboard displays essential information to drivers) or other performance measurement analytic tools can help create graphs and charts to more easily interpret the data, improving communication. Ultimately, an established culture of performance will generate the expectation for performance information. Along with newer technologies, performance information can also be incorporated into various existing channels of communication, such as the budget document, newsletters, dedicated status reports, television programming, or other printed or electronic media.

> To be effective at communicating performance information, governments must understand the diverse audiences the information will serve. Regardless of the level of detail, governments should provide audience-specific information.

- Reliable and unbiased. Reporting on performance should be done to communicate facts, not promote an agenda. Performance measurement information that is used strictly as a public relations campaign will ultimately be viewed as unreliable and biased, and therefore it will not be used to inform decision making. In addition, information that is viewed as old is also unreliable, as it may not represent the current situation. The goal of providing information is to empower officials to improve results. Inaccurate, old, or distrusted information will not contribute to improving services.

Case Study

State of Washington Transportation Improvement Board

The Washington State Transportation Improvement Board (TIB) is an independent state agency that makes and manages street construction and maintenance grants to 320 cities and urban counties throughout Washington. TIB uses a performance management dashboard (http://www.tib.wa.gov/performance/Dashboard/) to track its business processes and projects and to establish an accurate overview of the agency's performance. TIB built its performance management dashboard in 2003 and has consistently improved business processes and grant project performance ever since. The dashboard provides the public with the same view the executive director has in managing the agency's $200 million in revenues, which are generated from a portion of the state gas tax. Focusing on dashboard indicators has decreased the length of time it takes for a local government to receive payment from five months in 2001 to just 17 days. Delayed projects dropped by 70 percent, saving millions in public funds due to construction cost inflation. Grant projects from TIB's safety program averaged 19 percent fewer accidents and 30 percent less injuries two years after construction.

Conclusion

This framework was developed in response to the demand from governments for more information about performance management practices, the benefits of implementing performance management systems, and what constitutes performance management. The framework was created to focus attention on performance management as a way of addressing the critical challenges confronting governments today, as described in the foreword to this document, and to persuade government leaders to adopt performance management to deal with these challenges.

Public-sector performance management is constantly evolving. While there is no single, authoritative source for best practices in performance management, there are many examples, some of which appear in this report, of how performance management has helped governments perform better.

This leads us to next steps. First, the commission will support efforts by the organizations that sponsored and contributed to the commission to increase their provision of training, tools, and examples, and practical advice for implementing performance management systems and practices for their members.

Second, in the spirit of the principles articulated in the framework, the commission urges research organizations as well as governments to analyze performance management initiatives and provide evidence of what works in getting better results for the public.

Third, we call on government leaders to use the framework contained in this report to implement or improve their performance management practices, require that performance information be provided to them, and ensure that their governments' managers and staff have the training and resources they need for improving performance.

Glossry of Performance Management Terms

Balanced Scorecard

The balanced scorecard is a management tool originally developed by Robert Kaplan and David Norton. It translates an organization's mission and strategy into a comprehensive set of goals and performance measures organized into four distinct perspectives (categories) that are vital to a healthy and successful organization over the long term. The standard scorecard, measures organizational performance across four perspectives: financial, customers, internal business processes, and learning and growth.

Benchmark

A benchmark is a level of achievement against which organizations can measure their own progress. Benchmarks may be used for comparisons of organizational processes or results against an internal or external standard.

Cascading System

The cascading system of performance measurement represents a formal approach to linking individual and departmental objectives and strategies with organization-wide goals and priorities. Performance measures are linked to goals and objectives in a strategic plan or to key priorities. Goals (and associated measures) may cascade downward, from overarching goals to the goals and objectives of subsidiary units (e.g., departments, divisions, or other subsets), or directly from overarching goals to program goals.

Change Management

Change management is a planned approach for guiding the people in an organization through a business transformation. Most change management approaches focus on preparing for change, managing the change event itself, and reinforcing change. Most change management efforts attempt to avoid resistance to change through understanding causes of resistance and then developing a strategy of communication, education, and motivation methods to create a more successful transition for the organization.

Dashboard

A performance measurement dashboard approach provides timely data to relevant decision makers throughout the organization. The defining characteristic of dashboard systems is that information is simplified and filtered to provide only the most relevant data. Many dashboards convert performance data into charts and graphs or other forms of analysis such as a stop-light analysis.

Evaluation

While performance measurement and reporting provide data to explain what happened, performance evaluation activities attempt to provide answers to questions such as: Why did it happen? How did it happen? Was this the most efficient use of resources? How effective was the intervention? How can we improve on the result?

