Approved: <u>April 27, 2000</u>
Date

MINUTES OF THE HOUSE COMMITTEE ON APPROPRIATIONS.

The meeting was called to order by Vice-Chairperson Melvin Neufeld at 9:05 a.m. on February 3, 2000 in Room 514-S of the Capitol.

All members were present except: Rep. McKechnie - excused
Rep. Jeff Peterson - excused

Committee staff present: Alan Conroy, Kansas Legislative Research Department
Stuart Little, Kansas Legislative Research Department
Robert Waller, Kansas Legislative Research Department
Tom Severn, Kansas Legislative Research Department
Jim Wilson, Office of the Revisor of Statutes
Mike Corrigan, Office of the Revisor of Statutes
Dave Stallings, Assistant to the Chairman
Mary Shaw, Committee Secretary

Conferees appearing before the committee:
Duane Goossen, Director, Kansas Division of the Budget

Others attending: See attached list.

[Vice-Chairman Neufeld mentioned to the Committee that he had mentioned to the Chairman that this is really a session of how they make what little money they have this year, and in future years, really work for us. That is really the goal and how to be the most efficient in writing the budgets concerning the amount. He also mentioned that Chairman Adkins was testifying in House Taxation Committee at the time this meeting started.]

Vice-Chairman Neufeld introduced Alan Conroy, Chief Fiscal Analyst, Kansas Legislative Research Department, who gave a staff presentation regarding performance budgeting (Attachment 1). Mr. Conroy briefed the Committee about general performance budgeting and one state's experience, Oregon, which has done quite a bit in terms of statewide performance measures and benchmarks for agency performance.

Mr. Conroy mentioned that performance budgets use statements of missions, goals, and objectives to communicate the purpose for which funds are allocated. A performance budget typically groups spending authority by goal, showing all units that participate without regard to how a given goal may be the responsibility of different state agencies. This format allows policymakers to grasp the scope and cost of efforts to achieve a particular goal. The hoped-for advantage being that legislators could then "compare the relative effectiveness of different approaches to a problem and avoid unnecessary duplication." Mr. Conroy also noted that a basic principle which guides the application of performance budgeting is accountability for results.

Mr. Conroy explained information regarding the Oregon appropriations process and in particular performance budgeting within the state. He noted that perhaps the most salient difference between the Oregonian budgetary process and that employed in Kansas is Oregon's attempt to devleop a method whereby the effectiveness of state spending can be measured, i.e., benchmarks and performance measurements.

Mr. Conroy also noted that the linking of bench marks to agency funding is a process that is still in its early developmental stages. Questions and discussion followed. Vice Chairman Neufeld thanked Mr. Conroy for his staff presentation regarding performance budgeting.

Vice Chairman Neufeld welcomed Mr. Duane Goossen, Director, Division of the Budget. Director Goossen mentioned that performance budgeting is a very important and he appreciated the opportunity to participate in the discussion with the Committee. He hoped that it is a discussion that can continue on throughout the session and that legislators can truly consider some improvements to the performance budgeting process that Kansas currently utilizes. In response to a comment from Vice Chairman Neufeld

regarding additional meetings on the subject of performance budgeting, Director Goossen responded that the Division of the Budget stands ready to help in that discussion and are interested in improving their performance budgeting capabilities.

Director Goossen gave a description of Performance Budgeting: Preparing a budget that measures performance and focuses on results. He also mentioned that the terms strategic planning, managing for results, bench marking, performance measures and performance budgeting are terms used as part of this larger concept. Director Goossen mentioned that the concept surrounding all this is very simple and it involves answering three basic questions for every agency:

- What is our mission?
- How do we get there?
- How do we measure our progress?

Director Goossen noted that they try to use these answers to base the budget deliberations and budget preparation. He mentioned that they try to do that for three very clear reasons. One is simply to be accountable to the public and to policymakers so that agencies can be accountable. Second is for agencies to learn and improve their operations. Third is to keep focused on priorities. (Attachment 2)

Director Goossen referred the Committee to the following handouts which, are more in depth, to describe what Kansas is currently doing:

– Agency Strategic Plan (Attachment 3)

Director Goossen mentioned that this 16-page document is pulled from the budget instructions that their office sends out to every state agency. Director Goossen mentioned that each June the Division of the Budget sends a fairly lengthy document to all agencies which instructs an agency on how to put together their budget submission for the Division which ultimately is used to help the governor in drafting the governor's budget report. Part of the instructions refer to strategic planning, development of performance measures, outcome and output measures and how to develop such documents.

– Narrative Information – DA 40, Division of the Budget (Attachment 4)

Director Goossen mentioned that this document is the portion of an agency's budget submission that was submitted to the Division of the Budget that details their strategic plan, their objectives and the performance measures. He noted this as an example of what an agency submits to the Division of the Budget office.

Director Goossen mentioned that Kansas does a lot on performance budgeting. It is a topic they have been considering for a number of years. Kansas is part of a nationwide movement to try to look much more closely at performance and result-oriented goals as budgets are produced. He also noted that for a number of years Kansas has been making good strides in including more performance and outcome data in the budgeting process. Director Goossen mentioned that this year there are some challenges because there are limited resources available and performance budgeting does not eliminate funding challenges and does not eliminate the obligation to carefully analyze the detailed expenditures proposed for each agency.

Director Goossen noted the following points to consider:

1. Performance measurement is not necessarily easy or a process that is ever fully perfected.
2. Performance measurement is a tool that adds value but will not "revolutionize" Kansas budget deliberations.
3. The most important thing the Legislature can do is to show sustained interest in reviewing strategic plans and performance measures.

Committee questions and discussion followed. Vice Chairman Neufeld thanked Director Goossen for his time in appearing before the Committee and hoped that the Director would be available for further comments if the Committee comes up with a new set of questions.

Bill Introductions

A motion was made by Representative Neufeld, and seconded by Representative Ballard, to introduce a bill regarding medication necessary for treatment for social anxiety disorders, an insurance bill. Motion carried.

The meeting was adjourned at 10:30 a.m. The next meeting is scheduled for February 8, 2000.

Unless specifically noted, the individual remarks recorded herein have not been transcribed verbatim. Individual remarks as reported herein have not been submitted to the individuals appearing before the committee for editing or corrections.

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HOUSE APPROPRIATIONS COMMITTEE
GUEST LIST

DATE _February 3, 2000_

NAME	REPRESENTING
Elaine Frisbie	Div. of the Budget
David Kahne	Doug Gatewood
Roger Frauzke	KGC
Ray Lauber	DPS
Lois Wah	SRS
Loretta Pyles	KCSDV
Kevin Boone	Hein/weir Chrtd

January 24, 2000

PERFORMANCE BUDGETING

A performance budget reorders age-old policy questions. What type and quantity of resources government consumes—categories of expense—are no less important. It is simply secondary to the question of what government achieves for the money it invests. Salaries, benefits, travel, equipment, and the like become important in a performance budget when evaluating the efficiency of current government services compared to any alternatives. In this context, mission, goals and objectives are the foundation of a performance budget; they define what outcomes a state government seeks.

A government budget focused on performance would have the following characteristics:

- Present the major purpose for which funds are allocated and set measurable objectives.

- Report on past performance and use common cost classifications which allow programs to be compared rather than focusing on line item expenditures.

- Offer managers the flexibility to reallocate budgeted funds when conditions merit and reward achievement or impose sanctions for failure.

- Support by reliable, credible information that can be independently verified and incorporate findings from periodic, program specific evaluations.

Missions, Goals, and Objectives

Performance budgets use statements of missions, goals, and objectives to communicate the purpose for which funds are allocated. A performance budget typically groups spending authority by goal, showing all units that participate without regard for how a given goal may be the responsibility of different state agencies. This format allows policymakers to grasp the scope and cost efforts to achieve a particular goal. The hoped for advantage being that legislators could then "compare the relative effectiveness of different approaches to a problem and avoid unnecessary duplication."

As guidelines for action, mission statements call attention to what government deems important and in theory "align practice with value." While clarity of goal and direction is ideal, public sector reality is that different assumptions and views about the fundamental

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purpose and priority of programs make clear goals a challenge for effective performance budgeting in the public sector. Some states use long-range strategic plans to limit budget debates and expect, once hammered out, the document will set budget priorities for years to come. To the extent a strategic plan clarifies performance expectations, oversight is improved.

