



The Nelson A. Rockefeller Center at Dartmouth College

The Center for Public Policy and the Social Sciences

Policy Research Shop

Performance Measurement for State Governmental Agencies

Comparative Case Studies

Presented to the New Hampshire Department of Safety

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EXECUTIVE SUMMARY

This report analyzes performance management systems for use within the New Hampshire Department of Safety and its divisions. The first part of our report focuses on umbrella systems for department-wide strategic planning. There are several key components to any successful and useful performance management and measurement system, but these tenets manifest themselves in various forms. In addition to providing this broad overview of whole departmental systems, we also conducted comparative case studies for each division in DOS. These comparisons focus on specific types of systems and detailed metrics available for each type of division, and summarize what other states are doing, or what third party alternative measurement services exist. We conclude by summarizing best practices for developing measures and metrics of performance, particularly the importance of executive leadership and strong ties between the strategic plan and measurement. A substantial level of detailed reflection and analysis is required for a department and its divisions to create and implement a functional and advantageous performance measurement system.

1. INTRODUCTION

The New Hampshire Department of Safety has asked the Nelson A. Rockefeller Center Policy Research Shop to investigate best practices for implementing a performance measurement system in the Department and within each of its (very different) divisions. Since each division is unique in its purpose and function, it was necessary to perform an individual set of case studies for each division. First, however, we provide a brief background of the NH Department of Safety, address performance measurement systems and their relationship with strategic planning in general, including a review of the relevant academic literature in this field, and present the best practices for developing performance measurement systems at the department level.

1.1. New Hampshire Department of Safety

The New Hampshire Department of Safety's mission is "to protect the lives, safety and preserve the quality of life of New Hampshire citizens and visitors. It enforces motor vehicle, highway safety, and criminal laws, commercial vehicle regulations, fire safety, building and equipment safety laws and regulations, and boating safety laws and rules, and also provides 911 emergency communications statewide".¹ Its closest counterpart in the federal government is the Department of Homeland Security (DHS), and New Hampshire's DOS much resembles DHS in function and structure. The Department of Safety is led by Commissioner John Barthelmes, who oversees seven divisions, which while largely distinct share some overlapping responsibilities and jurisdiction: Administration, Emergency Services and Communications, Fire Safety, Fire Standards and Training & EMS, State Police, Homeland Security and Emergency Management, and Motor Vehicles.



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2. PERFORMANCE MEASUREMENT LITERATURE REVIEW

Although public sector organizations have utilized some formal evaluation and budgeting since the beginning of the nineteenth century, performance measurement and strategic planning grew substantially in the 1990s with the Clinton administration's passage of the Government Performance and Results Act of 1993. This legislation, which requires agencies to develop a strategic plan and measure their progress, grew from a political environment that demanded increased accountability and efficiency.² The federal legislation soon trickled down to the state level, and by 2001, 47 out of 50 states had enacted some sort of performance measurement and budgeting requirement.³

Performance measurement and strategic planning have since become a necessary component of any successful and well-governed state. Performance measurement initiatives are top priorities for state governors across the country, demonstrating a newfound emphasis on efficiency and accountability in state government agencies. While some states have developed their own strategic planning and performance measurement structures, others have adopted well-known third-party systems like Balanced Scorecard or Lean. Regardless of the method, the structure, costs, and benefits of state performance management systems are highly similar, and the most successful states share common characteristics that can be emulated by the New Hampshire Department of Safety.

2.1. Theoretical Benefits of Performance Measurement and Strategic Planning

Performance measurement systems are burgeoning governing techniques and are relatively recent endeavors, and thus the precise benefits of such systems cannot yet be reliably calculated. Ideally, however, performance measurement methods are expected to improve government agencies in a multitude of ways. At their foundation, performance measurement and strategic planning remove the problematic lack of clarity present in numerous government agencies. According to the Florida Office of Program Policy Analysis and Government Accountability, performance-based budgeting can lead to a "heightened sense of mission" for government programs.⁴ This newfound direction and purpose can increase overall efficiency and productivity: "measuring and analyzing performance data—particularly measures of effectiveness—helps managers to make better decisions, prioritize more realistically and gauge efficiency more clearly."⁵

These systems are often, although not exclusively, used to support performance-based budgeting, which targets increased (fiscal) accountability of an agency or program to the public, to elected officials, and to higher levels of government organization. In this way, agencies are responsible for what they do with the financial allocations they receive. While this could boost efficiency and productivity in government programs, it also has the potential to increase external confidence in government organizations.



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Third, performance management systems give agencies constant information about the success of a program. This allows programs to regularly redesign themselves based on the data collected. By linking outcomes to inputs, agencies are able to see the cost effectiveness of programs, and can then determine whether the system is working optimally. The performance measures are vital in both budgetary and managerial decisions.

2.2. Challenges and Costs of Performance Measurement and Strategic Planning

Although performance measurement systems are promising in their ability to improve accountability and efficiency, they also face significant challenges. One of the most formidable obstacles to performance measurement and performance-based budgeting programs is the political environment in which they operate. There is often a lack of legislative interest in interpreting and utilizing performance information, and the political setting can make it difficult to make rational decisions about agency operation. According to researcher Dongsung Kong, “performance measures, or any rational ideas, will not supersede political priorities in any near future.”⁶ Elected legislators may be far more likely to vote based on personal political ideology or their constituents’ needs, whether or not those needs are economically reasonable or efficient.

Second, this challenging political environment may not be patient enough for performance-based accountability systems. A performance-based accountability system is a long-term plan with high initial costs, and it takes a significant amount of time for the benefits of such a program to appear. Additionally, agencies must be committed to the program with a high level of effort for the entire time period. Donald P. Moynihan, author of the article “Look for the Silver Lining: When Performance-Based Accountability Systems Work,” found that states which understood this enormous time and resource commitment were the most successful, while those which did not typically failed.⁷

Third, although performance-based budget systems have clearly improved accountability and organization in successful government programs, widespread cost-savings are not as apparent. A return on the potentially high initial costs often takes a significant amount of time. Additionally, the final link between agency performance and monetary expenditures is often not made in performance-based accountability systems, preventing possible cost savings. Even in states where performance information is eventually used in the budget process, spending levels have not noticeably decreased. In fact, researchers W. Mark Crain and J.Brian O’Roark found that in some instances, as in some state correctional departments, spending actually increased.⁸ Thus, performance-based accountability systems may be most helpful in managerial improvement and increased efficiency rather than in budgetary matters.



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2.3. Structure of Performance Measurement and Strategic Planning Systems

Despite the differing names for performance-based accountability systems implemented in public and private organizations throughout the country, most performance measurement and strategic planning systems have similar structure and organization. The holistic framework of planning, evaluation, and management can be summarized in a visual from the National Performance Management Advisory Committee:

The Performance Management Process

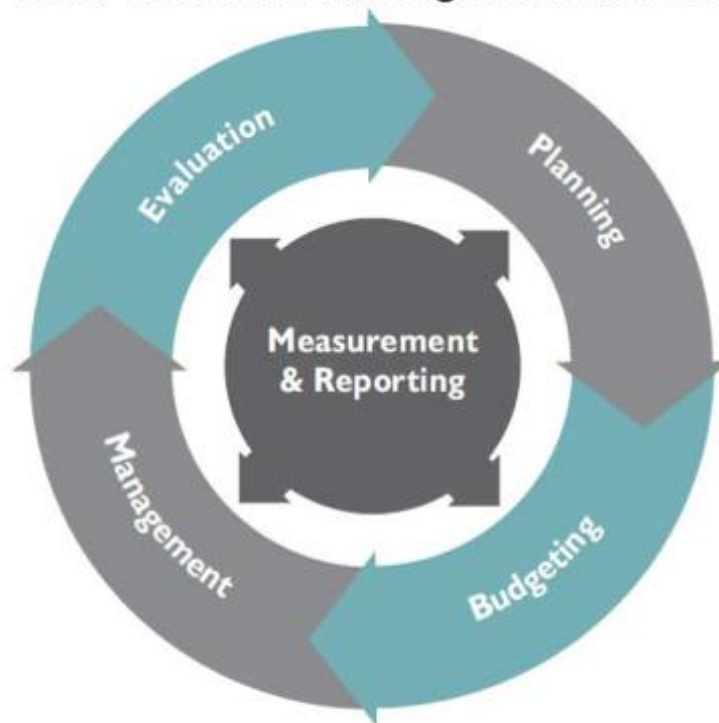


Figure 1. The Performance Management Process
(National Performance Management Advisory Committee)

This image exemplifies the ongoing cycle of performance management and the interdependence of each component on the others. As the image suggests, one of the most vital elements of any performance management system is the validity and clarity of the measurement and performance system. Without clear, specific and tangible *performance indicators* and agency reports, which measure progress towards a program's more ethereal *goals*, the entire performance-based accountability system lacks the proper data to evaluate the organization's success and efficiency over time.

In addition to the development of a tangible performance measures, the hallmark of any performance-based accountability system is the strategic plan. The strategic plan acts as



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the cornerstone of any goal-oriented state government organization, as it constantly relates government initiatives to the state and agency's broader missions. All performance indicators are based on, and track progress towards, particular goals within the strategic plan, giving those indicators purpose and authority.

Though particular details of state agencies' strategic plans may differ, the basic structure is essentially ubiquitous across nearly every organization using a performance-based accountability system. A framework of the strategic plan structure can be seen below:

Vision: A very broad and optimistic view of an agency's future.

Mission: The chief purpose of an organization and what it aims to achieve

Goals: A result the organization is aiming to achieve.

Objective: A tangible, measurable target that relates to the goal

Strategy: The mechanism by which the organization will achieve the objective.

It is typically in the "strategy" or "objective" category where particular performance **indicators** are identified. Performance indicators track how well an agency is doing in achieving its goals and consequently its mission using specific (usually quantitative) metrics. Typically, a performance indicator will fall into one of around eight categories, which are taken from the state of Washington's "Performance Measure Guide" and are listed below:

- **Input Measure:** Measure of the resources used by an activity or process.
- **Output Measure:** Specific numbers of units created or services delivered.
- **Outcome Measures:** Measure of the specific benefits associated with a service.
- **Efficiency Measures:** Inputs divided by outputs or outcomes.
- **Quality Measures:** Percentage of output and/or outcomes produced that meet a particular standard.
- **Error Rate Measures:** Percentage of output and/or outcomes produced that does not meet a particular standard.
- **Revenue Measure:** Amount of revenue collected.
- **Compliance Measure:** Percentage that conforms to legal or financial standards.

Although other categories of measurements likely exist most can be characterized by one of these groupings. By ensuring performance measures fall into one of these categories, agencies will develop indicators that are specific, tangible and informative in the performance evaluation process.⁹



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2.3.1. *Third Party Methods: Balanced Scorecard and Lean*

Instead of developing their own system, numerous states have chosen to implement a well-known third-party program to direct their performance measurement and strategic planning initiatives. Two common choices are Balanced Scorecard and Lean.

2.3.1.1. *Balanced Scorecard*

Balanced Scorecard is a management system that allows public and private organizations to refine their vision and strategy and convert that mission into tangible action. Organizational activities then provide feedback from tangible internal and external measures that are to continuously improve strategic performance and results. The system focuses on an agency's key performance indicators and uses them to track a department's success over time.

The Balanced Scorecard system has been used by a broad range of institutions, from private sector businesses to local government organizations. Balanced Scorecard stresses the importance of a dynamic strategic plan that is referenced daily by an organization in order to provide a consistent framework for what needs to be done. Subjective strategic plans include quantitative, objective measurements that provide facts on an agency's progress. Ultimately, according to the company's website, Balanced Scorecard "transforms strategic planning from an academic exercise into the nerve center of an enterprise."

2.3.1.2. *Lean*

According to the Lean Enterprise Institute, Lean "means creating more value for customers with fewer resources." Initially started as a production system for Toyota, Lean has expanded to a wide variety of businesses and organizations. The lean managerial system focuses on the integration of all facets of a department's services and activities with the main aim of eliminating waste. Lean is implemented through the following five steps, as provided by the Lean Enterprise Institute:

1. Specify value from the standpoint of the end customer by product family.
2. Identify all the steps in the value stream for each product family, eliminating whenever possible those steps that do not create value.
3. Make the value-creating steps occur in tight sequence so the product will flow smoothly toward the customer.
4. As flow is introduced, let customers pull value from the next upstream activity.
5. As value is specified, value streams are identified, wasted steps are removed, and flow and pull are introduced, begin the process again and continue it until a state of perfection is reached in which perfect value is created with no waste.¹⁰



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Using these steps, organizations are able to improve the value of their products or services with fewer inputs.

2.4. Common Characteristics of Successful Case-Study States

From the top-performing states analyzed in this project, common trends emerged that contributed to the state governments' success in developing their performance-based accountability systems. While this is not an all-encompassing list of the factors contributing to their success, it is certainly a valuable guide for the New Hampshire Department of Safety as it develops its own performance measuring system.

2.4.1. Executive Leadership

Nearly every top-performing state studied in this report had a performance measuring and strategic planning system that was supported by the executive office. In many cases, the governor him- or herself made the development of a performance-based accountability system a main priority of the state government. For example, in Georgia, the performance measurement and strategic planning initiatives are organized through the Governor's Office of Planning and Budget, while in Washington, the Governor herself led the charge to develop the thriving Government Management Accountability and Performance tool and remains intricately involved in its day-to-day operations. Involvement by the executive office gives performance measurement systems increased authority, encouraging the support and participation of other facets of the state government

Executive agencies in NH face a particular challenge because the legislature is considering a performance measurement-requiring bill that places the responsibility of developing performance measurement systems at the departmental, rather than gubernatorial, office. In addition to cutting out the executive leadership function that supported successful development of these systems in other states, this could also lead to multiple different performance measurement systems in place concurrently among the various departments, further increasing the workload for legislators when trying to analyze and compare departmental performance.

On the other hand, the Commissioner-leadership model in place at the Department of Safety gives a chance for firm executive leadership within the department, as long as the Commissioner of the DOS remains committed to effective performance measurement, and maintains the support of the directors and the governor.

2.4.2. Agency-Wide Support and Participation

A second critical component present in successful case-study states is the involvement and support of all members of the state government. Because performance measurement



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and strategic planning are time-consuming processes that require considerable effort to develop and foster, it is essential that not just the executive office, but all employees throughout the state government, be involved in the performance measuring process. Top-performing states are able to achieve this by providing support services to agencies as they develop their strategies and measures and offering forums for government participants to express their thoughts and concerns about the performance measurement systems. By performing these actions, state government leadership give all facets of an agency a stake in the strategic planning and accountability process.

2.4.3. Step-by-Step Guides

A more specific commonality among successful states is the development of step-by-step guides that lead agencies through the often difficult and tedious process of developing strategic plans and identifying tangible performance measures. These guides are made publicly available and identify responsible persons that agencies can contact for advice or support.

Louisiana is a superior example of this practice. Louisiana sponsors a system called MANAGEWARE that guides state agencies through the strategic planning process. Not only does MANAGEWARE educate employees and leaders about the purpose and benefits of strategic planning, but also goes as far as providing precise itineraries for meetings that state agencies should hold. Through MANAGEWARE, state agencies are able to better understand the steps involved in the creation of a performance-based accountability system.

2.4.4. Regular Check-Ups

Consistently monitoring agency efforts throughout the performance measurement process is a fourth characteristic that is apparent in all case-study states. Whether executive officials hold weekly, biweekly, or monthly meetings with agency directors, or whether the state accountability leadership requires state agencies to submit reports on a quarterly or yearly basis, all states have some component of follow-up that keeps state agencies on track. This ensures that state agencies keep performance measurement a priority and remain committed to its success.

2.4.5. Patience

Although not as quantifiable, all successful case-study states have exhibited some degree of patience in the performance measurement and strategic planning process. As mentioned before, the results of these accountability methods are often not apparent for years or even decades after their initiation, and such a time lapse can be discouraging. Most of the case study states began their accountability systems at the turn of the century or before, and are only recently seeing the fruits of their labor. Thus, patience and



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persistence are necessary characteristics of any state government implementing a performance-based accountability system.

2.5. Summary

Despite the challenges confronted by performance-based accountability systems, the burgeoning managerial technique shows promise if implemented correctly. Necessary characteristics of a successful performance-based accountability system can be summarized as follows:

- Executive leadership
- Adequate communication between all participating parties
- Long-term commitment and realistic expectations
- Organized, clear goals and objectives, supporting a coherent strategic plan
- Regular check-ups
- Use of performance measures in evaluation and resource allocation

Most important, managers and legislators must view performance-based budgeting as a mechanism for government reform, not solely as a way to cut costs. A strategic plan informs goals, which inform a set of objectives, progress towards which is measured using specific indicators and metrics. Focusing solely on decreasing expenditures will surely disappoint participating parties.

The next seven sections offer detailed comparative case studies for each of the seven divisions of the Department of Safety, in order to provide suggestions for specific performance metrics that division directors might consider when they reach that stage of strategic planning. While we offer specific metrics, directors should remember that any metric eventually selected is only valuable if it supports a specific objective, forming part of a larger vision and strategic plan for both the division and department.



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3. DIVISION OF ADMINISTRATION

The Division of Administration is one of the seven divisions in the New Hampshire Department of Safety, and is comprised of the Business Office, Equipment Control, Road Toll, Central Maintenance and the Reprographics unit, and a portion of the Department of Information Technology. The Division acts as a support service for all other divisions within the Department of Safety through the responsibilities of building maintenance, payroll, payables and receivables, and other fiscal and human resources areas. In this way, the Division of Administration improves the efficiency and organization of the broader Department.¹¹

3.1. Georgia Office of Management and Budget and Department of Administrative Services

Although not necessarily considered one of the top states in performance measurement and evaluation, the state of Georgia is making great strides in the fields of strategic planning and performance information. Organized and led by the Governor's Office of Planning and Budget, Georgia recently revamped its strategic planning and performance evaluation processes, generating a newfound focus on organization and accountability. Although the state is behind its peers in its use and publishing of performance measures and strategic plans, an overall culture of performance evaluation has spread throughout the state government. According to the Pew Center on the States in its survey of Georgia's governing techniques, "A focus on results has spread through state agencies, and many employees understand how their performance relates to agency and state strategic objectives. The state has strong fiscal management practices."

Although detailed information from the Administrative Services division within the Georgia Department of Public Safety is not publicly available, performance indicators for the more general Department of Administrative Services are accessible and are comparable to the efforts of the Division of Administration within the New Hampshire Department of Safety. Additionally, the more general methods of strategic planning and performance measurement provided by the Governor's Office of Planning and budget may be of use to the Division of Administration.

3.1.1. Office of Planning and Budgeting: Methods and Guidelines for Strategic Planning

Georgia's Office of Planning and Budget (OPB) acts as the primary source of information for the governor in regards to financial and operational information about the state government. The agency's predominant focus is on the state budget that is presented to the legislature. The OPB analyzes budget requests and makes recommendations about budget priorities.



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Second to its role in the budget process, the OPB leads the state efforts in strategic planning and performance measurement. The OPB assists the Governor in outlining and organizing his or her own vision, and then aids state agencies in the development of their own missions and goals. The OPB does this by publishing various guidelines that are made available to all state agencies.

In its publication, “State Strategic Planning Guidelines,” the OPB directs all state agencies through the strategic planning process. The OPB divides the state strategic planning framework into three components: the state strategic plan, the agency strategic plan, and the annual performance plan. The state strategic plan is a four-to-five year strategy that outlines statewide goals and indicators. The state of Georgia currently focuses on five main policy areas: Educated, Healthy, Safe, Growing, and Best Managed. The strategic plan identifies state goals in each of these areas.



Figure 2. Strategic Planning: From Vision to Action Plans



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Agencies are then required to align their strategic plan to this broader state mission. Agency strategic plans look at minimum three years ahead. Unlike in other states analyzed in this report, the OPB allows state agencies to use a strategic planning model that is most suitable for that agency, rather than requiring them to use a universal system determined at the executive level. Nonetheless, even the most specific action plan at the lowest level of the bureaucracy supports and advances the statewide strategic plan.

The OPB then offers systematic processes for developing agency strategic plans. The OPB requires agencies to include the following information in their document: Agency Mission, Agency Vision, Agency Core Values, Enterprise Ideas, Goals, and Strategies. Figure 2, taken from a publication issue by the Georgia Department of Audits and Accounts, visually depicts this required organization structure.

Although the OPB does not require state agencies to develop strategic plans in particular ways, emphasizing in the “State Strategic Planning Guidelines” document that “agencies may choose a strategic planning model that works best for the agency,” it does offer a framework for strategic plan development. The framework defines vital components to any plan, including the mission, vision, core values, and other components, and places them in the context of an agency plan. Further details about this strategic plan scaffold are available in the OPB publication.

3.1.2. Georgia Department of Administrative Services

The Georgia Department of Administrative Services acts as a support agency for other Georgia state government departments, while also serving as a resource for local governments, businesses, and the public. The agency acts with the mission statement “To assist our customers by providing leadership, guidance, and reliable valued business services” and achieves this mission through three main goals:

- Goal 1:** Efficiently deliver solutions, results, and value to help our customers achieve success.
- Goal 2:** Foster an environment that drives high levels of employee engagement, productivity, and goal accomplishment.
- Goal 3:** Build strong customer relationships to increase understanding, trust, and collaboration.

Organizationally, the department is divided into four main divisions: Risk Management, State Purchasing, Surplus Property, and Fleet Management. All four of these divisions have components that relate to the Division of Administration in the New Hampshire Department of Safety, although they operate on a significantly larger scale.



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Although the Department of Administrative Services does not make its own strategic plan and performance indicators publicly available, the Office of Management and Finance publishes a collection of the department's performance measures in the 2013 Georgia State Agency Performance Measures report. A selection of performance measures that may relate to the responsibilities of the Division of Administration in New Hampshire are outlined below.

Fleet Management:

- Average preventative maintenance costs for participating vehicles.
- Percentage of state owned vehicles that participate in the Automotive Resources International Motor Vehicle Contract Maintenance Program
- Total savings resulting from the states use of fuel card contract.

State Purchasing:

- Dollar amount of estimated savings realized using statewide contracts.
- Number of statewide contracts.
- Number of training participants for the state purchasing program.

Surplus Property

- Total surplus property sales.
- Percentage of surplus property requests processed within seven calendar days.

Risk Management:

- Cost avoidance related to workers' compensation settlements
- Percentage of workers' compensation claims closed in relation to new claims received.

Additional performance indicators include number of payments processed, percentage of payments made electronically, number of audit findings, and the average turnover rate of departmental employees.

The above performance measures are reported in comparison with the previous three fiscal years in order to depict the overall trends of agency and departmental performance. The Department of Administrative Services, along with other departments in the state of Georgia, is able to use this information to reorganize their structure and re-evaluate their strategic planning.

3.1.3. Summary

Although the information released by the state of Georgia through the Office of Management and Finance is not as comprehensive as that provided by other high-performing states, Georgia still offers some helpful perspectives on strategic planning and performance measurement. The more generalized strategies offered by the Office of Management and Finance are useful frameworks for New Hampshire's broader strategic planning process, while the more specific performance indicators of the Georgia



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Department of Administrative Services are valuable examples that can be emulated or restructured in the Division of Administration in New Hampshire's Department of Safety. Clearly, Georgia is on the correct track in its strategic planning methods, and it will be valuable to follow Georgia as it continues to improve its performance measurement systems.

3.2. Louisiana Public Safety Services: Office of Management and Finance

Although not as highly rated as Washington, the state of Louisiana has done a commendable job developing its own performance measurement system. The state first began seriously measuring performance in 1997 with the passage of the Louisiana Government Performance and Accountability Act, which required state agencies to measure performance and release their results. Under the guidance of the state's Office of Planning and Budget and the Louisiana Performance Accountability System (LaPAS), performance measuring in Louisiana has become a vital piece of state governance.

Within the Louisiana Public Safety Services division, the Office of Management and Finance is comparable to the New Hampshire Division of Administration. The Office of Management and Finance provides support to all other agencies within the Public Safety Services division, and has developed its own strategic planning and performance measurement through the LaPAS and the Office of Planning and Budget.

