PERFORMANCE MEASUREMENT SYSTEMS AS A PLANNING TOOL IN PUBLIC SECTOR ORGANIZATIONS: OVERCOMING OBSTACLES TO IMPLEMENTATION AND BUY-IN

by
Angela Lynn Gray

An Applied Research Project (Political Science 5397) Submitted to
the Department of Political Science
Southwest Texas State University
San Marcos, Texas
in Partial Fulfillment
for the Requirement for the Degree of
Masters in Public Administration

(Spring 1998)

Faculty Approval:

Pat Shields

Kay Hofer

TABLE OF CONTENTS

Chapter 1: Introduction **1**

Intent of the Applied Research Project 3

Overview of the Problem 5

Research Focus: Georgetown, Texas 7

Research Purpose 9

Chapter 2: Literature Review *11*

Purpose Statement 11

The Notion of Accountability 11

Conceptualizing Accountability 14

Planning 15

Control 16

Management 16

Timeline of Accountability Tools in the Public Sector 17

1880s and 1890s 17

Early 1900s 18

1920s: Executive Budgeting 20

1930s 21

1950s: Performance Budgeting 22

1960s: Planning-Program-Budgeting Systems 23

1970s: Zero-Base Budgeting 25

1980s: Automatic Control Budgeting 27

1990s: Entrepreneurial Budgeting 29

Shortcomings of Various Accountability Approaches Used 31

Reforming Accountability in Public Sector Organizations 33

Chapter 3: Components of a Results-Oriented Management System 35

Introduction 35

Conceptual Framework 36

Planning Element 41

Control Element 45

Management Element 48

Chapter 4: Research Setting 54

Overview of Georgetown, Texas 54

Georgetown's Police Services 58

The City of Georgetown's Planning Process 61

Impetus for Improving Georgetown's Management System 63

Chapter 5: Methodology 65

Field Research 65

Document Analysis 67

Physical Artifacts 69

Log of Events 69

Operationalization of the Practical Ideal Model 70

Framework for Holistic Management Components 71

Primary Criteria for Performance Measures Focused on Macro Level Criteria 71

Primary Criteria for Performance Measures Focused on Micro Level Criteria 72

Coding Procedure 72

Presentation of Results 73

Chapter 6: Results **76**

Assessment of the Level of Inclusion of Georgetown's Critical Management Elements *77*

Planning Element: Values 77

Planning Element: Vision 80

Planning Element: Mission Statement 81

Control Element: Goals 83

Control Element: Strategic Objectives 86

Management Element: Performance Measures 89

Assessment of Performance Measures Developed by Georgetown's Police Services 92

Inclusion of Customer, Internal Business, Innovation/Learning, and Financial Criteria 92

Assessment of Georgetown's Police Services' Performance Measures to Model Criterion 94

Inclusion of Criteria: Administration and Organization 95

Inclusion of Criteria: Professional Standards 96

Inclusion of Criteria: Special Operations 97

Inclusion of Criteria: Patrol Services 98

Inclusion of Criteria: Information Management 99

Overall Conclusions 101

Chapter 7: Conclusion 102

Research Summary 102

Research Weaknesses 103

Research Strengths 104

Possible Further Studies 105

Bibliography 107

Appendices 115

Appendix A - Log of Events 116

Appendix B - City of Georgetown Values Statement 122

Appendix C - Values Process (taken from Georgetown's 1994 CAFR) 124

Appendix D - Draft Vision Statement 128

Appendix E - "How to Apply with the City of Georgetown" Brochure
and Listing of Job Opportunities (received 315198) 130

Appendix F - Personnel Policies and Procedures (1211197) 136

Appendix G - Performance Appraisal Packet 161

Appendix H - Pay Plan (taken from the 1997198 Annual Operating
Plan) 181

Appendix I - City of Georgetown Travel Policy and Travel Expense
Report Forms 183

Appendix J - Charter Requirement for Compliance of Budget with
the "Century Plan" (1997198 Annual Operating Plan) 193

Appendix K - City Manager's Letter to Council (1997198 Annual
Operating Plan) 195

Appendix L - Ends and Means Statements (1997198 Annual Operating
Plan) 208

Appendix M - 1997198 Operating Plan Element: Police Services 216

Appendix N - 1998199 Operating Plan Preparation Schedule 238

Appendix O - Georgetown Electric Utility Survey 1998 242

Appendix P - List of Internal Training Offered by the City of Georgetown 251

Appendix Q - 1997 Texas Quality Award Application Guidelines 253

TABLE OF ILLUSTRATIONS

Figure 3.1: Practical Ideal Model: Planning Elements 44

Figure 3.2: Practical Ideal Model: Control Elements 47

Figure 3.3: Practical Ideal Model: Management Elements 51

Figure 3.4: Practical Ideal Model: Summary of Primary Elements 52

Figure 4.1: Population Trends for Georgetown 56

Figure 4.2: Permits Issued and Property Values for Georgetown 57

Figure 4.3: Budgeted Number of Employees 58

Figure 6.1: Explanation of Criteria 95

TABLES

Table 5.1: Characteristics of Document Analysis 67

Table 5.2: Characteristics of Field Research 68

Table 5.3: Characteristics of Physical Artifacts 69

Table 5.4: Operationalization of Practical Ideal Model 74

Table 6.1: Assessment of Planning Element: Values 78

Table 6.2: Assessment of Planning Element: Vision 81

Table 6.3: Assessment of Planning Element: Mission Statement 82

Table 6.4: Assessment of Control Element: Goals 87

Table 6.5: Assessment of Control Element: Strategic Objectives 89

Table 6.6: Assessment of Management Element: Performance Measures 91

Table 6.7: Assessment of Performance Measurements for Georgetown's Police Services 93

Table 6.8: Assessment of Performance Measurements to Model: Administration 96

Table 6.9: Assessment of Performance Measurements to Model: Professional Standards 97

Table 6.10: Assessment of Performance Measurements to Model: Special Operations 98

Table 6.11: Assessment of Performance Measurements: Patrol 99

Table 6.12: Assessment of Performance Measurements to Model:
Information Management 100

Chapter 1

INTRODUCTION

> With scarce budget resources, a rapidly deteriorating infrastructure, a growing population, an endangered environment, and a stressed educational system, taxpayers increasingly are demanding greater results for their tax dollars. The search for better ways of producing results has never before been more critical.[1]

The "search for better ways of producing results" is not new to government. History shows numerous methods have been employed to ensure an accountable, efficient, and effective government. But many of methods implemented, particularly in municipal government, have either failed or been discarded for new ideas as fresh faces enter the political arena or serve to administer programs. And many of the methods employed at the municipal level have had a singular focus, frequently relying on the budget as a means to communicate results. Failure to introduce a holistic management system aiding administrators in sound decision making and clearly communicating objectives and outcomes to constituents often results in the belief that government is inefficient.

Cynical attitudes toward government often center on the integrity, purpose, and effectiveness of government and its administrators.[2] Theories suggest that citizens question their relationship with government and experience disenfranchisement when: 1) citizens believe that municipal government is using its power against them or not assisting them with their problems, 2) citizens do not feel they are a part of municipal government or they feel misunderstood or ignored, and 3) citizens find municipal government services ineffective (Berman, 1997: 106). Many citizens feel no affiliation with their local government and only become involved when a service or program has failed (Berman, 1997: 106). Their negative encounters with municipal government often outweigh positive experiences (Goodsell, 1994). Citizens see government taxing them, charging them fees, and fining them, while granting favors to special interest groups. On the other hand, citizens are often less informed about the role played by local government in providing environmental programs, quality education, and economic development planning.

---

[1] Keehley, *et. al.*, 1997: 1.

[2] See, for example, Durant, 1995; Jurie, 1988; O'Connell, Holzman, and Armandi, 1986; and Starobin, 1995.

Current levels of citizen frustration and dissatisfaction may very well be the necessary catalyst for improving the programs and services charged to municipal government organizations (Stupak and Garrity, 1993: 7). As with private sector products and services, citizens have every right to expect the same level of service and options in public sector organizations, according to Vice President Al Gore (1993 and 1995) and authors David Osborne and Ted Gaebler (1993). Public sector organizations are faced with issues concerning competition, privatization, and a quickly changing technological world.[3] Mediocrity is no longer an acceptable form of operation in government. Simple, short-term solutions are seldom sufficient. Without a clear understanding of how the organization sees itself in the future, it is nearly impossible to set goals and adopt disciplines that will move the organization achieve those objectives.

Improving accountability while reducing public cynicism may be addressed using three strategies. First, municipal governments should clearly demonstrate it serves to help citizens, rather than harm or treat them indifferently (Berman, 1997: 106). Local governments can achieve this objective by mobilizing methods that educate citizens on its actions and how it serves their interests.[4] Second, municipal governments should incorporate citizen input into public decision making, encouraging participation through the use of surveys, panels, and focus groups.' Third, strategies should aim at enhancing the reputation of local government competency and efficiency by incorporating good performance and effective communication of that performance to administrators, managers, and citizens (Berman, 1997: 106 and Stipak, 1977).

---

[3] See, for example, Fairbanks, 1996; Hall and Weschler, 1990; Hatry, Greiner, and Swanson, 1992; Kaplan and Norton, 1996; Keehley, *et.* al., 1997; Osborne and Gaebler, 1993; and Thomas, Means, and Grieve, 1988.

Intent of the Applied Research Project

. This Applied Research Project focuses attention on the final strategy of enhancing the competency and efficiency of public sector organizations, specifically city govenunent. Through the development of a practical ideal model that incorporates and ultimately takes into account an organization's values, mission, goals, and objectives, this project strives to create a holistic performance measurement system. Accordingly, it is this prescriptive model which emphasizes the broader issue of governmental accountability and effectiveness.

The use of performance measurements is not new to the public sector. In fact, the use of performance measures and a variety of other management techniques have been tested at every level of government through out history in the United States as a means for improving accountability. Previous applications of performance measurements, however, focused heavily on inputs and outputs. A renewed interest in performance measurements has led researchers to advocate that public sector organizations develop measures which are more meaningful to the user.[6] Harry Hatry (1992) sites the benefits to performance outcome, efficiency, and effectiveness measures. Still, evidence points to a reluctance among some public sector administrators to implement and consistently use performance measurements other than for inclusion in the budget document. According to John Allen (1996: 11), a number of public sector administrators consider the use of performance measures merely a "bean counting exercise, offering little in terms of program planning and performance improvement." This hesitancy may be due, in part, to the difficulty in identifying program goals and objectives within the public sector (Kravchuk and Schack, 1996: 349). Oftentimes, public sector organizations may not be entirely clear about their goals and objectives (Osborne and Gaebler, 1993: 147). This difficulty lies in the fact that program outcomes may be nebulous or realized so far into the future that administrators may be unable to realistically determine the ultimate impact on society.

---

[4] See, for example, Denton and Woodward, 1990; Garnett, 1992; and Wheeler, 1994.

[5] See, for example, Bacot, *et.* al., 1993; Berman, 1997: 106; Buckwalter, Parsons, and Wright, 1993; Chrislip, 1993; Glaser and Bardo, 1994; and Streib, 1992.

The result is a performance measurement system that is disjointed, inadequate in detecting problems, unable to ensure effectiveness and efficiency, or drive rational decision making. Despite these concerns, the art of performance measuring is of considerable value to both the administrator and the citizen. The emphasis on performance measurement by federal, state, local, and public entities such as the Government Finance Officers Association (GFOA) must be viewed as a means for better understanding an organization's processes and outcomes. This Applied Research Project argues that performance measures should be developed as a tool that enables "holistic, integrated analysis of the organization's mission, goals, and objectives in relation to its current performance in the context of other internal and external conditioning factors" (Kravchuk and Schack, 1996: 349).

---

[6] The reader will easily find a wealth of information available on this topic. For starters, the researcher recommends the following selections: Ammons' ***Accountability for Performance: Measurement and Monitoring in Local Government*** (1995); Groszyk's ***Implementation of the Government Performance and Results Act of 1993*** (1995); Hatry, ***et. al.***, 1987: 9; Kaplan and Norton's ***The Balanced Scorecard*** (1996); Osborne and Gaebler's ***Reinventing Government*** (1993); and Wholey and Hatry, 1992: 604-610.

Overview of the Problem

Citing the need for more efficient and effective use of tax dollars, public administrators at every level have aggressively sought methods for improving public sector performance throughout history. Of late, the use of performance measures to improve government accountability has resurfaced as the "tool of choice." In overcoming difficulties surrounding the development of performance measurement systems in the public sector, it is important for administrators to understand that performance measures are not a "cure-all approach" to resolving management issues, nor should they be used to "point the finger" or "place the blame." Instead, performance measurement systems should be regarded as a vehicle that can compliment a management strategy [*e.g.*, Total Quality Management (TQM) or Management By Observation (MBO)] and serve as a powerful force guiding decision-making. A systemic approach to integrating performance measures with an organization's values, mission, strategic objectives, and goals can help managers at every level focus on the success of the organization. This holistic management approach can present public sector administrators with a clearer and more precise method for determining how success will be achieved rather than focusing on small, short-term accomplishments which may ultimately contradict the organization's objectives. To gauge results by merely relying on performance measurements is not sufficient. Instead, a holistic management system (opposed to a piecemeal approach) coupled with organizational goals and values, may serve as the best way to broach an existing problem, shift directive, or execute a plan for organizational efficiency and effectiveness.

There is an abundance of literature which discusses using the budget as a form of accountability and the methods for implementing performance measurements. The materials reviewed, however, failed to address some of the underlying issues which plague the effective use of performance measurements by many public sector administrators. Developing meaningful performance measures in public sector organizations is a complex task. Solutions should be found that strike a balance between cost-effective data collection, overcome management resistance, and establish linkages between program activities and the benefits derived. Given these problems, a set of questions emerges:

☐ How should government overcome these obstacles?

How does government obtain buy-in at all levels to use performance measures?

☐ How does government maintain a commitment from all stakeholders to use the system over the long-term for decision making?

Studies addressing these issues are scarce. Few researchers have broached the possibility that a successful formula for results-oriented government begins with a holistic consideration of a performance measurement system meshed with the organization's values, mission, and long-range goals. Criteria for implementing meaningful performance measures must also entail participation and input at all levels of the organization, including those benefitting from the services provided by the organization. This study advocates that once a meaningful performance measurement system is agreed upon by a public sector organization's administrators, performance measures and the data collected should be viewed in light of the program's overall purpose, asking why the program exists and what the organization intends to accomplish based upon the existence of the program. Answering these questions requires consideration of whether the program or activity will move the organization closer toward its stated mission without jeopardizing organizational values. Sound decision making based on performance measurement results cannot occur in the absence of direction guiding what the program is supposed to accomplish. If programs are not achieving specified goals, the program should be improved, modified, or eliminated. Linking organizational values, mission, and goals to performance measurements not only creates a unique system for monitoring activities, it holds public sector organizations accountable, gives greater meaning to the often "lofty" statements of organizational worth, and it makes sense.

This statement holds particular truth at the municipal level. Municipal governments are faced with providing a multitude of services to their community, often with limited resources and staff. In many ways the provision of services to a municipality's residents is, compared to other levels of government, held to a higher degree of accountability.

Research Focus: Georgetown, Texas

The purpose of this study is to assess the management system the City of Georgetown, Texas has in place and evaluate the quality of the performance measures implemented by Georgetown's Police Services. Faced with a quickly growing and changing environment the City of Georgetown has made strides to improve services at every level. **A** holistic management tool as discussed herein can potentially benefit a city like Georgetown in 1) forwarding the City's plan for implementing performance measurements within all departments, **2)** adhering to the City's results-oriented style of management, **3)** ensuring the City and its activities are moving toward achieving its mission and long-range objectives, and 4) ensuring alignment with citizen expectations.

All too often, performance measurement systems are implemented without consideration of a holistic view of the organization. Borrowed from either another public sector organization or the private industry, performance measures of this caliber tend to be profit-driven, neglecting the important elements government is faced with. The "blanket approach" used in many organizations when developing performance measurements frequently results in an inefficient tool for management control. The consequence of poorly designed performance measurement systems often are too many or too few measures with little meaning to guide management decision making. Measures developed in this fashion cannot gauge how closely operations relate to or stray from the vision, goals, and philosophy of the organization; therefore, administrators have no true ability to ensure citizens or staff that objectives are being met and tax dollars are being used efficiently except from a short-term perspective. As a result, decision makers often are faced with disgruntled citizens, management resentment, underutilization of performance measures, and no clear understanding why performance problems may exist or how they should be resolved. During fiscal year 1997, Georgetown's Police Services was the fust department to implement performance measures, linking the Department's objectives and activities to the City's values and "ends and means," as appropriate.[7] Administrators had expressed the need to implement a system which would benefit managers in daily operations and achieving long-range goals.

The intent of this paper is to develop a practical ideal model that takes into account a host of factors which aid a city manager in decision making. A municipality faced with dramatic economic change can benefit most from a holistic management system which provides meaningful data on every aspect of the organization. Measurement systems alone only consider efficacy issues; these systems cannot accurately determine the origin of problematic or model performance. However, when performance measurements are integrated with the organization's values, mission, strategic objectives, and goals, administrators can pragmatically gauge performance according to any deviations from the long-range objectives of the organization. By establishing a measurement system which embraces all facets of total quality management, the City of Georgetown can be assured that performance measures monitor alignment with the mission of the organization. The end result is a performance measurement system benefiting all management levels, ensuring a more accurate assessment of activities to move the organization closer to its objectives.

---

[7] See Chapter 4 for a more in-depth discussion on the City of Georgetown's planning process and management system. Also see Appendices J and L for an overview of Georgetown's Century Plan and defmitions of End and Mean statements.

Research Purpose

The purpose of this Applied Research Project is threefold. The literature review demonstrates that while researchers stress the importance of performance measurement systems as a management tool for government, there is a lack of literature detailing how to implement performance measures in such a fashion that a holistic management tool is created to monitor all criteria resulting in a successful program. Therefore, the foremost purpose of this research is to integrate components found in the literature into a practical ideal model which can be used to implement a holistic performance measurement system for public sector organizations. The second purpose of this research is to use the practical ideal model developed to 1) assess the management system the City of Georgetown has in place and 2) evaluate the quality of the performance measures implemented by Georgetown's Police Services. Finally, recommendations for improving both the City's management system and the performance measures used by Georgetown's Police Services will be made. The practical ideal model set forth within this paper has the potential to benefit other municipalities with the implementation of their own quality performance measurement systems.

Chapter 2 of the Applied Research Project provides an historical overview of the methods government has used to ensure accountability. Chapter 3 presents the components of a results-oriented management system. This discussion provides the framework for developing the practical ideal model. Chapter 4 describes the research setting for this study, outlining the City of Georgetown's current management system. In Chapter 5, the researcher addresses the methodology and operationalization of the documents to be examined. Chapter 6 presents the results of the research in relation to the practical ideal model. Finally, Chapter 7 summarizes the overall results of the research, evaluating both its weaknesses and strengths, and makes recommendations for improving the practical ideal model as well as possible future studies.

Chapter 2

LITERATURE REVIEW

Purpose Statement

The purpose of this chapter is threefold. First, the notion of accountability and its importance for improving service delivery in the public sector is explored. Next, an historical overview of the developments in methods to ensure accountability at the federal, state, and local government levels is discussed. Finally, reasons for abandoning various accountability tools and the need for creating a holistic management tool are examined.

The Notion of Accountability

According to James Q. Wilson (1989: 117-118), government acts as a monopoly supplier of valued services for which there are no willing customers. The principal activities of government can be divided into four categories: 1) production of goods and services, 2) regulation and subsidization of private producers, 3) purchase of goods and services, and 4) redistribution of income (Stiglitz, 1988: 24). In striving to accomplish its objectives, government must operate in the arena of accountability, equity, fiscal integrity, and efficiency (Wilson, 1989: 316). To add to the challenge of maintaining a reputation for integrity, James Q. Wilson (1989: 317) finds that among the many valued outputs government must supply, one of the most important is maintaining the confidence and support of citizens and interest groups. Unlike private sector executives who are concerned with "the bottom line," public sector administrators have a multitude of competing objectives. For these reasons, evaluation of public sector performance becomes arduous in the sense that goals, outcomes, and citizen/customer[5] satisfaction are not simple or clear to measure. Measuring efficiency and obtaining citizen/customer agreement on the relative importance of programs and activities is no simple task. As Herbert Simon (1998: ii) points out:

> . . .[I]t is not enough that a society work efficiently and productively. We also expect a society to distribute goods and services fairly, however vigorously we may debate and disagree about the criteria of fairness. In particular, we cannot expect fairness of distribution, measured by almost any criterion, unless all members of the society are represented in the distribution process.

It comes as no surprise, therefore, that government, burdened with satisfying many goals, should appear inefficient particularly when compared to private sector organizations that have fewer objectives to fulfill (Wilson, 1989: 318).

Simon's statement highlights the precarious role of government. Subject to public scrutiny, government is held to a higher standard of accountability for its provision of services than is often found in the private sector. Historically, government has used a number of methods to communicate results and ensure accountability for its actions. To begin, accountability is a method for identifying how public sector administrators use public funds to improve society through the implementation of programs and services (McKinney, 1994). Accountability also includes the actions of administrators in the organization to meet the needs of their constituents. Not only is government held accountable for its actions, government must be able to provide its services efficiently, effectively, and equitably, all to the satisfaction of its citizens and political leaders. Accountability is achieved when the level and mix of government spending and the distribution of its costs are decided in a climate of full disclosure by the elected representatives of the residents of a jurisdiction (Rafuse, 1991: 14).

---

[5] Throughout this paper, the terms citizen and customer are interchanged. It is the researcher's contention that in the provision of quality services, government has a responsibility to treat citizens (the taxpayer) as a customer. Customer-driven organization's solicit citizen input through surveys, focus groups, and complaint tracking systems. In addition, services can be improved by providing 800 numbers, various means for communicating with staff, making payments to the city, and customer service training for staff (see, for example, Osborne and Gaebler, 1993: 166-194).

Accounting and budgetary systems have often served as the means to ensure accountability. Early forms of accountability in the public sector were interpreted narrowly. Accountability in the early 1900s generally referred to concepts of honesty and control. Primarily, accountability was viewed in terms of the budget or methods of accounting employed by public sector organizations. Early budgets focused typically on objects-of-expenditures. Even in the 1990s, concerns over accountability in the public sector continue. Today, accountability is tied to the results of government efforts. The budget document still tends to be the medium most often used for determining the level of results.

The means for ensuring results (accountability) in public sector organizations, however, stem beyond simply monitoring the budget document and budget cycle. Current concerns over the implementation and use of performance measures may be attributed to the ongoing debate over the definition of accountability and the means to ensure accountability within public sector organizations. Government has the task of producing multiple objectives for a diverse "customer base". In order to gain a better understanding of the needs and concerns local public administrators face when implementing performance monitoring systems, reasons surrounding the development of accountability are conceptualized.

Conceptualizing Accountability

There are a number of reasons for developments in public sector accountability. As previously mentioned, citizen distrust has been a tremendous motivator in developing and communicating public sector accountability (Berman, 1997; Chrislip, 1993; Gore, 1994; Greider, 1992; and Rubin, 1996). Feelings that government is unresponsive and that public officials do not listen to citizens but cater instead to special interest groups have given way to suspicions as to how prudently government spends the public's tax dollars. Government at every level has quickly realized the importance of maintaining a high level of trust among those being served.

Trust is an element which is grounded in accountability. The first step to garnering citizen trust is to view citizens as "owners" of government. Gerald.E. Smith and Carole A. Huntsman (1997: 310) recommend a value-centered paradigm of citizen involvement. Rather than asking, 'What is the cost of government?" a value-centered perspective focuses on the gains and benefits citizens receive from government (Forbis and Mehta, 1981). It encourages citizens to ask, "What is the ***worth*** of government to the citizen?' (Smith and Huntsman, 1997: 310). By employing a proactive approach to managing the government's scope and affairs, citizens can become participants rather than spectators standing on the sidelines (Buckwalter, Parsons, and Wright, 1993; Schachter, 1995). Cities that foster a positive relationship with their citizens through a variety of strategies encompassing participation, information, communication, and reputation have been found to experience less cynicism than cities that do not (Berman, 1997: 105; Forbis and Mehta, 1981; and Smith and Huntsman, 1997).

Accountability in the public sector has most often been addressed through the budget document. Strategic planning efforts, use of performance measures, and garnering citizen input are usually secondary approaches employed. Furnishing more and better information by using a combination of these tactics, however, can communicate what government is doing and how well it is accomplishing its goals. Employing any or all of these methods simultaneously can also address the trust and performance deficits while addressing issues overlooked by the budget. Unfortunately, these management efforts are rarely blended together in a holistic approach. As demonstrated in the literature, historically, while several management techniques have been used by public sector organizations, rarely are these techniques used in a holistic manner to create a more powerful and useful management tool.

In order to better understand the tactics that have historically been employed in the public sector to ensure accountability, it is important to create a framework from which to begin the discussion. Allen Schick (1978) identified three distinct administrative processes which encompass accountability in the public sector. These processes include the control, management, and planning functions. The following is a brief discussion addressing the important differences between the three functions.

Planning

The planning function entails the strategic processes for determining objectives of the organization (Schick, 1978: 250). At this functional level, the chief executive officer of a public sector organization imposes a "comprehensive and consistent set of judgments on all government spending" (Knott and Miller, 1987: 209). The planning element also encompasses the evaluation of alternative courses of action and the authorization of select program. According to Schick (1978: 251), the planning function is linked most closely to budget preparation.

Control

Control is an operational process centered on assuring specific tasks are carried out in an efficient and effective manner (Schick, 1978: 250). Control is the process of binding public sector managers and the organization's assets to carrying out the policies and plans set by politicians, council members, or top administrators (Schick, 1978: 250). Control activities are most predominant during the budget execution and audit stages. Specific control activities in the budget document include "line-itemizations" (*e.g.*, personnel, fuel, rent, office supplies -- otherwise known as inputs) which are the means for determining estimates of program costs and the disbursement of funds to support those activities (Schick, 1978: 251).

Control activities can be further defined to include methods for obstructing fraud and waste in public sector organizations. Examples of such control methods are better and uniform accounting procedures, centralized purchasing, and expenditure audits (Knott and Miller, 1987: 209). Control activities could even be specifically directed toward staff through codes of ethics and personnel policies. Finally, control measures can define permissible activities through regulation, policies, laws, or ordinances.

Management

Management may be defined as the process for assuring resources are obtained and used efficiently and effectively in the accomplishment of an organization's objectives (Schick, 1978: 250). Management activities include the programming of approved goals into specific projects and tasks and the design of organizational units to carry out approved programs. Management activities also encompass the staffing of the organizational units and the procurement of necessary resources

(Schick, 1978: 251). According to Jack Knott and Gary Miller (1987: 209), the management function allows the chief executive officer within a public sector organization, through the "functional consolidation of the agencies and the elimination of independent boards and commissions," to coordinate activities.

Schick's three notions of accountability form the basis for considering the emphasis government has historically placed on different budget and accounting systems. While these three processes play an important role in the management of all organizational aspects, it quickly becomes apparent from the literature that government -- at the federal, state, and local levels -- tends to apply these processes primarily within the parameters of the budget document. The obvious solution is to design a system that serves the multiple needs of budgeting. Unfortunately, however, there has been a strong tendency to homogenize informational structures and to rely on a single classification scheme to serve all budgetary purposes (Schick, 1978: 252).

The following section conveys to the reader a historical perspective on the developments surrounding accountability in the public sector. The timeline provided is a general overview offering the reader a basic understanding of the concepts involved, techniques employed, and where accountability efforts have been placed. Due to the scope of this project, this discussion is primarily limited to federal, state, and local government within the United States.

Timeline of Accountability Tools in the Public Sector

1880s and 1890s

Evidence indicates that some of the earliest forms of accountability in the public sector were instituted during the 1880s and 1890s. Corrupt practices in the railroad industry led to the creation of the federal Interstate Commerce Commission (ICC) in 1887. The ICC was imposed to regulate rates charged by the railroad industry, improve the accounting tools used, and implement uniform reporting mechanisms (Rubin, 1993: 440). Following the improved methods for ensuring accountability within the railroad industry, government took its first steps toward improving its own accounting practices.

During this period, budgeting aspects at the municipal level were handled either in the controllers office or with a group of officials called the Board of Estimate (Rubin and Stein, 1990: 420). As early as 1899, the National Municipal League (NML) recommended that cities consider implementing an executive budget (Willoughby, 1918: 6-7). William Allen, Director of the New York bureau, brought ideas from the Association for Improving the Condition of the Poor (AICP) where Frank Tucker, general agent of the AICP, established a pattern of budgeting in 1897. Tucker's system included handling outgoing and incoming funds through one desk and one ledger, and creating break-downs of the budget showing exactly how each department used its share of the budget (Allen, 1908: 156). Allen further enhanced this concept by recommending the measurement of outcomes in addition to strictly monitoring cost per unit; Allen viewed the accounting system as a way of evaluating procedures and programs for efficiency and effectiveness (Allen, 1908: 160-161). Thus, a rudimentary form of performance measurement systems made its debút into the public sector prior to the 1900s.

Early 1900s

During the early 1900s, budgeting in the public sector was formally developed and adopted in the United States. The Hepburn Act of 1906 brought an end to the poor practices characterizing railroad management (Rubin, 1993: 440). In order to end the practice of overstated net profits by underfunding purchases of capital stock, railroads were required to set up formal depreciation accounts for all equipment (Rubin, 1993: 440). During the 1900s, government was not immune to muckraking exposés and public corruption. By mandating improved management practices within the railroad industry, the federal government was under pressure to make similar improvements within their own operations. The lack of systematic budget accounts among public sector organizations prompted reformers to argue for a centralized, executive budget as an instrument of government planning (Knott and Miller, 1987: 209; Rubin, 1993: 440). Frederick Cleveland, Director of Taft's Economy and Efficiency Commission, argued in 1912 that if the government could impose major accounting changes on business, similar changes would need to be imposed to improve its own conduct. W. F. Willoughby (1918: 4-5), another key budget reformer, argued:

> It is inconsistent to the last degree that governments should insist that corporations controlled by them should have systems of accounting and reporting corresponding to the most approved principles of modern accountancy while not providing for equally efficient systems for the management of their own financial affairs.

Termed the Progressive era, the 1900s was a period of executive budget reforms at the municipal level as well. The goal of many progressive era reformers was to use budgeting as a tool to oppose corrupt big city political machines (Rubin, 1996: 115). Budget reforms were implemented to increase the authority of the mayor to develop budget proposals (Rubin and Stein, 1990: 420). Furthermore, initiatives were put into place to give citizens the right of referendum, initiative, and recall. These efforts were intended to restore the will of the people through town meetings where citizens could express what they wanted and needed in terms of infrastructure and public services

(Cleveland, 1913; Rubin, 1996: 115). Accountability during this period meant increasing public sector responsiveness to meet the demands of the taxpayers.

The NML, in consultation with LeGrand Powers of the Bureau of the Census, attempted to standardize accounting categories for municipalities. Powers urged accountants to design accounting systems for cities in consideration of their administrative problems and the legal duties of city officials (Powers, 1906). Cleveland, Goodnow, and Willoughby, leading experts of the Taft Commission during 1911, viewed budgeting as consisting of the three administrative functions devised by Schick -- planning, control, and management (Knott and Miller, 1987: 209). Following the advice of these experts, several major reforms emerged among municipal accounting systems as early as 1901. The accounting systems used in Chicago from 1901 to 1903 highlighted the exchange of ideas among public sector administrators. New York City adopted a three-fold classification of expenditures by organizational units, functions, and objects (Schick, 1978: 254). And, Minneapolis modernized its accounting system in 1904, setting up an accounting system specifically adapted to its complex charter and adopted the standard accounting categories as recommended by Powers (Wilmot, 1906).

1920s: Executive Budgeting

During the 1920s executive budgeting became a reality. The 1921 Budget and Accounting Act established the Bureau of the Budget (BOB) as an arm of the Treasury Department and created the General Accounting Office for auditing and executive accounting (Knott and Miller, 1987: 209). The Act improved the control function of the budget and created more centralized coordination and planning of programs (Cothran, 1993; Knott and Miller, 1987: 209).

Budget reform swept through state and local governments as well, although efforts were focused more on the control function through improved accounting procedures. Line-item objects-of-expenditures is a prime example where "technique triumphed over purpose" (Knott and Miller, 1987: 210; Schick, 1978: 255-256). Finally, under the control function emerging in the 1920s, rudimentary "grading systems" used to assess administrative performance and the need for public services were introduced (Schick, 1978: 257). Clarence Ridley and Herbert Simon created the forum for improved accountability by identifying five kinds of measurements: needs, results, costs, efforts, and performance (Schick, 1978: 257). This crude and unscientific classification system served as the forerunner to more sophisticated and objective performance techniques applied at a later time.

1930s

The depression of the 1930s changed the role of federal government in social and economic affairs -- a weak executive no longer fit reality (Knott and Miller, 1987: 210). Three major developments influenced the evolution from a management orientation to a planning orientation. First, economic analysis had an increasing influence in shaping fiscal and budgetary policy. Second, the development of informational and decisional technologies enabled greater objective analysis to policy making. And third, a gradual convergence of planning and budgetary processes became evident (Schick, 1978: 261).

Keynesian economics called attention to the impact of governmental action on the private sector to revitalize the economy following the Great Depression (Schick, 1978: 261). In 1937, the Committee on Administrative Management (known as the Brownlow Committee) proposed several new functions for BOB. The proposed reforms for BOB centered on greater coordination and management of the budget. The Reorganization Act of 1939 required the transfer of BOB from the Treasury Department to the newly created Executive Office of the President (Knott and Miller, 1987: 210).

1950s: Performance Budgeting

During the New Deal era, public sector organizations shifted from a control orientation to a management orientation, broadening the scope of government responsibilities. Although performance budgeting approach originated near the turn of the century in the United States, it received its greatest impetus in the 1950s (Lynn and Freeman, 1983: 63). Performance budgeting derived its ethos and technique from cost accounting and scientific management. Increased management use of the budget process, including performance appraisals and improvements of administrative performance, evidenced the link to the scientific management movement (Schick, 1978: 256). Hoover coined the term "performance budgeting" to describe the Progressive emphasis on activity and functional classification in the budget process (Cothran, 1993; Knott and Miller, 1987: 210). Management oriented, the techniques employed were designed to help public administrators assess the efficiency of operations by casting budget categories into functional terms while providing cost estimates to determine efficient performance of activities (Schick, 1978: 258). According to Lynn and Freeman (1983: 64), the most important contributions of performance budgeting are: 1) its inclusion of narrative descriptions of each proposed activity, 2) its organization of the budget by activities with quantitative data on costs and accomplishments, and 3) its emphasis on measuring outputs and inputs.

At the federal level, the Budget and Accounting Procedures Act of 1950 gave the president increased authority to define accounts. The Budget and Accounting Procedures Act was also instrumental in determining budget presentations as well as workload and other management measures of performance. There are several reasons, however, the use of performance budgeting by public sector organizations had disappointing results. First, a number of state and. local governments lacked sufficient budgetary or accounting staff to identify units of measurement, perform necessary cost analyses, etc. (Lynn and Freeman, 1983: 65). Second, many government activities and programs are difficult to develop meaningful outputs and unit costs (Lynn and Freeman, 1983: 65). Finally, many govemment accounts have typically been maintained on an expenditure basis, creating problems for adequate data gathering (Lynn and Freeman, 1983: 65).

1960s: Planning-Program-Budgeting Systems

During the late 1960s, an emphasis on program budgeting and technical analysis for allocating between competing programs emerged in public sector organizations (Rubin and Stein, 1990: 420). Planning-Program-Budgeting Systems (PPBS) was instituted during the Johnson administration. PPBS combined cost-benefit analysis and systems analysis (Knott and Miller, 1987: 212). PPBS is unique in that it contains three components: 1) a planning phase which assesses and articulates the direction a program is headed, 2) a programming phase which allocates funds to each program activity, and 3) a budgeting phase that takes the first year of a five-year plan and examines it in detail prior to allocating funds (Knott and Miller, 1987: 215). PPBS is a technique that separates planning from budgeting; agencies must set plans and goals prior to considering the overall budget (Knott and Miller, 1987: 215). Rather than organizing budgets only by inputs and administrative units, budget requests are organized by the functions to be performed. While goals are typically established by top-level policy makers and administrators, PPBS is decentralized so that lower-level officials are given the flexibility to choose the methods to be employed to achieve objectives set. Implemented in the Defense Department by Secretary Robert McNamara and Comptroller Charles Hitch, PPBS was an effort to enhance the military's pursuit of national security goals (Cothran, 1993: 449).

Faced with a number of compounding challenges including escalating costs, declining public support, static tax bases, and substantial reductions in federal aid since the 1960s, local governments implemented efforts to refine accountability as well (Poister and Streib, 1989: 240). Planning and management tools received a considerable amount of attention during this period. Many cities began integrating concepts from the goal-oriented Management by Objectives (MBO) concepts and the emphasis on evaluation from performance budgeting into their budget format and process. Budget reform at the municipal level is highlighted with an experiment coined the 5-5-5 program (Rubin and Stein, 1990: 420). Sponsored during the late 1960s by the Council of State Governments, ICMA, the National Association of Counties, the National League of Cities, and the U.S. Conference of Mayors, the 5-5-5 program included five states, five counties, and five cities. The goal of the 5-5-5 program was to expand PPBS, previously used only at the federal level, into state and local governments.

Despite the logic of PPBS, several barriers impeded complete implementation of PPBS within government. To begin, many governments found it difficult to formulate meaningful and explicit statements of their goals and objectives which could be agreed upon by all involved (Lynn and Freeman, 1983: 70). Second, not only are governments faced with changing goals, but elected officials who often prefer not to commit themselves beyond broad objectives (Lynn and Freeman, 1983: 70). For this reason, many elected officials may be more interested in short-run costs and results rather than long-run costs and results. Third, PPBS requires an adequate data base and high level of analytical ability (Lynn and Freeman, 1983: 70). Last, with PPBS, objective measurement of both costs and benefits is difficult, particularly over a period of several years due to the need to forecast (Lynn and Freeman, 1983: 72).

1970s: Zero-Base Budgeting

The 1974 Budget and Impoundment Control Act resulted in dramatic reforms which directed public sector administrators to alter the setting of objective and efficient allocation of resources. Reforms during the 1970s were due, in part, to the abuse of executive budget power by the Nixon administration. The 1974 Budget and Impoundment Control Act established new House and Senate budget committees that were responsible for broad functional and policy dimensions of a unified congressional budget. A nonpartisan Congressional Budget Office (CBO) was also established to produce projections and fiscal analyses comparable to the projections the Office of Management and Budgeting (OMB) provided the White House. Finally, the CBO was commissioned to set up a budget timetable for reconciling budget targets established by the budget committees with decentralized appropriations and authorizations procedures of the subcommittees (Knott and Miller, 1987: 222-224).

Zero-base budgeting was implemented by President Carter's administration. Zero-base budgeting incorporated many features familiar to MBO: 1) a statement of objectives of the program, 2) a description of the activities of the program, 3) a list of benefits and costs of the program, 4) workload and performance measures, and 5) alternatives for accomplishing objectives. Zero-base budgeting requires budgeters to first identify what they want to do. Next, budgeters must rank their priorities. This method of accounting sought to examine the budget every year "from scratch." In essence, zero-base budgeting does not determine how large the budget should be, but calculates how any given amount should be allocated among a set of priorities. Zero-base budgeting operated as a tool for curbing and controlling expenditures through rational analysis of cutbacks (Knott and Miller, 1987: 216).

Following the recession in the mid-1970s, budget reforms among municipalities increased dramatically as well. The trend at this point was ***prioritization.*** The goal of prioritization was to create tradeoffs and reductions in the budget. Fiscal stress and revenue constraints exaggerated the need for increased accountability in the budget, particularly at the local level (Rubin, 1996: 112; Rubin and Stein, 1990: 420-421). The use of program budgeting, zero-base budgeting, and "target" budgeting increased among municipalities. City councils began setting expenditure limits rather than relying upon traditional budgeting methods where policy makers had to wait for departments to make their requests. This "top-down approach" compared to the typical "bottom-up approach" used in traditional budgeting opened the door for a refinement in ensuring accountability (Cothran, 1993: 446).

Beyond the budget reforms just discussed, the use of other management techniques, including the MBO, expanded. According to a 1976 ICMA survey, performance monitoring also escalated in use among municipalities.[1] The greatest use of performance monitoring during the late 1970s was reported for police, fire, solid waste, public transit, health and hospitals, and social services (Poister and Streib, 1989: 245). The primary use of performance measures by the above-mentioned departments has been due, in part, to the relative ease of data collection and design of workload or output measures compared with other departments. These departments have had a propensity for relying heavily on citizen satisfaction measures more frequently than analytical measures such as efficiency and effectiveness (Poister and Streib, 1989: 245). Citizen surveys are often easier to administer compared to the data collection processes involved with more complicated and vague analytical measures.

---

[1] See, for example, Poister and McGowan, 1984; Poister and Streib, 1989; Cothran, 1993.

1980s: Automatic Control Budgeting

"Automatic control budgeting" involves a number of accountability processes in which both policy makers and citizens tried to "impose statutorily prescribed formulas on revenues and expenditures"(Cothran, 1993: 445). Included in these reform measures are the Proposition 13 laws, Gramm-Rudman-Hollings, and the movement for a federally balanced budget amendment to the United States Constitution (Cothran, 1993). During the late 1980s, planning and management tools were designed and implemented to further enhance accountability and control by tracking activities against targets, improve decision-making by comparing information against alternatives and consequences, and enhance performance through incentives and improved processes (Poster and Streib, 1989: 240-241).

The 1980s included a number of other developments designed to increase accountability in the public sector. Various forms of program evaluation techniques, general productivity improvement programs, incentive programs, and productivity bargaining strategies were implemented (Poster and Streib, 1989: 240). Performance monitoring systems received greater attention. Most notable during this period, however, was the adoption of strategic planning methods.

Strategic planning is a management tool which received considerable attention at the local level during the 1980s. Strategic planning was implemented as a tool to manage the change and complexity present in the environments of many municipalities.[10] Strategic planning is best described as "a disciplined effort to produce fundamental decisions and actions that shape and guide what and organization is, what it does, and why it does it" (Bryson, 1989: 5). Strategic planning places emphasis on monitoring and updating processes (Eadie, 1983; Rider, 1983: 77; and Sorkin *et al.*, 1984: 52). It is dependent upon extensive citizen participation to develop ideas, build consensus, and secure the resources to implement plans.[11]

A number of cities that have implemented some form of strategic planning include San Antonio, Texas, Roanoke, Virginia, and Phoenix. Arizona (Hall and Weschler, 1990; Sorkin *et al.*, 1984; and Thomas *et al.*, 1988). The strategic planning process necessitates the combination of four management features to be successful: 1) a clear statement of the organization's mission, 2) identification of the organization's external constituencies or stakeholders and the determination of their assessment of the organization's purpose and operations, 3) delineation of the organization's goals and objectives as well as a three- to five-year strategic plan, and 4) the development of strategies to obtain the stated objectives (Berry, 1994: 323). The combination of these four management features essentially sets the stage for determining what an organization should measure. To gain the most benefit from any strategic planning process, the next step for the organization is to actually measure performance toward the achievement of the stated goals and objectives. Successful efforts, however, have often been hindered by the departure of key staff, the amount of information generated, the need to include more key decision makers, and the difficulty of revising work after the accomplishment of each step (Wheeland, 1993: 66). Those cities which have benefited the most from strategic planning include public organizations whose structure, management information systems, staffing and recruiting procedures, and other basic organizational elements most closely resemble their counterparts in the private sector (Wiseman, 1993: 145).

---

[10] See, for example, Bryson, 1989; Denhardt, 1985; Eadie, 1983; Rider, 1983; Sorkin *et al.*, 1984; and Thomas, et *al.*, 1988.

[11] See, for example, Bryson, 1989: 208; Denhardt, 1985: 176; McClendon and Lewis, 1985: 79; Potapchuk, 1990: 165; Sorkin et *al.*, 1984: 19; and Thomas et *al.*, 1988.

1990s: Entrepreneurial Budgeting

Entrepreneurial budgeting includes various budgeting methods employed throughout the 1990s to further define accountability in the public sector. Budgeting in the 1990s is characterized as entrepreneurial because of the "emphasis on decentralization and incentives" (Cothran, 1993: 445).[12] Under this forum, top policy makers focus on the "big picture" rather than the details by determining what citizens want their city government to achieve. From this information, department administrators are given greater discretion to determine the specifics of how these objectives will be accomplished (Cothran, 1993: 446). A number of budgeting techniques introduced at various public sector levels have produced dramatic results. Two budgeting techniques which have had a significant impact on improving accountability in the public sector can be briefly summarized as follows.

❑ BUDGETING FOR RESULTS

Popular in countries such as Australia, Canada, Denmark, Sweden, and Britain, the goal of budgeting for results is to "achieve *central* control of total spending, *decentralization* of authority to departments in the use of the funds, and enhanced *accountability* for results" (Cothran, 1993:

---

[12] Entrepreneurial Budgeting (also referred to as Expenditure Control Budgeting) is a budgetary process that uses a "top-down approach" in which city council members begin by setting expenditure limits, often through a predetermined formula.

447). Budgeting for results is also used in New Zealand where emphasis is placed on "achievement of objectives, rather than close monitoring of line-item expenditures" (Cothran, 1993: 447).

❑ MISSION BUDGETING

Developed as a means to reform how resources are allocated in the Defense Department, the basic premise of mission budgeting centers on a decentralized budget process that shifts authority from Congress to the Department of Defense to choose among weapons systems, deploy military units, and so on (Cothran, 1993: 448-449). Under mission budgeting, priority setting is centralized while actual implementation of activities is decentralized (Cothran, 1993: 449). In addition, mission budgeting calls for enhanced accountability because of its focus on results. This increased accountability is achieved by allowing top-level decision makers to focus more on policies and priorities and less on the details of micro-management. The effect is devolution of authority to line managers who are responsible for achieving results (Cothran, 1993: 449).

A number of current reform efforts bear similarities to these two budgeting techniques. At the federal level, the National Performance Review (NPR) has made its debut.[13] And in Texas, State Comptroller John Sharp has received notoriety for the success of his Performance Review efforts.[14] Adopted in 1992 by the governor and Legislative Budget Board, Texas Performance Review provides oversight to improving the efficiency and effectiveness of state government by identifying priorities and allocating limited state resources. Texas Performance Review includes four elements: strategic planning, budgeting, budget implementation, and budget monitoring (Performance Based Budgeting, 1997). Efforts are focused on relationships between funding and performance, between accountability and resource allocation, and between spending and results. And at the local level, the cities of Sunnyvale, California and Gresham, Oregon have had a significant impact on defining quality performance measures and benchmarking techniques that take into consideration program outcomes while improving the efficiency and effectiveness of asset allocation.''

---

[13] Refer to Gore, 1993, and Comptroller General, 1995, for more detail on the introduction of NPR.

[14] Refer to Performance Based Budgeting, 1997, for more detail on Texas Performance Review.

Shortcomings of Various Accountability Approaches Used

Many of the management tools that have been introduced into the public sector have been unsuccessful. Many of the approaches that have proven successful in the private sector are often found to be disappointing, short-lived, and costly to public sector organizations. Part of this failure is due to differences in the nature of accountability between private sector and public sector organizations. More specifically, the reason for these failures may be attributed to the differences in goods produced and how success is measured between private sector and public sector organization. Private sector organizations focus attention on the necessity for making strategic decisions and for developing the processes that ensure the replication of successful decisions. In the private sector, clear measures of success such as increased net returns or increased stockholder dividends demand strategies be developed to assure those ends (Wiseman, 1993: 146). The goals of governmental entities, however, are rarely as clear, nor does failure to achieve those goals result in the drastic implications that would result in failure in the private sector (Wiseman, 1993: 146).