Gainsharing

With gainsharing, an organization awards bonuses to employees or employee groups that achieve key departmental or organizational objectives at lower-than-budgeted costs. The bonuses are then paid from a portion of the savings. In other cases, the practice extends to revenue-generating and quality-enhancing performance, too.

Goal

A goal is a statement of direction, purpose, or intent that describes the future state of a condition or result to be achieved. Operationally, a goal is a broad statement of what the organization expects to achieve at some point in the future. Although a goal is usually considered to be more broadly defined than an objective, the terms "goal" and "objective" are sometimes used interchangeably in practice.

Indicator

An indicator is a value, characteristic, or metric used to track the performance of a program, service, or organization, or to gauge a condition. Synonymous with the term "measure."

Managing for Results

Managing for Results is a comprehensive and integrated management system that relies on planning, budgeting, employee management, performance measurement and data collection, and evaluation and reporting to achieve desired results. Managing for Results is another term used to describe the performance management system.

Measure

A measure is a value, characteristic, or metric used to track the performance of a program, service, or organization, or to gauge a condition. Synonymous with "indicator."

Mission

An organization's mission will help guide its actions and strategies by identifying the organization's purpose or core reason for existing.

Outcome

An outcome is the result of a program, service, set of activities, or strategy. It should be used to describe the impact of the service, set of activities, or strategy, not to describe what was done. Outcomes are often identified as immediate, intermediate, and long term. Synonymous with "result."

Output

An output is unit of a product or service produced through activities and programs (e.g., clients served, lunches served, tons of waste removed, and applications processed).

Pay for Performance

Pay for performance is a broad name for practices that relate to rewarding and/or compensating individuals or teams of employees for achieving performance targets.

Results

A result is the outcome of a program, service, set of activities, or strategy. The term should be used to describe the impact of the service, set of activities, or strategy, not to describe what was done. Results are often identified as immediate, intermediate, and long term. Synonymous with "outcome."

Stakeholders

Stakeholders could include anyone with direct or indirect involvement in the performance management system and anyone who uses performance information or is affected by the results produced by a government. In this report, stakeholders would most often include employees, supervisors, executives, elected officials, peer organizations, and the public.

Stat System

A Stat system is a performance management technique that includes the regular review of operational data; discussions on whether programs, services, and strategies are performing as expected; and rapid decisions to correct problems.

Strategic Planning

Strategic planning systematically addresses an organization's purpose, internal and external environment, value to stakeholders, and current and future plans for action.

Target

A desired number or level related to a performance measure. Targets are the performance objectives an organization is striving to reach.

Task System

Task systems encourage the diligent completion of the day's tasks, given a quality standard, determined to be a fair day's work. Employees are required to complete the day's task rather than work a set number of hours. Task systems have been credited with improving efficiency and route completion and reducing overtime.

Vision

An organization's vision identifies what the organization strives to be. It concentrates on the future, describing its ideal state of existence if all goals and objectives are met.

Appendix: Examples of Performance Management Initiatives

State Performance Measurement Initiatives

State of Florida – Florida Performs

www.floridaperforms.com

On his first day in office, Governor Charlie Crist signed an executive order signaling his commitment to open government in Florida. Part of that commitment was creating an Office of Open Government and developing a Web site to display how government was performing by reporting results of key measures within executive branch agencies. With limited state dollars available, Florida took successful concepts from other states and municipalities while using available personnel and technology to create Florida Performs.

Governor Crist publicly launched this site in November 2007 to provide a window into state government performance with a user-friendly, easy-to-navigate design. The Florida Performs Web site provides a running scorecard of a broad range of measures reflecting trends in key areas deemed important to Florida citizens and policy makers. The site also provides access to any outcome measured by the agencies and links to individual agency performance measurement strategies.

State of Idaho – The Office of Performance Evaluations

www.legislature.idaho.gov/ope/

The Office of Performance Evaluations (OPE), created in 1994, is a nonpartisan, independent office that serves the state Legislature's information needs by conducting performance evaluations of state agencies and programs. The OPE's mission is to promote confidence and accountability in state government through these evaluations. The Legislature uses evaluation findings, conclusions, and recommendations to make policy and appropriation decisions, and agencies use them to improve performance.

Performance evaluations assess whether agencies or programs are complying with applicable laws and legislative intent, and whether services are provided efficiently and in a cost-effective manner, and they determine whether programs and services are achieving intended results. OPE works under the direction of the bipartisan Joint Legislative Oversight Committee (JLOC) and is authorized by statute, which identifies four core functions:

- Conduct performance evaluations and report each evaluation to the JLOC.
- Identify cost savings and opportunities to avoid unnecessary future costs.
- Provide useful recommendations to assist the Legislature in making policy and budget decisions.
- Respond to the Legislature's information needs.

