

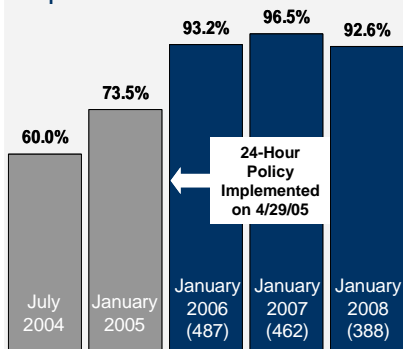
Chapter 5 • Performance Assessments

Quick Facts

- ▲ The Priorities of Government is about **budgeting** (see Page 2); GMAP is about **managing**.
- ▲ POG helps make decisions about **where to invest money** to get results that matter most to citizens.
- ▲ GMAP provides feedback on **how well the money is being used** to achieve those results.
- ▲ State law requires agencies to apply for independent, **external assessments** of their management systems every three years.
- ▲ An agency external assessment is a rigorous, objective, external view of an agency's approach to and implementation of **performance management**.

One GMAP forum emphasizes child safety... early signs indicate that the rates of repeat child abuse and neglect are decreasing in large part to faster response times.

Percent of Children Seen or Attempted Within 24 Hours of Report of Abuse



Source: DSHS, March 2008

GOVERNMENT MANAGEMENT ACCOUNTABILITY AND PERFORMANCE

DSHS is responding to a **government management** accountability and performance approach that holds state agencies accountable to be more effective and efficient in achieving results and ensuring public tax dollars are spent wisely.

For several years, DSHS and the Governor's office have been **using GMAP** (Government Management Accountability and Performance) sessions to review performance, analyze data from multiple perspectives, make decisions and take action.

DSHS participates in executive level GMAP forums about **Vulnerable Children and Adults, Health Care, Workfirst, and Public Safety**. Recent sessions have looked at performance in areas like:

- ▲ **Responding quickly to reports** of child abuse and neglect and the frequency of social worker **visits to children in placement**
- ▲ Increasing the number of **children with medical coverage** through state financed health programs
- ▲ Reducing **unnecessary use of emergency departments** by individuals who could be better served by primary health care providers
- ▲ Tracking the percent of people needing long-term care who are served in less costly **home and community settings**
- ▲ Reducing the **rates of chronic disease** in Washington and increasing **access for children** to long-term inpatient mental health care
- ▲ Reducing juvenile and adult **sex offender recidivism** and improving assessment procedures to accurately determine level of risk
- ▲ Tracking the numbers of people needing and receiving **basic food assistance**
- ▲ Increasing **employee and client safety** in the state psychiatric hospitals

Within DSHS, some **Assistant Secretaries hold GMAP forums** with their leadership teams. A number of divisions, offices, and regions also conduct internal GMAP forums.

Performance Assessments – Audits and Reviews

AUDITS AND REVIEWS

DSHS conducts a limited number of general **internal audits** every year, reviewing about 10 percent of DSHS operations. While the number of audits remains relatively constant, the **number of findings** is increasing.

To fill the gap between the limited number of audits and the **ongoing need for risk assessment**, DSHS uses an Enterprise Risk Assessment and Self-Evaluation (ERASE) tool. The old RASE tool—used at all levels of DSHS—is evolving into an **accountability tool** that provides executive managers greater assurance the agency is meeting business objectives and complying with regulatory requirements and best practices.

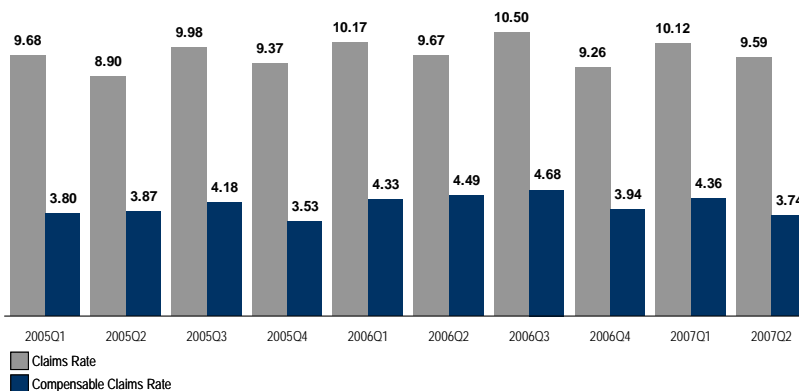
DSHS is improving its tracking of incidents to analyze trends and identify risk exposure areas. Most **employment related lawsuits** are for race, sex, and disability discrimination, and retaliation.