Although Louisiana's achievement in performance measurement makes the state an obvious candidate for study, it is important to note the variance between Louisiana and New Hampshire. Considering Louisiana's geography, climate, and population demographics, the state is dissimilar from New Hampshire in most ways. At the same time, the challenges faced by Louisiana Public Safety Services budget and administrative methods are universally applicable.

3.2.1. Louisiana Performance Accountability Systems (LaPAS)

Directed by the Louisiana Office of Planning and Budget, The Louisiana Performance Accountability System was created in 1997 under the Louisiana Government Performance and Accountability Act, requiring agencies to track their progress and to submit plans for future improvement. Each agency sets performance goals and collects data in these determined areas. If an agency has a greater than five percent variance from its performance target, it must provide a reason for failing to reach its goal. The system eventually combines these performance measures with budget requests in order to provide accountability and transparency in the budget process.

The Louisiana Office of Planning and Budget releases all quarterly LaPAS reports online, making them available to the public. Constituents can view performance information from 1999 to present, and can search for performance measures by a "performance



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indicator code” or by keyword. Users of LaPAS can also browse the performance indicators of a selected department, agency, program, and objective.

3.2.2. *Office of Management and Finance*

The Louisiana Department of Public Safety Services is divided into nine divisions and commissions, one of which is the Office of Management and Finance. The Office of Management and Finance is comparable to the NH DOS Division of Administration, and supports all divisions and commissions within the greater department.

3.2.2.1. *Division Organization*

The Office of Management and Finance is organized into six separate divisions that focus on different responsibilities within the Department of Public Safety:

1. **Budget Services:** The Budget Services division focuses on the financial intake and expenditures of the Department of Public Safety by monitoring the budget and organizing the annual Budget Request.
2. **Internal Audit:** The Internal Audit division oversees the operation of the Department of Public Safety to ensure the efficient use of agency resources. The division offers advisory services to improve the Department’s effectiveness.
3. **Financial Services:** Unlike Budget Services, the Financial Services division focuses on the specifics of the Department’s financial interactions, including payments on invoices, contract negotiation, billing, and other actions.
4. **Human Resources:** The Human Resources division provides support services to the Department’s employees. Such services include payroll and benefits, training, policy development, and more.
5. **Information Services and Communications:** The Information Services and Communications Division provides data processing and communication services to the Department.
6. **Municipal Fire and Police Supplemental Pay:** The Municipal Fire and Police Supplemental Pay division processes request from Department enforcement officials requesting supplemental payments.

3.2.2.2. *Strategic Plan*

The Office of Management and Finance has an extraordinarily comprehensive strategic plan that encompasses all aspects of the division’s operation. The current strategic plan,



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titled the “Public Safety Services Office of Management and Finance- Strategic Plan FY 2011-2012 through FY 2015-2016,” is divided into the division mission statement, goals, objectives, strategies, and performance indicators, which are discussed in detail below.

According to the strategic plan, the Office of Management and Finance has the following mission statement: “The mission of the Office of Management and Finance is to provide effective management and support services in an efficient and professional manner to all agencies within Public Safety Services and to public and private entities.” The mission statement is then broken down into three goals:

- Goal 1:** To promote efficient, effective, results-oriented services that will enhance the general management of the Department.
- Goal 2:** To provide, promote, and accelerate the use of technology to improve efficiency and effectiveness.
- Goal 3:** To improve the quality of Public Safety Services’ resources through planning, training and development programs, and asset loss prevention.

These broad goals are then defined by various objectives. The Office of Management and Finance has defined nineteen objectives, which it believes the division should focus on. Each of these objectives is then further specified by various strategies that give very concrete ways of achieving the objective and broader goal. An example of an objective and its strategies is given below:

Objective 1.7: To ensure that all disbursements are made within 30 days of receipt of the final invoice by July 30, 2016.

2. *Strategy 1.7.1:* Identify and implement opportunities that will fully utilize electronic funds transfer capability.
3. *Strategy 1.7.2:* Receive invoices sent to field offices within two weeks of invoice date and make the disbursement within 30 days.
4. *Strategy 1.7.3:* Review and update policies on accounts payable and communicate them to the field offices.

This objective is then coupled with two performance indicators, comprised of one “input” and one “output”:

- Input:** Number of collection notices received for invoices past due.
- Output:** Percentage of disbursements made within 30 days of invoice date.

All performance measures (there are over ninety in total) are then discussed in detail in the appendix of the strategic plan. These detailed descriptions, called “Performance



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Indicator Documentation,” include the following information about each performance indicator:

1. Type and Level
2. Rationale
3. Use
4. Clarity
5. Validity, Reliability, and Accuracy
6. Data Source, Collection, and Reporting
7. Calculation Methodology
8. Scope
9. Caveats
10. Responsible Person

The necessity of the above information ensures that each performance indicator has a role in the greater strategic plan, is reliable, and is consistent in its measurement.

Also in the appendix of the strategic plan are “Strategy Analysis Checklists” that analyze every strategy in further detail. Like the Performance Indicator Documentation, the Strategy Analysis Checklists ensure that every strategy has a place in the division’s goals and is well organized. The Strategy Analysis Checklist has the following organization and information:

1. Analysis:
 - ___ Cost/benefit analysis conducted
 - ___ Other analysis used
 - ___ Impact on other state strategies considered
2. Authorization:
 - ___ Authorization exists
 - ___ Authorization needed
3. Organizational Capacity
 - ___ Needed structural or procedural changes identified
 - ___ Resource needs identified
4. Time Frame
 - ___ Already ongoing
 - ___ New, startup date estimated
 - ___ Lifetime of strategy identified
5. Fiscal Impact
 - ___ Impact on operating budget
 - ___ Impact on capital outlay
 - ___ Means of finance identified.



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Division leaders go through the above checklist for each strategy and characterize it according to the above criteria. Although the process may seem tedious, it validates each strategy's place in the broader vision of the Department.

3.2.2.3. Additional Performance Measures

Although only two performance measures are given in the example above, the Office of Management and Finance has identified over ninety performance indicators that are of use to the division. The list below provides a non-comprehensive list of a selection of these performance indicators that may relate to the work of the Division of Administration in the New Hampshire Department of Safety:

- Percent of increased State and Federal Grants
- Number of Grievances filed
- Number of applications received in HR
- Turnover Rate
- Attrition Rate
- Percentage of annual audit plan achieved
- Number of IT projects supported.
- Percentage of State Police documents being electronically imaged.
- Number of audits conducted
- Number of employees receiving safety training.

Examples of additional performance indicators are available in the Office of Management and Finance Strategic Plan.

3.2.3. Summary

With the Louisiana Performance Accountability System as its foundation, Louisiana's performance measurement technique has had great success in organizing state agency missions and in improving the government's accountability. The examples taken from the Office of Management and Finance in the Department of Public Safety demonstrate the incredible level of detail incorporated into the system, giving the state myriad amounts of data to use in evaluation and reorganization. The Division of Administration in the New Hampshire Department of Safety can learn much from Louisiana's strategic plan and performance measurement system.

3.3. Washington State Patrol: Technical Services Bureau

Since beginning its Priorities of Government initiative in 2002, the state of Washington has been a leader in performance-based governing. A 2008 study by the Pew Center on the States granted Washington the top grade, giving evidence to the state's success in its efficient and accountable governing structure. Additionally, the Harvard Kennedy School



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recognized Washington's superiority by naming the state government a finalist in the Innovations in American Government Awards contest, while the Council of State Government honored Washington with the Governance Transformation Award.

The state of Washington has achieved these results through its Government Management Accountability and Performance (GMAP) program, a priority for Governor Christine Gregoire that is present in all facets of state government. GMAP, coupled with the management system "Lean," has guided the entire state, particularly the State Patrol and the Department of Enterprise Services, to increased efficiency, accountability, accomplishment.

3.3.1. Government Management Accountability and Performance

The cornerstone of Washington's results-based government system is its Government Management Accountability and Performance program. Modeled after two data-oriented management systems titled CompStat in New York City and CitiStat in Baltimore, MD, the GMAP program provides a functional framework for state agencies to measure, report, and improve upon their performance. GMAP operates on seven fundamental principles, taken from the state's Accountability and Performance office:

1. Engage the leaders at the top of the organization.
2. Do not measure for measurement's sake.
3. Develop and use timely and accurate performance data to set targets and inform decisions.
4. Reward candor in identifying and diagnosing performance barriers and creativity and commitment to overcoming them.
5. When the date indicates needed action, quickly and clearly specify what needs to be done, who will do it, and when it will be done.
6. Persistent follow-up and clear accountability.
7. Create a continuous learning environment.

The governor enforces the above principles through regular public meetings with agency leadership. In this way, the GMAP program has the power of the executive behind it, giving it added authority and ultimately heightened success.

3.3.1.1. Lean

As part of its GMAP strategy, the state of Washington uses the Lean program to improve the services it delivers to its constituents. According to the Lean Enterprise Institute, Lean "means creating more value for customers with fewer resources." Initially started as a production system for Toyota, Lean has expanded to a wide variety of businesses and organizations. Washington uses Lean to identify possible projects in an agency, like reducing paperwork burdens or decreasing office wait times, to reduce waste and



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improve efficiency. The agency then reports the project's results to the Governor's office for review.

3.3.2. *Washington State Patrol Technical Services Bureau: Strategy and Results*

The Washington State Patrol is a comparable agency to the New Hampshire Department of Safety in both its mission and organization. The department is divided into five main Bureaus: Field Operations, Fire Protection, Forensic Laboratory Services, Investigative Services, and Technical Services. State Patrol operates with the mission statement "The Washington State Patrol makes a difference every day, enhancing the safety and security of our state by providing the best in public safety services." The division focuses on five main goals, conveyed in their 2010-2015 Strategic Plan:

- Goal 1:** Make Washington roadways and ferries safe for the efficient transit of people and goods.
- Goal 2:** Reduce our citizens' vulnerability to fire, crime, terrorism, and natural hazards.
- Goal 3:** Meet the growing need for law enforcement, forensic, investigative, and other public safety services statewide.
- Goal 4:** Leverage technology to enhance and sustain business processes, public safety infrastructure, and statewide emergency communications interoperability.
- Goal 5:** Provide critical leadership, tools, and resources to foster an ethical, innovative, knowledgeable, and diverse workforce.

Each of the above goals is then further broken down into four or five "priorities" that offer more specific guidelines on how the State Patrol will achieve its mission.

3.3.2.1. *Technical Services Bureau Organization and Strategy*

The Technical Services Bureau (TSB) within the Washington State Patrol is most similar to New Hampshire's Division of Administration. The main purpose of the TSB is to provide support services to other bureaus throughout the department. TSB is divided into seven divisions: Communications, Electronic Services, Human Resource, Informational Technology, Property Management, Risk Management, and Training. Although the New Hampshire Division of Administration does not direct emergency communications or training, the other divisions play similar roles as the Division of Administration.

In Washington's comprehensive State Patrol strategic plan, goals four and five are most closely related to the Technical Services, and consequently New Hampshire's Administrative Services, division. Each goal is then broken down into several "priorities":



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Goal 4: Efficiency

- 4.1: Develop, improve, and sustain agency use of technology with computers, operating systems, applications, networks, phone systems, radios, and microwave communication systems.
- 4.2: Lead in the deployment and implementation of a statewide interoperability communication system.
- 4.3: Integrate, standardize, and enhance officer vehicle (mobile office) technology and applications
- 4.4: Expand our ability to provide business continuity with applications and systems in support of agency services during a disaster or other large-scale dislocation.

Goal 5: Leadership

- 5.1: Recruit, hire, and retain a qualified and diverse workforce.
- 5.2: Enhance critical leadership by developing and conducting quality training.
- 5.3: Improve the condition and sustainability of agency facilities, vehicles, and equipment.
- 5.4: Renew and evaluate internal processes and work products to manage risk and ensure legal compliance, accuracy, timeliness, and efficiency.
- 5.5: Maximize funding opportunities and be good stewards of public funds.

The strategic plan then provides a one-page analysis of each of the above priorities and provides strategies, an assessment of internal capacity and financial health, and performance analysis. For example, for Priority 5.3, the strategic plan outlines the following strategies:

- Monitor energy usage, a portion of sustainability, by implementing Energy Star application.
- Collect, monitor, and report on agency compliance with sustainability practices and greenhouse gas emission reduction.
- Prepare plan to reduce turn-in mileage for pursuit vehicles to 110,000 optimum miles.
- Perform an agency-wide facilities assessment to determine lifecycle cost data for major facilities and present comprehensive long-term capital plan to the Office of Financial Management and the Legislature.

Lists like the one outlined above are available for every priority developed by the bureau. The division constantly assesses the division's ability to meet its priorities and updates leadership annually on its progress.



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3.3.2.2. *Performance Measurement and Analysis*

The state of Washington uses a comprehensive and universal performance measurement system through the GMAP program. Called DataStat, the system publishes agency reports quarterly and makes them available to the public. In this way, state agencies are constantly held accountable for their actions.

Although most of the State Police performance measurements address issues like crime and traffic violations, a handful of measurements specifically target issues that are of concern to the Division of Administration. In regards to the maintenance of agency facilities, vehicles, and equipment, the Technical Services Bureau analyzes building energy use through the EPA Energy Star Portfolio Manager and tracks the average vehicle mileage at replacement, among other tangible benchmarks. With the topic of funding, the Technical Services Bureau holds bimonthly forums with all division leadership to present accomplishments and address concerns. The Bureau also regularly audits the Washington State Police and reports the results to various government departments. In the Human Resources division, the Bureau tracks the various recruiting events attended and analyzes affirmative action data. In its Electronic Services division, the Bureau tracks the number of eligible patrol vehicles equipped with modernized software and technology and aims to improve the score of state interoperability. Additional performance measurement outlines are made available through the DataStat site and the Washington State Police Strategic Plan.

3.3.3. *Summary*

Through GMAP and its use of Lean and the state's executive offices, Washington has exceeded nearly all other states in its performance measurement and management capacity. By integrating all agencies, bureaus, and divisions into a universal system, Washington has remained organized and consequently efficient. Although most performance measuring occurs at the agency level, the Technical Services Bureau of the Washington State Police has exhibited its own level of performance measurement and strategic planning, though on a smaller plan. Though constrained by budget cuts, the Bureau has had success because of its efforts.



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4. DIVISION OF EMERGENCY SERVICES AND COMMUNICATIONS

The Division of Emergency Services and Communications oversees emergency communication in New Hampshire. Its mission is "to serve as the communications link between the public and public safety agencies." In 1992, the Enhanced 911 Commission was established as an entity to set policies for the Division. It is composed of appointed representatives of sixteen organizations who each serve for a three-year term. The Commission sets policy for the Bureau of Emergency Communications.¹²

4.1. Fairfax County Public Safety Communications

The Department of Public Safety Communications in Fairfax County, Virginia performs a similar role as the NH Division of Emergency Services and Communications, and recently developed a comprehensive strategy map and related balanced score card for measuring performance of the department. The county also publishes monthly and annual productivity reports as a summary of the Fairfax County 911 Center activity. These reports serve both the community and the emergency service providers in the area.¹³

4.1.1. Strategy Map

The Department of Public Safety Communication's strategy map first lists the mission and vision of the department. The map is then divided into four parts: 1) Mission and Customer; 2) Business Process; 3) Empowerment, Learning, and Growth; and 4) Finance and Resources; these are listed from top to bottom in a column. Within each part, there are two to four boxes of general objectives relating to that specific element of the strategic plan. For example, in the Mission and Customer category, the three tenets displayed are:

- Deliver exceptional 911 and non-emergency public safety communication services
- Provide accurate public safety information
- Ensure operational staffing and agency emergency preparedness

In the background of the strategic map is a picture of an arrow from the bottom of the page to the top, showing that lower parts enable higher elements, and ultimately everything relates to the overall mission and vision of the organization.¹⁴

4.1.2. Annual Productivity Report

Each month, the Department publishes summary productivity reports. At the end of the year, all of these are collated and compiled into one final annual report. For purposes of this case study, we have only included data from the annual report; however, all of the performance measures are the same in both monthly and annual reports.



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4.1.2.1. *Statistics*

The categories of statistics that the Fairfax County Department of Public Safety Communications collects include: telephone/call statistics (e.g. call volume, percentage of 911 calls answered within certain time frames, number of calls transferred to other agencies), computer aided dispatch (CAD) system statistics, radio system statistics, quality assurance statistics (post incident reviews), numbers of critical life threatening or saving events, and human resources statistics.

Within each of these categories are more detailed line numerical counts or percentages. For example, in the telephone call statistics, the number of total calls received that year is separated into four different categories like Emergency 911 calls and non-emergency calls. There are also numerous statistics illustrating the percentage of 911 calls that were answered within 10, 15, 20, and 40-second timeframes. It also calculates the average speed in which calls are answered based on the four telephone call categories.

The Annual Productivity Report also includes statistics about average call processing and priority dispatch times of the police, police, and EMS departments. Most of the other statistics are numerical counts of information like recruitment and hiring, release of information requests, and other important quantifiable data regarding 911 centers or the Department of Public Safety in general.

4.1.2.2. *Graphics*

Many of the important measures in the report are then graphically displayed in line and bar graphs or pie charts to compare trends over the year, or to summarize proportions of certain measurements. For example, the average answer speed of emergency 911 and 10 digit emergency lines, and non-emergency number and non-emergency towlines are displayed in a line graph with four lines. The graph gives a visual representation of how consistently calls are being answered at a certain speed, and how this relates month to month. A similar line graph is used to represent the number of quality assurance reviews that are completed each month over 2011. Moreover, while the number fluctuates monthly, sometimes by a considerable amount, this does not necessarily give much information without knowing how many incidents actually occurred each month.

The report also includes a detailed pie chart of different proportions relating to critical life threatening or life-saving events throughout the year. This is useful because it allows the department to see how often they respond to certain events, and can provide insight into human or financial resource allocation. There are also pie charts that show basic information such as the proportion of 911 calls made through wireless, wire line, direct lines, or VoIP calls.



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4.1.3. Summary

Fairfax County's current strategic plan and monthly and annual reports provide a great model of not only what 911 communication services should strive towards, but what specific measures are valuable to such an organization to give insight into what can be improved.

For example, the pie chart showing the proportion of critical events throughout the year allows the department to identify what their responders are most likely going to deal with after receiving a dispatch, and such information can help both the 911 communication services and the responders to streamline the processes or effectiveness of response. The line graph indicating average speed to answer 911 calls is incredibly useful because it allows the department to track trends or see whether answering speeds are relatively consistent. For the most part, Fairfax County showed that answer speeds for 911 and ten-digit emergency lines are typically below five seconds, however there is clear deviation in September when the average answer speed in September was almost up to ten seconds for ten-digit emergency lines. Trends like this are more noticeable in line graphs, and the report's implementation of graphics is a useful way to recognize trends that should or should not be present.

4.2. Chesterfield County Emergency Communications

Chester County in Virginia takes a different approach to performance measurement of 911 emergency communication services. The county created a performance plan developed by the Director, Managers, Shift Supervisors, Quality Assurance Coordinator, Training Facilitator, Senior Automation Analyst and Automation Analyst of the Chesterfield Emergency Communications Center for the fiscal years 2011 to 2012. The creation of the performance plan was a systematic process that took into account input from all employees of the Department. The plan also aligns with the county-level strategic plan, and includes important benchmarks for the community to meet in terms of performance and improvement.

4.2.1. Strengths, Weaknesses, Opportunities, and Threats (SWOT) Analysis

The SWOT Analysis of Emergency Communications in Chester County looks at what the department does well, what the department can improve, and internal and external issues that affect the department's function and processes in positive and negative ways. The analysis identifies up to five points under each of these four categories. There is also a customer analysis included in the plan that identifies what type of person the department is trying to serve, and what these individuals are expecting or requiring of the agency. The real value in the customer analysis is for the department to identify the core mission, values, guiding principles, and code of conduct for the organization as whole to ensure their purpose is being fulfilled appropriately. Such an analysis forces the organization to



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evaluate itself in order to understand where improvements can be made or what specifically to maintain in the department.

4.2.2. Goals and Objectives

The five goals the Chesterfield County Department of Emergency Communication identified were:

- 1) Promptly answer, enter, and dispatch calls for service;
- 2) Gather and relay information accurately;
- 3) Attract diverse, qualified candidates and retain high performing work force;
- 4) Maintaining and enhancing current technological capabilities;
- 5) Increase awareness and knowledge of ECC.

Each goal is then identified by purpose, and then split into numerous further objectives. For example, Goal 1 and 2 address customers and internal processes, Goal 3 addresses internal recruitment processes and employment development, Goal 4 addresses technological capabilities, and Goal 5 addresses public education.

Within each objective, there are two or three more detailed “objectives,” and several performance measurements associated with each target. For example, under Goal 1, objective 1.3 is to “process the telephone call and dispatch of all Priority 1 calls for service in ninety seconds or less, eighty-five percent of the time.”

4.2.3. Measurement

Nevertheless, in order to objectively determine if the department is meeting all of these goals and their component objectives, there need to be concrete and measureable proportions or totals that as a whole can reveal a lot of information about how the department is doing in terms of meeting the goals they lay out. Under objective 1.3 we presented above, the sub-objectives are: to process a telephone call in sixty seconds or less, eighty-five percent of the time, and to process the dispatch of the call in thirty seconds or less, eighty-five percent of the time. There are four measures associated with this objective:

- 1) total number of priority 1 calls processed in a year;
- 2) percentage of Priority 1 calls answered and entered in 60 seconds or less;
- 3) percentage of Priority 1 calls dispatched in thirty seconds or less;
- 4) percentage of Priority 1 calls processed in ninety seconds or less.

Each of these are listed with a categorization of either “lead” or “lag”, referring to whether the department is doing well in this respect, or not. These statistics are then summarized in a chart over several fiscal years. There are also projected numbers for the



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upcoming three years based on past annual trends. These help the department establish what the new standards should be, and what the new aim should be for the following year(s).

4.2.4. Summary

From these descriptions, it is easy to see that Fairfax County and Chesterfield County approach performance measurement differently. Chesterfield County is more structured in the way they approach measurement because they divide everything down into different goals, objectives, and measurements that can be tracked. The organization also looks at these measurements throughout many different years. Fairfax County tends to collect data without very detailed objectives that tie to the measurements, and they function on a month-to-month basis. However, both ways, if implemented and maintained by the organization, are useful for the organization itself.

4.3. State of Maine: Emergency Services Communications Bureau

In February 2010, Maine's Office of Program Evaluation and Government Accountability (OPEGA) issues a report that identified areas of improvement in standardized practices and quality assurance. As a result, Maine's Public Utilities Commission's Emergency Services Communications Bureau was tasked with implementing a performance measurement plan. The bureau sought professional consultant services of the Mission Critical Partners (MCP) to assist with the process. MCP has much experience with assisting 911 authorities at national and state levels in developing quality assurance review programs. The focus of the study was on Public Safety Answering Points (PSAPs).

4.3.1. Study and Methodology

During September and October of 2010, MCP auditors visited Maine's PSAPs, and used a pre-approved survey of instruments to gather and measure the review criteria. PSAPs were also able to suggest improvements of internal processes, and all the findings were summarized in a "PSAP Initial Findings Review."

4.3.2. Findings

The following criteria are some of the most established and relevant measures established by MCP and the bureau for data collection. Each is followed with general findings of the MCP.

- 1) **Call Processing statistics** – PSAPs were able to produce call processing statistical information. However, there were some PSAPs with unexpected variations. This matter is easily resolved by refresher training on the call statistics records information management system provided by the Bureau to each PSAP.