State of Maryland – Maryland StateStat

www.statestat.maryland.gov

StateStat is a performance measurement and management tool, implemented by Maryland Governor Martin O'Malley, that is designed to make state government more accountable and more efficient. The governor modeled StateStat after a successful program called CitiStat that he created while he was mayor of Baltimore. At biweekly meetings, state managers meet with the governor and his executive staff to report and answer questions on agency performance and priority initiatives. Each week, a comprehensive executive briefing that highlights areas of concern is prepared for each agency. Briefings are based on key performance indicators from the customized data templates that participating agencies submit to the StateStat office biweekly. Data is analyzed, performance trends are closely monitored, and strategies for achieving improved performance are developed.

Each week, a comprehensive executive briefing that highlights areas of concern is prepared for each agency.

Maryland was the first state to use a statewide performance measurement system for collecting and displaying information to the public and to policy makers on the Web. The initiative's Web site displays performance data for key public safety, health care, and social services agencies as well as for critical services agencies such as the Maryland Department of State Police; the Department of General Services; the Department of Labor, Licensing, and Regulation; and the Department of Housing and Community Development.

State of Oregon – Oregon Progress Board

www.oregon.gov/DAS/OPB

The Oregon Progress Board is an independent board created by the state Legislature in 1990 to monitor Oregon's 20-year strategic vision, Oregon Shines, and keep it current. The 12-member panel is chaired by the governor and made up of citizen leaders. It is designed to reflect the state's social, ethnic, and political diversity. The primary goals and objectives for the initiative are:

- Help administer and refine the state's performance measure system.
- Regularly assess Oregon's quality of life in ways that policy makers and all Oregonians can trust, understand, and use.
- Prepare to update Oregon's quality-of-life strategic vision in a collaborative way.
- Provide information that will help policy makers strategically align resources toward achieving Oregon's quality-of-life goals.

- Provide excellent customer service to the governor's office, the Legislature, state agencies, and the general public.

Important Note: Due to budgetary difficulties, the Progress Board was not funded for the 2009-11 biennium. However, statutes authorize a separate Progress Board Fund and the Board to enter into an operating agreement with other organizations. The state dashboard is currently housed in and managed by the Department of Administrative Services, and it continues to maintain key components of the initiative and online content, including the online benchmark report generator, the Oregon Population Survey, county data, and the linkages between state agencies' key performance measures and benchmark data.

Commonwealth of Virginia – Virginia Performs

www.vaperforms.virginia.gov

The commonwealth of Virginia's performance measurement program, Virginia Performs, is managed by the Council on Virginia's Future. The initiative tracks the key performance measures of state agencies and provides critical analysis, including state regional comparisons, historical trend analysis, and comparison to national averages. Virginia state government agencies develop and implement strategic and service area plans to help them achieve their long-term objectives and fulfill their missions and mandates.

Agencies measure their performance in four ways: key measures related to their core missions, productivity measures related to the costs associated with core business functions, administrative measures related to critical management and compliance categories, and other measures related to performance and service-area functions. The Web site provides comprehensive access to performance measures and an easy-to-interpret scorecard for each of seven key areas: economy, education, health and family, public safety, transportation, natural resources, and government and citizens.

Executive Office of Health and Human Services (Massachusetts) – EHS Results

http://www.mass.gov/

In October 2007, the Executive Office of Health and Human Services for the commonwealth of Massachusetts (EOHHS) began an innovative initiative to build its performance management capabilities as part of a program called EHSResults. The vision of EHSResults is to move the EOHHS toward a performance management culture by identifying cross-agency strategic goals, reporting goal-associated outcome measures, fostering collaborations across agencies, identifying policy opportunities, and encouraging accountability and transparency. To that end, EOHHS built the foundation for performance management using a strategic planning-based cascading system of goals, sub-goals, and outcome measures. It aimed to improve results for Massachusetts residents in four key ways:

- Strategy maps crafted by cross-agency leadership define and internally communicate the most important components necessary to achieve EOHHS goals.

- Performance dashboards track and report progress toward the office's strategic goals by reporting historical and current performance, targets, and explanatory comments.

- Associated performance management activities help embed performance management into other areas of the organization. These activities include fiscal-year strategic planning and tying annual manager performance objectives to strategic goals.

- Public awareness of strategic goals and performance will promote the EOHHS performance management work through its Web site, which is being developed.

