1. Systems and Environment of the Public Sector
### Five Great Ideas

1. **Honest, Businesslike Government**
   - **Value:** Neutrality, Businesslike
   - **Practice:** Pendleton Act
   - **Theory:** Reform Movement, Public Choice Theory

2. **Classic Management Model**
   - **Value:** Efficiency
   - **Practice:** Brownlow Committee
   - **Theory:** Closed Model, Scientific Management, Bureaucratic Model (Weber), Ten Principles (Urwick), POSDCORB (Gulic)

3. **Politics and Policy Making Model**
   - **Value:** Politics, Policy
   - **Practice:** Sunset Law
   - **Theory:** P.A=Politics+Management, Bureaucratic Politics (Iron Triangle), Decision Making Theory

4. **Human Behaviorism**
   - **Value:** Humanism
   - **Theory:** Motivation, Behavioral Model, Human Relation School, Organization Development School

5. **Program Effectiveness**
   - **Value:** Productivity, Effectiveness ↔ Ethics, Responsiveness
   - **Practice:** War on Poverty, NPA, Great Society Program
   - **Theory:** Operation Research, Cost-benefit analysis, Cost-effectiveness analysis, PPBS

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### Timeline

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>1890</td>
<td>COF Model</td>
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<tr>
<td>1900</td>
<td>ROF Model</td>
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<tr>
<td>1910</td>
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<td>1920</td>
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<td>ROF Model</td>
</tr>
<tr>
<td>1990</td>
<td>ROF Model</td>
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</table>

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*Reinventing Government, Productivity*
Organization Theory

Politics & Administration

Organization Theory

Bureaucracy & Democracy

Organizational Learning

Theory & Practice

Scientific Approach

Public Choice

Humanistic Approach

Within Political Science

As a Part of Management Theory

As a Profession

Dichotomy: Hierarchical Accountability → Structural Mechanism → Legitimacy of P.A.

Most Rational Mode → Bounded Rationality → Instrumental Rationality → Democratic Principles

Bureaucratic Model → Generic Theory → Incrementalism

Generic Theory → Incrementalism

Scientific Approach → Logical Positivism → Interpretive Theory → Critical Social Theory

Dichotomy: Accountability: Rejection

Logical Positivism

Within Political Science
Traditional Public Administration

State
Bureaucracy
Citizen, Lay person

Postmodern Public Administration

Governing for the betterment of Society

High Performance

Social issues

Public Officials

Citizen

Normative Criteria for Democratic Deliberation (King, Feltey, Susel 1998)
- Directness
- Shared Decision
- Equal status
- Collaborative Discussion

Governing State
- Hierarchical relationship
- Direct, Command
- Uniformity

Polity: Inclusiveness of Civic Society

Oppositional Civil Society

Diverse groups, minority, pluralism

State Stability: Selective Democracy

Corporateism

Active participation
Democratic Inclusion

Election vote

Direct, Command
Uniformity
Philosophy: Value (Democracy, Efficiency v.s Responsiveness, Public v.s Private...)
Definition: Purpose, Scope
Ethics: Norm (Relationship Between Ethics and Public Services)
GOVERNMENT

Legislative Body

Executives Offices

Public Agency

Constituencies

Input

Direct Services (Output)
Historical & synthetic analysis

Toward profession and already satisfies some criteria

Continuous debate about theory core, role, identity, content

Politics-admin. Dichotomy remain questionable in academic & practice

Asmini-priviate dichotomy debatable with sector blurring

After classical & behavioral school, a science of admin.

Trend toward profession continue with debates and paradox

Ethics remains in the orientations of Weber and Wilson, but it's an endless enterprise

Challenge to bureaucracy quiet revolution new PA
Sources of Ideas
- Bureaucrats
- Clients
- Vendors
- Experts
- Politicians
- others

Policy Ideas

Borderline Cases

Informal Consultation with Politicians

If Policy

Political Ratification

Policy Advancing Innovations

Bureaucratic Implementation

 Sharing Political Credit
Bounded Rationality
Cognitive limits on rationality

True Scientific Method
Principles of administration: inconsistent, conflicting, inapplicable

Logical positivism
1) Distinction between fact and value
2) The role of values emphasized the subjective elements of decision maker
3) Science is concerned with facts, not values

Organization as Decision Unit

Modes of Organizational Influence
1) Information
2) Organizational loyalties
3) Criterion of efficiency
4) Advice and information
5) Training

Human Problem-Solving Process

Modes of Organizational Influence
1) Information
2) Organizational loyalties
3) Criterion of efficiency
4) Advice and information
5) Training
MAKE POLICY
Formulate Policy Based on Best Available Knowledge

DEVELOP PROGRAMS
Devise Programs to Implement Policies

ATTRACT RESOURCES
• Recruitment and selection of personnel
• Taxing
• Grantsmanship

ANTICIPATE CHANGE
Anticipate demographic, economic, and political changes

ABSORB RESOURCES
• Processing of new employees
• Buying supplies and equipment

WHAT
The organization is doing

How WELL
It is Doing It

Current LEVEL of Activity

ABSORB MANAGE
• Budgeting and financial management
• Labor relations
• Record keeping

Evaluate Activities

Apply Lessons of future activities
Quality Management

Customers
- Q Products
- Q Services
- Fair Prices
- Soc. Resp.
- Ethics

Employee Involvement

Continuous Improvement

Employers
- Involvement
- Empowerment
- Fair Wagers
- Pride
- Soc. Resp.
- Ethics

Customer Satisfaction

Funders
- Cust. Satisfaction
- Efficiency
- Effectiveness
- Fair R.O.I.
- Soc. Resp.
- Ethics
User community

The organization

Decision about support and participation

Organizational activities

Accounting system

Performance assessment

Financial disclosures

Oversight and mentoring
2. Developing Human Resources
Establishes certain habits, attitudes, customs, etc. Creates conditions for Formal Organizations

Informal Organizations
Personal contacts & interactions & associated groupings of people

Establishes certain habits, attitudes, customs, etc.

