VERMONT

Results Based Accountability

(Legislative Leadership Presentation – micro-mini basics)

For State of Vermont internal training and reference use.
Issued by: The Agency of Administration, Office of the Chief Performance Officer

Contents based on _Trying Hard Is Not Good Enough_, by Mark Friedman and material from the Fiscal Policy Studies Institute, Santa Fe, New Mexico

Results Accountability Performance Measure Budget History

- **January 2014:** FY 2015 Governor's Budget Recommendation Performance Measure pilot ~ providing performance measures for 13 programs/activities across 11 departments;

- **June 2014:** Act 186 passed and signed into law
  - Overall 3 – 5 year timeline to get all major programs covered;
  - **July – October 2014:** Training 60 PALs across state government;

- **December 2014:** State Performance Accountability webpage added to http://spotlight.vermont.gov/.

- **January 2015:** FY 2016 Performance Measure Budget Program ~ (formerly the Pilot) providing performance measures for 41 programs/activities across 31 departments.

- **January 2015:** National Association of State Budget Officers Round-Table on Performance Management and Budget (14 states)

	FY 2016 Budget Development - Program Performance Measure Module			
	Department	**Program/Activity Area**	**# Prog.**	**DeptID**
1	Administration - Agency Secretary's Office	State Workers' Compensation Insurance	1	1100100000
2	Administration - BGS	Federal Surplus Property	1	1160200000
3	Administration – DII	Availability/Uptime of Critical Systems	1	
4	Administration – Finance & Management	Internal Controls Self-Assessment Program	1	1115001000
5	Administration - Human Resources	1) Classification Review; 2) State Employee Wellness Program	2	1120010000
6	Administration – Libraries	Resource Sharing: Interlibrary Loan Program	1	1130030000
7	Administration – Tax	1) Current Use; 2) refund fraud program, and 3) Top 100 compliance program	3	1140010000
8	Agriculture	1) Food safety and consumer protection; 2) Working Lands (Agriculture Development)	2	2200020000; 2200030000
9	Attorney General	Court diversion	1	2100002000
10	Commerce & Community Development	Tourism and marketing	1	7130000000
11	Education	1) Adult education and literacy; 2) Tobacco Litigation (youth)	2	5100060000; 5100170000
12	Financial Regulations	Insurance	1	2210011000
13	Green Mt. Care Board	Health Care Costs	1	3330010000
14	Human Services - Children & Families	General assistance	1	3440060000
15	Human Services - Corrections	Correctional Services	1	3480004000
16	Human Services - Dept. of Vermont Health Access	Vermont Chronic Care Initiative	1	3410010000
17	Human Services - Disabilities & Independent Living	TBI home and community based waiver	1	3460070000
18	Human Services - Health	ADAP	1	3420060000
19	Human Services - Mental Health	Vermont Psychiatric Care Hospital	1	3150070000
20	Judiciary	Dispute Resolution	1	2120000000
21	Labor	Apprenticeship Program	1	4100500000
22	Liquor Control	Enforcement and licensing	1	
23	Natural Resources - Environmental Conservation	Vermont Ecycles Program	1	6140030000
24	Natural Resources - Fish & Wildlife	Support & Field Services	1	6120000000
25	Natural Resources - Forests, Parks and Recreation	State parks	1	6130030000
26	Public Safety	Cannabis Registry	1	2140060000
27	Public Service Board	Public Good Requests	1	2250000000
28	Public Service Dept.	Consumer Impact	1	2240000000
29	Transportation - Motor Vehicles	Motor Vehicles Customer Service	1	8100002100
30	Transportation - Vtrans	1) Town highway bridges; 2) Paving Program; 3) Interstate Highway Bridge; 4) Safety & Traffic Operations; 5) Public Transit; 6) Rail Program.	6	8100001100; 8100002300; 8100002800; 8100005700
31	Treasurer	Unclaimed property	1	1260160000
		Programs/Activities Included	**41**	

What does this mean for Legislators?

Programs and Agencies have two kinds of responsibility:

1. **Program Management:** Produce best possible performance best outcomes for people served
2. **Community Leadership:** Bring together partners to make progress at the population level

Legislators also have two kinds of responsibility:

1. **Public Policy:** Set the direction and create the opportunity for partners across sectors to make progress at the population level
2. **Appropriation:** Support and sustain programs/initiatives that produce the best possible performance and outcomes for people served

Why Use Results Based Accountability?
Why Improve Performance?