Performance Measures

A basic principle which guides the application of performance budgeting is accountability for results. Performance budgets specify the quantitative statistics policymakers will use to evaluate the impact of programs. Many people have discussed the type, use, and caliber of government performance measures. Perhaps one of the better discussions is *The Art of Performance Measurement* by David Osborne and Ted Gaebler. In their view, problems arise when government measures only its process, not results. Further problems arise when government can demonstrate efficiency but fails to examine the effect of its actions and evaluate the continued need for intervention. Osborne and Gaebler acknowledge that many in government resist measuring performance because the measurement has been done so poorly in the past. Osborne and Gaebler state:

> "It can take several years to develop adequate measures: An agency's first attempt often falls woefully short. It may only measure outputs, not outcomes. It may define outcomes too narrowly, driving employees to concentrate on only a few of the results the organization actually wants to achieve. It may develop so many measures that employees can't tell what to concentrate on."

Osborne and Gaebler suggest that without performance measures, policymakers cannot tell success from failure nor learn from correct experience.

In theory, performance measures substitute for detailed expense control categories or budget line items. As incentive and reward, performance budgets give managers flexibility to reallocate funds as conditions merit. Flexibility empowers managers to act upon innovations with potential to save the state money, now not later. Mistakes are expected and risked for the chance to arrive at successful program reforms. As it stands today, performance measures typically add to but do not supplant line item spending controls.

Oregon

You had requested information on the Oregon appropriations process and in particular performance budgeting within the state. Oregon's appropriations process differs from the one used in Kansas in several ways, *e.g.*:

- ► Oregon's budget is biennial. Appropriations are made for an entire biennium. The budget is passed by a legislature that meets once each biennium.

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▸ Appropriations decisions are made by a Joint Committee on Ways and Means. The 16-member Committee is divided into six standing subcommittees, for General Government, Human Resources, Natural Resources/Economic Development, Transport/Regulation, Education, and Public Safety. There are *ad hoc* subcommittees for capital improvements and pay raises for state employees. Subcommittees are composed of both House and Senate members. The Committee Co-Chairmen and Subcommittee Chairmen are appointed by the presiding officers of each house, with Subcommittee chairmanships rotating biennially. Subcommittee decisions are rarely challenged in full Committee. Committees of the Whole may return appropriations bills to Committee, but may not amend them. There are no conference committees on appropriations bills. (Oregon's legislative staff mention this as a very positive feature of their process.)

▸ Joint Committee rules prohibit minority reports, thus forcing subcommittees to work hard at finding compromises acceptable to all members.

▸ The Legislative Fiscal Office provides a summary of the Governor's budget recommendations (approximately 100 pages) to all legislators. A more in-depth analysis of agencies' budget requests and the Governor's recommendations (similar to the Kansas Legislative Research Department's *Budget Analysis*) is reserved to the Joint Committee on Ways and Means. Legislative Fiscal Analysts not only provide analyses of budgets, but also make recommendations to Subcommittees on those budgets.

▸ There are about 140 appropriations bills (the Oregon Legislative Fiscal Office reports that the Oregon Legislative Assembly is working to reduce this number, however).

Perhaps the most salient difference between the Oregonian budgetary process and that employed in Kansas is Oregon's attempt to develop a method whereby the effectiveness of state spending can be measured, *i.e.*, **benchmarks** and **performance measurements**.

Oregon's benchmarks were not originally intended for use as a budgeting tool. In 1987, then Governor Neil Goldschmidt commissioned an evaluation of what was needed to ensure long-term growth while protecting that "quality of life for which Oregon is renowned." The evaluation was published in 1989 in the report *Oregon Shines: An Economic Strategy for the Pacific Century*. The report contained a plan for maintaining high quality of life, educating a superior workforce, and establishing in the state an "international frame of mind" that would allow the state to exploit its position on the Pacific Rim.

The report also recommended that a state agency be created to see that the suggestions contained in the report were implemented. On the basis of that recommendation, the Oregon Legislature, in 1989, created the Oregon Progress Board. The Board, whose membership comprises the Governor and eight gubernatorial appointees (subject to

confirmation by the Senate; the appointees come from both public- and private-sector backgrounds; there are, however, no legislators on the Board), is assigned the task of designing a plan for Oregon's social, cultural, and economic progress over the next several decades. The Board must also report, once each biennium, to the Legislature on progress towards achievement of the goals outlined in the plan.[1] Such progress is measured by means of 92 **benchmarks**.

The benchmarks are meant to be measurable indicators of the state's well-being. They are meant to show results and outcomes, *e.g.*, changes in the state's literacy rate, rather than simply quantify activities, *e.g.*, the number of students served by schools, or per-pupil spending. The benchmarks encompass indicators from hate crimes to teen pregnancy to levels of air pollution.

The benchmarks are divided into three categories: benchmarks affecting people, those affecting quality of life, and those affecting the economy. Seventeen benchmarks were designated "lead benchmarks," meaning that they required immediate action. Thirteen benchmarks were called "key," meaning that their effect on the well-being of Oregonians was fundamental. Key benchmarks included air quality, crime, literacy, and personal income.

What follows are some of examples of the benchmarks.

Benchmarks for People

1990	Lead	1995	1990	Key	2010
12	Hate Crimes per 10,000 People	5	35%	Adults Proficient at Written and Quantitative Skills	65%
9%	High Schoolers Enrolled in Technical Education	18%	46%	Adults with Good Health Practices	75%
89%	Babies Born to Drug-Free Mothers	95%	12th (of 15 Countries)[2]	International Ranking of High School Seniors' Math Ability	1st
19.5%	Teen Pregnancy Rate per 1,000 Females	8.5%			

[1] It is also the Board's responsibility to update the plan. The Board is to evaluate the relative importance of the various goals in the state's strategic plan in light of current circumstances, and, if necessary recommend modifications. As part of the continuing updating of the plan, the Board, in 1992, solicited input from more than 7,500 firms, community organizations, government agencies, and individual citizens.

[2] Using the Ranking for the USA as a whole.

Benchmarks Affecting Quality of Life

1990	Lead	1995	1990	Key	2010
94%	Oregonians with Geographic Access to Health Care	96%	144	Crimes per 1,000 People	50
			?[3]	Quantity of Groundwater	?
84%	Oregonians who can Afford Basic Health Care	90%			
			100%	Current Agricultural Lands, Forests and Wetlands Still Preserved for those Uses	99%
29%	Oregonians who Commute to Work Using Energy-Saving Transport (Carpools, Buses, Bicycles, etc.)	40%			
			89%	Oregonians who Live Where Air is Clean[4]	100%
89%	Oregonians who Live Where Air is Clean	100%			

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[3] Where no levels are specified, data are not yet available, and measures are being developed.

[4] Clean air is both a short- and a long-term goal because clean air is a prerequisite for attaining other goals, and must be maintained over the long term.

Benchmarks Affecting the Economy

1990	Lead	1995	1990	Key	2010
28%	Lumber Industry Employees in Value-Added Manufacturing	39%	103%	Per-Capita Income as a Percentage of USA Average Portland	115%
8th	Oregon' National Ranking in Workers' Compensation Costs	20th-25th	85%	Rest of State	106%
			71%	Manufacturing Employees in Industries Other than the State's Largest	80%
?	Land Classified as Industrial That is Suitable for Development	100%			
			22%	Manufactured Goods Sold Overseas	50%
90%	Taxes *per capita* as Percentage of USA Average	90% to 100%			
			55%	Oregonians Working Outside Portland	55%

The Oregon Legislature gave approval to the benchmarks in 1991.

Election of a new Governor in 1990 and a fiscal shortfall of approximately $1.0 billion (which came about through a popular initiative and referendum) led to the incorporation of the benchmarks into the budget-making process in Oregon.[5] Governor Barbara Roberts saw the benchmarks as a tool for focusing scarce state revenues on popular goals, as well as a way to combat perceived public mistrust of government.

At the beginning of her administration, Governor Roberts asked state agencies to develop concrete mission statements, and to devote a portion of their resources to the achievement of certain benchmarks. Agency heads were required to rank their programs in order of importance, and to defend those programs before panels composed of other agency heads. The agency heads had to show the panels how each program contributed to the fulfilling of the agency's mission statement, and how programs promoted achievement of the benchmarks.

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[5] The funding shortfall came about through a voter initiative limiting property taxes. By the 1995-1997 biennium, the measure will have removed $2.8 billion from the state's $7.0 billion general fund.

The goal of this exercise was to prod agencies into designing programs that would promote progress towards achievement of the benchmarks, and to encourage them to devote resources to those programs. For example, in response to a benchmark that envisioned a dramatic increase in the number of high school students entering technical-education programs (from 9 percent in 1990 to 55 percent in 2010), higher education gave more emphasis to the training of technical teachers.