Psychological Needs
Safety Needs

Theory Y
Carrot-Stick Approach

Theory X

Formal Organizations

Necessary for informal organizations

Example: "Invisible Government"

Federalist Period, 1789-1800
The Jeffersonians 1801-1829
Era of the Spoils 1829-1865
The Road to Reform 1865-1883

Civil Service Reform
Early 20th Century

Wartime and Peacetime Needs
1940s

Accountability, Equity & Justice 1960s

Retrenchment 1980s

Downsizing 1990s

Reform 1970s

Slow Growth in Govt 1950s
LOCATION OF CONTROL OVER SUBORDINATES' ACTIVITIES

- Subordinate only
- Subordinate in consultation with superior
- Subordinate and superior jointly
- Superior in consultation with subordinate
- Superior only
- None

LOCATION OF CONTROL OVER SUBORDINATES' OBJECTIVES AND GOALS

- "Pure" management by results
- Actual management by objectives
- "Pure" management by objectives

LOCATION OF CONTROL OVER SUBORDINATES' ACTIVITIES

- None
- Sup. only
- Sup. in cons. w/sub.
- Sub. & sup. jointly
- Sub. in cons. w/sup.
- Sub. only
PROGRAM COMPONENTS Personnel Allocation Track

OBJECTIVES

- Central control of SES allocation
- Rank-in-person mobility

Rational deployment of SES in response to federal priorities
Improve career noncareer interface

Improve program performance

Performance Effectiveness Task

Pay-linked performance appraisal systems

Reward good executives, dismiss incompetents
Clarify and link agency, program and individual performance objectives

Improve individual competence motivation performance

Improve agency performance

Personnel development and certification track

Executive development programs
Controls against prohibited personnel practices
Certified professional qualifications
Executive recruitment and placement systems

Attract women and minorities
Attract outside talent
Eliminate prohibited personnel practices

Increase public confidence and satisfaction
#1 Hourly or non-professional employees who reach the first level of management

#2 New or recent college graduates who reach the middle management level

#3 Middle managers who reach the upper management level
Existence of an Objective Condition

Perception of the Condition

Definition of the Condition

Generation of Strategies

Selection of Strategies

“Hire a Consultant”

Direct Management

Evaluation

Planned Outcomes

Unplanned Outcomes

Maintain

Retain

Alter

Abolish

Organizational Setting

Pay Consultant

Organizational Characteristics

 Existence of an Objective Condition
Leadership
• preferences
• situational

Policy / Decision Making

Power Bases/ Sources
• Legitimate / position / coercive
• Expert
• Informational
• Referent / Connection

Decision Bases
• Rational Calculation
• Ethical Imperatives
• Political Desirability
• Administrative Feasibility
• System Shifts

Power Development
• Ability
• Credibility
• Goal Setting
• Buffering
• Coalition Building
Gaining the Power to Lead

Sources of Power

Hierarchy (Formal Positions)

- Expert Power (Formal Positions)
- Referent Power (Individual or groups as points of reference)
- Informational Power (Being in the know having access to info)

Developing Power sources to the Best Advantage

- Ability
- Credibility
- Goal Setting
- Buffering
- Coalition-Building Strategies
3. Adapting Technologies
Organizational Learning Model  
(Human Relations)  

Digital Democracy Model  
(Open Systems)  

Information Security Model  
(Internal Process)  

Cost Efficiency Model  
(Rational Goal)  

Toward  
Decentralization  
Differentiation  
(Flexibility)  

Toward  
Centralization  
Integration  
(Flexibility)  

Agency autonomy  
Human capital investment  
End user focus  
Internal operations focus  
Security privacy  

Data sharing  
access to public information  
Citizen participation  

Internal focus  
Cost efficiency  
Centralized implementation standardization  
one-stop service  
Data sharing  
access to public information  
Citizen participation  

External focus
Information Technology and Communication

(Technology is complex and situational, as a result, information technologies are connected reciprocally with individual behavior, organizational/ institutional arrangements, and social issues.)

**Individual Level**
IT use to individual transformation and development of social capital through virtual communication, education and work.

**Organizational Level**
- Democratization/ Decentralization Theory
- Sociotechnical Theory

**Societal Level**
- Dystopian Theory
- Social Capital

**Regulatory environment**
Will IT and the Internet make markets more efficient?
Will IT and the Internet boost competition?

**Tax Issues**
Tax or Not (tax exemption or imposing tax)
To Whom? (to sellers or to buyers)

**Policy Issues**
- Global Integrationist Theory
- Right regulatory and public policy environment for the digital economy
Consider Sub-Committee or Ad Hoc (literature review/data collection)

Decision to Make Capital Request (cost meets predetermined dollar threshold)

Request forms completed and submitted to Capital Planning Committee

Is a Technology Assessment Indicated?
Criteria may include:
- high cost/high tech
- controversial
- has potentially broad (hospital wide) implication

Yes
- Technology assessment committee
  - Apply initial screening criteria
    - TA
      - Consider Sub-Committee or Ad Hoc (literature review/data collection)
      - Apply key questions
        - Overnight for implementation and evaluation
    - No TA
      - Decision (yes or no) to recommend acquisition made on request

No
- Apply capital decision making process (consider use of key question)

Decision made on request
- Decision (yes or no) to recommend acquisition made on request
- Overnight for implementation and evaluation

Yes
- Acquisition of new technology
<table>
<thead>
<tr>
<th>External Factors</th>
<th>Internal Factors</th>
<th>Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political/Regulatory Environment</td>
<td>• Top management support</td>
<td></td>
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<tr>
<td>IT Marketplace</td>
<td>• Partnership approach</td>
<td></td>
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<tr>
<td>Characteristics of Technology Services</td>
<td>• Selective outsourcing with a strategic fit</td>
<td></td>
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<tr>
<td></td>
<td>• Commitment of financial and human resources</td>
<td></td>
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<tr>
<td></td>
<td>• Relationship management</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Management capacity</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Performance management using service-level contracts</td>
<td></td>
</tr>
</tbody>
</table>
Technological and Organizational Complexity

Sparse

Simple

Complex

Integration

Sparse

Complete

Horizontal Integration
- Systems integrated across different function
- Real one stop shopping for citizens

Vertical Integration
- Local systems linked to higher level systems
- Within similar functionalities

Transaction
- Services and Forms online
- Working database supporting online transactions