Most **service-related claims** are for negligent investigation, supervision, and licensing. DSHS is conducting an in-depth review of cases to determine if there are common practices, policies, and procedures that caused the alleged negligence, incident, or claim.

DSHS is focusing on assessing, training, and consultation to reduce the two highest categories of **employee injury claims**, ergonomics and assaults by clients.

Employee Safety – Annual Claims Rate

Number of accepted claims for every 200,000 hours of payroll – equivalent to yearly payroll hours for about 100 FTEs



Source: Labor & Industries, Research and Data Services (as of 12/31/07)

Quick Facts

- ▲ The two highest categories of worker compensation claims are ergonomics and client assaults.
- ▲ Health care and residential facilities account for 95 percent of client assaults on employees.

Number of DSHS General Internal Control Audits

	ADSA	ESA	CA	JRA	HRSA	MS / EXEC	DSHS TOTAL
2003	0	6	0	2	0	1	9
2004	2	1	0	0	1	0	4
2005	2	3	0	4	0	1	11
2006	2	2	2	4	0	1	11
2007	0	2	1	1	2	0	6

Source: DSHS Operations Review and Consultation (as of 6/5/07)

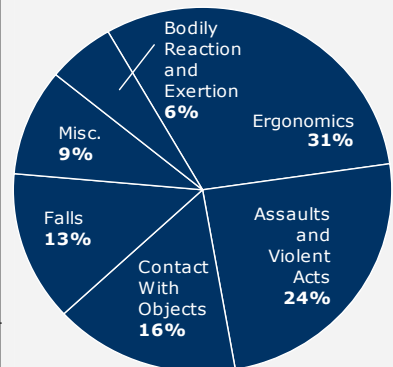
Number of DSHS Audit Findings

	ADSA	ESA	CA	JRA	HRSA	MS / EXEC	DSHS TOTAL
2003	0	15	0	10	0	2	27
2004	6	1	0	0	2	0	9
2005	12	15	0	19	3	1	50
2006	2	14	9	22	0	1	54
2007	0	2	13	3	46	0	64

Source: DSHS Operations Review and Consultation (as of 6/5/07)

Accepted Claims by Occupational Injury and Illness Classification System Event

October 2002 – June 2007



Source: Labor & Industries, Research and Data Services (as of 12/31/07)

Performance Assessments – Audits and Reviews

Quick Facts

The State Auditor's Office conducts different kinds of **audits of state agencies**

- ▲ **Financial** audits determine if financial statements are accurate, complete, and reliable.
- ▲ **Compliance** audits determine if agencies are complying with applicable laws and regulations.
- ▲ **Accountability** audits determine if public funds are accounted for and controls are in place to protect public resources from misappropriation and misuse.
- ▲ **"Single audits"** are used to report to federal grantors DSHS compliance with contracts or grant agreements and if internal controls are adequate.
- ▲ **Performance** audits assess agency programs, functions, and activities to help public officials improve the efficiency, effectiveness, and accountability of operations.

Different Perspectives

Who needs to know and what they care about...

- ▲ **Stakeholders** care about how the system or condition is improving—Public Value and Benefit.
- ▲ **Customers** care about service quality like timeliness, accuracy, helpfulness—Customer Service.
- ▲ **Authorizers** care about return-on-investment, effectiveness, if goals are being reached—Financial Management.
- ▲ **Managers** care about if the work is done efficiently and effectively—Internal Process Management.
- ▲ **Workers** care about knowledge sharing, career development, and benefits—Organizational Learning and Growth.