In 1992, the Governor created a formal nexus between the benchmarks and agency funding. Agencies were directed to reduce their budget requests for the 1993-1995 biennium by 20 percent from levels approved for the 1991-1993 biennium. Agencies were allowed to appeal the loss of funding in two ways:

1. First, agencies were given the opportunity to show that up to 10 percent of the lost funding was essential to the agency in carrying out its mission, as defined by the mission statements discussed above.

2. Then, agencies were given the chance to recover another 10 percent of the reduced funding by demonstrating a clear connection between requested expenditures and the 17 lead benchmarks.

Legislative reaction to the incorporation of the benchmarks into the appropriations process seemed generally to have been positive. The Speaker of the Oregon House, Larry Campbell, said that "the lead benchmarks [would] serve as a spotlight on a few critical issues. As we make progress, others will move into the lead category."[6] The Legislative Fiscal Officer, John Lattimer, believes that "if agencies will collect data and maintain them in connection with clearly-defined mission and goals, it will simplify legislative audit of their performance."[7]

The Oregon Legislature and the Budget and Management Division of the Executive Department are encouraging agencies to develop **performance measurements**. The performance measurements are meant to be stepping stones on the road to achievement of the goals set out in the benchmarks. Legislators and executive-branch budget officials want to see the **results** of agency activity; agencies have been warned specifically not simply to give activity measurements. Ideally, the performance measurements will allow legislators and citizens to determine whether moneys given to fund agencies and their programs are well spent, while, at the same time, giving them a glimpse of progress being made towards achievement of the benchmarks.

Mr. Lattimer reported that the Budget and Management Division is offering training to agencies on the establishments of performance measurements, and that a new statewide accounting system is being developed which links performance measures and agency funding.

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[6] *State Legislatures*, July, 1992, page 34.

[7] Ibid.

The linking of benchmarks to agency funding is a process that is still in its early developmental stages. While there is anecdotal evidence to show that some lawmakers involved in the appropriations process have found benchmarks useful, it is still too early to say whether the benchmarks have caused any fundamental change in the way Oregon's government spends its taxpayers' dollars, or whether they have had any permanent effect on the way Oregon's state government does business. Even at this early stage, however, there are some evident lessons that can be drawn from Oregon's experience:

▸ The Oregon Progress Board and the benchmarks that the Board has developed have enjoyed widespread popular support, as well as bipartisan support within Oregon state government. Shortly after her election, Governor Barbara Roberts appointed her opponent to the Progress Board. The legislation adopting the benchmarks was approved by large margins, both in the Republican-controlled House, and the Democratically-controlled Senate. This has helped to keep the benchmarks from simply being the current fad of budget reform, to be abandoned as soon as the next budget reform comes along.

▸ The establishment of the Oregon Progress Board has helped to institution- alize the role of benchmarks in Oregon state government.[8]

▸ Whether a budgetary process based on outcomes will succeed depends on the accuracy of the data given to lawmakers involved in the appropria- tions process. Oregon's experience with benchmarks shows that measuring the results of government programs is very difficult. For example, social-service agencies often do not follow the progress of their clients. If an agency does track a client's progress, for how long should such tracking continue? Information of this nature is hard to collect, and is expensive to maintain. Faced with such difficulties, some agencies gravitate towards activity measurements, *e.g.*, numbers of clients processed, or numbers of students enrolled. Such numbers can be useful, but they say nothing about the quality of services rendered, or the benefits derived from those services. Oregon has an advantage with regard to the collection of data in that it performs its own census; it can tailor census questions to collect information necessary in establishing baselines for the benchmarks and evaluating progress towards goals. It has also performed special surveys in order to establish benchmark baselines.

▸ The former Speaker of the Oregon House believes that the benchmarks will, over the long term, be useful in helping legislators to withstand pressure from interest groups. With solid performance data, it will, he believes, be easier for the Legislature to eliminate politically-popular but ineffectual programs.[9]

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[8] The Progress Board has a staff of four people. Other staff are borrowed as needed from state agencies for specific projects.

[9] *State Legislatures*, July, 1992, page 35.

For state governments under pressure to demonstrate to taxpayers what sort of return they are getting on their investment, Oregon's model could be useful, in spite of its difficulties. As the Oregon Progress Board remarked in its report to the 1993 Legislature: "By staying focused on outcomes, and by keeping tract of results, leaders . . . can reset priorities, and adapt and modify programs as they learn what works."[10]

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[10] Ibid.

Performance Budgeting

Performance Budgeting: Preparing a budget that measures performance and focuses on results.

> What is our mission?
>
> How do we get there?
>
> How do we measure our progress?

Why is measuring performance important?

> Accountability
>
> Learn / Improve
>
> Focus on Priorities

What is Kansas currently doing?

Points to consider:

> Performance measurement is not necessarily easy or a process that is ever fully perfected.
>
> Performance measurement is a tool that adds value but will not "revolutionize" Kansas budget deliberations.
>
> The most important thing the Legislature can do is to show sustained interest in reviewing strategic plans and performance measures.

> **Agency Strategic Plan**: A practical, action-oriented guide, based upon an examination of internal and external factors which directs goal-setting and resource allocation to achieve meaningful results over time.

An agency's strategic plan is an important source of information for the Governor, Division of the Budget, the Legislature, and the public. It provides a useful context in which to place the dollars an agency requests in its budget. This section of the *Budget Instructions* discusses both strategic planning and strategic plans. Strategic planning is more than filling out budget forms or compiling a document. Most of the value of strategic planning is realized during the <u>process</u> of planning itself.

Elements of the Strategic Planning Process

Put simply, strategic planning asks and answers five questions:

Question:	Strategic Plan Element:
What do we do?	Mission
Where are we now?	External/Internal Assessment
Where do we want to be?	Philosophy, Goals, Objectives
How do we get there?	Strategies, Action Plans
How do we measure our programs?	Outcome and Output Measures

A successful strategic planning process has the following characteristics:

➤ It is flexible; it fits the organization; and it is user friendly.

➤ It is participatory. The process involves executives, managers, supervisors, and staff at all levels. Further, it is not left to planners; everyone plans.

➤ It clearly defines responsibilities and timetables. It is carried out by those who have the responsibility within the organization for achieving objectives but is coordinated by a central figure, someone who has the "big picture."

➤ It energizes an organization; it produces understanding and common purpose throughout an organization.

➤ It remains aware of the environment in which it functions. It obtains perspectives from many levels and sources, both within and outside the organization.

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> ➢ It is realistic about goals, objectives, resources and outcomes. While not attempting to avoid all risk, it recognizes such constraints as public accountability, visibility, short-term horizons, personnel issues, overall fiscal conditions, and budgetary trends.

> ➢ It is convincing. It develops and conveys compelling evidence for its recommendations. (This characteristic is especially important in linking the strategic plan to an agency budget request.)

Budget Scenarios. An important dimension of the strategic planning process is linking the planning process to the development of budget requests and explaining how different budget scenarios relate to an agency's performance. The different levels of funding, such as reduced resource and current service, are expressions of budgetary input. There needs to be a clear linkage between the level of budgetary inputs for each of the scenarios and the anticipated outputs and outcomes for a given budget issue or program. Only in this way can rational decisions be made within limited budgetary resources at the different levels, with a clear understanding of the effect of those inputs on outputs and outcomes.

When an agency is constructing its strategic plan for an upcoming year, it may generate many internal documents that contain a great deal of detail, such as specific employees' responsibilities and timetables. While all of this detail will not be included in an agency's budget, there are elements that are to be included, such as:
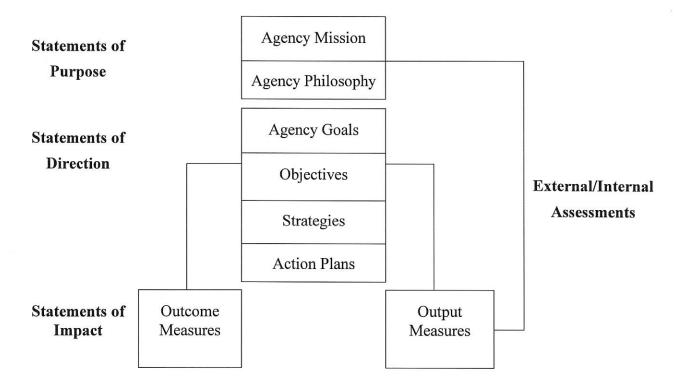

Elements of a Strategic Plan

1. **Agency Mission**--What the agency does.
2. **Agency Philosophy**--The expression of core values and principles used by the agency to carry out its mission.
3. **External/Internal Assessment***--An evaluation of key factors affecting the success of an agency in achieving its mission and meeting its goals.
4. **Goals**--The general ends to which an agency directs its efforts.
5. **Objectives**--Clearly-defined targets, in priority order, that quantify the achievement of an agency's goals and the effectiveness in qualitative and quantitative terms of meeting those targets.
6. **Strategies**--Actions and methods to achieve objectives.
7. **Outcome Measures**--Reliable assessments derived from objectives that indicate the effectiveness of agency actions.
8. **Output Measures**--Used to evaluate the effectiveness of agency strategies, they measure efficiency of agency actions.
9. **Action Plans***--Detailed methods that implement an agency's strategy.