Catalogue
- Online Presence
- Catalogue Presentation
- Downloadable Forms
Design and Cognition Problems
- Reliance on outside consultants
- Difficulty in anticipating future information needs

Organizational Cooperation Problems
- Inter-organizational
- Intra-organizational

Rigidity: tech. resources not available for modification of system to meet changing needs

Collection of data not regularly used

Net costs for data collectors

Reliance on shared system may reduce timeliness of reports

Poor data quality

Support of two systems during start-up

Need for continuous training

Poor data quality discourages use

Failure to realize potential uses

Lack of use hinders error correction

“vicious cycle”

Lack of in-house resources for special studies
E-government Efficiency

E-government Effectiveness

Bricks
And Mortar

Dynamic web presence

Organizational Transformation

E-government Effectiveness

- Personnel Requirements
- Labor Relations
- Role of Consultants (Privatization)

- Enterprise Systems
- Financial management
- Procurement
- Personnel Management

- Enterprise Resource Planning
- Business Process Re-engineering
- Strategic Planning for IT and E-gov.
- Measuring e-government performance
- Citizen satisfaction and participation

- IT infrastructure
- Social Equity and the Digital Divide

Org posts static info to the web.

Basic Interactions

Transactional Interactions

Communicative Interactions

E-governance

- Org posts static info to the web.

Dynamic web presence

Basic Interactions

Transactional Interactions

Communicative Interactions

E-governance

E-government Effectiveness
CASE ISSUE:
Does citizen participation through surveys necessarily improve participatory democracy?

Democratic Citizenship/Participatory Democracy/Deliberative Democracy
- Citizen participation/public engagement/civic engagement
- Voting
- Public hearings
- Letter campaigns
- Protests
- Surveys/polls (i.e. E-Town Panel)
- Volunteer/civic leader
- Technological means

THEORETICAL BASE
New Public Service (Denhardt & Denhardt)

Other possible outcomes:
agenda setting for organized groups, election platforms, citizens as consumers (public choice theory), ignoring voices of disenfranchised, adoption of e-government methods

Government
- Trust
- Accountability
- Performance
- Productivity
- Efficiency/ effectiveness
- Transparency
- Better policy decisions
- Communication

Active participation
4. Building Partnerships
How citizens participate?
- Public hearings (most ineffective)
- Vote
- Surveys
- Negotiated rule making
- Citizens review panel
- Public deliberation
- Political discussion

Why citizens don’t participate?
- Exclusion based on social class, systemic barriers, etc.

Why citizens participate?
- The issue
- Systemic participation

What is the outcome?
- Effect decision-making of administrators and politicians

How to improve citizen participation?
- Empowering and educating citizens
- Re-educating administrators
- Creating enabling structures and processes
Administrators

Citizens

Efficiency

Effectiveness

Deliberative Democracy

Broad
Informed
Deliberative
Credibility

Authentic political inclusion

Issue

Solutions

Reality

Ideal

Administrators

Directive approach

Generative approach

Reactive approach

Adaptive approach

Efficiency

Effectiveness
Aggregation

Public deliberation

Legitimacy

Exogenous Resource

Systematic Endogenous Difficulties

Policy

Problem

Reality

Economy

Ideal

Solution
Democratic Process Criteria
- direct participation of amateurs in decisions
- sharing in collective decision making
- face-to-face discussion over some period of time
- participating on some basis of equality

Large-Scale Public Deliberative Process
- Broad, Representative Participation
- Informed Public Participation
- Deliberative Participation
- Credible Results

Basic Elements of Public Deliberation
- Strategic Issue Identification
- Stakeholder Collaboration
- Generative Learning
- Executive Action

Criteria for Public Deliberation
- Public
- Inclusive
- Non-Tyranny

Central Features of Deliberation
- Publicity
- Non-Tyranny
- Political Equality

Democratic Process Criteria
- direct participation of amateurs in decisions
- sharing in collective decision making
- face-to-face discussion over some period of time
- participating on some basis of equality

Central Features of Deliberation
- Publicity
- Non-Tyranny
- Political Equality

Authority Necessary to Deliberative Democracy
- Authority of Function
- Authority of Distinctive Goods
- Authority of Talk
- Authority of Voice
- Authority of Shared Futures

Overcoming Barriers to Authentic Participation
- Empowering and Educating Citizens
- Reeducating Administrators
- Enabling Administrative Systems and Processes

Benign Inclusion & Passive Exclusion
(e.g. Corporatism) → Progressive Inclusion

Pluralism
- Numbers of Groups
- Opportunity for Learning
- Access to Officials
- Means of Coercion

Direct Participation
- Numbers of Individuals
- Improved Understanding
- Resources for Participation
- Delegating Authority

Conceptualization of Public Deliberation
- discourse with other citizens
- some form of participation
- informal and unplanned exchanges
- a variety of methods of discourse
- the public nature of issues

Political Equality
Inclusive
Deliberation
Authority
Non-Tyranny

Barriers to Participation
- nature of daily life in contemporary society
- administrative structures and processes
- current practices and techniques of participation

Technocratic Form of Gov’t
Attaining the appropriate combination depends on the situation.

Authority

Basis for Legitimacy
Process of Citizens Determining their Will

Deliberation and Legitimacy
Increase the possibility of realization of reasonable results
– dimension of time and educative effect of repeated deliberation

Deliberation
Avoid Universality and Unanimity

Democratic Theorists effort to remodel politics in the direction of making it more deliberative?