---

[15] See, for example, Chan, April 1994; Chan and Rich, December 1996; Fairbanks, January 1996; Kaplan and Norton, 1996; and Rainey, February 1997.

Another notable shortcoming is the difficulty in articulating the mission of public sector organizations (Wiseman, 1993: 147). According to Kenneth Gold (1982: 569), public administrators "tend to perceive their mission or product in less precise terms, such as providing high quality services to their constituencies in the most efficient and effective manner." Without a clearly defined mission, it is impossible to accurately determine if the public sector organization is on track.

Yet another difference is the fact that public sector organizations may lose the benefit of consistency as the face of its political leadership changes. Often incumbent leaders either introduce their own reforms or disregard those management changes implemented by the previous administration. Current programs may be subject to repeal so the new administrator "can make a name for himself' and gain respect.[16] In essence, budget reform equates to "the political benefit of looking rational"(Knott and Miller, 1987). In other words, budget reform or the implementation of various management tactics by public administrators serve not only as methods for controlling bureaucratic sprawl and inefficiency but as a way of differentiating one's style from another (Knott and Miller, 1987). As an example, the Nixon administration abandoned PPBS because practitioners had difficulty making five-year projections, considering systematically all possible alternatives, and comprehensively ranking programs in order of priority. The Carter administration discontinued Nixon's MBO program And the Reagan administration discontinued zero-base budgeting due to the difficulty in ranking in order of priority not only subfields, but across agencies. Zero-base budgeting also induced questionable measures of performance, benefits of programs with vague objectives, and political objectives (Knott and Miller, 1987).

---

[16] At the local level, the rate of political reform may be dependent on where the greatest power lies in a council/manager form of government. For example, the City of Dallas has an extremely powerful mayor who may influence reform dependent on how citizens vote or pressure received from political interest groups. A city council typically changes its face every two years, resulting in the possibility for significant reform based on the agenda of newly elected council members. However, in a city where the city manager sets the pace or a city with practically an a-political council, reform may only occur when a new city manager is hired.

Finally, public sector performance is subject to scrutiny, even criticism, more frequently than their private sector counterparts (Morgan, *et.* al., 1996; Wilson, 1989). Public sector budgeting is a more communal process than the budgeting practices in private sector organizations. Criticism may stem from any number of sources: the press, politicians, special interest groups, other government entities, staff, and citizens. For this reason, both public sector administrators and the programs they are charged with may be the target of criticism

Reforming Accountability in Public Sector Organizations

It quickly becomes evident there is a lack of pragmatic approaches to monitor accountability and communicate results in public sector organizations. According to Wilson (1989: 318), the only way to decide whether a public sector organization is truly efficient is to determine which constraints affecting its actions ought to be ignored or discounted. The historic perspective discussed in this chapter shows that accountability tends to be tied to the budget while the employment of other management tools as a form of accountability is neglected. Public sector administrators are in need of a management tool which fuses together budget theories, planning concepts, and performance measurements. Such a tool would, in essence, create a holistic, total quality management system that evaluates Schick's three administrative processes -- control, management, and planning (Knouse, Carson, and Carson, 1993; Taylor, 1911). A holistic management system would provide a forum to monitor and ensure greater accountability. By focusing on the long range objectives of the organization rather than short term outputs and outcomes, all management levels would benefit. A holistic management system could also provide a forum for the public sector administrators and citizens to express ideas, needs, goals, and objectives.

There are a number of shortcomings found in the literature. To begin, the literature focuses primarily on the budget as a tool of accountability. Literature on strategic planning and performance measurements as an accountability tool is sparse. The literature demonstrates that strategic planning has a tendency to end where performance measurement begins. Rarely have administrators combined the budget and various management tools into a holistic tool which can guide decision making, policy setting, and determine performance. Instead, the literature shows public sector organizations tend to utilize a piece-meal approach for program operation.

Chapter 3 formulates a practical ideal model that incorporates an organization's values, mission, goals, and strategic objectives into a holistic management system. The practical ideal model serves as a means for improving performance monitoring within public sector organizations. By taking into consideration an organization's long-range objectives, performance measures obtain a new perspective. Policy setting and strategic planning become more focused on the end result rather than short-term consequences. More importantly, the practical ideal model ensures accountability encompasses more than just fiscal austerity; internal, customer, and innovation needs are considered as well.

Chapter 3

COMPONENTS OF A RESULTS-ORIENTED MANAGEMENT SYSTEM

Introduction

The purpose of this chapter is to develop a conceptual tool to assess the City of Georgetown's management system and performance measures developed by Georgetown's Police Services. In consideration of the need for performance measures to be part of a holistic management system, the conceptual tool takes into account the components necessary for a results-oriented management system. This chapter identifies the ingredients forming the practical ideal model -- based upon the literature and the researcher's pragmatic experience -- and provides the rational and reason for inclusion of these elements in this study. While this practical ideal model may be employed at any level of government or the private sector, emphasis for its benefits is placed at the municipal level.

This chapter opens with justification for choosing the practical ideal model as the conceptual framework for this Applied Research Project. Next, descriptive categories used in the practical ideal model are introduced, followed by a discussion of the components incorporated into each category. Within each category, the specific characteristics recommended in the practical ideal model are introduced to the reader. These characteristics are designed to aid a public administrator in monitoring the success of a program or department while at a macro level aid in producing a results-oriented management system

Conceptual Framework

The practical ideal model serves as the conceptual framework used in the formative evaluation of the City of Georgetown's management system and the performance measures developed by Georgetown's Police Services. Formative evaluation focuses on "the means by which a program or policy is delivered to clients" (Bingham and Felbinger, 1989: 4). Formative evaluation is a tool often used to uncover possible management problems. Uncovering potential problems is best accomplished by evaluating the fundamental goals and objectives of the program in addition to monitoring daily tasks. Evidence from the literature examined shows that a formative evaluation of a performance measurement system should take into account a host of factors that aid the manager in decision-making in accordance with the organization's values, mission, goals, and strategic objectives. It is not sufficient for a public sector manager to merely consider the efficacy of performance measurements in the absence of other management guides. Without a process in place by which to evaluate all aspects of the forest, it is senseless to focus only on the single pine tree. In other words, performance measurements alone cannot help determine what must be done to ensure a program is aligned with the organization's mission.

While formative evaluation often involves the review of subjective measures garnered from staff or customer involvement, the value behind this form of analysis should not be understated. Bingham and Felbinger (1989: 5) state that the benefits derived from formative evaluation can serve as a determinant for how program implementation, a means for uncovering inefficiencies, as well as a tool for finding more effective ways of doing business. In its very essence, formative evaluation serves as a type of performance measurement concerned with process efficiency (minimizing waste) and effectiveness (obtaining the desired effect) (Bingham and Felbinger, 1989: 5).

The practical ideal model used herein employs a pragmatic approach to addressing elements of inquiry. Since the literature is virtually devoid of studies describing model characteristics of a holistic performance management system which is aligned with organizational values, mission, strategies, and goals, descriptive categories have been developed from a combination of literature and the researcher's pragmatic experience. This pragmatic approach enables the researcher to identify the components needed to ensure a results-oriented style of management. The practical ideal model has been chosen over the ideal type due to the flexibility offered by the practical ideal model. A practical ideal model is not steadfast but rather offers a "starting point" or foundation from which the researcher can formulate categories to be measured. A practical ideal type allows flexibility in changing or adapting the original model in instances where certain characteristics may not be applicable or are irrelevant. In this sense, a practical ideal type is fluid and can be improved to meet the needs of pragmatic administrators in the public sector.

Exactly what is pragmatism? Patricia Shields (1997: 3), defines a pragmatic approach to research as a "philosophy of common sense." Pragmatism -- otherwise known as experiential reality -- is rooted in a theoretical foundation. It is a method of learning that focuses on process wherein the evolution of learning occurs through experiences (Shields, 1996: 396). In this sense, human inquiry serves as the focal point by acknowledging the qualitative nature of human experience as problematic situations emerge and are recognized. Problems are solved through practical applications (Shields, 1997: 6).

A pragmatic approach to problem solving is especially apropos to the public sector administrator who must often rely on both a theoretical background as well as his/her practical experiences for decision making. Charged with carrying out public policy directives, public

administrators must approach issues in an already volatile environment from the context of personal experience and consequences (Shields, 1996,392-395). John Dewey (1938: 161) asserted that the conduct of scientific inquiry is practitioner-oriented; "the working scientist is a practitioner above all
ms
else, and is constantly engaged in making practical judgements." According to Dewey (1938: 161), both the scientist and administrator engage in inquiry by continuously seeking

> . . .what is better to do next. Unless the decision reached is arrived at blindly and arbitrarily it is obtained by gathering and surveying evidence appraised as to its weight and relevancy; and by framing and testing plans of action in their capacity as hypothesis.

For the public sector administrator, the creation of policy to resolve one problem results in consequences leading to future problems (Shields, 1996: 395). William James (1907: 54) wrote that "pragmatism lies in the midst of theories like a hotel corridor. All the rooms open out to it and all the roo can be entered. Pragmatism owns the corridor and the right to move freely from room to room" From a pragmatic approach, while there may be numerous potential theories, each is linked to the problematic situation. Since public administrators are concerned with accountability and the effective use of scarce resources, pragmatic inquiry is effective in meeting their needs by providing a holistic approach for resolving management issues (Shields, 1997: 7). A pragmatic approach to resolving management dilemmas allows managers to pick and choose from those theories that will work best according to past experience, while discarding theories which may not logically compliment a particular situation.

Much of the literature on performance measurements operates on the fallacy that measures can simply be developed based on stated objectives or goals for a public sector program. The literature focuses on the development and implementation aspects for an organization or department, but neglects to devise any sort of mechanism for assessing the use of performance measures within a holistic management system.[17] The result is a short-term perspective. Performance measures in this capacity are insufficient for monitoring public sector organizations which are not profit-oriented but more concerned with citizen satisfaction, safety, and welfare. Merely focusing on compiling specific types of measures -- inputs, outputs, outcomes, efficiency, and effectiveness -- fails to provide managers with a true sense of where or why problems exist in relation to the organization's mission. *As* aresult, managers are forced to focus on short-term directives. For the public sector, this short-term focus makes performance measurement systems practically impossible since many program results (outcomes) are intangible within that time frame. And many outcomes for public sector programs cannot be secluded without evaluating the larger scope or intent of the program. Under this demise, performance measurements are typically criticized as "just another number crunching exercise" (Allen, 1996: 11).

---

[17] Peter Drucker (1996: 429) discussed the practice of entrepreneurship and innovation within public sector organizations. This discourse pinpoints a number of potential causes surrounding the difficulties in implementing programs such as performance measures. Drucker writes that public sector organizations operate "based on a 'budget' rather than being paid out of its results." Payment for efforts come from "funds somebody else has earned" (*e.g.*, tax dollars or charitable donations). Drucker further notes that the more efforts a public sector organization engages in, the greater its budget will be. Success of many public sector organizations is defined by the size of the budget as opposed to the act of obtaining results. Second, public sector organizations are dependent on and must satisfy a multitude of constituents. Public sector organizations can not afford to alienate anyone. Because the public sector has no "results" out of which they are paid, any constituent has veto power. Finally, public sector organizations exist to "do good." In this sense, public sector organizations must see their mission as "a moral absolute rather than as economic and subject to a cost/benefit calculus." Drucker points out that in the public sector, there is no such thing as a higher yield. If one is "doing good," then there is no "better." Failure to obtain objectives in the quest for a "good" means efforts must be redoubled. Drucker does elude to key issues which could improve innovation within public sector organizations. First, a clearly defined mission focusing on objectives rather than on programs and projects is needed. Second, goals should be realistic; the public sector is often faced with objectives that can never be obtained (*e.g.*, elimination of famine or 100% free from crime are impossible). Third, failure to achieve objectives may be an indication that the objective is wrong or defined wrong. Last, Drucker recommends that public sector polices and practices adopt means for continuously searching for innovation (Drucker, 1996: 433).

Since the literature on performance measurement systems fails to provide a model needed for this analysis, it is necessary to construct a practical ideal model fusing concepts from a number of sources with the researcher's pragmatic insights. Critical factors that are included incorporate the works of Allen Schick's analysis of budget orientations, Peter Drucker's management discipline, and Edward Deming's concepts on Total Quality Management (TQM).[18] In addition, application guideline literature for both the Malcolm Baldrige Award and the Texas Quality Award are used.[19] These sources, melded with a "common sense approach", become the guiding principles for the holistic conceptual framework used in this research.

Specific elements or recommended components of a results-oriented management system are classified into three primary categories. Identifiable characteristics from these categories provide a benchmark or standard by which the performance measurement system implemented by Georgetown's Police Services are compared. The elements comprising the three categories are "not rigidly fixed due to the ability to envision an ***ideal*** more than one way" (Shields, 1997: 30). This axiomenables the practical ideal model to serve as a recipe for implementing a quality performance measurement system applying the three elements as a foundation while having the flexibility to address the unique characteristics of various organizations or programs.

---

[18] See Drucker, 1974 and 1996; and Gabor, 1990; and Schick, 1978: 249-267.

[19] See Hart and Bogan, 1992, and ***The*** 1997 ***Texas Quality Award Application Guidelines.***

The three primary categories of a results-oriented management system consist of planning, control, and management.[20] The detailed rationale for each category is discussed below (refer to Figure 3.1). The first element described is the planning element and its link to an organization's values, vision, and mission statement.

Planning Element[21]

The planning element refers to the process of "binding operational officials to the policies and plans set by their superiors" (Schick, 1978: 251). The planning element involves the determination of objectives to be carried out by the organization, evaluation of alternative courses of action, the authorization of programs, the allocation of resources to attain the stated objectives, and policies governing the acquisition, use, and disposition of the resources (Schick, 1978: 250-251). Planning entails the policy setting actions conducted at the administrative level. At the municipal level, policy setting actions typically involve the mayor, council members, city manager, and department directors. It is the loftiest of the three primary elements involved. Planning often begins with characteristics which drive the organization to be its very best: values, vision, and the mission statement. The meanings behind values, vision statements, and mission statements are examined.

---

[20] The elements are recommended by Allen Schick (1978: 251). A similar concept has been developed by Peter Drucker (1974: 494) who refers to the three elements as control, controls, and management. According to Drucker's theory, *control* refers to expectations or the "end"; *controls* refers to how the end will be accomplished or the "means" for accomplishing the overall objective; and *management* serves as the force for determining performance. Patricia Tigue and James Green, Jr., (1994) have used similar elements in their GFOA report to discuss linking performance measurement (from a budgetary standpoint) to effective government. Tigue and Greene, Jr. use the terms *planning,* the formulation and prioritization of program goals and objectives; *management,* the implementation of programs and the practice of ensuring resources are used as intended to achieve program objectives in an efficient and effective manner; and *budgeting,* the process of allocating financial resources among competing programs and services (this final element includes the use of performance measurements). The researcher has decided to frame the element titles after Schick's research for this exercise in order to prevent any possible confusion on the reader's part.

"Research for the Planning Element included the following primary sources: Drucker, 1974; Maser, 1996; Schick, 1978; and Tigue and Green, Jr., 1994. Secondary resources used to develop the components of the Planning Elements include: Fitz-enz, 1997; Kaplan and Norton, 1996; Mink, *et. al.,* 1994; Osborne and Gaebler, 1993; and Smith, 1994. In certain instances the researcher may have injected characteristics based on professional experience where appropriate.

☐ VALUES

At the core of any organization lies its set of values, the defining structure for not only the culture but operating and administrative systems as well (Fitz-em, **1997: 37).** Serving as the "heart of management philosophies," values communicate to staff acceptable behavior, job performance, and, ultimately, desired results expected (Fitz-enz, **1997: 71).** Values explain ***why*** an organization sets out to accomplish or produce something (Smith, **1994:** 83). An ideal organizational value statement can be further defined to include the basic characteristics noted below.

1) Human -- touches on the basic needs of the individual for security as well as opportunities for growth or enrichment.

2) Production -- focuses on the organization's outputs and outcomes: quality, service, productivity.

3) Financial -- from a public sector standpoint, the focus is not so much on profit, but rather an accountability for using public funds within specified budgetary constraints.

4) customer -- placing value in the customer and ensuring satisfaction has received greater emphasis, even in the public sector (**Fitz-enz, 1997: 47).**

An ideal value statement would highlight the importance of each of these elements in relation to its objectives, regard for its employees, and significance in securing and retaining a customer-base.

The human characteristic encompasses the values an organization places on its employees by meeting the basic needs of the individual for security and opportunities for growth or enrichment through training, benefits, recognition, and incentives. The production characteristic focuses the outcome received by the customer: quality, service, and productivity. At the municipal level, production characteristics may include type of services offered, hours of operation, response time, options for payment, and modes of communication with staff and citizens. The financial characteristic, from a public sector standpoint, focuses not so much on profit, but rather an accountability for using public funds within budgetary constraints. Finally, the customer characteristic emphasizes the values an organization places on its customers and methods used to ensure satisfaction (Fitz-enz, 1997: 47). Figure 3.1 summarizes the points just made.

❑ VISION

A vision statement may be best described as the "defining factor" that provides members of an organization something to rally around (Fitz-enz, 1997: 36). It is the driving force which motivates and inspires staff to work toward the achievement of organizational success. **A** vision statement should be strategic -- focused on the needs of the customer -- and lofty -- imaginative and engaging (Mink, et. al., 1994: 28-29). The vision statement should embrace an organization's key values while focusing on the needs of the customer (both internal and external customers). **A** model vision statement employs simplistic language predicting the organization's future in a three to fifteen year timeframe (see Figure 3.1).

Figure 3.1
Practical Ideal Model: Planning Elements

PLANNING ELEMENTS

Values **(City)**

☐ Human - embraces basic needs (security, growth, enrichment)
☐ Production - focus on quality, service, productivity
☐ Financial - accountability for using public funds
☐ Customer - placing value in the customer; ensuring satisfaction

Vision **(City)**

☐ Three to 15 year projection
☐ Embraces the city's key values; focuses on needs of customer
☐ Simplistic language used
☐ Inspires performance (lofty, imaginative, engaging)

Mission Statement **(City)**

☐ Drives the entire city from top to bottom
☐ Addresses Human, Production. Financial, and Customer needs
☐ Dictates the city's expectations (the desired "end" result)
☐ Meets the "elevator speech" requirement (one sentence)

☐ MISSION

The mission statement serves as the fundamental purpose which drives an entire organization from top to bottom (Osborne and Gaebler, 1993: 131). Unfortunately, "[m]ost public organizations are driven not by their missions, but by their rules and their budgets" (Osborne and Gaebler, 1993: 110). The advantages of a mission-driven organization as opposed to a rule-driven organization are several. First, a more efficient and effective operation is in place to produce better results. Second, innovative approaches to conducting business are fostered at all levels of the organization. And finally, the organization promotes greater flexibility while increasing employee morale (Osborne and Gaebler, 1995: 113-114).

There are several final points which should be included in a model mission statement. While public sector organizations may have no reason to focus on the profit margin, efforts should be made to address human (internal staff), production, financial, and customer needs. And to have the greatest impact, a mission statement should comply with the "elevator speech requirement: simple, easy to remember, and can be restated in one sentence (see Figure 3.1).

Control Element[22]

Control elements determine program goals and objectives, estimate long-range revenues and expenditures, and prioritize goals within expected funding levels (Tigue and Greene, Jr., 1994: 1). Included within the scope of this primary element are documents such as the comprehensive land use plan, a program plan, a strategic plan, and a financial plan. Using the components which form the planning element, the control elements set the agenda by focusing on both short- and long-term goals. The control elements provide aim for hitting the organization's target: its values, vision, and mission. The characteristics of each control element are discussed below.

❑ GOALS

Goals are the ***controls,*** or the "means," that guide how the target, or "end," will be accomplished. Controls are concerned with facts, information, and measurement as well as assignment of staff responsibilities and how the target audience will be reached. Goals should be written as a broad statement of leadership, organization, and resource allocation. And goals should be policy oriented and set by council or top administrators. It is possible for department directors to develop goals that focus on specific departmental activities as long as the goals are aligned with the city's ultimate vision and goals. Ideally, the organization should develop both short-range goals (six months to one year) and long-range goals (three to five years or longer). As with previously mentioned elements, goals should be founded on a framework based on human, production, financial, and customer needs. Programmatic goals can be subcategorized to include the characteristics noted in Figure 3.2.

---

[22] Research for Control Elements included the following primary sources: Drucker, 1974; Maser, 1996; Schick, 1978; Tigue and Green, Jr., 1994. Secondary resources used to develop the components of the Control Elements include: Kaplan and Norton, 1996; Mink, ***et. al.,*** 1994; Osborne and Gaebler, 1993; and Smith, 1994. In certain instances the researcher may have injected characteristics based on professional experience where appropriate.

❑ STRATEGIC OBJE

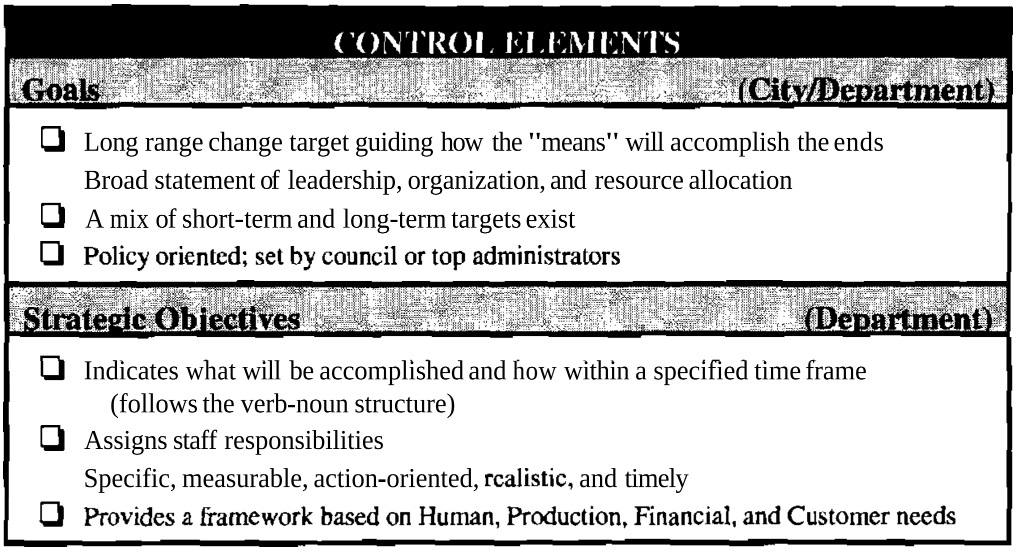
Strategic objectives specify ***what*** will be accomplished and ***how*** they will be accomplished within a specific time frame. Strategic direction equates to "organizational effectiveness -- ***doing the right things***" (Mink, ***et. al.,*** 1994: 132). In essence, strategic objectives determine performance -- how the means will accomplish the ends through leadership, organization, and resource allocation. At this level, staff responsibilities are assigned. Strategic objectives should be specific, measurable, action-oriented, realistic, and timely (Smith, 1994: 83). Ideally, strategic objectives should be determined by department directors. Strategic planning aids employees at every level in understanding their roles and responsibilities in relation to the organizational scheme to better serve the customer. For employees to fulfill their role, several intrinsic motivators must exist:

1) a belief in and commitment to the organization's purpose and goals;
2) management and leadership behaviors and processes that empower employees;
3) support for accomplishing tasks (i.e. time, equipment); and

4) systems that enable employees to take pride in their achievements (Mink, *et. al.*, 1994: 69).

Finally, strategic objectives should provide a very specific framework for addressing human, production, financial, and customer needs. The grammatical structure of strategic objectives should follow the verb-noun pattern. Figure **3.2** summarizes the characteristics of strategic objectives.

Figure 3.2
Practical Ideal Model: Control Elements



CONTROL ELEMENTS

Goals **(City/Department)**

☐ Long range change target guiding how the "means" will accomplish the ends
Broad statement of leadership, organization, and resource allocation
☐ A mix of short-term and long-term targets exist
☐ Policy oriented; set by council or top administrators

Strategic Objectives **(Department)**

☐ Indicates what will be accomplished and how within a specified time frame (follows the verb-noun structure)
☐ Assigns staff responsibilities
Specific, measurable, action-oriented, realistic, and timely
☐ Provides a framework based on Human, Production, Financial, and Customer needs

Management Element[23]

The final primary element -- the management element -- involves the "programming of approved goals into specific projects and activities" (Schick, 1978: 251). At this level the design of organizational units is specified to carry out approved programs. The staffing of the organizational units and the procurement of necessary resources are determined. The management element serves as the link between the goals set and the activities to achieve those goals. In other words, the management element is the process by which managers assure that resources are used effectively and efficiently in the accomplishment of the organization's strategic objectives intended (Schick, 1978: 250-251; Tigue and Greene, 1994: 1). In this context, performance measurements play a vital role in assessing compliance to the stated objectives.[24]

The difference between performance measures for private sector organizations versus public sector organizations is the intended outcome. While private sector organizations are ultimately concerned with profit as the bottom line objective, public sector organizations provide goods and services which directly impact citizen satisfaction, safety, and welfare. As a result, outcomes for many public sector programs are nebulous, subject to political influence, and may have to comply with legislative controls. The democratic process often relies on compromise and majority rule. This complication can make true outcomes moving targets. Hence, as long as a minority population disagrees with a program or policy, unanimity and complete citizen satisfaction are often impossible to achieve.

---

[23] Research for the Management Element included the following primary sources: Drucker, 1974; Maser, 1996; Schick, 1978; and Tigue and Green, Jr., 1994. Secondary resources used to develop the components of the Management Element include: Chan and Rich, 1996; Hatry, 1987; Hatry, *et. al.*, 1992; Kaplan and Norton, 1996; Osborne and Gaebler, 1993; and Rainey, 1997. In certain instances the researcher may have injected characteristics based on professional experience where appropriate.

[24] While the researcher fully understands that performance measurements do not encompass all possible means for monitoring activities decided upon under the control element (yes, there are a number of financial, political, legislative, and regulatory controls in addition to other management tools which could be employed), for purposes of keeping within the scope of requirements prescribed for completion of this Applied Research Project, the researcher will refrain from evaluating all other forms of management elements.

While input, output, outcome, effectiveness, and efficiency criteria are important, only relevant information is necessary for the manager to determine how to get from A to Z. In other words, measures must be set according to how the organization -- and the citizen -- determine what success will look like. Measuring performance then becomes the light which guides the manager down the correct path. For some departments (*e.g.*, police) and even certain programs (*e.g.*, DARE), this approach resolves the dilemma of nebulous measurements by redirecting management's focus to the organization's vision. As an example, police departments most typically create performance measures to determine number of arrests made, number of officers, and response rate. This is to show a deterrence in crime. Unfortunately, reduction in crime will never reach 100%, no matter how many arrests are made or how many additional officers are put onto the street. Therefore, the focus for success should shift to show how citizens perceive crime and feeling safe from crime. Using this perspective, a police department can focus efforts on educating the public, fostering community-oriented policing efforts, and becoming a "responsive" patrol as opposed to employing "reactive" measures (Hatry, *et. al.*, 1992). Even more important, creating a feeling of safety can now involve the cooperative efforts of other municipal departments (*e.g.*, the Streets Department may install sufficient lighting in a neighborhood rampant with crime; traffic lights could be synchronized to move traffic in accident prone areas; or the Parks Department or Library could develop after-school programs for children to participate in).

The practical ideal model advocates that performance information collected should be used to improve policies and procedures, identify performance gaps between actual performance and performance desired with the target goal, and set improvement goals. Performance measures should be germane to the organization's mission (Maser, 1996: 4). Equally critical is monitoring performance in relation to the city's vision and strategic objectives. Information should be user-friendly, catering to the needs of various stakeholders who rely on specific forms of information to judge the program's effectiveness and make decisions (Maser, 1996: 6). Finally, performance measures should focus on a single topic which can assist in the detection and deterrence of problems.

Performance measures should be specifically derived from the organization's mission, strategic objectives, and goals. In developing performance measures, a public sector organization should make every attempt to evaluate activities according to four perspectives: the citizen/customer, internal business affairs, employee innovation and learning measures, and financial aspects (Kaplan and Norton, 1996: 44). Linking performance to these perspectives clearly demonstrates that measures are not simply an ad hoc collection of inputs, outputs, outcomes, efficiency and effectiveness criteria but serve to clearly guide the organization at every level. Linkage to input, output, outcome, efficiency, and effectiveness measures should be secondary to the evaluation of these four primary perspectives. Figure 3.3 outlines the components necessary for the public manager to gain the most use from performance measures.

In summary, the practical ideal model employed in this research can be divided into three primary elements -- planning, control, and management. Each element is further defined by characteristics which comprise a results-oriented management system (see Figure 3.4). Taken in the context of a pragmatic approach, the practical ideal model developed herein is a "work in progress" and by no means concrete. In other words, the practical ideal model serves as a foundation from which the researcher can logically assess the management system established by the City of Georgetown as well as the performance measures implemented by Georgetown's Police Services. The strength of this model is its ability to assess management systems unique to other municipalities while remaining flexible in its form, yielding to improvement where necessary.

In the next chapter, the reader is presented with a historical background of the City of Georgetown and its Police Services. The planning process established by the City is then discussed. Reasons why the City of Georgetown, and specifically the performance measures implemented by Georgetown's Police Services, was chosen for this study is presented.

Figure 3.3
Practical Ideal Model: Management Elements

MANAGEMENT ELEMENTS

Performance Measures Focused on Holistic Criteria (Department)

- ☐ Monitors Human, Production, Financial, and Customer aspects for a comprehensive view.
- ☐ Tied to each criteria noted in the Control and Planning Elements.
- ☐ A combination of output, outcome, efficiency. and effectiveness measures exist.
- ☐ Employed at all levels; linked to incentives and compensation.
- ☐ Uses key measures most meaningful to specific management levels.

Performance Measures Focused on Macro Level Criteria (Department)

- ☐ Focus on customer, internal business, innovation/learning, and financial issues.

Performance Measures Focused on Micro Level Criteria (Department)

- ☐ Performance measures are linked to the city's vision, mission, and strategic objectives.
- ☐ Performance measures focus on a single topic.
- ☐ An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
- ☐ Performance measures are unique, catering to the needs of a manager or division.
- ☐ Performance measures selected are useful in detecting problems.

Figure 3.4
Practical Ideal Model: Summary of Primary Elements

PLANNING ELEMENTS

Values (City)

☐ Human - embraces basic needs (security, growth, enrichment)

☐ Production - focus on quality, service, productivity

☐ Financial - accountability for using public funds

☐ Customer - placing value in the customer; ensuring satisfaction

Vision (City)

☐ Three to 15 year projection

☐ Embraces the City's key values; focuses on needs of customer

☐ Simplistic language used

☐ Inspires performance (lofty, imaginative, engaging)

Mission Statement (City)

☐ Drives the entire city from top to bottom

☐ Addresses Human, Production. Financial, and Customer needs

☐ Dictates the city's expectations (the desired "end" result)

☐ Meets the "elevator speech requirement (one sentence)

CONTROL ELEMENTS

Goals (City/Department)

☐ Long range change target guiding how the "means" will accomplish the ends

Broad statement of leadership, organization, and resource allocation

☐ A mix of short-term and long-term targets exist

☐ Policy oriented; set by council or top administrators

Strategic Objectives (Department)

Indicates *what* will be accomplished and ***how*** within a specified time frame (follows the verb-noun structure)

☐ Assigns staff responsibilities

Specific, measurable, action-oriented, realistic, and timely

Provides a framework based on Human. Production, Financial, and Customer needs

Figure 3.4, cont.
Practical Ideal Model: Summary of Primary Elements

MANAGEMENT ELEMENTS

Performance Measures Focused on Holistic Criteria (Department)

- ☐ Monitors **Human**, Production, Financial, and Customer aspects for a comprehensive view.
- ☐ Tied to each criteria noted in the Control and Planning Elements.
- ☐ A combination of output, outcome, efficiency, and effectiveness measures exist.
- ☐ Employed at all levels; linked to incentives and compensation.
- ☐ Uses key measures most meaningful to specific management levels.

Performance Measures Focused on Macro Level Criteria(Department)

- ☐ Focus on customer, internal business, innovation/learning, and financial issues.

Performance Measures Focused on Micro Level Criteria(Department)

- ☐ Performance measures are linked to the city's vision, mission, and strategic objectives.
- ☐ Performance measures focus on a single topic.
- ☐ An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
- ☐ Performance measures are unique, catering to the needs of a manager or division.
- ☐ Performance measures selected are useful in detecting problems.

Chapter 4

RESEARCH SETTING

In this chapter, an overview of the City of Georgetown is provided. Beginning with an historical perspective, Georgetown's economic growth and the strategies to accommodate this growth during fiscal year 1998 are discussed. In this section, the structure of Georgetown's Police Services is also introduced. Next, Georgetown's planning process is reviewed. Finally, reasons for ensuring the City has a holistic management system is in place and quality performance measures are implemented by Georgetown's Police Services are reviewed.

Overview of Georgetown, Texas

Located on IH-35 just 26 miles north of Austin in the Texas Hill Country, Georgetown is the county seat of Williamson County. Founded July 4, 1848, Georgetown originally served as an agricultural trade center for the surrounding area. After the Civil War, Reconstruction brought prosperity to Georgetown through four primary industries -- cattle, cotton, the railroad, and Southwestern University. Today, the City is quickly growing into a more industrialized and commercially-oriented community.

Rich in history, tourism has become a significant economic benefit to the community. Sales tax revenues have increased an average of 13 percent per year over the last four years.[25] But

---

[25] See Appendix K, City Manager's Letter to Council (1997198 Annual Operating Plan), ii.

Georgetown is not just considered a "bedroom/commuter"[26] community; the City is building a diversified and stable commercial and industrial base to help keep Georgetown strong and economically viable. Consistent with the surrounding central Texas region, Georgetown continues to experience strong economic growth. Employment has increased approximately three percent over the past year.

As of 1997, the City's estimated population is 22,000 within the city limits and approximately 10,000 in Georgetown's extraterritorial jurisdiction (Georgetown's 1997198 Annual Operating Plan, 2). Figure 4.1 shows the population trends for Georgetown over the past decade. A significant amount of growth in Georgetown's population is the result of the development of a premier retirement community. In 1995, Georgetown became the home of Sun City Georgetown, a 5,300 acre, active retirement community owned by Del Webb Corporation.'' As of September 1997, 1,011 of the planned 9,500 homes have been completed in Sun City with over 200 more in various stages of construction.[28]

Housing starts in Georgetown increased dramatically during fiscal years 1996 and 1997 but are expected to level out to a more reasonable pace beginning in fiscal year 1998 (see Figure 4.2). Commercial starts, too, have seen a significant increase as new small industrial facilities relocate to the Georgetown area. While this growth is promoted, the City of Georgetown, like many other communities in the central Texas region, is experiencing its own growing pains as it must accommodate the heightened demand for more and improved levels of services.

---

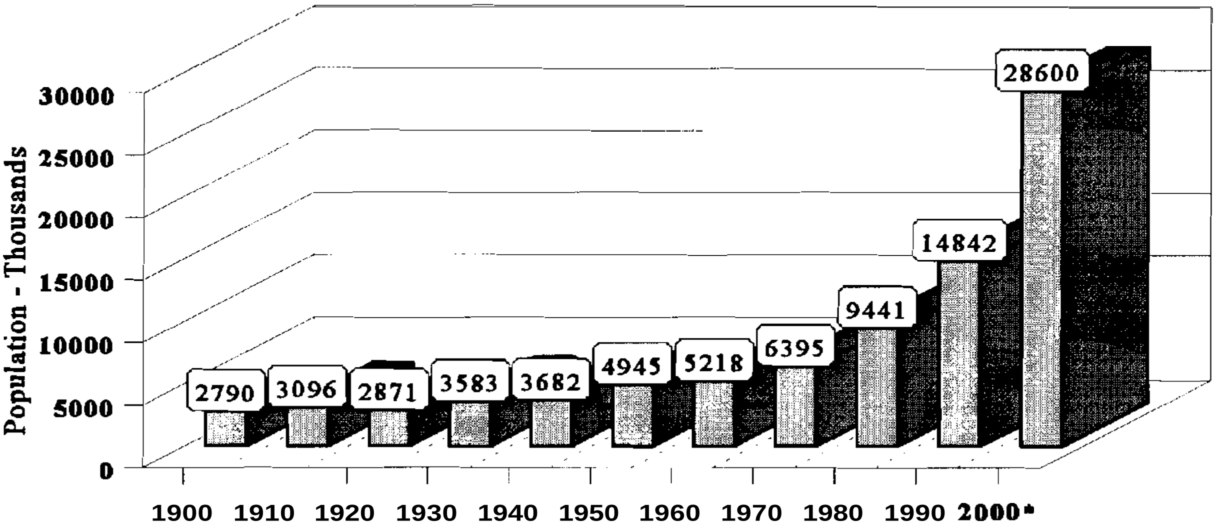
[26] See Appendix K, City Manager's Letter to Council (1997198 Annual Operating Plan), ii.

[27] See Appendix K, City Manager's Letter to Council (1997198 Annual Operating Plan), iii.

[28] See Appendix K, City Manager's Letter to Council (1997198 Annual Operating Plan), iii.

Figure 4.1

Population Trends for Georgetown



* estimated

Source: Georgetown's 1997198 Annual Operating Plan. 2.

With growth, citizens and business owners expect the City to provide effective and quality services. The impact on service demands and operating costs is evidenced by the new positions added in the City's budgets over last three years. For fiscal year 1998, the City has budgeted for fourteen additional full-time positions, five new part-time positions, and four position upgrades in order to respond to the growth in services (Georgetown's 1997198 Annual Operating Plan, 12). Figure 4.3 depicts the budgeted positions since fiscal year 1989. The City's third fire station, located within the Sun City development, is scheduled to be completed and fully staffed by December 1998.[29] This growth also imposes the need for a hefty capital improvements project list for waterlwastewater

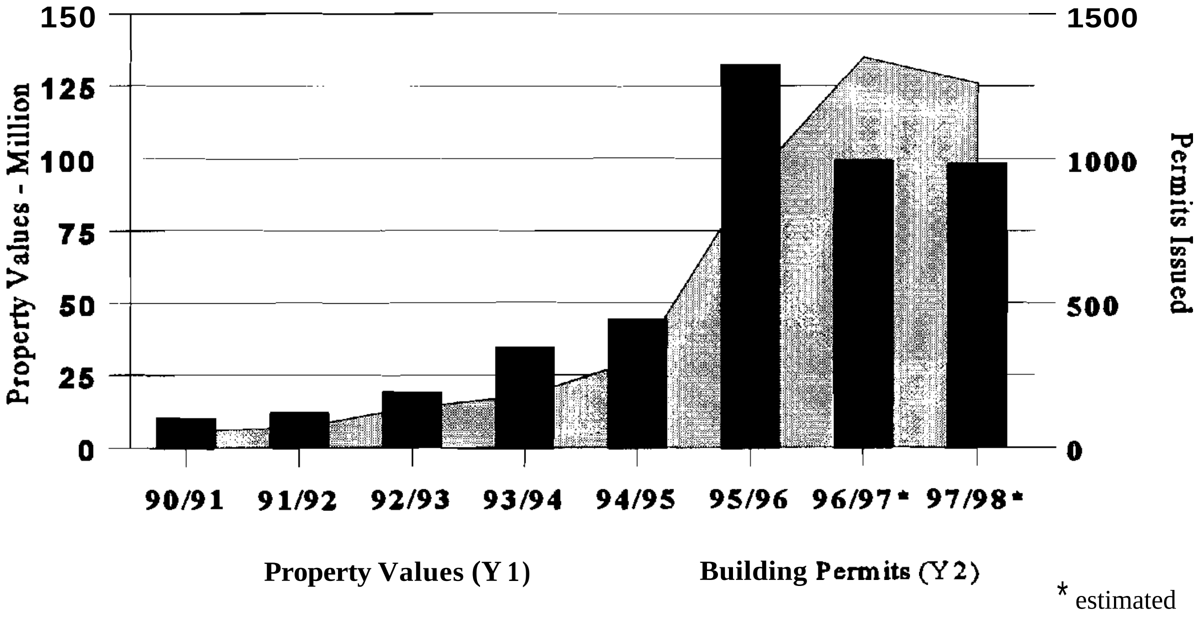
---

[29] See Appendix K, City Manager's Letter to Council (1997198 Annual Operating Plan), iv.

(totaling $6.2 million), stormwater drainage ($2.1 million over the next two years), and streets.[30] In addition, resources must be allocated for parks and recreation and the library to accommodate the diverse recreational and educational needs of Georgetown's residents.

Figure 4.2

Permits Issued and Property Values for Georgetown



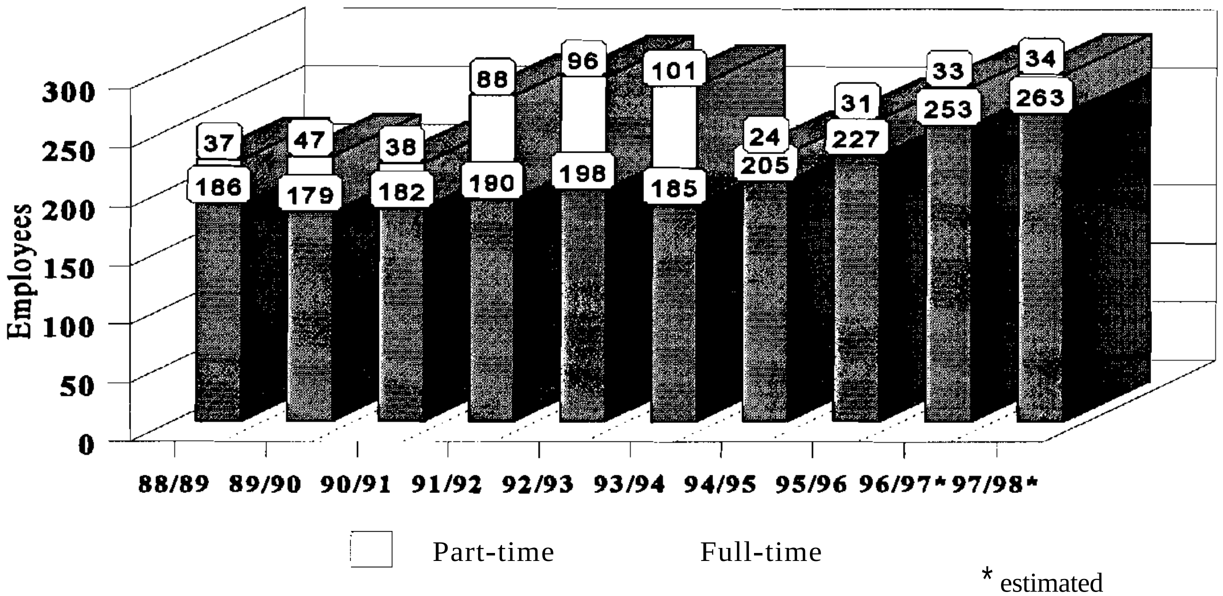
Source: Georgetown's 1997198 Annual Operating Plan. City Manager's Letter to Council, ii.

---

[30] See Appendix K, City Manager's Letter to Council (1997198 Annual Operating Plan), vii-ix.

Figure 4.3

Budgeted Number of Employees



* estimated

Source: Georgetown's 1997198 Annual Operating Budget, 12.

Georgetown's Police Services

Georgetown's Police Services functions under a community-oriented policing philosophy that promotes a proactive interaction with the community. Under this philosophy, obtaining desired results is best achieved through collaborative problem solving efforts. In other words, "policing is the management of information for a result that is of value to the individual customer and the public at large" (see Appendix M, 224). The department utilizes a proactive approach to policing which concentrates efforts primarily on processes rather than tasks, jobs, people, or structures (see Appendix M, 224). Every effort is made to embody Georgetown's value-based, principle driven approach to operations. In order to best support its community-oriented policing efforts, the department is organized to include five divisions: Organizational and Administrative, Information Management, Professional Standards, Patrol, and Special Operations. An explanation of each division's responsibilities is discussed below.

The Organizational and Administrative division consists of Police Chief Larry Hesser and an administrative assistant. The primary responsibility of this division is to provide management oversight and guidance to the other four police divisions.

Special Operations, working in cooperation with Patrol Services, is "responsible for producing the desired policing products or services to the public" (see Appendix M, **228).** Under this demise, the division is responsible for performing directed activities, problem solving, successfully prosecuting criminal offenders, and developing partnerships in the community. Examples of these activities include: Narcotics Enforcement, Juvenile and Youth Services, Victim Services, DARE and GREAT programs within the Georgetown Independent School District. Special Operations is also charged with hosting the annual police fair during National Police Week in May (see Appendix M, **228).**

Information Management handles all of the automated systems which provide the necessary information to manage and improve the delivery of police services. This division includes Communications,[31] Records Maintenance,[32] and Technical Services.[33]

''Staff answers 911 calls, non-emergency lines, and handles walk-in inquiries. Services are dispatched for Police, Fire, and Animal Services on a twenty-four hour basis. Calls are answered for Community Owned Utilities and the utility office after hours, on holidays, and weekends. Staff also monitors weather conditions for the area.

[32] Staff maintains records for the public, officers, and other agencies, using a computerized record keeping system.

[33] Staff maintains the computers, telephones, radios, and 911 lines to ensure reliable twenty-four hour operations.

Officers assigned to Patrol Services are responsible for responding to emergencies and the public's initial requests for service. Officers proactively develop and maintain partnerships with citizens to resolve problems. Patrol services are provided twenty-four hours a day, seven days a week.

Professional Standards assures quality police services by managing activities to "create, staff, and maintain" all Police Services divisions ***(see*** Appendix M, 234). In essence, this division is charged with personnel recruitment, selection, and training; handling citizen complaints; internal affairs investigations; and service audits. The division also serves as liaison to the Texas Commission on Law Enforcement Officers Standards and Education (TCLEOSE).[34]

Georgetown's Police Services was chosen as the first department to implement performance measures in the City for a number of reasons. First, Police Chief Larry Hesser operates his department using a unique and innovative style of management atypical to many police departments. As evidenced from the overview of the various divisions, this innovative style compliments the City's goal of "running government like a business." Chief Hesser firmly believes in sharing this philosophy throughout the department by training and communicating to staff at all levels, not just supervisors. Second, Chief Hesser has developed a strategic planning matrix linking the Department's key strategies and objectives to short-range and long-range goals which tie to the City's End statements (staff believed this would make the task of creating performance measures easier). Third, the department was in the process of integrating a new database system which would permit extensive collection and analyzation of data which is required for the effective use of performance measures. Finally, as a quickly expanding department handling a multitude of activities which demand a high level of customer satisfaction, the City felt it imperative that Police Services measure its activities to ensure outcomes are efficiently and effectively produced.

---

[34] Refer to Appendix M, 1997198 Annual Operating Plan, Police Services (234).

The City of Georgetown's Planning Process

The City of Georgetown is a home rule charter city which operates under the council-manager form of government. The mayor and seven council members are elected from single-member districts. Leo Wood, previously City Manager for Georgetown, has served as the City's Mayor since 1992.