*Inclusion in the agency budget request is optional.

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These nine elements can be grouped into three types of categories which move from the general to the specific. The **Statements of Purpose** are broadly defined and help delineate the overall agency mission and philosophies. The second grouping, **Statements of Direction**, break down the agency mission and philosophy into goals and objectives which are the basic building blocks of the strategic plan. The **Statements of Impact** detail the measurable outcomes for the objectives and outputs for the strategies defined in the Statements of Direction.

The relationship between the various elements described above is depicted graphically below:

| Statements of Purpose | Agency Mission |
| | Agency Philosophy |

Statements of Direction	Agency Goals
	Objectives
	Strategies
	Action Plans

| Statements of Impact | Outcome Measures | | Output Measures | External/Internal Assessments |

1. Agency Mission

Description. The agency mission identifies the reason for an agency's existence. A mission succinctly identifies what the agency does (or should do), and why and for whom it operates. A mission reminds everyone--the public, the Governor, legislators and agency personnel--of the unique purposes promoted and served by the agency. The mission should link with statutory requirements and the functional goals issued by the Governor and the Legislature.

Guidelines. The mission statement is all encompassing, rarely changed, and is the ultimate rationale for the existence of the agency. Representing the "what" and the "why," an agency's mission is the common thread binding its organizational structure and activities. A mission statement, generally one paragraph in length, should be clearly written to answer:

> ➤ Who are we?
> ➤ What do we do?
> ➤ For whom do we do it?
> ➤ Why do we do it?
> ➤ Why are public resources devoted to this effort?

Example. "The mission of the Department of Wildlife and Parks is to conserve and enhance Kansas' natural heritage, its wildlife, and its habitats to assure future generations the benefits of the state's diverse, living resources. The Department also strives to provide the public with opportunities for use and appreciation of the natural resources of Kansas consistent with the conservation of those resources."

2. Agency Philosophy

Description. The agency philosophy expresses the critical values and operating principles for the conduct of the agency in carrying out its mission. Agency philosophy articulates management policies and principles. While the responsibility for creation of the agency's vision rests with the agency head, effective visions are conceived through partnership between top management and all levels of the organization--in other words, those who will be implementing the vision.

Guidelines. The following consideration should be given to development of the agency philosophy:

> ➤ The philosophy represents how employees will conduct themselves as they carry out the agency mission.
> ➤ It embodies the organization's values.
> ➤ It should describe agency aspirations for the future.

Example. "The State Corporation Commission will act according to the highest standards of ethics, accountability and openness. We will regulate aggressively but fairly, in a competent, effective and efficient manner. In serving the public, the Commission will balance the interests of consumers, regulated entities, and others--treating all with respect and dignity."

3. External/Internal Assessment

Description. The assessment is an ongoing evaluation tool critical to the development of each agency's strategic plan but is not necessarily a part of the plan itself. The determination as to whether it should be included as a part of the budget document is to be made on an agency by agency case. If all or a portion of the assessment has particular relevance to the budget request, then consideration should be given to including it.

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Assessments refer to economic, political, technological, demographic, and social factors affecting the organization from a historical perspective to determine how well the agency has met the challenges presented by its internal and external environments. It is an evaluation of key factors influencing the success of an agency in achieving its mission and goals. The purpose of the external/internal assessment is to set the stage for the agency's goal-setting process and to facilitate the agency's recognition of current and future issues.

External Assessment. The external assessment is an analysis of key external elements or forces that influence the conditions under which an organization functions. Trends should be reviewed with examination given to forces that have the potential to affect or alter key elements of the environment. Major issues or problems should also be anticipated. Projections should be made with regard to future forces, environmental changes, and new opportunities that may be available. One of the biggest environmental factors for state agencies is the state's fiscal status. No discussion of an organization's operating environment would be complete without an understanding of the state's and an individual agency's revenue and expenditure estimates.

Internal Assessment. An internal assessment examines an organization's performance, problems and potential; in other words, its strengths and weaknesses. It evaluates the agency's capacity to respond to issues, problems and opportunities. It identifies customers and their expectations.

Guidelines. The ongoing process of external/internal assessment should consider the following elements:

➤ Who are the agency's customers and stakeholders?

The **customers** of government include anyone who receives or uses what a government agency produces or whose best interests are served by the actions of the agency. Customers can also be clients. Customers may be internal or external. Internal customers are units or persons (employees) in an organization whose work depends upon another unit or person within the same organization. External customers are end users of the organization's products or services. On the other hand, **stakeholders** are individuals who have a vested interest or expect certain levels of performance or compliance from the organization. However, stakeholders do not necessarily use the products or receive the services of an agency.

➤ Where has the agency been?

How well have the needs of the customers (both internal and external) been met? Have quality products or services been provided? Have improvements been made or has the agency been stagnant or in decline? Why?

➤ Where is the agency now?

Identify current programs or activities. Does the existing structure of programs and subprograms make sense? What are the statutory mandates for those programs or

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activities? Why are the programs or activities needed? Do existing programs or activities support one another? Do existing programs or activities support those in other state agencies? Are any programs in conflict?

➢ Where are the opportunities? What are the strengths and weaknesses?
What opportunities for positive change exist? How are the needs and expectations of customers changing? Does the plan accommodate that change? What are the constraints in meeting the customers' needs and expectation? What is the organization's capacity to act?

With respect to the third item of the above list, agencies need to review their program structures at least annually. Program structures should be revised when evidence indicates that a revision will improve agency operations, budgeting, fiscal reporting or management. In development or revision of a program structure, agencies should consider the following:

➢ Programs should serve a single purpose and set of objectives.
➢ A program may span more than one organizational subdivision within an agency; however, activities included in a specific program should be integrated.
➢ Programs should be split into subprograms only if the division improves agency operations, budgeting, fiscal reporting, or management of resources.

Either the agency or the Division of the Budget may initiate a change in program structure; however, all changes in program structure must be approved by the Director of the Budget before they are incorporated into the central accounting system. Although agencies may include subprograms in the accounting system for management purposes, not every subprogram necessarily would be reported separately in the budget. Agencies should discuss the program structure with the assigned budget analyst to determine the best reporting structure. An agency proposal to change the program structure should be submitted in writing and should include the following:

➢ Copies of current and proposed program structure charts.
➢ An explanation of problems encountered in using the current structure or the improvement to be gained.
➢ An explanation of all alternatives considered to resolve the problems.

The creation of new subprograms or the deletion of existing subprograms within existing programs is considered a change in program structure. Written proposals concerning program structure changes should be submitted to the Division of the Budget by June 1 to allow time for analysis and response before agencies begin working on program plans.

4. Goals

3-6

Description. Goals are the general purposes toward which effort is directed and are broad, issue-oriented statements reflecting an agency's priorities. They logically follow from, and are therefore consistent with, an agency's mission and philosophy. Within the context of an agency's external/internal assessment, they indicate what the agency intends to accomplish in the future. For strategic planning purposes, goals reflect the primary activities and strategic direction for the agency, programs or subprograms; they are not a comprehensive listing of every activity.

Guidelines. For agencies with more than one program, goals are generally reported in the strategic plan at the program level; however, more than one program could have the same goal. Also, the agency may report some goals at the agency level, rather than at a program level. Goals in the strategic plan should be reported in the programs where the responsibility for implementation is located. The following considerations will guide the development of goals:

> ➢ Achievement of goals should contribute to the fulfillment of the agency mission and philosophy.
> ➢ Goals should be realistically formulated in the context of external and internal constraints.
> ➢ Goals should be focused on agency customers and should be readily understood by agency customers.
> ➢ Goals should be presented in priority order based on level of importance or estimate of greatest effect.
> ➢ Goals should be limited to the number necessary to determine the agency's direction and provide a unifying theme for activities.