The goal structure and outcome data were promoted to users and enthusiastically endorsed by leadership when the reporting dashboard first became available to executive staff. Users were required to log into a shared portal, navigate to results through the goal hierarchy structure, and drill into the underlying data. The EHSResults approach largely relied on the "if you build it, they will come" approach. EOHHS soon realized that some managers resisted this approach and would have preferred to get information in different ways, so it adapted and made the following additions:

- Static, point-in-time summary reports were developed and "pushed" to all users via monthly e-mails.

- Multiple ways of viewing the data were developed so users could see it by both goal hierarchy and agency-specific or unit-specific measures.

- Discussion around the goals and measures was a mandatory agenda item for regularly scheduled executive-level meetings.

The EHSResults experience demonstrates the need to tailor performance information to the targeted audience and to embed performance data into regularly scheduled, day-to-day meetings, not just periodic meetings that address only performance data.

The goal structure and outcome data were promoted to users and enthusiastically endorsed by leadership when the reporting dashboard first became available.

State of Washington – Government Management Accountability and Performance

www.accountability.wa.gov

The state of Washington is a leader in performance measurement and management initiatives. Washington's Government Management Accountability and Performance program, which won the Council of State Government's 2008 Governance Transformation Award, works with agencies to develop performance-based reports for the governor. The data included in these reports are used to support focused management decisions in a way that is open and accountable to the public. The governor and her leadership team hold regular public meetings where agency directors report on the most important management and policy challenges they face in achieving results. The meetings are organized around the governor's highest priorities – including public safety, economic vitality, and protecting vulnerable children – to hold the leaders of multiple agencies accountable for their agencies' results and for initiatives that require the collaboration of multiple organizations.

Local Government Initiatives

City of Columbus, Ohio

www.ci.columbus.oh.us/

The City of Columbus, Ohio, created its Office of Performance Management to give city leaders access to information that would enable them to track performance, document successes, and identify opportunities for improving city services. The program was linked to the Columbus Covenant 2000, the newly elected mayor's strategic plan for achieving his vision of the City of Columbus as the best city in the nation in which to live, work, and raise a family. The cornerstone of the performance measurement initiative is Columbus*Stat, launched in January 2006.

The first step in implementing Columbus*Stat was creating the Office of Performance Management (part of the financial management division) and hiring a chief of staff with performance measurement experience to be the internal champion for the initiative. Office staff comprises a performance management coordinator and three performance management analysts, each of whom consults with an assigned group of departments.

Columbus*Stat was originally modeled after the City of Baltimore's efforts with CitiStat, but it continues to evolve and align itself more closely with the city's culture and needs. Key characteristics of the program include:

- Departments meet regularly in a designated Columbus*Stat room – large departments meet every six weeks, and smaller departments meet every 10 weeks.
- The performance management analyst responsible for each department develops an advance brief so staff members can prepare for the session.
- The Columbus*Stat panel – which includes the mayor, his chief of staff, his director of policy, the financial management division administrator (who supervises the Performance Management Office), and the directors of the finance, human resources, and information technology departments – receive the same briefing documents as staff members.
- Columbus*Stat meetings are seen as problem-solving sessions and a forum for policy discussions based on data reported by departments. Analysts are meant to serve as liaisons with their assigned departments, helping prepare them for the Columbus*Stat meeting. The agenda for the meeting follows the brief closely to avoid surprises, and additional issues that surface are typically tabled for the next meeting to give the department time to prepare.
- The department can also make a presentation on new initiatives, so the meeting has an educational component in addition to its focus on accountability.

Soon after the program was implemented, the city saw noticeable and important cultural changes. Departments and staff are much more aware that they will be held accountable, and as a result, noticeably fewer projects are being left to languish. Cross-departmental projects also appear to be running more smoothly, as they are often discussed in the Columbus* Stat meetings. Departments are increasingly looking at their own performance data for managerial purposes beyond the Columbus*Stat meetings. The process has become crucial, providing the mayor and his staff with an effective tool for gauging departmental performance, tracking effectiveness, and determining which programs present opportunities for improvement or replication. In short, Columbus*Stat has provided the city's leadership with the knowledge it needs to celebrate achievements and address shortcomings.

Performance management in Sarasota County underwent many transformations before reaching its current model.

Sarasota County, Florida

www.scgov.net/

Sarasota County's performance management system underwent many transformations before reaching its current format. The government began with a vision and a mission. Over time, the organization developed strategies and objectives, and key performance measures and targets were aligned to those strategies, which were identified and refined as the model became more sophisticated. These components established the foundation from which the organization produces its business plans and plans its specific business activities.