Mobilization of demos as dangerous

Democracy

Educative Power
Community-generating Power
Fairness of Procedure
Quality of Outcome

Deliberation as Discussion
- Reveal private information
- Lesson impact of bounded rationality
- Particular mode of justifying results
- Legitimate choice
- Improve moral qualities of participants
- ‘Right thing’ independent of consequences

Material prerequisites for deliberation are unequally distributed
- Equality in resources,
- Guarantee of equal opportunity to articulate persuasive arguments
- Equality in epistemological authority
Direct participation

- Agreement at large
- Input: talent, knowledge and showing up
- Outcome: consensual decision & enlightenment

Pluralism

- Limited agreement
- Input: talent, knowledge and showing up (elites), material resources (elites & members)
- Outcome: decision & lessons from defeat

Conventional participation

- Boulder as Citizen's ignorance on subject
- Rope as Citizen outreach
- Summit as deliberation & decision area
- Slope as participation framework
- Citizen organization
- Bureaucrats
- Expert Administrators
- Elected Representiveness
- Professional Stakeholders
- Lay Stakeholders
- Random Selection
- Open, Targeted Recruiting
- Open, Self-Selection
- Diffuse Public Sphere

--- State ---

Minipublics

--- Publics ---

More Exclusive

More Inclusive
ACTIVE REPRESENTATION
Attitudes
   Ideology
   Political partisanship
   Perception of influence
   Program preferences
Actions
   Political/policy contacts: frequency and direction
   Time invested in policy making and public support
   Agency aspirations and advocacy
   Acquisition of federal aid

PASSIVE REPRESENTATIVENESS
Attitudes
   Social origins
   Demographic and (political) culture origins
   Gender
   Race/ethnicity
Attainments
   Education: Degree and specializations
   Professionalism
   Career paths
   Organizational experience and tenure

REPRESENTATIVE RESULTS
(Policy Processes)

   Purposes
     Goals
     Issues
   Process
     Decisions
     Choices
   Outputs
     Measurement
     Evaluation
   Outcomes
     Impacts
     Consequences
Demographic characteristics
- Age
- Race
- Income
- Education
- Sex

Political Attitudes
- Assessment of quality of local government
- Efficacy

Service Delivery
- Number of arrests/number of serious crimes
- Officers dispatched
- Zone crime rates/population
- Response time

Service Experience
- Contact with police
- Number of time victimized

Expectations
- Feeling of safeness

Assessments of Parts of Domain with Domain

- Satisfaction with police response time
- Satisfaction with police treatment of people
- Perceived equity of police protection
- Perceived equity of police response time
- Perceived equity of police treatment of police
- Perceived equity of amount of crime

Satisfaction with police protection
<table>
<thead>
<tr>
<th>Operational</th>
<th>Strategic</th>
<th>Normative</th>
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<tbody>
<tr>
<td>12. Participatory Budget</td>
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<td>10. Local government</td>
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<tr>
<td>21. Study Circle</td>
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<tr>
<td>13. Plebiscite</td>
<td>2. Citizen Advisory Board</td>
<td>9. Internet Chat Group</td>
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<tr>
<td>25. Telepolling/televoting</td>
<td>5. Focus Group</td>
<td>23. Survey (deliberative)</td>
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<td>6. Green Paper</td>
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<td>8. Interactive Website</td>
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<td></td>
<td>14. Public Inquiry</td>
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<td></td>
<td>18. Research Panel</td>
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<td></td>
<td>20. Stakeholder Forum</td>
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<tr>
<td></td>
<td>24. Survey (open-ended)</td>
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<tr>
<td>1. Advertising</td>
<td>15. Public Meeting</td>
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<tr>
<td>11. Newsletter</td>
<td>(with Q&amp;A)</td>
<td></td>
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<tr>
<td>16. PSA</td>
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<tr>
<td>26. White Paper</td>
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</table>

**AGENDA-SETTING CONTROL**

1. Informative
2. Consultative
3. Delegative

(-i) Disingenuous Efforts

(i) Operational

(ii) Strategic

(iii) Normative
<table>
<thead>
<tr>
<th>Citizen Leadership Quality</th>
<th>Veteran (i)</th>
<th>Novice (ii)</th>
<th>Rookie (iii)</th>
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<tbody>
<tr>
<td></td>
<td>10. Local government</td>
<td>24. Survey (open-ended)</td>
<td>25. Telepolling/televoting</td>
</tr>
</tbody>
</table>
The Pinnacle Byproduct

Legality, Integrity, Efficiency, Effectiveness, Involvement, Dependability, Transparency, Fairness

Foothill Goals
The role of the administrator has shifted which in turn may shift administrative structures.

There has been a “generative learning” process in which all learned from one another.

Effectiveness – The solution is one in which all stakeholders had input and are invested.

Developed Trust – Authority continues to hold power, Experts continue to hold information, Citizens continue to have access.
City Council

1 or 2 members

Citizenry

Majority members

Administrative Staff

1 or 2 members

Citizen Performance Team

Solicit citizen input about perceivable outcomes of public services

Develop performance measures based on citizen input

Help develop a data-collection system

Work with officials to use citizen-initiated performance measures in decision-making

Assist officials to disseminate performance measurement information to the public
Focus groups with community leaders & citizens

Citizen Performance Team

Citizen survey
to reach all citizens, including the passive, unvocal groups

Citizen phone hotline
for all citizens who are willing to call

Interactive website
for citizens who are comfortable with using computers

Internet chat room
for citizens with internet access who are willing to participate

Focus groups
with community leaders & citizens
Public Deliberation

5 Institutional Mechanisms
- Public Hearings
- Initiatives
- Public Surveys
- Negotiated Rule Making
- Citizens Review Panels

4 Approaches to Public Sector Management:
- Directive
- Reactive
- Generative
- Adaptive

Participatory Analysis:
- Needed for science and technology

Pluralism and Direct Participation

Deliberative Democracy

Education

Effective Participation
Managerial Structure

Program Management and Evaluation

Needs Assessed (clients and residents)

Needs defined & services determined

Clients treated

Decision & action results

Implement and track treatment

Information flow

Attempted control

* Elements of the media may have more operational influence on some human service organizations than others.
Identify Important elements of Public Service

CIPA Team

Effective Communication Channel

Citizens of Des Moines

Approval by Des Moines Neighbors

Political Equality

City Staff/Council

IOWA State University

Inclusiveness
Encouraging Neighborhoods
- Spider Graph
- Project Marketing

Deliberation
- Neighborhood Meetings
- Orientation

Identification of Performance Measures

Elected Officials

Reports
Performance Information to Public

Upload data into CCRS

Data Analysis

Elected Officials

Transparency

Authority

Non-Tyranny

Administrators

Use of Technology
- Digital Surveys
- Use of handheld computers, digital surveys, GIS mapping

Reflectivity

Develop Data Collection Techniques

Administrators

Readable to Ordinary Citizens
- Tables with short verbal summaries

Use of Technology

Effective Communication Channel
A team of 23 members
- citizens nominated by the Des Moines Neighborhood
- Associations,
- members of the council,
- city staff members
- representatives from Iowa State University