Example. The following examples compare well written to poorly written goals.

To rapidly and accurately respond to customer requests for information about _____ .
    vs.
To continue serving our customers.
(Not challenging.)

To ensure that the general public and industry representatives across the state are kept informed of important changes in _____ .
    vs.
To conduct one seminar in every county each year.
(Unclear purpose; may be more appropriate as part of an objective or action plan.)

To expedite processing of applications for _____ .
(Automation could contribute to making this goal more efficient.)
    vs.

3-7

To enter 3,000 agency records into the computer system by FY 1998.
(Too specific and short-term; would be more appropriate as an objective or action plan item.)

To improve employee morale and productivity.*
> vs.

To train our employees.
(Unclear purpose; more appropriate as part of an objective or action plan.)

Note: Because this goal addresses internal management concerns, it might not be one of the key goals reported in the budget.

5. Objectives

Description. Objectives complete the "Where do we want to be?" part of the strategic planning process. Objectives are specific targets designed to achieve a particular goal. In contrast to goals (which are broad, general statements of long-range end purposes), objectives are specific, quantifiable, time-specific statements of accomplishment or result. Similar to goals, they are presented in priority order. Objectives set the direction for action or strategies.

Guidelines. The following **SMART** considerations help guide the development of objectives:

> ➢ **Specific**: Objectives should reflect specific accomplishments that are desired, not ways to accomplish them.
> ➢ **Measurable**: An objective must be measurable to determine when it has been achieved. Measurement helps track progress and will be useful in evaluating the accomplishments of a program. Accountability should be built into the planning process.
> ➢ **Aggressive but Attainable**: If objectives are to be standards for achievement, they should challenge, but should not demand the impossible. Objectives should be realistic and attainable. For example, it would be reasonable to reduce highway accidents but not to eliminate them. Objectives should also be consistent with resources available.
> ➢ **Result-oriented**: Objectives should specify a result or outcome, not just an activity. An example of a result would be, "Respond to 75 percent of all correspondence within 30 days with an annual average response of 21 days or fewer." An example of an activity would be, "To increase service to the public through improved correspondence content and turnaround."
> ➢ **Time-bound**: Specify a timeframe for meeting objectives. Each objective should be attainable within a relatively short time period. Objectives which would take longer to achieve are generally more manageable and better integrated with the budget process if they are divided into smaller pieces.

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Example. The following examples compare well written to poorly written objectives.

>   To reduce by 5.0 percent the average cost of processing new hires by 6/15/2000.
>   vs.
>   To reduce processing time.
>   *(Not specific, measurable or time-bound.)*

>   To reduce the highway death rate by 10.0 percent in FY 2001.
>   vs.
>   To eliminate highway deaths.
>   *(Too broad, not realistic.)*

>   To complete 3,000 record searches during FY 2001.
>   vs.
>   To complete 3,000 record searches and 750 field investigations.
>   *(Actually two objectives, not time-bound.)*

6. Strategies

Description. Strategies are the methods or means an agency employs for transforming inputs into outputs. Thus, objectives indicate *what* the agency wants to achieve and the strategies indicate *how* objectives will be achieved.

Guidelines. The following considerations will guide the development of strategies:

> ➤ Strategies should be action-oriented, not procedural, in nature.
> ➤ More than one strategy may be needed to accomplish a particular objective.
> ➤ Strategies should be undertaken with a view to any constraints identified in the external/internal assessment.
> ➤ Strategies should be chosen on the basis of their potential benefit, as compared with other possible strategies, in accomplishing objectives.
> ➤ Strategies also should be chosen on the basis of their cost or other consequences, as compared with other alternative strategies, in accomplishing objectives.
> ➤ Strategies are supported and financed by inputs, the budgetary resources the agency requests in its budget submission, and there should be a clear and direct linkage between the inputs requested and the outputs that are estimated to be produced.

Example.

3-9

Objective: Increase the retention rate of undergraduate students by 5.0 percent in FY 20ZZ. Strategies to attain this objective:

> Improve advising services for freshmen and sophomores. A campus-wide committee, including faculty and students, will develop a new model for freshman and sophomore advising, by the end of the fall semester of 1999.
> Ensure students have convenient and adequate access to computers. Campus buildings will be canvassed to determine areas of inadequate access. A plan will be developed to address access needs by the appropriate faculty and support staff.
> Examine course scheduling to ensure students may complete course of study in a reasonable amount of time.

7. Outcome Measures

Description.   Outcome measures are derived directly from the objectives and indicate the effectiveness of agency actions. They are expressed in a quantifiable form and indicate the degree to which an agency is achieving its objectives. Outcomes, as distinguished from outputs, measure the ultimate result or effect of a service on customers.

Guidelines. The following considerations will guide the development of outcome measures:

> Outcome measures should be directly related to an agency's objectives and matched to an organizational unit responsible for achieving the measure.
> They should be reliable indicators (that is, consistent over time) of the objective to be measured.
> They should be quantifiable, and the information needed to support them must be available or obtainable without undue expenditure of agency resources.
> Outcome measures must be clearly formulated and readily understood.
> They should lead to a valid conclusion about an agency's past or current actions and facilitate budget decisions for future actions.

Example.

Percentage reduction in auto emissions.
Percentage improvement in air quality.
Reduction in incidence of measles.
Percentage of discharged patients living independently (versus homeless or on public assistance).
Percent of decrease in repeat complaints to a regulatory board.
Percent of increase in new businesses attracted to the state.
Percent of increase in tourists .
Percent of reduction in recidivism for juvenile offenders.

3-10

Number of students increasing their earning capacity upon graduation from adult literacy program.

8. Output Measures

Description. Output measures indicate quantitatively the amount of goods and services produced by an agency. They are used to evaluate the effectiveness of agency strategies, and they measure efficiency by calculating the ratio of goods and services produced (output) divided by input. Outputs are what the agency produces as an intermediate step to outcomes, which ultimately benefit the agency's customers.

Guidelines. The following considerations will guide the development of output measures:

> ➤ Output measures should be directly related to an agency's strategies.

> ➤ Output measures should be reliable indicators (that is, consistent over time) of the strategy to be measured.

> ➤ Output measures should be quantifiable (in unit cost terms, if possible), and the information needed to support them must be available or obtainable without undue expenditure of agency resources.

> ➤ Output measures should lead to a valid conclusion about an agency's past or current strategies and facilitate budget decisions for future strategies.

Output Measures versus Outcome Measures. It may be useful at this point to emphasize, by way of example, the distinction between outcomes and outputs, because both are a result of agency actions and could easily be confused. Most performance measures included in agency budget submissions to date have been output measures, rather than outcome measures. The following illustrates the difference between outputs and outcomes.

Output: number of patients treated
            is not the same as
Outcome: number of discharged patients living independently

Output: number of vaccines given
            is not the same as
Outcome: reduction of incidence of disease

Output: number of permits issued
            is not the same as

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Outcome: number of entities in compliance with requirements

Output: percentage of high school students who graduate
is not the same as
Outcome: percentage of students attaining a specified level of knowledge or mastery of skills in certain subject upon graduation

Service Delivery. The following diagram is intended to depict the proper relationship between various elements of an agency's service delivery system, particularly with respect to outcomes. Note the relationship between inputs--representing budgetary resources in support of people, time, space, and information--and outputs. It also shows the relationship between outputs, as an immediate product of the agency's effort, and outcomes, the effect the service has on the agency's clientele.

Service Delivery System and Outcomes

**Agency Delivery System
(Processes within the Agency)**

**Outcomes
(Results outside the Agency)**

Inputs	Input Indicators	Agency Activities	Output	Output Measure
Personnel

Supplies

Facilities | $ for salaries
$ for asphalt/ aggregate
$ for capital projects | Transportation: Road Repair | Lane-miles of road repair | No. of lane-miles repaired per $ expended |

Outcome	Outcome Measure
Quality or condition of roads	Percentage of lane-miles in good condition

**Efficiency
"Doing things right"**

**Effectiveness
"Doing the right things"**

Another type of output indicator measures efficiency. An efficiency measure is generally stated as a ratio of output to input or as an average. Ratios are used to express the relationships between performance measures to convey information about the productivity and cost effectiveness of a program or subprogram. In the example above, the cost per lane-mile of road repaired is an efficiency measure.

Checklist for Good Performance Measurement

Well-developed performance measures should include the following characteristics:

> **Meaningful:** measures are significant and directly related to the mission and goal.