Reviewing Performance

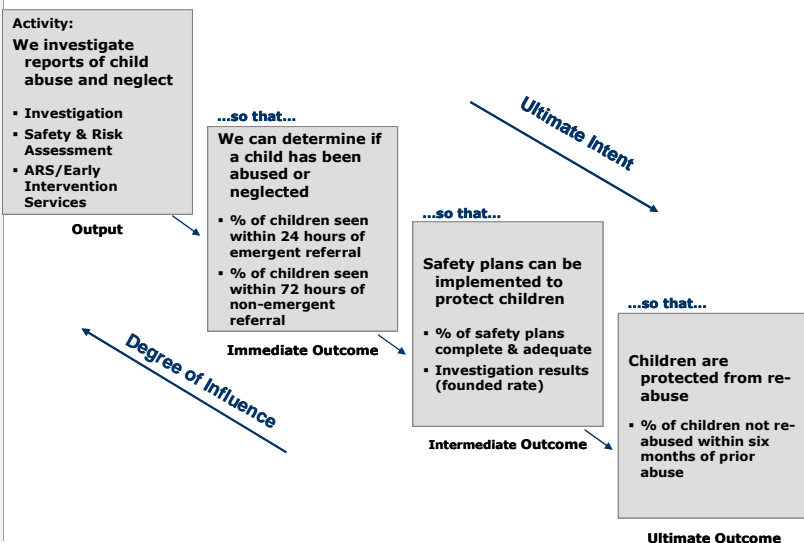
Voters gave the State Auditors Office authority to conduct state and local government performance audits in 2005. These **performance audits** are independent of GMAP, the POG process, and other performance assessments. The State Auditor's Office and DSHS are holding discussions about which program areas would have the most interest in receiving performance audits.

The Office of Financial Management (OFM) assesses **activity-related performance measures** and data currently reported to OFM to verify that the measures are reliable and effective. This review has assisted DSHS in improving the quality of the measures used by OFM, the legislature, and the Priorities of Government teams during the budget development process. As a result of these reviews, several program areas are considering changes to their budget-related activity inventories.

Logic models or value chains provide the context for performance measures. They map the connections between activities and high level outcomes. The closer to the **ultimate outcome** the less a single factor or agency may be able to influence it. Though outcomes are more important than outputs, managers need more detailed information to effectively manage and evaluate the success of a strategy. Many programs in DSHS have developed logic models to use as management tools.

Child Safety Logic Model

Child Protection Example



Performance Assessments – Closing Performance Gaps

CLOSING PERFORMANCE GAPS

DSHS invests heavily in improving the **quality and usefulness of performance management** information. Activities like GMAP and the Washington State Quality Award process help the agency become more effective, transparent, and accountable.

A newly assembled **planning and performance team** provides guidance and mentoring throughout DSHS. With this team, DSHS is able to review the agency's performance management systems and track performance measures. The team provides resources to **align performance measures** within the various reporting mechanisms (GMAP, Performance Management Tracking System) as well as activity inventories, performance reviews, and audits.

The **Washington State Quality Award (WSQA)** is an external assessment based on the Baldrige Criteria for Performance Excellence. DSHS managers are learning the criteria, becoming certified examiners, and applying for the award through a comprehensive assessment process. All aspects of the quality award, from completing the application to receiving the feedback report from WSQA reviewers, provide helpful insights about areas for improvement.

The **Agency Self-Assessment** tool was adapted this year to incorporate the Washington State Management Framework. The DSHS executive leadership team used the results to compare with the **client and employee surveys**, looking for **common themes**.

	DSHS Self Assessment 2007 and 2006	DSHS Employee Survey 2007/2006	DSHS 2007 Client Survey
D O	Areas scoring the most 2.6 or higher ratings:	Percent responding "always" or "usually":	Percent answering "yes" or "strong yes":
	Articulate clear goals and values	Know what is expected of me (84/84%)	Helpful programs and good work (90%)
W E L	Understand customer expectations	Supervisor treats me with dignity (81/81%)	Staff courtesy, respect, listening (89%)
	Create a Strategic Plan Overall	Know how work contributes to goals (80/78%)	Staff understanding client needs (87%)
L	Areas identified at Strengths:	Comment Themes—Satisfied:	Comment Themes—Good Work
	Internal GMAP	Job Characteristics (59%)	DSHS helped (494)
	Legal and Ethical Behavior	Co-Workers (24%)	Other staff comments (167)
D O	Areas scoring the most 2.5 or below ratings:	Percent responding "never" or "seldom":	Percent answering "yes" or "strong yes":
	Process Improvement	Use customer feedback to improve process (29%)	Help make service plans and goals (61%)
N O T	Output Measures	Encouraged to find new/better ways (26%)	Program staff work together (66%)
	Cost-Efficiency Measures	Receive recognition for job well done (26%)	Easy to get a live person when calling (67%)
S O	Focus on Priorities	Agency uses my time/talents well (24%)	Staff return phone calls in 24 hours (70%)
	Areas identified as Needing Improvement:	Comment Themes—Needs Work:	Comment Themes—Needs Work:
W E L L	Focus on Priorities	General/Other (30%)	Process (319)
	Allocate Resources Overall	Management (28%)	Access (135)
	Hire Well	Resources (28%)	Information (102)