Bob Hart, who has been Georgetown's City Manager over the past nine years, along with a qualified staff, has provided direction and guidance using an innovative approach. Adopting the model for governance, the City of Georgetown is guided by its Century Plan.[35] The Century Plan was created and adopted through the City's Charter during the late 1980's after extensive input from citizens, elected and appointed officials, and staff members. The Century Plan serves as the City's foundation for planning the goals and processes which aim to enhance the quality of life for citizens and the community. The Century Plan is further defined through policy areas that determine policy and focus ends.[36] Functional plan elements address how and when goals will be accomplished.[37] The City Manager and staffcreate means statements to detail the specific action, methods, and processes that will be used to accomplish the ends.[38]

---

[35] Refer to Appendices J and L for a more in-depth discussion on Georgetown's Century Plan. The governance model is "an advanced approach to Council operations" where Council members set policies and goals. The City Manager, with staff assistance, then determine how those policies and goals will be accomplished and the resources necessary for productive efforts. Using the governance model, as long as Council defined "executive limits" are not broached, the City Manager and staff are free to determine the best methods for performance.

While this unique approach has had a positive influence on planning and operations within the City, the Century Plan, in its present form, has a number of shortcomings. First, specifics detailing the timeframe for accomplishing the means statements and how the means will be achieved are not communicated. Means are not broken down into measurable tasks that can be gauged. Second, means statements tend to encompass short-term objectives (one-year timeframe) or long-range objectives (five-year time period); intermediate objectives are excluded. Finally, under the present system, the City has no formal method for documenting, monitoring, and benchmarking staff and division activities as efforts are focused on working toward accomplishing goals.

The implications of these weaknesses become clearly evident in a City coping with a tremendous amount of change both externally and internally. As both the size of Georgetown and the number of personnel employed within the City continue to rise, administrators lose the capacity for omniscient control. Decision-making must be based on fact. And, fact must come from documented evidence. It is hoped that administration and staff will use the data collected through the Century Plan to communicate and provide direction for accomplishing the City's goals.

---

[36] Ends statements describe, in specific terms, desired long-range outcomes. In essence, Ends statements serve as the City's ideal by representing target areas for improving services and quality of life. This direction is determined based upon Council and citizen input. Refer to Appendix L for more detail on this subject.

[37] Functional plans address fourteen broad policy areas which support the City's ends statements. Current plans adopted are the Land Intensity Plan, Transportation and Utilities Plan, Economic Development Strategic Plan, Parks and Recreation Plan, and the Facilities and Services Plan. For fiscal year 1997/98, staff will introduce the Urban Design Plan for Council adoption. Functional plans are intended to cover a one- to two-year timeframe for completion. Refer to Appendix L for more detail on this subject.

[38] Means statements serve as the strategic objectives mapping how and with what resources departments will accomplish the goals. Priority for addressing these issues are determined by Council during the June budget retreat. Refer to Appendix L for more detail on this subject.

Impetus for Improving Georgetown's Management System

As indicated in the concluding statements of the last section, appropriate measures must be in place for administrators to manage growth while providing the quality of services demanded by the public. Managing growth both internally and within a quickly growing community is also imperative. For this reason, Georgetown's Police Services has implemented a number of processes to improve the effectiveness of its activities. Measuring performance of activities serves as a gauge for managers at every level. In addition to the impetus from administrators for enhancing Georgetown's Century Plan, the City has made plans to submit an application for the Texas Quality Award this fiscal year.[39] One of the key characteristics evaluated in the award process is an organization's ability to manage by fact; a comprehensive management system "built upon a framework of measurement, information, data, and analysis" must be in utilized at all levels (Texas Quality Award Application Guidelines, 1997: 9). In order to prepare for the Texas Quality Award, the City of Georgetown has initiated steps to refine current processes. Specific areas of focus are the development of a more defined strategic planning system and the implementation of performance measurements within all divisions.

---

[39] The Texas Quality Award is analogous to the Malcolm Baldrige National Quality Award. However, unlike the Baldrige Award, the Texas Quality Award permits small businesses (manufacturing and service organizations), education, and public sector organizations to participate. The criteria goals of the award are designed to help organizations "enhance their competitiveness through focus on dual, results-oriented goals" (Texas Quality Award Application Guidelines, 1997: 7). Feedback, evaluation, and sharing of information regarding best practices among organizations is centered on the core values and concepts embodied in seven categories: leadership, information and analysis, strategic planning, human resource development and management, process management, business results, and customer focus and satisfaction. See Appendix P for more detail on the award criteria framework.

This study attempts to show the value of a holistic management system over merely measuring performance. The study begins with an overview of the City of Georgetown's management system. After a macro level review of the City's management system, the researcher places greater emphasis on analysis of the performance measures recently developed by Georgetown's Police Services. By evaluating Georgetown's management system using the practical ideal model, areas for improvement should be detected. This process should be useful to the manager in developing a more comprehensive management system that focuses on the values, mission, and goals of the organization. Ideally, performance measures developed by any Georgetown department should then reflect the values, mission, and goals of the City. For public sector organizations, improvements made to Georgetown's management system and the performance measures developed by Georgetown's Police Services is important since the goals they develop should directly reflect community expectations. The next chapter presents the methodology used to conduct this study.

Chapter 5

METHODOLOGY

In the methodology chapter, the research design selected to address the research question discussed. The methodology provides a formula for the researcher to address a question by examination of evidence. Results gathered during analysis of the evidence leads to a determination as to how closely an actual situation fits the conceptual framework developed. Because formative evaluation strives to determine "how close a situation resembles the ideal," a number of research methods may be employed: case study, survey, document analysis, and survey analysis. For this project, the researcher conducted a case study of the City of Georgetown. In order to assess Georgetown's management system and the performance measures implemented by Georgetown's Police Services to the practical ideal model, the researcher searched for evidence using document analysis, field research, and observation of physical artifacts.

Field Research

Field research is an appropriate forum for information gathering when observing or participating in social settings. Field research may be used for data-collection purposes and theory-generating activities (Babbie, 1995: 280). Field research does not assume a passive mode for collecting evidence common in other research methods. Instead, the researcher may assume a variety of roles from formal to casual data collection activities (Babbie, 1995: 283-284; Yin, 1994: 86). Often the role of a field researcher is to attempt to make sense out of an ongoing process that cannot be predicted in advance (Babbie, 1995: 280). The various roles of the researcher include direct

observation, participant observation, and ***complete participant.*** The various roles define the level of interaction on the continuum the researcher chooses when studying a situation. For this particular study, direct observation and participant observation were particularly useful in noting the extent to which the City of Georgetown communicate their philosophy to staff and citizens.

Direct observation can involve the observation of meetings, work conditions, and staff (Yin, 1994: 87). Participant observation, on the other hand, assumes the researcher is not merely a passive observer but participates in activities (Yin, 1994: 87). Besides the obvious benefits of "hands-on experience," direct observation and participant observation have a number strengths. For one, the researcher can obtain a comprehensive perspective of a given situation in its natural habitat (Babbie, 1995: 280-283). Through direct participation in a social phenomenon, the researcher can gain a deeper understanding of a situation (Babbie, 1995: 280). Attitudes and behaviors may be noted using direct participation whereas other methods may overlook such nuances. Finally, participant observation can take advantage of demonstrations, courtroom proceedings, labor negotiations, public hearings, trainings, or other events taking place within a limited area and time (Babbie, 1995: 281).

Several weakness exist when considering direct observation and participant observation as methods of field research. First, individuals observed may modify their behavior, resulting in a Hawthorne effect (Babbie, 1995: 283-284). Field research typically is qualitative rather than quantitative, and thus seldom yields precise descriptive statements about a large population (Babbie, 1995: 300). Conclusions drawn from qualitative field research are often regarded as suggestive rather than definitive due to problems surrounding validity, reliability, and generalizability (Babbie, 1995: 300-302). Table 5.1 recapitulates the strengths and weaknesses directly associated with field research.

Table 5.1
Characteristics of Field Research

Strengths

- Useful in studying subtle nuances of attitudes and behaviors
  - Greater validity
- Relatively inexpensive
  - Does not require large staff or a lot of equipment
  - Simple to engage in
- Flexibility in modifying research design

Weaknesses

- Qualitative versus quantitative research
- Seldom yields precise descriptive statements about a population

  Conclusions may be considered suggestive rather than definitive
  - Validity, Reliability, Generalizability

Document Analysis

Document analysis is an unobtrusive, flexible, and inexpensive approach to direct observation of social artifacts such as books, manuals, newspapers, speeches, letters, policies, and ordinances (Babbie, 1995: 307; Yin, 1994: 80-82). According to Earl Babbie (1995: 307), document analysis is particularly befitting to the study of communicative issues and to answering the classic question of communications research: 'Who says what, to whom, why, how, and with what effect?" As a mode of observation, document analysis addresses the ***why*** and ***with what effect*** from a historical context. R. P. Weber (1985: 9) identifies document analysis as a "research methodology that utilizes a set of procedures to make valid references from text." Document analysis allows for the evaluation of subtle nuances of attitudes and behaviors compared to other methods available. Hence, the formulation of theoretical propositions and the evaluation of those theories are intertwined (Babbie, 1995: 296).

As with any research method, there are a number of strengths and weaknesses associated with document analysis. Probably the greatest advantage of document analysis, beyond its unobtrusive nature, is its economy in regard to time and money. Validity and reliability of materials studied, however, can pose to be either an advantage or disadvantage to the researcher. Table 5.2 identifies the strengths and weaknesses associated with document analysis (Babbie, 1995: 320-321; Yin, 1994: 80).

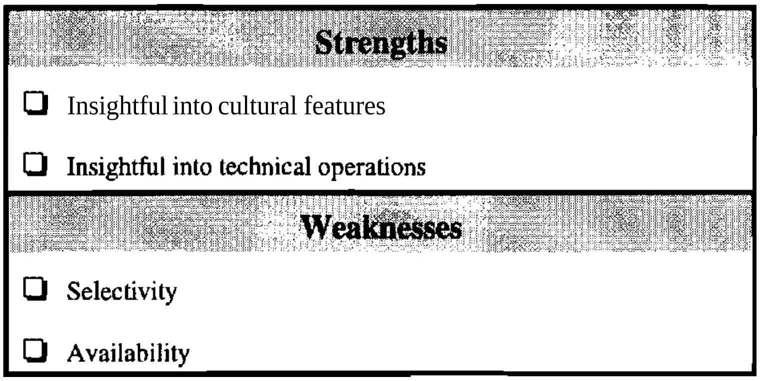
Table 5.2
Characteristics of Document Analysis

Strengths
☐ Economic in terms of time and money
➭ Does not require a large research staff
➭ Special equipment is not required
☐ Unobtrusive
☐ Enables historical analysis
☐ Safety regarding research repetition
Weaknesses
☐ Limited to the examination of recorded communications
☐ Potential for problems in validity and reliability exist

Physical Artifacts

A third source of evidence used in this study includes physical artifacts. Physical artifacts serve as the "products of social beings or their behaviors" (Babbie, 1995: 89). Physical artifacts studied for this Applied Research Project include posters, cups, t-shirts, budget documents, personnel policy manuals, newsletters, and computer software (Babbie, 1995: 89 and Yin, 1994: 90). Physical artifacts can provide further insight into a culture or social setting (Yin, 1994: 80). Table 5.3 summarizes the strengths and weaknesses associated with physical artifacts.

Table 5.3
Characteristics of Physical Artifacts



Strengths
☐ Insightful into cultural features
☐ Insightful into technical operations
Weaknesses
☐ Selectivity
☐ Availability

Log of Events

A log of events -- or field journal -- is a critical element in field research for capturing relevant aspects of social processes (Babbie, 1995: 291). A log should contain both empirical observations and the researcher's interpretations of the events which took place (Babbie, 1995: 291). While not every observation is possible to record, Babbie (1995: 291) recommends the most important chronological events be noted.

Operationalization of the Practical Ideal Model

The intent of this case study is to determine the level to which the City of Georgetown's management system meets and the performance measures implemented by Georgetown's Police Services the categories developed within the practical ideal model. Analysis of documents providing evidence of support for Georgetown's management system took place once the literature review was complete.

Although the literature suggests developing output, outcome, efficiency, and effectiveness measures, evaluating the results produced by the measures developed by Georgetown's Police Services is beyond the scope of this study.' The criteria recommended within this study are intended to provide a guide for ensuring a holistic management system is in place. The criteria comprising the practical ideal model are operationalized in the ensuing narrative.

The objective of this research is to guide a public sector organization in the development of a holistic management system. The weakness of this limited study is that it does not assess the data produced by the performance measures should they meet the criteria set out in the model. Do performance measures tied to an organization's vision, values, mission statement, and strategic objectives actually lead to a more quality management system? This is a question deserving of further research, but unfortunately is beyond the scope of this study.

'This researcher fully believes the "push for focusing on outputs, outcomes, efficiency, and effectiveness measures is short-sighted and does not consider the organization's "big picture." Focus on outcomes, efficiency, and effectiveness measures without regard to the ultimate goal (or mission) of the organization can lead to short-sighted objectives, frustrated managers, even abandonment of performance measures. This is especially notable since it is difficult to determine outcomes for many government programs which are not profit-oriented.

Framework for Holistic Management Components

In first phase of study, the City of Georgetown's basic tenets are compared to those comprising the practical ideal model. This first step is a critical in forming the foundation for assessing the quality of the performance measures. A quality set of measures should make reference to those tenets which drive organizational success. In this manner, departmental or programmatic outcomes are based on the ultimate goals of the organization and the citizens served.

Coding for this analysis is based on inclusion of the defining components which constitute the primary elements -- planning, control, and management -- recommended within the practical ideal model (see Table 5.4). Well-defined components within one element provide the basis for building quality components for the next higher-level element. The practical ideal model advocates this incremental process as a means for creating superior planning, monitoring, and communication tools. Coding is based on the amount of support found in each defining component. Determination of the level of support is based on the judgement of the researcher.

Primary Criteria for Performance Measures Focused on Macro Level Criteria

After studying documents molding the City's basic tenets, the researcher reviewed the performance measures compiled by Georgetown's Police Services. Each performance measure developed by Georgetown's Police Services is analyzed to determine its primary focus (see Table 5.4 on page 75). The practical ideal model developed for this study serves as a guide for determining whether a performance measure focuses on customer needs, internal business affairs, innovation and learning of staff, or financial constraints. A quality set of measures should monitor each area since these serve as the foundation which drives organizational success both externally and internally.

Coding for this analysis is based on the judgement of the researcher as to whether a measure focuses efforts to monitor one of the four categories. A well-rounded performance measurement system within a division is one that has at least one measure for each of the four categories.

Primary Criteria for Performance Measures Focused on Micro Level Criteria

The final test in the practical ideal model critiques the performance measures of Georgetown's Police Services against five criteria (see Table **5.4** on page **75).** Each division's set of measures are graded as to the number of criteria met. Measures which satisfy all five criteria are identified as model performance measures.

Grading for a division's performance measures is dependent on the level of support for the criteria set out by the model. This assessment is judgement-based. Assessment as to the degree of support is dependent on references to the City's basic tenets. In addition, measures must have a singular focus and help a manager in monitoring activities by providing appropriate data on outputs, outcomes, efficiency, and effectiveness.

Coding Procedure

Two separate coding procedures are provided within this study. To assess the level of inclusion of Georgetown's critical management elements (see Table **5.4** on page 75), coding is determined according to the degree of support. Using this approach, document analysis determines whether the City of Georgetown's management practices "strongly support," "support," or "weakly support" the practical ideal model. This coding procedure is also used when evaluating the performance measures developed by Georgetown's Police Services. Each department's performance measures are assessed against five basic criteria and are graded according to the level of support for each criteria. Finally, the performance measures are categorized as to whether the measure focuses on customer needs, internal business, innovation and learning, or financial objectives. The objective of this last exercise is to determine if the department recognizes the importance of monitoring these critical business areas which should directly tie back to the values, mission, and strategic objectives of the City.

Assessment of level of support is determined based on the researcher's judgement. Judgement is a fundamental conclusion comprising an educational background, reference to scholarly material, and pragmatic experience. Judgement for this study is based on document analysis, and direct and participant observation which occurred throughout the entire research process (see Appendix A for more detail).[40] Participant observation and a chronology of events provided supplemental information necessary for determining the degree of commitment the City of Georgetown has to communicating and enhancing its "values-based organization."

Presentation of Results

The findings of this study are presented in the Results Chapter. The results are presented in narrative form. Conclusions are drawn from the researcher's observations made following comparison of documents available to the practical ideal model (see Appendices A through Q for documents analyzed). Tables are used to further illustrate points made within the discussion.

---

[40] The researcher began her association with the City of Georgetown when hired as an intern in February 1997. The beginning of the program was spent researching performance measurements and means for implementing a quality program. A training manual was developed to assist managers in creating outcome, efficiency, and effectiveness measures. Several conferences were then held to give directors and selected staff of Development Services and Police Services direction on creating measures for their departments.

Table 5.4
Operationalization of Practical Ideal Model

Category	Defining Components	Data Collection Method	Sources of Evidence
Planning Element	Values (City)	Document Analysis	★Personnel Policy Manual ★Budget Document ★Performance Evaluation ★Application Brochure
		Direct Observation	★Posters ★Georgetown emblem on documents
		Participant Observation	★Picnics
	Vision (City)	Document Analysis	★Draft Vision Statement
		Direct Observation	★Submission of application in 1999 for Texas Quality Award
		Participant Observation	*Mid-year Council Retreat
	Mission Statement (City)	Document Analysis	★Policy Manual ★Budget Document ★Internal/External Surveys
		Direct Observation	★Employee Selection Process ★Friendly Service Recognition Program
		Participant Observation	★Memorization of mission Statement

Table 5.4, cont.
Operationalization of Practical Ideal Model

Category	Defining Components	Method for Data Collection	Sources of Evidence
Control Element	Goals (City/Department)	Document Analysis	★Budget Document ★City Charter ★Ends and Means Statements
		Direct Observation	★Citizen work groups
		Participant Observation	★Mid-year Council Retreat ★Budget Hearings
	Strategic Objectives (Department)	Document Analysis	★Means Statements ★Personnel Policy Manual ★Performance Evaluation ★Job Descriptions
		Participant Observation	★Budget Hearings and Workshops
Management Element	Performance Measures (Department) Macro Level Criteria 4 Customer 4 Internal 4 Finance 4 Innovation/Learning **Micro Level Criteria** Criteria 1 - Performance measures are linked to the city's vision, mission, and strategic objectives. Criteria 2 - Performance measures focus on a single topic. Criteria 3 - An appropriate mix of output. outcome, efficiency, and effectiveness measures exist. Criteria 4 - Performance measures are unique, catering to the needs of a manager or division. Criteria 5 - Performance measures selected are useful in detecting problems.	Document Analysis	★Budget Document
		Direct Observation	★List of Performance Measures Adopted by Police Services
		Participant Observation	★Performance Measurement Training Workshops

Chapter 6

RESULTS

In this chapter, evidence is presented enabling the assessment of how close the City of Georgetown's management system and the performance measures implemented by Georgetown's Police Services resemble the practical ideal model. Evidence is presented in both tabular and narrative form. Tables 6.1 to 6.12 illustrate the findings. Evidence obtained for each descriptive category is analyzed according to the level of inclusion or exclusion of ingredients recommended by the practical ideal model. The evidence depicts how closely the management system utilized by the City of Georgetown and, more specifically, the performance measures used by Georgetown's Police Services resemble the prescribed practical ideal model presented earlier in this study.

This chapter is divided into two primary sections. In the first section, results are presented for the three primary management elements: planning, control, and management. In this section, sources of evidence are analyzed to determine the City of Georgetown's overall commitment to developing and maintaining a holistic management system that supports its values, vision, mission statement, goals, and strategic objectives. In the next section, the performance measurement system designed by Georgetown's Police Services is analyzed using a two-step processes. First, the performance measures for each division are rated according to the focus placed on monitoring customer, internal business, innovation/learning, and financial needs. Finally, the performance measurements for each division are inspected to determine the level of support for the five criteria defined by the practical ideal model.

Assessment of the Level of Inclusion of Georgetown's Critical Management Elements

Planning Element: Values

The City of Georgetown promotes itself as a "values-based organization." Evidence shows that the City places a strong emphasis on promoting this concept using a variety of medium (refer to Table 6.1). Serving as the foundation for daily operations, providing customer-service, and acquiring and retaining quality staff is Georgetown's Values Statement (for more detail, see Appendix B). The Values Statement -- found hanging in every department city-wide and referenced in a multitude of city documents and policies -- stresses the importance of *trust, effective communication, teamwork, professionalism*, and *quality of life.*"' Commitment to these attributes embraces the basic criteria that form an ideal value statement: fostering a positive work environment for staff, providing quality services in a cost-effective manner, and ensuring a high level of customer satisfaction.

The City of Georgetown places priority on acquiring and training quality staff. Internal training is a prerequisite for all City staff and emphasizes the City's philosophy of governance.[42] Training begins with new employee orientation. In addition, staff at every level are encouraged to

---

[41] In addition to Appendix B, the following appendices also make reference supporting Georgetown's "values-based organization": Appendix C - Values Process (taken from Georgetown's 1994 CAFR); Appendix E - "How to Apply with the City of Georgetown" Brochure and Listing of Job Opportunities (received 3/5/98); Appendix F - Personnel Policies and Procedures (1211197); Appendix G - Performance Appraisal Packet; Appendix H - Performance Pay Plan (taken from the 1997198 Annual Operating Plan); and Appendix I - City of Georgetown Travel Policy and Travel Expense Report Forms. Furthermore, the researcher observed a number of other medium promoting Georgetown's values: posters, employee certificates, t-shirts, caps, pens, cups, and coolies.

[42] In addition to mandatory training such as New Employee Orientation, Sexual Harassment/Diversity Training, and Leadership Development for selected employees, the City of Georgetown also regularly offers training on time management, customer service, Effective Writing, "Six Hats/Lateral Thinking," and safe lifting. Refer to Appendix P for a complete list of training courses offered by the City of Georgetown.

participate in "cross-departmental committees" designed to address a variety of issues as an integral component to management training.

The well-being of staff is fostered through recognition of accomplishments, promotions, pay increases, and incentive bonuses. Accommodations have occasionally been made for a number of staff members handling family issues by utilizing flex time and telecommuting. In addition, picnics and other social gatherings are periodically scheduled for staff and/or family members. Even citizens serving on the City's Council, Boards, or Commissions receive recognition for their contributions.

Table 6.1
Assessment of Planning Element: Values

PLANNING ELEMENT			
Values (City)	**Method**	**Sources of Evidence**	**Evidence Level**
Human - embraces basic needs (security, growth, enrichment)	Document Analysis	★Personnel Policy Manual ★Budget Document ★1994 CAFR ★Performance Evaluation ★Application Brochure	Strongly Supports
	Direct Observation	★Job Posting ★Citizen Newsletter ★Staff Newsletter ★Posters ★Georgetown emblem on documents, cups/coolies, t-shirts, caps, and pens ★Employee Training	Strongly Supports
	Participant Observation	★e-mail ★Council Newsletter ★Meetings/Staff Committees ★Picnics	Strongly Supports

Table 6.1, cont.
Assessment of Planning Element: Values

PLANNING ELEMENT			
Values (City)	**Method**	**Sources of Evidence**	**Evidence Level**
Production - focus on quality, service, productivity	Document Analysis	★Personnel Policy Manual ★Job Descriptions ★Performance Evaluation	Strongly Supports
	Direct Observation	★Employee Selection Process ★Posters ★Georgetown emblem on documents, cups/coolies, t-shirts, caps, and pens	Strongly Supports
	Participant Observation	★Meetings/Staff Committees ★Employee Training ★Picnics	Strongly Supports
Financial - accountability for using public funds	Document Analysis	★Personnel Policy Manual ★Budget Document A1994 CAFR	Strongly Supports
	Direct Observation	★Accounting Department Procedures	Strongly Supports
	Participant Observation	★Council Meetings *Mid-year Council Retreat	Strongly Supports
Customer - placing value in the customer; ensuring satisfaction	Document Analysis	★Internal/External Surveys (*e.g.*, 1998 Electric Utility Survey)	Strongly Supports
	Direct Observation	★Friendly Service Recognition Program (customer response cards) *Employee Recognition ★Performance Pay ★Citizen Newsletter ★Staff Newsletter	Strongly Supports
	Participant Observation	★Council Newsletter ★e-mail	Strongly Supports

Planning Element: Vision

An organization's vision is a lofty statement of what the organization wants to become in the future.[43] The vision statement sets the pace for strategic planning. A formal vision statement for the City of Georgetown is presently under consideration among Council and staff (refer to Appendix D). The drafted version states:

> We, the citizens of Georgetown:
> nurture, enjoy, and encourage our families and one another;
> we value our community's diversity, security, and beauty;
> we value and preserve the history and traditions of previous generations;
> and we optimistically embrace the challenges of the future in order to further our quality of life -- Georgetown style."

As indicated in Table ***6.2,*** a number of other documents and events demonstrate that considerable thought put into shaping Georgetown's future while preserving the City's historic constitution. Similarly, the promotion of Georgetown's values are highlighted in the vision statement. And to ensure a healthy, growing community, emphasis is placed on the safety and well-being of the community and its citizens. The 1997198 Budget Document highlights this vision through both the mission and the City's "Ends" statements.[45] Furthermore, the City plans to submit an application in 1999 for the Texas Quality Award.

One of the key components in the 1997 Texas Quality Award process is an organization's strategic planning processes. Georgetown's 1998199 Annual Operating Plan Preparation Schedule

---

[43] Refer to the discussion in Chapter **3** on Vision Statements for more detail.

[44] A shortened spin on this Vision statement, made by on February 10, 1998, by Council Member Charlie Barton, reads: "We nurture, enjoy, and encourage the preservation of the traditions of Georgetown and embrace the challenges of the future."

[45] Refer to the discussion in Chapter 4 on ends statements for more detail.

(see Appendix N) provides evidence that staff will focus efforts on the strategic planning process this fiscal year. The development of a formal vision statement will be critical at this point.[46]

Table 6.2
Assessment of Planning Element: Vision

PLANNING ELEMENT			
Vision (City)	**Method**	**Sources of Evidence**	**Evidence Level**
Three to 15 year projection.	Document Analysis	★Budget Document ★1998 Electric Utility Survey ★1998/99 Annual Operating Plan Preparation Schedule ★Draft Vision Statement	Supports
Embraces the city's key values; focuses on needs of customer.	Participant Observation	*Mid-year Council Retreat ★Submission of application in 1999 for Texas Quality Award	Supports
Simplistic language used.	Document Analysis	★Draft Vision Statement	Strongly Supports
Inspires performance through lofty, imaginative, and engaging language.	Document Analysis	★Draft Vision Statement	Strongly Supports

Planning Element: Mission Statement

An organization's vision sets the standard for how the organization views itself in the future, whereas the mission statement serves as an organization's operational mantra. Results demonstrate that the City places a strong emphasis on its mission statement (see Table 6.3). Revised this fiscal year, the mission statement meets all criteria recommended by the practical ideal model. The shortened version clearly conveys Georgetown's intentions. This powerful communication tool drives actions at every level from Council down to staff. Georgetown's mission statement declares:

---

[46] See Appendix N, Georgetown's Operating Plan Preparation Schedule for 1998199. Also refer to Appendix Q, 1997 Texas Quality Award Application Guidelines for more detail on award specifications.

> To preserve and enhance the quality of life and unique character of Georgetown by:
>
> - Preserving the rich heritage and natural resources;
> - Promoting well-planned development, cost effective professional management and competent, friendly services; and
> - Protecting its citizens, the environment and all other assets.

Table 6.3
Assessment of Planning Element: Mission Statement

PLANNING ELEMENT			
Mission Statement (City)	**Method**	**Sources of Evidence**	**Evidence Level**
Drives: the entire city from top to bottom.	Document Analysis	★Policy Manual ★Budget Document ★Ends and Means Statements	Strongly Supports
	Participant Observation	★Directors and staff memorized mission statement to recite during Budget Hearings and Workshops	Strongly Supports
Addresses Human, Production, Financial, and Customer needs.	Document Analysis	★Policy Manual *Budget Document ★Ends and Means Statements ★Internal/External Surveys	Strongly Supports
	Direct Observation	★Employee Selection Process ★Employee Training ★Friendly Service Recognition Program (customer response cards) ★Citizen work groups *Citizen Newsletter ★Staff Newsletter	Strongly Supports

Table 6.3, cont.
Assessment of Planning Element: Mission Statement

PLANNING ELEMENT			
Mission Statement (City)	**Method**	**Sources of Evidence**	**Evidence Level**
(Statement continued from last page) Addresses Human, Production, Financial, and Customer needs.	Participant Observation	★Picnics ★e-mail ★Council Newsletter	Strongly Supports
Dictates the city's expectations (the desired "end result)	Document Analysis	★Budget Document ★Ends Statements	Strongly Supports
	Participant Observation	★Employee Selection Process ★Personnel Policy Manual ★Performance Evaluation	Strongly Supports
Meets the "elevator speech" requirement (one sentence)	Direct Observation	★Directors and staff memorized mission statement to recite during Budget Hearings and Workshops	Strongly Supports

Control Element: Goals

Goal setting may be considered the foremost stage for strategic development. Goals should be policy oriented, focusing on human, production, financial, and customer-related issues.[47] Both long-range and short-range targets should be set. And while goals should "stretch" the organization and its staff, goals must be realistic and achievable within the parameters of time, cost, and personnel resources available.

Unlike most organizations, evidence shows that the City of Georgetown takes a unique approach to goal setting. Georgetown's City Charter provides that Council shall

> establish comprehensive planning as a continuous and ongoing governmental function

---

[47] Refer to the discussion in Chapter **3** on goals for more detail.

> in order to promote and strengthen the existing role, processes and powers of the City of Georgetown. . .[48]

As a result of this mandate for strategic planning, the City has devised what is known as the "Century Plan."[49] The Century Plan serves as "a primary and integral tool in preparing a three part Annual Budget for the city with five-, two-, and one-year time horizons" (see Appendix J).

Under the Century Plan, a set of ends statements define fourteen policy areas the City will strive to enhance its quality of life.[50] These policy ends statements represent a combination of the City's vision, mission statement, and desired targets. Specific direction based on Council and citizen input is then determined for each policy ends. These specifics, known as focus ends, broadly define the staff efforts necessary to accomplish the policy ends.[51] Georgetown's Century Plan is further defined through periodic updates and through the development of functional plans. Functional plans, which involve citizen work groups, are designed to provide detailed direction for accomplishing the goals set by the ends statements within a one- to two-year time period (see Appendix L).

---

[48] Quote taken from Appendix J, Georgetown's Charter Requirement for Compliance of Budget with the "Century Plan" (1997/98 Annual Operating Plan).

[49] Refer to Appendix L for a detailed discussion on Georgetown's long-term planning process which includes a commentary on ends and means.

[50] The fourteen focus areas, revised during fiscal year 1996, include: Economic Development, Education, Environmental and Resource Conservation, Facilities and Services, Finance, Governmental Affairs, Growth and Physical Development, Health and Human Services, Historic Preservation, Housing, Recreation and Cultural Affairs, Transportation, Urban Design, and Utilities and Energy. During the Annual Retreat, Council reviewed each policy area and ranked priorities according to importance for fiscal year 1997198. A summary of the policy ends and means ranked according to importance may be found in Appendix K, 1997198 Annual Operating Plan, City Manager's Letter to Council.

[51] In many ways focus ends serve as strategic objectives which is discussed in the next section.

Making this system unique from others is the fact that although policy and focus ends are divided into distinct categories (*e.g.*, Facilities and Services), evidence indicates that it is not unusual for several departments to focus staff efforts -- en masse or independently -- on achieving the desired ends. For example, under Facilities and Services the policy ends states:

> The City provides for the safety of its citizens and supports the responsive delivery of coordinated services by the City and other public agencies.[52]

Departments focusing efforts to achieve this end during fiscal year 1998 include: Police and Fire Services, Community Owned Utilities, Community Services,[53] Development Services,[54] Finance and Administration,[55] Information Resources, Management Services, and Parks, Education and Recreation. This policy end is then further defined into thirteen Focus Ends, some which will pertain specifically to certain actions to be initiated only by certain departments. For example, under the above stated policy ends, six focus ends serve as specific targets for the Police Services. These focus ends include:

1) The City has a high level of employee satisfaction and retention.

2) The City provides appropriate, well managed information technology and

---

[52] Taken from Appendix L, ends and means statements (1997198 Annual Operating Plan), 16.

[53] Community Services includes the following: Airport, Animal Services, Convention and Visitors Bureau, Collection Station, and Sanitation Contracts (solid waste services, recycling, bulky waste pick-up).

''Development Services includes Planning, Development Processes, and Inspection Services.

''Finance and Administration incudes the following departments: Accounting, Municipal Court, Purchasing and Properties, Facilities Maintenance, Fleet Management, and the Utility Office.

services that support city operations and citizen access to information.

3) There is trust and harmony between the public safety providers and all segments of the community.

4) Georgetown is effective at resolving issues related to crime, disorder and fear of crime.

5) Georgetown is prepared to respond to large scale natural and technological emergencies.

6) Public safety services have a high level of citizen and volunteer involvement.[56]

Review of Georgetown's ends statements show there is a strong level of evidence supporting the area of goal setting (refer to Table 6.4). In addition, ends statements compliment Georgetown's values and mission statement. Another plus is the fact that ends statements are not departmentalized but rather serve a cross functional role, which may at times include interlocal governmental, private sector, and citizen participation.

Control Element: Strategic Objectives

Strategic objectives differ from goals in that they present the "details" of accomplishing the short- and long-range goals. It is at this point that an organization determines precisely ***what*** will be accomplished and ***how*** it will be accomplished within a specified time frame. Specifics for the action plan are detailed, highlighting staff requirements, financial parameters, and timelines for completion of each task. It is safe to state that buy-in must be achieved at every level in order for the plan to materialize and success be realized.

---

[56] Taken from Appendix M, 1997/98 Annual Operating Plan, Police Services ***(220-222).***

Table 6.4
Assessment of Control Element: Goals

CONTROL ELEMENT			
Goals (City/Department)	**Method**	**Sources of Evidence**	**Evidence Level**
Long range change target guiding how the "means" will accomplish the ends.	Document Analysis	★Budget Document ★City Charter ★Ends and Means Statements	Strongly Supports
	Direct Observation	★Citizen work groups	Strongly Supports
	Participant Observation	%Mid-year Council Retreat ★Budget Hearings and Workshops	Strongly Supports
Broad statement of leadership, organization, and resource allocation.	Document Analysis	★Budget Document ★Ends and Means Statements	Strongly Supports
A mix of short-term and long-term targets exist.	Document Analysis	★Ends and Means Statements	Strongly Supports
	Participant Observation	★Mid-year Council Retreat ★Budget Hearings and Workshops	Strongly Supports
Policy oriented; set by council or top administrators.	Document Analysis	%Budget Document ★City Charter ★Ends and Means Stalements	Strongly Supports
	Direct Observation	★Formal Adoption of the Budget	Strongly Supports
	Participant Observation	%Mid-year Council Retreat ★Budget Hearings and Workshops	Strongly Supports

As mentioned in the preceding section, the City of Georgetown adopted a strategic planning process during the late 1980s to document and formalize the goals and processes by which the City strives to enhance quality of life (refer to Appendix L). The "Century Plan" is comprised of three processes: 1) ends statements which define ultimate targets; 2) functional plans which provide more detailed direction for accomplishing the ends; and 3) means statements. Means statements define the City Manager's and staff's strategic objectives for accomplishing the ends. Continuing with the example given in the previous section, therefore, each of the policy and focus ends listed under Facilities and Services would list the specific means that Police Services would use to meet those objectives. For the focus end, "Georgetown is effective at resolving issues related to crime, disorder and fear of crime". several of the means are listed as follows:

> 1) Implement service delivery strategies to address areas of substance abuse, traffic flow, accidents, truancy, domestic violence, property crimes, and assaults.
>
> 2) Provide businesses and community groups with accurate information on crime, the community and police matters."

In addition to the objective detailed in a means statement, the timeframe for completion as and the divisions responsible for achieving success of the means are listed. While this serves as a fairly comprehensive system for the City, there are several shortcomings noted by the researcher. First, evidence shows that the timeframes for means statements tend to fall into the category of either one-year or long-range; there are no intermediate objectives. Second, evidence indicates that means statements do not communicate to management and staff the specifics of how these strategies will be accomplished; means are not broken down into meaningful and measurable tasks. Finally, no evidence could be found indicating that the City, at present, has formal system for documenting or tracking progress as divisions work toward the goal. Table 6.5 summarizes the evidence discussed.

---

[57] Taken from Appendix M, 1997/98 Annual Operating Plan, Police Services (220-222).

Table 6.5
Assessment of Control Element: Strategic Objectives

CONTROL ELEMENT			
Strategic Objectives (Dept)	**Method**	**Sources of Evidence**	**Evidence Level**
Indicates what will be accomplished and *how* within a specified time frame (follows the verb-noun structure)	Document Analysis	*Budget Document ★City Charter ★Means Statements	Supports
	Direct Observation	★Formal Adoption of the Budget	Supports
	Participant Observation	*Mid-year Council Retreat ★Budget Hearings and Workshops	supports
Assigns staff responsibilities.	Document Analysis	★Means Statements *Personnel Policy Manual ★Performance Evaluation ★Job Descriptions	Strongly Supports
	Direct Observation	★Formal Adoption of the Budget	Strongly Supports
	Participant Observation	★Budget Hearings and Workshops	Strongly Supports
Specific, measurable, action-oriented, realistic, and timely.	Document Analysis	★Means Statements	Weakly Supports
Provides a framework based on Human, Production, Financial, and Customer needs	Document Analysis	★Means Statements	Strongly Supports

Management Element: Performance Measures

"If you don't measure results, you can't tell success from failure" (Osborne and Gaebler: 1993, 147). Measuring performance serves as the means for management to monitor progress. Performance measures provide the manager with the information to gauge efficient and effective use of resources as an organization works toward achieving a goal. Measuring performance is a critical element for decision makers, managers, and staff. And in the public sector, it is equally important as a communication device for citizens.

Evidence indicates a deficiency in the City of Georgetown's use of performance measurements. The City is cognizant that a gap exists between goal setting and the monitoring of activities in place. Realizing the difficulty in "keeping a handle" on the rapid growth Georgetown is experiencing, staff has made strides to monitor performance as a form of accountability in terms of the ends and means. In order to ensure buy-in and that measurements would be useful to managers, performance measurements will be phased into departments over the next few years. During the interim, however, all other departments are required to, at a minimum, to submit performance indicators for the budget document.

Police Services and Development Services were selected during fiscal year 1997 as the first departments to receive training on implementation, development, and monitoring of performance measurements. Following extensive training last summer, Police Services emerged with a number of "critical" measures to monitor performance within each area of service (these measures are referred to and critiqued in Table 6.6). Selected measures were included in the budget document and the department will begin monitoring activities on a quarterly basis. The next section of this chapter assesses the performance measures created and used by Police Services.

Table 6.6
Assessment of Management Element: Performance Measures

MANAGEMENT ELEMENT			
Performance Measures (Dept)	**Method**	**Sources of Evidence**	**Evidence Level**
Monitors Human, Production, Financial, and Customer aspects for a comprehensive view.	Document Analysis	*Budget Document	Weakly Supports
	Direct Observation	★List of Performance Measures Adopted by Police Services	Strongly Supports
	Participant Observation	★Performance Measurement Training Workshops	Strongly Supports
Tied to each criteria noted in the Control and Planning Elements.	Document Analysis	★Budget Document	Weakly Supports
	Direct Observation	★List of Performance Measures Adopted by Police Services	Strongly Supports
A combination of output, outcome, efficiency, and effectiveness measures exist.	Document Analysis	*Budget Document	Weakly Supports
	Direct Observation	★List of Performance Measures Adopted by Police Services	Strongly Supports
	Participant Observation	&Performance Measurement Training Workshops	Strongly Supports
Employed at all levels; linked to incentives and compensation.	Document Analysis	★Budget Document	Weakly Supports
	Direct Observation	★List of Performance Measures Adopted by Police Services	Strongly Supports
Uses key measures most meaningful to specific management levels.	Document Analysis	*Budget Document	Weakly Supports
	Direct Observation	★List of Performance Measures Adopted by Police Services	Strongly Supports
	Participant Observation	%Performance Measurement Training Workshops	Strongly Supports

Assessment of Performance Measures Developed by Georgetown's Police Services

Inclusion of Customer, Internal Business, Innovation/Learning, and Finance Criteria

In the first half of this section, the performance measures created by Georgetown's Police Services are compared with the practical ideal model. By comparing measures used to the model, the researcher was able to determine if consideration was made for monitoring four critical areas of concern for an organization: customer needs and satisfaction, internal operations, employee growth and motivation, and financial constraints.

A look at the performance measures for Police Services as a whole show that the measures cover each of the four areas (refer to Table 6.7). Strongest support exists for monitoring internal business affairs and customer satisfaction. Each division comprising Police Services has an objective to measure internal business and each division except Professional Standards has a measure which directly monitors customer satisfaction. Little emphasis, however, has been placed on innovation/learning or finance. A number of explanations may exist for the deficiencies in these two areas. Beyond mandatory training required for police officers, internal training may be tracked by the Human Resources Department. The same may be true for costs monitored by the Finance and Accounting Department. If Police Services receives periodic reports from these department tracking activities, it may be unnecessary for efforts to be duplicated.

Table 6.7
Assessment of Performance Measurements for Georgetown's Police Services

Performance Measures per Division (Department)	Customer	Internal Business	Innovation /Learning	Finance
Administration & Organization				
95% of all citizens surveyed perceived Police Services positively.	✓			
Sustained external citizen complaints are less than .5% of police calls for service.	✓	✓		
Cost of police services is less than $150 per capita.		✓		✓
Overtime expenditures are less than 5% of total salaries.		✓		✓
]Professional Standards				
95% of all Internal Affairs investigations are completed and successfully reviewed with a final disposition within 40 days.		✓		
100% of state mandated training will be completed in every two year cycle.		✓	✓	
95% of all Internal Affairs Investigations are deemed fair and equitable.		✓		
The turn over rate is less than 10% annually.		✓		✓
Special Operations				
The recidivism rate for runaway juveniles is less than 10%.	✓	✓		
80% of illegal drug and alcohol problems identified to the Police Services Division are verified and successfully resolved.		✓		
The overall index crime rate is less than 37 per 1,000.	✓	✓		
98% of all arrests pass the first legal review.	✓	✓		

Table 6.7, cont.
Assessment of Performance Measurements for Georgetown's Police Services

Performance Measures per Division (Department)	Customer	Internal Business	Innovation /Learning	Finance
Patrol Services				
90% of all life-threatening (Priority 1) calls for service are responded to within 3 minutes.	✓	✓		
90% of all emergency (Priority 2) calls for service are responded to within 5 minutes.	✓	✓		
40% of the reporting areas (grids) are absent of crime and disorder.	✓	✓		
The overall property index crime rate is less than 35 per 1,000.	✓	✓		
Information Management				
95% of all cases forwarded to other agencies or departments do not require follow-up requests.	J			
95% of police officers and fire fighters surveyed are satisfied with communication operations.		✓		
100% of all police and fire emergency (Priority 1) calls are dispatched within 40 seconds.	✓	✓		
90% of all police and fire non-emergency (Priority 2) calls are dispatched within 2 minutes.	✓	✓		

Assessment of Georgetown's Police Services' Performance Measures to Model Criterion

In this final section, the performance measures created by Georgetown's Police Services are critiqued according to their level of addressing each of the five essential criterion. The five criterion provide a "checklist" for ensuring measures chosen are focused, essential, and appropriate. The model advocates measuring the desired outcome, tied to the organization's values and mission, rather than simply focusing on short-term objectives. Figure 6.1 provides an explanation of the criteria forming the practical ideal model used in this assessment.

Figure 6.1
Explanation of Criteria

Criteria 1 - Performance measures are linked to the city's vision, mission, and strategic objectives.
Criteria 2 - Performance measures focus on a single topic.
Criteria 3 - An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
Criteria 4 - Performance measures are unique, catering to the needs of a manager or division.
Criteria 5 - Performance measures selected are useful in detecting problems.

Inclusion of Criteria: Administration and Organization

The performance measures selected by Administration and Organization clearly meet the five criteria recommended by the practical ideal model (refer to Table 6.8). Each measure focuses on a single topic. The performance measures chosen are appropriate for aiding the Police Chief in making management decisions on efficient and effective use of officers while ensuring citizen satisfaction is maintained. These measures are closely tied to the City's mission, ends and means statements, and will enable the Police Chief to provide evidence to further support his department's initiatives.

Table 6.8
Assessment of Performance Measurements to Model: Administration

Performance Measures per Division (Department)	Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 5
Administration & Organization					
95% of all citizens surveyed perceived Police Services positively.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
Sustained external citizen complaints are less than .5% of police calls for service.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
Cost of police services is less than $150 per capita.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
Overtime expenditures are less than 5% of total salaries.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports

Explanation of Criteria:
Criteria 1 - Performance measures are linked to the city's vision, mission, and strategic objectives.
Criteria 2 - Performance measures focus on a single topic.
Criteria 3 - An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
Criteria 4 - Performance measures are unique, catering to the needs of a manager or division.
Criteria 5 - Performance measures selected are useful in detecting problems.

Inclusion of Criteria: Professional Standards

Table 6.9 shows that the performance measures selected by Professional Standards strongly support four of the five criteria recommended by the practical ideal model. A few of the measures were found to not clearly focus on one specific topic (*e.g.*, 95% of all Internal Affairs investigations are completed and successfully reviewed with a final disposition within 40 days). For those measures, it may be necessary to further simplify or measure several items separately to clearly monitor activity in those areas.

Table 6.9
Assessment of Performance Measurements to Model: Professional Standards

Performance Measures per Division (Department)	Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 5
Professional Standards					
95% of all Internal Affairs investigations are completed and successfully reviewed with a final disposition within 40 days.	Strongly Supports	Supports	Strongly Supports	Strongly Supports	Strongly Supports
100% of state mandated training will be completed in every two year cycle.	Strongly Supports	Strongly Supports	strongly Supports	Strongly Supports	Strongly Supports
95% of all Internal Affairs Investigations are deemed fair and equitable.	Strongly Supports	Supports	Strongly Supports	Strongly Supports	Strongly Supports
The turn over rate is less than 10% annually.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports

Explanation of Criteria:
Criteria 1 -Performance measures are linked to the city's vision, mission, and strategic objectives.
Criteria 2 - Performance measures focus on a single topic.
Criteria 3 - An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
Criteria 4 - Performance measures are unique, catering to the needs of a manager or division.
Criteria 5 - Performance measures selected are useful in detecting problems.

Inclusion of Criteria: Special Operations

Table *6.10* shows that the performance measures selected by Special Operations strongly support four of the five criterion recommended by the practical ideal model. Again, as with Professional Standards, a few measures fail to focus on a single topic which could pose difficulties when attempting to determine the origin of problems. For instance, the measure "80% of illegal drug and alcohol problems identified to the Police Services Division are verified and successfully resolved may better serve administrators by monitoring drug problems verified and successfully resolved versus alcohol problems verified and successfully resolved separately. Measures chosen for Special

Operations clearly focus on outcomes and the effectiveness of services provided and represent the mission statement's ideal of providing a safe community for citizens.

Table 6.10
Assessment of Performance Measurements to Model: Special Operations

Performance Measures per Division	Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 5
Special Operations					
The recidivism rate for runaway juveniles is less than 10%.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
80% of illegal drug and alcohol problems identified to the Police Services Division are verified and successfully resolved.	Strongly Supports	Supports	Strongly Supports	Strongly Supports	Strongly Supports
The overall index crime rate is less than 37 per 1,000.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
98% of all arrests pass the first legal review.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports

Explanation of Criteria:
Criteria 1 - Performance measures are linked to the city's vision, mission, and strategic objectives.
Criteria 2 - Performance measures focus on a single topic.
Criteria 3 - An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
Criteria 4 - Performance measures are unique, catering to the needs of a manager or division.
Criteria 5 - Performance measures selected are useful in detecting problems.