The county's use of the balanced scorecard approach is reinforced through the county's software, GovMax, which integrates performance management and capital and operating expenses with strategic operations. Like many public-sector organizations, Sarasota County initially struggled to implement private-sector strategic planning (three- to five-year out outcome horizon), business planning (12- to 18-month outcome horizon), and performance-based budgeting (12- to 18-month outcome horizon). Initially, the county got bogged down in an exercise of spreadsheet and PowerPoint formats and struggled to stay focused on achieving the progress it wanted. To move forward, the organization chose to reinforce the change by using a new Web-based technology that effectively linked budgets – something everyone valued and was familiar with – to specific strategic, business, performance, and financial outcomes.

The huge cultural changes that resulted from the new performance management system were met with some resistance within pockets of the organization. Some departments found it easier to adopt a new set of tools, a new way of thinking, and the need to learn new skills than others, but it became easier as performance management became engrained in the organization's culture over time. Sarasota County addressed these challenges by applying a variety of human change practices. It developed communication programs, presentations, and management workshops that highlighted its successes. It also created a multi-level management and leadership development program, transitioned staff members who would not or could not embrace the concepts, and recruited staff members who were well versed in leading business practices. Finally, Sarasota County's leadership was persistent, patient, and committed over a long period of time. Of the many changes, the county has been most successful at staying strategically focused; defining government's core services; determining accurate and reliable costs for services; and aligning those services to meet the public's needs. In addition, the county created a positive relationship with citizens. Operationally, the county is able to more effectively manage time, capital projects, inventory, fleet, work and materials, and service delivery; increase efficiencies; and transparently share information.

City of Minneapolis, Minnesota – Results Minneapolis

www.ci.minneapolis.mn.us/results-oriented-minneapolis

Results Minneapolis, the system of performance management for the City of Minneapolis, is aligned with the city's strategic plan, which includes its long-term vision (Minneapolis 2020), five-year goals and strategic directions, and departmental business plans. The system involves weekly discussions between city leaders and one of the operational departments, focusing on that department's progress and using its key performance measures to guide the discussion. Business planning began in 2003, and each department has produced an annual business plan since 2004. Performance measures are tied to the business plans, which are then aligned with the city's goals and looked at during the Results Minneapolis discussions.

Performance measurement guides good resource allocation decisions, informs citizens, and results in enhanced governance, city management, and relationships with citizens. Through its performance measurement system, the city has demonstrated a focus on outcomes. One example of this is the reconfiguration of department business plans, which now focus on what each department wants to achieve, rather than what they do.

Marathon County's performance management system focuses on logic models and outcome measurement reports.

Marathon County, Wisconsin

www.co.marathon.wi.us/

Marathon County, Wisconsin, continuously evaluates its programs and services against the goal of creating a learning organization that promotes improved quality of services and more efficient service delivery. The county's performance management system focuses on logic models and outcome measurement reports. In addition, the county has developed a mission, vision, and set of core values that all county activities must reflect.

The county did not switch its focus to outcomes, measurement, and improvement all at once. It developed its outcome measurement performance management system slowly, over multiple years. Starting in 2003 and through most of 2004, the county's outcome measurement team, along with all other county departments, received training on developing outcomes and identifying indicators and data measurement tools. In addition, county departments were introduced to the idea of logic models. In 2006, the county began collecting data and established baselines for many county programs and services. Beginning with the 2007 budget, these baselines were incorporated into the budget document and used to measure the success of programs and services. The budget document uses the logic model format to easily explain the relationship between inputs and outcomes.

Marathon County's complex management structure presented a challenge similar to that faced by other complex jurisdictions looking at performance management. Changes were implemented slowly, in an organized and managed process over a number of years, with improvements in later years building on initial successes. In addition, the system relies on having a knowledgeable staff that actively promotes the focus on outcomes. Marathon County identified this as one of its core strategies and places an emphasis on training staff and developing the governance skills of elected officials.

The county developed its system slowly, over multiple years.

To provide leadership from across the county for outcome measurement, the county established an outcome team comprising members of the county's largest departments, representatives from other departments, and members of the finance office. In forming the team, the county realized that while this is an important responsibility for team members, everyone has responsibilities in their home department, as well. To set resource expectations, the county expects team members to dedicate four hours per month to their outcome measurement responsibilities. To support organizational learning and push the county to improve its services, this team has the following tasks:

- Continue education on the principles and benefits of outcome measurement.
- Coordinate training and formulate goals.
- Provide guidance and serve as a resource for other departments.
- Create a problem-solving environment.
- Help create an infrastructure to collect, track, and use data.
- Provide feedback and support for improvements.