Identification of Problems
\[\downarrow\]
collection of Performance Data
\[\downarrow\]
Analysis of Performance Data
\[\downarrow\]
Production of Performance Reports

Impact of Performance Measurement System
- Transparency
- Reflectivity
- Fairness

Conditions of Public Deliberation
- Political Equality
- Inclusiveness
- Deliberation
- Authority
- Non-Tyranny

Outcomes
- Democracy Impacts
- City management Impacts

Outputs
Designing the Project

Forming a CIPA Team

Identifying Performance Measures

Collecting Analyzing Performance Data

Reporting Performance Information

Supply and Demand Strategy

**Supply**
- Networks
- Platforms
- Interfaces
- Utilization Infrastructure

**Demand**
- Needs
- Values
- Priorities
- Digital Surveys

Managerial Values
- Congruence between Organizational Goals and Measurement Schemes
- Improvement in Quality of Decision-Making
- Problem Identification and Problem Solving
- Efficiency and Cost Savings

Democratic Values
- Effective Communication among Participants
- Civic Engagement and Education
- Accountability

**Deliberation Process**

- Effective Communication among Participants
- Civic Engagement and Education
- Accountability
Des Moines, Iowa
- 198,682 population
- 82.3% White
- 21.8% college degree

City-wide strategic planning
- 12 core service areas
- 23 nominated citizens

Characteristics of Participation
- Equality of participation
- Inclusiveness people from all groups
- No domination of policy venue
- Reflective community concern
- Effective communication

CIPA's survey Team
- Monthly meeting
- Training
- City survey with uses of IT

Spider-graph for ensuring fairness/representation of citizens from all groups

City Government
- Policy Planning and Budgeting
  - Civic education
  - Accountability

Iowa State University
Funding & Technical support (Fund for the City of New York)
5. Measuring for Performance
Strategic Planning

Result Oriented Budgeting

External Monitoring

Internal Monitoring

Strategic Measurement

Performance Measurement

Values
Mission
Vision
*Effects (outcome) are not part of the production process; they refer to the impacts on society.
- Mission requirement
- Workload
- Resources
- Programs, plans and schedules

- Processes or procedures

- Products or services

Feedback performance
Output Quality

Means: Cohesion; Morale

Ends: Human Resource Development

Means: Flexibility; Readiness

Ends: Growth; Resource Acquisition

Means: Information Management

Ends: Stability; Control

Means: Planning; Goal Setting

Ends: Productivity; Efficiency

Control

People

Organization
Policymakers and the Public

USE: Accountability

Agency & Program Managers

USE: Align Strategic Management Systems

Program Managers and Staff

USE: Continuous Program Improvement

Amount of Performance Information

Comprehensive
Performance Measurement

Accountability

Citizen Surveys
- Participation & Engagement
  - Efficiency & Effectiveness
  - Reliable & Accurate
    - Transparencies, Learning, Appraising, Sanctioning
    - Auditing the accuracy of Performance Data used to create PM
    - Negative information, language reporting has negative impact

OR...

Success for PM

5 Strategies:
- Tolerating competing product def.
- Banning a monopoly on producing fig's
- Limit functions/forums of PM
- Limit products subjected to PM
- Use process & product perspective

If PM not accountable then…
Long Term Goals

2006

2008

2010

2012

2014

Measures increase short term production

Top-down Performance Measurement

Social Security Administration

Health and Human Services

Department of Homeland Security

Standardized Performance Measurement

Different measurements

Fit Measurement Here

Standardization may increase efficiency for decision makers but it stifles the ability of administrators

Administrative reforms reflect political values not technocratic solutions
Citizen Involvement

Measure Performance

Advisory Group

Enlist Community Members

Computer Database

Local Media

Responsiveness

Accountability

Achievements

Organization & Dissemination

Tools

Technology

Surveys

Education

Advisory Group

Collect Data

Citizen Participation

Citizen Involvement

Measure Performance
**Planning for Results**
- Vision & Mission
- Strategic - Goals
- Operational - Objectives
- Family of Measures per Program
- Employee Performance Plans

**Decision Making**
- Future Demand
- Performance Targets
- Adjust Allocations if Required

**Internal Audit Department**
- Provide meaningful and usable information
- To gain a greater understanding of processes and programs,
- To test for data accuracy, reliability, and comparability.

**External Audit Groups**
- Performance assessment experiments
- Citizen surveys
- Performance-reporting standards

**Evaluating Results**
- Performance Audit
- Employee Evaluations
- Resources Consumed
- Citizen Survey & Input

**Budgeting for Results**
- Demand for Services
- Performance Budget
- Resource Allocation

**Citizens**
- Businesses
- The media
- Interest groups

**Reporting Result**
- Data Verified
- Actuals vs. Forecasts
- Baselines & Benchmarks
- All Customers Included
A control of complex network of self-controlling human being is ill–understood and delivering unintended results (Smith 1995, 280)

The processes of Performance Measurement [PM]
- Collaborations
- Communication
- Trust

Citizens
Government

Challenges
- Disinterested
- Limited personal concerns
- Protecting personal interest rather than community

Challenges
- Disinterested
- Time consuming

Future goals: long-term Improvement of gov’t performance

System / Design of Measure Aspect
- Balanced - Multiple measurements
- Long-term attention
- Total performance measurement (Triangulation)
- Contingent, Flexible to situation
- Constant review of the system and data

Human Resource Aspect
- Professionalism
- Active performance-Leadership
- Information and education
- Sufficient staff training
- Involve staff at all levels

Institutional Aspect
- Political institution control
- Centralized / Decentralized structure

Difficulties and challenges

Assessing the performance of the performance measurement
Unanticipated results (Smith 1995)
- Tunnel vision
- Sub-optimization
- Myopia
- Measure Fixation
- Misrepresentation
- Misinterpretation
- Gaming
- Ossification

Challenges
- Disinterested
- Limited personal concerns
- Protecting personal interest rather than community

Challenges
- Annoyed
- Disinterested
- Time consuming

Remedies
Performance Measurement Systems and Targets

Will it be bad for my Organization?