Inclusion of Criteria: Patrol Services

Table 6.11 shows that all of the performance measures selected by Patrol Services clearly meet the five criteria recommended by the practical ideal model. Each measure focuses on a single topic. The performance measures developed are appropriate for aiding supervisors in managing the efficient and effective use of officers when responding to citizen calls in addition to other job responsibilities which address crime. These measures are closely tied to the mission, ends and means statements, and enable close monitoring of daily operations.

Table 6.11
Assessment of Performance Measurements to Model: Patrol

Performance Measures per Division (Department)	Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 5
Patrol Services					
90% of all life-threatening (Priority 1) calls for service are responded to within 3 minutes.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
90% of all emergency (Priority 2) calls for service are responded to within 5 minutes.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
40% of the reporting areas (grids) are absent of crime and disorder.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
The overall property index crime rate is less than 35 per 1,000.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports

Explanation of Criteria:
Criteria 1 - Performance measures are linked to the city's vision, mission, and strategic objectives.
Criteria 2 - Performance measures focus on a single topic.
Criteria 3 - An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
Criteria 4 - Performance measures are unique, catering to the needs of a manager or division.
Criteria 5 - Performance measures selected are useful in detecting problems.

Inclusion of Criteria: Information Management

The final table in this chapter (Table 6.12) shows that the performance measures selected by Information Management clearly meet the five criteria recommended by the practical ideal model. Each measure chosen for Information Management successfully focuses on a single topic. The performance measures selected are appropriate for monitoring the efficient and effective dispatching of citizen calls for service. These measures are closely tied to the City's ends and means statements, focus on internal operations, and enable staff to monitor daily operations. The only recommendation to be made concerns the performance measure, '95% of police officers and fire fighters surveyed are satisfied with communications operations." This statement, at present, is quite broad. As written, a survey covering this question may lead respondents to critique communications operators according to personality and/or a number of other job duties unrelated to those specifically affecting the quality of completing their assigned tasks. The measure should be rewritten to only include those communications operations directly affecting the job duties of police officers and fire fighters.

Table 6.12
Assessment of Performance Measurements to Model: Information Management

Performance Measures per Division	Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 5
Information Management					
95% of all cases forwarded to other agencies or departments do not require follow-up requests.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
95% of police officers and fire fighters surveyed are satisfied with communication operations.	Strongly Supports	Supports	Strongly Supports	Strongly Supports	Strongly Supports
100% of all police and fire emergency (Priority 1) calls are dispatched within 40 seconds.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports
90% of all police and fire non-emergency (Priority 2) calls are dispatched within 2 minutes.	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports	Strongly Supports

Explanation of Criteria:
Criteria 1 - Performance measures are linked to the city's vision, mission, and strategic objectives.
Criteria 2 - Performance measures focus on a single topic.
Criteria 3 - An appropriate mix of output, outcome, efficiency, and effectiveness measures exist.
Criteria 4 - Performance measures are unique, catering to the needs of a manager or division.
Criteria 5 - Performance measures selected are useful in detecting problems.

Overall Conclusions

The documents analyzed in this study reveal that the City of Georgetown and specifically Georgetown's Police Services have put into place a system which closely resembles the holistic management model recommended herein. For those areas where the City is lagging (*e.g.*, strategic planning objectives and performance measures), plans are in place this fiscal year to implement procedures which will further enhance the overall management system. Georgetown's Police Services has implemented quality measures to monitor services provided and over time will continue to refine those measures to best serve the needs of each management level. Management should be cognizant that situations may arise necessitating the need to create more or less measures in certain areas or for certain programs. While measuring performance can be time-consuming, it may not be judicious in some instances to dictate each division develop only four measures to monitor activities.

It is also important to note the amount of citizen input which goes into the planning process. As mentioned earlier in this chapter, Georgetown uses a number of citizen work groups to help define goals. To further compliment the strategic planning process, a number of citizen focus groups are planned this fiscal year. In addition, the City obtains citizen input from periodic surveys.[58] Police Services, too, has planned to survey its customers (internal -- other City departments, external -- Georgetown citizens, and interlocal entities such as Williamson County).

The final chapter in this Applied Research Project presents conclusions to this study. In addition, the researcher makes recommendations on possible future topics for research.

---

[58] Refer to Appendix O for a draft of the Electric Utility Survey to be conducted later this spring.

Chapter 7

CONCLUSION

Research Summary

The purpose of this chapter is to present the overall results and identify whether the management system set forth by the City of Georgetown and the performance measures implemented by Georgetown's Police Services meets the practical ideal model developed in this study. Recommendations are made for improving the current performance measures used by Georgetown's Police Services with the intent of creating a more effective and holistic management system which will benefit all levels of the City. On a macro level, it is anticipated that the recommendations herein will ultimately also benefit other municipal organizations desiring to implement a performance measurement system.

This Applied Research Project presented an practical ideal model of a performance measurement system for public sector organizations. The model departs from the "cookie cutter" approach championed by the literature and many consultants. Instead, this model advocates that measures should reflect the goals of a particular program or organization and take into consideration the needs of each level of management, all with respect to the parameters set forth by the organization's overall, vision, mission, and strategic objectives. For this reason, the study commences with an examination of the macro level management systems in place throughout the entire City of Georgetown. After determining the degree to which Georgetown's management system parallels the practical ideal model, the researcher then investigated the performance measures developed by Georgetown's Police Services at a micro level compared to the practical ideal model. This theory is particularly important to public sector organizations that are not driven by bottom-line profit like their private sector counterparts, but rather customer satisfaction. With this considered, weaknesses of this research are presented in the final section of this chapter.

Research Weaknesses

Only one department within the City of Georgetown was used in this study -- Police Services. Preferably, the study would have analyzed the success of performance measures among all City of Georgetown departments to determine weakness and strengths in relation to the model. However, development and use of a performance measurement system at the City of Georgetown was recommended only this past fiscal year. And to ensure proper buy-in and support for the use of performance measures among all departments, administrators determined that departments would be phased in over a two to three year period with the Development Services Division and Police Services launching the program during fiscal year 1997. Unfortunately, Development Services was unable to complete their performance measures in time to be analyzed for this study.

Another shortcoming of this study is that the performance measures developed by Georgetown's Police Department were evaluated prematurely -- during the implementation phase. As previously mentioned, performance measures were developed during the last quarter of fiscal year 1997. Ideally, any evaluation of the system should be conducted after all management levels have had adequate time to use and refine the measures; evaluation after one full year of use may have revealed conflicting information to this study or even identified merits or obstacles not evident at this stage.[59]

---

[59] Analysis of a performance measurement system utilized by a municipality such as Sunnyvale, California, Charlotte, North Carolina, or Gresham, Oregon would be ideal in testing the practical ideal model proposed here. For example, the City of Sunnyvale has used and refined

Research Strengths

The push to "reinvent government" has led many experts to search for solutions which will help in managing public sector programs and organizations more efficiently and effectively. The use of performance measurements, particularly among public sector organizations, continues to spark interest for obvious reasons. The fallacy found in most literature and research on performance measurement systems is the inability to move beyond the assessment of inputs, outputs, outcomes, efficiency, and effectiveness in relation to the financial objectives of a program or organization. In essence, performance measurement systems for many public sector organizations tend to fail because they are driven primarily by nebulous outcomes and financial objectives -- a contradiction of public sector economics -- rather than serving to link daily operations to an organizations values, mission, goals, and strategic objectives.

The strength of a holistic management system is that it helps to ensure performance measures are developed for all levels of management, not just department directors. A holistic management system also provides a tool for focusing attention to measuring what citizens/customers perceive is important and tying performance to the ultimate objectives of the organization. This approach helps ensure that performance measurements are designed to meet the specific needs of various levels rather than merely invoking a "cookie cutter" approach.

Analysis demonstrates that the City of Georgetown has a solid program in place for supporting the values and mission of the organization. All goals and objectives (termed Ends and

---

its performance measurement system over the past 25 years. Through the evolution of the process of "learning from one's mistakes," the City of Sunnyvale has a management system representative of the holistic model advocated herein. See Chan, April 1994; Chan and Rich, December 1996; Kaplan and Norton, 1996: 181-185; and Rainey, February 1997. See also Fairbanks, January 1996.

Means by the City of Georgetown) are ultimately connected to the City's values and mission. This fiscal year, the City will strive to put into place strategic objectives which will further define tactics for accomplishing the Mean statements. Ultimately, strategic objectives will lead to the implementation of performance measurements within all departments to aid in monitoring progress as the City strives to achieve the Ends. Finally, this holistic management system will enhance communication with Georgetown's citizens, resulting in a proactive approach to coping with the fast growth the City is faced with.

Possible Future Studies

As previously mentioned, one possible future study could include a re-evaluation of the City of Georgetown once all departments have implemented performance measures. Another possible topic would be to assess all Texas cities to determine the degree of resemblance to the practical ideal model.

The conceptual tool presented in this Applied Research Project is a practical ideal model. The practical ideal model was developed due to a deficiency in the literature to assess performance measurement systems in a holistic manner which takes into account the values, mission, goals, and strategic objectives of the organization. Furthermore, the pragmatic experience of the researcher contributed to conceptualization of the practical ideal model. The framework provided for this research is not perfect; rather, it is "a work in progress." In this sense, the model can be adapted to take into account the specific needs of an organization as opposed to mandating that the management systems evaluated must parallel the practical ideal model or the management system used by Georgetown. The framework developed herein, however, does provide a starting point for further research and improvement. Additional research, inquiry, and pragmatic input can further refine this preliminary tool to aid public sector organizations in defining a holistic performance management system which will aid in implementation and buy-in at every level.

BIBLIOGRAPHY

Allen, John R. "The Uses of Performance Measurement in Government," *Government Finance Review* 12:4. (August 1996): 11-15.

Allen, William H. *Efficient Democracy.* New York: Dodd, Mead, 1908.

Ammons, David N., ed. "Introduction," *Accountability for Performance: Measurement and Monitoring in Local Government.* (Washington, D.C.: International City/County Management Association, 1995): 1-12.

Babbie, Earl. *The Practice of Social Research,* 7th ed. Belmont, California: Wadsworth Publishing, 1995.

Bacot, Hunter, McCabe, Amy S., Fitzgerald, Michael R., Bowen, Terry, and Folz, David H. "Practicing the Politics of Inclusion: Citizen Surveys and the Design of Solid Waste Recycling Programs," *American Review of Public Administration* 29:1. (1993): 29-41.

Berman, Evan M. "Dealing With Cynical Citizens," *Public Administrution Review* 57:2. (March/April 1997): 105-112.

Bingham, Richard D. and Felbinger, Claire L. *Evaluation in Practice: A Methodological Approach.* New York: Longman, 1989.

Bryson, John M. *Strategic Planning for Public and Nonprofit Organizations.* San Francisco: Jossey-Bass Publishers, 1989.

Buckwalter, Doyle, Parsons, Robert, and Wright, Norman. "Citizen Participation in Local Government: The Use of Incentives and Rewards," *Public Management* 23. (September 1993): 11-15.

Chan, Amy. "Managing a Government Like a Business: The Sunnyvale System," *Government Finance Review* 10:2. (April 1994): 7-11.

Chan, Amy and Rich, Dan. "Sunnyvale's Outcome Management: Taking Performance Budgeting One Step Further," *Government Finance Review* 12:6. (December 1996): 13-17.

Chrislip, David D. "The Failure of Traditional Politics," *National Civic Review* 82. (Summer 1993): 234-235.

Cleveland, F. A. *Organized Democracy: An Introduction to the Study of American Politics.* New York: Longmans, Green, and Co., 1913.

Comptroller General of the United States. *Executive Guide: Effectively Implementing the Government Performance and Results Act.* Washington, D.C.: Comptroller General, June 27. 1995. GAO/GGD-96-118.

Cothran, Dan A. "Entrepreneurial Budgeting: An Emerging Reform?" *Public Administration Review* 53:5. (September/October 1993): 445-454.

Denhardt, Robert. *Theories of Public Organization.* Monterey, California: Brooks/Cole Publishing, 1985.

Denton, Robert E. and Woodward, Gary C. *Political Communication in America.* Westport, Connecticut: Praeger, 1990.

Dewey, John. *Logic: The Theory of Inquiry.* New York: Holt, Rinehart and Winston, 1938.

Drucker, Peter F. *Management: Tasks, Responsibilities, Practices.* New York: Harper & Row, 1974.

Drucker, Peter F. *The Executive in Action: Managing for Results -- Innovation and Entrepreneurship -- The Effective Executive.* New York: HarperBusiness, 1996.

Durant, Robert F. 'The Democratic Deficit in America." Paper presented at the 56th Annual Research Conference of the American Society for Public Administration, San Antonio, Texas, 22-26. (July 1995).

Eadie, Douglas C. "Putting a Powerful Tool to Practical Use: The Application of Strategic Planning in the Public Sector," *Public Administration Review* 43:5. (September/October 1983): 447-452.

Fairbanks, Frank. "Managing for Results: The Path That Phoenix Has Followed," *Public Management* 78. (January 1996): 12-15.

Fitz-enz, Jac. *The 8 Practices of Exceptional Companies: How Great Organizations Make the Most of Their Human Assets.* New York: American Management Association, 1997.

Forbis, John L. and Mehta, Nithin T. "Value-Based Strategies for Industrial Products," *Business Horizons* 24. (May/June 1981): 32-42.

Gabor, Andrea. *The Man Who Discovered Quality: How W. Edwards Deming Brought the Quality Revolution to America.* New York: Random House, 1990.

Garnett, James L. *Communicating for Results in Government: A Strategic Approach for Public Managers.* San Francisco, California: Jossey-Bass, 1992.

Glaser. Mark A. and Bardo, James W. "A Five-Stage Approach for Improved Use of Citizen Surveys in Public Investment Decisions," *State and Local Government Review* 26. (Fall 1994): 161-172.

Gold, Kenneth. "Managing for Success: A Comparison of Private and Public Sectors," *Public Administration Review* 42:6. (November/December 1982): 568-575.

Goodsell, Charles. *The Case for Bureaucracy* 3rd ed. Chatham, New Jersey: Chatham House, 1994.

Gore, Al, Vice President. *From Red Tape to Results: Creating a Government that Works Better and Costs Less. Report of the National Performance Review.* September 7, 1993. Available on-line, httm://www.npr.com.

Gore, Al, Vice President (1994). "Cynicism or Faith," *Vital Speeches.* (October 1995): 645-649.

Greider, William. *Who Will Tell the People: The Betrayal of American Democracy.* New York: Simon and Schuster. 1992.

Groszyk, Walter. *lmplernentation of the Government Performance and Results Act of 1993.* Presented at the Organization of Economic Cooperation and Development of National Experts on Performance Measurement, November 1995; available on-line from http://www.gprastat.txt at ftp.fedworld.gov (FTP).

Hall, John Stuart and Weschler, Louis F. "The Phoenix Futures Forum: Creating Vision, Implanting Community," *National Civic Review* 80. (Spring 1990): 135-157.

Hart, Christopher W. L. and Bogan, Christopher E. *The Baldrige: What it is, How it's Won, How to Use it to Improve Quality in Your Company.* New York: McGraw-Hill, 1992.

Hatry, Harry P., Blair, Louis H., Fisk, Donald M., Greiner, John M., Hall, John R., Jr., and Schaenman, Philip S. *How Effective Are Your Community Services? Procedures for Measuring Their Quality,* 2nd ed. Washington, D.C.: The Urban Institute and International City/County Management Association, 1992. ISBN, 0-87326-804-0.

Hatry, Harry P., Greiner, John M., and Swanson, Maria. "Monitoring the Quality of Local Government Services," *Management Information Services Report* 19:2. (February 1987): 9.

Hickman, Larry. *John Dewey's Pragmatic Technology.* Bloomington, Indiana: Indiana University Press, 1990.

James, William. *Pragmatism: A New Name for Some Old Ways of Thinking.* Cambridge, Massachusetts: Riverside Press, 1907.

Jurie, Jay. "Bureaucracy and Higher Education: The Redefinition of Relevance," *Scholar and Educator* 12 (Fall 1988): 80-91.

Kaplan, Robert S. and Norton, David P. *The Balanced Scorecard.* Boston: Harvard Business School Press, 1996.

Keehley, Patricia, Medlin, Steven, MacBride, Sue, and Longmire, Laura. *Benchmarking for Best Practices in the Public Sector: Achieving Performance Breakthroughs in Federal, State, and Local Agencies.* San Francisco: Jossey-Bass, 1997.

Knott, Jack H. and Miller, Gary J. *Reforming Bureaucracy: The Politics of Institutional Choice.* Englewood Cliffs, New Jersey: Prentice-Hall, 1987.

Knouse, Stephen B., Carson, Paula Phillips, and Carson, Kerry D. "W. Edwards Deming and Frederick Winslow Taylor: A Comparison of Two Leaders Who Shaped the World's View of Management," *International Journal of Public Administration* 16:10. (1993): 1621-1658.

Kravchuk, Robert S. and Schack, Ronald W. "Designing Effective Performance-Measurement Systems Under the Government Performance and Results Act of 1993," *Public Administration Review* 56:4. (July/August 1996): 348-358.

Lynn, Edward S. and Freeman, Robert J. *Fund Accounting: Theory and Practice,* 2nd ed Englewood Cliffs, New Jersey: Prentice-Hall, 1983.

Maser, Steven M. *A Guide to Mission-Driven Accreditation.* Commission on Peer Review and Accreditation, National Association of Schools of Public Affairs and Administration. Washington, D.C., September 10, 1996.

McClendon, Bruce W. and Lewis, John A. "Goals for Corpus Christi: Citizen Participation in Planning," *National Civic Review.* (Spring 1985): 72-80.

McKinney, J. B. "Performance Budget and Accountability," *Case Studies in Public Budgeting and Financial Management.* Edited by Aman Khan and W. Bartley Hildreth. (Dubuque, Iowa: Kendall-Hunt, 1994): 79-100.

Mink, Oscar G., Mink, Barbara P., Downes, Elizabeth A., Owen, Keith Q. ***Open Organizations: A Model for Effectiveness, Renewal, and Intelligent Change.*** San Francisco: Jossey-Bass Publications, 1994.

Morgan, Douglas, Bacon, Kelly G., Bunch, Ron, Cameron, Charles D., and Deis, Robert. "What Middle Managers do in Local Government: Stewardship of the Public Trust and the Limits of Reinventing Government," ***Public Administration Review*** 56:4. (July/August 1996): 359-366.

O'Connell, Brian J., Holzman, Herbert, and Armandi, Barry R. "Police Cynicism and the Modes of Adaptation" ***Journal of Police Science and Administration*** 14 (September 1986): 307-313.

Osborne, David and Gaebler, Ted. ***Reinventing Government: How the Entrepreneurial Spirit is Transforming the Public Sector.*** New York: Plume, 1993.

Osborne, David and Gaebler, Ted. "The Art of Performance Measurement," ***Accountability for Performance: Measurement and Monitoring in Local Government.*** Edited by David N. Ammons. (Washington, D.C.: International City/County Management Association, 1995): 33-43.

Performance Based Budgeting. A Governor's Executive Development Program Task Force Report, Class XV, Austin, Texas. January, 1997.

Poister, Theodore H. and McGowan, Robert P. "The Use of Management Tools in Local Government: A National Survey," ***Public Administration Review*** 44. (1984): 215-223.

Poister, Theodore H. and Streib, Gregory. "Management Tools in Municipal Government: Trends Over the Past Decade," ***Public Administration Review*** 49:3. (May/June 1989): 240-248.

Potapchuck, William R. "New Approaches to Citizen Participation: Building Consent," ***National Civic Review*** 80. (Spring 1990): 158-168.

Powers, Le Grand. "Letter to the Editor," ***Journal of Accountancy*** 2. (June 1906): 160.

Rafuse, Robert W., Jr. "Financing Local Government," ***Local Government Finance: Concepts and Practices.*** Edited by John E. Petersen and Dennis R. Strachota. (Chicago, Illinois: Government Finance Officers Association, 1991): 9-27.

Rainey, Anthony H. "Benchmarking to Become Best in Class: Guiding Principles in Gresham, Oregon," ***Government Finance Review*** 13:1. (February 1997): 5-9.

Rider, Robert W. "Making Strategic Planning Work in Local Government," ***Long Range Planning*** 16 (June 1983): 73-81.

Rubin, Irene and Stein, Lana. "Budget Reform in St. Louis: Why Does Budgeting Change?' ***Public Administration Review*** 50:4 (July/August 1990): 420-426.

Rubin, Irene. 'Who Invented Budgeting in the United States?" ***Public Administration Review*** 53:5 (September/October 1993): 438-444.

Rubin, Irene. "Budgeting for Accountability: Municipal Budgeting for the 1990s" ***Public Budgeting and Finance*** (Summer 1996): 112-132.

Schachter, Hindy Lauer. "Reinventing Government or Reinventing Ourselves: Two Models for Improving Government Performance," ***Public Administration Review*** 55:6. (November/December 1995): 530-537.

Schick, Allen. "The Road to PPB: The Stages of Budget Reform," ***Classics of Public Administration.*** Edited by Jay M. Shafritz and Albert C. Hyde. (Oak Park, Illinois: Moore Publishing, 1978): 249-267.

Shields, Patricia M. "Pragmatism: Exploring Public Administration's Policy Imprint," ***Administration & Society.*** (November 1996): 390-411.

Shields, Patricia M. "Pragmatism as a Philosophy or Science: A Tool for Public Administration," ***Social Science and Public Policy.*** (Forthcoming in 1998).

Simon, Herbert. "Why Public Administration?" ***Public Administration Review*** 58:1. (January/February 1998): ii.

Smith, Gerald E. and Huntsman, Carole **A.** "Reframing the Metaphor of the Citizen-Government Relationship: A Value-Centered Perspective," ***Public Administration Review*** 57:4. (July/August 1997): 309-318.

Smith, Hyrum W. ***The 10 Natural Laws of Successful Time and Life Management: Proven Strategies for Increased Productivity and Inner Peace.*** New York: Warner Books, 1994.

Sorkin, Donna L., Ferris. Nancy B., and Hudak, James. ***Strategies for Cities and Counties: A Strategic Planning Guide.*** Washington, D.C.: Public Technology, Inc., 1984.

Starobin, Paul. "A Generation of Vipers: Journalists and the New Cynicism" ***Columbia Journalism Review*** 33 (March/April 1995): 25-33.

Stiglitz, Joseph E. ***Economics of the Public Sector,*** 2nd ed. New York: W. W. Norton & Company, 1988.

Stipak, Brian. "Attitudes and Belief Systems Concerning Urban Services," ***Political Opinion Quarterly*** 41. (Spring 1977): 41-55.

Stokes Berry, Frances. "Innovation in Public Management: The Adoption of Strategic Planning" ***Public Administration Review*** 54:4 (July/August 1994): 322-329.

Streib, Gregory. "Professional Skill and Support for Democratic Principles," ***Administration & Society*** 24. (May 1992): 22-40.

Stupak, Ronald J. and Garrity, Rudolph B. "Change, Challenge, and the Responsibility of Public Administrators for Total Quality Management in the 1990s: A Symposium, Part 2," ***Public Administration Quarterly*** 16:1. (Spring 1993): 3-9.

Taylor, F. W. ***Principles of Scientific Management.*** New York: Harper, 1911.

The 1997 Texas Quality Award: Application Guidelines. Quality Texas Foundation, Austin, Texas. Printed by GTE Directories Corporation.

Thomas, Ronald L., Means, Mary C., and Grieve, Margaret. ***Taking Charge: How Communities Are Planning Their Futures.*** Washington, D.C.: International City Management Association, 1988.

Tigue, Patricia and Greene, Jr., James. "Performance Measurement: The Link to Effective Government," ***Research Bulletin -- Research and Analysis on Current Issues*** (Government Finance Officers Association, April 1994): 1-8.

Weber, R. P. ***Basic Content Analysis.*** London: Sage Publications, 1985.

Wheeland, Craig M. "Citywide Strategic Planning: An Evaluation of Rock Hill's Empowering the Vision," ***Public Administration Review*** 53:1. (January/February 1993): 65-72.

Wheeler, Kenneth M., ed. ***Effective Communication.*** Municipal Management Series. (Washington, D.C.: International City/County Management Association, 1994).

Wholey, Joseph S. and Hatry, Harry P. "The Case for Performance Monitoring," ***Public Administration Review*** 52:6. (November/December 1992): 604-610.

Wildavsky, Aaron. "The Self-Evaluating Organization," ***Classics of Public Administration.*** Edited by Jay M. Shafritz and Albert C. Hyde. (Oak Park, Illinois: Moore Publishing, 1978): 412-427.

Willoughby, William F. ***The Movement for Budgetary Reform in the States.*** Brookings reprint series. New York: D. Appleton and Co., 1918.

Wilmot, H. W. "Municipal Accounting Reform," ***Journal of Accountancy*** 2. (May 1906): 97-108.

Wilson, James Q. ***Bureaucracy: What Government Agencies Do and Why They Do It.*** New York: Basic Books, 1989.

Wiseman, Martin. "The Ecology of strategic Management in Small Local Governments," ***Public Administration Quarterly.*** (Summer 1993): 145-158.

Yin, Robert K. ***Case Study Research: Design and Methods,*** 2nd ed. Thousand Oaks, California: Sage Publications, 1994.

APPENDICES

Appendix A

LOG OF EVENTS

Log of Events

Date	Contact	Activity
02/04/97	Susan Morgan, Finance Dir.	Interview for Internship Position
02/16/97	Susan Morgan, Finance Dir.	Job Offer Made
02/17/97	Austin Diagnostic Clinic	Required Drug Screening for Job
02/18/97	Susan Morgan, Finance Dir.	Day 1 of Job. Meeting with Susan to go over responsibilities and project -- research performance measures in other cities and compile training manual for directors.
02/18/97	---	Attended weekly Directors Meeting.
02/19/97	Development Services	Orientation of operations and processes for Planning & Zoning, Land Use Plan, Mapping, and Permitting requirements.
02/20/97	Susan Morgan, Finance Dir.	Lunch.
02/25/97	---	Attended weekly Directors Meeting.
02/25/97	Community Owned Utilities	Orientation/Training of operations and processes
02/25/97	---	Council Workshop/Training
02/25/97	---	Council Meeting
02/26/97	Finance and Administration	Division Luncheon/Orientation of Parks System
02/26/97	Susan Morgan, Finance Dir.	Meeting on performance measures
02/26/97	Employee Services	New Employee Orientation
03/04/97	---	Attended weekly Directors Meeting.
03/04/97	Angela	Orientation of permitting and inspection processes (Development Services)
03/04/97	Susan Morgan, Finance Dir.	Budget Meeting
03/04/97	Larry Hesser, Police Chief	Orientation of operations and processes for all Police Services Divisions. Review of implementation of performance measures.
03/06/97	Susan Morgan, Finance Dir.	Meeting on performance measures
03/07/97	Lt. Robert Hernandez	Orientation of Special Operations (Police Services)
03/07/97	Lt. Kevin Stofle	Orientation of Patrol Services (Police Services)
03/07/97	Lee Sparks	Orientation of permitting and variance processes (Development Services)
03/07/98	Ed Barry, Dir.	Orientation of Development Services. Review of implementation of performance measures.

Date	Contact	Activity
03/07/97	Susan Morgan, Finance Dir.	Meeting on performance measures and planning process for training and implementation.
03/11/97	---	Attended weekly Directors Meeting.
03/11/97	---	Council Workshop/Training
03/11/97	---	Council Meeting
03/13/97	Lt. David Morgan	Orientation of Professional Standards Division (Police Services)
03/18/97	---	Attended weekly Directors Meeting.
03/18/97	Susan Morgan, Finance Dir.	Meeting on performance measures
03/18/97	---	Attended weekly Directors Meeting.
03/25/97	Ed Barry, Dir.	Meeting on performance measures
03/25/97	---	Council Workshop/Training
03/25/97	---	Council Meeting
03/26/98	Development Services Team	Performance measurement training
03/28/97	Finance and Administration	Division Luncheon
04/01/97	---	Attended weekly Directors Meeting.
04/01/97	---	Budget Planning Session w/ Directors and key staff
04/03/97	Susan Morgan, Finance Dir.	GFOAT Budget Award Criteria Meeting
04/08/97	---	Attended weekly Directors Meeting.
04/08/97	---	Council Workshop/Training
04/08/97	---	Council Meeting
04/14/97	Susan Morgan, Finance Dir.	Budget Meeting
04/15/97	---	Attended weekly Directors Meeting.
04/21/97	---	Attended Government Finance Officers Association of Texas Annual Conference
04/22/97	---	Attended Government Finance Officers Association of Texas Annual Conference
04/23/97	Susan Morgan, Finance Dir.	Lunch.
04/29/97	---	Attended weekly Directors Meeting.
05/06/97	---	Attended weekly Directors Meeting.
05/06/97	Laura Eix	Budget Meeting

Date	Contact	Activity
05/06/97	---	Council Workshop/Training
05/06/97	---	Council Meeting
05/09/97	Development Services Team	Performance measurement training
05/13/97	---	Attended weekly Directors Meeting.
05/20/97	---	Attended weekly Directors Meeting.
05/20/97	Finance and Administration	Division Luncheon
05/20/97	---	Council Workshop/Training
05/20/97	---	Council Meeting
05/21/97	---	Lunch with Bob Hart, CM, and Susan Morgan
05/23/97	Police Services	Performance measurement training
05/27/97	---	Attended weekly Directors Meeting.
05/30/97	---	Annual Budget Retreat
05/30/97	---	Annual Budget Retreat
06/03/97	---	Attended weekly Directors Meeting.
06/03/97	Murray Blackman	Meeting
06/03/97	Bob Hart, City Manager	Meeting -- Offer to continue Internship through summer; Move to City Hall to serve as Management Intern.
06/03/97	---	Council Workshop/Training
06/03/97	---	Council Meeting
06/04/97	Jim Briggs, Dir.	Orientation of operations and processes for Community Owned Utilities.
06/04/97	Molly Alexander, Dir.	Meeting on Hometown Award.
06/10/97	Bob Hart, City Manager	Meeting -- Create "top 20" Priority List
06/10/97	---	Attended weekly Directors Meeting.
06/11/97	Susan Morgan, Finance Dir.	Meeting on performance measures for Development Services.
06/11/97	Shelley Davis, Council Mem.	Meeting to prepare for Grant presentation for water line.
06/17/97	---	Attended weekly Directors Meeting.
06/17/97	---	Council Workshop/Training
06/17/97	---	Council Meeting
06/18/97	Shelley Davis, Council Mem.	Meeting to prepare for Grant presentation for water line.

Date	Contact	Activity
06/19/97	---	Texas Municipal League Conference
06/20/97	---	TCDP Grant presentation on water line.
06/24/97	---	Attended weekly Directors Meeting.
06/24/97	Development Services Team	Meeting on performance measures
04/24/97	Susan Morgan, Finance Dir.	Lunch.
06/24/97	Susan Morgan, Finance Dir.	Meeting on performance measures
06/25/97	Fire Services	Budget Workshop
06/25/97	Development Services	Budget Workshop
06/26/97	City Attorney	Budget Workshop
06/26/97	Community Services	Budget Workshop
06/27/97	Information Resources	Budget Workshop
06/27/97	Finance and Administration	Budget Workshop
06/27/97	Police Services	Budget Workshop
06/28/97	Community Owned Utilities	Budget Workshop
06/30/97	Parks and Recreation	Budget Workshop
06/30/97	Employee Services	Budget Workshop
06/30/97	Management Services	Budget Workshop
07/01/97	---	Attended weekly Directors Meeting.
07/01/97	---	Council Workshop (Deregulation)
07/01/97	---	Council Meeting
07/02/97	Bob Hart, City Manager	Meeting
07/02/97	Leon Henderson	Energy Services
07/03/97	Jim Briggs, Dir.	Meeting on Right-of-Ways
07/08/97	---	Attended weekly Directors Meeting.
07/11/97	Susan Morgan, Finance Dir.	Meeting.
07/15/97	---	Attended weekly Directors Meeting.
07/15/97	---	Council Workshop
07/15/97	---	Council Meeting
07/22/97	---	Attended weekly Directors Meeting.

Date	Contact	Activity
07/23/97	Bob Hart, City Manager	Lunch.
07/24/97	---	Council -- Budget Workshop
07/24/97	Bob Hart, City Manager Leon Henderson	Telephone Conference
07/25/97	Leon Henderson	Meeting on Energy Services
07/25/97	Bob Hart, City Manager Murray Blackman	Conduct goal setting/prioritization training session to assist emergency management team in Jarrell with clean-up and disbursement of funds following tornado.
07/28/97	Leon Henderson	Energy Services; Telephone Conference
07/29/97	---	Attended weekly Directors Meeting.
07/29/97	Jim Briggs. Dir.	Meeting on Telecommunications (Right-of-Ways)
07/29/97	Susan Morgan, Finance Dir.	Lunch
07/29/97	Larry Hesser, Police Chief	Meeting on performance measures
07/29/97	---	Council Workshop
07/29/97	---	Council Meeting
07/29/97	---	Last day of internship
08/06/97	Susan Morgan, Finance Dir.	Telephone conference on performance measures (ARP)
12/15/97	Susan Morgan, Finance Dir.	Received 1997/98 Annual Operating Plan
01/08/97	Susan Morgan, Finance Dir.	Telephone conference on performance measures (ARP)
02/10/97	Susan Morgan, Finance Dir.	Telephone conference on performance measures (ARP)
02/24/97	Susan Morgan, Finance Dir.	Meeting on performance measures (ARP); received personnel policies
03/04/97	Susan Morgan, Finance Dir.	Called for list of internal trainings and discuss ARP topic
03/12/97	Stephanie Krienke	Received list of internal trainings
04/16/97	Susan Morgan, Finance Dir.	Telephone conference on ARP

Appendix B

CITY OF GEORGETOWN VALUES STATEMENT

We, the EMPLOYEES of the **CITY** OF GEORGETOWN,
share a DEDICATION and COMMITMENT to:

A high level of TRUST between our community and each other. **By** accepting **ACCOUNTABILITY**, acting RELIABLY and RESPONSIBLY, and demonstrating LOYALR, we preserve an environment that supports SINCERIN, HONESTY, and ETHICAL behavior.

The use of EFFECTIVE COMMUNICATION through LISTENING and UNDERSTANDING, with CARE and COMPASSION, to the diversity in our community and our organization. By maintaining and projecting an APPROACHABLE, OPEN-MINDED attitude and respecting appropriate CONFIDENTIAI-IN, we ensure open, TWO-WAY communication.

The EFFECTIVENESS of TEAMWORK in achieving our COMMON GOALS. With **FLEXIBILITY,** SUPPORT, COMPETENT LEADERSHIP, FAIRNESS, and respect for cultural and social **DIVERSITY**, we COOPERATE in an atmosphere of INTERDEPENDENCE. While always respecting the VALUE OF EACH INDIVIDUAL, we recognize the importance of the COMMON GOOD of our community and organization over that of any one of its members.

A **HIGH** STANDARD of **PROFESSIONALISM**, which begins with dedication to FRIENDLY SERVICE through the EMPOWERMENT of COMPETENT, **WELL-**TRAINED employees. We encourage INNOVATIVE ideas and solutions, growth of SELF-ESTEEM, and PRIDE in our work and accomplishments. Our demonstrated **INTEGRITY** provides **POSITIVE** ROLE-MODELS for our community.

Improving the QUALITY OF LIFE by maintaining an equitable balance between work and FAMILY, promoting the DEMOCRATIC PROCESS, and treating our fellow employees and citizens with the RESPECT and providing the SUPPORT which we, in turn, expect. We work to preserve the rich HERITAGE and TRADITION of our community, to protect the HEALTH and SAFER of, and advocate JUSTICE for, all its **members**. With a **POSITIVE ATTITUDE**, respect for other's time and priorities, and use of appropriate HUMOR, we ensure an **ATTRACTIVE** WORK and LIVING ENVIRONMENT.

Appendix C

VALUES PROCESS

1994 CAFR

special assessment of the adjacent property owners who will benefit from the new roadway. The project is scheduled to be completed in October of 1995.

Parks and Recreation. The Texas Parks and Wildlife Department awarded the City a $500,000 grant for Phase I of the River Corridors Project. This project will include 2.5 miles of lighted and landscaped hike and bike trails, picnic facilities, enhanced softball fields, a new athletic complex with soccer and football fields, tennis courts and basketball courts. The park will be located along the scenic San Gabriel River that runs through the City. Construction on the project will begin in the summer of 1995. Also during 1994, the City began construction on the new Georgetown Recreation Center. This 18,000 square foot facility will provide youth, adult and senior activities including basketball, volleyball, racquetball, aerobics, arts and crafts, and weight training equipment. The facility was completed and opened to the public in January 1995.

Code Enforcement. The City's Fire Services Division implemented the NOHAZ program, a neighborhood service delivery program through code enforcement. The community was divided into 12 sectors with a fire fighter assigned to each sector. Each fire fighter is responsible for patrolling the sector and identifying code violations as well as other needed services (potholes, missing street signs, burned out lights, garbage problems, etc.). The service needs are coordinated with other City divisions as needed.

Financial Picture. Net assessed property valuations for fiscal year 1994 (1993 tax roll) increased by 10%; the first increase in five years. The City's property tax rate was set at $.3645 per $100 valuation compared to 5.39 in the prior year. Net assessed values for 1994 rose 18.8%. The tax rate for fiscal 1994195 has been set at 5.35734, a 12.9% increase when adjusted for the rise in property values. Georgetown's property tax rate continues to be the lowest in the area despite the increases.

As a result of direction originally outlined in the City's Century Plan, each of the utilities (electric, sanitation, wastewater, water and stormwater drainage) is budgeted separately. The goal is for each fund to be self-sufficient. This goal, along with continued customer growth, has allowed the City to maintain utility rates for the near future and fund many infrastructure improvements without debt. There were no utility rate increases in fiscal year 1994. There were no water, wastewater or electric rate increases approved for fiscal year 1995. A five percent sanitation rate increase, the first since October 1991, and a new stormwater drainage fee of $0.75 per residential equivalent unit were implemented in fiscal 1995.

We are proud to report that the GFOA has presented the Distinguished Budget Presentation Award to the City of Georgetown for the last five years. We are especially proud of this recognition since our operating budget is a part of the City's long term plan, the Century Plan. As further credit to this process, the City received the 1995 national award "Outstanding Planning - Small Jurisdictions" from the American Planning Association. The link between the Century Plan and City's operating budget was a key factor in the receipt of this award.

DEPARTMENT *FOCUS:* Values Process and the Management Team

Municipal government is facing many pressures and issues as service delivery demands increase with no new revenue sources. This changing environment will force local governments to challenge the ability of their organizations to respond to a new way of providing city services. The first step to meet this challenge is to look inward and set the organizational "stage" or culture.

The City Manager and the City's Management Team took a leading role in facilitating the process of defining the organizational culture. The goal of formally defining the organizational culture was set during a two day Management Team retreat held in February of 1994. During the retreat, the Management Team determined that the City did have a culture based on a core set of values; however, the values had never been formally written as guiding principles for the organization. The Management Team set a goal of formalizing the values-based culture, within one year, through the use of employee teams. By June of **1994,** the City had a written Employee Values Statement. This statement was developed through a Management Team lead process that included all City employees in each phase of development.

The Employee Values Statement centers around the five core values of trust, effective communication, teamwork, professionalism, and quality of life. Each corevalue is defined and enhanced by supporting attributes such as friendly service, honesty and reliability. The Employee Values Statement has enjoyed a great deal of support by the City's employees.

The Management Team went on to set several supporting goals which focused on incorporating the Employee Values Statement into the processes and systems that guide the City's daily operations. The Management Team was determined to identify ways to make the core values not just words on paper, but rather, vital principles that guide the daily activities and behavior of all City employees.

In order to have the greatest and most immediate effect on solidifying the values-based culture, the Management Team determined that the "institutionalization" of the values should start with the systems and processes which most directly affect City employees—the City's internal customers. The Human Resources Department would take the lead role in facilitating several significant changes to include the following:

- Total restructuring of the City's employee evaluation process from a cost-of-living-adjustment (COLA) structure to a merit/performance based structure driven by a new performance appraisal tool which focuses on the employee's ability to exemplify the core values. 'The new system was successfully implemented during the December **1994** review cycle.

Development of the "Shining Stars" program – a performance based merit bonus program for individuals and teams which emphasizes reward for values-based behavior and accomplishments in process improvement. The "Shining Stars" program was successfully implemented in February of **1995.**

- Development of a City-wide training program which focuses on developing employee skills in several of the core values areas to include teamwork, effective communication, and customer service training for all City employees and management/supervisory training which emphasizes tools for being a successful manager in a team and values-based environment. The City-wide training program was initiated in October **1994** and is ongoing.

Re-engineering of the City's recruitment process to emphasize the values-based culture in order to attract candidates who would thrive in this type of organization. A statement about the City's core values is now included in all job announcement materials.

Each of these initiatives has, indeed, aided in the process of incorporating the Employee Values Statement into daily operations and influencing employee behavior. The "institutionalization or me values has been met with great enthusiasm by the City's employees, due in large part to Management's commitment toactively involve employees in project/program development and decision making. By accomplishing the first goal in Management's plan to instill a values-based culture in the systems and processes which most directly affect City's employees, the stage is now set for City employees, who understand the importance of the core values as guiding principles in the way the City does business, to examine and re-engineer the systems and processes which more directly affect the City's external customers.

The Employee Values Statement, along with the support structure which is continually being developed around it, will serve as a compass to guide the City and its employees through the rapid changes the City is now experiencing, such as tremendous industrial and residential growth, pressure to increase services without increased taxes and coming deregulation of the electric industry.

The innovative and positive nature of the initiatives described above has captured the attention of several other entities. The City has been contacted by numerous public and private sector entities including the University of Texas' Industrial and Continuing Education Division. The City has also been invited to present its new performance appraisal system to the Texas City Management Association's annual conference.

FINANCIAL INFORMATION

City staff is responsible for establishing and maintaining an internal control structure designed to ensure that the assets of the City are protected from loss, theft or misuse and that adequate accounting data are compiled to allow for the preparation of financial statements in conformity with generally accepted accounting principles. The internal control structure is designed to provide reasonable, but not absolute, assurance that these objectives are met. The concept of reasonable assurance recognizes that: (1) the cost of a control should not exceed the benefits likely to be derived; and *(2)* the valuation of costs and benefits requires estimates and judgments by management.

Single Audit. As a recipient of federal, state and county financial assistance, the City is responsible for ensuring that an adequate internal control structure is in place to ensure compliance with applicable laws and regulations related to those programs. This internal control structure is subject to periodic evaluation by management.

As a part of the City's single audit, tests have been implemented. These tests are made to determine the adequacy of the internal control structure, including that portion related to federal financial assistance programs, as well as, to determine that the City has complied with applicable laws and regulations. The results of the City's single audit for the year ended September 30. 1994 provided no instances of material weaknesses in the internal control structure or significant violations of applicable laws and regulations.

Budgetary Controls. In addition, the City maintains budgetary controls. The objective of these budgetary controls is to ensure compliance with legal provisions embodied in the annual appropriated budget approved by the City Council. Activities of ail funds are included in the annual appropriated budget. The level of budgetary control (that is, the level at which expenditures cannot legally exceed the appropriated amount) is established by division and department within an individual fund. The City also maintains an encumbrance accounting system as one technique of accomplishing budgetary control. Encumbered amounts lapse at year-end. However, outstanding encumbrances are generally reappropriated as part of the following year's budget.

As demonstrated by the statements and schedules included in the financial section of this report, the City continues to meet its responsibility for sound financial management.

Appendix D

DRAFT VISION STATEMENT

Post-it® Fax Note 7672

No. of Pages
Today's Date
Time

To Angela Gray
From Laura Eif
Company
Company
Location
Location
Dept. Charge
Fax # 254-933-5822
Telephone #
Fax #
Telephone # 512-930-3676
Comments
Original Disposition: ☐ Destroy ☐ Return ☐ Call for pickup

DRAFT

Slogan

Quality of Life - Georgetown Style

Vision Statement

We, the **citizens** of Georgetown:
nurture, enjoy, and encourage our **families** and one **another;**
we value our **community's diversity,** security, **and** beauty;
we **value** and **preserve** the history and traditions **of previous generations;** and
we **optimistically embrace** the **challenges** of **the future** in order to **further** our
quality **of** life – Georgetown Style.

Charlie Barton's suggested version: at the 2/10/98 Council Meeting:

We nurture, enjoy, and **encourage** the **preservation** of
the traditions of Georgetown
and embrace the challenges **of the future**.

Appendix E

"HOW TO APPLY WITH THE CITY OF GEORGETOWN" BROCHURE

AND

LISTING OF JOB OPPORTUNITIES (3/5/98)

HOW TO APPLY WITH THE CITY OF GEORGETOWN

City of Georgetown
616 Main Street
Georgetown, Texas 78628

Staffing Office: (512) 930-3694
Fax: (512) 930-2502
JOBLINE: (512) 930-4636 ext. 475

Why Georgetown?

The City of Georgetown is interested in applicants with a strong commitment to excellent customer' service who will work well within our values-based organization which promotes and supports core' values of trust, effective communication, teamwork, professionalism, and quality of life. We are a growing community proud of our historic character and quality of life. Located 30 miles north of Austin in the scenic Texas Hill Country, our area is graced with an abundance of lakes, rivers, parkland, and wildlife.

Economic Growth: Major employers include Reed Holm Instruments, Power Computing, House of Hatten, Chatsworth Industries, Tessco/Code Alarm, Manitex, Sierra Microwave Technologies, Dell Webb's Sun City Georgetown Georgetown Hospital Southwestern University, Power Computing, Triple S Plastics. Airborne, and Xycarb.

Georgetown ISD has a current enrollment of 5,400 students who perform well above national averages and boast of achieving the highest SAT scores in the Austin metro area.

southwestern University, established in 1840, has a current student population of 1,200. southwestern has recently been recognized in national publications as a leading liberal arts college.

City Government provides a full range of quality services while maintaining one of the lowest tax rates in the area. A core values statement developed by the City's employees emphasizes dedication and commitment to trust, effective communication, teamwork professionalism, and quality of life. This level of dedication, combined with years of strong appointed and elected leadership, creates a positive environment which supports the needs and interests of our employees and ensures excellent service for the community we proudly serve.

Georgetown, a progressive city of over 22,000, is a true gem in the heart of the Hill Country--a fine place to live, work, and raise a family.

Where to Start

We offer the following options to obtain information regarding our employment opportunities:

- A recorded **JOBLINE (512) 930-4636 ext. 475.** This is toll free to the Austin metro area. For information regarding the availability of Police Officer positions please call **(512) 930-4636 ext. 479** and Firefighter positions please call **(512) 930-4636 ext. 478.**
- A **posting board** located outside our door at 616 Main Street.
- **Newspaper Advertising.** Most of our positions are advertised in the Williamson County Sun and the Austin American Statesman.
- Additional advertising is forwarded to university/trade school placement offices, professional publications, and publications/programs focusing on female, minority, and disabled candidates.

How to Apply. . .

- We always prefer, and in some cases require, that you submit a fully completed City application form prior to the deadline. Fill out all sections of the application, front and back completely. ("See resume" is not acceptable). Incomplete applications will not be considered. Resumes are a welcome ***supplement*** to the completed application form.
- For many positions a resume, alone, is acceptable to start the application process; however, if you are selected for an interview, you will be required to complete a City application prior to the interview.
- Carefully read the specific application requirements for each posted position.