Despite the county's small size, limited amount of available resources, and complex political and management structure, performance management has been a huge success. Using a carefully thought-out implementation schedule and a focus on change management and training, the county was able to change the focus of managers and elected officials to outcomes rather than outputs. In doing so, the county has established a leadership philosophy that aligns the organization with the county's mission, vision, core values, strategy, structure, leadership, and culture.

Metropolitan Government of Nashville and Davidson County, Tennessee

www.nashville.gov/finance/strategicmgt/about_sppm.asp

Beginning in 2003, the Metropolitan Government of Nashville and Davidson County (Nashville) undertook Phase I of its managing for results program. Departments created strategic business plans that were linked to performance budgets. The result was a list of programs and services provided by each department, all linking inputs to results.

Nashville now uses the structure of programs developed in the strategic business plan for the accounting and budgeting system. Selected performance measures included in the budget create a program-structured, performance-informed budget. All budget requests must be accompanied by a statement that addresses the impact of the proposed funding change on the results articulated in the program. This focuses the budget process on the results that are most important for the city to invest its limited resources in.

Nashville also implemented an employee performance management system that integrates employee performance with the operational performance measures identified in their department's strategic business plan. The system allows employees to align their daily duties to the results articulated at the operational and strategic levels of the organization, including the mission of the department.

Maricopa County, Arizona – Managing for Results

www.maricopa.gov/mfr/

In 2000, the Maricopa County Board of Supervisors adopted its Managing for Results policy, which integrates planning, budgeting, reporting, evaluation, and decision making for all county departments. Each department developed a results-oriented strategic plan that provided clear strategic direction and achievable results for the department as a whole and for individual employees. Along with each result is a set of performance measures that gauge the overall success of the plan. The Managing for Results management system allows all Maricopa County employees to make the following statements:

- What we are doing today contributes to our strategic direction.
- We know that what we have done in the past is effective.
- We know how much it costs to deliver our programs effectively and efficiently.

From here, county and departmental leadership can compare organizational and individual performance against set targets. They can then use this information to determine the need for improvement and set any necessary policy changes.

City of Rock Hill, South Carolina

www.ci.rock-hill.sc.us/
www.ci.rock-hill.sc.us/dashboard.html

The City of Rock Hill began featuring performance measures in its annual budget document in 1995. In 2002, the city council began an annual strategic planning program, leading off each calendar year with a retreat to plan the year's priorities. Each third year, the strategic plan is rewritten to address the results of the National Citizen Survey (a uniform survey conducted by National Research Center to help local jurisdictions assess resident satisfaction with community amenities and the provision of government services). Performance measures are then synchronized with the strategic plan to ensure that each individual's efforts are aligned with the overarching organizational initiatives determined by the city's legislative body. Recent revisions to the strategic plan have added reporting elements including a performance dashboard that will be available on the city's Web site to keep all stakeholders aware of Rock Hill's goals and informed about the city's progress. This transparency allows for greater accountability.

The city has learned the importance of alignment. Performance measurement permeates department and divisional goals.

Through this effort, the city has learned the importance of alignment. Performance measurement permeates department and divisional goals. Each divisional goal can be traced back to an organizational strategic initiative, and each goal is relevant to the success of the initiative. Resources are also aligned such that initiatives compete for funding during the budgeting process, and those decisions turn on an initiative's relevance to particular tasks of the plan.

The over-arching organizational initiatives must first be defined and embraced by the leadership of the organization – the elected officials in Rock Hill. The initiatives can then serve as a starting point for all goal setting, measurement, and reporting efforts. These initiatives should cascade down through each department goal, all the way to each employee's performance appraisal and individual goal setting.

City of Redmond, Washington – Budgeting by Priorities

www.redmond.gov/

After years of frustration on all levels (citizens, council, city leadership, and staff), the Redmond City Council insisted on a new budget approach, defined by the city as Budgeting by Priorities. While the incumbent mayor was not supportive, a member of the city council ran for the office of mayor, was elected, and immediately launched the Budgeting by Priorities effort.

Results-oriented measures were part of each budget request.

The stated goals of the effort were to align the budget with citizen priorities, measure progress toward priorities, get the best value, foster continuous learning, and build regional cooperation. To accomplish these goals, the city needed to transform government culture into a unified organization striving to deliver verifiable value to its citizens on the things that mattered to them most.

The city connected each budget request to public priorities using a roadmap developed by teams that spanned the organization and also included a citizen volunteer. Staff interacted with the teams to understand and exchange ideas about how best to structure their budget requests to represent the most value for the dollar being requested.

Results-oriented measures were incorporated into each budget request. These measures were no longer workload indicators, but rather standards of performance, targets, and goals associated with each request. This was a new way to include performance measurement in the city budget.