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- ➤ **Relevance:** data essential for understanding the accomplishment of goals and objectives are included.
- ➤ **Comparability:** there is a clear frame of reference for assessing performance.
- ➤ **Timeliness:** information is available to users in time to make decisions and assess accountability.
- ➤ **Consistency:** data are reported consistently from period to period. It should be reviewed regularly and modified or replaced as needed to reflect changing circumstances.
- ➤ **Reliability:** measures are derived from systems that produce controlled and verifiable data.
- ➤ **Comprehensibility:** measures are comprehensive enough to be a fair representation of the agency's overall effort.

Developing Performance Measures

➤ **Establish appropriate mission and goals as outlined above.**

➤ **Select initial performance measures.** Ideally, performance measures are established by program managers with feedback from customers and policy-makers. The most effective measures are those which represent a consensus of what is intended and expected. Inputs are generally easiest to collect; outcomes tend to be the most difficult. Try to balance the measures to include both. Based upon a review of the agency's mission, program goals and any existing measures:

> Generate an initial list of inputs.
> Generate an initial list of outputs.
> Generate an initial list of outcomes. (It may be easier to identify these first.)
> Generate an initial list of output measures.
> Generate an initial list of outcome measures.

➤ **Select the key performance measures.** For each program, review the list of initial measures and select those that are <u>most important</u> based upon the mission and goals. In other words, identify which are the vital few measures from a policy-maker's perspective.

➤ **Define performance measures.** Good performance measures need to be specifically defined. Clear explanations of what is being measured, the source of the information, and how the value is being calculated should be documented:
Have the terms been clearly explained? e.g., "poverty"
How is the number calculated?
What formulas are used?

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➤ **Determine data requirements.** Information used to measure performance can take different forms. It can be financial (cost per application processed) or non-financial (infant mortality rate). To determine the data the agency needs to collect, ask:

What information do we currently gather? Will it meet our needs?
What new information will be collected?
Can data collection efforts be layered onto existing collecting efforts?
What existing data collection should be discontinued? Why?
What computer hardware and software exist to assist data collection and analysis?
What new or modified forms will be needed to collect data?
What resources will be needed to manage performance data?
What are the constraints to changing data collections? (Money, technology, tradition, politics, privacy, etc.)
How frequently will the data be collected? Monthly? Quarterly? Annually?

Performance data should be collected at the source of service because:
Those closest to program service know the program best.
Those who deliver the service can identify collection problems very quickly.
They also often have the best solutions to solving collection problems.
It may be too costly to train someone else to collect the data.

➤ **Determine baseline performance.** The next step is to assess baseline performance (Where are we now?). A baseline is established with data collected at the beginning of an improvement process so that it can be compared with future data to measure progress and improvement. If historical data is available, it can be used to determine the baseline. The baseline is usually derived from the most recent one-year period, or a shorter time-frame, if data is unavailable.

➤ **Use benchmarks to establish performance targets.** Benchmarks may be professional standards, national standards, accreditation standards or quality practices. After comparing baseline status and benchmarks for a particular program, managers and staff know how far the organization must go to equal the best performers. The difference or "gap" between the target and the actual performance represents room for improvement and should form the basis of expected improvements to agency performance.

➤ **Measure actual performance and report results.** An important way to measure progress toward the goals in the strategic plan is to measure actual performance. While agencies can never measure all the variables or identify true cause-and-effect relationships, unexpected results should be explained, if possible.

➤ **Review and Update Performance Measures.** Developing good performance measures is a process that evolves with time. Measures will need to be reviewed on an ongoing basis, and changed as necessary, based on experience.

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9. Action Plans

Description. Action plans make up the "How do we get there?" part of the strategic planning process. The action plan contains the details of how objectives, and consequently the goals, programs and the mission of the agency will be implemented. In other words, who does what and when?

Guidelines. Action plans should contain as much detail as each level of management feels is important. The section, unit or individual who is responsible for implementing and reporting each objective will need the most detail. As with the external/internal assessment, they are not generally included in the budget request, but provide background information to the published strategic plan. To manage an action plan, it is necessary to:

> ➢ Assign responsibility for successful completion of the action plan.
> ➢ Set a time-frame for completion of the action plan.
> ➢ Detail the action plan in steps.
> ➢ Determine the fiscal impact of the action plan and the resources necessary to carry it out.

Example.

Goal: To ensure that all nursery and garden businesses meet the initial requirements for licensure.

Objective: Review materials submitted by individuals who seek licensure to ensure that they meet the requirements for licensure.

Strategy: Provide assistance to potential licensees who may not understand or meet all licensing requirements.

Action Plan: By March 1, 2000, Daisy Crabtree, Examiner II, will develop a brochure regarding licensure requirements for operating a nursery and garden facility in Kansas.

By April 1, 2000, brochures will be printed and distributed to all post-secondary education institutions that have programs in horticulture or landscape architecture. For printing and mailing costs, $200 is included in the operating budget.

By May 1, 2000, Ms. Crabtree will have an outline for an oral presentation to be given at the post-secondary institutions, high schools or other pertinent groups, regarding the regulated profession.

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By June 1, 2000, she will begin scheduling presentations around the state. $500 is included in the next year's operating budget for travel costs.

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NARRATIVE INFORMATION--DA 400

)N OF THE BUDGET

TMENT OF ADMINISTRATION

⸤ OF KANSAS

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House Appropriations
2-3-00
Attachment 4

GENERAL ADMINISTRATION PROGRAM (0100):

This program provides the administrative structure at the Atchison Juvenile Correctional Facility for juvenile offenders to enable AJCF to plan, direct and manage operations, including personnel, fiscal resources and program to the maximum benefit for the rehabilitation process. The General Administration program provides for staff positions with the responsibility for planning, organizing, directing and managing AJCF operations. These activities involve the following functions: 1) recruitment and employment of qualified personnel consistent with rules and regulations of the AJCF Affirmative Action Plan; 2) annual preparation of a formal budget document that reflects the financial needs of the agency and management of appropriated funds to achieve an adequately financed and cost-effective program; 3) general responsibility for the physical facility and equipment, which includes general planning for the upkeep of the facility, awareness of codes and standards regarding the maintenance and operation of the facility and equipment and taking the initiative to see that the agency complies with all applicable codes and standards, with the ultimate goal to assure juvenile offenders and staff an environment that is physically and psychologically secure; and 4) assume general responsibility for program planning, development and implementation consistent with rules and regulations. The overall objective of the program is to assure public safety, while also assuring that the needs of the youth who are referred to the AJCF are adequately met.

PROGRAM GOAL:

Guide, direct and support the Atchison Juvenile Correctional Facility.

PROGRAM OBJECTIVE #1:

Maintain and operate facility and procedures in accordance with nationally recognized and respected benchmarks for juvenile correctional programs, achieving 100% compliance with mandatory standards and 90% compliance with nonmandatory standards of the American Correctional Association (ACA) Accreditation for Juvenile Training Schools. American Correctional Association standards assess all areas of facility operations, including fiscal management, personnel operations, training and staff development, record keeping, program services, food service, health care, education, citizen involvement, security, and physical plant operations.

STRATEGIES FOR OBJECTIVE #1:

1. Annual comprehensive review of compliance with American Correctional Association standards.
2. Annual policy manual review.
3. Maintain time table for achieving compliance of noncompliance plans.

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OUTCOME MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Percent of compliance with American Correctional Association mandatory standards	100%	100%	100%	100%	100%
Percent of compliance with American Correctional Association non-mandatory standards	98.5%	98.5%	98.5%	98.5%	98.5%

OUTPUT MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Number of mandatory standards	30	30	30	30	30
Number of mandatory standards met	30	30	30	30	30
Number of non-mandatory standards	387	387	387	387	387
Number of non-mandatory standards met	381	381	381	381	381

PROGRAM OBJECTIVE #2:

Do not exceed bed space capacity.

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STRATEGIES FOR OBJECTIVE #2:

1. Monitor population trends.
2. Convene population management committee whenever population approaches capacity.
3. Periodic publication of juvenile offender status report.

OUTCOME MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Percent over or under bed capacity for the year	2% Under	9% Over	10% Over	10% Over	10% Over

OUTPUT MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Facility average daily population	98	109	110	110	110
Facility juvenile offender capacity	100	100	100	100	100

EXPENDITURE JUSTIFICATION - GENERAL ADMINISTRATION:

Object Code 100 - Salaries and Wages:

Current Year - FY 2000: $609,687. This program provides the administrative structure at the Atchison Juvenile Correctional Facility for juvenile offender treatment to enable the facility to plan, organize and manage operations including personnel, physical plant, fiscal resources and program

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EDUCATION SERVICES PROGRAM (1300):

The purpose of the Education Services program is to provide a wide variety of educational opportunities for institutionalized youth. Educational programs offered include: 1) acquisition of life skills; 2) completion of appropriate grade levels; 3) exploration of career alternatives; and 4) augmentation of social skills. The Atchison Juvenile Correctional Facility contracts with USD #409 for educational services provided at Bert Nash School. The contract consists of salaries and wages for one administrator, teachers, paraprofessionals, crisis intervention counselors and clerical support and supplies and equipment to operate the school program.