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- 2) **ALI Discrepancy/Mapping Reporting System** – The reporting system prescribed by the Bureau is in place at all PSAPs. However, one PSAP was not following the procedure. This has since been rectified. In addition, some PSAPs had error report logs that were not up to date. All PSAPs have since demonstrated that they are now in compliance with the procedure.
- 3) **Internal Policies for Public Comment/Complaint** – There were 23 PSAPs that were in compliance, and three PSAPs that were not. Since the review, all PSAPs report that they are now in compliance with this Rule.
- 4) **Quality Assurance Programs and Processes** – Quality Assurance programs in the state’s PSAPs involve the regular review of individual telecommunicator calls where the Emergency Medical Dispatch (EMD) protocol is used. This regular review of calls, coupled with QA evaluations on a pre-determined level of compliance to protocol, helps ensure that the protocol is being followed correctly.
- 5) **Call Transfer Policy** - PSAPs have call transfer policies in place. However, it is difficult to measure compliance to the policy. There are inconsistencies with regard to responsibility for EMD call processing (i.e., inconsistencies with the administering of EMD, when to transfer, which PSAP is responsible for EMD, which PSAP should give pre-arrival instructions, etc.). A statewide policy and procedure document that provides specific instructions on when to transfer, how to transfer, and language to be used, and clear and concise rules on EMD call processing is urgently required for the standardization of call transfer procedures.
- 6) **Fire and police Call Processing Guidelines** – Four PSAPs have developed rudimentary fire and police call processing guideline systems. The systems range from an in-house developed flip-card system, to detailed procedural documentation. Despite the best efforts of PSAP personnel to develop in-house call processing systems, commercially available structured protocol systems for fire and police are not only preferred, but provide a higher degree of liability protection. The remaining PSAPs have no system in place for police or fire calls.
- 7) **Bureau Rules** – PSAPs were evaluated on their compliance to other Bureau Rules.

4.3.3. Recommendations of Enforcing Quality and Implementation

Other than a few general recommendations regarding the institutionalizing process in the bureau, MSP also included a recommendation of quality assurance in public safety communications, and call processing systems. It also listed out three different options for implementing a system:

- 1) One-Time Approach to Implementation;
- 2) Multi-Year Plan Approach; and
- 3) Voluntary PSAP Participation.

The report then goes on to outline recommendations on how specifically to begin and maintain a quality assurance program. Specifically the MSP review focuses on providing



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guidelines of what role a program manager should be, and how a quality assurance advisory committee can assist the bureau in achieving its goals.

4.3.4. Summary

Maine's Emergency Services Communication Bureau review conducted in concert with the Mission Critical Partners is useful in seeing how governmental departments can utilize the expertise and objective viewpoint of a consulting service to review the quality of a 911 program. While this review is much more general and less data driven, it is one method of retroactively measuring through qualitative means the effectiveness of a bureau. It is not the same type of data collection or objectives and goals setting method that the two case studies from Virginia utilized, but it is still a valuable alternative New Hampshire can consider implementing.



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5. DIVISION OF FIRE SAFETY

In this part of the report, we look at performance-measurement system implementation options for the New Hampshire Division of Fire Safety, Office of the State Fire Marshal. We first present a literature review of two past fire department reports that discuss the merits of performance measurement in fire safety. We then analyze three cases of departments related to fire safety in different states that have utilized performance assessment. The departments are located in three states (Maryland, Texas, and California) that were of particular interest to State Fire Marshal J. William Degnan. Implementation suggestions exist throughout the piece and draw from these sources of information.

The New Hampshire Division of Fire Safety, Office of the State Fire Marshal works to prevent damage and deaths caused by fires through methods such as investigation of incidents and code regulations.¹⁵ The Division is comprised of three bureaus: the Bureau of Field Operations, the Bureau of Building Safety and Construction, and the Bureau of Administration. The Bureau of Field Operations provides mainly investigatory services, the Bureau of Building Safety and Construction oversees licensing and code laws regarding things like gas fitters and building components, and the Bureau of Administration supports the division through issuing licenses, tracking some statistics, and serving as a resource for the public.¹⁶ According to Director Degnan the range of responsibilities for the division has expanded rapidly over the years; two decades ago the division was only responsible for “car investigations and [a few types of] inspections.”¹⁷

In an interview, State Fire Marshal J. William Degnan noted that the Division of Fire Safety/State Fire Marshal’s Office has had some experience with performance assessment. Degnan stated that the division did set some targets for itself a few years back through a series of workshops, which were eventually attained.¹⁸ They also currently analyze some data, and recently had success finding interesting trends concerning “residential, unintentional fires.”¹⁹ Lastly, the division employs the Lean method for problem solving. In government, Lean is used to think about ways to cater to the citizen’s needs more efficiently and effectively.²⁰ Degnan remarked that one way his office had used Lean was to create shorter licensing applications.²¹

One issue of note for the division has been that it has struggled to receive constructive criticism from outside sources. Degnan lamented that if the public has a problem with how the division is doing its job, it will communicate that to legislators but the message sometimes does not reach the division itself.²² Therefore, a performance-assessment system that allows for direct input from New Hampshire citizens should be of the utmost importance.



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5.1. Literature Review

Two papers from local fire departments in West Hartford, CT and Hialeah, FL provide some insight for things the Division of Fire Safety/State Fire Marshal's Office should consider when implementing performance assessment. Of course, the division must keep in mind that the scope of its assessment system along with its goals and measures will differ somewhat from these departments, as a fire department may be more concerned with how it responds to a fire, while a fire safety division will focus on the causes. Also, the performance assessment system adopted by the Division will necessarily be based on both the division-level and department-level strategic plans, which is not the case with a local fire department.

The West Hartford Fire Department (WHFD) investigated performance measurement for its fire code inspection program, which had been struggling to meet expectations.²³ In Connecticut, local fire marshals must perform this inspection on each building in their district once a year with no additional financial support allotted from the state.²⁴ In their research, WHFD found that there are four kinds of statistical measures that local governments use to assess themselves. The four are:

- workload measures (which “indicate only the amount of work performed”),
- efficiency measures (which “compare the relationship of the work performed and the resources required to perform it”),
- effectiveness measures (which “reflect the quality of the service provided”), and
- productivity measures (which bring together efficiency and effectiveness measures into new statistics informative in their own right).²⁵

The report states that an example of an efficiency measure would be the amount of inspections each inspector performed, an example of an effectiveness measure would be the number of fire code violations found, and the broader productivity measure could be the amount of fire code violations found during each inspection.²⁶

In its review of existing information, WHFD found another important assessment tool. They report that in 1980, the United States Fire Administration published a set of factors to consider when implementing performance assessment “specifically for fire code inspections.”²⁷ The factors are:

- Identifying all properties subject to inspection through a community inventory
- Establishing priorities based upon code specified inspection frequencies, occupancy hazards, and identified problems
- Balancing the inspection needs with the available resources through a time/resource evaluation
- Planning the delivery of the program including determining training needs of the staff, additional resource needs, and scheduling of inspections



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- Implementing the program including establishing and maintaining quality control
- Evaluating the program, identifying weaknesses, and revising the program where necessary²⁸

The Hialeah Fire Department offers further guidance with a list of suggestions conceived by Walter in a *Public Management* article for coming up with the measurements a “fire service organization” should use to rate itself.²⁹ For each goal, Walter advises organizations to think of a metric that:

- Promotes excellence
- Stresses continuous improvement
- Provides quantifiable performance indicators which highlight that the organization’s missions and objectives are being met and/or exceeded
- Allows for a comprehensive evaluation of services provided to the community by the organization
- Highlights areas of excellence as well as those that need improvement
- Provides a system able to capitalize on strengths while improving areas of weaknesses.³⁰

We have already seen that the general path to success in setting up a performance-measurement system includes creating a departmental mission, identifying goals that connect well to that mission and statistics (with accompanying targets) that accurately track progress towards those goals. The above reports add a few points to this path. For one thing, the Division of Fire Safety/State Fire Marshal’s Office should use a variety of measurements to assess itself. The division needs to make sure that it is not only conducting an ample amount of investigations and issuing an ample amount of licenses, but that it is doing these things efficiently and without making mistakes. More specifically, the division should take care to incorporate measurements that emphasize efficient use of resources when it comes to code inspections. Although code inspection regulations differ between New Hampshire as a whole and West Hartford, there is no doubt that money, time and labor are short in governments across the country with the recent recession. Setting high statistical targets for both the number of inspections as well as customer service for these inspectors would go a long way towards reaching this difficult aim. Lastly, the division would be wise to think about all the factors Walter presents when coming up with its measures. This would enable the division to organize itself in its drive for success not just for the next few years, but in the long term.

5.2. Maryland

Performance measurement has taken hold in Maryland recently with Governor Martin O’Malley’s introduction of Statestat, a program that seeks to “make [Maryland’s]



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government more accountable and more efficient.³¹ Fourteen state departments currently participate in Statestat, including the Maryland State Police, which contains the Office of the State Fire Marshal.

To add more focus to the program, Governor O'Malley created an office in 2008 that was charged with articulating broader statewide goals for the entire government to work towards.³² Maryland now has fifteen of these goals, some of which are to:

- Make Maryland the national leader in Homeland Security preparedness by the end of 2012
- Reduce per-capita electricity consumption in Maryland by 15 percent by 2015
- Reduce Maryland's statewide greenhouse gas emissions by 25 percent in 2020
- Reduce infant mortality in Maryland by 10 percent by the end of 2012.³³

5.2.1. Department Review

The Maryland State Police was formed in 1921, and within the Department of Maryland State Police lies the Office of the State Fire Marshal. The specific mission of this office "is the protection of life and property from fire and explosion through the efforts of a diverse, highly trained and dedicated staff in partnership with other public safety agencies and the community."³⁴ In our group's interview, New Hampshire Fire Marshal Degnan noted that the responsibilities of Maryland's office are similar to what is seen in New Hampshire's Division of Fire Safety/State Fire Marshal's Office except that Maryland has a greater capacity for enforcement due to the use of fire protection engineers.³⁵ Therefore, the NH Fire Safety Division should realize that there may be some differences in code violation metrics between the two states, since presumably Maryland's office will find a greater number of violations due to its larger staff and greater access to resources.

5.2.2. Performance Assessment

The state goals and individual data reports that each MD department uses were developed through dialogue between Statestat analysts and the respective departments regarding the statistics each department already tracked, along with their opinions on what their goals should be.³⁶ This coordination has placed the responsibility of collecting data into the hands of the departments, with analysts occasionally directing departments to modify the type of data they are collecting if it will help bring clarity to an issue.³⁷ There are currently eight Statestat analysts employed by the state,³⁸ but they only work with the program part-time and add value to Maryland's government through other responsibilities as well.³⁹

Every two weeks, each department has a meeting with the Governor of Maryland and the executive staff.⁴⁰ A Statestat analyst who is assigned to the department in question usually attends too.⁴¹ At these meetings, the staff, analysts, or Governor will discuss



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possible issues in data with the department.⁴² Afterwards, the department’s data report, additional graphs prepared by analysts, and a summary of the topics covered in the meeting are posted on Statestat’s website for public review.⁴³ An example of the statistics that Maryland’s Office of the Fire Marshal places into this State Police report is seen below in Table 1.⁴⁴

Table 1

MDSP State Stat
 Marcus L. Brown, Superintendent
 William Barnard, Fire Marshal

Office of the State Fire Marshal									
Personnel	Fiscal Year To Date								
	Oct-11	Nov-11	Dec-11	Average	Minimum	Maximum	Total	Target	
PINS	70.5	70.5	70.5	70.50	70.5	70.5	72.5	70.5	
Vacancies	2	3	3	2.17	1	1	N/A	3	
Disciplinary Actions	1	0	1	0.50	0	1	3	0	
Terminations	0	0	0	0.00	0	0	0	0	
Workplace Safety	Oct-11	Nov-11	Dec-11	Average	Minimum	Maximum	Total	Target	
FROI to IWIF	0	1	0	0.33	0	1	2	0	
FROI Lag >3 Days	0	0	0	0.00	0	0	0	0	
Incidents with workdays lost	0	0	0	0.17	0	1	1	0	
Accident Leave Days	0	0	0	0.00	0	0	0	0	
Activity Reports	Oct-11	Nov-11	Dec-11	Average	Minimum	Maximum	Total	Target	
Arrests	12	10	21	17.50	10	30	105	16.5	
Fire investigations	49	58	64	63.50	49	74	381	95.6	
Explosive investigations	12	12	13	16.83	10	27	101	20	
Fires determined to be arson	20	22	19	22.83	19	32	137	31.5	
Total criminal cases	29	27	23	30.33	23	40	182	42	
Cases closed by arrest	9	8	15	14.17	8	30	85	8.5	
Open criminal cases (cumulative - CY)	192	211	219	N/A	N/A	N/A	N/A	0	
Deaths associated with arson (statewide)	0	0	1	0.17	0	1	1	0.17	
Deaths associated with fire (statewide)	0	15	7	6.00	0	15	36	5	
Fire prevention inspections/ re-inspections	1269	1221	1031	1350.33	1031	1726	8102	1396	
Architectural plans reviewed	142	110	94	122.50	94	142	735	164	
Fire protection system plans reviewed	17	25	10	16.00	8	25	96	41	
Fire prevention lectures/demonstrations	37	44	29	37.33	29	44	224	14	
Jurisdictions Participating in MFIRS	17	17	16	17.00	16	18	N/A	24	

Source: Department of Maryland State Police

As seen above, the State Fire Marshal’s portion of the data report includes a variety of measures, ranging from quantity-based (arrests, fire investigations) to quality-based (cases closed by arrest). This fits appropriately with what was suggested in the WHFD paper in the earlier section. Additionally, the statistics cover both the external functions of the office and the office’s internal well-being with statistics for firings and accidents in the workplace. A third plus is the level of detail in the data: among other things, each statistic has measures for the last three months in case any trends are present, and the office takes care to compare current measures with original target values.



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5.2.3. Summary

Maryland's system for performance assessment should be appealing to New Hampshire's Division of Fire Safety/State Fire Marshal's Office for many reasons. One benefit is the state's ability to break broad policy goals down and mold them to fit each department's mission and data-collecting ability. This seems to relate well to what the Department of Safety is considering in this state. If the department as whole decides to come up with broad goals to track its progress, it would be wise to be thoughtful in how it measures each division's respective contribution. A good start would be emulating Maryland's approach and learning about what the Fire Safety Division/State Fire Marshal's Office already keeps track of, and trying to incorporate as much of this into the new system as possible. This would aid the transition towards performance assessment immensely.

Another positive aspect of Statestat is its use of meetings between the departments and the state executive office. This could similarly be done between the Division of Administration and all of the other divisions in the Department of Safety, or even between the Commissioner's office and all of the divisions. The frequency of these meetings and the wealth of data that is reviewed are beneficial because they help to keep each division focused on its vision and its measures. Suppose for instance that the Division of Fire Safety notices a spike in electrician licensing applications as the economy begins to improve.⁴⁵ A meeting could help organize the division's efforts in diverting more resources to its Building Safety and Construction Bureau to account for this and achieve a goal of electrical efficiency and fire prevention that both the division and the department as a whole hold dear.

Statestat was also relatively cheap to implement. For all of its efficiency-producing benefits, Statestat was cheap to implement with relatively few technological transitions costs incurred.⁴⁶ It is also important that the Statestat analysts Maryland uses are government employees that have duties other than Statestat as well. This is possible because the analysts only have to use Microsoft Excel in their work, which is relatively easy to learn.⁴⁷

5.3. Texas

The state of Texas first instituted performance-based budgeting in 1974.⁴⁸ According to a guide written by numerous state offices, Texas currently lists the following as aims for its program:

- Focus the appropriations process on outcomes
- Strengthen monitoring of budgets and performance
- Establish standardized unit-cost measures



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- Simplify the budget process by reducing the number of key and non-key measures required, improving the classification of measures, and simplifying the data required in the Legislative Appropriations Requests
- Provide rewards and penalties for success and failure
- Have the [State Auditor's Office] certify the accuracy of performance measurement data⁴⁹

As it stands now, the system in Texas has three major components: strategic planning, the actual budgeting process, and performance monitoring.⁵⁰

5.3.1. Department Overview

The Texas State Fire Marshal's Office (SFMO) is charged with "reduc[ing] loss of life and property due to fire and related hazards."⁵¹ It is comprised of four divisions: Prevention and Outreach, Fire Safety Inspections, Licensing and Enforcement, and Fire Investigations.⁵² Although some of the responsibilities of this office (such as fire code enforcement and the investigation of arsons) coincide with those in the division here in New Hampshire, there are some differences that the division must take note of.⁵³ One major discrepancy is that the Texas office does not seem to deal with the variety of codes and licensing overseen in New Hampshire's division. Therefore, the Division of Fire Safety will not be able to receive guidance for metrics such as the amount of amusement rides or gas fitters inspected from the SFMO.⁵⁴

Another difference is the location of the two Fire Marshal's Offices within their respective state legislatures. While the Division of Fire Safety is part of the New Hampshire Department of Safety, the SFMO is a part of the Texas Department of Insurance. Therefore, if strategic planning and performance assessment processes are organized at the department level in this state, some of the objectives in the Division of Fire Safety/State Fire Marshal's Office will not match those used in Texas due to the divergence of missions in the two departments.

5.3.2. Performance Assessment

As stated earlier, the Texas program utilizes strategic plans, the inclusion of performance into budgeting decisions, and the evaluation of performance. Since pieces one and three are most applicable to the performance-assessment system being considered in New Hampshire, we will now delve into them in detail.

In Texas, departments create five-year strategic plans for themselves every two years.⁵⁵ According to a legislative document, some of the things that each plan should contain are:

- A statement of the mission and goals of the state agency



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- A description of the indicators developed under this chapter and used to measure the output and outcome of the agency
- An analysis of expected changes in the services provided by the agency because of changes in state or federal law
- Identification of each geographic region of this state...served by the agency, and if appropriate the agency's means and strategies for serving each region⁵⁶

The State Auditor's Office elaborates on other regulations for strategic plans. They state that for each measure used by a department, the department must include "a definition that explains the measure and the method used for its calculation... an explanation of why the measure is important, outside factors that may affect measurement data, and the source of the information."⁵⁷

Texas's Department of Insurance created its most recent 241 page strategic plan in 2010 for fiscal years 2011-2015. As a whole, the department's goals are:

- 1) Promote Consumer Access to Affordable Insurance Products within a Fair Market
- 2) Promote the Financial Strength of the Insurance Industry and Reduce Undue Loss Costs
- 3) Reduce Loss of Life and Property Due to Fire
- 4) Effectively Regulate the Texas Workers' Compensation System.⁵⁸

For the most relevant goal in our case, goal 3, we show in Table 2 how the department has formed a more specific objective, a strategy, and corresponding measures in its strategic plan.⁵⁹



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Table 2

Agency Budget Structure, Continued	
GOAL 3:	REDUCE LOSS OF LIFE AND PROPERTY DUE TO FIRE
Objective 3.1:	Protect the Public From Loss of Life and Property Due to Fire
3.1 Outcome Measures	
OC 1	Percent of State Fire Marshal's Office criminal referrals resulting in enforcement/legal action
OC 2	Percent of registrations, licenses, and permits issued after receipt of a completed application, within 20 days to fire alarm, fire extinguisher, fire sprinkler, and fireworks firms, individuals, and other regulated entities
Strategy 3.1.1:	Provide fire prevention through education, enforcement and engineering
3.1.1 Output Measures	
OP 1	Number of individuals attending fire prevention and fire safety presentations coordinated by the State Fire Marshal's Office
OP 2	Number of fire investigations completed
OP 3	Number of samples analyzed in the arson lab
OP 4	Number of State Fire Marshal's Office criminal referrals to prosecution
OP 5	Number of registrations, licenses, and permits issued to fire alarm, fire extinguisher, fire sprinkler and fireworks firms, individuals and other regulated entities
OP 6	Number of licensing investigations or inspections conducted
OP 7	Number of buildings inspected or reinspected for fire safety hazards
OP 8	Number of communities accepting a State Fire Marshal's Office fire prevention program
3.1.1 Efficiency Measures	
EF 1	Average cost per fire safety inspection
EF 2	Average time to complete fire investigations

Continued on next page

Source: Texas Department of Insurance

We present the strategic plan's targets for measures OC1 and OC2 (i. e. the targets for the Outcome Measures) for years 2011 through 2015 in Table 3.⁶⁰

Table 3

Measure Code	Performance Measure Description	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
2.2.3 oc 5	Percent of WC insurance fraud referrals to state or federal prosecutors resulting in legal action	55%	65%	65%	65%	65%
3.1.1 oc 1	Percent of State Fire Marshal's Office criminal referrals resulting in enforcement/legal action	60%	60%	60%	60%	60%
3.1.1 oc 2	Percent of registrations, licenses, and permits issued, after receipt of a completed application, within 20 days to fire alarm, fire extinguisher, fire sprinkler, and fireworks firms, individuals and other regulated entities	99%	99%	99%	99%	99%

Source: Texas Department of Insurance



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However, the strategic plan does not contain numerical targets for any of the other statistics provided in Table 2. Moving to performance monitoring, we see that the Department of Insurance must provide numbers for the most important output and efficiency measures seen in Table 2 each quarter, while outcome measures are published every year.⁶¹ An added twist occurs if a recorded measure is more than five percent different from its target value; in this case, the department has to state its plan of action to rectify the issue.⁶² The department’s selection of statistics for the SFMO in its 2011 Annual Report is seen below in Table 4.⁶³

Table 4

Figure 39: Summary of Activity: Fire Marshal's Office

	FY 2010	FY 2011	ANNUAL TARGET
Fire investigations completed	527	412	507
Samples analyzed in arson laboratory	2,644	2,707	2,300
Investigations/inspections of complaints against fire protection equipment/fireworks industries	968	584	1,100
Buildings inspected/re-inspected for fire safety hazards	6,000	5,492	4,650
Number of communities or community partners accepting an SFMO fire prevention program or initiative	81	39*	40

* Note: The target number for this measure is 40. SFMO was able to almost double that number in FY 2010 because of the office's receipt of the Have an Exit Strategy (HAES) grant, which allowed the implementation of the HAES program on 52 college campuses in the state.

Source: Texas Department of Insurance

It should be briefly noted that there are some discrepancies between the metrics in Table 4 and the specific letter of the law. The statistics in the table are all output measures; no outcome or efficiency measures are presented even though they are supposed to be disclosed annually. Furthermore, no mention is made in the report about ideas for aligning measures that deviate greatly from their targets (such as fire investigations completed) more closely with the latter value. Perhaps the department adheres to these regulations more closely in a separate report, or perhaps the regulations have changed slightly for the SFMO.

5.3.3. Summary

The strengths of the Texas performance-assessment system are its organization of goals, the level of detail required in strategic plans and performance reports, and the availability of its information.

As we saw in Table 4, Texas’s departments do a great job of dividing their goals by category, similar to what the West Hartford Fire Department paper suggested. This variety enables the department to paint a clearer picture of itself in its assessment process, therefore giving itself an ample foundation for more pronounced improvement than if the department only tracked one type of data, such as its gross output. This is an idea that can easily be translated to New Hampshire’s Division of Fire Safety/State Fire Marshal’s



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Office. The division could measure the gross number of inspections or investigations it conducts or the number of licenses it issues, but it could also ensure that it is using funds optimally by keeping track of the amount of inspections that lead to citations or the number of investigations that are closed. The division could even take a page out of the SFMO's book in Table 4 and examine its efficiency especially well by measuring the average cost and time taken for an inspection.

The Department of Insurance is also exemplary in its use of specificity in performance-assessment documents. The department clearly states its goals, measures, justification and other information surrounding the measures, and its preparation level for achieving these aims in its strategic plan. In the performance report, the department displays prioritized statistics along with a rundown of the accomplishments each of its four divisions had that year.⁶⁴ The exhaustive nature of these reports really forces the department to be accountable and think long and hard about what its true responsibilities are and how best to track its own progress. This level of contemplation would be especially important for all of the divisions in this state's Department of Safety when first making the jump to performance assessment.

Lastly, like in Maryland, the Department of Insurance posts its performance assessments on its website. This gives Texas's citizens the opportunity to get a better feel for what the department has been up to lately, and how thoroughly it is fulfilling its calling. We recommend that the Division of Fire Safety/State Fire Marshal's Office consider doing the same. Transparency allows the public – the ultimate customer – to get a more objective look at the division's performance than what they have previously seen or heard from those around them. Including a space on the website for the public to send concerns about something in the documents (or in general) would be a nice touch too, since it would eliminate citizens' use of a "middleman" in the legislature to communicate problems previously. Direct conversations would ensure that nothing is lost in translation.