Out of this process and these discussions came the concept of the value proposition – what is the value to be delivered (relative to the citizen priority) in exchange for the resources being requested? This phrase became a way of describing the focus of Budgeting by Priorities. The value is always to be captured in the outcome measures for each request.

When the budget was presented to the city council, the concept of "value proposition" dominated the workshops. The city council was diligent about making sure the city was pursuing the right results to be achieved, that the measure best captured the purpose of the request, and asking how the data captured for the measure was going to become a resource in the city's process improvement efforts.

Children's Services Council of Palm Beach County, Florida

www.cscpbc.org/

The Children's Services Council of Palm Beach County, Florida, is a special taxing district that invests its resources to help children in the county begin life healthy, remain free from abuse and neglect, enter school eager and ready to learn, and thrive in quality after-school activities. In 1986, the citizens of Palm Beach County voted through referendum to impose this special property-based tax to address the widening gap between the growing needs of children and their families and the limited resources available to meet those needs. Eight years later, in 1994, the council took a major step in shifting its funding strategies from problems such as child abuse to positive outcomes, setting itself on a path of disciplined funding decisions to address measurable conditions. The approach focuses on addressing "sentinel outcomes" associated with specific population-level measures. These measures are linked to measurable conditions that demonstrate progress. Based on this approach, the council provides funding for specific practices that are proven to improve the measurable conditions. For example, a sentinel outcome is healthy birth outcomes. The measure for this is babies born at or above healthy weight, and the outcome is linked to improving early and sustained prenatal care. The council then funds programs proven to have a positive effect, such as home visitation.

This disciplined funding and decision-making model is beginning to turn the tides in Palm Beach County. For example, more mothers are receiving prenatal care earlier, compared to prior years, and outcomes for mothers who participate in Children's Service Council programs are having better outcomes than the countywide average. Moreover, as the organization has been better able to convey what it is funding and why, it has increased its visibility and accountability to county taxpayers.

The Jenks Public School District, Oklahoma

www.jenksps.org/

The Jenks Public School District received the 2005 Malcolm Baldridge National Quality Award for its performance management efforts. All district-level administrators and principals develop department or site goals and action plans that support the district's goals, key measures (strategic objectives), pillars, core values, mission, and motto (vision). Site and department goals exceed those of the previous year. Continuous improvement is inherent in the systematic approach as a result of developing goals, implementing action plans, reviewing results, and subsequent cycle refinements. The district's continuous improvement system is based on the PDSA Process (plan, do, study, act), which is used to improve performance for teaching, learning, ensuring student achievement, maintaining student and faculty well-being, and supporting process efficiency and effectiveness. By reviewing data related to key measures and strategic objectives, administrators are able to see trends and make any necessary modifications in their respective action plans. In the event of an unanticipated change, the Superintendent meets with the cabinet and other designated administrators to plan processes and strategies that address the situation. In addition, periodic patron and staff surveys are conducted to determine how the district is meeting and/or exceeding the stakeholders' expectations. Administrators ensure evaluation and improvement of processes as well as deployment.

All district-level administrators and principals develop department or site goals and action plans that support the district's goals, key measures, pillars, core values, mission, and vision.

The performance measurement system ties improvement efforts together and links strategic objectives developed in the strategic planning process to the action plans that guide daily operations at the district, building, and classroom levels. Overall, the Jenks Public School

District has used this system to achieve high levels of excellence in its academic programs, extra-curricular activities, staff support, and management of processes.

City of Albuquerque, New Mexico

www.cabq.gov/

The 1973 city charter included language that mandated a link between the annual operating budget and the city's longer-term goals, but no process was established to do so for the first 20 years. Early efforts began in 1994, when the mayor and city council approved a set of community goals and began creating additional ways to link budgets with long-term goals. But as important as it was to establish the city's desired future through goal setting, it was also important to understand current community conditions as measured by specific indicators.

> Because the cycle of goal setting, budget alignment, and performance measurement is embodied in law through the city's budget ordinance, the process is sustainable over time and across organizational and leadership changes.

City staff members published the first Albuquerque Progress Report in 1996, based on community indicators of desired conditions. The Indicators Progress Commission (IPC), a citizen volunteer group appointed by the mayor, with approval by the city council, was created in 1998 to strengthen citizen involvement and create a more systematic, repeatable process for developing and measuring city goals and desired conditions. The IPC has published subsequent Albuquerque Progress Reports every four years since 2000.