If uncertain, Research has found a Participatory Approach Works Best

Allows people being measured helped Alleviate uncertainty and fear of system

Good Idea But…

by Internal Agencies

Auditing

Increases ability to change benchmarks
As conditions evolve over time

Practices? Funding?

What is the appropriate way to Conduct the Audit?

GASB Standards

Maricopa County Standards

Already tried and tested

Researching possible national Outcome reporting

May be more appropriate for a wider audience

Service, Efforts, and Accomplishments

Who is going to pay for this?

Tight Budgetary Situation

Citizen-Taxpayer

Business

Perhaps in return for implementing More business-like practices
Performance Measurement

Why is it used?

To give managers a better idea of what their departments are doing and are capable of doing

To allow senior management to impose their own priorities on middle and lower level management

Who uses it?

Internal Managers / Administrators
- Allows them to gauge management and operations

Elected Officials
- Allows them to maintain oversight of administrative departments

Citizens
- Allows them to monitor departmental performance
- Assists in the disbursal of resources

Senior Internal Managers / Administrators
- Allows them to monitor departmental performance

Problems Can Arise

1. Conflicting Priorities
2. Measurement Interpretation

Why?

Unclear / Misunderstood
- Inappropriate for the information that's really needed

Either way, helps administrators:
1. Set goals, expectations, strategies
2. Identify problems and solutions
Operations review

Methods improvements

Activity measurement

Personnel Budgeting

Annual budget process

Monthly Reporting

Phase 1: Operations review

Phase 2: Methods improvements

Phase 3: Activity measurement

Phase 4: Personnel Budgeting

Phase 5: Monthly Reporting

Operations list

Time/volume data

Budget worksheet

Staffing calculation factor summary

Production reports manhour performance unit costs

continuing
Improvement of Public Performance

Winston-Salem, NC

120 self-selected volunteers

Board of Aldermen

CERC: effectiveness and efficiency reviews

7 review teams

- Equality in participation
- Inclusive most citizens
- Close discussion

332 observations and 308 recommendations

Efficiency, Effectiveness, Use of IT, Reflect community needs

City Government

Public officials

Systematic and thoughtful evaluation of PM

Data sharing, Analyzing, Feedbacks, Benchmarking

Improvement in QOL of citizens

Dayton, OH

Dayton Priority Board

QL Indicators
40-50 --> 15-20

Education, Housing, Security, Neighborhood appearance, Park and Recreation

City Government

Public Interest

Data collection & analysis

Collaboration
Feedback
Communication

Reports

Forced Improvements

Catalysts

Plan Objective

Plan Involvement

Plan Process

Plan Analysis and Improvement

Imbalance/ Improvement

Transparency, Efficiency, HR, Prevention, Technology, Civic education, B/C Analysis
Long-term, Information utilization, Work Reorganization, Coordination

Public officials

City Government

Mobilize performance improvement of city gov’t

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Catalysts
Performance Measurement

PM as a Process → Contingent Nature

Unintended Consequences
- Tunnel Vision
- Suboptimization
- Myopia
- Measure Fixation
- Misrepresentation
- Misinterpretation
- Gaming
- Ossification

Performance Paradox
“incongruence between reported Performance Indicators and actual performance itself”

Barsriers to PM
Practical, Political, Managerial, Psychological Explanations

Dual Potentialities
- Controlling by holding employees accountable
- Empowering by giving them discretion

Legislature-to-administration communication
Citizen interest in PM communication
Goal specification
Problem identification
Inter-department coordination
Restaffing
Restructuring
Resource allocation
Positive Effects
- transparency
- incentive for output
- accountability

Negative Effects
- game playing
- internal bureaucracy
- obstacle to innovations
- obstacle to ambitions
- evasion of complexity
- obstacle to system responsibility
- obstacle to good performance

What to Measure
Strategies
- tolerance for a variety of product definitions
- a ban on a monopoly on meaning giving
- reducing functions and forums
- a strategic selection of products
- managing the competing “product approach” and “process approach”

- reserved use, space and trust
- rules of the game

How to Measure
Auditing Performance Data
- complexity of process
- organizational changes
- interpretation of measures
- reporting capabilities
- functional boundaries

Citizen-Driven Gov’t Performance
Use of Citizen Surveys
Performance Reporting

Political
Citizen Participation
Perceptions of Usefulness and Satisfaction

Technical
Methodological Rigidity
• Congruent with organization strategic plan
• Customized to the local context
• Meaningful & balanced measures
• Appropriate data collection procedures
• Regularly audit and review the measurement

Leadership

Planning for results

Decision making

Evaluating results

Participating for results

Reporting results

Budgeting for results

Use

Design

Organization

Performance Improvement

Resources (Financial, HR, IT)

Civic Engagement and Communication

Staff Training and Education

Unintended Consequences

Supporting structures
Stakeholders
- politicians, managers, funders, providers, purchasers, and consumers

Performance
Leadership
- Cost
- Quality
- Performance/resources
- Learning cycles
- Accountability
- Satisfaction
- Measurement

Unintended Consequences of measuring outcomes
- Test scores
- Crime report
- Creaming

Self-Interested Thinking
- Unintended Consequences of measuring customer satisfaction

Societal Thinking
- Psychological fear of consequences
- Practical political managerial

Policy implementation

PM

Internal

External

Purposes
Strategic Objectives

Outcomes Goals

Output Goals

Program/Org. Units

Resources ($$, FTE, Capital)
Performance measurement development and integration into existing and new decision processes and systems

Communication of performance information about programs and activities

Changed/improved communication among program/agency staff and with external stakeholders and policymakers

Better management of programs and public organizations; more informed fiscal allocation decisions

Improved program quality, responsiveness, and effectiveness

Outputs

Communication of performance information about programs and activities

Activities

Performance measurement development and integration into existing and new decision processes and systems

Initial outcomes

Long-term outcomes

Intermediate outcomes
Role of the Public

Provide input to selection and development of goals

Provide input to indicator selection and development; use data for advocacy and other purposes

Provide input to strategic goals and objectives

Provide input to measurement development; use indicator data in public discussion

Inform program selection and evaluation design; use results in public discussions

System Components

State Goals

Social Indicators

State Agency Strategic Plans

Agency Performance Measures

Program Evaluation

Accountability Functions

Inform the public; align agency plans and programs

Inform the public, policymakers, and other decision-makers about societal trends in the context of the state goals