- RBA is a framework for making complex change at a population level and for embedding continuous improvement into management practices at agencies, programs, and throughout service systems.

- Methodologies like the RBA Turn the Curve exercise, or Lean, etc. are all ways to improve performance using data, but RBA gives us a larger framework within which to understand the role that we all have to play in doing better for Vermonters.

- RBA Benefits:
  - To *improve quality of life and well-being* for Vermonters, and see *better outcomes* as a result of our programs and services;
  - Create capacity within existing programs and initiatives to *do better* without more money;
  - Share successful strategies across sector and collaborate to improve complex conditions of well-being in the state;
  - Embed continuous improvement practices at all levels of the organization – from Agency-wide to specific process;
  - Reform contracts/grants to be less prescriptive: specify *what outcomes* we want, not *how* to get it done;
  - Focus on quantifying progress for the whole state/population and quantifying progress in program performance aligns with effective strategic planning;
  - Encourages everyone to come to consensus on achievable results and to manage services to achieve those results.

Vermont Population Outcomes 2014 – Act 186

(1) Vermont has a prosperous economy.

(2) Vermonters are healthy.

(3) Vermont's environment is clean and sustainable.

(4) Vermont's communities are safe and supportive.

(5) Vermont's families are safe, nurturing, stable, and supported.

(6) Vermont's children and young people achieve their potential, including:

    (A) Pregnant women and young people thrive.

    (B) Children are ready for school.

    (C) Children succeed in school.

    (D) Youths choose healthy behaviors.

    (E) Youths successfully transition to adulthood.

(7) Vermont's elders and people with disabilities and people with mental conditions live with dignity and independence in settings they prefer.

(8) Vermont has open, effective, and inclusive government at the State and local levels

Results Accountability

Framework made up of two parts:

Population Accountability
about the well-being of
WHOLE POPULATIONS

For Communities – Cities – Counties – States - Nations

Performance Accountability
about the well-being of
CLIENT POPULATIONS

For Programs – Agencies – and Service Systems

Framework Language

DEFINITIONS
(Language Discipline)

POPULATION ACCOUNTABILITY

OUTCOME/RESULT

A condition of well-being for children, adults, families or communities.
Healthy children; Youth graduate on time; Families are economically stable.

INDICATOR

A measure which helps quantify the achievement of a result.
Obesity rates; Graduation rates; Median family income.

PERFORMANCE ACCOUNTABILITY

STRATEGY

A coherent collection of actions often implemented as, programs, initiatives, systems, and services that have a reasonable chance of improving results.
Let's Move, Promise Neighborhoods, CHOICE Neighborhoods, Voluntary Income Tax Assistance
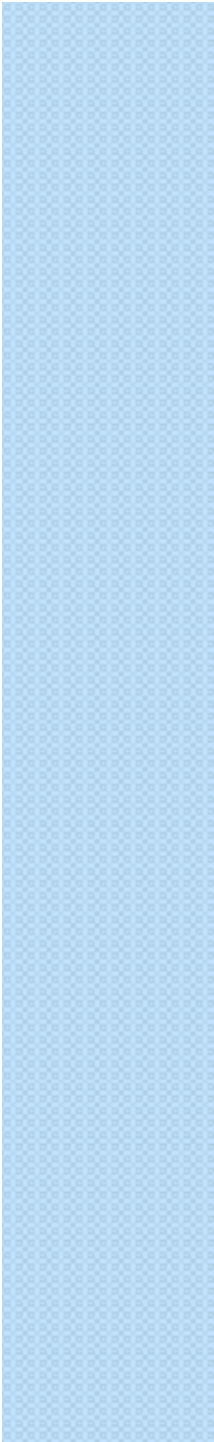
PERFORMANCE MEASURE

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

Three types:
1. *How much did we do?*
2. *How well did we do it?*
3. *Is anyone better off?*

= *Customer Results*

Results-Based Accountability™

"All performance measures
that have ever existed
for any program
in the history of the universe
involve answering two sets of
interlocking questions."

Performance Measures

Quantity	Quality
How Much did we do? (#)	**How Well** did we do it? (%)

Performance Measures

Effort

How hard did we try?