Acceptable Applications

- Your resume/application must clearly state the position for which you're applying.
- We only accept applications for positions which are currently open.
- You must meet the application deadline for the position. Unless otherwise specified, postmarks **do not** count. We will accept faxed information until midnight on the deadline date.
- If you are interested in applying for more than one position, you must submit a separate application and/or resume for each position.
- If you have applied for a position in the past, those records must be retained as an official record of that particular application process and, therefore, cannot be pulled to be used for another position.

Submit your Application

- **By Mail:** The City of Georgetown
  Employee & Organizational Services.
  P.O. Box 409
  Georgetown, Texas 78627-0409
- **Via FAX:** (512) 930-2502
- **Drop Box:** Located just outside our front door at 616 Main Street.

What Happens Next?

- After the position's posted deadline, the applications and resumes are reviewed by Human Resources. Applicants that meet the minimum qualifications are passed on to the hiring supervisor. This generally takes 1-4 days.
- You will be sent a postcard confirming receipt of your application/resume.
- If selected for an interview you will be contacted by phone approximately 2-3 weeks after the application deadline.
- If you are not selected for an interview you will be notified by mail concerning the status of your application.

Other Information:

- All materials submitted for consideration become the property of the City of Georgetown and can not be returned or copied for return.
- If you are offered a position with the City of Georgetown your employment will be contingent upon passing a pre-employment drug screen and possibly a driving record check, criminal history check, and/or physical fitness examination. You may also be subject to random drug screenings depending on the position.
- Upon employment, as required by Federal Law, you will be asked to present proof of identity and eligibility to work in the United States.
- If you are a person with a disability and desire assistance or accommodation in the application or interview process, or need information about accessible routes and facilities within the City, please contact the Human Resources Generalist at (512) 930-3694.

The City of Georgetown is an Equal Opportunity Employer ***dedicated to actively building diversity in our workforce.*** *We do not discriminate on the basis of age, sex, religion, national origin, race, color, or disability.*

What do we offer?

The City of Georgetown is committed to attracting and maintaining a diverse and high quality staffdedicated to excellent customer service for the citizens of Georgetown. We do so, in part, by providing an attractive benefits package.

- ## Health Insurance:

Full-time employees have the choice of two excellent health plans through United Healthcare Insurance Company. The City covers 100% of employee cost of HMO participation and approximately 95% of the cost of PPO participation. The City subsidizes the cost of family coverage. Both plans have a large number of providers in the Austin and surrounding area, and each plan offers a $10 co-pay for office visits as well as a prescription drug co-pay plan.

Texas Municipal Retirement System (TMRS):

This retirement plan is available to employees working over 1,000 hours per year. Employees contribute 5% of their salary to their retirement account. The account has historically earned an annual interest well above average rates. Vesting occurs at 10 years of service and the City's contribution, a two to one match, is available upon retirement. One times your annual salary is provided as life insurance to all TMRS participants, and an optional term life insurance policy is available.

- ## Leave Time:

Full-time employees enjoy eight paid holidays and two personal holidays each year as well as earning 6.67 hours vacation leave for each month worked during the first 5 years of employment. Those employed over 5 years accrue on an increasing scale based on years of continuous service. One day of sick leave is earned for each month of service. Upon leaving the City, employees are paid for half of accrued, unused sick leave. Part-time employees are eligible for these benefits on a pro-rated basis. The City's policies are supportive of those called to fulfill civic duty.

- ## Compensation:

Employees are eligible for annual merit increases which are based upon technical performance as well as meeting established standards in skills such as teamwork, communication, customer service, dependability, and safety. The City offers longevity pay which provides monetary benefits to reward years of continuous service.

- ## Other Benefits:

A voluntary deferred compensation plan, Shining Star bonus pay program, Customer Service Awards, Section 125/Flex plan, Safety Incentive program, continuing education/training, excellent personal and professional development opportunities, paid professional dues and licenses, and a credit union.

Funding and availability of specific benefits is determined annually and is subject to change.

City of Georgetown Job Opportunities

We are interested in candidates with a strong commitment to excellent customer service who will work well within our *values-based* organization which promotes and supports core values of *trust, effective* communication, teamwork, professionalism, and quality of *life.*

For infomation *about* how to apply with the City of Georgetown, please pick up one of our "*HOW* TO APPLY. . ." brochures. These brochures and City applications are located just inside our front door at 616 Main Street. For more *information* please call (512) 930-3694.

ASSISTANT CITY ATTORNEY — Deadline: March 31, 1998

Salary: $40,600 - $45,000

The Assistant City Attorney will be responsible, in conjunction with the City Attorney, for the operational oversight of the Legal Services Department. This position will provide daily attorney oversight/assistance direction on projects being handled by the paralegal staff; will provide legal advice at various meetings of City boards and commissions, many of which occur in the evening: and will be expected to be capable of performing all services performed by the City Attorney, in her absence. The successful candidate should possess a JD degree, preferably from a practice-oriented law school and be licensed by the Supreme Court of Texas and Federal District Court for Western District of Texas. Must have experience handling multiple programs and projects, extensive citizen and customer interaction, and delivering of legal services for an organization which has varying types of customer and service needs. Prefer experience, knowledge or an interest in development issues, real estate, local government affairs, municipal law, code enforcement, and condemnation.

POLICE OFFICER — Deadline: March 6, 1998

Salary: $25,631 - $29,000

We are recruiting to establish an eligibility list for any future openings for Police Officer (eligibility list will remain active for 6 months). Our philosophy promotes pro-active problem solving and police community partnerships to address the cause of crime, disorder, and fear as well as other community issues. Requirements include high school graduate or its equivalent, some college work in criminal justice, psychology or a related field is preferred. Must have the ability to pass a physical agility test. Applicants must be a U.S. citizen, at least 21 yrs of age and must have a valid Driver's License. Resumes will be accepted from certified and non-certified interested applicants. Submit a resume which includes a social security number and a cover letter clearly stating experience, education and Interest in law enforcement. These items are required for inclusion in the application process.

PA — Deadline: March 6.1998

Salary: $16.000 - $18,000

You will maintain the City's Parks, including mowing and weed eating grass, cutting and trimming trees, cleaning restrooms. and cleaning swimming pools. You will also help with special events, ballfield maintenance, chemical maintenance, horticulture, irrigation and plumbing. High school graduate or equivalent is required as well as a commercial drivers licence (or the ability to obtain one within 6 weeks of employment). Pesticide Application License, CPR and First Aid are preferred. Hours are M-F - 7:30 a.m. - 4:30 p.m with a rotating weekend schedule.

WATER/WASTEWATER MAINTENANCE WORKER I — Deadline: March 13, 1998

Salary: $16.500 - $18,500

You will maintain the City's water and wastewater system in a safe, efficient and effective manner, in accordance with the City's rules and regulations. Duties include, but are not limited to: ensuring all water and wastewater lines are properly maintained; maintenance of facilities and equipment; and working with hand and electrical tools. You may be exposed to contaminants in wastewater (including, but not limited: pathogenic diseases, and chemicals). Requirements include working outside in hot and cold weather. being on-call, and encountering hazardous conditions. High school graduate or equivalent is required. You must take and pass courses and tests to obtain licensing from the TNRCC for a Class "C" Water and Wastewater Collection within 24 months of employment. Must have a valid Class "C" TX Driver's License and the ability to obtain a Class 'A" Commercial Driver License within 6 months of employment. You will be required to operate heavy equipment (i.e. backhoe, etc.)

ON-CALL CLERICAL STAFF — Deadline: Open until filled

Salary: $6.85 - $9.85 per hour DOQ

We are searching for flexible people to handle, clerical, and receptionist duties for a variety of City departments on an on-call/as needed basis. We are seeking applicants who have excellent interpersonal skills. are energetic, and willing to try new ideas. You must be flexible and customer service oriented. The hours for this position will be very sporadic and may range from 0 - 40 hours in any given week. Number of hours can not be guaranteed, but we will work around your schedule.

We are an Equal Opportunity Employer

Firefighter: We have no current [redacted] We do not expect any openings until summer of 1998.

Call the City [redacted] **Line at** (512) **930-INFO** ext. 475

Appendix F

PERSONNEL POLICIES AND PROCEDURES

TRAVEL TIME

I. PURPOSE

To establish guidelines for compensable travel time and to adhere to all applicable laws.

II. SCOPE

This policy applies to all nonexempt employees.

III. POLICY

The City will compensate travel time based on the rules outlined by the FLSA (Federal Labor Standard Act). And where previously agreed in writing, employees may be compensated beyond FLSA guidelines with supervisor approval.

IV. DEFINITIONS

A. FLSA states:

1. Travel must be job related.
2. On one day assignments out of town (outside the Georgetown/Austin area) where an employee does not spend the night, all travel is compensable.
3. With travel overnight away from home, travel as a passenger is only compensable to the extent that it cuts across the employee's normal schedule, unless the employee (passenger) is engaged in productive work.

B. Training

In order to compensate travel to attend a training, the training must be deemed part of your current job.

> Professional development training is not considered part of your current job, but rather a development tool for future consideration

regarding promotions and/or future responsibilities.

V. PROCEDURES

A. Fill out a pre-approval training form prior to your travel.
B. Indicate why the travel is necessary.
C. If travel is needed to attend a training, indicate how the training will improve your current job.
D. Sign, date, and have your supervisor approve your compensated travel time prior to the date of travel.

EDUCATION ASSISTANCE PROGRAM

I. PURPOSE

To provide incentive for self development and/or provide an avenue of preparation for career development within the City's needs.

II. SCOPE

This policy applies to regular full-time employees who successfully complete their orientation period.

III. POLICY

The City will provide tuition reimbursement for qualified employees. This program is subject to available funding as determined in a one year time frame during the annual budget process. The Human Resources Department will be responsible for the review of all reimbursement applications.

SERVICE REQUIREMENT

A one year service requirement, which begins from the date of each reimbursement, must be fulfilled to erase each reimbursement debt. If the employee has completed less than one year of the service agreement he/she will repay the debt in full (100%). These provisions applies if separation occurs for any reason prior to the one year commitment being fulfilled.

IV. GENERAL ELIGIBILITY REQUIREMENTS

This directive establishes a tuition reimbursement program which applies to any employee who wishes to voluntarily pursue educational advancement or training. This does not apply to courses or training that are required by the City. This directive does not cover professional licensing and development seminars. Any course, training, licensing or certification that is required by the City will be covered by conferences and training funds within each department.

Employees will be reimbursed according to the grade received. If the pass/fail option is given in a course, the City will not accept this option as a grade.

Grade	Reimbursable
A	100%
B	80%
C	60%
D	0%
F	0%

In the case where a class is not completed successfully, reimbursement will not take place for that class.

SPECIAL CONSIDERATIONS:

THE CITY WILL NOT PAY THE COST OF TUITION AND MANDATORY FEES WHICH ARE PAID BY OTHER SOURCES, SUCH AS SCHOLARSHIPS, GRANTS, VETERANS PROGRAMS, U.S. MILITARY RESERVES, AID PROGRAMS OR OTHER SUBSIDIES.

REIMBURSEMENT CATEGORIES

This section defines the categories used in the tuition reimbursement program. The employee should review this section to determine which category applies to him or her.

A College Tuition Degree

This category includes all levels of college work in pursuit of a degree. Reimbursement will be at accredited Texas state supported university tuition Resident rates not to include supplies, parking, books, travel, fees or other expenses.

1. Associates Degree - At this level, most majors applicable to advancement with the City will be accepted for reimbursement.

2. Bachelors Degree - At this level, most majors will be accepted for reimbursement.

3. Graduate Degree - At this level the degree must be specifically applicable to City use. This must be recommended by the Division Director and approved by the Human Resources Department.

B. College Tuition Individual Courses

This category includes individual courses taken at the college level but not in pursuit of a degree. Reimbursement will be at accredited Texas state supported university tuition Resident rates not to include supplies, parking, books, travel, fees or other expenses.

Individual courses taken must be applicable to the City as recommended by the Division Director and approved by the Human Resources Department.

C. Vocational Education Degree/Certified

This category includes courses taken in the pursuit of a degree or certification generally equal to an associates degree. Reimbursement will be at accredited Texas state supported university tuition Resident rates not to include supplies, parking, books, travel, fees or other expenses.

D. Vocational Education Individual Courses

This category includes individual courses taken in a vocational education area but not in pursuit of a degree or certification equal to an associates degree. Reimbursement will be at accredited Texas state supported university tuition Resident rates not to include supplies, parking, books, travel, fees or other expenses.

E. GED Preoaration Courses and Exam

This category includes courses which prepare individuals to take the GED exam and the exam itself.

The City will reimburse an employee for up to but not beyond locally available fee amounts for the review courses and exam. The City will only reimburse an employee for two attempts at completing the review courses and exam.

If a GED is a requirement of the job, all expenses will be covered by conferences and training funds within each department.

V. PROCEDURES

The following procedures outline the required steps of application for tuition reimbursement. It is important to remember that it is the employee's responsibility to obtain all the required forms and information needed to complete the reimbursement request. It is also the employee's responsibility to tile this information in a timely manner to receive approval consideration, both by Division Director and the Human Resources Department.

A. Reimbursement Package

Obtain a tuition reimbursement package from the Human Resources Department and complete the tuition reimbursement request form. Have this form signed by your Division Director,

B. Degree Plan

Attach a school approved degree plan to the request, or if no degree plan is required, but a short explanation of how the course(s) would benefit the City is required.

NOTE: If this is the first term a new degree plan, it is highly recommended that the degree plan be submitted in advance of the semester beginning. This will allow the Human Resources Department a chance to review the degree plan. By following this procedure, an employee may know in advance of registration whether or not reimbursement will be possible.

NOTE: If an employee is concerned that course(s) may not be approved for reimbursement he/she can submit information about the class to the Human Resources Department before the semester begins for review. This insures that classes are approved or disapproved for the employee before they enroll in a class.

C. Receipts

Attach a copy of paid receipts and the school's current fee schedule.

D. Service Agreement

A one year service agreement contained within the tuition reimbursement package must be completed also. (This is an agreement to repay the remaining debt if you should not fulfill your service commitment of one year.)

E. Deadline for Request

This information must be submitted to Human Resources from the Division Director no later than 30 days after the classes begin. ***Requests received later than 30 days will not be approved.***

F. Approval

The request will be approved or disapproved by the Human Resources Department and a copy returned to the employee within 30 days of receipt. A disapproved request will contain an explanation.

G. Verification of Completion

Within 30 days after completion of the course(s), the employee will return to Human Resources to obtain and complete the Notification of Completion of Courses and Grade Report Form. This form must be accompanied by an official grade report.

ETHICAL STANDARDS

I. PURPOSE

To establish high standards of professionalism and to ensure high level of trust among employees and between employees and our community.

II. SCOPE

This policy applies to all City employees.

III. POLICY

All employees are expected to maintain a high level of personal and professional conduct on the job. As a public service organization. City employees are held to a high standard of ethical conduct. Employees should conduct themselves in a manner that ensure those high standards are met avoiding even the appearance of impropriety.

IV. GUIDELINES

Actions in violation of conduct standards are subject to corrective action. Consistent with this public trust, City of Georgetown employees **must not:**

A. Use their official position to secure special privileges or exemptions, whether direct or indirect, for themselves or others.

B. Disclose any confidential information gained by reason of the position of the employee concerning the property, operations, policies or affairs of the City, or use such confidential information to advance any personal interest, financial or otherwise, of such employee or others.

C. Misappropriate City funds, property or assets; including theft and unauthorized use.

D. Falsify documents or City records.

E. Behave in any manner, including commission and/or convictions of a felony and certain misdemeanors, which causes discredit to the employee and /or brings the

City in disrepute.

By no means is this list all-inclusive. Any conduct of an employee that disrupts the work environment or places the personal interest of the employee above those of **City** or of the public may be treated as a violation of the public trust and is subject to corrective action.

WORK STANDARDS

I. PURPOSE

To reinforce the City's commitment to provide the best customer service and highest standards of professionalism to the citizens of Georgetown.

II. SCOPE

This policy applies to all City employees.

III. POLICY

It is the duty of each employee to maintain high standards of productivity, cooperation, efficiency and economy in his/her work for the City. Supervisors shall organize and direct the work of their departments to achieve these objectives. Employees are obligated to follow directions, that are in line with these personnel policies, given by their supervisors to achieve departmental goals and objectives.

If work habits, behavior, production or personal conduct of an employee falls below appropriate standards, supervisors should point out the deficiencies at the time they are observed. Counseling and warning the employee in sufficient time for improvement shall ordinarily precede formal action as provided elsewhere in these policies.

COMPLAINTS

I. PURPOSE

To provide employees a means by which they may report an incident if they are witness to violations that may require corrective action.

II. SCOPE

This policy applies to all City Employees.

III. POLICY

City employees are encouraged to speak out when they are witness to inappropriate behavior that violates the Employee's Values Statement. Mission Statement, or City-wide policies and procedures.

Before corrective action may be taken on a complaint against a City employee, the complaint must be documented. (An oral rendering of the complaint may serve as the basis of a written complaint.)

IV. PROCEDURE

A copy of the documented complaint shall be provided to the affected employee within a reasonable time after the complaint has been filed and before any corrected action is taken against the employee.

CORRECTIVE ACTION

I. PURPOSE

To set forth general supervisory guidelines for a corrective action process aimed to document and correct undesirable employment behavior in order to maintain a high standard of professionalism as well as attractive work environment, and to ensure employees due process as provided by City Charter.

(For ***unacceptable job performance please see EMPLOYEE DEVELOPMENT #610.)***

II. SCOPE

This policy applies to all regular City employees.

III. POLICY

Supervisors are responsible for maintaining an attractive work environment which enhances the employees quality of life and for maintaining high standards of professionalism. Also, they are responsible for correcting undesirable employment behavior which negatively impacts or threatens to negatively impact the work environment.

In accordance with City Charter, corrective action may only be taken against an employee for Just Cause which includes, but is not limited to, the following:

Violation of the requirements of:

1. The City's Personnel Policies and Procedures;
2. City-wide Standard Operating Procedures (SOPs);
3. Division's and/or Department's written and distributed policies. procedures, and guidelines.
4. Employee's Values Statement.

IV. PROCEDURE

Except in the case of verbal warnings, corrective action is accomplished or preceded by written notice to the employee involved. All written notices of corrective action, reprimands and disciplinary action must be sign by the supervisor and the employee. Notice includes a description of the just cause of the action and except in the case of dismissal, states the likely consequences of further unsatisfactory conduct.

Although not always possible, especially for flagrant actions, the City of Georgetown shall use a Corrective Action system to the greatest extent practical. The system is as follows:

A. Verbal Warnings

Records of each warning shall be maintained by the supervisor

B. Written Reprimands/ Letters of Counseling

The supervisor must in all cases cause original Written Reprimands and Letters of Counseling to be transmitted through the Division Director to the employee's personnel file. Written reprimands and letters of counseling will be removed from the personnel file two years after the last action on the specific warning and/or counseling.

C. Disciplinary Action

The supervisor will recommend the appropriate disciplinary action which requires the review of the human resources department to ensure City-wide consistency and adherence to all applicable laws. Supervisors are responsible for initiating the personnel action form needed to execute the following disciplinary actions:

1. Suspension from duty with or without pay for up to fifteen days - requires review of human resources.

2. Demotion - requires the approval of the Division Director.

3. Separation by involuntary dismissal - requires the approval of the Division Director.

The employee shall have the opportunity to appeal a disciplinary action to the next level supervisor up to the City Manager. See DISCIPLINARY ACTION APPEALS #451.

Corrective action does not automatically or permanently disqualify an employee from consideration for future promotion, pay increases or other beneficial personnel action.

All original written notice and documentation of corrective action must be forwarded to the human resources department to be included in the employee's personnel file.

BULLETIN BOARDS

I. PURPOSE

To provide a permanent and official channel of communication to employees.

II. SCOPE

This policy applies to all locations of the City with ten or more employees.

III. POLICY

Important City information will be displayed as required on bulletin boards located at strategic points throughout the City's facilities. Information will be of the following types:

1. Legally required posters and notices.
2. Safety rules and related information.
3. Management memos and announcements, including job posting forms.
4. City sponsored social and recreational events.

Employees will be responsible for locating and regularly checking/reading the bulletin board as well as following posted rules, regulations, and instructions.

IV. PROCEDURE

Each facility shall assigned an employee who will be responsible for maintaining the orderly appearance of the bulletin board, posting new information and removing dated material.

OPEN DOOR/OPEN COMMUNICATION

I. PURPOSE

To maintain approachable, open-minded, two way communication at all levels between all employees to improve the quality and efficiency of City services.

II. SCOPE

This policy applies to all City employees.

III. POLICY

OPEN COMMUNICATION

The City attempts to ensure employment that will be enjoyable and rewarding. Therefore, all employees are encouraged to partiapate in a free and continuous exchange of questions, suggestions and information which may improve municipal service, safety, maintenance costs, communication methods or public relations: anything that will enable us to do a better job.

OPEN DOOR

Employees are urged to first discuss the matter with their immediate supervisor, but employees should feel free to contact anyone in the City, including the City Manager or Division Directors, to get an answer. The door is always open.

EMPLOYEE DEVELOPMENT

I. PURPOSE

To provide exceptional customer service by maintaining a high standard of professionalism through competent, well-trained employees.

II. SCOPE

This policy applies to all City employees.

III. POLICY

City employees and their supervisors are responsible for the employee's professional development.

IV. PROCEDURE

A. Responsibility

1. Individual Employee

   Each employee is accountable for her/his job performance. Employees should request training in for the areas that need improvement.

2. Immediate Supervisor

   The immediate supervisor is responsible for the development of his/her employees. At a minimum, employees should be able to perform their essential job duties and consistently exhibit behavior which is aligned with the City's Values statement. Supervisors should ensure their employees are well-trained to perform their job duties and deliver exceptional customer service.

B. Unacceptable Job Performance

When an employee's job performance is unacceptable and/or below standard, the immediate supervisor had the responsibility to work with the employee to improve their job performance.

1. Letter of Counseling

   Supervisors should write and go over a letter of counseling with the employee letting him/her know the specific problem, the supervisor's expectation of the employee, and possible consequences if those expectations are not met.

2. Win-win Agreement

   If unacceptable job performance continues, supervisors should identify and provide the help the employee needs to perform his/her job. This could be closer more frequent supervision for a certain period of time and/or training.

   - Before the employee attends the training or the closer supervision begins, the supervisor should develop a win-win agreement with clear expectations of what the employee's job performance standards are, a time-specific date for those standards to be met, possible consequences if those standards are not met

3. Disciplinary Action

   Continued unacceptable job performance. If employee's performance does not improve and/or continues to be unacceptable, supervisors should recommend proper disciplinary action to be taken.

   Supervisors will be held accountable for negligent retention of an employee performing below standards.

   See CORRECTIVE ACTION #450, III. C., Disciplinary Action.

TRAINING

1 PURPOSE

To promote a high standard of professionalism through the empowerment of competent. well-trained employees.

II. SCOPE

This policy applies to all City employees.

III. POLICY

The City will provide appropriate training for City employees subject to available funding. All training must be aligned with City-wide training strategies or certification purposes for a specific job.

The Division of Employee and Organizational Services will sponsor City-wide trainings for areas of development deemed necessary for all or a large portion of City employees. Each Division can establish training for their specific needs.

IV. PROCEDURE

A. All training must be pre-approved by supervisors.
B. Training shall be determine as required, professional development, or optional.
C. Questions regarding wether a training is aligned with City-wide training strategies should be routed to the Division of Employee and Organizational Services.

V. REQUIREMENT

If training is determine to be of significant cost, employees may have to sign a reimbursement agreement prior to attending training to ensure City's return on investment.

Pre-approval Training Notice

City of Georgetown

Date: ______________________________

Employee Name: ______________________________

Position Title: ______________________________

Training Title: ______________________________

Training is for the following area:

[ ] Customer Service
[ ] Communication
[ ] Teamwork
[ ] Professional
[ ] Quality of Life (includes time management, handling stress, etc.)

Please explain how this training will benefit you and the City.

____

____

____

[The following section to be filled by supervisor]

[ ] Approve The training is :(mark all that apply)

[ ] Required [ ] Current Professional Development
[ ] Optional [ ] Future Professional Development

The City will pay for travel time.* [ ] Yes [ ] No
Employee must fill reimbursement form. [ ] *Yes* [ ] No

[ ] Disapprove

Comments:

____

____

______________________________ ______________________________
Supervisor Signature Date

The City must comply with FLSA regulations regarding travel time. If you have any questions about this, please call Human Resources.

EMPLOYEE PERFORMANCE APPRAISAL

I. PURPOSE

To provide a process by which the job performance of each employee is appraised for purposes of development, merit review and counseling to maintain a high standard of professionalism with competent, well-trained employees.

II. SCOPE

This policy applies to performance appraisal of regular and orientation period employees.

III. POLICY

The employee performance appraisal process will be managed to accomplish the following objectives:

A. To enhance individual employee performance and ensure effective City operations.

B. To promote and support performance/behavior which is aligned with the City's values based culture.

C. To summarize both formal and informal performance discussions held with employees throughout the review period.

'D. To document performance areas in which employees do well and those areas which require improvement. To establish performance goals and plans to correct performance shortcomings and focuses on employee development.

E. To link employee performance with merit increase considerations.

IV. PROCEDURE

A. Supervisory Responsibilities

1. Clear *Performance Standards*

   Each supervisor is responsible to set and communicate clear performance standards for his or her employees at the beginning of, and throughout, the review period.

2. Informal Appraisals

   Each supervisor is also responsible to observe and discuss with his or her employees positive and negative aspects of their performance in relation to standards throughout the review period.

3. Formal Appraisals

   And, on a regular basis, each supervisor is responsible to conduct formal performance appraisals on each subordinate employee summarizing past discussions and setting performance goals.

4. Accountability

   Supervisors will be held accountable for the performance of their employees and for the negligent retention of an employee performing below standards.

B. Timing

1. Frequency

   Regular employees will receive an appraisal each calendar year. Appraisals will be conducted during November and early December, with all forms completed, approved, and submitted to the Human Resources Department, by a mid-December date which will be announced by Human Resources each year to coincide with the payroll schedule.

2. Timely Processing

   The Human Resources Department will maintain a system to assist supervisors to complete performance appraisals on time. The timely processing of performance appraisals is one of the most important leadership responsibilities for those in supervisory positions.

3. *New* ***Hires***

Newly hired employees will be appraised informally at least once a month with a formal appraisals six months from date of hire. (See NEW POSITION ORIENTATION PERIOD #030). Employees coming off of orientation prior to August 1 will receive merit increases at time of six month review. Those coming off orientation August 1 or later will be reviewed for merit pay increase purposes as part of the regular review cycle in November thru December.

4. ***Merit Raises***

Merit raises will go into effect on the 1st day of the 2nd payroll period in January unless otherwise noted in advance.

C. Performance Appraisal Form

A copy of the employee performance review form can be obtained from the human resources manager.

D. Self Evaluations

1. Employees must submit to their supervisors a signed self-evaluation form.
2. Employees have the option of not performing a self-evaluation, however, the form must be signed indicating their choice of options.
3. A copy of the self-evaluation form follows and can be obtained from the human resources department.

E. Approvals

Performance appraisals must be reviewed with the next level of management before a supervisor may discuss and review the performance appraisal with the employee.

F. Performance Appraisal Discussion

1. Supervisors will hold a discussion with the employee regarding each performance appraisal.

2. The discussion should be held at a prearranged time in a private location free from interruptions.

G. Employee Signature

1. The employee will be asked to comment on the appraisal and acknowledge it by signing the form.

2. He or she will then be given a copy of the signed appraisal.

3. If the employee declines to sign the form, he or she should be encouraged to discuss any concerns and perhaps write a rebuttal.

4. If the employee still declines to sign the appraisal, the supervisor should write "employee declined to sign" at the bottom of the form, add his or her initials and the date, and give the employee a copy of the appraisal.

5. The supervisor should then notify his or her manager of the situation.

Appendix G

PERFORMANCE APPRAISAL PACKET

Performance Appraisal of:

Anna Banana
Human Resources Director, #140

This packet contains: **-Management/Supervisory**

Part A Appraisal of Essential Job Duties

Part B Appraisal of values-based standards:

- Teamwork
- Customer Services
- Organizational Skills/Time Management
- Organizational Relations/Interpersonal Communication
- Performance Standards Feedback
  Employee Relations
- Dependability
- Technical Expertise
- Safety
- Overall Evaluation

Part C Appraisal Summary Sheets

PART A

Appraisal
of
Essential Job Duties

PERFORMANCE APPRAISAL
ESSENTIAL JOB DUTIES

Human Resources Director, #140

Essential Job Duties as listed on the employee's Job Description

Description of Work		Performance Level			
NOTE TO SUPERVISOR: Mark any revisions in RED. Strike out any duties that no longer exist. Add new duties in the blank spaces at the end. All revisions/ deletions/ additions will be added to the master job description so make your changes carefully!		**BELOW**	**MEETS**	**EXCEEDS**	**OUTSTANDING**
	Av. % of time	Employee is unable or unwilling to perform at an acceptable standard in the current position	Meets expectations; doing a complete competent job	Consistently strives to go beyond expectations;highly competent performance	Consistently performs well beyond expectations; is model employee
Oversee employment process,including recruitment and tracking applications, performing reference checks, conducting pre-employment interviews, employee sign-ups and orientation sessions, and exit interviews	10	1	2	3	4
Develops and oversees employee benefits programs including health, dental, life and LTD insurance, deferred compensation, retirement, Section 125/Flexible benefits	5	1	2	3	4
Manages compensation system, including policies and procedures, job analysis, job description, and classification. Reviews and makes recommendations on requests for re-classifications and/or salary adjustment; conducts and responds to salary surveys	10	1	2	3	4
Manages/administers performance appraisal and bonus systems including processing of all related paperwork; providing review and recommendations; maintaining related budgets	5	1	2	3	4
Oversees human resources information systems and processes, including personnel files, databases, forms, and other records	3	1	2	3	4

Pg 164

Maintains personnel policies and procedures providing interpretation to employees, supervisors, and management	10	1	2	3	4
Employee Relations including counseling and coaching employees and supervisors	15	1	2	3	4
Maintains current knowledge of employment law and regulations including FLA, ADA, COBRA, EEO, Civil Rights Act, and FMLA; and provides recommendation and follow-up as needed	5	1	2	3	4
Maintains training records for all divisions	3	1	2	3	4
Develops/coordinates City-wide training as needed in areas such as supervisory skills, sexual harassment, and compliance with personnel policies, and values-bases standards	10	1	2	3	4
Assists in the development and coordination of activities which define and promote the City's values-based culture	15	1	2	3	4
Develops and maintains departmental budge which includes budget for City-wide training, and City-wide merit, bonus and reclassification pay	5	1	2	3	4
		1	2	3	4
		1	2	3	4
		1	2	3	4

List below special/major projects (non-routine assignments/projects) that were assigned to the employee during the evaluation period

	1	2	3	4
	1	2	3	4
	1	2	3	4

Describe special accomplishments initiated by the employee and/or particularly innovative/creative way(s) the employee completed assigned projects/essential job duties

	1	2	3	4
	1	2	3	4
	1	2	3	4

Overall Appraisal of Essential Job Duties (Circle One):

BELOW	MEETS	EXCEEDS	OUTSTANDING
1	2	3	4

Comments:

PART B

Appraisal of Values-Based Standards

TEAMWORK

Management/Supervisory

Definition: Achieving common goals by modeling flexibility, support, competent leadership, and respect for cultural and social diversity. To cooperate in an atmosphere of interdependence. Always respecting the value of each individual while recognizing the importance of the common good of our community and organization over that of any one of its members.

What we Value: High level of trust; the effectiveness of teamwork in achieving our common goal with flexibility, support, competent leadership, fairness, and respect for cultural and social diversity, we cooperate in an atmosphere of interdependence while always respecting the value of each individual; we recognize the importance of the common good of our community and organization over that of any one of its members.

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDSEXPECTATIONS	OUTSTANDING
Allows the work group to function without dear goals. Seldom gives the group feedback on its progress and/or only gives feedback when there are problems. Does not share information or help others. Does not attempt to correct negative interactions among learn members or to set positive norms for behavior. Allows or encourages individuals to refuse to cooperate with others, and to engage them in destructive conflict.	Sets clear goals for the work group, and gives the group feedback on its progress. Encourages the group to share information and to help one another. Attempts to correct negative interactions among learn members and sets positive norms of behavior. Encourages open communication among team members.	Sets a dear purpose, mission and goal of the work group, and gives the group regular feedback on its progress. Encourages the group to share information and to help one another. With input from group, assigns individuals dear roles and responsibilities, and sets positive norms for team behavior. Encourages open communication among team members and respects diversity within the team Stresses the successful completion of tasks, as well as the harmonious and efficient interaction among team members.	Sets a dear purpose, mission, goals and specific measures of productivity for the work group, and gives the group frequent feedback on its progress. Motivates the group to monitor and correct its own performance, share information and to help one another. Assigns individuals dear roles and responsibilities, and sets positive norms for team behavior. Stresses by words and actions open communication and acceptance of individuals contributions, and ensures that conflicts and disagreements are expressed openly and constructively among team members. Values diversity in the work group and uses the variety of perspectives and opinions to improve procedures, processes, and services. Encourages and allows employees to lake learn leadership roles as their expertise and interest allows.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

____

____

CUSTOMER SERVICE

All Employees

Definition: Appropriate flow of information and assistance between internal (co-workers) and external customers

What we Value: Dedication to friendly service; treating our fellow employees and citizens with respect; listening and understanding with care and compassion; being flexible and innovative; preserve an environment that supports sincerity, honesty, and ethical behavior;

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	**OUTSTANDING**
Assists customers only when he/she can answer the questions. Rarely goes out of his/her way to provide extra assistance, such as referring customer to others. Often forgets or does not bother to relay messages w incorrectly relays them Sometimes abrupt and discourteous with customers.	Speaks politely and displays courtesy when dealing with customers. Provides accurate information when able to do so, and when needed relays accurate messages promptly, so that others can assist the customer.	Speaks politely and displays patience and courtesy when dealing with customers. Able to handle irate customers and other difficult situations. Welcomes opportunities to provide assistance when knowledgeable, or assists customer in locating/contacting someone who can help the customer, when unable to do so him/herself. Speaks positively about the City's policies, programs, and services.	Speaks politely and displays patience and courtesy when dealing with customers. Completely knowledgeable about his/her job, and area of expertise, and able to assist customers Immediately with accurate information, or assists customers in locating/contacting someone who can help the customer. Listens thoroughly and asks questions to determine the need of the customer before responding. Handles irate customers with calm, patience, and appropriate assertiveness. Follows up to be certain the customer has been assisted. Looks for opportunities to provide service and extra assistance, including follow-up and extra information. Acts to put the City in the best possible light by speaking positively and enthusiastically about its policies, programs, and services.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

____

____

ORGANIZATIONAL SKILLS/TIME MANAGEMENT

All Employees

Definition: The ability to effectively set priorities among tasks, estimate time frames, meet deadlines, plan and use available resources, and coordinate work assignments with others.

What we Value: Acting reliably and responsibly and a high standard of professionalism

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
Often misses deadlines through lack of adequate planning, organization or appropriate prioritization. Often neglects to advise others that deadlines are not going to be met. Is often inaccessible or unresponsive. May spend excessive time on relatively unimportant tasks.	Adequately plans, organizes and sets priorities of workload so that crucial deadlines are met. Lets others know when deadlines are not going to be met. Usually is accessible and usually responds to requests for information and assistance in a reasonable time frame.	Demonstrates the ability to plan, organize and prioritize workload and job assignments. Project deadlines are met with exceptions limited to few occasions where there is advance notice given to other staff members and persons outside the organization, as appropriate. Generally is accessible, responds quickly to requests for information and assistance, and demonstrates good use of available resources.	Consistently demonstrates the ability to plan, organize and balance workload and job assignments through meeting all deadlines, responding quickly to requests for information and assistance, returning phone calls promptly, being available to other staff, and using his/her time according to clearly arranged and communicated priorities. Demonstrates excellent, creative and appropriate use of available resources.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

ORGANIZATIONAL RELATIONS/INTERPERSONAL COMMUNICATION

All **Employees**

Definition: Listening to and understanding, with care and compassion, the diversity in our community and our organization. Maintaining and projecting an approachable, open-minded attitude, and respecting appropriate confidentiality, to ensure open, two-way communication.

What we Value: Accepting accountability; acting reliably and responsibly; demonstrating loyalty; effective communication through listening and understanding with care and compassion to the diversity in our community and our organization. By maintaining and projecting and approachable, open-minded attitude and respecting appropriate confidentiality, we ensure open two-way comnication. Our demonstrated integrity provides positive role models; appropriate humor.

BELOW **EXPECTATIONS**	MEETS **EXPECTATIONS**	EXCEEDS **EXPECTATIONS**	OUTSTANDING
Often gets into arguments with co-workers. Reluctant to provide others with needed help or information. May engage in gossip or critical remarks which are damaging to others. Criticizes management and co-workers or others in an aggressive manner. Talk, but does not take the time and effort to listen. Often ads to undermine the progress of the work group or the organization.	Willingly shares information and helps others to get the job done. Co-operates with co-workers, avoids participating in gossip and critical remarks of others. Attempts to understand others' points of view. Executes directions and plans from immediate manager, and demonstrates an ability to understand and help to accomplish the overall goal of the Department and the City.	Willingly shares information and volunteers Ideas. Helps others to get the job done. Keeps others invoked and informed. Speaks positively about and is supportive of individuals and the organization as a whole. Speaks assertively, but not aggressively, in advocating points of view. Demonstrates good listening skills, and a willingness and ability to soke problems with others, regardless of their personality.	Looks for opportunities to offer ideas and assistance which helps others become m e productive. Solicits and listers to others' suggestions or ideas. Speak; positively about and is supportive of individuals and the organization as a whole. Keeps manager and others involved and informed about his/her work Willingly and positively accepts feedback about performance, and responds with constructive activities. Actively builds relatiomhips with others which are free of conflict and which lead to an easy exchange of information and help. Ads as a positive role model and leader in his/her work group.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments:____

____

____

____

PERFORMANCE STANDARDS/FEEDBACK

Management/Supervisory

Definition: The ability to set and communicate performance standards to employees; the ability to evaluate employees based on measurable behavior or results; the ability to give ongoing performance feedback and formal performance appraisals.

What we Value: An approachable, open-minded attitude; flexibility, support, competent leadership, fairness, and respect for cultural and social diversity.

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
May set some performance standards with employees, but performance feedback is often late, inconsistently given, or may be withheld completely. Negative feedback is given in an insensitive manner. Positive feedback is rarely or never given. Writes performance evaluations which are careless and/or inaccurate.	Sets and discusses generalized performance standards with employees, changing them as the job changes. Gives sincere, helpful feedback soon after employees perform below or above expected levels. Writes on-time performance evaluations which demonstrate many conclusions, and which match ratings of performance.	Sets clear, specific, and measurable performance standards, changing them as the job changes. Regularly discusses performance with employees, comparing performance to standards. Performance feedback is usually well-received. Negative feedback is specific, timely, provable, and delivered in a non-judgmental way. Positive feedback is more frequent than negative, and is timely, specific, and sincere. Writes on-time, specific, and accurate performance evaluations, which usually demonstrate conclusions with specific examples of behavior or output.	Involves employees In setting and clarifying specific, measurable performance standards, changing them as the job changes. Holds frequent discussions with work group and with individual employees about their performance vs. standards. Builds trust with employees, and "coaches" them to improve their performance over time. Able to deliver difficult or negative feedback and have it accepted as useful and accepted with minimal defensiveness. Delivers frequent positive feedback, which is specific and timely. Writes on-time, specific, and accurate performance evaluations, which illustrate conclusions with specific examples of behavior or output.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

EMPLOYEE RELATIONS

Management/Supervisory

Definition: The ability to effectively relate to employees, share information, listen and respond, allow participation, and recognize their accomplishments.

What we Value: High level of trust; we preserve an environment that supports sincerity, honesty and ethical behavior; effective communication; appropriate humor .

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
Is often unavailable when needed by employees. Sometimes acts in an unapproachable or unresponsive manner when employees give feedback or present problems. Neglects to give some important information to employees. Does not always encourage high achievement, nor give recognition for it.	Makes him/herself available to listen and solve employees' problems, when necessary. Responds with action to employee complaints and problems, when action is possible. Encourages high achievement, and recognizes others for their accomplishments. When necessary, meets with employees to share information which will affect them, and solicits their feedback	Listens actively to employee feedback, and responds quickly and competently to employee complaints and problems, while giving responsibility to the employee for solutions when possible. Encourages high achievement, creativity, and increased responsibility, and recognizes others for their accomplishments. Periodically meets with employees to share information which will affect them, and to gather their ideas and concerns. Solicits and acquires employee commitment to his/her programs and plans. Flexibly adjusts communication styles and manner to most effectively communicate with a variety of employees.	Seeks out employee feedback and listens actively to understand employees. Responds quickly and competently to employee complaints and problems, while giving responsibility to the employee for solutions when possible. Encourages high achievement, creativity, and increased responsibility in employees, and recognizes employees for their accomplishments. Communicates in an open, honest, and clear manner, and encourages employees to do the same. Frequently meets with employees to share information which will affect them, and to gather their ideas and concerns. Flexibly adjusts communication styles and manner to most effectively communicate and build trust with a variety of employees. Solicits and acquires employee commitment to his/her programs and plans.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ____

DEPENDABILITY

Management/Supervisory

Definition: The degree to which an employee can be relied upon to be at work on a regular basis; to follow through on assignments and/or commitments; to make him/herself available to co-workers and customers.

What we Value: Acting reliably and responsibly; respect for others' time and priorities.

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
Often absent or fails to report to work at the appropriate time. Often extends lunch hours for no acceptable reason. Fails to inform appropriate person(s) when leaving the work site; is frequently unable to be located by staff; Does not always request leave time with adequate notice and/or requests leave at inappropriate times in relation to work/project cycles. Uses excessive sick leave, especially on Mondays, Fridays, or around the time of a vacation. Often does not follow through on assignments and/or commitments. Often late/absent for meetings or appointments, without making arrangements for a substitute or informing the meeting organizer. Frequently unprepared to participate in meetings/appointments. Will not assist when there is extra work to be done. Fails to return phone calls in an appropriate time-frame.	Generally reports to work at the appropriate time. Usually returns from lunch in an appropriate amount of time. Keep staff informed of whereabouts and is able to be readied when necessary. Asks for leave time with sufficient advance notice. Does not abuse leave time. Generally shows up prepared and on time for meetings or appointments, although may need to be reminded in advance. Is available when there is extra work to be done. Generally returns phone calls within an appropriate time frame (i.e. one business day).	Always at work at the appropriate time, and calls if there will be any delay. Is consistently good abut keeping staff informed of whereabouts and insures he/she can be reached when necessary. Asks for leave time well in advance. Informs appropriate person(s) if there is any change in normal work schedule. Does not abuse leave time. Arrives on time and is prepared for meetings and appointments. Models a positive "can do" attitude for other employees when there is a work crunch. Returns most phone calls the same business day.	Always at work at the appropriate time, and calls if there will be any delay. Is consistently good about keeping staff informed of whereabouts and insures he/she can be reached when necessary. Asks for leave time well in advance. Anticipates scheduling difficulties and works with staff to plan appropriate leave. Does not abuse leave time. Arrives on time for, and is prepared to actively participate in, meetings and appointments. Misses meetings/appointments only for compelling reasons, and provides for a substitute. Sets an example for other employees by pitching in when there is extra work including assisting other departments and/or divisions. Returns phone calls within the same morning or afternoon.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

____

____

____

TECHNICAL EXPERTISE

Management/Supervisory

Definition: The ability to thoroughly understand the purpose, general tasks, knowledge, and skill requirements of the jobs being supervised. The ability to communicate technical information and to provide training in technical areas to employees. The ability to provide answers to problems in technical areas.

What we value: Effective communication through listening and understanding, with care and conpassion by maintaining and projecting an approachable, open-minded attitude and respecting appropriate confidentiality, we ensure open, two-way communication; Competent leadership; a high standard of professionalism; empowerment of competent, well-trained employees; encourage innovative ideas and solutions, growth of self-esteem, and pride in our work and accomplishments; maintain an equitable balance between work and family.

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
Displays knowledge of some areas managed, but does not display understanding of all areas. Makes little effort to keep current on developments in areas of responsibility. Offers little or no individual or group training. Unable to answer most difficult technical questions and some routine technical questions about area of responsibility.	Displays a thorough knowledge of most areas managed, and a general knowledge of all areas. Keeps current on most developments in areas of responsibility. Provides occasional individual and group training. Able to answer some difficult technical questions and practically all routine technical questions.	Displays a thorough knowledge of area managed. Keeps current on most developments in areas of responsibility. Provides employees individual and group training as needed. Able to answer many difficult technical questions, and able to stimulate employees to seek answers on their own.	Displays a thorough knowledge of area managed. Keeps current on developments in areas of responsibility, and develops expertise in new areas. Displays a wide understanding of how job ultimately affects the public and others within the organization. Others acknowledge his/her expertise and frequently depend upon it. Provides employees regular, organized individual and group training as appropriate, and makes a variety of information available to employees for training and self-development. Able to answer difficult technical questions, and to stimulate employees to seek answers on their own

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

____

____

____

SAFETY

Management/Supervisory

Definition: Following all safety procedures; using tools, equipment, vehicles, and facilities in a safe manner; taking all possible precautions to avoid injury to self, co-workers, and the public; promoting safety among staff.

What we Value: Acting competently and responsibly; protect the health and safety of all employees and citizens: quality of life; ensure an attractive work and living environment.