Baldrige Criteria for Performance Excellence

- ▲ **Leadership** examines how senior leaders guide and sustain the organization.
 - ▲ **Strategic Planning** examines how the organization develops strategic objectives and action plans, deploys the plan, and measures progress.
 - ▲ **Customer and Market Focus** examines how the organization determines the requirements, needs, expectations, and preferences of customers.
 - ▲ **Measurement, Analysis, and Knowledge Management** examines how the organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets.
 - ▲ **Workforce Focus** examines how the organization engages, manages, and develops the workforce to use its full potential in alignment with the mission, strategy, and action plans.
 - ▲ **Process Management** examines how the organization determines its core competencies and work systems, and how it designs, manages, and improves its key processes.
 - ▲ **Results** examines the organization's performance in all key areas.
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- ▲ Three DSHS programs have submitted **WSQA applications** and received feedback reports
 - Division of Child Support
 - Region 4 Customer Service Center, Community Services Division
 - Green Hill School, Juvenile Rehabilitation Administration

Performance Assessments – Social and Community Responsibilities



Source: National Resource Center for Child Welfare Data and Technology

Quick Facts

Hurricane Katrina raised attention to the potential devastation of natural disasters and the challenges in responding to and recovering from this type of event.

- ▲ Over 1,500 dead and 252,577 people in shelters the first week.
- ▲ Telecommunications completely disabled and 515,841 people without power more than a week.
- ▲ 40 percent of the 5,000 foster children displaced.

Disasters happen here...

As the first week of December 2007 began, three separate storm systems swept into the coast.

Hurricane-force winds and torrential rain wrecked havoc and devastating damage throughout the western region. Rain-swollen rivers quickly caused homes, farms, and businesses to be filled with muddy water. Roads were flooded and a 20-mile stretch of the major north/south I-5 highway was closed. Many communities were isolated and without power. Hit hardest were Lewis and Grays Harbor counties. Others with substantial damage include Kitsap, Mason, Pacific, and Thurston counties.



Photo courtesy of Dave Baylor (used with permission)

Social and Community Responsibilities

Washington state is vulnerable to a variety of natural and human-made disasters, such as earthquake, volcanic eruption, flooding, storm damage, and fires. DSHS and its programs have current **emergency management plans** that address vital services and worksite preparation, response, and recovery from emergency incidents.

Disaster events can be devastating and may require DSHS to participate with other agencies within a **standard incident response system**. For this reason, disaster plans are developed and employees trained in compliance with the federal Homeland Security National Incident Management System (NIMS) using the Incident Command System model. DSHS **successfully implemented** its emergency plan during the winter storms that struck western Washington in early December 2007. DSHS is using its lessons learned and participating on a task force with key state agencies to prepare for future events.

DSHS is committed to improving the quality of life and **promoting healthy environments** for the communities in which we work and live. Reducing the environmental impact of such a large agency can produce significant results. DSHS establishes objectives, strategies, and measures to address and meet long-range **sustainability goals**. Among its successes, the agency engages in sustainable design in construction projects, significantly reduced the number of pre-1996 vehicles in its fleet, and increased the use of environmentally friendly products.

DSHS forges **direct communication paths** with partners and expects employees to be **open, accessible, and accountable** to the public for performance, results, and management of resources.

State agencies must provide clear and **easy-to-understand written communications** to achieve better services and results for customers. Clear written communications improves customers' ability to understand how to access services and comply with requirements. DSHS policy requires employees to continually improve the clarity of written communications by **using Plain Talk** principles and other best practices.