Effect

Is anyone better off?

Performance Measures

How	Effort How
Much	Well
	Effect

Performance Measures

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

Fire Department

	How much did we do?	How well did we do it?
Effort	Number of responses	Response Time

Is anyone better off?

Effect	# of fires kept to room of origin	% of fires kept to room of origin

Education

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

Transportation Assets Condition

<table>
<tr><td></td><td>Quantity</td><td>Quality</td></tr>
<tr>
<td>Effort</td>
<td>

How much did we do?

❖ No. of bridges:
- Interstate
- State Hwy
- Town Hwy

❖ # of State Roadway Miles

</td>
<td>

How well did we do it?

[could use:
on time
inspections]

</td>
</tr>
<tr>
<td>Effect</td>
<td colspan="2">

Is anyone better off?

</td>
</tr>
<tr>
<td></td>
<td>

❖ No. of bridges structurally deficient:
- Interstate
- State Hwy
- Town Hwy

❖ Miles of State Roadway w/very poor pavement

</td>
<td>

❖ % of bridges structurally deficient:
- Interstate
- State Hwy
- Town Hwy

❖ % of State Roadway Miles w/very poor pavement

</td>
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</table>

Corrections

	Quantity	Quality
Effort	How much did we do? **# Inmates**	How well did we do it? **Rate of overcrowding**
Effect	Is anyone better off? **# Recidivism**	**% Recidivism**

Agriculture – Working Lands

	Quantity	Quality
Effort	**How much did we do?** • # of Grantees • $ Granted	**How well did we do it?** • % Increase in Products Output
Effect	**Is anyone better off?** • $ Increase in Gross Income	• % Increase in Gross Income

Environmental Permit Program

	Quantity	Quality

Effort

How much did we do?	How well did we do it?
• # permits issued • # active permits requiring oversight	• # days for applicant to receive permit from time of application • % of applications incomplete on initial submittal • % of program staff participate in ongoing technical training

Is anyone better off?

Effect

• # pre-application technical assistance meetings • # site inspections competed	• % of sites in compliance with permits

Ecosystem Restoration Program

Quantity	Quality

Effort

How much did we do?	How well did we do it?
• # of state dollars awarded • # of federal dollars passed through • # of implementation projects funded • # of towns/organizations receiving assistance	• % of towns/organizations receiving assistance • % of total dollars awarded (as % of total requested) • ratio of dollars leveraged • ratio of presentations given to attendance

Is anyone better off?

• # of acres restored • # of acres treated	• % of acres restored • % of acres treated

Effect

Types of Measures Found in Each Quadrant

How much did we do?

Clients/customers served

Activities (by type of activity) ⟶

How well did we do it?

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

% Activity-specific measures
e.g. % timely, % clients completing activity, % correct and complete, % meeting standard

Is anyone better off?

\#

\# Point in Time vs. Point to Point Improvement

\#

\#

% Skills / Knowledge
(e.g. parenting skills)

% Attitude / Opinion
(e.g. toward drugs)

% Behavior
(e.g.school attendance)

% Circumstance
(e.g. working, in stable housing)

THE LINKAGE Between POPULATION and PERFORMANCE

POPULATION ACCOUNTABILITY

Healthy Births

Rate of low birth-weight babies

Stable Families

Rate of child abuse and neglect

Children Succeeding in School

Percent graduating from high school on time

PERFORMANCE ACCOUNTABILITY

Child Welfare Program

# of investigations completed	% completed within 24 hrs of report
# repeat Abuse/Neglect	% repeat Abuse/Neglect

Contribution relationship

Alignment of measures

Appropriate responsibility
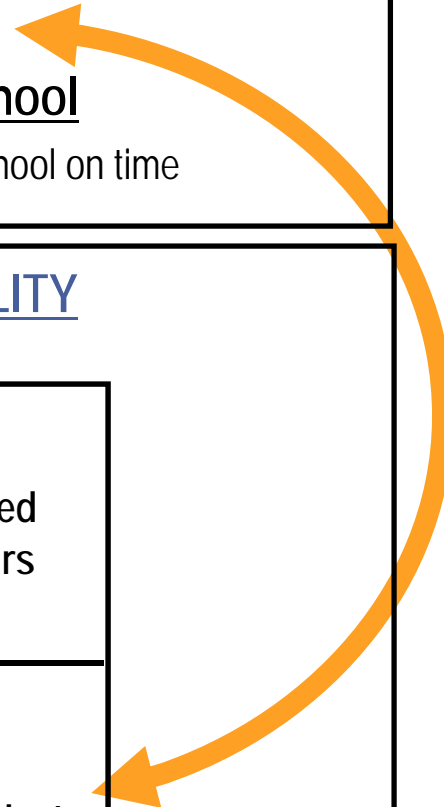
Not All Performance Measures Are Created Equal

Quantity	Quality
How much did we do?	How well did we do it?