Community indicators and performance measurements were fully integrated in 2001, when the city's budget ordinance was revised to formally incorporate the citizens' goal development and measurement processes with the city's annual budget and performance measurement processes. Each desired condition measured in the progress report is assessed in three dimensions: the local trend, a comparison with regional and national benchmarks, if available, and whether the citizens' perception of the condition matches the indicator data. The progress report focuses on the state of community conditions, as measured by specific indicators, not what any government or other entity has done to affect a community condition.

The IPC distributes the Albuquerque Progress Report to individuals, businesses, organizations, and other government and nongovernment entities that have a stake and interest in the city's future. The progress report then serves as a starting point for the next cycle. Albuquerque's key stakeholders – its citizens – not only determine what results are desired and needed, but also help measure the community's progress toward achieving the desired future. Because this cycle of goal setting, budget alignment, and performance measurement is embodied in law through the city's budget ordinance, the process is sustainable over time and across organizational and leadership changes. With this knowledge, city government, with the input of citizens, can efficiently and effectively allocate resources in ways that are important to the citizens and to the future of the community.

Along with the budget, the city aligns individual employee work plans, department program strategies, and annual budgets to a set of citizen-developed goals describing the city's desired future. Managers use the goal statements, desired community conditions, program strategies, service activities, and performance measures as key elements of individual work plans for each employee. Employees understand their personal role in the organization and how their daily efforts contribute to the progress their work group, their department, and the City of Albuquerque is making toward achieving the community's goals.

The ultimate outcome of the project was to institutionalize sustainable mechanisms of citizen-initiated performance assessment into the budgetary and managerial process.

City of Des Moines, Iowa

www.dmgov.org/Pages/default.aspx

The City of Des Moines's history with performance management can be traced back to 1959, when performance measures were used in the city's annual report. More recently, performance measures have been found throughout the budget, but they were largely disregarded because the measures did not provide information about what the public cared about and did not relate to strategic goals. In 1995, the city commissioned a strategic plan based on citizen input and appointed 29 people to a strategic planning committee. Within a year of completing the plan, the city began overhauling the measures in the budget document to report efficiency and productivity measures rather than only workload measures. Despite departmental resistance, the city moved ahead with its performance management plan and began mailing citizens newsletters that included performance data. This allowed for more informed feedback, which led the city to make real changes to its services, including street maintenance.

In 2001, the city created citizen performance teams and participated in a citizen-initiated performance assessment project, funded by the Alfred P. Sloan Foundation, to ensure that performance measures are citizen-based, politically credible, and used by policymakers in decision making. For this effort, the City of Des Moines used technology to complement more traditional methods of gathering feedback, including citizen committees, focus groups, and town meetings, designed to bridge the governance gap between citizens and city officials. The ultimate outcome of the project was to institutionalize sustainable mechanisms of citizen-initiated performance assessment into the budgetary and managerial process of city governments.

Brevard Public Schools, Florida

www.brevard.k12.fl.us
www.brevard.k12.fl.us/ScoreCard/main.html

Brevard Public Schools (BPS) won the 2007 Governor's Sterling Award for its high-level student achievement and excellence in management and operations. For Brevard Public Schools, the key to measurement lies in the strategic planning process. Through strategic planning, BPS creates clearly defined objectives based on the review of data. BPS leadership, along with stakeholders (who were involved via written and verbal submissions, community leader meetings, school board meetings, and other public forums designed to gather input), identify performance measures that align with the organization's mission. When developing measures, BPS uses the following steps:

- Select. The organization selects key types of data, based on performance measures that are critical to its mission, and it looks to other high-performing districts to establish benchmarks for success. Parents and other stakeholders give input through written and verbal communication.
- Collect. Data and information are gathered through state assessment reporting mechanisms, and through local means. using surveys and formalized reporting processes.
- Align. The strategic plan is the organizational plan to which all other plans must align. Individual school improvement plans, the five-year facilities plan, the technology plan, and the other plans developed throughout the organization reflect the goals of the BPS strategic plan.
- Compare. The BPS goals and strategic objective measures are benchmarked to peer group and national role models for performance targets to set high expectations for all areas.
- Execute. Strategic action plans, projects, and process control systems are implemented and managed to achieve targets.
- Review. Those who are responsible for the action steps, senior staff goalkeepers, and the superintendent review the strategic plan action steps and projects quarterly to ensure progress toward meeting the targets.
- Refine. Evaluate by comparing performance to outcome targets. Adjust outcomes to raise expectations where goals were achieve or surpassed. If the target was not reached, review actions steps to see if the correct root cause was identified. Make adjustments to ensure it continues to meet BPS strategic goals.

Results from BPS's Brevard's performance measurement system are made available to the public through the BPS's data dashboard and scorecard available from the BPS Web site at http://www.brevard.k12.fl.us.