5.4. California

The California Legislative Analyst's Office reports that performance-based budgeting was originally passed in California in 1993 and tried on five state agencies.⁶⁵ Unfortunately, by the end of the decade the program was deemed unsuccessful and ended.⁶⁶ The Legislative Analyst's Office in the state found that the program's allowance of different methods of data collection and monitoring for each of the agencies created an "inefficient and confusing" environment, and that "in the end it will be the state government's employees who will be responsible for whether services are delivered in a more responsive and effective manner."⁶⁷ While the legislature has attempted to give performance-assessment another chance multiple times since this failure, none of the bills have been passed.⁶⁸



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5.4.1. Department Overview

The California Office of the State Fire Marshal (OSFM) states its mission “is to protect life and property through the development and application of fire prevention engineering, education and enforcement.”⁶⁹ The office also says on its website that its main tasks for fulfilling this mission include:

- Regulating buildings in which people live, congregate, or are confined
- Providing statewide direction for fire prevention within wildland areas
- Developing and reviewing regulations and building standards⁷⁰

The OSFM is further broken down into divisions such as the Fire and Life Safety Division, the Code Development and Analysis Division, and the Fire Engineering Division.⁷¹ As a whole, the office is a part of the California Department of Forestry and Fire Protection (CAL FIRE), which attempts to limit fires in the state’s wildlands, responds to various types of emergencies, and oversees the state’s use of natural resources.⁷²

New Hampshire’s Division of Fire Safety/Office of the State Fire Marshal differs from the OSFM in its functions and scope. Unlike the OSFM, the division does not have a specific focus on the well-being of forestry and natural resources, so officials must keep that in mind when evaluating this case. In addition, the OSFM contributes assistance to emergencies that are often much larger in many respects than those in New Hampshire due to the sheer size and demographic differences between the states.⁷³ Overall, these differences would manifest themselves through higher measurements in California for statistics both offices track as well as some unique measurements for each office. The OSFM will have unique data for forest fires (such as square mileage of wildland affected by fire in the past year or something to that effect), while the Division of Fire Safety will have unique data for the detection of code, violations in things like tramways and theme park rides.

5.4.2. Performance Assessment

Although the OSFM (or CAL FIRE for that matter) does not have a comprehensive performance assessment system (since the law was removed), the office does publish a Year in Review Report at the end of each year that goes over some of the highlights for the office and each of its divisions.⁷⁴ There is some data published from the California All Incident Reporting System (CAIRS), which is probably similar to what is tracked by NHFIRS. Statistics in the CAIRS output include a breakdown of all the types of fires brought to the OSFM’s attention in 2010 as well as a breakdown of the types of responses that OSFM had to conduct in 2010.⁷⁵



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In this report, we also find that there are two strategic plans circulating: one for fire protection as a whole, and one for fire education and training. The former plan, known as the “2010 Strategic Fire Plan for California,” was created by the State Board of Forestry and Fire Protection and CAL FIRE with the assistance of public feedback throughout the process.⁷⁶ The plan starts with a vision for fewer damaging fires in both wild and domesticated land, and then goes on to list seven key goals:

- Improved availability and use of information on hazard and risk assessment
- Land use planning: including general plans, new development, and existing developments
- Shared vision among communities and the multiple fire protection jurisdictions, including county-based plans and community-based plans such as Community Wildfire Protection Plans (CWPP)
- Establishing fire resistance in assets at risk, such as homes and neighborhoods
- Shared vision among multiple fire protection jurisdictions and agencies
- Levels of fire suppression and related services
- Post fire recovery⁷⁷

From here, each goal is divided into specific objectives, as Figure 3 shows:⁷⁸



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Goal 3: Support and participate in the collaborative development and implementation of wildland fire protection plans and other local, county and regional plans that address fire protection and landowner objectives.

Objectives:

- a) Establish a working group, consisting of Board members and Department staff, to develop minimum standard elements for inclusion in Unit fire plans.
- b) Emphasize coordination of Unit fire plans with community wildfire protection plans to encourage and support one consistent approach. Develop county or regional fire plans by bringing together community-based groups, such as fire safe councils and affected fire and land management agencies.
- c) Create and support venues in which individual community members can be actively involved in local fire safe councils, community emergency response teams, FIREWISE and other community-based efforts to develop readiness plans and educate landowners to mitigate the risks and effects of wildland fire.
- d) Collaborate with federal and local governments, other state agencies, fire service and other organizations, to maintain and improve emergency response plans.
- e) Ensure planning efforts are consistent with the National Fire Plan, the Healthy Forest Restoration Act, the Statewide Hazard Mitigation Plan, as well as local hazard mitigation plans and other relevant statewide strategic planning documents.
- f) Maximize available resources to strengthen planning efforts through the development of public/private partnerships.
- g) Develop fire risk mitigation treatment decision support tools to assist in project design, implementation and validation.



Interagency coordination and planning.

Figure 3. Source: Board of Forestry and Fire Protection, CAL FIRE



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Unique aspects of this plan are that it devotes a fair amount of time into analyzing external factors (such as climate and population changes) that could affect the government's performance, and it includes a hindsight analysis of the last Strategic Fire Plan that was formed in 1996.⁷⁹ Through this analysis, the Board and CAL FIRE state that they learned that future strategic plans need to use metrics, have reporting requirements, and incorporate public opinions, among other things.⁸⁰

In 2008, CAL FIRE and OSFM contributed to the creation of the California State Fire Training and Education Strategic Plan, also known as "Blueprint 2020." This plan is comprehensive in nature. It starts with an overview of the State Fire Training program's strengths and weaknesses and then moves into the program's goals, which are:

- 1) quality improvement,
- 2) adopting a national professional development model,
- 3) capstone testing,
- 4) automated business processes and training delivery systems, and
- 5) the integration of public safety training and education."⁸¹

For each goal, the plan elaborates upon the actions that the program will take in the short, middle, and long-term to achieve success. We have an example of how this looks in Appendix A.⁸² The plan concludes with broader steps the program can take to move it closer towards each goal (such as improving customer service and staff development) and a brief glimpse into how the program will obtain satisfactory performance measures.⁸³

5.4.3. Summary

Even though performance assessment is no longer required in California, the pieces of CAL FIRE and OSFM that carry strategic plans do some very good things. For one thing, the fundamentals of the Fire Plan and Blueprint 2020 are strong. These strategic plans contain clear visions, goals, and objectives, and they consider public sentiment. The Division of Fire Safety/Office of the State Fire Marshal should consider doing the same with its strategic plan, especially concerning public input. Conducting town-hall style meetings or encouraging messages through the division's website would help align the division's expectations for itself with those of New Hampshire's citizens.

The division should also think about including a self-assessment like that of California's State Fire Training program prior to the strategic planning process. Through knowing its strengths and weaknesses, the division would be able to write goals that are more informed. For example, suppose the division finds from the self-assessment that it has qualified employees but suffers from disorganization. To rectify this, the division could make better organization a primary goal in its next strategic plan, and use measures such as average wait time to get a license.



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A real strength especially in Blueprint 2020 is the listing of tactics encompassing multiple periods that will lead to the program attaining a given goal. Again, this is something that can be included in the strategic plan at little cost other than some time for brainstorming, and it would help the Division of Fire Safety become better focused. In the example in the previous paragraph for instance, the division may decide to increase staffing in the short term while continuing to look into taking more of the licensing procedure online in the more distant future.⁸⁴

Lastly, we address the concerns in performance assessment raised in the introduction to this case by the Legislative Analyst's Office. As stated earlier, the office claimed that PBB failed in California because of varying approaches towards assessment in the state agencies, and that ultimately a department's employees, not PBB, are the tools that lead to true improvement in government. In response, our group has some suggestions that would make performance assessment a highly beneficial fixture of New Hampshire state government. To prevent each division from treating goal setting and reporting differently, the Department of Safety should take charge in setting standards for all divisions to abide by. This should be done whether the system will be based at the departmental or divisional level (i.e., whether one comprehensive assessment plan and report will be done by the Department of Safety, or whether the department will have each division produce their own assessment documents and simply oversee the process). When it comes to the office's latter point, we think a compromise can be made. There is no doubt that a department's employees are crucial to its improvement and success, but performance assessment is critical because it can guide workers in their efforts so they are not being inadvertently wasteful. Performance-assessment systems can also directly benefit employees if metrics are made for improving the workplace environment.

5.5. Summary

Overall, the existing literature and three cases show that it is indeed possible to implement an effective performance-measurement system in the New Hampshire Division of Fire Safety, Office of the State Fire Marshal. The division can do this by setting clear goals for itself, using a variety of measurements to track these goals, being frank in its self-assessment, and opening dialogue if problems arise in performance. Most importantly, though, the division must be sure to use the public as a resource during implementation. This would lower the frustration that division officials currently experience and help the division to learn more about itself.



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6. DIVISION OF FIRE STANDARDS AND TRAINING AND EMERGENCY MEDICAL SERVICES

The mission of the Division of Fire Standards and Training and Emergency Medical Services is to increase the capability of the entire New Hampshire Fire and Emergency Medical Services through the application of the best methodologies and techniques in education and practice.⁸⁵ This division is separated into three branches: the Bureau of Emergency Medical Services (EMS), the Bureau of Facilities and Support, and the Bureau of Training and Certification. For the purpose of case studies, we primarily focused on the Fire Academy (training and education) and the EMS education and service portions of this division, which we treat separately.

6.1. Fire Standards and Training

The Bureau of Training and Certification includes all firefighter training and certification testing, as well as national accreditation, promotional examinations for fire departments, and the State Entrance Examination generating the eligibility list for hire of full time firefighters. This bureau is also responsible for instructor certification, educational courses, curriculum updates, new programs, and maintaining NFPA standards. Some of the other duties of the Bureau include aircraft rescue and firefighting, rescue certification, hazardous materials training, training for terrorism and weapons of mass destruction, incident command, fire officer training, wildland firefighting, driver operator pump and aerial, and National Fire Academy programs.⁸⁶

6.1.1. International Fire Accreditation Congress (IFSAC)

The International Fire Service Accreditation Congress (IFSAC) is a peer driven accreditation system for public fire service certification programs and higher education fire-related degree programs.⁸⁷ The IFSAC Certificate Assembly specifically accredits institutions based on their education competencies according to the National Fire Protection Association fire service professional qualifications and other standards approved by the Assembly.

6.1.1.1. Accreditation Process

Once an entity has been selected for membership for the IFSAC, they have five years from their original membership date to certify at least one level of certification. Reaccreditation is on a five-year basis.

There are multiple steps before an entity can have a level of certification accredited. Twelve months before a site visit is scheduled or prearranged, the IFSAC Administration sends out a notification. Within six months of the site visit, the entities will have to provide available visit dates at least six months before the actual scheduled visit. IFSAC



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notifies the Site Teams Committee who works with site team leaders and entity host to facilitate the visit.

At least ninety days before the scheduled site visit, IFSAC must receive completed applications. The materials required in this application include self-study documentation about the entity and its understanding of the accreditation process. The Administration then takes these materials to review, and forwards them to the site team leader for technical review. If everything is approved, the entity will be notified at least sixty days in advance of the site visit.

The site team bases its examination on the *Criteria for Certificate Accreditation*. Before the actual team arrives on site, there will be a pre-visit team meeting prior to starting the formal process to allow the team to work out logistical details concerning the visit and to foster a conversation about any of the challenges or problems that may occur during the accreditation process. The site team will meet with entity representatives and the site team leader will begin the site visit accreditation process. The site visit will include at least a meeting with entity leadership and certification staff, review of services, financial information, interviews with staff and applicants of the certification system, and possibly a tour of the facilities. At the end of the site visit, the entity and site team will have a meeting to discuss the review. By the end of the visit, the entity will be aware of everything that may be brought out in the report or in discussion from the team to the formal accreditation board so that nothing is a surprise.

Following the visit, a consensus report is delivered to the Administration with all the pertinent information and recommendations for accreditation of one, few, or all levels of certification. Once all the different parties have discussed the accreditation merits, and a decision has been reached, the entity will be notified of the results.

6.1.1.2. *Alternative Standards*⁸⁸

The IFSAC also developed a separate document of accreditation standards other than National Fire Protection Association (NFPA) Professional Qualifications Standards for those interested in developing fire standards of performance, and seeing an alternative set of measurements applicable to fire education and training.

When developing new fire education certification standards, the IFSAC believes they should fall into one of the following categories:

- **Job Performance Requirements:** focuses on specific jobs, for example job task analysis, organization of tasks into duties and areas of responsibility, and conversion of this information into job performance requirements. Tasks should be observable, frequent, and create tangible outputs. It is necessary to include in these measures tools, equipment, or materials necessary for these tasks to be performed



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effectively, and any prerequisite skills and knowledge needed by the jobholder.

- **Functional Analysis:** begins with the organization's mission and the identification of those functions. Functions are then broken down into occupational areas/sub-functions. Each key purpose of each occupational area/sub-function is then identified, including the tasks performed by individuals. Thus, functional analysis establishes standards, which reflect work activities grouped by purpose.
- **Observation/Data Gathering:** may include activity and time sampling, recording observations, and questioning jobholders. Observations may include jobholders' attributes and behavior, and the gathered data is then analyzed and summarized either in the form of narrative accounts or as tables of counts and frequencies.
- **Critical Incident:** The description and analysis of critical incidents is a proven approach to gaining a detailed understanding of the content and performance of individuals in specific jobs. First, job performance must be described and analyzed to determine success or failure. Typically this process is used to prevent future failures, and evolves from failures that already happened. Data is gathered and analyzed to provide information for future actors or situations.
- **Position Analysis:** includes a large number of job elements organized into six main areas. These are the information input to the job, the mental processes required to perform the job, job output, relationships, job context, and other job characteristics. Each job element is rated on scales relating to different aspects of jobs. The data is then computer analyzed.
- **Checklists/Inventories:** essentially a questionnaire that is standardized and distributed to a large number of jobholders who can be surveyed. The resulting data can be used to provide a description of particular jobs and attributes. Job task inventories provide useful models of particular jobs, which can either be adopted by organizations as standards or used as benchmarks for comparative purposes.

6.1.1.3. Summary

The value of IFSAC's accreditation procedures and alternative standards is that it directly addresses the quality of certification systems in fire training programs. The accreditation process allows a third party observer to examine the effectiveness of certification processes according to a variety of different elements and points, and compels institutions like fire academies to take a closer look at how they prepare their students for certification on the basis of NFPA and other widely held requirements. IFSAC's alternative standards also act as a solid guideline of how certain fire educational institutions can begin creating or implementing their own set of fire academy standards. Breaking down each aspect of fire training into smaller sections allows for detail in measurements, which will ultimately yield more useful data and results for academies or certifiers to use for future reference. Overall, the IFSAC provides a great structure and basic formula to improving effectiveness of fire education through both internal changes and external assistance.



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6.1.2. *International Fire Service Training Association (IFSTA)*

The International Fire Service Training Association is an organization of fire service personnel dedicated to upgrading firefighting techniques and safety through training. It has a close relationship with Fire Protection Publications (FPP), an institution that writes, produces, edits, and markets IFSTA-validated manuals, FPP manuals, curricula, training videos and CD-ROMs, and other materials for the fire service training and education. The mission of Fire Protection Publications is to provide high quality, technically accurate, and affordable training material to fire and emergency services in order to improve education and therefore the preparedness of firefighters and responders in situations of need. IFSTA and FPP are entities within the Oklahoma State University.⁸⁹

The most notable resources that IFSTA and FPP provide are a range of training guides and manuals that can be purchased by fire and EMS training institutions. Not only are these products aimed at students, but also at instructors, curriculum makers, and individuals who want to self-study fire education. The amount of published material that IFSTA and FPP have is incredibly impressive and broad. It has resources for fire academy officers and basic fire fighters at a practical and theoretical level. It provides guides on not only how to train and learn how to use equipment, but also gives insight into mental preparation and awareness of crises responders. The range of materials offered is not easily summarized, but almost any type of course offered at a fire academy program IFSTA and FPP would most likely have some type of supplementary material to use in and out of the classroom. These publications, videos, and interactive services online can range anywhere from \$20 to over \$2,000 depending on the number of copies or resources desired. However, they seem to be very well crafted and informed materials that any training program could utilize and streamline into their education curriculum.⁹⁰

6.1.3. *General Summary of Fire Academy Standards*

It was difficult to find state fire academy or institutions that had specific “performance measures” because the responsibilities and structure of an educational institution is extremely different from most of the other Department of Safety divisions. Most of the statistics we found that fire academies or training centers have resemble basic student statistics: number of students that enter and graduate, graduation rate, hours spent in the classroom, etc. However, the above two case studies take a different perspective on performance measurement by focusing on measurement of certification and guides to what should be taught in the classroom to better prepare firefighters for crises. In many ways, the Fire Standards and Training portion of the division is best-suited to the performance measurement systems developed for educational institutions, like public colleges. Certification of students is directly connected with the effectiveness of the training academy. Therefore, measuring the certification process allows the institutions to identify gaps or weaknesses in their educational methods as well.



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6.2. *Emergency Medical Services*

The mission of the Bureau of Emergency Medical Services is to continuously improve the comprehensive statewide EMS system in order to ensure excellence of out of hospital emergency medical care to all persons within the State of New Hampshire. The bureau's responsibilities include managing the training, testing, and licensing of EMS providers, units, instructors, training agencies, EMS dispatchers and EMS vehicles, including wheel chair vans. It also facilitates the establishment and maintenance of a communications network that includes citizen access, EMS Units, healthcare facilities, local, EMS Regional Councils, county, and state agencies.⁹¹

6.2.1. *National EMS Assessment*

The 2011 National EMS Assessment was commissioned by the Federal Interagency Committee for Emergency Medical Services (FICEMS), and funded by the National Highway Traffic Safety Administration (NHTSA). The project focused on surveying EMS and 911 systems at both the state and national level, and providing analysis of the collected data. The study was incredibly comprehensive, and detailed, and includes results on EMS agency services, vehicles, professionals, system governance, human resources, medical direction, EMS education, information/data systems, and much more.⁹² Because of the length of the report, below are only some of the most important or useful performance measures.

6.2.1.1. *Purpose and Methodology*⁹³

The National EMS Assessment Project focused on the following objectives.

- To understand what data are being collected at the state, regional, and national levels
- To assess the quality, availability, and comprehensiveness of the data currently being collected
- To identify significant areas for which assessment is not possible at this time, due to the limitations in existing data
- To develop recommendations for a sustainable process to assess the nation's EMS system
- To provide a written report summarizing the current state of the nation's EMS system, including recommendations for future assessment efforts

To achieve these objectives, the project was completed in the following steps:

- Development of a Data Collection and Analysis Plan
- Establish a Draft National EMS Assessment Content Outline
- Identify and Inventory Existing Data Sources
- Implement the Data Collection and Analysis Plan



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- Create a Draft National EMS Assessment for NHTSA Review
- Create a Journal Manuscript suitable for peer review publication

6.2.1.2. *Performance Measures*

Below are three of the most relevant performance measures of the report that we believe relate to the Division of Fire Standards Training and EMS.

6.2.1.2.1. *Training and Education*

In a survey of specific course requirements in each of these EMS programs, BLS CPR was required in ninety percent of the states, with AHA ACLS required in sixty-six percent, and AHA PALS at thirty percent. Out of these three requirements, New Hampshire has the former two, but not the latter. In terms of required accredited EMS educational institutions, New Hampshire is among the fifty-eight percent that do not have this requirement. However, Vermont is among the forty-two percent that does.

The assessment also quantified and averaged the total number of educators, educator compensation, educator volunteerism, and full and part time positions in each state. New Hampshire falls around the lower middle of each range in these categories.

New Hampshire is among the sixty-three percent of states that follow the U.S. Department of Transportation's (DOT) National Standard Curriculum for First Responders, and among the ninety percent of states that do not follow that standard for Medical Responders. New Hampshire follows the DOT's standard for EMT Basic, Intermediate, and Paramedic curriculums, like does most states in the United States.

The DOT also has a recommendation on a minimum number of classroom hours for individuals being trained at each EMS level. Again, New Hampshire's EMS requirements for in-class room instruction are around the lower middle of the range.

6.2.1.2.2. *Care and Capabilities*

In this National Assessment, states and local EMS agencies were surveyed on their care capabilities in protocol, medication formulation, skills, and by patient type.

New Hampshire is one of eleven other states that create patient care protocol that is adopted at the local level unchanged. Individual state data was not available for medication formulation based on EMS level, but it is evident that the higher the level of responder care, the more the responders are required to know in terms of medicine for patients. EMS professional performance is oftentimes also measured by procedure use over time. However, New Hampshire is not one of the states that use this performance



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measurement. They also do not monitor EMS skill or procedure use at an individual level.

There are also a host of measurements related to hospital admission, discharge, and patient data. The assessment goes in depth to outline what specifically is being measured, but New Hampshire overall does not have data collected or reported regarding these elements.

6.2.1.2.3. Data Information and Systems

The National EMS Information System (NEMSIS) project aims to develop local, state, and national electronic healthcare records and data systems to assist EMS responders. The goal for state NEMSIS is for every state EMS agency to have a system that can compile data on patients into a central system. During this EMS assessment, each state EMS office was surveyed to quantify how many institutions already collect such EMS or patient data. New Hampshire is one of forty-four other states that have adopted the NEMSIS standard. Specifically in New Hampshire, the data entered into the state system is reported from the local agencies upwards. New Hampshire also requires data to be reported within twenty-four hours of an EMS event, which does not seem to be the most common practice among other states.

6.2.1.3. Analysis

Overall, New Hampshire EMS systems, according to this national assessment, seem to be doing well in both data already being reported, and range of resources or capabilities. The state's EMS services tend to fall in the middle range in most categories, and in the categories where it may be in an extreme range, it is not typically because of an inadequacy or inefficiency. There are some care capabilities that New Hampshire does not measure, but the EMS services can make a weighed decision about whether collecting or reporting such data would be useful to the overall performance effectiveness of their responders.

6.2.1.4. Summary

The value of this National EMS Assessment is that it identifies and quantifies almost every performance measurement in every conceivable category of EMS care of agencies at local, state, and national levels. It identifies how other entities measure performance, or use data to track and empirically analyze progress or effectiveness of a program. The report also includes most of the information in table format, and has useful color-coded national diagrams or charts relating states to each other in different measurement categories. This report proves to be a great resource to understanding the big picture of what other EMS agencies are doing, and also gives insight into some of the most common performance measurement points and techniques that are being used elsewhere.



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It is a great foundation for the Division of Fire Standards and Training to build upon as it develops its own tailored system.

6.2.2. *Emergency Medical Services Performance Measures (NHTSA)*

The Emergency Medical Services (EMS) Performance Measures Project originally began because of a number performance measurement initiatives being developed across the nation. However, these efforts were uncoordinated. Therefore, in 2002, the National Association of State EMS Officials (NASEMSO) and the National Association of EMS Physicians (NAEMSP) joined the National Highway Traffic Safety Administration (NHTSA) in a conference to determine there was interest among EMS groups in developing a nationwide set of common performance measures geared emergency services. The end goal of the project was to provide the EMS community with another tool to gauge and report various aspects of an EMS system and performance. While many individual state EMS performance measures already exist, the purpose of this project was to collate and synthesize these measures to create a document of common measures. This project report offers 35 consensus-based measures.⁹⁴

6.2.2.1. *Performance Indicator and Attribute Format*

Before the EMS Performance Measures Project Steering Committee could begin synthesizing and developing measures, they first had to agree upon the format to describe such measures. Below are some of the key components that were identified.