Effort

Least Important	Also Very Important

Is anyone better off?

Effect

	Most Important

The Matter of Control

	Quantity	Quality
	How much did we do?	How well did we do it?
Effort	**Most** Control	
Effect	Is anyone better off?	**Least** Control

PARTNERSHIPS
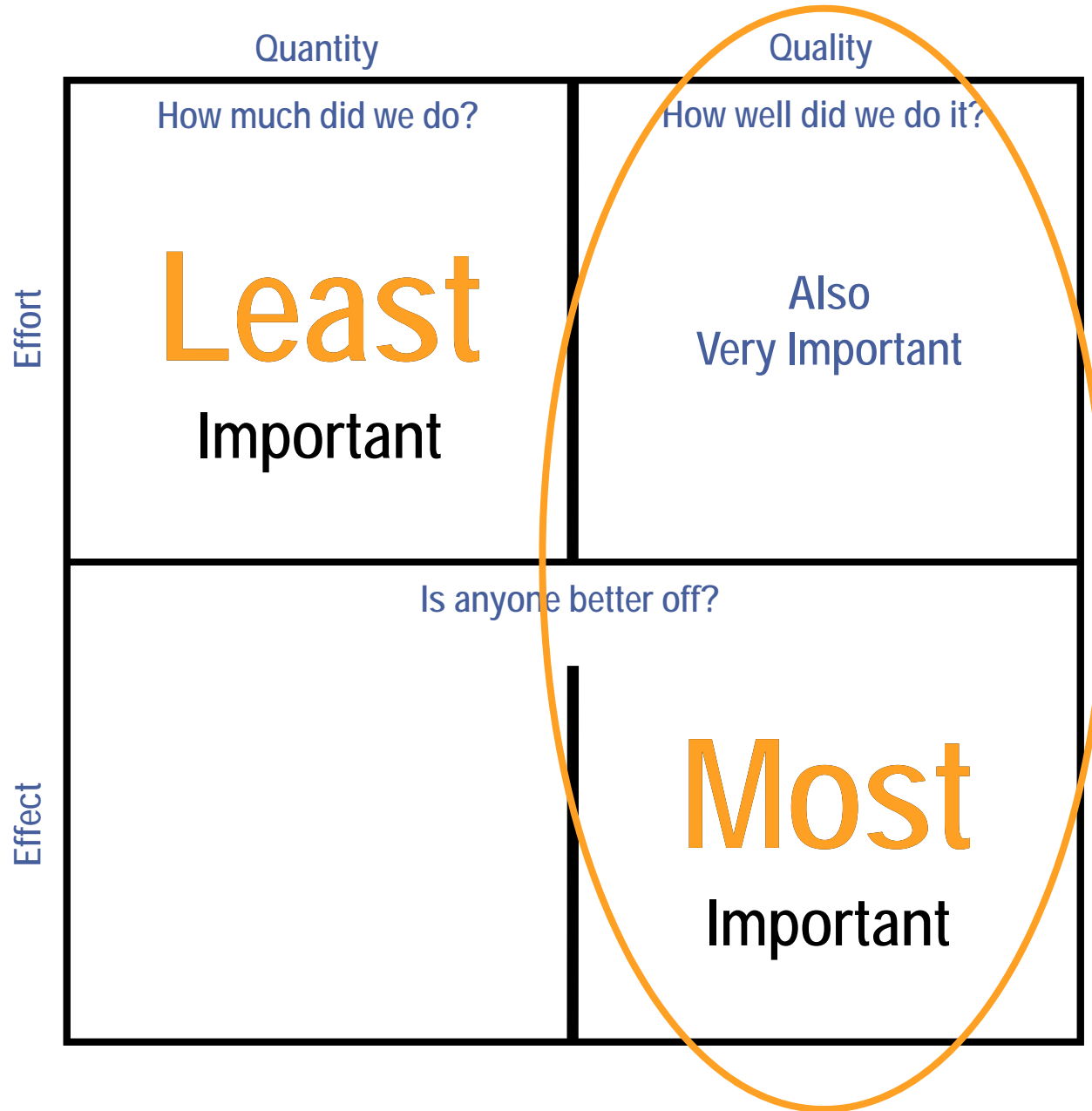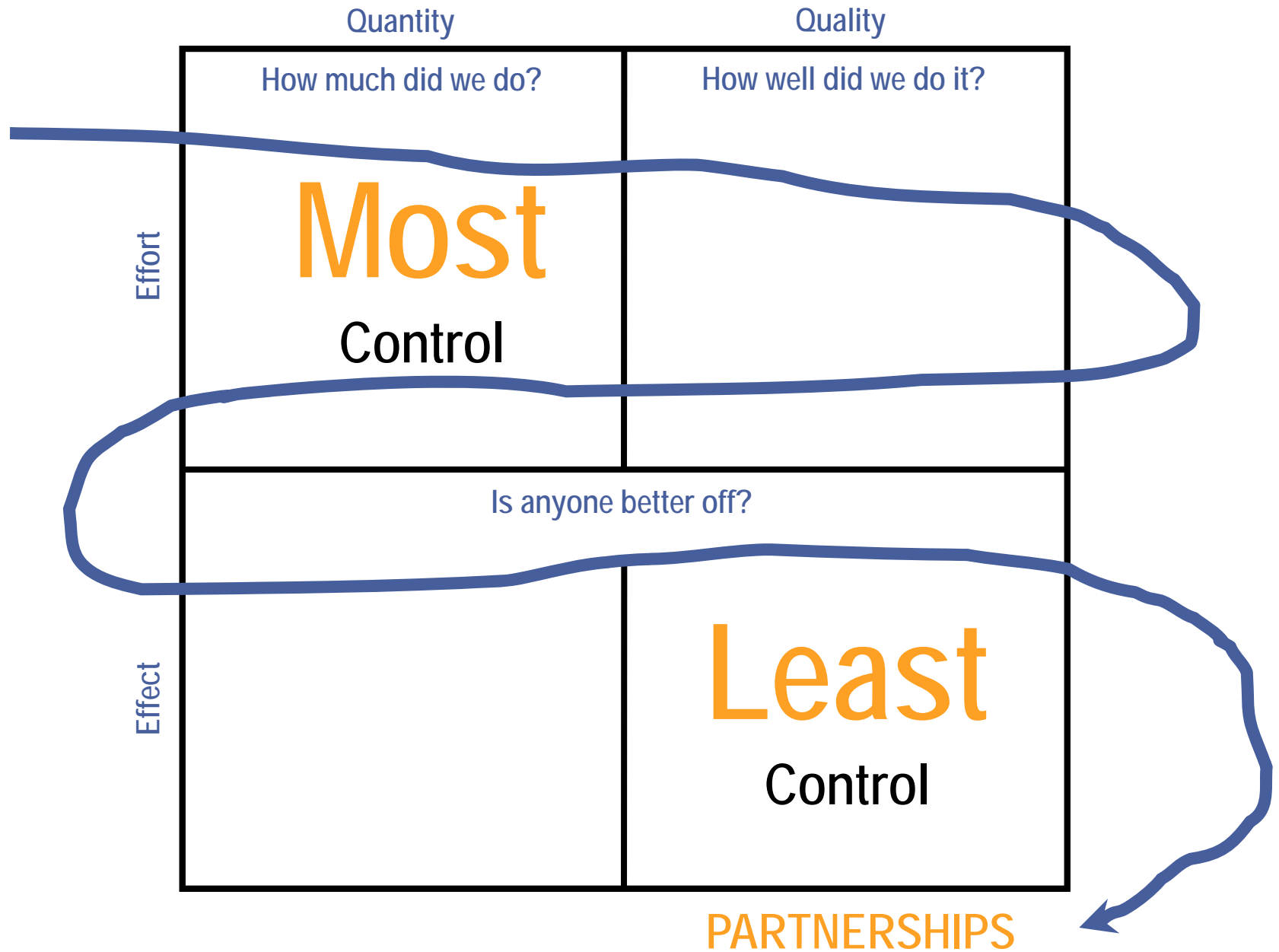
OUTCOMES, INDICATORS, PERFORMANCE MEASURES AND THE BUDGET

Legislative Population Outcome:

"A condition of well-being for adults, children, communities, states, etc."