Inform agency decisions about programs portfolio and resource allocation

Inform agency decisions about program improvement and support

Inform decision about program implementation and funding

State Goals

Social Indicators

State Agency Strategic Plans

Agency Performance Measures

Program Evaluation
Organizational Culture
- Organization structure
- Technology
- Role clarity
- Social support and interaction

Feedback

Organizational Climate
- Organizational environment
- Organizational communication
- Employee role conflict
- Supervisory support

Organizational Policies
- Training/development process
- Reward systems

Feedback

Organizational Performance Outcomes
- Employee job satisfaction
- Employee job performance

Organizational Readiness for Change
- TQM philosophy

Feedback
EFFICIENCY

Input Resources → Throughput Operations → Output of Goods and Services → Standards for Goods and Services

MATCH

EFFECTIVENESS
1. Comprehensive Plan
   Workforce
   Equipment & Materials
   Facilities
   Financing
   Political Objectives

2. Standards for Service
   Quality
   Cost
   Scope

3. Monitoring
   + Fund Balances
   + Operating Costs & Expenditures
   + Sub Contract Costs
   + Performance
   + Workforce levels
   + Earned Hours
   + Efficiency
   + Quality

4. Corrective Action
   + Resource Reallocation
   + Reorganization
   + Changes in Operations Methods Procedures Standards

Financial Data
Productivity Data
Reports
- Daily Crew Log
- Weekly Count Sheet (crew report)
- Leave & Absence Report
- Manpower Utilization Report
- Production Report

Data Sources
- Work Done in Field
- Daily Crew Log
- Daily Attendance Record
- Weekly Count Sheets
Context:

1. Political values
2. Forces of political interest groups/communities
3. Institutional structure
4. Decision making modes
5. Preferences of public officials

One size does NOT fit all and multiple sets of measure

Purposes:
Evaluate, Control, Budget, Motivate, Promote, Celebrate, Learn

Natures of work:
- Service delivery/production
- Regulation
- Financing/Funding

Design/strategies of performance system

Implementation
1. Data collection (comprehensiveness, timeliness, costless)
2. Resources (finance, HR, Organization capability)

Coverage: Input, output, outcome, citizen satisfaction

Meaningful standard/baseline

[...Performance measurement is not an end in itself…]
Identify Core Outcomes → Define in Measurable Terms → Measure as Outcome Indicators → Identify Areas For Change

Cost Effectiveness Analysis → Optimising Performance → Ex Ante → Identify Intervention Options

Impact Measurement Framework → Design & Deliver Interventions → Prioritise Intervention Options

Strategy Formulation → Define / Refine Intervention Logic
Define/refine Department Mission

Discuss/Review Internal/External Factors

Departmental Key Objectives

Roles of Programs

Strategy Activities of Programs

Performance Measures

Development of the Mission

Environmental Scan

Development of Key Objectives

Development of Strategic Initiatives

Activities

Monitoring/Evaluation

Why do you exist?
-- Mandates
-- Policy Agendas

Major effects on the organization’s capacity to most effectively pursue its mission

Describes what the agency needs/wants to do stated in the form of outcomes

How do you accomplish the key objectives? What strategies should be employed?

Activities constitute the strategies for accomplishment of key objectives. Multiple programs.

Progress towards key objectives. Plan implementation phases. Evaluation process
Performance Planning
- Targeting outcomes
- Determining resources
- Setting priorities
- Establishing standards

Performance Prediction and Development
- Analyzing performance
- Improving performance
- Developing potential
- Predicting future performance

Performance-Based Decision Making
- Organization and program related
- Performance related

Performance Monitoring
- Tracking progress
- Performance feedback
- Making adjustments

Performance Reinforcement
- Determining and applying incentives

Performance Appraisal
- Comparing performance against expectations
- Determining levels of performance reached
- Performance feedback
Input: Resources

Input: Demands

Processes

Outputs

Short-run Impacts

Long-run Impacts

Impacts Assessment

Implementation Monitoring

Performance Monitoring

Productivity Monitoring
**Output-Based Public Productivity**

- Public Productivity Measurement
- Diseases & Cures
  - Optimal Measure to minimize dysfunctional effects & maximize functional effects

**Incentive for Output**
- Transparency
- Accountability

**Internal Bureaucracy**
- Game Playing
- Blocks Innovation
- Blocks Ambition

**System Responsibility**
- Punish Good Performance

**Complexity of the Process**
- Organizational Changes
- Auditing Performance Measurement Data

**Functional Process**
- Reporting Capabilities

**Interpretation of Measures**
- Link Between Output & Outcome

**NCPP Guidelines**
- Measures & Indicators Select
  - Set Performance Targets
  - Monitor Results

**Report Performance**
- Outcome Indicators

**Outcome**
- Effectiveness

**Representative Democracy**

**Outcome-Based Performance Measurement**

- Outcome-oriented Indicators
  - Broader Understanding of Efficiency

**Levels of Citizen Participation**
- Empower
- Collaborate
- Involve
- Consult
- Inform
6. Improving Public Productivity
Productivity Causal Factors

- Motivational
- Skill
- Human
- Product
- Process
- Technology
- Quantity
- Quality
- Systems & Controls
Managing for quality
Developing human resources
Adapting technologies
Building partnerships
Measuring for performance

Resource inputs
(money, labor, energy, etc)

Internal Capacities
Outputs (services)
Outcomes (Impacts)

Subjective/personal
Objective/empirical

Feedback Re: budget-management decisions

Legislative/chief executive/corporate/media/citizen judgments
Productivity Investments

- Build government agency productivity and management capacity

Develop and implement operations improvement projects to improve agency productivity

Agency Performance and Agency costs

Feedback

Asses improvement and investment needs and constraints;
Community-based performance measurement and reporting for:
  agencies' service effectiveness and efficiency; community, customer, or clients needs;
Manager and employee capacity-building needs defined;
Monitoring and forecasting revenues and expenditures;
Assessment based on dynamic models of reality;
Improvement sought based on shared community vision and goals
EXTERNAL FORCES

- Increased demand for services by citizens
- Jurisdiction experiencing financial stress
- Population decline
- Reduced business activity
- Political cultural limiting options