- **Indicator/Attribute Name:** Name or title of the performance indicator
- **Key Process Path:** Starting with one of the predefined key process names, this item shows which key process and sub-process that the indicator reflects
- **Patient or Customer/Need:** Indicators are designed to reflect how well or how efficiently a given patient or customer need is being met. This item shows what patient or customer need the indicator reflects
- **Type of Measure:** Structure, process, or outcome
- **Objective:** Describes why an indicator is useful in specifying and assessing the process or outcome of care measured by the indicator
- **Indicator/Attribute Formula:** The equation for calculation of the indicator. If applicable, separate sections will separately address the numerator and denominator of the indicator equation.
- **Indicator/Attribute Formula Description:** Explanation of the formula used for the indicator. Where applicable, separate descriptions detailing the numerator and denominator will be provided.
- **Denominator Description:** Description of the population being studied or other denominator characteristics, including any equation or other key aspects that characterize the denominator



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- **Numerator Description:** Description of the subset of the population being studied or other numerator characteristics, including any equation or other key aspects that characterize the numerator
- **Suggest Reporting Format: Numerical:** The suggested way in which the numerical results should be expressed (i.e., decimal minutes, percentages, ratios)
- **Suggest Reporting Format: Graphical:** The suggested way in which reports should be presented in graphical format (i.e., pie charts, statistical process control charts, etc.)
- **Suggest Reporting Frequency:** Time frame, number of successive cases or other grouping strategies by which cases should be aggregated for calculating and reporting results
- **Stratification:** Indicates if stratification has been applied to the indicator⁹⁵

While not every measure includes all of these elements, it is important to note how much detail is necessary for each measure. This is a common trend in developing any type of performance analysis system: the more detail and quantifiable elements there are, the more effective and useful these measurements will be.

6.2.2.2. *Recommended Measures*

The Steering Committee then developed thirty-five different indicators/attributes that are recommended measures in performance. The distinction made between an indicator and an attribute is that an indicator is a metric that reflects on the performance of a system or process, but an attribute does not necessarily reflect on how well a system or process is working—it reports on the presence or absence of an attribute within an EMS organization.

The indicators can be summarized by seven different categories:

- system design and structure,
- human resources (culture, training, safety, credentialing, etc),
- clinical care and outcome, response,
- finance/funding quality management, and
- community demographics.

Each of the measures falls into one of these categories. The measures range everywhere from defibrillation to emergency patient response, scene, and transport times, from EMS vehicle crash rates to patient satisfaction or reaction to care. For a full summary of the measures, please see the Appendix I.



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6.2.2.3. Summary

This document produced by a collaboration of EMS experts and leaders is a great resource for any EMS entity that is attempting to implement a performance measurement system. This study was extremely comprehensive, and although the actual document is somewhat daunting because of all of the different attributes under each performance measurement, the summary table in Appendix I is a great resource because it gives a snapshot of all the major measures the steering committee identified as necessary. It is a good example and base to build off because, while these are very general measures, New Hampshire can tailor and apply them to the needs of the state or localities.

6.2.3. National EMS Education Standards⁹⁶

The National EMS Education Standards, developed by the National Highway Traffic Safety Administration (NHTSA) outline the minimal terminal objectives for entry-level EMS personnel to achieve. The standards are broad enough to allow EMS instructors and educational programs to develop their own curricula or use various other lesson plans and instructional resources that are available at each licensure level. EMS educational institutions can use the Standards as a framework for evaluation of program curricula. The four levels of EMS education this report focuses on are Emergency Medical Responder (EMR), Emergency Medical Technician (EMT), Advanced Emergency Medical Technician (AEMT), and Paramedic. The five categories below we believe are the most relevant to the Bureau of Emergency Medical Services.

6.2.3.1. Preparatory Education

The following are the proposed education standards for preparatory education for the four above categories.

- EMR: Uses simple knowledge of the EMS system, safety/well-being of the EMR, medical/legal issues at the scene of an emergency while awaiting a higher level of care.
- EMT: Applies fundamental knowledge of the EMS system, safety/well-being of the EMT, and medical/legal and ethical issues to the provision of emergency care.
- AEMT: Applies fundamental knowledge of the EMS system, safety/well-being of the AEMT, and medical/legal and ethical issues to the provision of emergency care.
- Paramedic: Integrates comprehensive knowledge of EMS systems, the safety/well-being of the paramedic, and medical/legal and ethical issues, which is intended to improve the health of EMS personnel, patients, and the community.



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6.2.3.2. *Technical Medical Education*

The following are the proposed education standards for preparatory education for the four above categories.

- EMR: Recognizes and manages threats based on assessment findings of a patient with a medical emergency while awaiting additional emergency response.
- EMT: Applies fundamental knowledge to provide basic emergency care and transportation based on assessment findings for an acutely ill patient.
- AEMT: Applies fundamental knowledge to provide basic and selected advanced emergency care and transportation based on assessment findings for acutely ill patients.
- Paramedic: Integrates assessment findings with principles of epidemiology and pathophysiology to formulate a field impression and implement a comprehensive treatment/disposition plan for a patient with a medical complaint.

6.2.3.3. *At the Scene*

The following are the proposed education standards for preparatory education for the four above categories.

- EMR: Use scene information and simple patient assessment findings to identify and manage immediate life threats and injuries within the scope of practice of the EMR; Knowledge of operational roles and responsibilities to ensure safe patient, public, and personnel safety.
- EMT: Applies scene information and patient assessment findings (scene size up, primary and secondary assessment, patient history, and reassessment) to guide emergency management; Knowledge of operational roles and responsibilities to ensure safe patient, public, and personnel safety.
- AEMT: Applies scene information and patient assessment findings (scene size up, primary and secondary assessment, patient history, and reassessment) to guide emergency management; Knowledge of operational roles and responsibilities to ensure safe patient, public, and personnel safety.
- Paramedic: Integrate scene and patient assessment findings with knowledge of epidemiology and pathophysiology to form a field impression. This includes developing a list of differential diagnoses through clinical reasoning to modify the assessment and formulate a treatment plan; Knowledge of operational roles and responsibilities to ensure safe patient, public, and personnel safety.

6.2.3.4. *Educational Infrastructure*

The following are the proposed education standards for preparatory education for the four above categories.



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- **EMR:** Education facilities should be sponsored or approved by sponsoring agency, ADA compliant, sufficient space for class size, and in a controlled environment. Educational institutions should also provide basic instructional support materials, and audio, visual, and kinematic aids to support and supplement didactic instruction. The course primary instructor should be educated at a level higher than he or she is teaching; however, as a minimum, he or she must be educated at the level he or she is teaching. The instructor should also have successfully completed an approved instructor training program or equivalent. Course length should be around **48-60** didactic and laboratory clock hours.
- **EMT:** Education facilities should be sponsored or approved by sponsoring agency, ADA compliant, sufficient space for class size, and in a controlled environment. Educational institutions should also provide basic instructional support materials, and audio, visual, and kinematic aids to support and supplement didactic instruction. The course primary instructor should be educated at a level higher than he or she is teaching; however, as a minimum, he or she must be educated at the level he or she is teaching. The instructor should also have successfully completed an approved instructor training program or equivalent. Course length should be around **150-190** clock hours including the four integrated phases of education (didactic, laboratory, clinical and field) to cover material.
- **AEMT:** Education facilities should be sponsored or approved by sponsoring agency, ADA compliant, sufficient space for class size, and in a controlled environment. Educational institutions should also provide basic instructional support materials, and audio, visual, and kinematic aids to support and supplement didactic instruction. The course primary instructor should be educated at a level higher than he or she is teaching; however, as a minimum, he or she must be educated at the level he or she is teaching. The instructor should also have successfully completed an approved instructor training program or equivalent. Course length should be around **150-250** clock hours beyond EMT requirements including the four integrated phases of education (didactic, laboratory, clinical and field) to cover material
- **Paramedic:** Standards can be accessed at the following location: Reference Committee on Accreditation for EMS Professions (CoAEMSP) *Standards and Guidelines* (www.coaemsp.org).

6.2.3.5. Summary

Evidently, the above measurements are all very general, and not empirically based or supported. However, the study provides good general goals for EMS services to begin outlining a performance measurement system. Although the above points are greatly simplified, the full report provides much greater detail and a wider range of measures.



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7. DIVISION OF STATE POLICE

The states of Iowa, Virginia, and Utah have all been successful in their development and application of performance measuring systems. All three states received a grade of B+ or greater by the Pew Center on the States for their information-gathering mechanisms. Whereas Iowa and Virginia focus more on specific division-level performance measurement, Utah takes a more holistic approach and emphasizes collaboration between divisions and among departments within the state government.

7.1. Iowa Department of Public Safety: State Patrol Division

Since the passage of the Iowa Accountable Government Act (AGA) in 2001, the Iowa state government has consistently implemented a performance-based budgeting system in all departments and agencies. Iowa's valiant efforts earned the state a "B+" in the area of "Information" according to a study done by the Pew Center on the States, above the nationwide average. The state has also received considerable praise from the Government Performance Project, with *Governing* magazine stating, "Iowa is a leader among the states in the collection, production, use, and publication of quality performance information." By creating strategic plans, agency performance reports, and performance plans, the Iowa Department of Safety has successfully followed the requirements set by the AGA and has benefited from its efforts.

Comparable in structure and organization to the New Hampshire Department of Safety, the Iowa Department of Public Safety works to "provide public safety and criminal justice services that allow Iowa citizens and businesses to enjoy personal freedoms and economic growth opportunities in safe communities."⁹⁷ A recent analysis of the state done by the department's Strategic Planning Committee suggested that Iowa's most prominent safety threats include traffic, crime (violent and financial), terrorism, gaming, drugs, and fire. The department addresses these threats through its six major divisions: Administrative Services Division, Division of Criminal Investigation, Division of Intelligence, Division of Narcotics Enforcement, Fire Marshal Division, and the Iowa State Patrol Division.

According to the format required by the Iowa Accountable Government Act, the Iowa Department of Public Safety has established five "core functions" that mark the foundation of the agency's strategic plan:

- Investigation and Enforcement
- Regulation and Compliance
- Information Management
- Education and Training
- Resource Management



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These functions are further divided into goals, strategies, and performance measures. The performance measures identify tangible data that can be collected and analyzed over time in order to depict the success of the department in reaching its goals.

The Iowa State Patrol is one of the six major divisions of the Iowa Department of Public Safety. Although the division's primary job is to enforce traffic regulations on the state's various roads and highways, Iowa State Patrol also provides law enforcement services to Iowa's more rural regions and assists local police forces in various metropolitan areas. In addition, the Iowa State Patrol offers special security forces for numerous fairs, festivals, and other sizeable events. Last, the division offers more specialized services, including a Canine Unit, a Tactical Response Team, Safety Education Officers, Executive Protection Services, and various additional law enforcement resources.

7.1.1. Organization and Structure

The Iowa State Patrol Division is divided into two main branches, Administrative Operations and Field Operations. Administrative Operations focuses on providing support services for the rest of the division. The branch is further divided into Technology Services, Safety Education, Communications, and Fleet and Supply. The larger Field Operations branch is responsible for law enforcement throughout the state of Iowa. This subdivision patrols throughout the state and operates out of fifteen district offices.

The organization has faced major changes in recent years due to budget shortfalls and fiscal constraints caused by the recession. In 2010, two State Patrol Offices were closed, requiring a redistricting of the state. Vacant positions have continually gone unfilled, and there have been enormous reductions in duty shifts and hours. According to the Iowa State Patrol Annual Report FY 2010, "continued reduction in overtime and staffing levels on all shifts has become a critical problem."

7.1.2. Strategic Planning

Although the majority of the Iowa State Patrol performance measures are incorporated in the performance measurement reports generated by the Department of Public Safety as a whole, the current Division Colonel developed five strategies unique to the State Patrol:

- **Strategic Goal I:** Reduce the number and severity of traffic collisions involving injury and death on Iowa Highways.
- **Strategic Goal II:** Recruit, develop, and retain a quality, diverse workforce.
- **Strategic Goal III:** To aggressively pursue, apprehend, and prosecute those who utilize Iowa highways for criminal activities



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- **Strategic Goal IV:** To maximize service to the public in need of aid or information and assist other public agencies when needed.
- **Strategic Goal V:** Enforce traffic laws and other applicable laws in a fair, impartial, and courteous manner.

The five strategic goals encapsulate all facets of the State Patrol Division's duties throughout Iowa. However, the above goals are not coupled with performance targets, although the division does collect data on all citations, arrests, accidents, fatalities, and seat belt usage. More explicitly relating these strategic goals to collected data could improve the division's focus and organization.

7.1.3. Performance Measurement

Because the Iowa AGA requires performance plans to be released at the department rather than the division level, any information relating to the Division of State Patrol specifically must be taken from the broader Iowa Department of Public Safety Agency Performance Plan. This plan is structured according to the format required by the Iowa AGA, with an organization comprised of the following:

I. Agency Mission

A. Core Functions

1. Services, Products, and Activities (SPAs)

a. Performance Targets and Outcomes

The Iowa State Patrol Division is considered one of the SPAs, and falls under the Core Function of "Enforcement and Investigation." This Core Function is linked to five "Strategic Plan Goals" that are present in the department's Strategic Plan:

1. Reduce preventable deaths and injuries.
2. Reduce and disrupt the supply of illicit drugs.
3. Investigate and suppress criminal activity.
4. Provide infrastructure and resources to support the criminal justice system in Iowa.
5. Contribute to Iowa's ability to detect, prepare for, prevent, protect against, respond to, and recover from terrorist attacks.

Each goal is further described by various "strategies" that offer more specific guidelines and advice on how to accomplish the goal. These more detailed strategies are available in the Department's Strategic Plan.

The Core Function of "Enforcement and Investigation" is then broken down into a main "Desired Outcome," which is to "provide thorough and accurate investigations and enforcement actions to the law enforcement community so that the integrity and



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credibility of the judicial system and the safety of the public will be enhanced and maintained.” Two overall targets directly address this “main goal” for the Core Function:

1. Traffic Fatalities per 100 Million Vehicle Miles Traveled (moving average – 3 years).
2. Percent of major criminal investigations resolved from all Divisions.

Specific to the Iowa State Patrol are six “Performance Measures,” which have clear, quantitative targets. A table depicting the performance measures and targets is presented below:

Table 5: Iowa Performance Measures and Targets

Performance Measures	Performance Target
1. Number of enforcement contacts	360,000
2. Number of narcotics arrests by the Iowa State Patrol.	1100
3. Percent of Iowa drivers and front seat passengers using seat belts (annual DOT survey)	93
4. Number of motorists assisted	20,000
5. Rate of alcohol-related fatalities per 100 million vehicle miles traveled	0.35
6. Rate of traffic crashes resulting in serious injury per 100 million vehicle miles traveled.	6.5

When releasing data in a final performance report at the end of the fiscal year, an additional column is added titled “Performance Actual,” which clearly shows whether or not the performance target was reached. Each of these data points is also coupled with a brief comment or analysis, which remarks on the agency’s success in reaching its goals. An example of how this information is presented can be seen below:

Table 6: Example of Iowa Performance Report

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. Enforcement contacts	360,000	429,790	What Occurred: The target was exceeded by 19.3%. Data source: Iowa State Patrol
2. Narcotics arrests (ISP only)	1,100	1,740	What Occurred: The target was exceeded by 58.2%. Data source: Iowa State Patrol

The Department of Public Safety’s Performance Report also highlights a handful of “key results” which stress goals that are of particular focus to the agency. These key results are discussed in greater detail than other measures by informing the public of *why* a particular goal has been set and *what* the agency is doing to achieve results. The key results also contain a graph that visualizes the agency’s success over time.



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7.1.4. ResultsIowa

The hallmark of Iowa's performance measuring system is how available the above information is disseminated to the public. The Iowa Department of Public Safety, along with all other agencies in the state government, releases its Strategic Plan and Agency Performance Report on the website "Results Iowa." The easy-to-navigate site presents frank information about the state's success in reaching its goals. According to the Government Performance Project in *Governing Magazine*, "Iowa's is far from the most technically impressive website in state government... but it is almost certainly the most candid." By so explicitly releasing information online, Iowa state agencies are held accountable for their performance.

7.1.5. Summary

The Iowa Department of Public Safety, and consequently the Iowa State Patrol Division, has benefited from its strict performance measuring requirements, giving the state agency increased organization, focus, and accountability. Although the Division has not necessarily met all performance targets it has set for itself, it has developed specific strategies that will improve performance in future years. By making all of its performance information available to the public, the Department of Public Safety, along with all other Iowa state government agencies, has drastically improved its transparency, and as a result, its respectability among the Iowa population.

7.2. Virginia Department of State Police

Although vastly different from New Hampshire in both size and structure, Virginia has exemplified the positive results of combining online database services and performance-based budgeting, demonstrating just how intricate and detailed a performance measuring system can become. Along with Utah and Washington, Virginia received the top grade from the Pew Center on the States' Government Performance Project survey, which deemed Virginia "one of the best managed states in the country." The Virginia performance measuring system has also placed considerable emphasis on public safety, considering it one of the key indicators of the state's overall success. By following guidelines set by the Virginia Department of Planning and Budget, the Virginia Department of State Police has created a clear agency strategic plan with countless performance measures that can be tracked online by the public.

With a population of eight million people and a state government that spends over thirty billion dollars annually, Virginia is significantly larger than New Hampshire and thus has a differing structure of organization. However, the state's public safety priorities are similar to those in New Hampshire, providing a reasonable case study. Virginia should be considered as an example of what a performance-measuring system can become when well-funded and supported.



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Because of Virginia’s focus on public safety and performance measurement, the Virginia Department of State Police plays a prominent role in the Virginia Performs system. It is first important to note the considerable difference in size between the New Hampshire Division of State Police in the Virginia department. First, the State Police in Virginia is not a division beneath a larger agency, but is a department on its own, which is a testament to its breadth and depth. According to a 2008 survey, the Department of State Police patrols over thirty million miles of highway and responded to over 1.3 million incidents ranging from routine traffic stops to more serious drug enforcement.

Organizationally, the department is divided into the three bureaus of Criminal Investigation, Field Operations, and Administrative and Support Services. The Bureau of Field Operations patrols throughout seven Divisions of the State, which are comparable to the Troops of New Hampshire. Although the Virginia State Police is significantly larger, the overall organizational structure is similar to that of New Hampshire.

7.2.1. Virginia Performs

Virginia was one of the first states to adopt a formal, integrated performance measuring and management system, and its efforts have stood the test of time. Virginia moved from a highly disorganized state with limited strategic planning and performance measuring requirements to its current system, “Virginia Performs,” which stresses the linking of agency performance measures with long-term goals and with state budget expenditures. Virginia Performs focuses on asking the question, “How is Virginia Doing?”, and answers this question by tracking agency performance in the four main categories of long-term goals and missions, administrative measures, productivity measures, and other budget service area measures. The system also stresses efficiency and ease of use, allowing eighty-four state agencies to keep track of their progress without significant hurdles. Virginia Performs then places all information on its online database where the public can easily track progress, improving the state’s overall accountability.

Charting a Course for Excellence



Figure 5



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The overall strategy of Virginia Performs focuses on improving outcomes and efficiency through long-term planning coupled with short-term and long-term agency performance measures. A flowchart prepared by the Virginia state government, shown in Figure 5, visually depicts the general organization of Virginia Performs.

Perhaps the most critical component of Virginia Performs is its online interface that tracks state and agency progress in a clear, accessible, and organized fashion. The site first focuses on forty-nine key state indicators that stretch across all departments and agencies, and then depicts these indicators in a “Scorecard at a Glance.” Users can then select an indicator to learn more about it and to follow its progress over time.

The Virginia Department of Planning and Budget plays a critical leadership role in a state’s performance-measuring process. The Department provides countless documents to state agencies that act as guides through the process. The Governor’s office is also closely involved in the performance measuring process, giving the initiative authority of executive support.

7.2.2. Agency Strategic Plan

The Virginia Department of State Police has a highly structured strategic plan that follows the guidelines generated by the Virginia Department of Planning and Budget. The plan first outlines the agency mission, vision, and values, which are the following:

Mission Statement: The Virginia State Police, independent yet supportive of other law enforcement and criminal justice agencies, will provide high quality, statewide law enforcement services to the people of Virginia and our visitors.

Agency Vision: The Virginia State Police will provide exemplary service to the public and other law enforcement and criminal justice agencies with a highly qualified, diverse workforce that balances service, education, and enforcement to achieve optimal customer satisfaction.

Agency Values:

- **Valor:** Courage in the performance of one’s duty.
- **Service:** A commitment to provide the highest level of law enforcement service to the citizens of the Commonwealth.
- **Pride:** Satisfaction taken in the achievements of the department, the community, and oneself.

Most critical to the Agency Strategic Plan are the six main goals of the State Police. Each goal is presented, summarized, and aligned to the state’s broader goals of Virginia. The six goals are outlined below:



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1. Ensure the safety and security of citizens and their properties.
2. Promote the safe and orderly flow of traffic on Virginia's highways.
3. Strive to eliminate illegal drug use within Virginia.
4. Provide available department resources to requesting law enforcement agencies.
5. Ensure the safety, security, and high morale of department of personnel.
6. Continually seek ways to deliver the most cost-effective and efficient law enforcement services possible.

7.2.3. Performance Measures

The Department of State Police outlines twenty-two main performance measures across the categories of Key Measures, Productivity Measures, Administrative Measures, and various Other Agency Measures.

Each measure is categorized by its type, preferred trend, and class, and is then discussed in detail by its methodology. The data for the measure is presented over the past five years and is then visually depicted in a graph. A visual example of an entire performance measure description can be found in Appendix II.

Although not all twenty-two performance measures will be discussed in detail, the following presents a brief description of a handful of measures:

- Percentage of the investigations successfully closed involving sex offenders failing to register
- Percentage of crime victims and individuals involved in traffic accidents who rate their experience with the department as "Very Good" or "Excellent"
- Average cost to handle a speed violation
- Number of commercial vehicle inspections conducted
- Number of station visits conducted

Users of the website can generate their own customized report in which they select particular performance measures they are most interested in. All of this data is presented alongside the quarterly budget to visually depict how much money is spent and where exactly it is going.

7.2.4. Summary

Because of Virginia's size and ample resources, the state's performance-measuring system is likely out of reach for New Hampshire's burgeoning strategic planning requirement. However, it is an important example of the possibilities of a well-funded, well-organized performance management system. The plethora of detail and information presented by all agencies keeps the state government on track and accountable for its



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actions, while the consistently updated website increases government transparency to the public. Although there is certainly room for improvement, the Virginia Performs system is constantly aware of its progress and direction, and will likely continue to be a leader in performance-based budgeting and management in the near future.

7.3. Utah Department of Public Safety: Highway Patrol

Utah has had unparalleled success in the field of performance measuring, deemed a “clear leader in sound government based on... effective performance management” by the Pew Center on the States’ Government Performance Project. In its most recent study, the Pew Center gave Utah in “Information,” above every other state in the Union. Through its Performance Elevated initiative, the Governor’s Office of Planning and Budget has required agencies to submit strategic plans and performance measures using a system called Balance Scorecard. Utah’s holistic performance-measuring process incorporates staff from all facets of state government, which has generated enthusiasm and support for the program. The Utah Department of Public Safety has succeeded in following the guidelines set by the state government, developing thorough strategic plans and performance measurements that have improved the agency’s efficiency and accountability.

Utah is a sprawling state located in the western United States. With a population of approximately 2.8 million people, Utah is roughly twice the size of New Hampshire. Although the state is considerably large in land mass, the population is highly urbanized, with most people living in and around the capital of Salt Lake City. The state government is predominately Republican with a budget that is roughly twice the size of New Hampshire’s state government spending.

According to their mission statement, the Utah Department of Public Safety seeks to “provide a safe and secure environment for all people in Utah.” The department is divided into eleven divisions: Administrative Services, Communications, Criminal Identification, Driver License, Fire Marshal, Forensic Services, Highway Patrol, Highway Safety, Emergency Management, Investigations, and POST (Peace Officer Standards and Training). Although each division serves a unique purpose, the department stresses an integrated strategy in which all divisions cooperate and combine forces to achieve a common goal. The department places emphasis on six main strategies characterized by the word SECRET:

1. **S** trengthen infrastructure
2. **E** mergency preparedness, response, recovery, and mitigation
3. **C** riminal identification and interdiction
4. **R** oadway safety
5. **E** ducation and training
6. **T** hriving workforce



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The department then creates a performance report for each of the above strategies.

7.3.1. Performance Elevated

Utah's Performance Elevated is the hallmark of the state's performance measurement and budgeting strategy. Performance Elevated is a statewide system that strives to increase government efficiency and productivity by connecting agency performance outcomes to budget inputs.

The system first focuses on creating a state-level strategic planning framework spearheaded by the Governor and supported by all departments and agencies. The Governor identifies Utah's priorities, and then requires all agencies to submit individual strategic plans detailing a mission statement and outlining emerging issues. This comprehensive strategic plan is then communicated through regular meetings between the Governor's Office and various department directors throughout the state government. The completed plan is also made available on the Performance Elevated website for public review.