Governor's Population Outcome (a.k.a. Strategic Plan Priority):
"A condition of well-being for adults, children, communities, states, etc."

INDICATOR:
"A measure which helps quantify the achievement of an Outcome"

Strategies:
"Collection of actions, programs, initiatives to improve results"

↑ Legislative Policy

↓ Program Protocol

Population Level Accountability

Performance Accountability

Program A:

Types of Performance Measures:
How much? (Quantity)
How well? (Quality)
Effect? (Results)

Activity B:

Types of Performance Measures:
How much? (Quantity)
How well? (Quality)
Effect? (Results)

State programs, activities, contract & grants to partners, communities, etc.
Performance Measures

BUDGET $

BUDGET $

BUDGET $

BUDGET $

BUDGET $

BUDGET $

Office of Chief Performance Officer 4/1/14

Appropriation: 3420060000   Health - alcohol & drug abuse programs

Objective: To provide substance abuse prevention intervention treatment and recovery services in order to decrease the individual, family, and societal impact of substance abuse and dependency while empowering Vermonters to embrace resiliency wellness and recovery.

Measures	Unit	FY 14 Targets	FY 14 Actuals	FY 15 Targets	FY 15 Estimate	FY 16 Targets
% of students at funded schools who screen positive for possible substance abuse disorders who are referred for a substance abuse assessment	% students	90	85	90	86	90
% of outpatient and intensive outpatient clients with 2 or more substance abuse services within 30 days of treatment initiation	% clients	80	60	80	55	60
% of treatment clients (excluding residential detoxification and treatment) who have more social supports on discharge than on admission	% clients	25	25	25	22	25

Program Budget:	FY2014 Actuals	FY2015 Original As Passed Budget	FY2015 Governor's BAA Recommended Budget	FY2016 Governor's Recommended Budget
Personal Services	2,461,830	3,614,712	3,614,712	3,995,248
Operating Expenses	280,005	391,758	391,658	318,305
Grants	31,736,610	32,577,910	32,095,862	44,006,192
Total Appropriation	34,478,444	36,584,380	36,102,232	48,319,745
Total Program Cost:	34,478,444	36,584,380	36,102,232	48,319,745
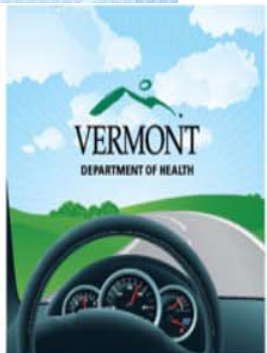
Alcohol and Other Drug Use

Performance Dashboard:
Population Indicators and Performance Measures
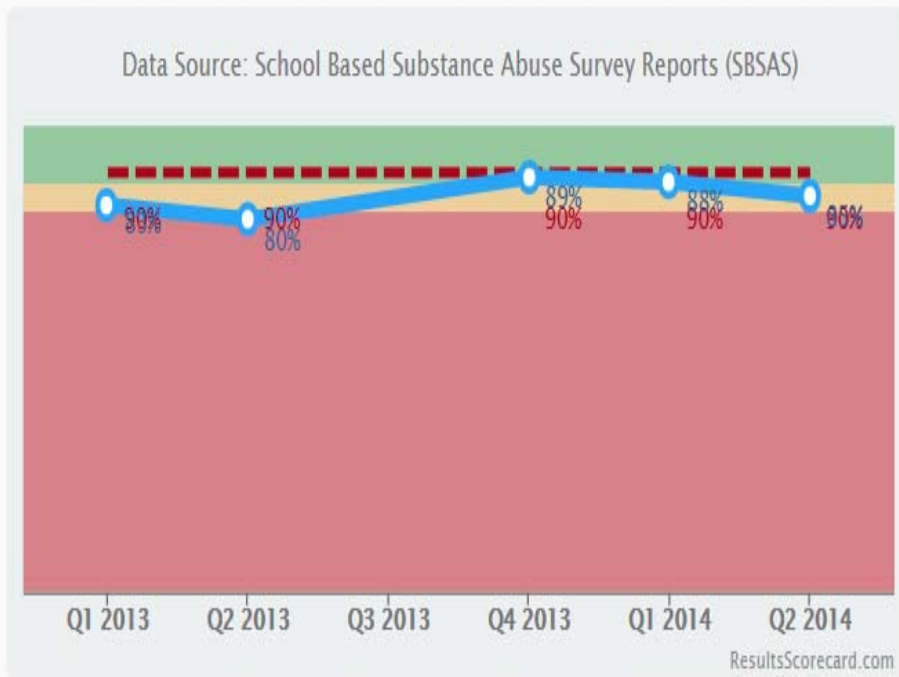
Select a measure to see the trend data.