PROGRAM GOAL:

Increase of life skills and competency to function in a complex and technical society.

PROGRAM OBJECTIVE #1:

Maintain academic standards consistent with the high standards of all State of Kansas schools by maintaining accreditation with the Kansas Board of Education.

STRATEGIES FOR PROGRAM OBJECTIVE #1:

1. Follow/enforce North Central Accreditation criteria for Bert Nash accreditation.
2. Follow/enforce Quality Performance Accreditation criteria on state accreditation.
3. Meet state guidelines for special education students.
4. Employ state-certified teaching staff.

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OUTCOME MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2000
Quality Performance Accreditation maintained with the Kansas Board of Education	Yes	Yes	Yes	Yes	Yes

PROGRAM OBJECTIVE #2:

Raise the average academic achievement level of all juvenile offenders served.

STRATEGIES FOR PROGRAM OBJECTIVE #2:

1. Each juvenile offender is tested and given an individual schedule designed to improve basic skills.
2. Each juvenile offender is reassessed at 120-day intervals through program reviews.
3. Juvenile offenders are afforded training for job acquisition, finding housing and developing life skills.
4. Juvenile offenders are afforded opportunities to improve social skills.

OUTCOME MEASURES FOR PROGRAM OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Percent of offenders who showed increased scores on standardized academic instruments	77%	90%	85%	88%	88%

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OUTPUT MEASURES FOR PROGRAM OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Number of offenders showing increased scores	105	151	145	154	154
Number of offenders tested	137	168	170	175	175

EXPENDITURE JUSTIFICATION - EDUCATION SERVICES:

Object Code 100- Salaries and Wages:

Current Year - FY 2000: $29,361. The funding for this program is for 1.0 FTE Secretary I position to provide the administrative support for the Education Services Program. Step movement and longevity bonus are included. A 3.0% shrinkage factor is applied.

Current Service – FY2001: $29,608. Continuation of current staff pattern with no new positions. Step movement and longevity bonus are included. A shrinkage factor of 3.0% is applied.

Object Codes 200 - 290 - Contractual Services:

Current Year - FY 2000: $1,104,019. This figure is made up of State General Fund dollars of $1,058,676 and $45,343 in Federal Title I funding to support the educational program administered by USD #409. The funds are used to pay salaries and wages for a Director of Education, teachers, paraprofessionals, crisis intervention counselors, clerical support, substitute teachers, administrative fees, and other operating expenses. Our current education contract with USD #409 was renewed in FY97 and will now expire at the end of the current year.

Recent Federal Special Education regulations have required additional special education staffing at Bert Nash School to provide for the instruction and documentation mandated by the regulations. Funding for this contract requirement is adequate for the current year. Teacher salary increases for the current year were expected to be 4% to 6.5%, when in fact raises averaging 5% to 7.25% were approved by the School Board. The allocated funding allows for substitute teachers, replacement of textbooks, equipment and supply purchases, and limited teacher development and training. Current IDEA

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ADJUDICATED YOUTH PROGRAM (5500):

This program provides several levels of structure designed to provide legal and humanistic conditions of confinement for juvenile offenders and assure the safety of juvenile offenders, agency staff and the community.

Open Living Unit Program: There are six open living units--Cottonwood, Hickory, Oak, Redwood, Sequoia and Sycamore. These open living units offer the least restrictive treatment environment for juvenile offenders who require moderate supervision. The juvenile offenders attend the Center's Bert Nash School, a fully-accredited secondary education facility.

Semi-Closed Living Unit: Maple Living Unit is a semi-closed unit that provides a moderately structured environment for juvenile offenders experiencing acute behavioral episodes, disorganizing psychological disturbances and chronic personality disorders. The juvenile offenders assigned to this living unit attend the agency's Bert Nash School.

Short-Term/Crisis Intervention/Temporary Security Unit: Ivy Living Unit is a Temporary Security/Closed Unit providing close observation and emergency security needs. This unit also serves as a central base for after-hours communication.

Each juvenile offender is provided physical safety from other juvenile offenders and environmental hazards. Schedules and expectations are provided upon admission to allow juvenile offenders an opportunity to predict consequences of behavior and daily events. The development of meaningful relationships with each juvenile offender is a priority for all staff. The Open Living Unit provides the "proving ground" for each juvenile offender's newly-acquired skills and strengths. The Semi-Closed Living Unit provides an intermediate level of environmental structure in which programming may be carried out while providing an adequate level of external structure.

The most structured programming exists at the security level and is utilized only in those circumstances where there is clear evidence that the juvenile offender is injurious to self or others. Juvenile offenders placed at this level are closely monitored by clinical staff and require a reevaluation each 24 hours for continuance. Visual checks are provided every 15 minutes and regular opportunities for counseling contact are provided each juvenile offender. The Temporary Security Program is designed for juvenile offenders who are temporarily assigned because of runaway or disruptive behavior in the open or semi-closed units. Juvenile offenders are expected to regain control and get assistance to develop insight into their actions.

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PROGRAM GOAL:

Provide legal and humanistic conditions of confinement.

PROGRAM OBJECTIVE #1:

Reduce to zero the number of escapes.

STRATEGIES FOR OBJECTIVE #1:

1. Assess escape risk at admission and make security-appropriate living unit placement.
2. Maintain "no escapes" reward programs.
3. Sanction juvenile offenders making escape plans or attempts.
4. Transfer to secure facility juvenile offenders persisting in escape plotting.

OUTCOME MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of juvenile offenders escaped from custody	1	4	0	0	0

OUTPUT MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Total annual juvenile offender population	285	309	315	315	315

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PROGRAM OBJECTIVE #2:

Reduce to zero the number of juvenile offender-on-juvenile offender battery incidents.

STRATEGIES FOR OBJECTIVE #2:

1. Train all juvenile offenders in Aggression Replacement Training (ART).
2. Sanction all juvenile offender aggressive behavior according to established rules.
3. Transfer to secure facilities juvenile offenders persisting in highly aggressive behavior.

OUTCOME MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Number of juvenile offender-on-juvenile offender battery incidents	20	16	0	0	0

OUTPUT MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Total annual juvenile offender population	285	309	315	315	315

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PROGRAM OBJECTIVE #3:

Reduce to zero the number of juvenile offender-on-staff battery incidents.

STRATEGIES FOR OBJECTIVE #3:

1. Train all juvenile offenders in Aggression Replacement Training (ART).
2. Sanction all juvenile offender aggressive behavior according to established rules.
3. Transfer to secure facilities juvenile offenders persisting in highly aggressive behavior.
4. File criminal charges against juvenile offenders who commit serious assaults against staff.

OUTCOME MEASURES FOR OBJECTIVE #3:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Number of juvenile offender-on-staff battery incidents	5	2	0	0	0

OUTPUT MEASURES FOR OBJECTIVE #3:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY2001
Total juvenile offender population	285	309	315	315	315
Total number of facility and contract staff	153	154	154	154	154

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PROGRAM OBJECTIVE #4:

Meet the established minimum standards of staffing for each shift 100% of the time for the fiscal year.

STRATEGIES FOR OBJECTIVE #4:

1. Monitor staffing patterns in all units to ensure optimal use of personnel resources.
2. Request additional FTE's through budgetary process to achieve conformance with staffing standards.
3. Implement Post Assignment System

OUTCOME MEASURES FOR OBJECTIVE #4:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Percent of time staffing standards are met	81%	83%	90%	90%	90%

OUTPUT MEASURES FOR OBJECTIVE #4:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of staff required	89	89	89	89	89
Number of existing full-time equivalent (FTE) staff	74	74	74	74	74

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ANCILLARY SERVICES PROGRAM (8000):

Psychological, Social, Health, Chaplaincy, Activity Therapies and Addiction Recovery services are individualized and designed to assist juvenile offenders in achieving maximum benefit from their placement at the Atchison Juvenile Correctional Facility.