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
Does not follow City safety policies and procedures, and has no safety policies or procedures for the department/division. Does not train new employees on safety rules. Is not familiar with applicable regulations and requirements. Does not inspect work sites or monitor work habits for proper safety procedures. Does not perform or require safety inspection of tools, equipment, vehicles, or facilities. Does not enforce prompt reporting of accidents, injuries, and property damage.	Follows City safety policies and procedures, and uses established safety policies and procedures for department/division work. Briefs new employees on general safety rules before they begin work. Conducts occasional safety meetings. Familiar with applicable safety regulations and requirements, and keeps employees informed. Distributes safety literature. Occasionally visits work sites to ensure compliance with safety rules. Inspects tools, equipment, etc. for presence of proper safeguards. Enforces safety regulations and recommends corrective action for non-compliance Provides necessary safety equipment. Takes action to correct reported hazards. Requires prompt reporting of accidents, injuries, and property damage.	Contributes to writing and implementing new safety policies and procedures. Gives all new employees a thorough safety orientation. Conducts regular safety meetings. Maintains documentation and records of all safety training. Attends training to keep own safety skills up to date. Promotes safety awareness and encourages positive safety attitude. Often visits work site to ensure compliance with safety rules. Makes a point of observing and inspecting for safety. Strictly enforces safety regulations and recommends corrective action for non-compliance. Makes sure safety equipment is provided and properly used. Identifies hazards and takes corrective action. Requires prompt reporting and thorough investigation of accidents.	Actively works to establish, improve, and streamline safety policies and procedures. Provides complete safety training for all tasks employees are expected to perform. Designs or improves training as needed. Seeks out safety training to improve own skills. Develops safety promotional programs. Actively and continuously promotes safety awareness and encourages positive safety attitude. Regularly visits work sites to check for safety, involving employees in the process. Does not sacrifice safety due to production goals, time limitations, or any other reason. Enforces all safety regulations in effect and takes immediate actions to correct non-compliance. Makes sure safety equipment is provided and properly used, and allocates funds for additional safety training and equipment. Initiates action to identify and correct hazards, always maintaining an aggressive attitude towards preventing losses. Ensures prompt reporting and thorough investigation of accidents, and immediately takes preventive action.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Comments: ______________________________

OVERALL APPRAISAL OF VALUES BASED PERFORMANCE

BELOW EXPECTATIONS	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS	OUTSTANDING
Definition: Performs many duties capably, meets some goals and objectives, but requires improvement in quality, quantity, and timeliness of work to fully meet standards; may require more supervision than expected for assignments; may lack willingness and/or ability to perform the requirements of the position. Demonstrates a lack of commitment to using City values as a guide to performing job duties. Only a small percentage of employees would be classified here. **Examples:** • Performs some duties capably, but still requires significant improvement in quality, quantity, and timeliness of work. • Is not doing a complete job. Performance is less than expected in the assigned position. • Employee's work often falls behind. • The supervisor has been put on the spot because of employee performance. • The supervisor has adverse comments from customers concerning employee performance. • Sometimes creates a morale problem with co-workers who have to help carry employee's load. • Attendance, quality, and quantity are weak relative to standards. • Does not support the City's values, and sometimes may act contrary to them. • You will require employee to improve performance to remain in the job.	**Definition:** Consistently performs all duties of the position capably; meets and occasionally exceeds all expected criteria for quality, quantity, and timeliness of work. By words and actions, demonstrates a commitment to the City's values. The largest percentage of employees will ordinarily be classified here - perhaps 50 to 70 percent. **Examples:** • Is doing a complete and competent job. Performance is what is expected. • You will not require employee to improve significantly. If employee does, your group effectiveness improves. If employee does not improve, you have no particular reason to complain. • You get few complaints from others with whom employee's work integrates. • Additional training. • Errors are few and seldom repeated. • Demonstrates a sound balance between quality and quantity. • Does not waste time on unimportant items; does not neglect problems or projects that should have priority. • You feel secure in quoting employee inputs or recommendations. • Requires only normal supervision and follow-up, and almost always completes his/her work or projects on schedule. • Generally behaves in a manner consistent with City values. • You consider him/her a solid member of your team and feel reasonably secure in giving any kind of assignment within the scope of the job and level.	**Definition:** Consistently exceeds the normal expectations for the position; far exceeds expected criteria for quality, quantity and timeliness; consistently achieves results beyond those expected for the position. Sets an example for others on integrating values into the workplace. In the City, a smaller percentage of employees would ordinarily be classified here - perhaps 10 to 20 percent. **Examples:** • Each project or assignment is done thoroughly, completely, and on schedule. • Continually produces results that are better than expected. • Requires minimal direction or supervision. • Does advance planning, anticipates problems and takes appropriate action. • Shows a good grasp of how his/her job fits into overall operations. Thinks beyond the details of the job; works toward the overall objectives of the City. • Continually has favorable comments from peers and outside contacts regarding employee's recognized ability. • This employee exceeds position requirements even on some of the most difficult and complex parts of the job. Employee sets challenging work goals and shows initiative in meeting them. Normally, this individual will be considered for promotion if an opportunity exists. • Consistently attempts to apply values in both routine and non-routine work situations • Is able to take on extra projects and tasks without neglecting regular duties.	**Definition:** Continuously performs all duties in an exceptional manner; significantly exceeds expectations with exceptional quality, quantity, and timeliness of work. Significantly exceeds all objectives, always achieves exceptional results well beyond those expected of the position. Dedication and commitment to City values are evident in every aspect of the employee's job performance. In the City, a small percentage of employees will ordinarily be classified here. **Examples:** • Has reached peak job performance in both quality and quantity and is recognized as being highly skilled and/or knowledgeable in the position. • Demonstrates skill and/or knowledge that normally can be gained only through extensive experience in his/her particular type of work. • Generally recognized by all internal and external customers as a model employee. • Employee actions are motivated by commitment to City values, and employee leads and supports other employees to fully integrate City values into all aspects of City operations. • Actions show an understanding of more than employee's own work. Others seek employee because of employee's skill and/or knowledge and willingness to help in areas beyond his/her regular job duties.

[0.5] [1] [1.5] [2] [2.5] [3] [3.5] [4]

Add Employee Relations

TRANSFER RATING FROM EACH CATEGORY ON TO THE TABLE BELOW

Teamwork Perf. Standards/Feedback		~~Attendance/Punctuality~~ Dep	
Customer Service		Technical Expertise	
Organizational Skills/Time Management		Safety	
Organizational Relations/ Interpersonal Communication		OVERALL RATING OF VALUES BASED STANDARDS	

PART C

Appraisal
Summary
Sheets

SUMMARY OF PERFORMANCE APPRAISAL

Employee Strengths (Value-Based Standards and/or Job Duties)

Areas for Improvement (Values-Based Standards and/or Job Duties)

Specific Plan for Improvement

Employee Comments (Optional):

My signature indicates that I have seen this document.

Employee Signature:______________________________ Date:____________

EMPLOYEE NAME: Banana, Anna

CURRENT SALARY: $ 25,000

Overall Appraisal of Essential Job Duties

Ⓐ

Below Expectations	Meets Expectations	Exceeds Expectations	Outstanding
1	2	[✓ 3]	4

Overall Appraisal of Values **Based** Standards

Ⓑ

Below Expectations	Meets Expectations	Exceeds Expectations	Outstanding

.5 1 1.5 [✓ 2] 2.5 3 3.5 4

3 (A) + 2 (B) = 5 ÷ 2 = 2.5 Total Evaluation Points

1 or less on either part of the overall appraisal makes employee ineligible for a merit raise, and a recommendation will be made to place the employee on a 3 to 6 month probationary period

TOTAL APPRAISAL POINTS

.75-1.5	1.75-2.25	2.5-3.25	3.5-4.0	
0%	0%	1-2%	3-4%	MAX 4
0%	0-1%	2-3%	4-5%	3
0%	1-2%	3-4%	5-6%	MID [✓ 2]
0%	2-3%	4-5%	6-7%	1 MIN

PAY GRADE QUARTILE

RECOMMENDED MERIT INCREASE

3 %

RECOMMENDED NEW SALARY

$ 25,750

(ROUND ANNUAL SALARY UP TO THE NEAREST DOLLAR)

Division Director/City Manager

____ Approved

Further review requested

Initials ____ ____

First Level Signature: ____ Date: ____

Second Level Signature: ____ Date: ____

Appendix H

PAY PLAN

normally be expensed unless they are of a significant nature and meet all the tests outlined earlier in the general conditions of this policy.

In the case of major infrastructure assets in all funds, it will be necessary to add the current book value of the asset which is being rebuilt or modified to the cost of its modification or rebuilding in order to obtain the total current value (cost) of the asset. This method of establishing the cost of major infrastructure assets is based on the theory that the cost of rebuilding or modifying an asset which is not fully depreciated does not reflect the total cost of that asset because it does not take into account the cost of site preparation.

In proprietary and internal service funds, the aggregate remaining book value of assets sold at auction will be subtracted from each fund's auction proceeds to account for gains and losses on the sale of assets.

6 5 PENSIONS

The City of Georgetown is a member of the Texas Municipal Retirement System. Administration of the system is governed by a Board of Directors for the retirement system. The rate of contribution for the City of Georgetown is based upon an annual actuarial analysis for the normal cost and unfunded liability of the number of employees participating in the plan.

6.6 PERFORMANCE PAY PLAN

The City's goal as an employer is to attract and keep quality employees. To help accomplish this goal, the City has established for five general objectives: (1) to attract quality employees, (2) to retain quality employees, (3) to operate the City with fewer employees than comparable jurisdictions, (4) to provide an incentive and reward for productivity, and (5) to recognize cost savings generated by productive employees.

The City activates the performance pay plan when resources permit The performance pay plan is fully funded in 1997/98.

SECTION 7: INTERFUND TRANSFERS

7.1 INTERFUND CHARGES

In accordance with the Century Plan, services provided by a fund are charged to each using fund.

Electric, sanitation, stormwater drainage, wastewater and water usage is billed on an actual basis. Charges for services provided have been allocated on a realistic, rational basis. The Joint Services Internal Service Fund charges are paid by using Funds as charges for services. Administrative services provided by the General Fund are likewise billed to using funds as administrative charges. Allocation methods for departmental costs provided outside of managing funds are shown below.

Allocations shall be reviewed for reasonableness as part of the budget preparation process and as part of the mid-year financial and performance report to Council noted in Section 1.1.

7.1.1 General Fund Departments

Accounting	50% allocated to General/Utilities/Airport, bawd on relative revenues 50% allocated to General/Utilities/Airport, based on relative personnel
City Council	50% allocated to General/Utilities/Airport, based on relative revenues 50% allocated to General/Utilities/Airport, based on relative personnel

Appendix I

CITY OF GEORGETOWN TRAVEL POLICY

AND

TRAVEL EXPENSE REPORT FORMS

City *of* Georgetown
Travel Policy

I. Purpose

The City of Georgetown is a values-based organization. Therefore, we expect our employees to respect and support these ideas. As stewards of public funds, we are accountable to the community we represent, and we must conduct ourselves in a professional and responsible manner, realizing that our ethical behavior will serve as a positive role model for our community.

In accordance with the procedures outlined below, the City will reimburse employees for reasonable and actual travel expenses incurred when traveling on approved City business.

II. General

A All travel requires the completion of a *Trip* Authorization Form. Overnight travel also requires the completion of a Travel *Expense Report Form* within five days after the trip completion.

B. Employees who fail to turn in an approved Travel Expense Report within thirty days following their return, will be subject to disallowance of any expenses. Reminder notices will be sent for all outstanding advances more than thirty days past due.

C. Use of the City designated travel agent to handle all out of town and overnight travel arrangements is encouraged. (City staff are in the process of securing the services of an agent. This is scheduled to be available by September 1996.)

D. In determining travel costs, consideration should be given for possible overtime reimbursement for staff travel time. Verification of FSLA rules should be made through Employee & Organizational Services.

E. Actual expenses will be reported under the applicable departmental expense category. When completing the travel expense report, the following information is required

- Dates of departure and return for each trip.

- The names and locations of departure points and destinations or localities.

- The business reason for the travel or nature of the business benefit obtained or expected.

- A summary report sharing information and ideas from the trip may be requested by the Division Director.

111 *Required Authorization for Travel*

A The general nature of City business does not require a great deal of travel outside the City. Yet, management approval for all business travel is required. Approval levels required are as follows:

Day trip for which reimbursement is requested - departmental supervisor

- Overnight within the state - Division Director

- Training classes/seminars - Division Director

- Out of state travel - City Manager verbal approval

- Association & professional conventions and seminars inside or outside the state - notify City Manager

B. Trip Authorization Forms and Travel Expense Reports are to be signed by the employee and approved for payment by the appropriate party(ies) within approved authorization limits. It is the approving party's direct responsibility to:

- Thoroughly review all expenditures to ensure they are appropriate and reasonable prior to submitting for reimbursement.

- Answer questions arising from the processing and auditing of expense accounts.

IV. Travel Advances

A. City employees may be issued a travel advance check for estimated expenses while on City business, by completing a ***Trip Authorization Form.***

B. This form includes all relevant information for the trip, preapproved authorizations, and travel advance request. If the advance request is greater than $50, the form is sent to Accounting for processing.

C. Advance requests less than $50 are funded through the Division's Petty Cash fund. These expenses are recorded through petty cash reimbursement from information contained on the Trip Authorization Form.

D. Any funds remaining from an overnight travel advance ***must be remitted to the City within the five days.*** The receipt should be attached to the approved Travel Expense Report and then forwarded to the Accounting department for clearing.

If travel expenses exceed the advance, a refund check to the employee will be processed from the completed and approved Travel Expense Report.

- If the refund is less than $50, petty cash may be used to reimburse the employee. In all cases, expense reports must have the supervisor's signature before the employee can be reimbursed.

V. Travel Expenses

A. Meals

The City reimburses employees on a per diem meal basis. No receipts are required if employees stay within per diem rates. If the daily per diem rate of $35 is exceeded, receipts are then required for reimbursement. The daily per diem rate of will include taxes, tips and room service delivery charges. Per diem rates will be prorated to correspond with actual travel times (e.g., if employee is out of town for half of the day they will not be eligible for a full day per diem).

Per diem rates:

Breakfast	- $9
Lunch	- $11
Dinner	- $15

For day trips, approved meals will be reimbursed to the maximum allowable of applicable meal per diem rate, including tip.

- Meals provided as part of a business related meeting (e.g., breakfast or luncheon), will also be reimbursed at actual cost, not to exceed standard per diem rate as approved.

  Approved business related meals involving non employees will be reimbursed provided the circumstances are considered to be conducive to a business purpose. Receipt should include the name of business relationship, names of people in attendance, and a summary of business discussed.

- Per diem monies should not be used to purchase alcoholic beverages. The City will not reimburse alcoholic **beverages** for anv **purpose.**

**** If a meal is included in conference or training costs, the per diem reimbursement should not be requested.

B. Lodging

- Commercial type accommodations and rates (or government rates, if available) are to be requested at all times. When making a reservation, the corporate rate should be requested. Room cost is a factor in hotellmotel selection, but the location of the hotel/motel in relation to the meeting site may affect overall cost. A hotel within walking distance of the meeting site may make a higher priced hotellmotel, less expensive overall.

- When guaranteed reservations have been made and plans change, the reservation should be canceled in time to avoid being charged for the room.

- When two or more employees of the same sex travel together, double occupancy of rooms mav be required bv the Division Director.

**** As a reminder, we are accountable to the community we serve and therefore the most economical means of lodging available should have a high priority in this decision making process.

C. Transportation

****** Loyalty to the community requires that we wisely utilize City resources, therefore in determining methods of transportation, employees should understand the need for economic efficiency.**

1. Automobile

- **City Vehicles.** A City vehicle should be used if available. The City of Georgetown purchases vehicles through an internal service fund which in turn leases them back to the using departments. As a result of this arrangement, the using departments do not own the vehicles they use. Therefore, any department or employee may utilize another department's vehicle(s) if available.

- **Employee Vehicle.** Employees authorized to use their personal automobile when on City business will be reimbursed on a per mile basis in accordance with the current IRS allowable rate. If employee uses his own personal vehicle even when a City vehicle is available, reimbursement will be made at a reduced rate that will reimburse for gas expense. If more than one employee travels in the same automobile, only the employee responsible for the automobile will be reimbursed. If travel occurs outside normal business hours, only the driver of the automobile is possibly eligible for overtime rates.

- Tolls and parking fees are reimbursable.

- A rental automobile must be approved in advance by the Division Director and it is to be used only when other means of transportation are unavailable, more costly or impractical.

- Reasonable actual expenses for taxi fares are reimbursable when their use is necessary. The most economical means of transportation would always be used (e.g., airport limousine service instead of a taxi). Reasonable tips will also be reimbursed.

- Travel expenses incurred in traveling between the employee's home and other than the normal work locations will be reimbursed after deducting normal daily commuting expenses.

2. *Air Travel*

- Air travel should be arranged through the City's designated travel agent to ensure the best possible rates.

- When both air and car travels are options, reimbursement will be at the lower of the two and employee must furnish comparison of the two.

- The most economical accommodations (e.g., economy, coach, excursion, discount and shuttle flights) consistent with the business schedule requirements are to be used. Upgrades can be taken at the employee's expense.

- Inconvenience payments by airlines, car rental agencies or hotels may be retained by the employee, provided the City does not incur any additional expense. If inconvenience payment is voluntarily taken, any additional expenses of returning home must be paid by the employee. If involuntary, City will reimburse additional expenses.

- Saturday night stays are encouraged when extra day(s) expenses do not exceed savings in airfare. Comparison should be available upon request.

D. *Telephone*

Telephone expenses are reimbursable when incurred in connection with City business. This expense is normally supported by an entry on a hotel bill or by a copy of the employee's telephone or charge card bill.

E. Other

- Other types of expenses or situations not specifically addressed by these procedures must be approved by the appropriate authority before reimbursement will be made.

- Non-reimbursable items include snacks, sodas, in room movies and ATM charges.

Date: ______________

CITY OF GEORGETOWN
TRIP AUTHORIZATION FORM

Control N° **2752**

1. EMPLOYEE NAME: ______________________ 2. DIVISION/DEPT #: __________

3. DATES OF TRIP: From ____________ To ____________ 4. TRIP DESTINATION: ____________

5. PURPOSE OF TRIP: ______________________

6. TRAVEL ADVANCE AMOUNT (If Needed): $__________ (If less than $50, must be taken from Petty Cash)

OVERNIGHT TRAVEL
(Requires Expense Report)

1. Mode of Travel: _____ Airline _____ Personal Vehicle
_____ Other ____________

2. Lodging: _____ Yes _____ No ____________ # Nights

Lodging Preference: ______________________

3. *Rental Car: _____ Yes _____ No ____________ # Days
*requires Division Director Approval

4. Prepayments Required: _____ Yes _____ No
i.e., Room Deposits, Registration Fees, etc.

Specify: ______________________

DAY/LOCAL TRAVEL

1. Personal Vehicle Mileage: (City Vehicle Unavailable)
_______ # miles X *CMR _______ = $ __________

2. Meals Purchased: $ __________

Per Diem Rates: $9.00 / $11.00 / $15.00 ($35-Daily)

3. Misc. (Specify): __________
$ __________

4. Advance Received from Petty Cash:
_____ Yes _____ No $ __________ Amount

5. Total to be Reimbursed to Employee from:
Petty Cash: $ __________ or A/P: $ __________
*Current Mileage Rate (If more than $50)

SIGNATURES - *See Procedure for Signature Requirements

______________________ ______________________
Employee *Division Director

______________________ ______________________
*Immediate Supervisor *City Manager Approval/(Verbal Approval)

White - A/P/Petty Cash Yellow - A/R Pink - Employee

Roberts #496-1

TRAVEL EXPENSE REPORT
PROCEDURES

This procedure includes step-by-step instructions to use when filling out a "Travel Expense Report".

The City of Georgetown is a values-based organization. Therefore, we expect our employees to respect and support these ideas. As stewards of public funds, we are accountable to the community we represent, and we must conduct ourselves in a professional and responsible manner, realizing that our ethical behavior will serve as a positive role model for our community.

- Do not enter pre-paid or direct-billed expenses on your Travel Expense Form.
- All receipts must be taped to a (8 112 x 11) sheet of paper.

1. Travel Expense Report form (Administrative Assistants will all have a floppy containing the form and procedures until we go on-line). Form is also available to fill out manually. If filling out manual form, all totals will need to be filled in.
2. Fill in the Control Number used on your Trip Authorization Form. (Attach copy of Trip Auth. Form)
3. Fill in your Name and Trip Dates at top of form.
4. Enter amounts expended on a daily basis, beginning with the first day.
5. Enter Location of expenses (use as many lines as needed).
6. Enter Pers. Veh. mileage - (The form will calculate this for you using current mileage rate). If claiming "Personal Choice" Veh. Rate, rate must be changed in "on-line" form. If filling out manual form and current mileage rates are not known, please call Accounting.
7. Enter amounts spent for Car Rental, Parking and Tolls (requires a receipt).
8. Enter amount spent for Business Meals (requires receipt)- These are meals spent discussing business w/other parties. Must be explained at bottom left of form-"Explanation of Other Expenses/Bus. Meals".
9. Enter Personal Travel Meals (receipts are only required if per diem daily rate is exceeded). This rate is: S9-breakfast, 511-lunch. $15-dinner or $35-daily- These amounts include tip. Note: Meals incl. in a conference/seminar fee should not be claimed for reimbursement or as a "per diem" meal.
10. Enter amount spent for Lodging (requires a receipt). This includes any room taxes you were charged.
11. Enter amounts spent for any misc. expenses under "Other". These expenses require a receipt and an explanation at bottom left of form- "Explanation of Other Expenses/Bus. Meals".
12. Afler all expenses have been entered, expense form on-line will total across the form by day and will total down by expense category and will then show the "Total Exp." This total also transfers down to "Amount Due Employee". (on-line form only)
13. Enter amount of expenses charged to Credit Card or any amount received as a Travel Advance from the City. Credit Card travel expenses have already been paid and are not to be reimbursed to the employee. Any amount entered in these two blocks will be subtracted from Total Expenses and forwarded to "Amount Due Employee" -(on-line form only) A (credit) amount indicates a reimbursement should be made to the City. If employee reimb. is less than $50, reimbursement may be taken from your Division's Petty Cash Fund.
14. If Travel Advance exceeds Total Expenses, the excess should be refunded by the employee and a 'City receipt" must be attached for the difference.
15. Enter Accounts to Charge and Amounts. Be sure to enter all digits of the account number as shown on form. The amounts listed will automatically total (on-line form only) and this amount should equal your "Total Exp." Please leave Travel Advance account blank. Accounting Dept. will fill in the amount to dear to the Travel Advance account.
16. Print out the completed form and have the employee sign the bottom. Attach all receipts and keep a copy for your file. Expense Report must be Approved By your Immediate Supervisor before forwarding to Accounting Department for payment/verification.

Georgetown

TRAVEL EXPENSE REPORT

TRIP

EMPLOYEE NAME________________________ DATES: ____________

Control No. ______

(Refer to Trip Auth. Form)
Attach Copy of Form

DATE	LOCATION	PERS. VEH # MILES	$(.315/.18) X MI. RATE	AUTO *RENT	PARKING/ *TOLLS	BUSINESS *MEAL	**PERSONAL TRAVEL MEALS			*LODGING	*OTHER	TOTAL
							BKFST.	LUNCH	DINNER			
	TOTAL											

* INDICATES RECEIPT IS REQUIRED

** INDICATES RECEIPT REQUIRED ONLY IF MEALS EXCEED DAILY PER DIEM RATE

** INDICATES RECEIPT REQUIRED ONLY IF MEALS EXCEED DAILY PER DIEM RATE

TOTAL EXP.	
LESS EXPENSES CHARGED TO CREDIT CARD	
LESS TRAVEL ADVANCE ISSUED BY THE CITY OF GEORGETOWN	
Amount Due Employee or (City of Georgetown) * (Attach "City receipt")	

*If Reimbursement is less than $50, may be taken from Petty Cash

EXPLANATION OF OTHER **EXPENSES / BUSINESS** MEALS

DATE	BUSINESS PURPOSE AND DESCRIPTION	AMOUNT

The City of Georgetown is a values-based organization. Therefore, we expect our employees to respect and support these ideas. As stewards of public funds, we are accountable to the community we represent, and we must conduct ourselves in a professional and responsible manner, realizing that our ethical behavior will serve as a positive role model for our community.

ACCOUNTS TO CHARGE: ###-###-####-##	AMOUNT
TOTAL	
100-000-1330-00 (ACCT. TO CLEAR TRAVEL ADV)	(LEAVE BLANK)

SHOULD EQUAL TOTAL EXP

☐ ACCT. DEPT VERIFIED

APPROVEDBY ______________________

____
EMPLOYEE SIGNATURE

______
Date

Appendix J

CHARTER REQUIREMENT FOR COMPLIANCE OF BUDGET

WITH THE "CENTURY PLAN”

1.7 COMPLIANCE OF BUDGET WITH THE CENTURY PLAN

The Charter provides that "the City Council establish comprehensive planning as a continuous and ongoing governmental function in order to promote and strengthen the existing role, processes and powers of the City of Georgetown through... the process of comprehensive planning and the preparation, adoption and implementation of a comprehensive plan, the City intends to preserve, promote, protect and improve the public health, safety, comfort, order, appearance, convenience and general welfare; prevent the overcrowding of land and avoid undue concentration or diffusion of population or land uses; facilitate the adequate and efficient provision of transportation, water, wastewater, schools, parks, recreational facilities, housing and other facilities and services; and conserve, develop, utilize and protect natural resources."

The "Century Plan" is the result of the Charter required comprehensive plan. Written by a broad based group of citizens, the Century Plan is the City's master and general plan. To date, the Policy Plan and four functional elements have been adopted.

The "Ends" identified in this operating budget are all taken from adopted Century Plan documents.

The Century Plan provides that "The Century Plan shall be utilized as a primary and integral tool in preparing a three part Annual Budget for the City with five-, two-, and one-year time horizons. Identification, selection, prioritization, approval and funding of City programs, projects and work activities shall be based upon the adopted policies, goals, objectives and functional plan elements which comprise the Century Plan. The City staff and elected and appointed officials involved in the preparation of the Annual Budget shall rely upon the Century Plan to provide direction and guidance for their recommending and authorizing the expenditure of City controlled funds. In no instance shall City controlled funds, equipment, *staff* or efforts be used in a manner which is inconsistent or in conflict with, or contrary to the Century Plan.

"The preparation of budgets with multiple time horizons shall be used to ensure that the activities, programs, and projects required by the policies, goals, objectives, and functional plan elements of the Century Plan are included within both the short and long range work programs of the appropriate City Division. The five-year portion of the budget shall identify and prioritize the activities which must be conducted within a five-year time frame to fulfill the requirements of the Century Plan It shall also estimate the costs and identify funding sources of these activities. The two-year budget shall be prepared to further detail and clarify the proper sequencing and scope of activities in the five-year budget. This budget will refine the costs and funding estimates as appropriate for the shorter time frame. The one-year budget will be prepared within the context of the five- and two- year budgets in order to ensure that annual progress is made to accomplish the Century Plan programs, projects and work activities in the proper sequence, to the appropriate extent, and commensurate with available resources. It will identify specific projects, and their costs and funding sources to be carried out within the following year by the appropriate City Division.

"The City shall maintain and annually update each of these budgets pursuant to this Chapter in order to program the various fiscal requirements of the Century Plan."

1.8 CONTINGENCY ACCOUNT

The budget may include contingency appropriations. During the budget year, actual expenditures from these appropriated amounts shall be specifically approved by the City Council. Council approval is on an item-by-item basis for proposed expenditures which, at the time of budget approval, were not expected or anticipated. The Contingency Account for 1997198 is $100,000 and is included in the Electric Fund.

Appendix K

CITY MANAGER'S LETTER TO COUNCIL

(1997198 ANNUAL OPERATING PLAN)

CITY OF
Georgetown
FOUNDED IN 1848

October 1, 1997

To the Honorable Mayor Wood and members of the City Council:

Georgetown residents share a basic belief that the high quality of life currently found in this community should not only be maintained but enhanced The City plays an important role in defining quality of life by developing and maintaining standards which contribute to a pleasant, attractive, dynamic, and healthy community. The Georgetown Century Plan is the comprehensive strategic plan documenting the process by which Georgetown strives to enhance its quality of life. This budget document serves as the Annual Operating Plan Element (Operating Plan) of the Georgetown Century Plan and is prepared around the fourteen policy areas outlined in the Century Plan. The Operating Plan continues the work and reflects the direction established by our citizens and the City Council to meet existing challenges and effectively plan for future needs.

The 1997198 Operating Plan is based on the priorities established by the Council at this year's retreat, the subsequent budget workshops, public hearings and the City's mission statement which is:

> To preserve and enhance the quality of life and unique character of Georgetown by:
>
> - Preserving its rich heritage and natural resources;
> - Promoting well-planned development, cost-effective professional management and competent, friendly services; and
> - Protecting its citizens, the environment and all other assets.

Budget Overview

The proposed 1997198 Annual Operating Plan totals $74.9 million for all funds. Approximately $45.2 million is for continued operations and debt service, $11.9 million for interfund charges/transfers, and $17.8 million for capital improvements. The General Fund, which accounts for basic tax supported services, totals $12.0 million, an increase of 10.6% more than 1996197 when adjusted for the one-time land purchase that occurred early in 1996197. This increase mirrors the 10% growth in residents and utility customers over the past year.

In response to your direction, only a slight tax rate increase is included. The tax rate of $0.35 represents a tax rate increase of 2.7% or 0.9 cents above the effective tax rate of $0.34077. The 1996 rate was S0.3785. The increase provides the additional ½ cent for transportation (increases from four cents to four and a half cents this year) in keeping with the City's policy to dedicate five cents to streets by 1998199. It also provides additional revenue to fund new General Fund initiatives such as the Youth Services Team in Police Services. Total taxable property for the City has risen an unprecedented 46%, from $633 million in 1996197 to S924 million for 1997/98. The rise is a result of $98 million in

CITY HALL • 609 MAIN STREET
POST OFFICE BOX 409 • GEORGETOWN, TEXAS 78627-0409 • 512/930-3651 • TDD 512/930-3549 • FAX: 512/930-3659

new property and $112 million in annexed property during calendar 1996. The remaining increase is due to a 13% overall increase in the value of existing property in Georgetown. The City's total taxable value will exceed $1 billion in 1998/99.

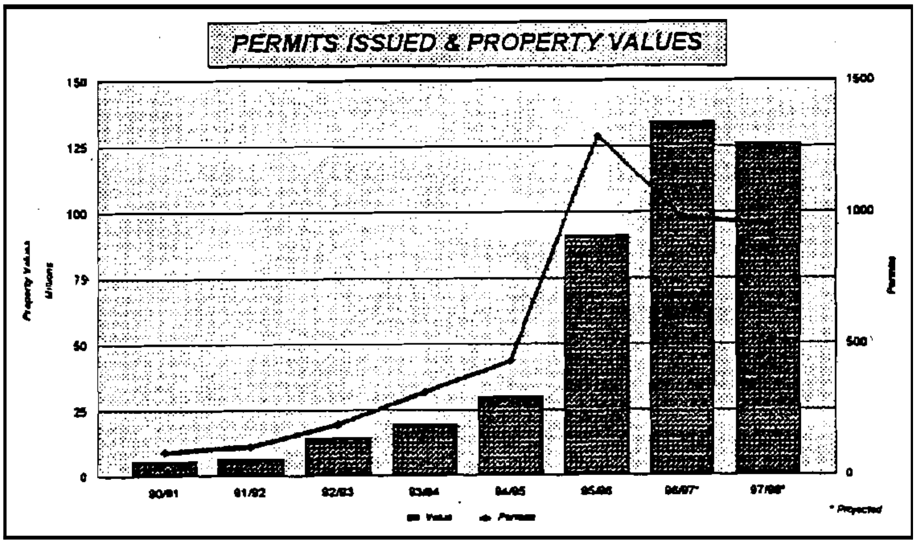
The debt issuances in this budget are $1.5 million to remodel the back portion of the current Police Services building and to purchase the Berry Creek Racquet Club & Pool facility; $2.2 million to fund a two-year stormwater drainage improvement program; and $1.6 million in utility revenue debt to pay for growth-related expansion of the electric system. The stormwater drainage debt will be paid through the proposed fee increases and the general obligation debt issuances have been planned to have no adverse impact on next year's tax rate.

No increases in fees far services or utilities (electric, sanitation, wastewater and water) are included, except as needed for stormwater drainage projects. The planned stormwater drainage fee increases are $1.25 to $1.75 beginning October 1997, and $1.75 to $2.25 beginning October 1998. There have been no base rate increases in water, wastewater or electric since 1991/92.

The 1997/98 Plan includes 14 additional full-time positions, five new part-time positions and four position upgrades. This translates to an increase in full-time equivalents (FTE's) of 11.0 over 1996/97 budgeted positions. Staff additions have been across-the-board The rapid rise in City service demands resulting From growth and the Sun City development continues to provide great challenges to City staff to maintain existing services. The employeedeveloped Values Statement (as presented on the inside cover of this document) continues to guide staff in providing services while meeting the challenges of the growing economy.

Economic Outlook

Georgetown and the Central Texas region continue to experience strong economic growth. Sales tau revenues for Georgetown has increased an average of 13% per year for the last four years. Growth of seven to ten percent is expected to continue for the next two to three years. Housing starts rose dramatically in 1995196 and 1996/97, but are expected to level out to a more reasonable pace in 1997198 and beyond. Commercial starts have begun to increase with numerous new small industrial facilities in various stages of construction.



The City, Georgetown Industrial Foundation and the Chamber of Commerce continue to be successful in bringing increased economic activity and job opportunities to the area. These cooperative efforts have helped build a diversified and stable commercial and industrial base to keep Georgetown a strong, economically viable piece of the region and not merely a "bedroom/commuter" community.

Georgetown is part of the Austin Metropolitan Statistical Area (MSA) which after several years of aggressive growth has moved to a more steady growth rate. Sales tax figures show a 3% growth rate over the previous year and employment growth averaged 3% The Texas Comptroller for Public Account's economic forecast projects that the Austin MSA will see continued growth.

Sun City Georgetown The Del Webb Corporation began development of a 9,500 home, 5.300 acre, active retirement community called Sun City Georgetown in 1995. Sun City Georgetown, in the northwestern quadrant of the City, provides long-term retail and commercial growth for the community. The City's development agreement with the Del Webb Corporation provides for fire protection, wastewater, water and electric services and infrastructure as well as annexation of the site. Del Webb pays a per unit fee (called SIP fee) for its share of the improvements. The City will make all infrastructure and debt payments using the SIP fees without cash shortfalls or increases in overall service rates for electric, wastewater and water.

As of September 30, 1997, 1,011 homes have been completed and more than 200 more are in various stages of construction. The impact on service demands and operating costs is evident in the new positions added in the last three years' budgets. The City's third fire station, located within the development, is scheduled to be complete in January 1998 and will be fully staffed by December 1998.

Budget Highlights: Ends and Means

At the annual retreat, the City Council reviewed the fourteen Century Plan policy areas and ranked priorities according to importance for the upcoming year. The operating budget directly reflects these priorities. The following summarizes the means by which staff will accomplish the Council's ends for the City of Georgetown

Economic Development

Policy End: ***Georgetown's economy is self-sustaining through diversified growth, a broad tax base with minimal impact from economic fluctuation, enhanced business opportunity and job creation.***

Means for Accomplishment

The 1997198 budget continues funding for the Georgetown Industrial Foundation at $148,000. The City has been awarded a record number of Texas Capital Fund (TCF) economic development grants from the State of Texas and will spend considerable staff resources managing these projects. All project funds will be provided from the businesses or the TCF. Using TCF grants, the City will build facilities for Advanced Cable Services, L.P., Xycarb Ceramics, USA, Schunk Quartz, Inc., and Alu-Cut International, Inc.; construct road improvements to support Advanced Metal Systems, Inc.; and construct road and utility infrastructure for Texas Electric Cooperatives Transformer Division and Hewlett Chevrolet. Staff will also continue to work closely with Williamson County officials to develop the exposition center and show barn.

Another important aspect of the City's economic development program is a strong, viable downtown. During the past year, Georgetown received the Great American Main Street Award from the National Trust for Historic Preservation for its downtown restoration efforts over the past 15 years. The budget includes the design phase of a two-year project to provide parking on city-owned land at 6th and Main and $35,000 to make improvements based on the results of a downtown parking study currently in progress.

Education

Policy End: ***Diverse and comprehensive educational opportunities are available through public and private cooperative efforts.***

Means for Accomplishment

Efforts to assist Georgetown Independent School District (GISD) with school site locations, utilities, traffic flow and other design and construction issues for new schools will be continued. The City will also provide funds to build joint park/school playgrounds at McCoy Elementary and the new Village Elementary, near Shell Road.

Environmental & Resource Conservation

Policy End: ***The physical qualities that make Georgetown attractive are protected.***

Means for Accomplishment

The 1997198 Operating Plan includes $55,000 to purchase the water service area for Chaparro Estates and certain areas northwest of Georgetown. Staff is working with Chisolm Trail Special Utility District to ensure mutually beneficial development in those areas. The five-year capital projects program for Wastewater includes expansion of the city's sewer collection in Turtle Bend and Oakcrest subdivisions (1998199) to allow for conversion of septic systems on small lots. This is part of our ongoing effort to protect the Edwards Aquifer which still provides approximately 45% of the City's water supply.

Facilities & Services

Policy End: ***The City provides for the safety of its citizens and supports the responsive delivery of coordinated services by the City and other public agencies.***

Means for Accomplishment

Police Services. Significant additional resources are included to maintain the City's philosophical commitment to community oriented policing. Two officers and an administrative assistant will be added and along with three existing officers, will create a Youth Services Team that will focus on educating youth about the dangers of crime, gangs, and drug abuse. This team will work closely with the Georgetown Project, GISD and other social services agencies to address the developmental needs of the City's youth. A communications/dispatch supervisor has been added to improve services in that department. A staff sergeant is added to Patrol Services to improve coordination efforts within the growing service area The city will also spend $900,000 remodeling and expanding the Police Services building to alleviate overcrowding and $200,000 to purchase land for a future public safety facility for both police and fire services.

Fire Services. The construction of a third fire station, located in Sun City, will be completed in January 1998. The station will be open for emergency medical services, provided by Williamson County, upon completion and will be fully staffed for fire services by December 1998. The budget includes six firefighters and one administrative assistant in 1997198 with the remaining five firefighters added in November 1998. The City will begin design work on a fourth station in the Airport Road area late in the fiscal year with construction planned for 1998/99. An outdoor early warning system will be installed citywide that will improve public alertness for hazardous weather conditions.

Public Safety. Both Fire and Police will benefit significantly from the purchase and implementation of a new public safety software system. The budget includes $320,000 for software and hardware for police and fire records management and computer-aided dispatch.

Employee & Organizational Services. The commitment to the "pay for performance" system is continued in the budget. The Operating Plan includes approximately $580,000 designated for staff salary adjustments, performance incentives and bonuses. This commitment has greatly increased the City's ability to recruit and retain quality staff. Maintaining high quality employees and minimizing turnover are critical for good customer service and for meeting the demands of rapid growth.

Public Library. The Public Library department was moved from the Information Resources Division to the Parks, Education and Recreation division (formerly Parks and Recreation) to provide better coordination of children's and community services common to these functions. One additional part-time technical services cataloger and an upgrade in the administrative assistant for the Public Library arc included. Also, the budget for new library books has been increased by 25% to $69,250. This is the second year of a four-year plan to bring the Library up to the national standard for book purchases per capita

Other. In order to keep pace with the rapidly growing community and city organization, an Assistant City Manager position is included in the 1997198 budget. The position is expected to provide day-to-day organizational management and leadership support to the City Manager.

Finance

Policy End: ***All municipal operations are conducted in an efficient business-like manner and sufficient financial resources for both short-term and long-term needs are provided.***

Means for Accomplishment

Staff will continue to plan for future growth and to time project construction and related debt issuances to minimize tax and rate increases. The receipt of numerous additional economic development grants will require the addition of one staff accountant to monitor projects and assist in the financial management of the city. The greatest challenges facing the City will be managing the General Fund transfers from the utility funds, expanding and maintaining roadways without large tax increases, delaying construction of both the next major water plant expansion and the raw water supply line from Lake Stillhouse Hollow, and delaying for one year the Pecan Branch Wastewater Treatment Plant.

The challenge in allocating city resources is determining which projects give the most benefit to the community. Starting with the 1997198 budget document, performance and activity indicators have been included. These measures will provide a basis to better understand and measure the activities and accomplishment of the Ends and Means. During 1996197, the process *to* develop result-oriented performance measures that link to our Century Plan was begun in Police Services and Development Services. Over the next three years all operations will develop this type of measurement to provide better accountability and management of City resources.

Governmental Affairs

Policy End: ***A high level of cooperation and involvement exists among Georgetown's citizens and governmental organizations.***

Means for Accomplishment

Staff will devote time to develop and coordinate additional service delivery policies with Williamson County, GISD and other surrounding governments. The City has successfully coordinated services and joint purchasing for crime scene investigations, the 800 MHZ communication system, hazardous materials response, the ***INFO*** line and several other projects. Efforts will continue to identify and eliminate overlapping costs and services.

Growth and Physical Development

Policy End: ***Georgetown's land uses support economic, cultural and social activities for all residents, businesses and organizations; and the City's development process encourages new and infill development.***

Means for Accomplishment

The City will issue approximately 900 new building permits this year compared to 1,200 in 1996. Although this represents a decline in growth, the rate (of 5-7%) is still significant. The budget maintains the city's commitment to the newly implemented redesigned development process. The new development process is staffed through a self-directed work team and features streamlined development procedures, expedited permit issuance and one-stop processing. The process provides a model for excellent customer service and encourages continued development and prosperity within our community. The City will continue its incremental revisions to the city's zoning ordinance by focusing on facilities for research and development, wholly-contained manufacturing processes and clean processes. The Development Services Division will coordinate the review and revision of the subdivision ordinance and the triennial update to the impact fee ordinance as required by state law.

Health and Human Services

Policy End: ***Comprehensive, affordable health and human services are available through public and private organizations.***

Means for Accomplishment

The City will continue its $70,000 annual funding to the Georgetown Project. This exciting venture was created to close many gaps in the availability of human and social services which help to meet the needs of children, youth and families. In the past, a sense of community helped to fill those gaps because, in a small town, people know their neighbor's needs, and individuals step in to help. As Georgetown grows, that sense of community must be preserved. The Georgetown Project attempts to coordinate efforts and resources around a common vision and set of community values. No other community is addressing human services in such a comprehensive and proactive way. Those involved in the project include the City, the Georgetown Independent School District, Georgetown Ministerial Alliance, Georgetown Health Care System, Southwestern University, the University of Texas, and local businesses. The City of Georgetown is an active partner in this coalition through the Police Services' new Youth Services Team, recreation programs, the Public Library, and the Community Services Division.

Housing

Policy End: ***The City cooperates with builders, developers and property owners to provide safe and adequate housing opportunities for all citizens.***

Means for Accomplishment

The staff will work with the federal Rural Development Administration to provide loan guarantees for affordable housing subdivisions in the area. The City has also received a HOME grant through the Community Development Block Grant program to provide down payment assistance to 30 first time home-buyers. Funds to pay the administrative costs for the program have been included.

Recreation and Cultural Affairs

Policy End: ***All citizens actively participate in community-wide social, cultural, and recreational activities.***

Means for Accomplishment

Sesquicentennial. Georgetown will celebrate its Sesquicentennial during 1998. Staff support from the Convention & Visitor's Bureau will continue to be provided to the citizens' committee organizing the celebration planned for October 1998. To prepare for the event, the 1997198 budget includes $200,000 to revitalize sidewalks and improve streets around the historic downtown square.

Parks. The budget allocates significant resources to the City's parks and recreational programs. It includes $600,000 to purchase the Berry Creek Racquet Club and funds to staff the facility in May 1998. The club includes a full size swimming pool and baby pool, 11 tennis courts and an activity center on seven wooded acres. The budget also includes $50,000 for the first of a two-year program to install park facilities on 11 acres of city-owned land in the Reata Trails subdivision. The City will also be notified on its application to the Texas Parks & Wildlife Department for $500,000 to continue the hike and bike trail system and construct a softball complex as part of its ongoing San Gabriel River Corridors project The City's match of $500,000 and construction of this phase of the project is planned for 1998199.

Recreation. In addition to new swimming and tennis programs, the Recreation Department will expand its outdoor recreation program for youth to include canoeing, rock climbing, camping ana hiking. Staff will also start an in-line hockey league for youth All of these programs are part of the City's commitment to work with youth as well as establish a philosophy of life long recreation

Transportation

Policy End: ***Georgetown's transportation system provides for the safe and efficient movement of traffic, promotes the economic interests of the community, and adequately serves the needs of individuals.***

Means for Accomplishment

Transportation continues to be one of the most important issue facing Georgetown in the upcoming years. With the growth that is occurring in Georgetom, traffic volume and flow are of chief concern. This budget continues the City's proactive approach to transportation planning by providing $4.4 million for transportation projects including

- Construction of Northwest Boulevard to Serenada Drive,
- Rebuilding 15th Skeet from Hutto Road to Church Street,
- Widening of Lakeway Drive from Williams Drive to Northwest Boulevard,
- Construction of Park Lane to Williams Drive at McCoy School,
- Construction of Railroad Street,
- Rebuilding Country Club Road,
- Improvement of Haven Lane,

- Improvement to County Road 115,
- Seal coat and overly work on Quail Valley Drive, Reata Trails Drive, Oakcrest Drive & Airport Road and
- Sidewalk repair and installation in school and park areas.

In addition to the above street improvements, numerous other improvements are included in this budget.

- State projects to begin in 1997/98 include the extension of Leander Road from Austin Avenue to Farm to Market 1460, the "flipping" of Interstate Highway 35 ramps at Williams Drive, State Highway 29, and the Inner Loop; the City's share of a bridge below the Lake Georgetown dam and the Rivery bridge across the North San Gabriel River are included in the five-year capital improvement program (CIP) schedule.

- This is year four of the Council's five-year plan to increase the property tax revenues dedicated to streets. The proposed budget allocates 4.5 cents of property tax revenues, or $409,000, for ongoing street maintenance, repair and construction. The ultimate goal of five cents will be met in 1998199.

- The special revenue fund (SRF) established in 1996/97 to pay for the Street Department and street improvements is continued. All revenue from the dedicated property tax and the franchise fees paid by utility providers will be spent exclusively on street operations, maintenance, and improvements. Franchise fees relate to streets in that companies pay a franchise fee for use of public rights-of-way.

- The growth and annexations have increased the number of miles of streets to be kept clean. The budget includes a new street sweeper vehicle and an upgrade from part-time to full-time equipment operator position.

- The Georgetown Municipal Airport will begin the design and engineering work to rehabilitate runway 18-36 and align taxiways A & C. Construction of the 90% grant funded project will begin in 1998199.

Urban Design

Policy End: ***Georgetown has a positive, identifiable image and an attractive appearance.***

Means for Accomplishment

During 1997198, staff will begin the process to update the Urban Design Plan Element of the Century Plan. The plan will be led by a citizen work group and will be the basis for revising the City's subdivision regulations.

Utilities/Energy

Policy End: ***Georgetown's utility systems provide safe and reliable service which meets the needs of all citizens and promotes the economic health of the community.***

Means for Accomplishment

Community utility services continue to be a priority for Georgetown. Issues include infrastructure expansions and improvements, energy and resource conservation, and protection of investments in the face of an approaching deregulated electric market. The proposed budget includes numerous capital improvements and other projects which meet Council priorities.

Customer Choice & Control (CCC). The CCC project is the City's fixed, wireless network and is critical to the City's competitive electric skategy, the water conservation strategy and to improving the quality of services provided to Georgetown. The first phase of CCC, to be fully operational in 1997198, consists of the automated electric and water meter reading system and the electronic control and scanning system (System Control and Data Acquisition or SCADA) for the City's electric and major water and wastewater infrastructure. The system allows time of use rates and system management tools that give the City staff the ability to manage the efficiencyof the electric system and peak electric and water demands. Future phases of the system will allow quality of life services such as home security and fire alarm systems.

Electric. Electrical deregulation has been discussed and debated for some time, but we now expect retail wheeling by January 1, 2002. In addition to the CCC system, the budget includes several skategies to give the City of Georgetown a competitive edge. The budget includes $145,000 to develop a utility services and marketing skategy, $150,000 for GIS mapping of the electric system and $110,000 to purchase a boom truck to lift industrial-sized transformers required by many of the new businesses coming to town In addition to actively pursuing these strategies, the budget includes $3.5 million for electric capital projects to maintain and expand the City's electric system.

Water and Wastewater. Capital improvements projects totaling S6.2 million are included for water and wastewater system improvements. The budget includes the engineering and easement purchases for the $4.6 million Pecan Branch wastewater plant scheduled for construction in 1998199. The City will also construct an elevated water storage facility at Sun City, extend sewer services on the south side of Williams Drive, replace major sewer lines in south and east areas of Georgetown, replace the water line on Austin Avenue from 12th to 17th Skeet, as well as, with other water and wastewater improvements throughout the City.

Stormwater Drainage. A one-hundred year storm went during 1996197 brought attention to the stormwater drainage capital improvement program. The City will greatly expand the drainage improvement program in 1997198 to include a two-year $2.1 million commitment to address drainage problems throughout the City. Projects included the upcoming year are

- Dunman Drive area,
- Country Club Road,
- W. 22nd Street extension,
- IH35 Frontage Road retaining wall,
- Thousand Oaks, and
- San Gabriel Overlook.