Home > HV2020 > Performance Dashboard > Here

⊖ P Substance Abuse ADAP	Time Period	Actual Value	Target Value	Current Trend
⊕ PM Substance Abuse Treatment Engagement: Are youth and adults who start treatment sticking with it? Measured as percent of outpatient and intensive outpatient clients with 2 or more substance abuse services within 30 days of treatment initiation.	Q2 2014	50%	60%	➔ 1
⊕ PM Substance Abuse Social Supports: Are youth and adults leaving treatment with more support than when they started? Measured as percent of treatment clients (excluding residential detoxification and detoxification treatment) who have more social supports on discharge than on admission.	Q2 2014	19%	25%	↗ 2
⊖ PM Substance Abuse School Screenings: Are we referring students who may have a substance abuse problem to community resources? Measured as percent of students at funded schools who screen positive for possible substance abuse disorders who are referred for a substance abuse assessment.	Q2 2014	85%	90%	↘ 2

School Screenings: Are we referring students who may have a substance abuse problem to community resources? Measured as percent of students at funded schools who screen positive for possible substance abuse disorders who are referred for a substance abuse assessment.

PM | Substance Abuse

Q2 2014	85%	90%	⬊ 2

Data Source: School Based Substance Abuse Survey Reports (SBSAS)

Q1 2014	88%	90%	⬊ 1
Q4 2013	89%	90%	⬈ 1
Q2 2013	80%	90%	⬊ 1
Q1 2013	83%	90%	→ 0

Q1 2013   Q2 2013   Q3 2013   Q4 2013   Q1 2014   Q2 2014

ResultsScorecard.com

Story Behind the Curve | Partners | What Works | Action Plan

All Data Showing...

Story Behind the Curve | Partners | What Works | Action Plan

Story Behind the Curve

Last Updated: January 2014

Author: Alcohol & Drug Abuse Programs, Vermont Department of Health

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Over the last decade, the Division of Alcohol and Drug Abuse Programs has supported a comprehensive, evidenced-based substance abuse prevention approach. This means prevention efforts are delivered across a wide range of categories including individual, family, school, community, and through effective policy implementation. These efforts have been successful in reducing Vermont youth involvement with alcohol and drugs. For example, according to the Vermont Youth Risk Behavior Survey (YRBS), the number of students reporting alcohol use prior to age 13 has significantly decreased (-62%). Significant reductions were also achieved in the proportion of students who have ever used alcohol. Schools are indispensable partners in Vermont's substance abuse prevention strategy.

Early identification of substance use issues has been shown to improve treatment and recovery efficacy and significantly enhance overall prevention outcomes. Screening and referral services for substance abuse and mental health using evidence-based tools (CRAFFT and GAIN short screener) are essential components of our School-based Substance Abuse Services (SBSAS) grants. Select staff at funded schools are trained in the use of these tools. Screening should be used to supplement (not replace) the judgment of clinical line staff. Additional information should also be considered, such as collateral reports, background information, etc. While in most cases referral is appropriate, not everyone who screens positive should be referred on for additional services, which is why the target for this performance measure is less than 100%.

POPULATION AND PERFORMANCE ACCOUNTABILITY; PLANNING & BUDGETING SYSTEM

Governor's Strategic Plan; Agency & Dept. Strategic Plans

Strategic Planning

Budget

Performance System (RBA, Lean...)

Appropriations Bill; Vantage; VISION

Agency & Department On-going data collection and performance management process

Performance Management

Outcome Report

Dashboard or Scorecard