7.3.1.1. Balanced Score Card

The Performance Elevated initiative uses Balanced Scorecard to measure agency progress and to communicate results. Balanced Scorecard is a "management system that enables organizations to clarify their vision and strategy and translate them into action" that "provides feedback around both internal business processes and external outcomes in order to continuously improve strategic performance and results." The system focuses on an agency's key performance indicators and uses them to track a department's success over time.

The Balanced Scorecard system has been used by a broad range of institutions, from private sector businesses to local government organizations. Balanced Scorecard stresses the importance of a dynamic strategic plan that is referenced daily by an organization in order to provide a consistent framework for what needs to be done. Coupled with the qualitative, subjective strategic plan are quantitative, objective measurements that provide hard facts on an agency's progress. Ultimately, Balanced Scorecard "transforms strategic planning from an academic exercise into the nerve center of an enterprise."⁹⁸

In Utah, every state agency is required to formulate its own balanced scorecards at the department level. These scorecards are then submitted to the Governor's Office of Planning and Budget on a monthly basis, where budget analysts review them. Analysts stay in constant communication with department leadership, providing consistent feedback and guidance. This focus on the interaction between departments is a critical component of the Balanced Scorecard process.



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7.3.2. Roadway Safety

Although Utah does not have a division that is identical to the New Hampshire State Patrol, much of their performance measuring in the category of “Roadway Safety” is applicable to the New Hampshire division of interest. Utah focuses its resources on three main issues related to driving: Motor Vehicle Crash Fatalities, Occupant Protection, and Impaired Driving. The Department of Public Safety selects a quantitative measurement to go with each of these issues and then graphs this measurement over time. Motor Vehicle Crash Fatalities is measured using the rate of fatalities per 100 million vehicle miles traveled; Occupant Protection is measured by the observed seatbelt use as a percentage of drivers; and Impaired Driving is measured using alcohol-related crash fatalities per 100 million vehicle miles traveled. With each graph are two descriptors that analyze *why* the issue is important, and *what the agency is doing* to prevent future problems.

Unlike other state divisions with high-rated performance measuring systems, the Utah Department of Public Safety does not break down their mission statement into highly specific goals, strategies, methods, and performance measurements. Instead, the department prefers to simplify its strategic planning by focusing on a handful of prominent issues, and describes these issues in clear, concise terms. All of this information is then made available on the website Performance Utah, consistently updating the public on the actions of the department.

7.3.3. Summary

Unlike other state performance-measuring systems, Utah’s Performance Integrated program considers strategic planning and performance measuring a holistic process that requires collaboration between and within all government agencies. As a result, Utah’s method of performance measuring and strategic planning is far more simplified. The Utah Department of Public Safety organizes its objectives not by division, but by six main interdisciplinary strategies that stretch across the jurisdiction of all parts of the agency. Using Balanced Scorecard, the Utah system focuses on communication and feedback mechanisms to keep all participants involved in the performance-measuring process. Utah has succeeded tremendously in these efforts, creating a government that is economical, organized, and accountable to the public.

Although Iowa, Virginia, and Utah present differing strategies in performance measuring processes, all three have had considerable success. Virginia’s more elaborate and costly system may be out of reach for New Hampshire, but provides an example of the long-term results from a well-funded and directed performance measuring system. The less expensive systems employed by Utah and Iowa depict varying strategies; Utah emphasizes interdepartmental collaboration, whereas Iowa focuses on the specifics within a department or division.



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8. DIVISION OF MOTOR VEHICLES

In this selection from the report, we analyze performance-based measurement tools for the Division of Motor Vehicles within the New Hampshire's Department of Safety. After a brief overview of the Division's role and its challenges in New Hampshire, this report then analyzes three case studies of states whose motor vehicle departments (or equivalents) utilize performance assessment systems. Each case study is selected for a specific purpose: Vermont is similar in geography and demographics to New Hampshire, with similar practical challenges; Oregon carries over twenty years of assessment experience for those in the Granite State to draw upon; and Iowa (like New Hampshire) has a local government vehicle registration process. Several key "takeaway" points follow each case study.

In New Hampshire, the responsibilities of the Division of Motor Vehicles include issuing driver's licenses, vehicle titles, and vehicle registrations (a responsibility shared with local governments), monitoring citizens' driving records and vehicle registration processes, and collecting data on accidents in the state.⁹⁹ Compared to similar entities in other states, the New Hampshire DMV is unusual in that it allows most vehicle registrations to be completed in town halls instead of a state DMV office.¹⁰⁰ Budgeting for the DMV begins "at the bureau level," but the state legislature has the final say regarding the division of resources, and has in recent years used "back of the budget" cuts to alter finances.¹⁰¹

DMV officials in NH are facing several significant challenges. In addition to budgetary restrictions, often unexpected, the location of DMV substation locations are politically influenced, meaning they are not necessarily at the most efficient locations.¹⁰² Additionally, officials have noted that it is difficult to foresee the budget allotment necessary for each bureau two years in advance (since under the current system budgets are created every two years) and that the state government has been vague in the cuts it wants made in each division/bureau during recent economic times.¹⁰³

8.1. Vermont

Performance-based assessment in Vermont began in 1994 with legislation that required all "agencies, departments, and offices" to provide the state Senate and House Appropriations Committees with the following along with their budgets:

- A statement of mission and goals
- A description of indicators used to measure output and outcome
- A description of the means and strategies for meeting the needs of the agency or program, including future needs for achieving the goals¹⁰⁴



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8.1.1. Department Overview

Vermont's Department of Motor Vehicles operates within the state's Agency of Transportation, and it divides various responsibilities among three subgroups. The Enforcement and Safety Division works to limit criminal operations involving licensing and registration, the Operation Division services the state's drivers, and the Support Service Division oversees budget operations and training, among other things.¹⁰⁵ The exact breakdown of the department is shown below.¹⁰⁶

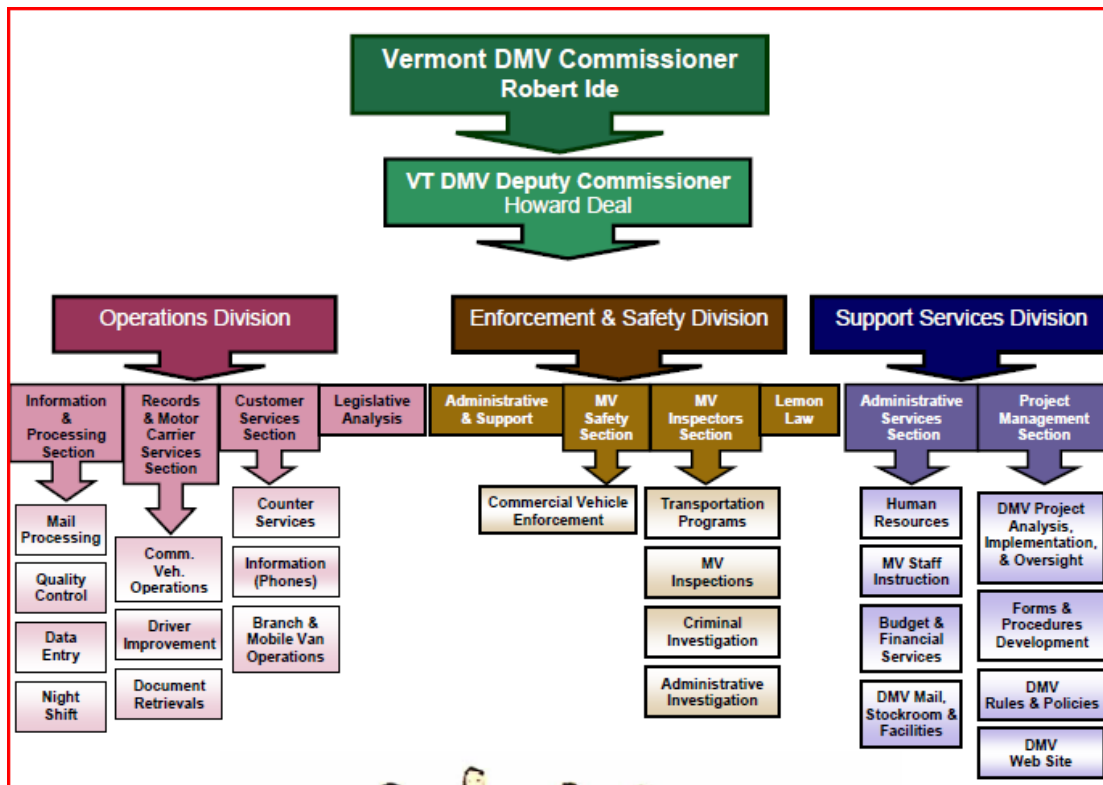


Figure 4. Vermont DMV Structure

While the organization of the Vermont DMV differs from its counterpart in New Hampshire, both departments cater to citizens' driving needs, and focus on preventing crime and being financially responsible. Organizationally, Vermont employs three broader divisions to perform these functions whereas New Hampshire has more specific, individualized bureaus. For example, New Hampshire divides the tasks of Vermont's Operations Division amongst three bureaus: Driver Licensing, Registration, and Operations. Therefore, New Hampshire's DMV must keep in mind that some of the objectives and statistical measures used in Vermont may not be completely transferable to this state.



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8.1.2. Performance Assessment

A 2009 report by the Office of the Vermont State Auditor provides a good example of how a DMV performance assessment system can operate in a small state such as New Hampshire, as well as the problems associated with this strategy.

Vermont’s Department of Motor Vehicles established some concrete goals going into the report, along with statistics for measuring departmental performance. These are outlined in Table 5.

Table 5. Goals and Indicators for the Vermont DMV

Table 1: DMV Strategic Goals and Measures	
Goal 1. Continually strive to enhance level of customer service and heighten public awareness of the service offered.	
	Percentage of customers that are waited on in 30 minutes or less
	Percentage of days the mail backlog is 7 days or less
	Average time a customer waits in telephone queue
	Percentage of registration renewals that are processed over the web, by kiosk or via Interactive Voice Response
Goal 2. Promote and support highway safety and the maintenance of transportation infrastructure through enforcement, vehicle safety, and education efforts.	
	Percentage increase/decrease in students participating in Vermont Rider Education Program
	Percentage of vehicles and/or drivers found in violation of the Motor Carrier Safety Administration Program ^a regulations
	Number of trucks weighed and percentage of overweight violations found
	Number of total abstinence ^b investigations conducted, the number of applicants successfully completing the process, and the average number of resource hours per investigation
Goal 3. Modernize the Department's computer system to create one common name file and consolidate its many databases and current mainframe based system.	
	Complete system design, user acceptance testing, and user training to ensure a December 2009 implementation
Goal 4. Ensure Vermont's compliance with the Western Hemisphere Travel Initiative as it relates to land and sea border crossings.	
	Design, develop and implement an Enhanced Drivers Licenses ^c program to be rolled out to the general public to ensure compliance by the federal government's June 2009 effective date
Goal 5. Record revenue collected by the Department in a timely and accurate manner to allow the Administration to have an accurate picture of DMV revenue and make proper decisions related to the financial health of the Transportation Fund.	
	Percentage of times all monthly revenue collected is properly classified by the end of the month
	The number of deposit errors occurring monthly
	The number of days to properly classify each day's revenue

Upon examination, the auditor found that Vermont’s DMV could have improved this layout by using a “strategic plan” to create better objectives.¹⁰⁷ This “forward looking multi-year document” would have “summarize[d] the Department’s goals and outline[d] the strategies of how those goals would be achieved,” which trumps simply updating



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goals of prior years as the DMV had done.¹⁰⁸ This emphasizes one of our findings of successful performance measurement in general, that performance metrics work best when used as specific indicators of progress towards objectives and goals that comprise a coherent, department- or state-wide, strategic plan.

Second, the auditor found some problems with the statistics the department used to scrutinize its own progress on the aforementioned goals. For example, the DMV kept track of how many people completed the state program for drivers with multiple DUIs, but failed to make note of the re-offender rate.¹⁰⁹ Additionally, gaps existed in the department's creation of targets for their statistics, its comparison of targets with actual measures, and even in its monitoring of statistics in the first place.¹¹⁰ The auditor discovered numerous errors in the DMV's measures, which violates a state rule that requires statistics to be checked for accuracy.¹¹¹

Lastly, the auditor recommended that the DMV be more comprehensive in the information it presents for budgetary consideration. At the time of the paper, the department failed to consistently outline (among other things) its official goals, "a description of the strategies it will be pursuing to meet its goals," or its "future targets for each reported measure" in its reports to the legislature.¹¹²

8.1.3. Summary

The performance-based budgeting structure for Vermont's DMV is relatively simple in nature. The department creates its own goals, keeps track of its own statistics that relate to these goals, and reports all of this information to the legislature when budgeting time comes for their consideration. Compared to other structures, this one would be relatively cheap to implement in New Hampshire. This is especially true since the DMV in this state already keeps track of some of the statistics in Table 5, such as average wait times.¹¹³

However, when making the change to a performance assessment framework, New Hampshire's DMV will need to commit to "a heightened sense of mission."¹¹⁴ The mission statement listed in the Department of Safety's Annual Report is a good start, but the DMV should go further and incorporate this into a more comprehensive strategic plan. As the auditor states above, this plan should not only outline the DMV's mission, but should break that mission down into specific goals/measurements along with practical ideas for achieving these objectives. For example, New Hampshire's DMV notes in its mission statement that it is "committed to public safety and quality customer service."¹¹⁵ In a strategic report, the DMV should make this portion of its mission into an individual goal, and should attach appropriate measurements such as average customer wait times and average ratings on comment card reports.¹¹⁶ These measurements should have target values that may be difficult to attain but are realistic nonetheless, such as an average of 25 minutes waiting time for customers visiting DMV substations. Overall, a strategic



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document such as this would help the DMV to be more focused on how it rates its performance.

The division must also be open to modifying this mission (along with its corresponding statistical objectives and action plans) with the changing times. A major recent change in New Hampshire's DMV has been the institution of online driver's license renewals as well as paperless license tests.¹¹⁷ These technological innovations should also be reflected in how the DMV assesses itself. Perhaps the average wait time target could be lowered, since with online renewals fewer people will have to go to the substations. In addition, a target for few crashes to the renewal page or testing technology could be created.

Lastly, the division will need to be sure that the statistics it ends up using to assess itself are meaningful and accurate. In the Vermont report, the auditor mentions that the best statistical measures are "outcome-oriented" because they help to paint the clearest picture for whether a government department is actually making progress on its goals.¹¹⁸ In effect, nuance is important in determining effective measurements, and the DMV will have to exercise its judgment. Regarding the division's goal for enforcement of driving laws in the state, perhaps measuring the success rate of fraud investigations is superior to measuring the raw number of investigations that are started.¹¹⁹ Of course, neither measurement will be useful if the division fails to be meticulous in its collection and verification. Inaccurate statistics would carry no value in determining how in fact the DMV is performing.

8.2. Oregon

Oregon's experience in performance-based budgeting dates back to 1989, with the introduction of the strategic plan known as "Oregon Shines."¹²⁰ This project currently consists of three primary goals for the entire state:

- Quality jobs for all Oregonians
- Engaged, caring, and safe communities
- Healthy, sustainable surroundings¹²¹

These goals are broken down further into seven benchmark categories (which use about one hundred specific benchmarks): economy, education, civic engagement, social support, public safety, community development and environment.¹²²

The state has modified Oregon Shines twice over the years: once in 1997, and again starting in 2008.¹²³ One recent important change was the government's defunding of the Oregon Progress Board in 2009 due to financial constraints. The twelve-person board, made up of the governor and "citizen leaders,"¹²⁴ performed duties such as overseeing the assessment system, refining the state's primary goals over time, and analyzing



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feedback from the public.¹²⁵ The Secretary of State's office continues to update the benchmarks over time.¹²⁶

8.2.1. Department Overview

The Oregon Department of Transportation (ODOT), which includes the state's Driver and Motor Vehicle Services Division (DMV), was formed in 1969. The department sets its goals and responsibilities in its Mission Statement seen below, going from mission to strategies:¹²⁷

Table 6. Goals and Strategies of the Oregon DMV

Mission Statement
<p>Mission for ODOT: To provide a safe, efficient transportation system that supports economic opportunity and livable communities for Oregonians.</p> <p>Our Values: These are the values that guide our decision making and which we follow in implementing ODOT's mission and goals.</p> <ul style="list-style-type: none">• Safety: We protect the safety of the traveling public, our employees and the workers who build, operate and maintain our transportation system.• Customer Focus: We learn from and respond to our customers so we can better deliver quality, affordable services to Oregonians and visitors. Our customers include travelers, freight movers, and others who use our services and facilities.• Efficiency: We strive to gain maximum value from the resources entrusted to us for the benefit of our customers.• Accountability: We build the trust of customers, stakeholders and the public by reporting regularly on what we are doing and how we are using the resources entrusted to us.• Problem Solving: We work with the appropriate customers, stakeholders and partners to find efficient, effective and innovative solutions to problems.• Diversity: We honor and respect our individual differences and we work to ensure that people from diverse backgrounds have equitable opportunities, both internally and externally, to work for and conduct business with ODOT.• Sustainability: We balance economic, environmental and community well-being in a manner that protects the needs of current and future generations. <p>Our Goals:</p> <ul style="list-style-type: none">• Improve safety.• Move people and goods efficiently.• Improve Oregon's livability and economic prosperity. <p>Our Strategies:</p> <ul style="list-style-type: none">• Provide outstanding customer service.• Use innovative program design and technologies to solve transportation problems.• Improve the return on investment of our transportation funds.• Attract, retain and develop an outstanding ODOT workforce.• Engage the public, other state agencies, local governments, business and community leaders in solving transportation problems and planning for the future.• Increase intermodal linkages to improve access for people and goods.• Communicate, educate and inform the public about transportation issues.

8.2.2. Performance Assessment

ODOT currently presents an Annual Performance Progress Report to the state Ways and Means Committee, and the Committee incorporates these reports into Oregon's biannual budgeting decisions.¹²⁸ The 2011 version of the report contains twenty-five "Key Performance Measures" that the department measured that year.¹²⁹ Some particularly relevant measures for the New Hampshire DMV are office, phone, and title wait times as well as customer satisfaction.¹³⁰ Other tracked statistics that are similar to what the DMV has compiled in past data projects include percentage of people who use seat belts and the amount of traffic fatalities per one hundred million vehicle miles traveled.¹³¹



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This case differs from the Vermont DMV case in that the Oregon DMV does not completely control its own performance assessment. Rather, assessment in this state is done at the department level; this would be the equivalent of the New Hampshire Department of Safety leading an umbrella performance assessment that contains measures for all of its divisions. ODOT also pays attention to public opinion in its assessment process, as all of its goals are “approved at... public meeting[s] of the citizen Oregon Transportation Commission.”¹³²

For each measure in the Progress Report, ODOT includes:

- the department goal and state benchmark with which the statistic/measure is associated,
- the department’s strategy for achieving each goal,
- an explanation of the target values created for each goal,
- an analysis of current progress towards each goal based on the statistic’s proximity to the target,
- a comparison of Oregon’s statistics with similar statistics found in other states,
- an explanation of variables that may influence the statistics,
- any changes that need to be made going forward, and
- a disclosure of how the statistic in question was compiled.¹³³

We provide a visual example for one of the measures evaluated in this report in Appendix III.

8.2.3. Summary

The Oregon case shows the value of structure within the performance-assessment framework. The ODOT Progress Report does a great job of framing the background surrounding a particular measurement, displaying the department’s performance compared to its target, and identifying areas to improve upon. This exhaustive approach is one that should be emulated by New Hampshire’s DMV. A detailed performance report would keep the division focused towards its goals and offer effective feedback if any problems arose.

While the DMV may only be able to produce a report with the specificity seen in Appendix A on an annual basis, it should also place priority on creating more frequent (bi-monthly or tri-monthly) status reports for itself. These reports can certainly be brief in nature; a simple listing of division goals, associated measures, and how the current measures compare to targets may suffice. Nevertheless, it is important that the division have a consistent feel for how it is doing, so that potential issues in an area such as licensing technology can be discovered and corrected more quickly. For instance, a status report could find that processing speeds at the Bureau for Financial Responsibility



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decrease surrounding certain holiday seasons, when accidents occur more frequently. The Bureau could then react quickly to this information by looking to hire more employees during these times or investing in newer, faster database technology.

The DMV may also want to consider using input from the public in its assessment procedure. This could be done in a number of ways. The division could follow ODOT's lead and hold an open forum to get citizens' thoughts on DMV goals. A similar thing could be done for the measurements that the division is considering for each of its goals. Alternatively, the division could take a less structured approach and simply ask for citizens' thoughts on the strengths and weaknesses of the division, whether through a meeting or through distributing a higher amount of customer comment cards. Whatever the method, it is important to understand public (customer) expectations so that it can formulate more socially optimal goals. The DMV serves the public, so the public should have a say in how the DMV evaluates itself.

As a whole, lessons from these divisions suggest that the Department of Safety should think about creating a performance-assessment oversight board or oversight committees for each of its divisions. A board could aid implementation by assisting departments in formulating their missions and statistical objectives and through providing information for government employees unclear on specifics of the assessment program. This outside consultation would further increase the legitimacy of the performance measures that each department creates and tracks (i. e., more precise and appropriate statistics for department missions, targets that are more difficult to attain).

8.3. Iowa

The Iowa Accountable Government Act established performance-based budgeting in Iowa in 2001. The components of this new law consisted of “strategic planning, annual performance (operational) planning, performance measurement, results-based budgeting, performance reporting, performance audits, and return on investment.”¹³⁴ We will expand upon how these respective things are used by Iowa's agencies in the sections below.

8.3.1. Department Overview

Iowa's Motor Vehicle Division is located under the state Department of Transportation (DOT). The Motor Vehicle Division provides driver's licenses and titles and ensures that vehicles that go on Iowa's roadways are safe and up to standards, among other things.¹³⁵ It is made up of four offices: Driver Services, Motor Carrier Services, Motor Vehicle Enforcement, and Vehicle Services. One similarity between Iowa and New Hampshire is the registration procedure for vehicles in each state. Like in New Hampshire, registration transactions in Iowa do not occur within the confines of a DMV office. Rather, they are completed at a county treasurer's office.¹³⁶ However, due to factors such as division organization and demographic differences, it is again important to note that the goals and



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metrics used in Iowa will be different than what is optimal for New Hampshire. One example would be if New Hampshire's DMV wanted to come up with an appropriate statistic regarding the collection of traffic fines. Since Iowa generally processes its fine payments through its court system, the DOT would not have any objectives in this area for New Hampshire to emulate or use as a guide.¹³⁷

8.3.2. Performance Assessment

Unique aspects of performance-based budgeting in Iowa include the I3 technology system as well as ResultsIowa.org. The I3 system, along with containing budget data and statistics, keeps the official goals of each department on file.¹³⁸ This adds context to the statistics that each department collects and allows the departments to be evaluated more thoroughly.