This program will be funded with General Obligation debt and repaid through Stormwater Drainage fee increases. The per unit rates will increase from $1.25 to $1.75 in 1997198 and again in 1998199 from $1.75 to $2.25.

Projects scheduled for 1998199 are

- Smith Branch Drainage,
- Railroad Drainage,
- Gabriel View Drainage,
- Berry Creek,
- Gabriel View/Power Road,
- Churchill Farms,
- Wagon Wheel/Western Trail,
- 4th Street & Ash,
- 501 Ridgecrest,
- 708 Golden Oaks,
- 9th Street & Elm,
- Serenada, and
- Norwood West.

Sanitation The City of Georgetown contracts with Waste Management, Inc. to provide curb side pick-up, bulky waste and recycling. The current contract expires September 30, 1998 and Council has directed staff to prepare requests for proposals. The City will allocate staff resources to take an innovative approach to this contract by including performance incentives thereby improving the quality of service to citizens.

Financial Summary

The City is committed to sound financial planning and direction as reflected in the Finance Policy portion of the Georgetown Century Plan and the Budget and Financial Policies adopted as part of the budget. Debt issued in 1996197 included $1.6 million for the Sun City Fire Station construction and purchase of public safety facility land, $2.9 million for street projects, and 84.1 million for the Customer Choice & Control (CCC) system. A total of $5.4 million in new debt is planned for 1997198. General obligation (G.O.) debt of $2.2 million will be issued for stormwater drainage capital improvements and paid by a two-step drainage fee increase. G.O. debt of $1.6 million will also be issued for purchase of the Berry Creek Racquet Club and remodeling of the Police Services building. The expansion of the tax base will allow the City to cover this additional debt with no increase in tax rates in 1998/99. Utility system revenue bonds of $1.6 million for electric system expansion with no rate increases required to pay debt service. The revenue debt coverage ratio will be 4.07, far above the 1.5 minimum requirement. The minimum contingency reserve has been increased from $6.4 million to $7.02 million The City has also met its commitment for minimizing rate and tax increases by including no utility rate increases in electric, sanitation, wastewater and water. Although property tax rates are increased by 2.7%, the tax rate is comparable to the rate ten years ago and is among the lowest in the area

Significant Financial Issues

Revenues. The City's revenues (as shown in the chart below) continue to rise due to increased sales tax revenues and demand for utility services. The City's overall customer base for its electric, sanitation, wastewater and water services has increased at a rate of 10% or more for the last two years. However, the growth is expected to level out at a more reasonable 5 - 7% per year

	96/97 Projected Actual	97/98 Adopted	(% Change *)
Property Taxes	2,473,458	3,240,465	(31.0%)
Sales Taxes	2,052,000	2,265,500	(10.4%)
Electric	14,615,860	15,418,524	(5.5%)
Water	5,680,227	5,836,198	(2.7%)
Wastewater	3,356,592	3,546,652	(5.7%)
Sanitation	1,447,741	1,533,587	(5.9%)
Stormwater Drainage	291,014	439,190	(50.9%)
Capital Recovery Fees	2,883,363	3,084,438	(7.0%)
Misc. Fees & Revenue	3,106,101	3,615,464	(16.4%)
Airport	522,966	537,500	(2.8%)
Interest (All funds)	847,548	890,620	(5.1%)
Grants & Special Revenue	1,978,742	8,920,620	(350.8%)
Bond Proceeds	9,350,046	5,430,000	(-41.9%)
Utility Franchise Fees	813,938	865,197	(6.3%)
Fund Balances	(1,593,686)	7,331,759	(-560.1%)
Subtotal	47,825,910	62,955,714	(31.6%)
Interfund Charges & Transfers	10,108,180	11,937,046	(18.1%)
TOTAL	57.934.390	74,892,760	(29.3%)

* Percent change of 97/98 Adopted from 96/97 Projected Actual

General Fund. The General Fund will have a substantial deficit that will continue to grow over the next three to five years. This deficit was identified in the fiscal impact study prepared in 1994 as part of the analysis of Sun City. In 1997198, the General Fund will require a "what it takes to balance" transfer of $3.5 million. The transfer is 28.9% of budgeted expenditures, compared to 1996197, where it was $1.8 million or 16.3% of budgeted expenditures. As mentioned in last year's letter, the 1998 opening of the Sun City Fire Station and other additions required to keep up with growth, have caused the expected increase in the transfer. The increasing transfers will be managed through the policy limit on transfers and limiting growth in City services available for the short term. City staff will continue to seek strategies to provide Council with long-term recommendations to improve the financial condition of the General Fund

Electric, Wastewater and Water Funds. The City's elecmc, wastewater and water systems are projected to generate revenues sufficient for operations and maintenance and some system improvements without rate increases. The funds are projected to have sufficient revenues and developer reimbursements to service the planned debt without a rate increase for at least the next two fiscal years. These funds will also continue to pay debt service obligations, ongoing operations, and supplement shortfalls in the Stormwater Drainage Fund and the General Fund.

Sanitation & Stormwater Drainage Funds. No increase in garbage rates is included although the Sanitation Fund will not be self-supporting in 1997198. Bringing this fund into a self-supporting position will be part of the evaluation and fee setting process that will be included in the planned request for proposal for this service. The proposed stormwater drainage fee increases will pay the debt costs for the capital improvement program included with this budget proposal with no operating deficits in the fund.

Internal Service Funds. The City's use of internal service funds to provide maintenance, insurance and replacement of vehicles; repair and maintenance of City-owned buildings and upgrades and expansion of computer hardware and software has proven successful in sustaining the funding levels needed to maintain the City's assets. In 1997198 the City's internal service funds will provide $454,505 to add and replace desktop, network and application technology and hardware including 31 new and replacement PC's; $320,000 to purchase and install a new Public Safety Computer System: 5913,665 for 12 replacement vehicles and 5 additional vehicles; and $392,000 for building maintenance and repairs.

Special Projects & Special Revenues. The Operating Plan reflects significant grant projects in 1997/98. State-funded economic development grants totaling $4.8 million are included. The budget also includes $193,500 for a CDBG Home grant approved in 1997.

Emerging Issues

As we look toward the year 2000 and beyond, there are several issues that must be considered in order to maintain Georgetown's friendly sense of community that is so important.

Electric Deregulation. Although Georgetown has already taken many steps to prepare for electric deregulation, the developments in state and federal legislation and the energy and telecommunications industries will continue to be closely monitored.

Rights-of-Way/Franchise Fees. Recent state and federal legislation in telecommunications have brought potential threat to the ability of local government to control and collect fees for use of public rights-of-way. The Texas legislature appointed an interim committee to study potential changes that would adversely impact local government's control and revenues. Staff are already participating in and supporting efforts to educate legislators in order to maintain local government controls.

Fire Services. The past few years have seen Georgetown's fire services move from a rural, volunteer-based organization to a suburban, paid force. The commercial and industrial growth the City is experiencing will further require Georgetown's approach, organization and philosophy to change to meet this type of growth.

Gangs/Youth. A critical point to maintaining the sense of community in Georgetown as it grows is how we approach our children and youth The children and youth focused programs in the Recreation Department, the Library, the Youth Services Team in Police Services, and the Georgetown Project all address this growing need

Air Quality. As part of the greater Austin area (Travis, Williamson, and Hayes Counties), Georgetown will be greatly impacted by the Environmental Protection Agency's new air quality standards. With these new standards, the Austin MSA will likely be declared a non-attainment area The budget includes funds to participate with a regional group that is working to encourage voluntary behavior changes to reduce air emissions in the Austin area

Rivery Land. The City will focus its efforts on selling the Rivery land, recovering all costs and providing sound economic benefit from the City's most attractive commercial/industrial development tract. As part of the incentive package and development agreement to bring PowerComputing, Inc. to Georgetown, the City purchased a $2 million parcel of land adjacent to the PowerComputing site. As a result of a licensing dispute and subsequent buy out by Apple Computers, PowerComputing will not locate in Georgetown as planned. Staff are already discussing options with numerous interested buyers.

Conclusion

Growth issues will continue to dominate Council and staff time. Sun City Georgetown will generate substantial growth for years to come. The staff is prepared to respond to the growth and associated service demands. I believe this budget accomplishes the goals set forth by the Council and improves the productivity of employees through the provision of needed equipment and essential training. I greatly appreciate the leadership and the direction each of you provided during the retreat and in the preparation of this budget document.

Finally, I acknowledge the tremendous contributions and teamwork of all City staff in preparing the 1997/98 Annual Operating Plan Element. Most notably, I want to recognize Susan Morgan, Director of Finance and Administration; Micki Rundell, Accounting Director; Laurie Brewer, Senior Accountant, Laura Eix, Finance Administrative Assistant and Angela Gray, City Management Intern for their long and dedicated hours in preparing the Operating Plan.

Respectfully submitted,

Bob Hart

Bob Hart
City Manager

Appendix L

ENDS AND MEANS STATEMENTS

(1997/98 ANNUAL OPERATING PLAN)

GEORGETOWN'S LONG-TERM PLANNING PROCESS

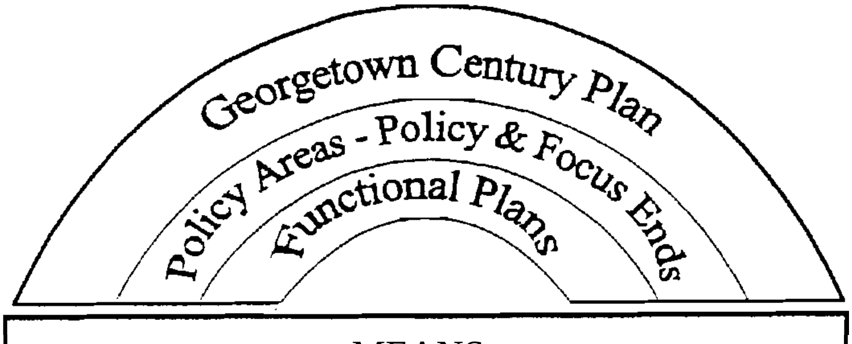
The City of Georgetown is guided by a comprehensive strategic plan called the Georgetown Century Plan. The Century Plan (the Plan) was created by a broad-based group of Georgetown citizens, elected and appointed officials, and staff during the late 1980's. The Plan documents and formalizes the goals and processes by which Georgetown will strive to enhance its quality of life. Its foundation is the mission statement and a set of End statements, similar to goals, which are divided into 14 policy areas.

The City's Mission Statement serves as a broad statement of purpose. The End Statements, under each of 14 policy areas, further define the Mission Statement. Ends describe, in specific terms, desired end-states. The End Statements are the vision of Georgetown at its very best. Ends represent the ultimate target at which all activities of the City are aimed. Each Policy Area is defined with a broad Policy End. Specific Council and citizen direction given in each area are called Focus Ends. This term is used because these statements *focus* staff efforts in accomplishing the Policy Ends.

The Century Plan is further defined through periodic updates (last revised in 1995/96) and through the development of Functional Plan Elements that address the 14 policy areas. The Functional Plans are created by citizen work groups and provide more detailed direction for accomplishing the goals identified by the End statements. It generally takes one to two years to complete and adopt each element The Functional Plan elements adopted are the Land Intensity, Transportation and Utilities Plan; Economic Development Strategic Plan; Parks & Recreation Plan and the Facilities and Services Plan The Urban Design Plan will be prepared and presented to Council during 1997198. The Century Plan and the Functional Plan elements are published and distributed as a separate document.

The City staff and elected and appointed City Officials rely upon the Ends to provide direction and guidance for recommending and authorizing the expenditure of public funds. The budget is the Annual Operating Plan element of the Century Plan. It is prepared around the 14 policy areas and supporting End Statements which are outlined in the Century Plan The Annual Operating Plan specifically defines the methods or processes by which the City Manager and City staff will go about achieving the desired end-states for each policy area. The methods or processes by which the desired end-states are achieved are called Means. The Means, similar to objectives or strategies, are the specific actions required to accomplish the Ends. The Annual Operating Plan Element is a detailed look at each operational area, or department, within the City and its own unique set of Means. Not all Ends are addressed in each Annual Operating Plan element. The priority of each Policy area and Ends are set by the Council at its June budget retreat.

Mission Statement



MEANS
Outlined in **Annual** Operating Plan
(Operating, debt and 5 year capital plan)

The City of Georgetown has implemented the Century Plan through the adoption and use of a governance model. The governance model is an advanced approach to Council operations which provides for Council to set policies and Ends, while leaving the Means for accomplishing those Ends and policies to the City Mauaga and his staff. As long as Council defined "executive limitations" are not broached, the City's staff is able to use its best efforts and judgement to perform the Means to accomplish the Ends. The City Council has adopted a formal governance policy guiding this process.

The pages that follow in this section provide an overview of the City's Mission Statement with its supporting Ends categorized under their respective policy areas. Means to each of the Ends are detailed in the Division/Department pages found later in this document.

MISSION STATEMENT

To preserve and enhance the quality of life and unique character of Georgetown by:

- *Preserving the rich heritage and natural resources;*
- *Promoting well-planned development, cost effective professional management and competent, friendly services; and*
- *Protecting its citizens, the environment and all other assets.*

The "Ends" Statements

ECONOMIC DEVELOPMENT

Policy End	1.0 Georgetown's economy is self-sustaining through diversified growth, a broad tax base with minimal impact from economic fluctuation, enhanced business opportunity and job creation.
Focus End	1.1 Existing undeveloped sites in Georgetown are put to beneficial use.
Focus End	1.2 Georgetown recruits small to mid-sized commercial/industrial firms from all areas of the production process (i.e., research and development, assembly, production, distribution, warehousing, and retailing).
Focus End	1.3 The City, the Georgetown Industrial Foundation, the Chamber of Commerce and local business and industry work together to promote an aggressive commercial/industrial retention and expansion program.
Focus End	1.4 Georgetown attracts spinoff companies from major employers in the region.
Focus End	1.5 Georgetown minimizes the number of employees it exports to surrounding labor markets.
Focus End	1.6 The City seeks funding resources to assist in training or retraining of the local labor pool.
Focus End	1.7 The City provides financial and nonfinancial incentives to promote economic development.
Focus End	1.8 The downtown is an economically viable component of the retail and business community.
Focus End	1.9 All citizens actively participate in local trade and commerce.
Focus End	1.10 The City actively cooperates with merchants and business associations to promote trade and commerce within the local community.
Focus End	1.11 The tourism industry in Georgetown is developed and promoted, while preserving the community's small-town charm.

EDUCATION

Policy End 2.0 Diverse and comprehensive educational opportunities are available through public and private cooperative efforts.

ENVIRONMENTAL AND RESOURCE CONSERVATION

Policy End 3.0 The physical qualities that make Georgetown attractive are protected.

Focus End 3.1 Georgetown's water resources system provides a sufficient water supply of high quality to meet future City needs, to meet economic development and recreational requirements, and to conserve wildlife.

FACILITIES AND SERVICES

Policy End 4.0 The City provides for the safety of its citizens and supports the responsive delivery of coordinated services by the City and other public agencies.

Focus End 4.1 The City centralizes and co-locates services on existing City-owned property whenever possible.

Focus End 4.2 The City has a high level of employee satisfaction and retention

Focus End 4.3 Georgetown Public Library's information and collections are accessible to all citizens.

Focus End 4.4 The Georgetown Public Library has a collection development budget which equals the national per capita for library expenditures in a comparable population category.

Focus End 4.5 The Georgetown Public Library's resources are expanded through partnerships with a variety of organizations, including non-profit, corporations, governments, schools and community groups.

Focus End 4.6 The City provides appropriate, well managed information technology and services that support city operations and citizen access to information.

Focus End 4.7 There is trust and harmony between the City's public safety providers and all segments of the community.

Focus End 4.8 Georgetown is effective at resolving issues related to crime, disorder and fear of crime

Focus End 4.9 Georgetown's fire protection is adequate and equitable throughout the City.

Focus End 4.10 Georgetown is prepared to respond to large scale natural and technological emergencies.

Focus End 4.11 Public safety services are provided to adjacent areas outside of the City limits through contractual agreements with other government organizations, ensuring equitable and efficient coordination of services.

Focus End 4.12 Public safety services have a high level of citizen and volunteer involvement.

Focus End 4.13 The City is safe from animal threat, provides attractive and humane animal accommodations, and encourages the adoption of animals.

FINANCE

Policy End 5.0 All municipal operations are conducted in an efficient business-like manner and sufficient financial resources for both short-term and long-term needs are provided.

Focus End 5.1 Each utility system is a self-supported operation that provides a desirable and affordable level of service.

Focus End 5.2 The City investigates the privatization of each City operation, as appropriate.

Focus End 5.3 The City's utility rates are competitive with surrounding communities and with the statewide and national averages for comparable utility systems.

Focus End 5.4 The tax rate is reasonable and fair and does not hinder economic development.

Focus End 5.5 The City has a method for funding street and streetscape improvements.

Focus End 5.6 The City pursues all federal and state grant programs which would benefit the City.

GOVERNMENTAL AFFAIRS

Policy End 6.0 A high level of cooperation and involvement exists among Georgetown's citizens and governmental organizations.

Focus End 6.1 All citizens actively participate in governmental functions.

Focus End 6.2 The City develops and coordinates service delivery policies with Williamson County, the Georgetown Independent School District and other organizations that provide services to Georgetown.

Focus End 6.3 The City is a strong and visible participant in developing comprehensive solutions to issues of concern on a regional level.

GROWTH AND PHYSICAL DEVELOPMENT

Policy End 7.0 Georgetown's land uses support economic, cultural and social activities for all residents, businesses and organizations; and the City's development process encourages new and infill development.

Focus End 7.1 The City's regulations implement the Policy Ends and provide the opportunity to seek change with reasonable effort and expense.

Focus End 7.2 Annexation procedures and standards benefit the community.

HEALTH AND HUMAN SERVICES

Policy End 8.0 Comprehensive, affordable health and human services are available through public and private organizations.

HISTORIC PRESERVATION

Policy End **9.0** Prehistoric, historic, and cultural resources are preserved, protected and promoted.

HOUSING

Policy End **10.0** The City cooperates with builders,, developers and property owners to provide safe and adequate housing opportunities for all citizens.

RECREATION AND CULTURAL AFFAIRS

Policy End **11.0** All citizens actively participate in community-wide social, cultural, and recreational activities.

Focus End 11.1 The City maintains and upgrades existing parks and constructs new parks through a diversified funding and acquisition program.

Focus End 11.2 The City's park facilities and recreational programs meet the leisure needs of citizens,

Focus End 11.3 Georgetown has an attractive and coordinated system of hike and bike trails.

Focus End 11.4 The City has recreational programs targeting those who are physically or otherwise challenged.

Focus End 11.5 The City has an ongoing process for recreational needs assessment and program evaluation.

Focus End 11.6 The City has in-house capability in horticulture.

Focus End 11.7 The City encourages the U.S. Army Corps of Engineers to continue to make Lake Georgetown water and land resources available to the community and to be responsive to the community's expanding and changing needs.

Focus End 11.8 The City has greenbelts along the tributaries (e.g. Smith Branch, Pecan Branch, and Berry Creek) that feed into the San Gabriel River.

Focus End 11.9 The City has joint venture development and use agreements with other recreational providers for existing facilities and/or for future development.

TRANSPORTATION

Policy End **12.0** Georgetown's transportation system provides for the safe and efficient movement of traffic. promotes the economic interests of the community, and adequately serves the needs of individuals.

Focus End 12.1 The City maintains a Transportation Functional Plan that includes all modes of transportation.

Focus End 12.2 The City supports an area-wide transportation effort through coordination with other public and private organizations.

Focus End 12.3 The City has sidewalks and crosswalks throughout the City, especially around and between schools and parks.

Focus End 12.4 The City supports private transportation services in the community.

Focus End 12.5 The City has continuous frontage roads along Interstate Highway 35 through Georgetown.

Focus End 12.6 The Georgetown Municipal Airport is an integral part of the transportation system and business activity of the community.

Focus End 12.7 There is direct public access to the area east and west of the Georgetown Municipal Airport runways.

URBAN DESIGN

Policy End 13.0 Georgetown has a positive, identifiable image and an attractive appearance.

UTILITIES / ENERGY

Policy End 14.0 Georgetown's utility systems provide safe and reliable semce which meets the needs of all citizens and promotes the economic health of the community.

Focus End 14.1 Customers of the City's electric utility have a range of choices with respect to rates, service levels and power supply options.

Focus End 14.2 Water and wastewater services exceed state and federal standards and are provided to a all certified areas.

Focus End 14.3 The stormwater drainage system efficiently and effectively protects the health and safety of Georgetown's residents and minimizes the negative effects of standing water and urban runoff.

Focus End 14.4 The City uses available and emerging alternative energy sources when beneficial.

Focus End 14.5 The City's utility policies and practices promote and encourage the protection and conservation of Georgetown's environment and natural resources.

Focus End 14.6 Franchised utilities provide adequate services for all citizens.

Appendix M

1997198 OPERATING PLAN ELEMENT:

POLICE SERVICES

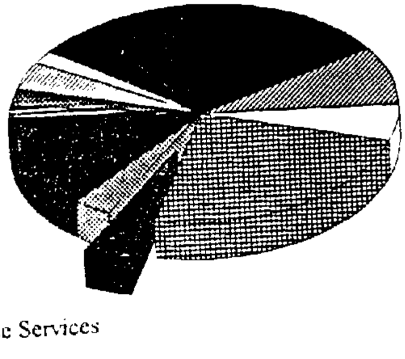
Police Services

CITY OF GEORGETOWN
POLICE
DEPARTMENT

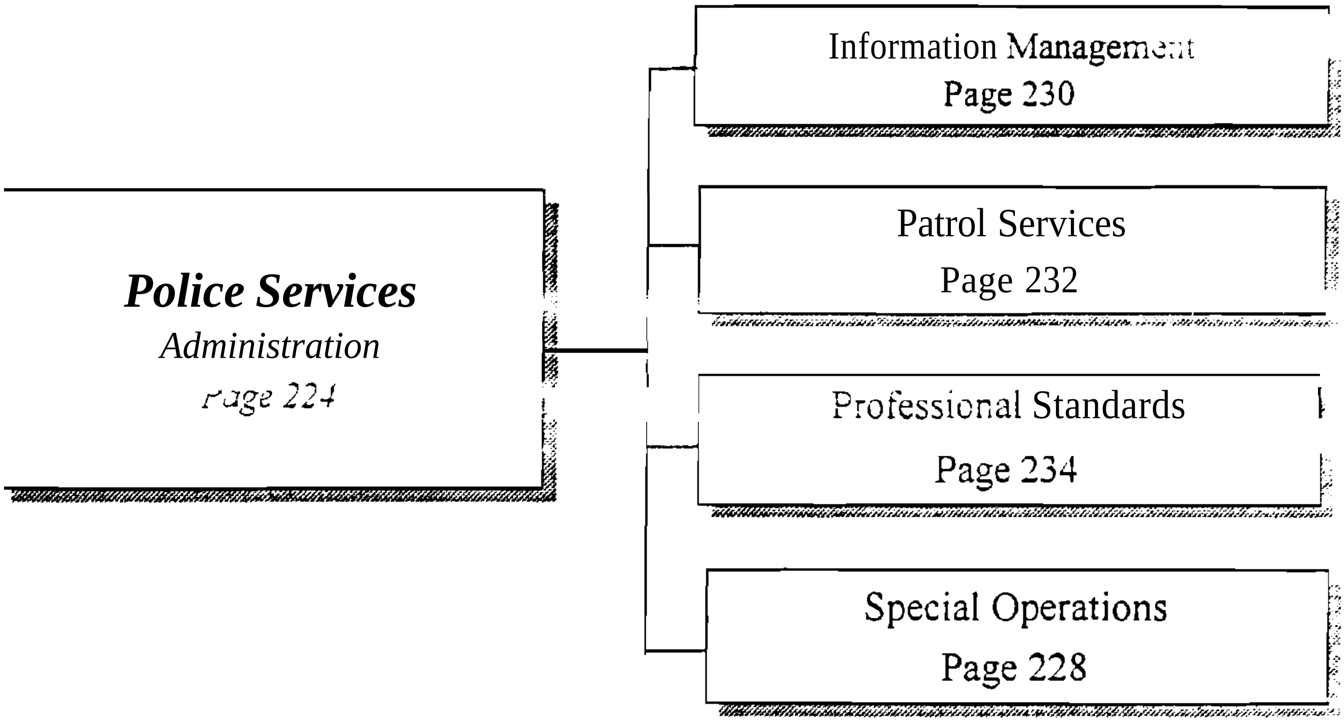
Georgetown's first patrol car, 1947

Our youth are important.

Reducing crime through home security inspections.



Police Services


Police Services
Administration
Page 224
Information Management
Page 230
Patrol Services
Page 232
Professional Standards
Page 234
Special Operations
Page 228

The Division of Police Services functions under a policing philosophy that is best described as: Being interactive with the community and obtaining desired results through collaborative problem solving. Our budget is developed around a *systems* approach to managing the Division and reflects an organizational structure comprised of five departments: Organizational and Administrative, Information Management, Professional Standards, Patrol, and Special Operations.

DIVISION FINANCIAL SUMMARY:

	95/96 Actual	96/97 Budget	96/97 Projected Actual	97/98 Adopted (% Change *)		98/99 Projected Base (% Change **)	
Organizational & Administrative	265,559	291,629	291,443	287,898	(-1.2%)	287,898	(0.0%)
Restricted Funds	28,834	87,880	87,880	96,190	(9.5%)	70,844	(-26.3%)
Special Operations	338,520	548,149	548,148	682,173	(24.5%)	693,541	(1.7%)
Information Management	432,357	491,578	491,578	571,135	(16.2%)	579,167	(1.4%)
Patrol Services	1,048,330	1,198,567	1,198,567	1,313,607	(9.6%)	1,323,396	(0.7%)
Professional Standards	141,138	173,823	173,823	158,405	(-8.9%)	153,722	(-3.0%)
TOTAL	2254,138	2,791,626	2,791,439	3,109,408	(11.4%)	3,108,568	(-0.0%)

* Percent change of 97/98 Adopted from 96/97 Projected Actual
** Percent change of 98/99 Projected Base from 97198 Adopted

SOURCE OF FUNDING:

	95/96 Actual	96197 Budget	96/97 Projected Actual	97/98 Adopted (% Change *)		98/99 Projected Base (% Change **)	
General Fund	. 2,225,904	2703,746	2,703,559	3,013,218	(11.4%)	3,037,724	(0.8%)
Special Revenue Fund	28,834	81,880	87,880	96,190	(9.5%)	70.844	(-26.3%)
TOTAL	2,254,738	2,791,626	2,791,439	3,109,408	(11.4%)	3,108,568	(-0 0%)

* Percent change of 97/98 Adopted from 96/97 Projected Actual
** Percent change of 98/99 Projected Base from 97/98 Adopted

Education

Policy End ***2.0 Diverse and comprehensive educational opportunities are available through public and private cooperative efforts.***

Means (96-01) Promote E-911 with 911 simulator and literature provided by the Communication Center Operators, in conjunction with the Capital Area Planning Council. (Information Management).

Facilities and **Services**

Policy End ***4.0 The City provides for the safety of its citizens and supports the responsive delivey of coordinated services by the City and other public agencies.***

Means (96-98) Evaluate needs of community through survey and data analysis. (Organizational and Administrative).

Means (96-00) Manage quality customer services by assuring that the systems and processes of the Division are congruent with the chosen mission, values, principles, and philosophies as stated in the Corporate Strategy. Assure that police services are effectively and efficiently aligned with the identified and agreed upon needs of the internal and external customers. Assure that processes and measures are congruent. Evaluate measures against customer needs. (All Departments within the Police Services Division)

Means (96-01) Coordinate with and actively participate in partnerships with the Parks, Education and Recreation Services Division and the Georgetown Projecr to further develop the idea of "A Greater Georgetown through Neighborhood Wellness". (Organizational and Administrative, Patrol Services, Special Operations)

Means (97-98) Provide a Staff Sergeant for Patrol Services to provide for greater effectiveness by delineating line and staff functions. (Patrol Services)

Focus End 4.2 The City has a high level of employee satisfaction and retention.

Means (97-98) Evaluate and improve the Field Training Program in Patrol Services. (Professional Standards)

Means (97-98) Conduct Quality Review process that will measure our effectiveness in meeting internal customer needs. (Professional Standards)

Means (97-98) Provide employees with the skills and knowledge to respond to issues of crime and disorder through enforcement, prevention, intervention, and education while continuing to meet state mandated training. (Professional Standards)

Means (97-01) Provide management and leadership training for Department Commanders and first line supervisors. (Organizational and Administrative, Professional Standards)

Focus End 4.6 The City provides appropriate, well managed information technology and services that support city operations and citizen access to information.

Means (96-98) Train employees on a new report writing process manually prior to automation. (Patrol Services, Special Operations, Information Management)

Means (96-98) Write a records retention and destruction program, policy and procedure. (Information Management)

Means (96-98) Provide Activity Bulletins and Special Reports to personnel of the Police Services Division, the media, and the public through the Records Section for Crime Analysis Statistics. (Information Management)

Means (96-98) Install new E-911 system work stations. (Information Management)

Means (96-99) Install records management and computer-aided dispatching technology and software (public safety software) to make information management more effective and compatible with the city-wide system. (Information Management)

Focus End 4.7 There is *trust* and harmony between the public safety **providers** and all segments of the community.

Means (96-98) Conduct two Citizen Police Academies. (Professional Standards)

Means (96-99) Establish, train, and *chair* an Internal Affairs review board consisting of internal and external customers. (Professional Standards)

Means (96-00) Develop and implement Quality Review Processes that will measure our effectiveness in meeting external customer needs. (Professional Standards)

Means (96-01) Identify and resolve Public Safety problems by neighborhoods in partnership with Fire Division personnel and citizens of the neighborhoods utilizing appropriate community resources. (Patrol Services, Special Operations)

Focus End 4.8 Georgetown is effective at resolving issues related to crime, disorder and fear of crime.

Means (96-00) Implement service delivery strategies to address areas of substance abuse, traffic flow, accidents, truancy, domestic violence, property crimes, and assaults. (Patrol Services, Special Operations, in cooperation with the *Georgetown* Independent School District and the Georgetown Project)

Means (96-00) Provide businesses and community groups with accurate information on crime, the community and police matters. (Special Operations, Information Management)

Means (96-00) Increase the number of active Neighborhood Watch Programs, and where desired, establish Neighborhood Wellness areas in each district. (Organizational and Administrative Services, Special Operations, Patrol Services)

Means (96-00) Increase the clearance rate for any reported and verified use, possession, or sale of illegal drugs, through follow-up investigations, surveillance techniques, intervention, treatment and enforcement efforts. (Special Operations)

Means (97-98) Improve service delivery to citizens and employees by employing a supervisor in the Communications Section. (Information Management, Patrol Services)

Means (97-98) Increase accountability and productivity in criminal investigations, by tracking investigative case loads and target completion dates, thereby increasing the clearance rate for reported offenses. (Special Operations)

Focus End 4.10 Georgetown is prepared to respond to large scale natural and technological emergencies.

Means (97-98) Teach Incident Command System to all employees and write help aides on Incident Command System (Professional Standards, Organizational and Administration, in cooperation with Fire Services, Community Owned Utilities, the Williamson County Sheriff's Department and the Texas Department of Public Safety)

Focus End 4.12 Public safety services have a high level of citizen and volunteer involvement.

Means (96-99) Recruit volunteers into the established volunteer program relative to defined task needs. (Organizational and Administrative, in conjunction with the Georgetown Information Volunteer Exchange)

Means (96-01) Recruit and train police reserves for duty. (Professional Standards)

Finance

Policy End 5.0 All municipal operations are conducted in an efficient business-like manner and sufficient financial resources for both short-term and long-term needs are provided

Focus End 5.6 The City pursues all federal and state grant programs which would benefit the City.

Means (96-01) Research and apply for Capital Area Planning Council and the U.S. Department of Justice's Community Oriented Policing Services grants. (Organizational and Administrative, Professional Standards)

Recreation and Cultural Affairs

Policy End *11.0 All citizens actively participate in community-wide social, cultural, and recreational activities.*

Means (96-01) Provide sponsorship, support, and assistance to youth programs, activities and organizations through a Police Activities League (P.A.L.). (All Departments)

WHAT WE DO:

The Georgetown Police Services Division's philosophy is based on the idea that policing is the management of information for a result that is of value to the individual customer and the public-at-large. Being responsive to the demands of the day means focusing primarily on processes (whole pieces of work) rather than tasks, jobs, people or structure. Therefore, to assure quality internal and external results, the Georgetown Police Services Division embodies a value-based, principle driven systems approach to managing the organization.

The Department of Organizational and Administrative Services consists of the Director (Chief of Police) and the Division Administrative Assistant. This department provides the integrating influences necessary to keep the Information Management, Professional Standards, Special Operations and Patrol Services Departments on track and provides the support for managing the purpose of the organization.

WHAT WE ACCOMPLISHED IN 1996/97:

- Continued to improve the Division's Citizen Volunteer Program and rewrote the Volunteer Manual.
- Worked actively to develop a positive working relationship with Capital Area Planning Council and to identify sources of alternative funding, which resulted in grant awards.
- Served on the core team to develop the Georgetown Project's core values, business plan and youth initiatives.
- Provided in-house management training for Lieutenants and Department Director.
- Completed the Public Safety Facility Needs Assessment process.
- Achieved Level II recognition in the Texas Quality Award application process, an organizational management evaluation program.
- Developed performance measures for the Police Services Division.

WHAT WE PLAN TO ACCOMPLISH IN 1997/98:

- Actively participate in the Georgetown Project and further develop the idea of "A Greater Georgetown through Neighborhood Wellness."
- Manage quality customer services by assuring that the systems and processes of the Division are congruent with the chosen mission, values, principles, and philosophies as stated in the Corporate Strategy. Assure that police services are effectively and efficiently aligned with the identified and agreed upon needs of the internal and external customers. Assure that processes and measures are congruent. Evaluate measures against customer needs.
- Provide management and leadership training for Department Commanders and first line supervisors.
- Actively seek alternative funding through grants.

Did You Know?

An ordinance was passed in April 1880 for City prisoners that were physically able to do hard labor and set a pay rate of $1 per day. Prisoners not complying were put on a diet of bread and water.

PERFORMANCE MEASURES	ACTUAL FY 95/96	BUDGETED FY 96/97	ACTUAL FY 96/97	PROJECTED FY 97/98
1) 95% of all citizens surveyed perceive Police Services positively.	N/A	N/A	N/A	95%
2) Sustained external citizen complaints are less than .5% of police calls for service.	N/A	N/A	N/A	.05%
3) Cost of police services is less than $150 per capita	$122	$135	$133	$118
4) Overtime expenditures are less than 5% of total salaries.	4%	4.5%	4%	4%

1997/98 ADOPTED BUDGET AND 1998/99 PROJECTED BUDGET:

95/96 Actual	96/97 Budget	96/97 Projected Actual		97/98 Adopted	(% Change *)	98/99 Projected Base	(% Change **)
2/0	2/0	2m	# Employees	2/0		2/0	
98,138	105,517	105,517	Personnel	106,763	(1.2%)	106.763	(0.0%)
167,421	186,112	185,926	Operations	181,135	(-2.6%)	181.135	(0.0%)
0	0	0	Capital	0	(N/A)	0	(N/A)
265.559	291,629	291,443		287,898	(-1.2%)	287,898	(0.0%)

Employees: full time / part time

- Percent change of 97/98 Adopted from 96197 Projected Actual

** Percent change of 98/99 Projected Base from 97/98 Adopted

This fund receives and holds seized assets from narcotics and/or organized crime cases, donations received for the Drug Abuse Resistance Education (D.A.R.E.) Project, and revenue received from other sources. Funds from seized/confiscated/forfeited assets are to be used for narcotics interdiction and enforcement Funds from D.A.R.E. donations are to be used only for that project. This fund also receives and disburses U.S. Department of Justice Community Oriented Policing Services (COPS) grant monies, specifically funds under the COPS MORE '96 program. An application has been submitted for the Universal Hiring Program, and notification of this award will be received by January, 1998.

FUND SUMMARY:

	95/96 Actual	96/97 Budget	96/97 Projected Actual	97/98 Adopted	(% Change *)	98/99 Projected Base	(% Change **)
REVENUES							
Donations	1,680	2,000	2,000	1,500	(-25.0%)	1,500	(0.0%)
Grants- COPS	20,210	46,822	46.822	39,543	(-15.5%)	0	(-100.0%)
Grants- Other	0	10,958	10.958	14,742	(34.5%)	0	(-100.0%)
Interest, DARE	387	300	250	200	(-20.0%)	200	(0.0%)
Interest & Other	483	400	300	300	(0.0%)	300	(0.0%)
Operating (Seizures)	2,151	2,000	2.100	2,000	(-4.8%)	2,000	(0.0%)
Transfers In	7,500	20,100	20.100	27,301	(35.8%)	66,844	(144.8%)
Total Revenues	32,411	82,580	82,530	85,586	(3.7%)	70,844	(-17.2%)
EXPENDITURES	28,834	87,880	87,880	96,190	(9.5%)	70,844	(-26.3%)
Excess (Deficiency) of Revenues over Expenditures	3,577	(5,300)	(5,350)	(10,604)	(100.1%)	0	(-100.0%)
Fund Balance at Beginning of Year	17,526	14,727	21,103	15,753	(-25.4%)	5,149	(-67.3%)
Reserved for Pmjat DARE	(6,258)	(3,558)	(3,508)	(3,508)	(0.0%)	(3,508)	(0.0%)
Fund Balance at End of Year	14,845	5,869	12,245	1,641	(-86.6%)	1,641	(0.0%)

• Percent change of 97198 Adopted bom 96197 Projected Actual

•• Percent change of 98/99 Projected Base from 97/98Adopted

WHAT WE DO:

The Department of Special Operations, in cooperation with the Department of Patrol Services, is responsible for producing the desired policing products or services to the public. The Department is specifically responsible for performing directed activities, problem solving, successfully prosecuting criminal offenders and developing partnerships with the citizenry.

Special Operations is responsible for maintaining policing expertise in such areas as Narcotics Enforcement, Juvenile and Youth Services, Victim Services, Property and Evidence, Photography, Crime Scene Investigation, Composite Drawing, and selected areas of Crime Prevention. Special Operations is responsible for providing the **DARE** and **GREAT Programs** within the Georgetown Independent School District, and holding a Police Fair during National Police Week in May each year.

WHAT WE ACCOMPLISHED IN 1996/97:

- Concentrated enforcement efforts on narcotic and substance abuse with a specialized team, which initiated approximately 25 narcotics cases, with an arrest rate of 25%. This team also conducted four covert operations, resulting in over 30 arrests, 7 vehicle seizures, and the government closing of a known "crack-house".
- Increased the quality of criminal investigations by upgrading evidence collection and analysis equipment.
- Improved services to victims of crime and disaster by purchasing supplies and equipment, and by training Victims Services Volunteers on issues such as cultural diversity, and counseling and referral techniques.
- Implemented a domestic violence follow-up program within the Victims Services Unit to personally follow through with victims of domestic violence.
- Conducted a Problem Oriented Policing project regarding a rash of residential burglaries, which resulted in 1 arrest, and cleared numerous Burglary of a Habitation investigations.
- Developed a strategy for combating truancy, involving the Georgetown Independent School District, as well as the juvenile court system.
- Created four additional Neighborhood Watch programs.

WHAT WE PLAN TO ACCOMPLISH IN 1997/98:

- Increase accountability and productivity in criminal investigations, by tracking investigative case loads and target completion dates, thereby achieving a higher clearance rate for reported offenses.
- Increase the number of Neighborhood Watch programs and organize Neighborhood Wellness, where appropriate.
- Develop a Youth Services Team in partnership with the Georgetown Independent School District, and the Williamson County Juvenile court system targeting undesirable youth behaviors, such as truancy and running away through intervention, treatment and enforcement, thereby reducing the rate of property crimes, assaults and domestic violence.
- Resolve identified substance abuse problems through follow-up investigations, surveillance techniques, intervention, treatment and narcotics enforcement efforts.

Did You Know?

The first ordinance of record was passed in early 1880 which prohibited the carrying of any deadly weapon except for peace officers, militiamen or civil officers.

PERFORMANCE MEASURES	ACTUAL FY 95/96	BUDGETED FY 96/97	ACTUAL FY 96/97	PROJECTED FY 97/98
1) Recidivism rate for runaway juveniles is less than 10%.	N/A	N/A	N/A	<10%
2) 80% of all illegal drug and alcohol problems that are identified and verified are successfully resolved.	N/A	N/A	N/A	80%
3) Overall index crime rate is less than 37 per 1,000.	40	N/A	33	37
4) 98% of all arrests pass the first legal review.	N/A	N/A	N/A	98%

1997/98 ADOPTED BUDGET AND 1998/99 PROJECTED BUDGET:

95/96 Actual	96/97 Budget	96/97 Projected Actual		97/98 Adopted	(% Change *)	98/99 Projected Base	(% Change **)
9/0	11/0	1110	# Employees	13.5/0		1410	
293.275	422,854	422,854	Personnel	545,386	(29.0%)	563,004	(3.2%)
42,814	107,995	107,993	Operations	134,187	(24.3%)	130,537	(-2.7%)
243 1	17,300	17,299	Capital	2,600	(-85.0%)	0	(-100 0%)
338,520	548,149	548,148		682,173	(24.5%)	693,541	(1.7%)

Employees: full *time* / part time

- Percent change of 97/98 Adopted from 96197 Projected Actual

** Percent change of 98/99 Projected Base from 37/98 Adopted

SIGNIFICANT CHANGES:

The addition of three new positions, Youth/Education Services Sergeant/Supervisor, G.R.E.A.T. Officer, and Youth/Education Staff Assistant, will create a Youth Services Team, that includes the present Youth Services Officer, Public Education Officer and Juvenile Detective. The team will focus on teaching crime, gang, and drug prevention to youths in the Georgetown Independent School District. The team will also provide intervention through community resources, and refer youth to treatment services when necessary. All of these functions will be performed in partnership with the Georgetown Independent School District, the Williamson County Juvenile Court system and the Georgetown Project.

WHAT WE DO:

The Department of Information Management oversees the automated systems and techniques which supply the information necessary to manage and improve the delivery of police services. It is comprised of three sections: 1) Communications, 2) Records and 3) Technical Services.

The Communications Section is responsible for answering E-911 calls, non-emergency lines, and addressing the needs of the walk-in public. This section dispatches for Police, Fire and Animal Services personnel on a 24-hour basis, and Community Owned Utilities and Utility Office after hours, holidays, and weekends. The Communications Section monitors weather conditions that may require an Emergency Operations Center Alert Phase or Activation. *The Records Section* ensures prompt, accurate, confidential records keeping for the public, officers, and other agencies, using a computerized records keeping system. *The Technical Services Section* maintains all information systems (computer, telephone, radio, E-911) to ensure reliable 24-hour operations. This Section is responsible for the continual upgrade of personal computers to improve office productivity and improve decision making.

WHAT WE ACCOMPLISHED IN 1996/97:

- Conducted 10 E-911 media programs for approximately 2,001 children and approximately 50 adults for the school system, special events and neighborhood meetings to help the citizens save time and lives in an emergency.
- Improved service delivery to citizens and employees by increasing *staffing* level with 2 more communications operators in the Communications Section.
- Purchased a Data Transmission Network (DTN) Weather Center to prepare Georgetown in responding to large scale natural and technological emergencies.
- Updated E-911 information on Automatic Number Identification/Automatic Location Identification for GTE Southwest and Southwestern Bell Telephone Companies.

WHAT WE PLAN TO ACCOMPLISH IN 1997/98:

- Improve service delivery to citizens and employees by employing a supervisor for the Communications Center.
- Write a records retention and destruction program, policy and procedure.
- Provide Activity Bulletins and Special Reports for the Police Services Division, media and the Public through the Records Section for Crime Analysis Statistics.

Install new E-911 system work stations.

- Operationalize Computer Aided Dispatch and police and fire records software that will enable Communications to dispatch the appropriate units to all types of emergencies in an expeditious and accurate manner. Also, this software will improve problem solving capacity through an automated records *system.*

Did You Know?

An ordinance was passed in 1910 setting the minimum age for drivers at 17 years.

In 1915 the City Council set a curfew of 9:00 pm for boys under the age of 18.

PERFORMANCE MEASURES	ACTUAL FY 95/96	PROJECTED FY 96/97	ACTUAL FY 96/97	PROJECTED FY 97/98
1) 95% of all cases forwarded to other agencies do not require follow-up requests.	N/A	N/A	N/A	95%
2) 95% of all officers and firefighters surveyed are satisfied with communications operations.	N/A	N/A	N/A	95%
3) 100% of all police and fire Priority 1 calls for service are dispatched within 40 seconds.	N/A	N/A	N/A	100%
4) 90% of all police and fire Priority 2 calls are dispatched within 2 minutes.	N/A	N/A	N/A	90%

1997/98 ADOPTED BUDGET AND 1998/99 PROJECTED BUDGET:

95/96 Actual	96/97 Budget	96/97 Projected Actual		97/98 Adopted (% Change *)		98/99 Projected Base (% Change **)	
15/0	17/0	17/0	# Employees	17.75/0		18/0	
403,161	453,073	453,073	Personnel	532,939	(17.6%)	541,471	(1.6%)
21,846	36,920	36,920	Operations	38,196	(3.5%)	37,696	(-1.3%)
7,350	1,585	1,585	Capital	0	(-100.0%)	0	(N/A)
432,357	491,578	491,578		571,135	(16.2%)	579,167	(1.4%)

Employees: full time / part time

- * Percent change of 97/98 Adopted from 96/97 Projected Actual
- ** Percent change of 98/99 Projected Base from 97/98 Adopted

SIGNIFICANT CHANGES:

The Communication Section of the Information Management Department is temporarily moved to the Patrol Services Department to better facilitate the implementation of a new Public Safety Software package. When the software package is on-line, the Communications Section will be moved back to the Information Management Department for management and supervision.

WHAT WE DO:

The Department of Patrol Services produces desired policing products and services to the public. The Department responds effectively and efficiently to emergencies and the public's initial requests for service, develops partnerships with the citizenry and works with Special Operations to resolve identified problems. In partnership with Special Operations, Patrol Services promotes public safety and crime prevention education with programs and Literature. The Department meets the needs of the public by providing patrol services 24 hours a day, 7 days a week. The command structure of the department is comprised of 1 Lieutenant, 3 Sergeants, 3 Corporals, and 19 patrol officers.

WHAT WE ACCOMPLISHED IN 1996/97:

- Served on the core team for the Public Safety Facility Space Needs Assessment
- Employed three new patrol officers, to implement the first phase of the 4th patrol district.
- Reestablished K-9 Program.

Assisted Community Owned Utilities and Fire Services during the January 1997 ice storm.

- Assisted and provided mutual aid in the search and rescue efforts during the Jarrell Tornado in May 1997.
- Purchased new technology to apprehend fleeing criminals safely without risk to officers or citizens.
- Officers participated in numerous programs to increase interaction with Georgetown's youth:
  - GISD Mentor Program
  - Project Graduation for GISD Seniors
  - Coached youth sports
  - Officers visited GISD schools as positive role models
  - Attended middle school dances in costume
  - Read to children at Georgetown Library
  - Held a pool party for fifth grade D.A.R.E Graduates

WHAT WE PLAN TO ACCOMPLISH IN 1997/98:

- Increase the number of active Neighborhood Watch Programs and establish Neighborhood Wellness Areas in each district.
- Increase the number of Problem-Oriented Policing projects specific to identified issues like traffic accidents.
- Reduce the level of narcotics in public schools through K-9 intervention.
- Increase interaction with Georgetown's youth by participating in sports and school functions.
- Provide greater efficiency and effectiveness by employing a Staff Sergeant to delineate line and staff functions.
- Research potential home security services to be provided through the city's Customer Choice & Control (CCC) System.