PRODUCTIVITY ACTIONS

- Develop formal productivity programs
- Update professional talent and skills
- Set goals and standards for operations
- Reorganize functions

INTERNAL ACTIONS

### Strategies
- Limit union demands
- Cut human services
- Cut police and fire services
- Reduce capital expenditures
- Increase taxes
- Institute across-the-board cuts
- Make dramatic cuts
- Cooperate with other jurisdictions to bring pressure

### Coordinative/Operational
- Use advanced technology
- Implement stricter accounting procedures
- Contract out for service delivery
- Implement program budgeting
- Prepare studies documenting problems and needs
I. Informational

Demands for Productivity

Misperceptions

Information Sharing

Measurement of Performance

II. Social

Cultural Differences

Bureaucratic Pathologies

Management-Workforce Cooperation

Motivational Incentives

III. Technological

Local Technological Adaptations

Technology Transfer

Capital Underfunding

National Priorities

III. Technological

IV. Managerial

Public Management Scope

Procedural Rigidity and Irregularity

Structures, Systems, and Controls

Management and Workforce Training

Public Sector

Productivity Improvement

Actions

Opportunities

Demands for Productivity
Sufficient work not available or workloads unbalanced
• reallocating manpower
• changing work schedules
• reducing crew size

Lack of equipment or materials
• improving inventory control system
• improving distribution system
• reevaluating equipment requirements

Self-imposed idle time or slow work pace
• improving equipment maintenance
• reevaluating equipment requirements

Too much time spent on non-productive activities
• training supervisors
• using performance standards
• scheduling more work

Excessive manual effort required
• mechanizing repetitive tasks
• combining tasks or functions
• automating processes

Response or processing time too slow
• improving dispatching procedures
• revising deployment practices
• adopting project management techniques

Reducing excessive travel time
• reevaluating job description and task assignments

Schedule more work
Direct Results Programs

Results = Outputs

Inputs → Production Process → Efficiency

Productivity

Indirect Results Programs

Results

Inputs → Production Process → Tract Logic → Outputs

Production Process

Efficiency

Effectiveness

Efficiency
What Has Caused Productivity Declines?

Human Factors
- High Turnover
- Loss of skilled employees
- Drop in employees’ efficiency
- Increase in nonproductive time for training

Management Factors
- Phase-in of new facilities
- Reorganization
- Lag in workforce adjustments
- Outmoded facilities
- Uneconomic contraction

Workload Factors
- More complex adp requirements
- Rapid drop in military forces
- Increase in output complexity
- Quality increase
- Change in character of work

What Has Caused Productivity Improvement?

Human Factors
- Increased efficiency of personnel
- Acquisition of skilled personnel
- Job enrichment – job restructuring

Management Factors
- Improvement through capital investment
- Automation
- Procedures simplifications
- Organization improvement
- Affirmative improvement program

Workload Factors
- Workload increases
- Workload stability
- Workload predictability
- Workload in complexity
- Workload in quality
Input (Environmental factors)

- Demand for citizen participation
- Demand for existing services
- Public opinion
- Community involvement
- Political pressures and legitimacy
- Budget constraints/laws
- Cooperative among agencies

Process (Internal factors)

- Top management commitment
- Committed people at all levels
- Employee training
- Performance measurements
- Managing for quality
- Technology/structural change

Output

Productivity improvement

Feedback
Random Variations

Economic Inputs → Public Technological Process → Public Service Outputs

Adjustment in Inputs (+ or -)

Control

Resources → Planned Outputs → Actual Output which might Differ from Planned Outputs
Space
Furnishings
Equipments
Illumination
Thermal Factors
Cleanliness
Acoustics
Colors
Surfaces
Ventilation
Fixtures
Way-finding properties
Ergonomics

Objective Factors

Assessment Criteria

 Experienced Environment

Individual Attitudes

Organizational Outcomes

Sense of Place

Adequacy

Arrangement

Symbolic features

Extent of user control

Satisfaction & Performance

Productivity

Individual Attitudes and Behavior

Organizational Outcomes

Adequacy

Arrangement

Symbolic features

Extent of user control

Satisfaction & Performance

Productivity

Individual Attitudes and Behavior

Organizational Outcomes

Adequacy

Arrangement

Symbolic features

Extent of user control

Satisfaction & Performance

Productivity

Individual Attitudes and Behavior

Organizational Outcomes
Matches
The number of matches in the psychological contract

The degree to which the individual and the organization have clearly thought out their own expectations toward giving and receiving
High degree increases
Low degree increases

The amount of open discussion of expectations initiated by the organization, the individual, or both
High amount increases
Low amount decreases

The degree to which the individual understands the organization’s expectations and vice versa
High degree increases
Low degree decreases

More matches increase
Less matches decrease

The individual's productivity

High amount increases
Low amount decreases

The length of time the individual stays with the organization

Job satisfaction
Social and Economic
Multiple Motivational Approach
to Motivate ALL Factors of Production
Employee, Dept., Taxpayer

Result in

Unified Cooperative Organizations

Which can be achieved in government through

Saving-Sharing
Workers’ Trusts

High Synergy Organization
1. Goal setting
(social and economic)
2. Feedback
3. Participation
(social, psychological, and economic)
Fiscal Year

Schedule and Conduct Management Reviews

Management Reviews

Identify Possible Management Improvement Actions

Select Management Improvement Actions

Formulate Improvement Goals and Performance Indicators

Initiate Management Improvement Actions

Recycle

Assess Improvement Result

Compare Performance and Initiative Corrective Action
Stage 1: Learning to be *Effective*

Stage 2: Learning to be *Efficient*

Stage 3: Learning to *Expand*
**Improvisation Stage**

- No passages or cycles achieved

**Expansion Stage**

- Equipment turnover
- Transition of local budgetary support
- Appropriate organizational status
- Stable arrangement for maintenance and supplies
- Personnel classification

**Disappearance Stage**

- Governance rules change
- Internal and permanent practitioner training
- Promotion of personnel
- Turnover of Key personnel
- Attainment of widespread use

**Time**

- **Highly Routinized**
- **Marginally Routinized**

**Displaced Practice (if relevant)**

- **(1)**
- **(2)**
- **(3)**