ResultsIowa.org provides a media through which each state department can post a plethora of information concerning their performance for public use. Looking at the Department of Transportation's page, we see that they utilize three important documents. First, the DOT has an official Strategic Plan, something that Vermont in particular was lacking. While this document does not delve into specifics regarding the Motor Vehicle Division, it does clearly state the mission for the department as a whole: "The Iowa Department of Transportation advocates and delivers transportation services that support the economic, environmental, and social vitality of Iowa."¹³⁹

The Plan then elaborates upon the above by including guiding principles (integrity, transparency, outstanding service, and quality work culture) and core functions (enforcement and investigation, physical assets management, regulation and compliance, resource management, and transportation systems) that drive the DOT.¹⁴⁰

From here, the DOT's Strategic Plan does something fairly unique compared to what we have seen thus far: it goes into a detailed, two-tiered department evaluation. These are displayed in Tables 7 and 8 in their entirety.¹⁴¹



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Table 7. Iowa DOT Strategic Planning

INTERNAL ASSESSMENT (within the department)
<p style="text-align: center;">Strengths</p> <ul style="list-style-type: none">o Highly skilled and motivated employeeso Dedicated funding streamo Heightened technical skills within workforceo Versatility; our employees possess the knowledge, skills, and abilities to perform a wide variety of assignmentso Commitment to being fair and doing the right thingso Desire to do good work and take pride in providing quality products and serviceso Responsive to needs of customerso Increased cross-unit understanding, respect and collaborationo Investment in technological advances
<p style="text-align: center;">Weaknesses</p> <ul style="list-style-type: none">o Do not adequately integrate and utilize available information for decision-making and monitoring progress toward our vision and missiono Tempered funding growth and eroded buying powero Limited measurement of those things that will tell us how well we are meeting our mission and visiono Not all policies and procedures are contemporary and employees lack the education needed for increased awareness and appropriate useo Hampered ability to hire and retain employees with certain specialized skill setso Inadequacy of current screening process to produce qualified candidateso Lack of a formal workforce planning process to assist in succession planning and ensure the future workforce is well trainedo Current process for conflict resolution of employee discipline yields inconsistent resultso Lack of information and measurements that describe the impact of transportation on the state's economy and lives of Iowans

Table 8. Iowa DOT: External Assessment System

EXTERNAL ASSESSMENT (outside the department)
<p style="text-align: center;">Opportunities</p> <ul style="list-style-type: none">o An established history of high levels of performance as a state agencyo Well established formal and informal communication structures to reach and update our customers, partners and the publico Good working relationships with local, regional and other state agencies.o Strong state-level bi-partisan support for transportationo Available new scientific and technological advances to help improve goods and serviceso Partnerships with businesses, industry, local and regional jurisdictions, educational institutions, professional associations, and other governmental bodies to impact national policy, align state transportation goals and enhance systems and serviceso Changing demographics within the state's population may help diversify our workforce
<p style="text-align: center;">Challenges</p> <ul style="list-style-type: none">o A continually increasing expectation of the public regarding use and modernization of transportation systemso An increasing demand by citizens and businesses, fueled by advancements in technology, for faster response to ideas, suggestions and concernso An ongoing expectation of citizens, businesses and elected officials for increasing levels of quality, efficiency and responsiveness from public agencieso A current approach to federal transportation funding that dilutes and fragments funds, unnecessarily regulates and imposes restrictions, and negatively impacts the department's ability to make timely and meaningful program decisionso Concerns about the future of state and federal levels of funding for transportationo A lack of public understanding of the importance of a multi-modal and integrated transportation system on the availability of food, goods and services within the state of Iowao The ability to recruit and retain skilled employeeso Unnecessary regulations that create layers of laws, rules, and regulations that often provide little to no value



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The Plan concludes with a complete breakdown of the DOT's goals, measures, and strategies, as illustrated in Table 9.¹⁴²

Table 9. Iowa DOT: From Goals to Measures

Goals, Measures & Strategies
<p>GOAL 1 - Improve the safety of Iowa's transportation systems</p> <p><u>Measures GOAL 1</u></p> <ul style="list-style-type: none">Measure – Number of highway fatalitiesMeasure – Number of highway total and major injuriesMeasure – Highway fatality rateMeasure – Highway total and major injury ratesMeasure – Grade crossing fatalitiesMeasure – Grade crossing injuries <p><u>Strategies for GOAL 1</u></p> <ul style="list-style-type: none">Strategy – Implement the Comprehensive Highway Safety PlanStrategy – Prioritize and address actionable issues and locations in the federal "5%" report
<p>GOAL 2 - Improve the quality of Iowa's transportation systems and what they provide</p> <p><u>Measures for GOAL 2</u></p> <ul style="list-style-type: none">Measure – Sufficiency ratingMeasure – Pavement Condition Index (PCI) value for various classesMeasure – Functionally obsolete and structurally deficient bridgesMeasure – Centerline miles of 'key corridors' programmedMeasure – Miles of interstate highway at established levels of serviceMeasure – Average annual combined wage rate of RISE supported jobs as compared to average county wages ratesMeasure – Total business capital investment associated with RISE projects (leveraged) <p><u>Strategies for GOAL 2</u></p> <ul style="list-style-type: none">Strategy – Secure sufficient fundingStrategy – Develop a passenger rail programStrategy – Maximize processes for efficiency and prudent decision-makingStrategy – Develop a transportation system and services performance management program



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GOAL 3 – Improve internal and external customer service

Measures for GOAL 3

- Measure – Average number of days to issue right-of-way access permits
- Measure – Average time to near normal for A and B roads following a snow event
- Measure – Time from grant application deadline to achieving Commission approval
- Measure – Time from Commission approval to project construction/completion

Strategies for GOAL 3

- Strategy – Improve communication with customers
- Strategy – Maximize process efficiency and effectiveness
- Strategy – Develop a performance-based customer service program
- Strategy – Develop a survey for grant recipients to assess effectiveness in managing grant programs

GOAL 4 – Improve the effectiveness of our workplaces

Measures for GOAL 4

- Measure – Proportion of protected classes in DOT workforce
- Measure – Number of worker compensation injuries
- Measure – Number of vehicle accidents
- Measure – Number of days away from work
- Measure – Employee rating of workplace satisfaction
- Measure – Employee rating of openness and trust

Strategies for GOAL 4

- Strategy – Develop a comprehensive employee safety program
- Strategy – Gather and share organizational information
- Strategy – Develop a workforce management plan

Regarding the goals, the New Hampshire DMV should pay special attention to Goal 4 and its measures in the above table. The DOT's focus on its employee welfare in its strategic plan is unique and something that would be easy to implement in this state. While there may not be as much on-the-job injury risk in New Hampshire's DMV, creating a survey to measure employee sentiment would be cheap and useful. If the DMV instills a positive environment proven through survey analysis, then some of the other objectives it has for itself may be easier to reach.

The second major component of the DOT's ResultsIowa page is its Performance Plan. This report differs from the Strategic Plan in that it creates statistical measures and target values that correspond to the department's core functions, not its four goals.¹⁴³ Note that the Strategic Plan above lists no numerical targets for its measures. Examples of measures covered in the Performance Plan are:

- Number of fraud investigations conducted (for "Enforcement and Investigation" core function)
- Annual percentage of officers' crash reports submitted electronically (for "Regulation and Compliance" core function)



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- Percent of highway miles that meet or exceed a sufficiency rating of tolerable or above (for “Transportation Systems” core function)¹⁴⁴

The Performance Plan delves into greater specificity than the Strategic Plan when it comes to the action plan for achieving each target as well.¹⁴⁵ Instead of listing a couple of broad strategies for all of the measures like in Table 9, the Performance Plan has a specific strategy in place for each measure that it lists.¹⁴⁶ It is unclear whether the DOT has a similar document for the objectives it lists in the Strategic Plan.

Similarly, the DOT’s Performance Report presents actual outcomes of each measure presented in the Performance Plan, and a brief explanation for what affected these outcomes.¹⁴⁷ Something especially refreshing in this Report is that the department prioritizes certain statistics. The DOT does this through highlighting the importance of each of its core functions, noting what it is doing to perform each and elaborating upon the target and the actual outcome of one or two statistics for each. We show an example of the DOT’s analysis on its Motor Vehicle Division’s performance for one of these primary statistics in Appendix IV. Once again, though, the Report fails to mention anything about the completion of the statistical measures listed in the Strategic Plan. Perhaps a similar document exists for these latter measures, but it is not posted on ResultsIowa.

8.3.3. Summary

Similar to what is seen in Oregon (and in contrast to Vermont), Iowa’s DOT does a good job being clear and communicative with regard to its mission, objectives, strategies, and measured results each year. The DOT is exceptional in the sense that it simplifies the assessment process in its Performance Report to the public. Of course, one needs to be sure that the statistics each department prioritizes for the legislature provide a fair representation for how the department is doing, and are not simply the department’s most impressive statistics. If New Hampshire’s DMV only highlighted its positive customer service statistics while leaving lagging statistics in the Bureau of Title and Anti-Theft in the “fine print” for citizens to sift through, it would not have as much incentive to improve itself as if the division was more honest in its assessment practices.

More broadly, making performance assessment data available to the public using a website would be a good idea for New Hampshire’s DMV. This would increase department transparency and allow for public feedback, which would consequently improve the public’s perception of the DMV. It should also be relatively easy for the division to organize, since the division has taken many steps of late to incorporate more technology into the way it operates. The DMV would have to be more up-to-date with its reporting than Iowa for the benefits to be reaped. Having the most recent Performance Report available three years out-of-date, as in the case of Iowa, is likely to upset rather than inform customers.



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The DOT additionally excels in self-awareness. As seen above, the department evaluated itself internally and had an outside source do the same. This allows the citizens, and the DOT itself to get a better feel for the department's current capabilities as well as areas that it needs to work on. The DOT can then create more appropriate goals and measures for itself. New Hampshire's DMV would be wise to think about incorporating these pieces of assessment into its own strategic plan. The division could even go one step further by creating a goal to improve upon the weaknesses found in these internal and external evaluations. Suppose that like in Iowa, New Hampshire's DMV discovers that it struggles to find employees that are qualified for open positions. Under this new goal, the division could pledge to recruit more actively at upper-echelon graduate schools and at government offices in other states to meet a hypothetical target rate of ninety percent qualified hires in the following year.

Another example of self-awareness is evident in the DOT's goal for a better work environment. This would be a great goal for the DMV to have as well, since content employees lead to a more productive workplace. How the division treats its workers is an important aspect of performance as a whole.

Finally, New Hampshire's DMV (or the Department of Safety as a whole) should think about using a technological system to assist the PBB process. Doing so would have its pros and cons. On one hand, a technological system could certainly help departments such as the DMV by centralizing the assessment process for each department. This easy-to-access hub of data would hold all assessment information in one place, keeping things more organized and making it easier to publish strategic plans and performance reports for personal and public use. Still, implementing of this type of system would also be more costly in the short run.

8.4. Summary

In this section, we have presented three notable cases where entities like New Hampshire's DMV used performance-assessment systems, with varying results. Vermont's DMV attempt has been relatively unsuccessful due to a strategic approach that lacked some specificity and direction, along with inconsistency regarding measuring data. Conversely, Oregon and Iowa's Departments of Transportation have been viewed more favorably in their efforts because they are better organized and more transparent in their assessment endeavors. Although some aspects of performance-assessment implementation could be costly for New Hampshire's DMV, many of the strategies pursued by these states are relatively simple, inexpensive, and effective.



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9. DIVISION OF HOMELAND SECURITY AND EMERGENCY MANAGEMENT

The New Hampshire Department of Homeland Security and Emergency Management (HSEM) is with planning for, responding to, and recovering from natural or manufactured disasters. Although the majority of New Hampshire emergency situations are handled by local police and emergency services, HSEM steps in when a major disaster requires a coordinated, statewide response. When there is no on-going disaster, the agency is continuously planning and preparing for any potential threats. The department is divided into eleven sub-sections, including Emergency Planning, Hazardous Materials, and Bioterrorism, and employs approximately fifty people across its various sections.¹⁴⁸

Below are three case studies of different performance measurement systems of organizations similar to HSEM across the nation. The studies include brief historical background of the systems, how the performance measurement process works, costs of the system, and other vital information to understanding the use and effectiveness of these measurement systems.

9.1. Maryland State Stat

Started by Governor Martin O'Malley in 2006, StateStat is a performance measurement and management system based on CitiStat, a similar process implemented by O'Malley when he was Mayor of Baltimore. The purpose of StateStat is to make government agencies more accountable efficient with the use of data and collaborative meetings scheduled throughout the month. Governor O'Malley first developed fifteen measureable and concrete strategic policy goals. The goals can be grouped into four main categories of skills, security, sustainability, and health. They include:

- Create, save, or place residents into 250,000 jobs in Maryland by the end of 2012
- Improve student achievement, and school, college, and career readiness in Maryland by 25% by the end of 2015
- Increase the number of Marylanders who receive skills training by 20% by the end of 2012
- Reduce violent crime in Maryland by 20% by the end of 2012
- Reduce violent crimes committed against women and children by 25% by the end of 2012
- Make Maryland a national leader in homeland security preparedness by the end of 2012
- Restore the health of the Chesapeake Bay by 2020
- Double transit ridership in Maryland by the end of 2020
- Reduce per capita electricity consumption in Maryland by 15% by 2015



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- Increase Maryland's renewable energy portfolio to 20% RPS (renewable portfolio standard) by 2022
- Reduce Maryland's statewide greenhouse gas emissions by 25% by 2020
- End childhood hunger in Maryland by 2015
- Establish best in the nation statewide health information exchange and electronic health records adoption by the end of 2012
- Reduce infant mortality in Maryland by 10% by the end of 2012
- Expand access to substance abuse services in Maryland by 25% by the end of 2012¹⁴⁹

Most of these goals have numerical measures and specific periods associated with every effort, and have become the general guideline for associated agencies to develop more robust and meaningful strategic plans to meet the Governor O'Malley's set standard.

For New Hampshire's Homeland Security and Emergency Management division, Maryland's sixth goal, "*make Maryland a national leader in homeland security preparedness by the end of 2012*" is the most relevant and similar. We will take a deeper look at this specific goal expanded in the next section.

9.1.1. StateStat for Homeland Security and Emergency Management

In 2007, Governor Martin O'Malley introduced a set of twelve core capacities that help focus and define measureable objectives for Maryland's homeland security and disaster preparation entities. These goals are all aimed at enabling Maryland to become a national leader in preparedness and response. These twelve core capacities are:

- Interoperable Communications
- Intelligence/Information Sharing
- HAZ MAT/Explosive Device Response
- Personal Protective Equipment for First Responders
- Biosurveillance
- Vulnerability Assessment
- Training and Exercises
- CCTV (closed circuit television network)
- Mass Casualty/Hospital Surge
- Planning
- Backup Power and Communications
- Transportation Security¹⁵⁰

One of the greatest challenges of measuring performance or effectiveness of a homeland security or emergency management agency is that the entities are constantly preparing for the next disaster or emergency, whatever it may be. It is therefore difficult to empirically



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capture how “prepared” an entity is for a future crisis. However, it was the view of the Governor’s office that by pursuing and fulfilling the above twelve basic core capacities, Maryland will become a leading example of Homeland Security in the nation because others states may not have *all* of these comprehensive qualities to their systems.¹⁵¹

9.1.2. *StateStat Office under Governor Martin O’Malley*¹⁵²

The StateStat office in Maryland is part of the Governor’s office, and is headed by Beth Blauer. She has eight analysts in her office, which are grouped and given portfolios of agencies with similar functions and purposes. These analysts are in charge of collating and producing a data template before every weekly, bi-weekly, or monthly meeting with their respective agency responsibilities. These analysts are always present at StateStat meetings relevant to their portfolios, and have designated contact persons in each of the agency offices who collect and collate the necessary data for the StateStat analyst. These contacts are also tasked with answering questions or clarifying any issues the analyst may have.

9.1.3. *StateStat Process*

When StateStat was created, analysts approached every agency and asked for information about what data was already being collected internally. Most of this data is now included in the data templates put together before every StateStat meeting. However, the StateStat office has recommended certain metrics be added or removed from templates over time based on need or requirement. All of the agencies collect their own data, and since the StateStat office and the agencies have agreed on what data will be reported and when, it is up to each agency to transfer this information to the StateStat analysts before their scheduled meetings.

After the StateStat analysts receive the data, they load the information into templates, which are then published on Maryland’s StateStat website. Based on the data, the analysts then develop an executive memo, which can include charts, graphs, or maps, and then analyze the data available to them. These memos are not given to the agencies before the meetings. The agencies do receive follow-up memos, however, between meetings that ask them to be prepared to address certain issues at the next meeting. While the agencies are not officially informed about the issues that will be raised in the next meeting, they should have some idea based on the data they reported. Each agency then typically has an internal briefing for the agency secretary to prepare him or her for the next StateStat meeting.



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9.1.4. *StateStat Meeting*

The frequency of each agency's StateStat meeting is dependent on necessity. However, each agency knows beforehand when their meetings are, and these take place consistently.

A typical meeting consists of the secretary of each agency¹⁵³ (which in Maryland is the equivalent of a division director), the StateStat office director Beth Blauer, the StateStat analyst assigned to that agency, a budget analyst from the agency, a representative from the Governor's office, and any other relevant staff members who can speak to issues or agenda items at the meeting. The Governor will oftentimes also be present at these StateStat meetings, and will offer commentary based on published data templates and executive summaries of each agency. In NH, this role would likely be played by the Commissioner, as strategic planning and performance assessment will be handled at the department-level.

Visual projections of the data, including tables, charts, or quick facts, are the basis of each meeting. The discussions and follow-up questions are driven by the data, which relate to progress, or highlight certain problems or issues that should be addressed. Oftentimes, StateStat meetings aim to facilitate conversations among various agencies that have a common goal, but in the past have failed to communicate with each other. The general mission of each meeting is to understand the data presented, address any concerns that arise from this analysis, and develop a plan for future action.

9.1.5. *Merits of StateStat*

The essence of StateStat is that it puts different groups of people in a room together to have difficult conversations about the progress they are making towards one of the Governor's fifteen policy goals or an objective of the organization itself. It is a collaborative environment where the StateStat office analysts act as a resource and expert on the data presented to ensure the meetings are efficient and effective.

StateStat itself is not a very expensive system to maintain—other than the wages of the analysts and director, StateStat does not have much overhead, except for the few offices they occupy in a federal government building in Annapolis, Maryland. Nevertheless, the amount of money and time they have saved the Maryland government over the last few years shows how important they are to maintaining the quality and accountability of agencies of government. They also provide a transparency to the public by publishing all of their data templates and executive summaries on the StateStat website. Maryland's system seems to be relatively low in cost and maintenance, but provides many benefits, and is a prime model of performance measurement at its best.



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Given the challenges associated with developing specific, quantifiable indicators for emergency preparedness, the StateState model is particularly well-suited to NH HSEM. Regular meetings maintain the organization's focus on achieving its goals, and allow for consistent tracking of performance using a more qualitative approach.

9.2. *FEMASat*

The Federal Emergency Management Agency (FEMA) first became part of the U.S. Department of Homeland Security (DHS) on March 1, 2003, and its mission is “to support our citizens and first responders to ensure that as a nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards”.¹⁵⁴

FEMA's Strategic Plan for Fiscal Years 2011-2014 report introduced FEMASat, a new system implemented in 2011 to “enhance integration among FEMA's strategy, budget, and personnel resources, and performance management processes, and to demonstrate the outcomes being achieved through Agency activities meaningfully.”¹⁵⁵ The system is roughly based off other Stat systems like CompStat in New York and CitiStat in Baltimore, but is significantly different in function. Governments are naturally split into different sections to increase efficiency and effectiveness. However, there still needs to be a setting where these various parts then come together and have a collaborative conversation updating and cooperating together to ensure the goals of the organization are collectively being met.¹⁵⁶

9.2.1. *FEMASat 1.0*

FEMASat started in 2011 with meetings component by component.¹⁵⁷ It pushed these divisions to take a very hard look at what was being done, how the component was tracking what was being done, how this information trickled down to the employees, and how the component was holding its workers and itself accountable for its mission and goals.

9.2.2. *Presidential Policy Directive 8 (PPD-8)*

On March 30, 2011, the Presidential Policy Directive 8 related to national preparedness was announced. The directive included two deliverables, the National Preparedness Goal, and the National Preparedness System, which were recently submitted by the Secretary of Homeland Security in September and November 2011, respectively.

The National Preparedness Goal is summarized as, “[having] a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the



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greatest risk.”¹⁵⁸ It goes further to establish five core capabilities that will enable the DHS to achieve its laid out goal. These five capabilities are:

- Preventing, avoiding, or stopping a threatened or an actual act of terrorism
- Protecting our citizens, residents, visitors, and assets against the greatest threats and hazards in a manner that allows our interests, aspirations, and way of life to thrive
- Mitigating the loss of life and property by lessening the impact of future disasters
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and a sustainable economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by a catastrophic incident

In short, these five capabilities can be summarized as *prevention, protection, mitigation, response, and recovery*. Each of these five approximately aligns with FEMA’s component structure. Because of PPD-8, FEMASat is undergoing a shift in direction at the start of 2012. This new system is called FEMASat 2.0.

9.2.3. FEMASat 2.0

The main difference between FEMASat 1.0 and 2.0 is that instead of having component-by-component driven conversations, the organization is shifting to having capability-by-capability conversations that involve multiple entities or actors involved in the five capabilities outlined in the National Preparedness Goal. In 2011, FEMASat was first tasked with having a conversation with each component about the high priority issues at hand. FEMASat would also review the component’s performance measures. Then, the FEMASat office quantified components’ budgets and staff to see if there was an appropriate distribution of personnel to achieve the greatest “level of effort.” The last step was to assign action items to each component.

However, in FEMASat 2.0, the core of the meetings and conversations will not try to tackle as much all at once. Each component is limited to four specific issues. These issues also have to connect to the strategic plan and PPD-8. If those issues already have performance measures established, FEMASat will utilize those. Nevertheless, the process does not involve analyzing entire budgets or talking about every performance measure. Action items will still be assigned in the end. Most importantly, the meetings are run on a capability basis, so rather than having meetings with components individually, everyone involved in a common goal of prevention, protection, mitigation, response, or recovery are brought together in order to facilitate collaborative conversations about common branches of FEMA.



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FEMASat 2.0 abandons some of the past data driven commitment to performance measures, which are now addressed in a separate weekly venue called the Internal Collaboration meeting. This is when all components present all of their performance measures every single week.

9.2.4. *FEMASat Process*

The process begins when the FEMASat staff meets with each component, and establishes what is known as a “FEMA collaborative agreement.” The agreement outlines the most important discussion points for the next few years, and each item is assigned ownership to someone in the component. A schedule of engagement is then published so that everybody is clear about what is to be done, who is going to do it, and when it is going to happen. FEMASat develops the slides presented at each meeting, and these are public within FEMA. It will also do a pre-brief for each component presenter before a particular meeting, and that individual will give any feedback to improve the slides. FEMASat then corrects and alters the presentation to the specifications of the component representative.

The next step is another pre-brief with the Deputy Administrator that only FEMASat attends. The director of FEMASat then has a conversation with the deputy administrator on what the presentation covers, what the message of the component will be, and any other obvious concerns that should be shared. Although the conversation excludes the component¹⁵⁹, FEMASat briefs the component immediately afterwards, however, and gives updates about the Deputy Administrator’s questions or concerns. This is to prepare the components for the conversations that will occur at the meeting so everyone is prepared with answers and information to back their responses.

9.2.5. *FEMASat Meeting*

The room is set up with a large conference table, and big screens around the room. Every regional administrator calls in to every call. The component administrators attend, along with senior staff, and anybody else involved in preparing or presenting for the briefing. FEMASat is also in attendance. The component representative then gives his or her presentation, and discussion and follow-up questions evolve from there.

9.2.6. *Federal Stat System vs. State/Local Stat System*

The FEMASat system is different than other state or local Stat systems because of one critical aspect. FEMA, as a federal agency, is in charge of a lot of the facilitation of local or regional areas to prepare, react, and recover from disasters. All of the data FEMASat uses is collected and report from the lower levels. There has been an effort to make that cultural shift for local or state emergency management entities to use data to drive performance measurement. However, the important difference between FEMA, and its



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performance measurement system, is that federal agencies facilitate, and do not direct like lower level agencies do. This is an important idea to keep in mind, because it does shape FEMAStat in a way that may not be fully comparable to a performance measurement system of a state division, like New Hampshire's HSEM.

9.3. Emergency Management Accreditation Program (EMAP)

The Emergency Management Accreditation Program (EMAP) is an “independent non-profit organization seeking to foster excellence and accountability in the fields of emergency management and homeland security by establishing credible standards of excellence that can be applied in an objective peer review process [that is voluntary for state and local jurisdictions].”¹⁶⁰

EMAP focuses on entire homeland security and emergency management programs, and assess the departments as a whole. It then applies a three-tiered accreditation process that begins with a self-assessment of compliance, which is supplanted with written documentation for proof of compliance, and then an on-site peer review assessment evaluation.