Did You Know?

In 1946147 the Police Department employed two officers and had only one Police car and no radios. The Police Department also had only one police badge, which had to be shared between the two officers.

PERFORMANCE MEASURES	ACTUAL FY 95/96	BUDGETED FY 96/97	ACTUAL FY 96/97	PROJECTED FY 97/98
1) 90% of all life-threatening (Priority 1) calls for service are responded to within 3 minutes.	N/A	N/A	N/A	90%
2) 90% of all emergency (Priority 2) calls for service are responded to within 5 minutes.	N/A	N/A	N/A	90%
3) 40% of the reporting areas (grids) are absent of crime and disorder.	N/A	N/A	N/A	40%
4) Overall property index crime rate is less than 35 per 1,000.	37	N/A	31	35

1997/98 ADOPTED BUDGET AND 1998/99 PROJECTED BUDGET:

95/96 Actual	96/97 Budget	96/97 Projected Actual		97/98 Adopted	(% Change *)	98/99 Projected Base	(% Change **)
24/0	26/0	26/0	# Employees	26.75/0		27/0	
810,449	908,533	908,533	Personnel	983,740	(8.3%)	993,529	(1.0%)
237,881	277,634	277,634	Operations	329,867	(18.8%)	329,867	(0.0%)
0	12,400	12,400	Capital	0	(-100.0%)	0	(N/A)
1,048,330	1,198,567	1,198,567		1,313,607	(9.6%)	1,323,396	(0.7%)

Employees: full time / part time

- * Percent change of 97/98 Adopted from 96/97 Projected Actual
- ** Percent change of 98/99 Projected Base from 97/98 Adopted

SIGNIFICANT CHANGES:

The Communications Section is temporarily supervised by Patrol to help facilitate the implementation of the new Public Safety Software. The addition of a Staff Sergeant position will allow more direct supervision and provide assistance in the resolution of programs and projects.

Professional Standards

WHAT WE DO:

The Department of Professional Standards assures quality police services by managing all related actions needed to create, staff, and maintain all the departments. The Department is responsible for personnel recruitment, selection and training; citizen complaints; internal affairs investigations; and service audits. The department also acts as the liaison to the Texas Commission on Law Enforcement Officers Standards and Education

---

WHAT WE ACCOMPLISHED IN 1996/97:

- Developed and implemented a Division awards and commendation process.
- Farmed a Critical Incident Debriefing Team for the Division to be used on scene and after duty hours.
- Developed a General Order for handling death in the police family.
- Met State (TCLEOSE) mandated training requirements for all sworn personnel.
- Coordinated 5,508 hours of training for Division personnel.
- Processed and hired nine (9) Police officers.
- Processed and hired seven (7) Communication Operators.
- Wrote or re-wrote 15 General Orders establishing policy, procedure and rules on various policing topics.

WHAT WE PLAN TO ACCOMPLISH IN 1997/98:

- Establish, train, and chair an Internal Affairs review board consisting of internal and external customers.
- Conduct Quality Review Processes that will measure effectiveness in meeting internal and external customer needs.
- Provide employees with the skills and knowledge to respond to issues of crime and disorder through targeted training in the areas of enforcement, prevention, intervention, and education while continuing to meet state mandated training.

Did You Know?

In 1946147 **Police officers were paid** $150 **per month and worked 12 hour shifts.**

PERFORMANCE MEASURES	ACTUAL FY 95/96	PROJECTED FY 96/97	ACTUAL FY 96/97	PROJECTED FY 97/98
1) 95% of all Internal Affairs investigations are completed and successfully reviewed with a final disposition within 40 days.	N/A	*NIA*	N/A	95%
2. 100% of *state* mandated training is completed in every *2 year cycle.*	N/A	N/A	N/A	100%
3. 95% of all Internal Affairs investigations are deemed fair and equitable.	N/A	N/A	N/A	95%
4. Personnel turn-over rate is less than 10% annually.	N/A	N/A	*46%*	*10%*

1997/98 ADOPTED BUDGET AND 1998199 PROJECTED BUDGET:

95/96 *Actual*	96/97 Budget	*96/97* Projected *Actual*		97/98 Adopted	(% Change *)	*98/99* Projected Base	(% Change **)
2/0	2/0	2/0	# Employees	2/0		2/0	
83,194	102,992	102,992	Personnel	84,625	(-17.8%)	84,625	(0.0%)
57,286	70,831	70,831	Operations	73,780	(4.2%)	69,097	(-6.3%)
658	0	0	Capital	0	(N/A)	0	(N/A)
141,138	173,823	173,823		158,405	(-8.9%)	153,722	(-3.0%)

Employees: full time I part time

• Percent change of *97/98* Adopted from *96/97* Projected *Actual*

** Percent change of *98/99* Projected Base from *97/98* Adopted

Fund	Dept.	Description	Included	Not Included
		Police Services		
Organization & Administration				
100	861	COPS Universal Hiring Program		0
100		5 Police Officers (Salaries)		182,950
100		*Grant Revenue*		(133,250)
100		5 Vehicles		177,100
100		Supplies, Training & Equipment for 5		37,000
100	861	Capital Area Planning Council Grant		0
100		Youth Liaison Officer		36,590
100		Overtime		1,743
100		*Grant Revenue*		(37,937)
100		Supplies, training, computer & furniture		8,730
100		Vehicle		3,500
100	861	Capital Area Planning Council, Victims of Crime Act Grant		0
100		Victims Services Coordinator		43,681
100		Overtime		1,162
100		*Grant Revenue*		(36,638)
100		Supplies, training & equipment		12,796
280		BJA, Local Law Enforcement Block Grant		0
280		*Grant Revenue*	(10,617)	0
280		Equipment	11,679	0
280		COPS MORE '96		0
280		*Grant Revenue*	(4,125)	0
280		Jail Booking Computer	5,125	0
280		Crime Scene/Accident Scene Software	375	0
		Total Organization & Administration	***2,437***	**297,427**
Special Operations				
100	863	Youth Services/Education Team		0
100		1 Sergeant/Civilian Equiv (10/1/97 hire date)	54,141	0
100		1 GREAT Officers - (1/1/98 hire date)	28,233	46,808
100		Overtime (3 employees)		2,615
100		Office Supplies	250	250
100		Uniform Allowance	900	900
100		Lease space plus utilities		21,600
560	928	Computers for 3	5,000	2,500
100		Furniture (x3)	1,400	700
520	439	3 Vehicles	7,000	69,350
100		Administrative Assistant for GREAT Team (1/1/98 hire date)	24,621	365
100		Desk	1,200	0
560	928	Computer	2,500	0
100	863	Investigations Sergeant (inc salary & ben)		37,938
100		Overtime		1,743
100		Computer, furniture		3,200
100		Vehicle		25,450
100	863	Tektronics color laser printer		4,500
100	863	Rental Car Contract (increase)	2,500	0
100	863	Overtime (base budget increase)		3,487
100	863	Polygraph machine & training		9,500
		Total Special Operations	***127,745***	**230,906**

Note: Costs for personnel include all benefits, supplies, training and capital to place the position in service.

MEANS - PROGRAMS, PROJECTS & EQUIPMENT (CONT.)

Fund	Dept.	Description	Included	Not Included
Information Management				
100	865	Records Management Technology (Public Safety Software)	320,000	310,693
100	865	Desktop PC, Microsoft Project, Mobile Notebook User		8,725
100	865	The Communicator - personal computer-based notification sysstem		29,750
100	865	Personnel Increase		0
100		Dispatchers (5 @ $22,155)		143,754
100		Supervisor - (1/1/98 hire date)	25,475	8,907
100		Overtime		6,120
100		Receptionist		29,965
100		Supplies & Training	1,000	8,500
100		Radio Consoles		30,000
560	928	Computers (4 @ $2500)	2,500	7,500
100		Modem (4 @ $130)		520
100		Monitors (4)		2,400
560	928	Cannon Bubblejet Printer	450	0
225		Desk (2) front lobby, communication center	3,000	0
100	865	Public Safety Software Conversion		20,000
100	865	Records Specialist		25,200
100		Overtime		814
100		Supplies & Training		900
100		Increased revenue from Municipal Court		(6,100)
		Total Information Management	***352.425***	***627,648***
Patrol Services				
100	864	Honor Guard/Color Guard - Rifles & Uniforms		9,500
100	864	K-9 & Handler		0
100		Police Officer		37,524
100		Equipment and training		3,750
100		Vehicle		37,000
100		Handheld radios		2,500
100		K-9 & Training		9,000
100	864	Staff a Fourth Patrol District		0
100		Police Officers (3)		112,571
100		Overtime		2,092
100		Equipment and training		3,750
100		Vehicles (3)		106,260
100		Handheld Radios (3)		7,500
100	864	Firing Range		20,000
100	864	Restructure of Patrol Services		0
100		Additional Personnel (3)	28,315	84,256
100		Overtime	524	1,568
225		Equipment and training	1,250	2,500
520	439	Vehicles (3)	3.500	102,760
520	405	Handheld radios (3)	2.500	5,000
		Total Patrol Services	***36.089***	***547,531***

Note: Costs for personnel include all benefits, supplies, training and capital to place the position in service.

Fund	Dept.	Description	Included	Not Included
Professional Standards				
100	862	Training Officer		0
100		Police Sergeant		42,518
100		Training		2,000
100		Uniforms		1,000
100		Small tools, suppies		2,500
100		Radio		2,500
100		Vehicle		30,000
100		Computer		3,000
100		Furniture		1,200
225	862	Division Awards & Commendations		0
225		Awards Banquet	3,000	0
225		Medals & commendations	1,000	0
225		Supplies	500	0
100	862	Recruitment Brochure - printing costs		1,500
100	862	Training Facility		0
100		Const costs to renovate out bldg on FM 971		5,000
100		Small tools, supplies		850
100		Furniture		4,000
100	862	Additional Funds for Training 862-5306		0
100		Internt'l Assoc of Chiefs of Police Conf		2,700
100		Problem Oriented Policing Conf		2,500
100		Executive Devel Workshop, N. Carolina	3,600	0
100		Adv Facial Reconstr Course, Arizona		1,500
100		Assoc of Public Safety Comm Conf		2,000
100		Indoor Shooting Range		1,520
		Total Professional Standards	*8,100*	*106,288*
Total Police Services			*526,796*	*1,809,800*
		Total	*5,282,169*	*10,846,576*

Note: Costs for personnel include all benefits, supplies, training and capital to place the position in service.

Appendix N

1998199 OPERATING PLAN PREPARATION SCHEDULE

CITY OF GEORGETOWN

1998/99 ANNUAL OPERATING PLAN PREPARATION SCHEDULE

PHASE I - CITIZEN INVOLVEMENT

January 31	Mid Year Council Retreat
February 9	Board & Commission Chair meeting. Discuss plan for feedback on 1998199 AOP. Committees to be included in focus groups are: Parks & Recreation, Planning & Zoning, Library, CVB, Airport, HPC, BSC, Police Citizens Advisory Committee (if still meeting), and Housing Authority.
March	City Board & Commissions to provide comments for 1998/99 Annual Operating Plan *These committees will serve as focus groups on all aspect of the Century Plan, not just area of interest. Have a facilitator provide a quick overview of Century Plan, etc. Then ask for direction on community priorities. Ask in terms of values instead of task and projects. In 1999, we will add a citizen survey to this feedback. This also helps the education process.

PHASE II - STRATEGIC PLANNING

March - April	Strategic Planning Sessions - Management Team	
Every Thursday from 1 - 5 pm	Sessions	*City Manager priority issues outlined and discussed *SWOT analysis *One to five year assumptions drafted *Measures discussed and agreed upon. *City-wide and divisional five-year plans presented and discussed *Five year financial condition presented. (Planning discussions among and within divisions should occur between sessions)
	Purpose:	Come up with a 5 year general strategic plan the links upward to the Century Plan and across divisions. This general plan will provide the framework for division level planning. All of the directors must be clear on this before taking the information down to department heads.

March - April	F&A and IR staff to meet with divisions on ISF needs for 98/99. COU to begin five year CIP plan update.
April 1	Mid-Year Review packages go out to divisions. Packages will consist of program and activity indicator updates. Expenditure issues will be handled by Accounting on an exception basis.
April 15	Mid-Year packages due to Finance.
April 16	CIP review - COU and Directors (part of Thursday session)
April 23, 12 - 5 pm	1998/99 Staff AOP Workshop - 5 hours, off-site. Review assumptions, issues and general plans from Directors' session. Review screening criteria. Set up cross-divisional problem solving teams by issue.
May 2	Council Elections.
May 12	Regular Council Meeting. Mid Year Review - 1997198 budget year.
May 14 - 16	Council Retreat. (All Directors to attend 5/15, 5 - 10 pm session at MCC in Austin.)
May 18	City Manager to review Council Retreat results with Management Team and reconcile any differences in priorities.

PHASE III - PROBLEM SOLVING

May 28 am & 29 am	Budget training sessions - ½ day (mandatory), Council Chambers. City Manager to review Council Priorities. Training on all numbers and narratives. Annual Operating Plan packages distributed at sessions. All budget preparers including Directors, department heads and AA's should attend.
June 16	Base budgets due to Finance. Program/project requests, Ends & Means and Narratives due to Finance.
June 17	Finance & accounting redline session.
June 23 - July 9	Work session with the City Manager. NEW STRUCTURE! Sessions will be done by issue or policy area, not by division. Many staff may attend more than one session. Base budget reviews will done by appointment on an as needed basis.

June 24	Texas Quality Awards presentation.

PHASE IV - FINALIZE AND BALANCE PROPOSED AOP

July 14 - 16	BUDGET BALANCING (All Directors to attend, department heads on call) Sessions will be conducted in the large conference room and training room.
July 17 - 22	Final allocation run. Update schedules
July 27	Tax rolls final.
July 28	Proposed budget **finalized** with City Manager.

PHASE V - DOCUMENT PREPARATION

July 28	**Final narratives/department** pages due to Finance.
July 29	Final update of current year CIP (COU & Finance)
July 29 - Aug 7	Finance to ***finalize*** Council draft and send to printer.

PHASE VI - AOP PRESENTATION

August 11	Proposed Budget package to Council. Draft of final document with Report to Council from City Manager.
August 24	Council Budget Workshop, **5:30** p.m. City Manager Overview, Divisional Reviews.
August 25	Regular Council Meeting. Public Hearing on Proposed Budget.
August 26	Council Budget Workshop, **cont., 5:30** p.m., Divisional Reviews.
August 27	Council Budget Workshop, **cont., 5:30** p.m. Budget Wrap-up As Needed.
Sept. 8	Regular Council Meeting. (1) Adopt Proposed Budget (2) Adopt Proposed **Tax** Rate (3) and all other budget related ordinances. - 1st Reading.
Sept. 22	Regular Council Meeting. 2nd Reading, Budget Ordinances.
October 1	New budget year.

Appendix O

GEORGETOWN ELECTRIC UTILITY SURVEY FOR 1998

Georgetown Electric Utility Survey 1998

Hello, my name is ______. The City of Georgetown is conducting a survey of its citizens and I would like to speak with anyone'age 18 or older. TO RESPONDENT: The city is conducting a survey to determine ~~how~~ citizens' perceptions of electric utility services. The questions I want to ask you will take only a few minutes and your answers will be useful to the city staff and council as they consider decisions about utility services. All of your answers will be kept confidential.

1. First, how long have you lived in Georgetown? (DO NOT READ **RESPONSES WHEN ALL IN *CAPS)***

1. LESS THAN 3 MONTHS (TERMINATE INTERVIEW)
2. NO LONGER LIVE IN GEORGETOWN (TERMINATE INTERVIEW)
3. 3 TO 12 MONTHS
4. 1-5 YEARS
5. 6-10 YEARS
6. MORE THAN 10 YEARS
9. NO RESPONSE/DONT KNOW (NR/DK)

Customer satisfaction

Georgetown utility customers

2. First,I would like ~~you~~ to **ask** you about the price of electricity and the reliability of electric service. Are you very satisfied, satisfied neither satisfied or dissatisfied, dissatisfied or very dissatisfied with the price of electricity provided by Georgetown? Next, are you very satisfied, satisfied, neither satisfied or dissatisfied, dissatisfied or very dissatisfied with the reliability of the electric service provided by Georgetown's Community Owned Utilities?

Service	Very Satisfied	Satisfied	**Neutral**	Dissatisfied	Very dissatisfied	NR/DK
Cost	1	2	3	4	5	**9**
Reliability	1	**2**	**3**	4	5	9

* UTILITY OFFICE or Just City of GTWN

3. Have you contacted ~~the~~ Georgetown's ~~Community Owned Utilities~~ about a problem, request for service or information in the past 12 months?

1. YES (**ASK** 3.4) 2. *NO* (SKIP **TO** *6)* 9. NR/DK (SKIP TO 6)

* Community Owned Utilities = Public Works

3A. When you contacted the utility, please tell me if you were very satisfied. satisfied, neither satisfied or dissatisfied, dissatisfied or very dissatisfied with the following:

Service	Very Satisfied	Satisfied	Neutral	Dissatisfied	Very dissatisfied	NR/DK
Tine to resolve problem or to respond		2	3	4	5	9
Knowledge of person contacted						
Courteousness of person contacted	1	2	3	4	5	9

PEC **and TU utility customers**

4. First I would like you to rate the price of electricity and the reliability of electric service. Are you very satisfied, satisfied, neither satisfied or dissatisfied, dissatisfied or **very** dissatisfied with the cost of electricity provided? **Next,** are you very satisfied, satisfied, neither satisfied or dissatisfied, dissatisfied or very dissatisfied with the reliability of the electric service provided?

Service	Very satisfied	**Satisfied**	Neutral	Dissatisfied	Very dissatisfied	NR/DK
Cost	1	2	3	4	**5**	9
Reliability	1	2	3	4	5	9

5. Have you contacted ~~the~~ your utility service provider about a problem, request for service or information in he past 12 months?

1. YES (ASK 5A)　　2. NO (SKIP TO 6)　　9. NR/DK (SKIP TO

5A. When you contacted the utility, please tell me if you *were* very satisfied, satisfied, neither satisfied or dissatisfied, dissatisfied or very dissatisfied with the following:

Service	Very satisfied	**Satisfied**	Neutral	Dissatisfied	Very dissatisfied	NR/DK
Time to resolve problem or to respond	1	**2**	3	4	5	9
Knowledge of person contacted	1	2	3	4	5	**9**
Courteousness of person contacted	1	**2**	3	4	5	9

Image

6. Now I would like to you rate your utility provider on several factors. Using a scale of 1 to 7 where 1 is very positive and 7 is very negative how would you rate:

Factor	1	2	3	4	5	6	7	NR/DK
Utility is concerned about the community	1	2	3	4	5	6	7	9
Utility contributes to the community	1	2	3	4	5	6	7	9
Utility is concerned about the environment	1	2	3	4	5	6	7	9
Utility is easy to do business with	1	2	3	4	5	6	7	9
Utility is a good resource for questions about energy	1	2	3	4	5	6	7	9

7. Are you aware that the Georgetown's Community Owned Utilities is owned and operated by the City of Georgetown?

1. Yes, aware 2. No, not aware 9. NR/DK

8. Are you strongly supportive, supportive, neutral, unsupportive, or strongly unsupportive of the city owning the utility?

1. Strong support 2. Support 3. Neutral

4. Unsupportive 4. Strongly unsupportive 9. NR/DK

9. Which is more important to you:.

1. A utility that is owned by the City of Georgetown
4. A Utility that is Locally Operated
2. A utility that is privately owned ~~but operated locally~~
3. Or does it not matter to you who owns the utility
9. NR/DK

10. Are you aware that Georgetown's ELECTRIC ~~Community Owned~~ Utilities contributes revenues to the City's general fund, that then may be used to support other city programs and services?

1. Yes, aware 2. No, not aware 9. NR/DK

11. Is the price you pay for electricity in Georgetown above, about the same, or below what people in other Texas cities pay for electricity?

1. Above   2. About the same   3. Below   9. NR/DK

12. Is the best utility value provided by Georgetown's Community Owned Utilities, the Perdernales Electric Cooperative, or Texas Utilities?

1. Georgetown's Community Owned Utilities   2. Perdernales Electric Cooperative

3. *Texas* Utilities   9. NR/DK

Communications

13. Does your utility keep you very well informed, informed, not well informed, or not at all informed about:

Factor	Very informed	Informed	Not informed	Not **at all** informed	NR/DK
Status of outage or service interruption	1	2	3	4	9
Available programs and services	1	2	3	4	9
Rates	1	2	3	4	9

14. Would you be interested in receiving information from your utility on:

Area	Yes	No	NR/DK
Programs and services	1	**2**	9
Deregulation issues	1	**2**	9
Rate issues	1	2	**9**
Comparison of rates	1	2	9

IF YES TO ANY OF THE ABOVE ASK:

14A. Are the following methods of providing information to you very useful. useful. or not useful?

Method	Very useful	Useful	Not useful	NR/DK
Internet	1	2	3	9
Flyers in utility bills	1	2	3	9
Direct mail	1	2	3	9
Newsletter	1	2	3	9
Information in city service centers	1	2	3	9
Newspaper (Local)	1	2	3	9

Newspaper (Austin)

Deregulation

15. Are you aware that the electric industry is moving toward deregulation?

1. Yes, aware   2. No, not aware   9. NR/DK

16. Do you think that deregulation of the electric industry will lower the price, have no impact on the price, or increase the price of electricity?

1. Lower   2. No impact   3. Increase   9. NR/DK

17. Do you think that deregulation of the electric industry will lower the quality, have no impact on the quality, or increase the quality of electric service?

1. Lower   2. No impact   3. Increase   9. NR/DK

18. Do you think that deregulation of the electric industry will reduce your service options, have no impact on your service options, or increase your service options?

1. Reduce   2. No impact   3. Increase   9. NR/DK

19. Would you be very likely, likely, unlikely, or very unlikely to switch to a new electric service provider if the price of electric service stayed the same?

1. Very likely   2. Likely

3. Unlikely   4. Very unlikely   9. NR/DK

20. Would you be very likely, likely, unlikely, or very unlikely to switch to a **new** electric service provider if the price of electric service decreased by 5 percent?

1. Very likely
2. Likely
3. Unlikely
4. Very unlikely
9. NR/DK

21. Would you be very likely, likely, unlikely, or very unlikely to switch to a new electric service provider if the price of electric service decreased by 10 percent?

1. Very likely
2. Likely
3. Unlikely
4. Very unlikely
9. NR/DK

Products and services

22. Please tell me if you are very interested, interested, not very interested, or not at all interested in any of the following new utility services.

(just examples - [illegible])
(program that we decide on

Service	Very interested	Interested	Not interested	NR/DK
Surge protection	1	2	3	9
Home security lighting	1	2	3	9
Energy audits	1	2	3	9
Appliance leasing and warranty	1	2	3	9
Cable TV	1	2	3	9
Internet access	1	2	3	9
Outage communication	1	2	3	9
Guaranteed service time		2	3	9
Energy hotline	1	2	3	9

↑

23. Please tell **me** if you are very **interested,** interested, not very interested, or not at all interested **in** any of ***the*** following price options.

Option	Very interested	Interested	Not interested	NR/DK
Time of use pricing	1	2	3	9
Real-time pricing	1	2	3	**9**
Green pricing	1	2	3	9

↑

Replace with the specific programs we have chosen after filtering thru criteria

Large % of customers probably won't know what the options in Question #23 are

24. Please tell me if you are very interested, interested, not very interested, or not at all interested in any of the following billing options.

Option	Very interested	Interested	Not interested	NR/DK
Prepayment discount	1	2	3	9
Credit card payment	1	2	3	9
Electronic debit from che account	1	2	3	9
Guaranteed fixed bill	1	2	3	9

Electronic debit from credit card

25. Do you have a personal computer at home?

1. Yes (ASK 25A) **2.** No (ASK 25B) 9. NR/DK

25A. Do you have Internet access?

1. Yes 2. No 9. NR/DK

25B. Do you plan to purchase a personal computer for home use in the **next** 12 months?

1. Yes **2.** No 9. NR/DK

Now for the last few questions, I would like to **ask** you several things about yourself so that we can develop a general **profile** of our sample. First of all, do you own your home or do you rent?

26. 1. Own 2. Rent 9. NR/DK

27. Into which of the following age groups do you fail?
1. **18-25** 3. **36-45** 5.61-70
2. 26-35 **4.** 46-60 **6.71** and over 9. NR/DK

28. How many years of education **have** you completed?

1. LESS THAN HIGH SCHOOL 4.16, **COLLEGE GRAD**
2. 12 - HIGH SCHOOL GRAD 5. 17 OR MORE, GRAD SCHOOL/GRAD DEGREE
3. 17-15, SOME COLLEGE 9. NR/DK

29. I am going to read several different income categories. Without telling me your exact income, into which category did your total household income for the past year fall?

1. **Less** than $15,000   3. 25.001-40.000   5. Over 60.000

2. 15,000-25,000   4. 40,001-60,000   9. NR/DK

30. Do you have my children age 18 or younger living in your household?
1. YES   2. NO   9. NR/DK

31. To what racial or ethnic group do you belong?
1. WHITE 2. BLACK 3. HISPANIC 4. *ASIAN* 9. NR/DK

Thank you very much for your time and cooperation. We believe that this project will help city officials provide better services to all citizens.

INTERVIEWER: RECORD GENDER OF RESPONDENT 1. FEMALE   2. MALE

9. NR/DK

Additions:

Would like to know who commutes (Austin/Round Rock/Temple/etc) and who works in GTWN.

Another question or 2 rating loyalty to city

Appendix P

LIST OF INTERNAL TRAINING OFFERED BY THE CITY OF GEORGETOWN

FAX TRANSMISSION

CITY OF GEORGETOWN
616 MAIN STREET
GEORGETOWN, TEXAS 78626
FAX: (512) 930-2502

To:	Angela Gray		**Date:**	3/12/98
Fax #:	2541933-5822		**Pages:**	1 including this cover sheet.
From:	**Employee & Organizational** Services (See below for specific staff member)			
	Karen Brown, Safety Spec.	*930-2538*		**Adriana Sigala, H.R. Director** 930-2504
	Teresa Hersh, Director of EOS	*930-3690*		**Cari Speegle, H.R. Generalist** 930-3694
	Pattie Justice, Payroll Admin.	*930-3680*		**Ben Stafford,** *Safety* **Manager** 930-7233
XXXXX	**Stephanie Krienke, Admin. Asst**	930-3691		
Subject:	Requesting list of City of Georgetown Training.			

COMMENTS:

Mandatory Training (* indicates the **training** is mandatory for selected employees)

- Valuing Employees Training (Sexual **Harassment/Diversity)**
- New Employee **Orientation**
- *Defensive Driving
- *Drug & Alcohol Testing and **Training**
- ***Coaching/Performance** Evaluation Training
- 'Leadership Development (Uses Covey and other related materials to teach principles of **Personal** Leadership **(i.e.** personal accountability)
- Teamwork Training (General City-wide and specific to **Self** Directed Work Teams)
- Personnel Policies & **Procedures** Training
- Time Quest Training **(Time Management/Day** Planner)
- Communications Style **Training** through Jean Ford Knight
- Customer Service **Training**
- Effective Writing Courses
- **Seven** Habits for Highly Effective People **and** Principle **Centered** Leadership (internally certified facilitator)
- Effective Writing Courses
- **Six Hats/Lateral** Thinking **(Creativity/problem solving/process** evaluation)

Brown Bag **Lunches** on **Wellness** (i.e. stress, weight **management,** smoking cession)

- Bloodborne Pathogens
- Office **Safety**
- Heat Stress
- Safe Lifting

Appendix Q

1997 TEXAS QUALITY AWARD

APPLICATION GUIDELINES

TEXAS
QUALITY
AWARD

1997
Texas Quality Award

Award Criteria
Application Guidelines
Application Forms & Instructions

Award Criteria Purposes

The Texas Quality Award criteria are the **basis** for making awards and for giving feedback to applicants. In addition, the criteria have three important roles in strengthening the competitiveness of organizations in Texas:

to help improve performance practices and capabilities;

to facilitate communication and sharing of best practices information among and within organizations of all types based upon a common understanding of key performance requirements; and

to serve as a working tool for managing performance, planning, training, and assessment.

Award **Criteria Goals**

The criteria are designed to help organizations enhance their competitiveness through focus on dual, results-oriented goals:

- delivery of ever-improving value to customers, resulting in marketplace success; and
- improvement of overall operational performance and capabilities.

Core Values and Concepts

The Award Criteria are built upon a set of core values and concepts. These values and concepts are the foundation for integrating customer and organization performance requirements.

These core values and concepts are:

Customer-Driven **Quality**

Quality is judged by customers'. All product and service characteristics that contribute value to customers and lead to customer satisfaction and preference must be a key focus of an organization's management system. Value, satisfaction, and preference may be influenced by many factors throughout the customer's overall purchase, ownership, and service experiences. These factors include the organization's relationship with customers that helps build trust, confidence, and loyalty. This concept of quality includes not only the product and service characteristics that meet basic customer requirements, but it also includes those characteristics that enhance them and differentiate them from competing offerings. Such enhancement and differentiation may be based upon new offerings, combinations of product and service offerings, rapid response, or special relationships.

Customer-driven quality is thus a strategic concept. It is directed toward customer retention and market share gain. It demands constant sensitivity to emerging customer and market requirements, and measurement of the factors that drive customer satisfaction and retention. It also demands awareness of developments in technology and of competitors' offerings, and rapid, flexible response to customer and market requirements.

Success requires more than defect and error reduction, merely meeting specifications, and reducing complaints. Nevertheless, defect and error reduction and elimination of causes of dissatisfaction contribute significantly to the customer's view of quality and are thus also important parts of customer-driven quality. In addition, the organization's success in recovering from defects and errors ("making things right for the customer") is crucial to building customer relationships and to customer retention.

Leadership

An organization's senior leaders need to set directions and create a customer orientation, clear and visible values. and high expectations. Reinforcement of the values and expectations requires personal commitment and involvement. The leaders' basic values and commitment need to include areas of public responsibility and corporate citizenship. The leaders need to take part in the creation of strategies, systems, and methods for achieving excellence and building capabilities. The systems and methods need to guide all activities and decisions of the organization. The senior leaders need to commit to the development of the entire work force and should encourage participation and creativity by all employees. Through their personal involvement in activities, such as planning, communications, review of organization performance, and recognition of employees' achievements, the senior leaders serve as role models,

---

• **The word customer is used in a generic sense, to represent the individual or entities outside an organization that use its products. programs, or services. Words relating to education, government, or non-profit organizations could include client or constituent. Depending on the nature of the organization, the words *can* be used interchangeably throughout this document.**

reinforcing the values and encouraging leadership and initiative in all levels of management.

Continuous Improvement and Learning

Achieving the highest levels of performance requires a well-executed approach to continuous improvement. The term "continuous improvement" refers to both incremental and "breakthrough" improvement The approach to improvement needs to be "embedded" in the way the organization functions. Embedded means: (1) improvement is part of the daily work of all work units; (2) improvement processes seek to eliminate problems at their source; and (3) improvement is driven by opportunities to do better, as well as by problems that must be corrected. Opportunities for improvement include: employee ideas; R & D; customer input; and benchmarking or other comparative performance information.

Improvements may be of several types: (1) enhancing value to customers through new and improved products and services; (2) reducing errors, defects, and waste; (3) improving responsiveness and cycle time performance; (4) improving productivity and effective use of all resources; and (5) improving the organization's performance and leadership position in fulfilling its public responsibilities and serving as a role model in corporate citizenship. Thus improvement is driven not only by the objective to provide better products and services, but also by the need to be responsive and efficient--both conferring additional marketplace advantages. To meet these objectives, continuous improvement must contain cycles of planning, execution, and evaluation. This requires a basis — preferably a quantitative basis — for assessing progress and for deriving information for future cycles of improvement. Such information should provide direct links between performance goals and internal operations.

Employee Participation and Development

An organization's success in improving performance depends increasingly on the skills and motivation of its work force. Employee success depends increasingly on having meaningful opportunities to learn and to practice new skills. Organizations need to invest in the development of the work force through ongoing education, training, and opportunities for continuing growth. Such opportunities might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. Structured on-the-job training offers a cost effective way to train and to better link training to work processes. Work force education and training programs may need to utilize advanced technologies, such as electronic support systems and "information highways." Increasingly, training, development, and work organizations need to be tailored to a more diverse work force and to more flexible, high performance work practices.

Major challenges in the area of work force development include: (1) integration of human resource management — selection, performance, recognition, training, and career advancement; and (2) aligning human resource management with business plans and strategic change processes. Addressing these challenges requires acquisition and use of employee-related data on skills, satisfaction, motivation, safety, and well-being. Such data need to be tied to indicators of organization or unit performance, such as customer satisfaction, customer retention, and productivity. Through this approach, human resource management may be better integrated and aligned with business direction, using continuous improvement processes to refine integration and alignment.

Fast Response

Success in competitive markets increasingly demands ever-shorter cycles for new or improved product and service introduction. Also, faster and more flexible response to customers is now a more critical requirement. Major improvement in response time often requires simplification of work organizations and work processes. To accomplish such improvement, the time performance of work processes should be among the key process measures. There are other important benefits derived from this focus: response time improvements often drive simultaneous improvements in organization, quality, and productivity. Hence, it is beneficial to consider response time, quality, and productivity objectives together.

Design Quality and Prevention

All organizations should place strong emphasis on design quality — problem and waste prevention achieved through building quality into products and services and into production and delivery processes. In general, costs of preventing problems at the design stage are much lower than costs of correcting problems which occur "downstream." Design quality includes the creation of fault-tolerant (robust) or failure-resistant processes and products.

A major issue in competition is the design-to-introduction ("product generation") cycle time. Meeting the demands of rapidly changing markets requires that organizations carry out stage-to-stage coordination and integration ("concurrent engineering") of functions and activities from basic research to commercialization.

From the point of view of public responsibility, the design stage involves decisions regarding resource use and manufacturing processes. Such decisions affect process waste streams and the composition of municipal and industrial wastes. The growing demands for a cleaner environment mean that organizations need to develop design strategies that include environmental factors.

Consistent with the theme of design quality and prevention, continuous improvement needs to emphasize interventions "upstream" — at early stages in processes. This approach yields the maximum overall benefits of improvements and corrections. Such upstream intervention also needs to take into account the organization's suppliers.

Long-Range View of the Future

Pursuit of market leadership requires a strong future orientation and a willingness to make long-term commitments to all stakeholders — customers, employees, suppliers, stockholders, the public, and the community. Planning needs to anticipate many types of changes, including those that may affect customers' expectations of products and services, technological developments, changing customer segments, evolving regulatory requirements, community/societal expectations, and thrusts by competitors. Plans, strategies, and resource allocations need to reflect these commitments and changes. A major part of the long-term commitment is developing employees and suppliers, fulfilling public responsibilities, and serving as a citizenship role model.

Management by Fact

A modem management system needs to be built upon a framework of measurement, information, data and analysis. Measurements must derive from the Organization's strategy and encompass all key processes and the outputs and results of those processes. Facts and data needed for performance improvement and assessment are of many types, including: customer, product and service performance, operations, market, competitive comparisons, supplier, employee-related, cost and financial. Analysis refers to extracting larger meaning from data to support evaluation and decision making at various levels within the organization. Such analysis may entail using data to reveal information — such as trends, projections, and cause and effect — that might not be evident without analysis. Facts, data, and analysis support a variety of purposes, such as planning, reviewing performance, improving operations, and comparing performance with competitors' or with "best practices" benchmarks.

A major consideration in the use of data and analysis to improve performance involves the creation and use of performance measures or indicators. Performance measures or indicators are measurable characteristics of products, services, processes, and operations the organization uses to track and improve performance. ***The measures or indicators should be selected to best represent the factors that lead to improved customer, operational, and financial performance. A system of measures or indicators tied to customer and/or organization performance requirements represents a clear and objective basis for aligning all activities with the organization's goals.*** Through the analysis of data from the tracking processes, the measures or indicators themselves may be evaluated and changed. For example, measures selected to track product and service quality may be judged by how well improvement in these measures correlates with improvement in customer satisfaction and customer retention.

Partnership Development

Organizations should seek to build internal and external partnerships to better accomplish their overall goals.

Internal partnerships might include those that promote labor-management cooperation, such as agreements with unions. Agreements might entail employee development, cross-training, or new work organizations, such as high performance work teams. Internal partnerships might also involve creating network relationships among units to improve flexibility and responsiveness.

External partnerships may be with customers, suppliers, and education organizations for a variety of purposes, including education and training. An increasingly important kind of external partnership is the strategic partnership or alliance. Such partnerships might offer an entry into new markets or a basis for new products or services. A partnership might also permit the blending of an organization's core competencies or leadership capabilities with complementary strengths and capabilities of partners, thereby enhancing overall capability, including speed and flexibility.

Partnerships should seek to develop longer-term objectives, thereby creating a basis for mutual investments. Partners should address the key requirements for success of the partnership, means of regular communication, approaches to evaluating progress, and means for adapting to changing conditions. In some cases, joint education and training initiatives could offer a cost-effective means to help ensure the success of an alliance.

Public Responsibility and Citizenship

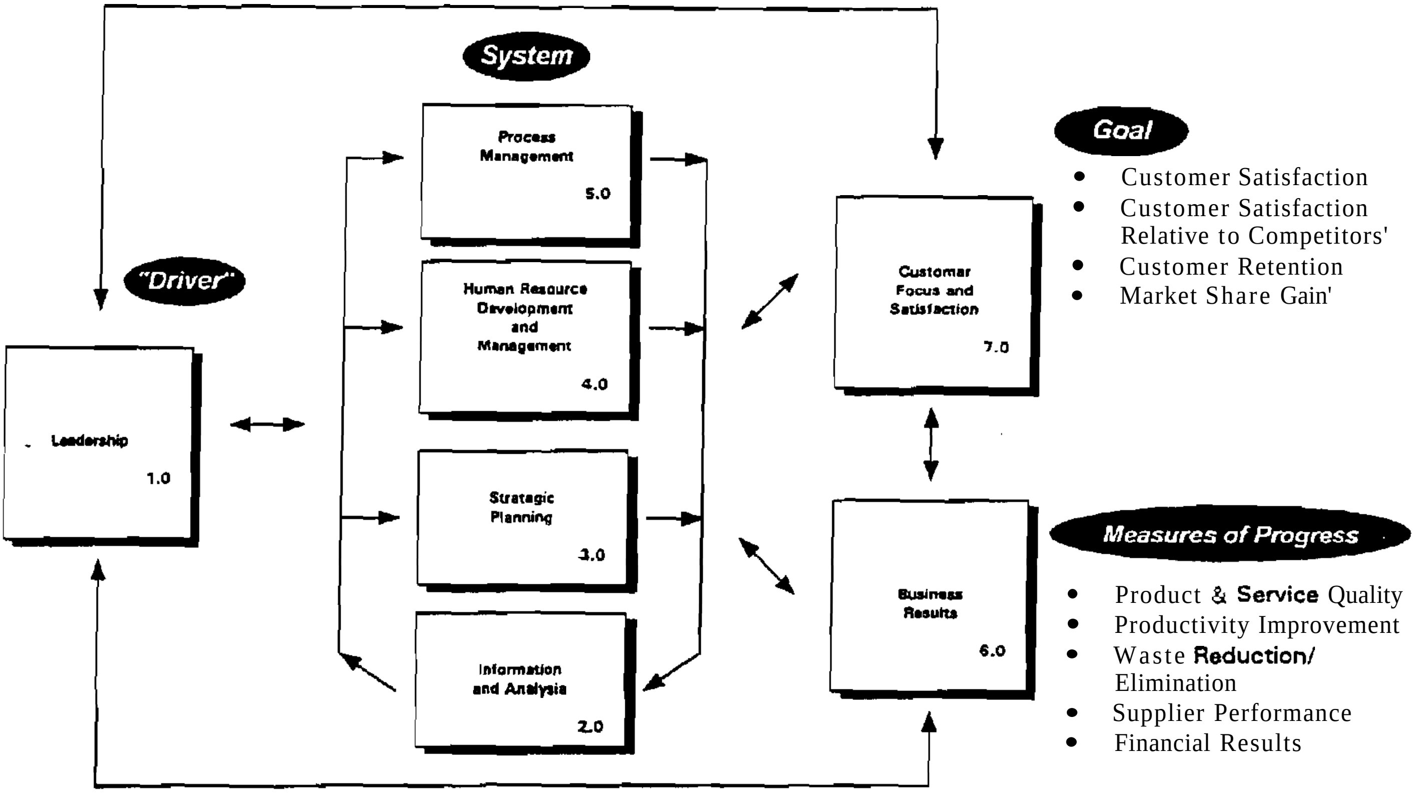
An organization's management should stress responsibility and citizenship. Public responsibility refers to basic expectations of the organization — business ethics and protection of public health, safety, and the environment. Health, safety and environmental considerations need to take into account the organization's operations as well as the life cycles of products and services. Organizations need to address factors such as resource conservation and waste reduction at their source. Planning related to public health, safety, and the environment should anticipate adverse impacts that may arise in facilities management, production, distribution, transportation, use and disposal of products. Plans should seek to prevent problems, to provide a forthright response if problems occur, and to make available information needed to maintain public awareness, safety, and confidence. Inclusion of public responsibility areas within a performance management system means meeting all local, state, and federal laws and regulatory requirements. It also means treating these and related requirements as areas for continuous improvement "beyond mere compliance." This requires that appropriate measures of progress be created and used in managing performance.

Citizenship refers to leadership and support — within reasonable limits of resources — of publicly important purposes, including the above-mentioned areas of responsibility. Such purposes might include education improvement, improving health care value, environmental excellence, resource conservation, community services, improving industry and business practices, and sharing of non-proprietary quality-related information. Citizen leadership entails influencing other organizations, private and public, to partner for these purposes. For example, individual organizations could lead efforts to help define the obligations of their industry to its communities.

Results Orientation

An organization's performance system needs to focus on results. Results ought to be guided by and balanced by the interests of all stakeholders — customers, employees, stockholders, suppliers and partners, the public, and the community. To meet the possibly conflicting and changing aims that balance implies, organization strategy needs to explicitly address all stakeholder requirements to ensure that actions and plans meet the differing needs and avoid adverse impact on stakeholders. The use of a balanced composite of performance indicators offers an effective means to communicate requirements, to monitor actual performance, and to marshal support for improving results.

1997 TEXAS QUALITY AWARD CRITERIA FRAMEWORK
Dynamic Relationships


System
Goal
Customer Satisfaction
Customer Satisfaction Relative to Competitors'
Customer Retention
Market Share Gain'
"Driver"
Process Management 5.0
Human Resource Development and Management 4.0
Customer Focus and Satisfaction 7.0
Leadership 1.0
Strategic Planning 3.0
Measures of Progress
Product & Service Quality
Productivity Improvement
Waste Reduction/ Elimination
Supplier Performance
Financial Results
Business Results 6.0
Information and Analysis 2.0

Award Criteria Framework

The core values and concepts are embodied in seven Categories, as follows:

1.0	Leadenhip
2.0	Information and Analysis
3.0	Strategic Planning
4.0	Human Resource Development and Management
5.0	Process Management
6.0	Business Results
7.0	Customer Focus and Satisfaction

The framework connecting and integrating the Categories is given in the figure above.

The framework has four basic elements:

Driver
Senior executive leadership sets direction, creates values, goals, and systems, and guides the pursuit of customer value and organization performance improvement.

System
The system comprises the set of well-defined and well-designed processes for meeting the organization's customer and performance requirements.

Measures of Progress
Measures of progress provide a results-oriented basis for channeling actions to delivering ever-improving customer value and organization performance.

Goal*
The basic aims of the system are the delivery of ever-improving value to customers and success in the marketplace.

The seven Criteria Categories shown in the figure are subdivided into Examination Items and Areas to Address:

Examination Items
There are 24 Examination Items, each focusing on a major requirement

Areas to Address
Examination Items consist of sets of Areas to Address (Areas). Information is submitted by applicants. in response ro specific requirements of these Areas.

---

* These goals relate to the private sector. For public sector, comparisons should be made with organizations with comparable products, programs, or services.

KEY CHARACTERISTICS OF THE AWARD CRITERIA.

1. The Criteria are directed toward results.

The Criteria focus principally on key areas of performance, given below.

Results are a composite of:
(I) customer satisfaction/retention;
(2) market share, new market development;
(3) product and service quality;
(4) financial indicators, productivity, operational effectiveness, and responsiveness;
(5) human resource performance/development;
(6) supplier performance/development; and
(7) public responsibility/corporate citizenship

Improvements in these seven results areas contribute to overall performance, including financial performance. The results areas also recognize the importance of suppliers and community and national well-being.

The use of a composite of indicators helps to ensure that strategies are balanced — that they do not trade off among important stakeholders or objectives. The composite of indicators also helps to ensure that organization's strategies bridge short-term and long-term goals.

2. The Criteria are non-prescriptive.

The Criteria are a set of 24 basic, interrelated, results-oriented requirements. However, the Criteria imply wide latitude in how requirements are met. Accordingly, the criteria do not prescribe:

- specific tools, techniques, technologies, systems, or starting points;
- that organizations should or should not have departments for quality or planning; or
- how the organization itself should be organized.

The criteria do emphasize that these and other factors be regularly evaluated as part of the organization's performance processes. The factors listed are important and are very likely to change as needs and strategies evolve.

The Criteria are non-prescriptive because:

(1) The focus is on results, not on procedures, tools, or work unit organization. Organizations are encouraged to develop and demonstrate creative, adaptive, and flexible approaches to meeting basic requirements. Non-prescriptive requirements are intended to foster incremental and major ("breakthrough") improvement.

(2) Selection of tools, techniques, systems, and work unit organization usually depends upon many factors such as size, type, the organization's stage of development, and employee capabilities.

(3) Focus on common requirements within an organization, rather than on specific procedures, fosters better understanding, communication, and sharing, while supporting creativity in approaches.

3. The Criteria are comprehensive.

The Criteria address all internal and external requirements of the organization, including those related to fulfilling its public responsibilities. Accordingly, all processes of all organization work units are tied to these requirements. New strategies may be readily adapted within the same set of Criteria requirements.

4. The Criteria include interrelated (process-~results) improvement/learning cycles.

There is dynamic linkage among the Criteria requirements. Action-oriented learning takes place via feedback among the process and results elements.

The learning cycles have four, clearly defined stages:

(1) planning, including design of processes, selection of measures, and deployment of requirements;
(2) execution of plans;
(3) assessment of progress, taking into account internal and external results indicators; and
(4) revision of plans based upon assessment findings.

5. The Criteria emphasize alignment.

The Criteria call for improvement/learning cycles in all parts of the organization. To ensure that cycles carried out in different parts of the organization support one another, overall aims need to be consistent or *aligned.* Alignment in the Criteria is achieved via connecting and reinforcing measures, derived from overall organization requirements. These measures tie directly to customer value and to overall performance. The use of measures thus channels different activities in consistent directions. Their use often avoids the need for detailed procedures or centralization of decision making or process management. Measures thus serve both as a communications tool and a basis for deploying consistent overall performance requirements. Such alignment ensures consistency of purpose while at the same time supporting speed, innovation, and decentralized decision making.

6. **The Criteria are part of** a diagnostic system. The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 24 results-oriented requirements. The scoring guidelines spell out the assessment dimensions — Approach, Deployment, and Results — and the key factors used in assessment relative to each dimension. An assessment thus provides a profile of strengths and areas for improvement relative to the 24 requirements. In this way, the assessment directs attention to actions that contribute to the results composite described above.