Social Services are provided under the direction of the Chief Social Worker. Soon after admission, social workers interview the juvenile offender and his family, if possible, to obtain information necessary to identify problem areas and develop a specific program for the juvenile offender. Social workers work closely with other staff, especially psychologists and juvenile corrections officers and specialists in the delivery of services to juvenile offenders. Social Services provides sex offender treatment for all juvenile offenders committed on felony sexual offenses.

The Psychology Division performs comprehensive psychological assessments on each juvenile offender within 30 days of admission. It is also the responsibility of the Psychology Division to provide a psychological reassessment of each juvenile offender every 120 days to measure psychological and/or behavioral changes. The Psychology Division is organized to assist juvenile offenders with cognitive and behavioral changes by utilizing individual and group techniques including psychoeducational group training and counseling. The Division provides group treatment of all juvenile offenders committed for felony-level violent offenses.

The Addiction Recovery program provides both substance abuse education and counseling to juvenile offenders by providing as many components of the continuum of care for alcohol and drug abusers as possible within this setting. The division coordinates with outside agencies relative to alcohol and drug services, assesses all incoming juvenile offenders for need of alcohol and drug treatment services, provides and coordinates treatment and staff consultation in alcohol and drug matters and delivers training to new and existing staff concerning alcohol and drug issues. AA and NA groups are provided by this program, as well as coordination with follow-up and after-care programs for those juvenile offenders most in need of on-going training and counseling.

Chaplaincy Services serves as liaison between the AJCF and the religious community, provides a religious needs assessment for juvenile offenders upon admission, conducts voluntary chapel services and group and individual religious counseling, and supervises the work of numerous community volunteers.

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Activity Therapy has two major components: leisure activities and physical activities. Leisure activities may include arts and crafts, music and a wide variety of indoor activities. The physical activities component usually involves competitive athletics (swimming, softball, flag football, volleyball), bicycling and all types of activities played both indoors and outdoors.

A Health Services component is provided by a Registered Nurse III and one Program Support Worker. Medical, dental, optometry and psychiatric services are provided through contracted practitioners. The purpose of this program is to provide medical assessments upon admission involving physical examination, laboratory testing, dental examinations, auditory screening and visual assessments. When dysfunctions are noted or develop, it is this program's responsibility to take corrective action to assure adequate standards of health. Medications and treatments are monitored and medications supplied. Acute medical problems are referred to general hospitals. A psychiatrist monitors juvenile offenders being treated with psychotropic medications at least once per month. Juvenile offenders are given health education pertaining to their health problems as part of the treatment plan. Follow-up medical care/discharge plans are coordinated with social workers. This division also provides training in health care procedures for Juvenile Corrections Officers.

PROGRAM GOAL:

Develop and continuously evaluate programs that will improve the juvenile offender's behavior and ability to live productively and responsibly in the community.

PROGRAM OBJECTIVE #1:

Provide programming that ensures that offenders placed on conditional release successfully complete their conditional release.

   STRATEGIES FOR OBJECTIVE #1:

   1. Train all juvenile offenders in Aggression Replacement Training (ART).
   2. Require violent offenders to undergo violent offender or sexual offender group treatment.
   3. Provide life skills training for appropriate juvenile offenders.
   4. Continue use of adventure-based counseling (Outward Bound-type programming).

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OUTCOME MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Percent of juvenile offenders who successfully complete conditional release	42%	38%	42%	45%	45%

OUTPUT MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Total number of juvenile offenders who complete conditional release	58	58	63	67	67
Total number of juvenile offenders placed on Conditional Release	138	151	150	150	150

PROGRAM OBJECTIVE #2:

Complete psychosocial assessment on all new admissions within 40 days after admission.

STRATEGIES FOR OBJECTIVE #2:

1. Set all planning dates approximately 25 days after admission.
2. Track compliance with 40-day standard.
3. Provide feedback to staff in danger of falling short of standard.

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OUTCOME MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Percent of assessments that were completed within 40 days after admission and mailed to the courts	47%	66%	80%	80%	80%

OUTPUT MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of assessments completed within 40 days after admission and mailed to the courts	81	148	160	160	160
Number of assessments processed	171	223	200	200	200

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PHYSICAL PLANT AND CENTRAL SERVICES PROGRAM (9600):

The Engineering and Protection program provides the staff and resources involved in maintaining and operating the Facility's physical plant. This subprogram also provides the staff and supplies necessary for maintaining the institutional facility, including buildings, equipment and grounds. This involves routine checks of the facility, preventative maintenance and emergency maintenance.

The Supply Services program maintains the institutional warehouse that includes storage and issuing of all items utilized in the agency with appropriate and accurate inventory records. Additionally, it assists in the preparation of agency estimates utilized to purchase supplies and capital equipment and monitors the institution's usage of all inventory supplied.

The Dietary Services program is responsible for providing attractive, tasty, nutritious meals to juvenile offenders and staff at the Atchison Juvenile Correctional Facility. Menus are designed to meet and/or exceed the recommended daily allowances as set by the Kansas School Lunch Program for the resident population at the agency. Occasionally, juvenile offenders will have nutritional problems, which requires modification to their daily food intake. Special diets are developed and instructions given to these juvenile offenders with the dietary and medical staff monitoring their progress. The Dietary Services staff not only prepare and serve the meals at the facility, but also are responsible for the care of the kitchen, dishroom, dining room and serving line and all equipment and supplies associated with them. A private contractor has provided food service operations since October 2, 1996. Aramark Correctional Services assumed the contract in October 1998. The new contract is renewable for 4 additional years.

Most laundering is accomplished with commercial-grade washers and dryers within the facility. Contracting is required for laundering linens and for dry-cleaning certain items at the facility.

PROGRAM GOAL:

Provide a safe and healthy physical environment for juvenile offenders and staff.

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PROGRAM OBJECTIVE #1:

Correct deficiencies documented by the Kansas State Department of Health and Environment and the State Fire Marshal within 90 days.

STRATEGIES FOR OBJECTIVE #1:

1. Maintain standards of sanitation in food preparation through program of staff awareness and training.
2. Assure sanitation of academic and administrative areas by scheduling cleaning tasks and assigning appropriate staff.
3. Conduct regularly scheduled inspections to assure compliance with fire safety requirements.
4. Stress fire safety during new-employee orientation classes.

OUTCOME MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Percent of deficiencies documented by the KDHE and the Fire Marshal corrected within 90 days	100%	100%	100%	100%	100%

OUTPUT MEASURES FOR OBJECTIVE #1:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of KDHE documented deficiencies corrected	14	14	10	10	10
Number of Fire Marshal documented deficiencies corrected	9	6	5	5	5
Number of deficiencies documented by the KDHE	14	14	10	10	10
Number of deficiencies documented by Fire Marshal	9	6	5	5	5

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PROGRAM OBJECTIVE #2:

To correct 100% of identified safety hazards.

STRATEGIES FOR OBJECTIVE #2:

1. Conduct regularly scheduled inspections to assure identification of safety hazards.
2. Stress safety in new-employee orientation classes.

OUTCOME MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Percent of hazards corrected	100%	100%	100%	100%	100%

OUTPUT MEASURES FOR OBJECTIVE #2:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of hazards corrected	84	110	75	75	60
Number of hazards identified	84	110	75	75	60

PROGRAM OBJECTIVE #3:

To meet or exceed the standards set by the American Correctional Association for sanitation facilities in living units.

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STRATEGIES FOR OBJECTIVE #3:

1. Conduct regularly scheduled inspections of all facilities.
2. Make prompt repairs of damaged or malfunctioning units.
3. Replace on a timely basis units that are beyond repair.

OUTCOME MEASURES FOR OBJECTIVE #3:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of juvenile offenders for each wash basin	2.4	2.5	2.3	2.6	2.6
Standard: (Maximum number of JO's per basin)	12.0	12.0	12.0	12.0	12.0
Number of juvenile offenders for each shower	3.9	4.2	3.8	4.3	4.3
Standard: (Maximum number of JO's per shower)	8.0	8.0	8.0	8.0	8.0
Number of juvenile offenders for each toilet	2.6	2.7	2.5	2.8	2.8
Standard: (Maximum number of JO's per toilet)	12.0	12.0	12.0	12.0	12.0

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OUTPUT MEASURES FOR OBJECTIVE #3:

	Actual FY 1998	Actual FY 1999	Estimate FY 2000	Current Service FY 2001	Enhancement Package FY 2001
Number of wash basins in living units	43	43	43	43	43
Number of showers in living units	26	26	26	26	26
Number of toilets in living units	40	40	40	40	40
Average daily juvenile offender population	102	108	100	112	112