To date, several states that have been accredited, including Vermont, New Jersey, New York, Pennsylvania, Massachusetts, Maryland, and Iowa.¹⁶¹

9.3.1. EMAP Process

The EMAP process is divided into ten steps:

- 1) requesting information
- 2) program subscription
- 3) self-assessment
- 4) application for accreditation
- 5) preparation for on-site assessment
- 6) on-site assessment and report
- 7) committee review and recommendation
- 8) commission consideration
- 9) accreditation maintenance
- 10) reaccreditation.



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The first step in the EMAP process is for a prospective participant to request information. This can either be done through the website *www.emaponline.org*, by mail, or by email. The information materials include guides and brochures about the accreditation program, a process guide, summary of relevant policies and directives, and other information helpful to a program seeking participation in the accreditation process.

The next step is then program subscription that is valid for one full calendar year. This allows access to EMAP's online assessment tool, a thirty-minute Webinar training session about the EMAP website and the various tools on the site, EMAP staff support, and a guaranteed spot in the next EMAP *Accreditation/Assessment Manager Orientation Course*.

After subscribing to the program and deciding to pursue accreditation, the next step for is the self-assessment phase. After appointing an Accreditation Manager who will oversee the self-assessment, the applying program will compare its Homeland Security and Emergency Management program to the EMAP standards using the online Program Assessment tool. The self-assessment consists of uploading proofs of compliance onto the site's application. Once this is complete, the Accreditation Manager submits the self-assessment to EMAP for review. After the self-assessment is reviewed, the Accreditation Manager will begin planning for the onsite assessment.¹⁶²

When the applicant applies for accreditation, it submits the accreditation application form, notice of intent, and payment to EMAP. EMAP will then schedule and coordinate an on-site assessment of the program. Eligibility is based off successful completion of the self-assessment, and must be a state, local, or regional program.

After the application for accreditation has been filed, the Accreditation Manager and EMAP staff will begin planning together for the on-site assessment. Once dates for the assessment have been set¹⁶³, EMAP will select a Team Leader and trained assessors from the EMAP Assessor Cadre. The Assessment Team consists of state, local, and regional emergency management professionals, lead by a Team Leader from a Program of comparable size and scope to the candidate program. The candidate then approves this team and EMAP staff members develop a tentative working interview and review schedule. The on-site assessment then takes place, and a final report is written and submitted to the Review Committee.¹⁶⁴

The Review Committee receives the report about sixty days after the on-site assessment. The candidate program can also attach additional comments to the committee to be considered. At its bi-annual meetings, the Review Committee typically requests representation from the candidate program in person or virtually in case any questions come up during review.



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The Program Review Committee first reviews each candidate individually, and then comes together to discuss any areas of concern. In the end, the Review Committee will make one of three decisions about the Emergency Management candidate program and recommend this to the EMAP Commission: Accredited, Conditionally Accredited, or Accreditation Denied.¹⁶⁵ However, the EMAP Commission will review the Review Committee's recommendation and make the final decision regarding accreditation.

“Accredited” candidates mean the program is in full compliance with all standards of the Emergency Management Standard by EMAP. “Conditionally Accredited” signifies that the program is still short of the compliance standards, but has potential to do meet them with additional effort. During a special conditional accreditation period, the accreditation candidate must remedy any weaknesses or non-compliant portions of their program, and submit a plan of action submitted to be approved by the Commission. The last option, “Accreditation Denied” means the accreditation candidate was non-compliant with all EMAP standards, and the program is not in an appropriate place to do so in the next nine months. The Commission will provide feedback about the program's deficiencies so that it can work toward improvement and compliance in the future.

Once a program achieves full accreditation, it must maintain its status by keeping its proofs of compliance current. The program must also submit an annual report informing EMAP of any significant changes in the organization that could affect degree of compliance. This process not only enables programs to maintain the quality of its program, but will also aid the program after the five-year accreditation period ends, and it must be reaccredited.

9.3.2. *Costs associated with EMAP*

The monetary costs associated with EMAP occur at two steps in the process. In order to subscribe to EMAP for one full calendar year, the candidate program must pay \$450, but this subscription is renewable for a five percent discount if received 30-days before the subscription expires. The accreditation program candidate must also pay the cost of the assessor teams' travel, hotel, and administrative costs of \$5,500 and other related fees.

From a personnel standpoint, EMAP provides the assessors, so as long as the Homeland Security and Emergency Management team can provide an Assessment Manager, and allow for one week of on-site assessment, the process seems relatively streamlined.

9.4. *Summary*

When comparing the above three case studies, it is clear that there are many common themes in performance measurement systems, but each are unique because of the state, organization, or client. While StateStat and FEMAStat are both Stat programs, one is for



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state government and another is for a division of a Federal agency, and both operate differently. StateStat is almost purely data driven, and the meetings are planned and revolve around information from the data template. At FEMASStat, however, the individual components are not reporting evidence to the FEMASStat office, but the meetings are run based on capability and the PPD-8. However, it is true that in both situations the reason why performance measurement is possible and effective is that the divisions or agencies have clearly laid out a solid foundation of goals and missions to accomplish over the next several years, and a method of data-linked processes to measure this type of progress.

EMAP is a different type of system because it invites an outside party to review and conclude the status of the emergency management program. It is not a system of internal evaluation, and it is based on standards developed by EMAP, rather than by the homeland security and emergency management program itself. However, EMAP is similar to the Stat programs in that it requires data, in whatever form they believe necessary, to prove compliance or progress toward compliance of a list of specific standards. The main trend here is that for any successful performance management system, there have to be distinct measures tied to goals or missions of the organization, and everything the entity does should tie in to the overall vision or end goal. While it is difficult to determine concrete measurements for homeland security and emergency management programs, it is more feasible by splitting tasks into small portions and developing creative ways to measure progress through empirical data or easily definable and non-subjective ways to view preparation for a disasters or emergencies.



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10. CONCLUSION

This report has presented two distinct, but related, bodies of research. The first dealt with strategic planning and its relationship with goals, objectives, and metrics, and presented department-wide performance measurement systems that could be implemented across all divisions. The second body of research included the seven sets of case studies, one for each division, investigating best practices for performance measurement system design and implementation, including the specific metrics adopted by our divisions' counterparts in other states.

At the crux of successful performance measurement systems is the linkage between a detailed strategic plan and purposeful data collection. A strategic plan informs an organization's goals, which are comprised of multiple objectives; specific measurements are then used to monitor and track progress of the department and division towards its objectives, goals, and, ultimately, the fulfillment of its strategic vision.

From the top-most level, the Department of Safety must decide what type of measurement system it feels is appropriate and feasible to implement across all the divisions as a cohesive unit. However, the selection of such a system, and certainly its design and implementation at objective- and measurement-stages within the divisions, is dependent upon a coherent strategic plan at the department level, with consistent plans at each division. Metrics without objectives, just as goals without a strategic plan, amount to little more than raw data, or white noise.

For the strategic planning and performance measurement effort to be successful, the following elements are necessary:

- Executive leadership
- Adequate communication between all participating parties
- Long-term commitment and realistic expectations
- Organized, clear goals and objectives, supporting a coherent strategic plan
- Regular check-ups
- Use of performance measures in evaluation and resource allocation

Applied to New Hampshire, the Safety Commissioner plays an integral role in the effectiveness of such a performance measurement system, especially given the lack of a statewide performance measurement system, wherein the governor would ordinarily play the role of "enforcer." With the cooperation of the directors, the Commissioner will help to defining for the entire department what the priorities and direction of the organization is and will be in the future. Without this type of command from the top, the subsequent divisions will have a more difficult time in developing their own strategic plans if they do not understand how they fit into the DOS's main mission and function for the next several years.



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Strategic plans should be developed at both the Departmental level and division level, however at lower levels, the plans must relate and connect to the overall organizational plan. The best strategic plans are detailed with multiple levels breaking missions down into goals, objectives, and specific and quantifiable measurements. The department strategic plan should focus on its role as an umbrella organization for the other divisions. At the division level, the strategic plans should be much more detailed and involved with specific functions and activities of the organization. The Commissioner's role in the division strategic plans is to ensure compliance with the strategic planning system (e.g. attendance and meaningful contributions in regular State-stat style meetings) goals, and to encourage progress on specific metrics and towards the department's overarching vision.

Strong performance measurement systems have also included communication with the public, through both public input (at the planning stage) and information provision (at the measurement stage). Annual reports are one extant mode of communicating performance, but other states have found relatively inexpensive ways of communicating more data about performance, often down to specific metrics, through web-based databases.

Performance measurement systems are helpful for organizations because they enable the agency to reflect on their missions and effectiveness in achieving their goals. The best way to identify whether this goal was met is to have concrete and quantifiable data that provides evidence. That is why performance measurements must be carefully identified and tracked. Ultimately we hope that whatever type of system the Department of Safety decides to implement will be useful and functional, and enable the department and its subparts to improve their effectiveness in helping and supporting the community and state of New Hampshire.



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APPENDIX

Appendix I:

GOAL 1 - QUALITY IMPROVEMENT

Guarantee the highest levels of service and quality by implementing an oversight program that ensures the qualifications, currency, and accountability of all instructors and curricula. This effort shall also include improved course material, course delivery, instructor registration, and incorporate an innovative research and development plan that keeps pace with technology through the next generation of all-risk emergency services. The primary purpose behind quality improvement is to provide a satisfactory training and educational experience for participating students.

Instructors are the ambassadors and representatives of the SFT program; as such, they need to possess the knowledge, skills, and abilities to deliver the training in a contemporary, challenging, and credible manner. SFT will achieve quality instruction by enforcing the instructor code of ethics and instructor qualification requirements. By having SFT staff in the field, instructors will realize they have support from the training system they represent.

Institutions, agencies, and organizations that sponsor SFT programs should ardently enforce the policies of the program with respect to using appropriate curricula, choosing quality instructors and sponsoring their ongoing development, evaluating and testing students, providing modern training facilities, equipment, and supplies that support learning. Here again, SFT needs to have the staffing in order to audit and oversee these activities.

Students who attend training should encounter a program that challenges them to grow and learn, a program that motivates them to approach the learning experience with enthusiasm and return for more of the same. Students should expect an elevated ethical standard that favors those who are willing to work for their grades and certifications. This will reestablish value and pride in their personal accomplishments.

GOAL 1: IMMEDIATE ACTION ITEMS

Implement an Oversight Program

- Establish an oversight program to monitor instructors, courses, and delivery sites.
- Develop currency and continuing education requirements for instructors.
- Develop oversight program procedures.
- Identify geographical work areas.
- Develop employee specifications.
- Hire Training Specialists at the appropriate level, one for each work area, and train them to perform the oversight tasks. As they come "on-line," have them conduct "pilot" evaluations, with appropriate feedback.

Ongoing monitoring will result in an increased confidence in the quality of the program. Currency requirements and continuing education requirements will add revenue to the State Fire Training system. Similar requirements for the law enforcement community have helped maintain revenue for the Peace Officer Standards and Training (POST) program.





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Improve Course Materials and Course Delivery

- Update the certification training standards, revise the course objectives and outlines, and adopt commercially available text materials that come with proper instructor assistance and support the course outlines for the following:
 - Chief Officer
 - Fire Marshal
 - Fire Officer
 - Fire Apparatus Driver/Operator
 - Public Education Officer
 - Fire Fighter
 - CICC
 - The OSFM, in cooperation with the California Incident Command Certification System (CICC) Advisory Committee, will seek to develop training exercises and simulations as alternative methods for local government fire service personnel to demonstrate competencies for position qualifications.
 - Implement voluntary qualifications recordkeeping and tracking processes, including software applications.

GOAL 1: MIDRANGE ACTION ITEMS

① Curriculum

- Ensure a process of consistent and ongoing curriculum development, manipulative training, and academic education.
- Implement a system, using the regulatory format, to maintain curriculum and instill verifiable professional standards for all fire service courses.
- Recognize California's specialized training needs, such as in the WUI and fire prevention arenas.
- Categorize the curricula that meet national standards.
- Formulate student-learning outcomes and approve curricula.

② Accreditation Performance Audit

- Participate in an accreditation performance audit using a national accreditation program. This action will provide the gap analysis necessary to correct shortcomings and ensure that the program stays on track for success.
- Complete the accreditation performance audit and receive the accreditation report.
- Based on the report findings, prepare an action plan (update of the strategic plan) to address the recommendations from the report.
- Seek administrative and legislative support for the plan as needed.
- Adjust the program as much as possible to meet the recommendations.
- Complete a second accreditation performance audit and receive the accreditation report.
- Prepare for accreditation review on a quinquennial basis.

GOAL 1: LONG-RANGE ACTION ITEMS

- In conjunction with the audit program, constant review of the curricula, teaching, and especially the testing process is necessary to maintain program credibility.

Sources: CAL FIRE and OSFM



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Appendix II: Performance Measurement Description Example

Measure 3 of 3

Average response time to emergency calls Last Modified: 01-Jan-08

Measure Methodology

The response time is calculated from the time an incident is entered into the Computer-Aided Dispatch system until the time a unit arrives at the scene. Only incidents that meet the following criteria are included: 1) The incident is entered by the communications center; 2) The primary unit is marked on scene with the dispatcher; 3) The call type is an emergency priority; 4) The call is handled by a unit assigned to one of the BFO areas. Calls handled by Medflight are not included. Times are displayed in minutes and tenths of a minute format.

Measure Type
Outcome

Preferred Trend
Down

Class
Key

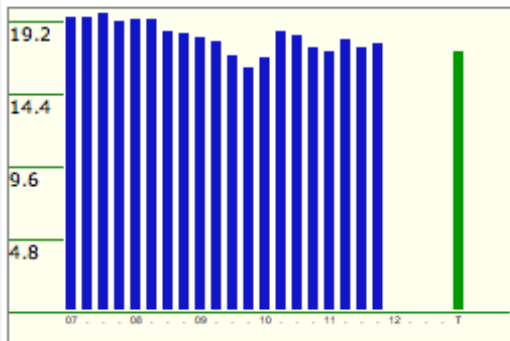
Value	Date	Description
16.7	6/30/2012	Decrease the average response time to 16.7 minutes in FY2011 and FY2012.

Explanatory Note

Vacant positions continue to impact this measure.

Measure Data

	Q1	Q2	Q3	Q4
2007	18.9	18.9	19.1	18.6
2008	18.8	18.8	18.0	17.8
2009	17.6	17.3	16.4	15.6
2010	16.3	18.0	17.7	16.9
2011	16.7	17.5	16.9	17.2
2012				





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Appendix III

TRANSPORTATION, DEPARTMENT of		II. KEY MEASURE ANALYSIS
KPM #24a	DMV Customer Services: Field office wait time (in minutes).	1998
Goal	ODOT Goal #5: Stewardship -- Maximize value from transportation investments, Customer Service -- Provide excellent customer service	
Oregon Context	Government performance and accountability	
Data Source	Driver and Motor Vehicle Services Division, ODOT	
Owner	Driver and Motor Vehicle Services Division, ODOT, Aaron Hughes, 503-945-5596	

Field Office Wait Time (in minutes)
Bar is actual, line is target

Year	Actual Wait Time (minutes)
2002	13.80
2003	13.60
2004	13.90
2005	11.80
2006	11.90
2007	11.60
2008	10.70
2009	8.70
2010	9.30
2011	
2012	
2013	

Data is represented by number

1. OUR STRATEGY

To continually increase efficiency and remain flexible to improve customer service. Make decisions based on customer input to maximize timeliness, customer satisfaction and economic efficiency. Activities associated with this general strategy include making decisions about shifting



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Appendix IV

CORE FUNCTION

Name: Regulation and Compliance

SERVICES/PRODUCTS/ACTIVITIES

Name: Driver Services

Description: Annual number of Graduated Drivers License/Older Driver classes

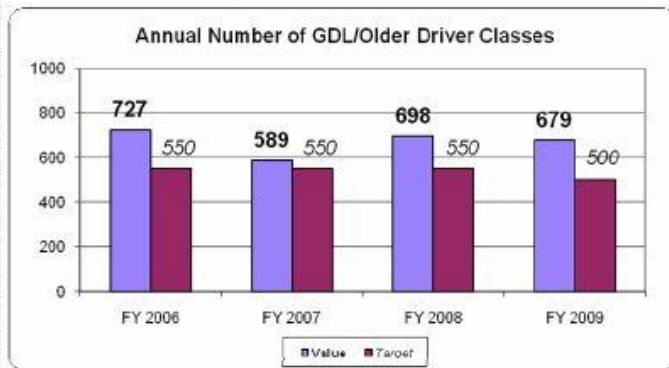
Why we are doing this: These classes represent a significant public outreach program to the two highest risk groups of drivers in the state.

What we're doing to achieve results: We have trained all of our examining staff and supervisors to conduct these presentations and continue their training on effective public speaking.

Results

Performance Measure:
Annual number of
GDL/older driver classes.

Performance Target:
The current performance
target is 550.



What was achieved: We exceeded our performance target. Driver Services sustained its commitment to cordial and informal presentations of driver licensing and safe driving information to these two high risk driver groups. Our examining staff also benefit from these casual interactions, developing increased understanding and empathy for stress and fear that can be associated with the driver licensing process.

Data Sources: Motor Vehicle Division records

Resources: Funding source - Road Use Tax Fund



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Appendix V

Measure Type and ID Number	Measure
Attribute 1.1(S)	Emergency Medical Dispatch Type
Attribute 1.2(S)	Emergency Medical Dispatch Impact on Response Mode
Attribute 1.3(S)	Emergency Medical Dispatch Impact on Response Level
Indicator 2.0(HR) INTERIM	Annual Turnover Rate
Indicators 3.1(CC) and 3.2(CC)	3.1- Average Defibrillation Time 3.2- 90 th Percentile Defibrillation Time
Indicators 4.1(CC) and 4.2(CC)	4.1- Average Initial Rhythm Analysis Time 4.2- 90 th Percentile Initial Rhythm Analysis Time
Indicator 5(CC) INTERIM	Major Trauma Triage to Trauma Center Rate
Indicators 6.1(CC), 6.2(CC), and 6.3(CC)	6.1- Pain Relief Rate 6.2- Pain Worsened Rate 6.3- Pain Unchanged Rate
Indicator 6.4 (CC) PARKED	Pain Intervention Rate
Indicator 7(CC)	12 Lead Performance Rate
Indicator 8(CC)	Aspirin Administration for Chest Pain/Discomfort Rate
Indicator 9(CC) INTERIM	ST Elevation Myocardial Infarction (STEMI) Triage to Specialty Center Rate
Indicators 10.1(R) and 10.2(R)	10.1- Mean Emergency Patient Response Interval 10.2- 90 th Percentile Emergency Response Interval
Indicators 10.3(R) and 10.4(R)	10.3- Mean Emergency Scene Interval 10.4- 90 th Percentile Emergency Scene Interval
Indicators 10.5(R) and 10.6 (R)	10.5- Mean Emergency Transport Interval 10.6- 90 th Percentile Emergency Transport Interval
Indicator 11(F) PARKED	Per Capita Agency Operating Expense
Indicator 12(Q) PARKED	Patient Care Satisfaction Rate
Indicator 13(Q)	Patient Care Satisfaction Survey Rate
Indicator 14(Q)	Rate of Appropriate Oxygen Use
Indicator 15(Q)	Undetected Esophageal Intubation Rate
Indicator 16.1(Q)	Delay-Causing Crash Rate per 1,000 EMS Responses
Indicator 16.2(Q)	EMS Crash Rate per 100,000 Fleet Miles
Indicators 16.3(Q) and 16.4(Q)	16.3- EMS Crash Injury Rate per 100,000 Fleet Miles 16.4- EMS Crash Death Rate per 100,000 Fleet Miles
Attributes 17.1(CD) and 17.2(CD)	17.1- Call Complaint Distribution 17.2- Call Complaint Rate
Indicators 18.1(CC) and 18.2(CC)	18.1- EMS Cardiac Arrest Survival Rate to ED Discharge 18.2- EMS Cardiac Arrest Survival Rate to Hospital Discharge



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¹⁴⁴ Ibid, pp. 1, 3, 6

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¹⁴⁸ "Welcome!" *Homeland Security and Emergency management*. New Hampshire Government, Web. 28 Oct. 2011. <<http://www.nh.gov/safety/divisions/hsem/>>.

¹⁴⁹ "Governor O'Malley's 15 Strategic Policy Goals." *Governor Martin O'Malley's StateStat*. Maryland State Government, n.d. Web. 13 Jan. 2012. <<http://www.statestat.maryland.gov/gdu.asp>>.

¹⁵⁰ Maryland . Governor's Office of Homeland Security. *Plan For Making Maryland The National Leader In Homeland Security Preparedness By 2012*. Maryland Government, Mar. 2010. Web. 13 Jan. 2012. <<http://www.statestat.maryland.gov/GDU/6SecurityDeliveryPlan.pdf>>.

¹⁵¹ This strategic plan shows us that included in Maryland's Homeland Security response units are first responders, police, bomb response teams, fire fighters, emergency medical providers, and other services. All of these components do reside in New Hampshire's Department of Safety, but not necessarily in HSEM. While Maryland's Office of Homeland Security is not structurally the same as New Hampshire's HSEM, it is still valuable to understand how Maryland's StateStat process works as



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a performance measurement system, and then how this would apply to a homeland security and emergency management agency like HSEM.

¹⁵² Blauer, Beth. Personal interview. 20 Dec. 2011. All sections about StateStat's process, meeting procedures, and merits can be cited from Ms. Blauer.

¹⁵³ Some StateStat meetings take place with multiple agencies that.

¹⁵⁴ "About FEMA." *FEMA*. U.S. Government. Web. 3 Nov. 2011. <<http://www.fema.gov/about/>>.

¹⁵⁵ FEMASat is a performance-based management process, which involves a series of meetings every few weeks involving FEMA's leadership team, including Deputy Administrator and other top managers of different components and regions. During these meetings, participants analyze collected data to determine if the Agency subdivisions are successfully meeting their goals set out each year. The meetings allow leadership to trickle down feedback on progress towards achieving outcomes, follow-up on previous decisions and commitments, to examine each individual program's efforts to improve performance, to identify and solve any observed problems in performance or management, and to set and achieve new performance targets or measures. FEMA Strategic Plan, 21.

¹⁵⁶ Hewgley, Carter. Personal interview. 22 Dec. 2011. All information about FEMASat can be cited to this source.

¹⁵⁷ Components at FEMA are the equivalent of major divisions or sections of an organization. These include *Protection and National Preparedness, Mission Support, Federal Insurance and Mitigation Administration, Response and Recovery, etc.* (See FEMA Organization chart in the Appendix for reference).

¹⁵⁸ Department of Homeland Security. Federal Emergency Management Agency. *National Preparedness Goal*. Washington D.C. PDF file.

¹⁵⁹ The reason the component is excluded from the pre-brief meetings with the Deputy Administrator is to ensure that a candid conversation can happen, and real problems and issues can be raised honestly.

¹⁶⁰ "EMAP Overview Module." N.d. PDF file.

¹⁶¹ A full map of which states or regions are accredited by EMAP, please see Appendix

¹⁶² A new optional step instituted in EMAP is for those that do not find full compliance during their self-assessment phase, called the Pre-Assessment step. If the program finds it is non-compliant in one or more areas and would like the assistance of EMAP assessors to overcome these deficiencies, EMAP can provide an initial on-site review prior to scheduling the official on-site assessment. The EMAP assessors will give the accreditation candidate a summary of their program's strengths and weaknesses, and help them develop a concrete plan for developing and instituting corrective actions. Programs that utilize the Pre-Assessment step are expected to schedule and complete an onsite assessment within 9 months after the on-site visit.

¹⁶³ Assessments usually take one full work week.

¹⁶⁴ Programs are given a 30 day window after the on-site assessment to submit additional materials and proofs of compliance they did not provide during the on-site assessment. These supplemental materials will be reviewed and assessed and then integrated into the final report. If a Program chooses not to submit supplemental materials, this step is skipped and the report goes directly to the EMAP Program Review Committee for their consideration.

¹⁶⁵ The Commission at EMAP is the ultimate decision making body for accreditation and standards development. They are composed of 10 individuals who are appointed by both the National Emergency Management Association (NEMA) and the International Association of Emergency Managers (IAEM). The Commission also represents various constituencies including directors of state and local Emergency Management programs, state elected officials, local elected officials, academia and the private sector.