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Performance Management: A Local Government Issue – Promoting Efficiency in the City of Ottawa Post Amalgamation

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Performance Management
A Local Government Issue
Promoting Efficiency in the City of Ottawa Post Amalgamation

MPA Research Report

Submitted to

**The Local Government Program
Department of Political Science
The University of Western Ontario**

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Karen Gautam

Acknowledgements

Throughout my year at Western I was exposed to many interesting concepts, ideas and projects. Even though every topic and issue stood out in its own light, no topic managed to grab my attention in the same manner that performance management did. Although many friends and family members would suggest that performance management in the public sector is an oxymoron, I disagree. The more people challenged the idea, the more determined I became to prove them wrong.

Writing this paper has been a very bittersweet experience. On the one hand I am excited to be writing about a topic that I am so captivated by. However on the hand, this final paper marks the end of my academic career at Western. Even though learning is an ongoing process, I will sincerely miss the opportunity to be learning in an academic institution under the teachings of our wonderful local government department.

As I finish writing this paper and reflect on my journey through this year, I realize there are many people whom deserve thanks. Dr. Paul Kopas, my advisor: Thank you for teaching me which "t's" should be crossed and which "i's" should be dotted. Regardless of what you may think, your helpful comments will not be forgotten.

Thank you to Bonny Bryant-Besharah for the use of her personal library and giving me the opportunity to work in such a wonderful organization. To the staff in the city manager's office at the City of Ottawa: your helpful suggestions and informal conversations were a great asset as they always directed me to the proper information.

And finally, thank you to graduating class of 2002 for making my year at Western unforgettable. Not only did you expose me to many, *many* different points of view, you also helped me understand the various ways local governments operate. Thanks for a great year!

Karen Gautam
2002

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PROMOTING EFFICIENCY IN THE CITY OF OTTAWA POST AMALGAMATION

1.0 INTRODUCTION

Even though municipal amalgamations are proposed for various reasons, the underlying justification always remains the same: amalgamation, it is argued, saves money. This is precisely what both Mike Harris and former Mayor Jim Watson advocated when they decided to amalgamate the Region of Ottawa-Carleton with 11 surrounding municipalities. In order for the new City of Ottawa to realize the best potential of these proposed cost savings, a performance management system would be beneficial for identifying areas in which efficiencies can be achieved.

1.1 Performance Management: What is it?

Performance management may be defined as:

"... [a] measurement [system] information to help set agreed upon performance goals, allocate and prioritize resources, inform managers to either confirm or change current policy or program directions to meet those goals and report on the success or failure in meeting those goals.¹"

This definition illustrates how performance management systems give an organization a framework that defines how they can improve their actions in order to provide more efficient and effective service delivery.

In addition to this characterization, another definition must be included to demonstrate another dimension of performance management systems.

"Performance management is the setting and measurement of all desired outcomes (goals and objectives), behaviours and activities of an organization, its individual components and its staff members, that contribute to the achievement of the strategic vision of the organization. It is a multi-level process that starts with overall strategy and cascades to individual performance appraisals.²"

Important in this definition is the focus on individual contributions that assist an organization in achieving strategic objectives. This definition recognizes the

¹ Ontario Public Service. "Ontario Public Service Quality Service Model: The Cornerstones"

importance of employee contributions as it links overall success in achieving organizational goals with the performance of individual employees.

Both these definitions focus on the central element: performance management systems in theory ensure that performance is linked to the organization's strategies. Consequently, performance management systems are understood to be successful because they ensure all members of an organization are working towards the same overall goals and objectives.

Therefore, performance management is a forward-looking, results oriented framework that requires an organization to establish long-term goals and develop measures to determine if those goals are being met. At the same time, results are evaluated throughout the process in order to ensure goals are being met in an efficient and effective manner.

Accordingly, performance management systems include four major components: strategic planning, performance budgeting, performance measurement and program evaluation³. Each is equally important and all are interconnected. A performance management system would not be as effective if one of these components were missing or were not completed as prescribed.

In addition to the components contained within these systems, performance management systems formally measure employee contributions by designing indicators, which show how successful individuals, teams, branches and/or departments are in achieving their goals. Accordingly, the City of Ottawa could benefit greatly by implementing a comprehensive system that would measure performance throughout the organization. By implementing such a system, the city would realize the benefits and efficiencies that amalgamation brings.

1.2 Framework For This Paper:

² "Performance Management" www.goafrica.co.za

In order to realize the benefits of amalgamation, the City of Ottawa should take advantage of the current opportunity presented by the major organizational change that has resulted due to recent amalgamation. Presently, the City of Ottawa is in the midst of its transition and is expected to complete this by the summer of 2003. Because of this, an opportunity for implementing a comprehensive performance management system has arisen in the City of Ottawa.

This paper will argue that a uniform performance management system would help the newly amalgamated City of Ottawa achieve the potential sought by amalgamation. Within the city, a performance management system would bring direction to this organization that is going through major changes. Thus, by implementing a comprehensive performance management system the City of Ottawa would realize the benefits and efficiencies that unification promises.

In order to understand why adopting a comprehensive performance management system is important, several issues will be analyzed. The first issue is the theoretical dilemma performance management systems bring to local governments. Because this concept was developed for private industry and later adopted by public organizations, special attention must be given to its implementation in local governments.

The City of Ottawa's unique situation will be analyzed next. Similar to the amalgamation of the City of Toronto, this municipality represents a test case for the current Conservative government's view that amalgamated cities are more efficient than multiple-jurisdiction urban areas. In order for Ottawa's administration to prove that the new city is more efficient, implementing a Balanced Scorecard (BSC) would be beneficial.

³ State of Virginia. "Commonwealth Performance Training"

Balanced Scorecards have become increasingly popular in both public and private organizations. The fundamental principle of a BSC is that it describes an organization's strategy:

"The Balanced Scorecard is a performance management system used to translate strategy into tangible objectives and measures. The Balanced Scorecard uses four perspectives to ensure a balanced approach to evaluating achievement of organizational strategy. Those perspectives are customer, financial, internal processes and learning and growth. The Balanced Scorecard is a visual representation of organizational strategy and game plan"⁴.

An analysis will be made regarding how Balanced Scorecards work and how it would be beneficial to the City of Ottawa. Following this, the paper will conclude with a discussion regarding the importance of the Balanced Scorecard approach within the City of Ottawa.

2.0 THEORETICAL DILEMMA

2.1 MANAGEMENT BY OBJECTIVES

Balanced Scorecards are a natural progression from an earlier management technique: management by objectives (MBO). MBO systems convert overall organizational objectives into specific objectives for organizational units and individual members. The four elements common to all MBO systems are goal specificity, participative decision-making, an explicit time period and performance feedback⁵. Although this approach appears similar to the Balanced Scorecard it is not for one fundamental reason.

Management by objectives is distinctly different from the Balanced Scorecard approach because objectives in an MBO system are established within organizational units. Therefore, objectives are established relative to departmental

⁴ City of Charlotte website. "Performance Management"

⁵ Stephan Robbins and Robin Stuart-Kotze. "Management: Concepts and Practices": 160

goals⁶. This reinforces narrow functional thinking. The Balanced Scorecard on the other hand provides individuals with a broad understanding of the organization. The result of MBO's narrow focus has led to many organizations dissatisfaction with results under this approach. An example is the City of Charlotte.

The City of Charlotte started measuring performance under the MBO system in 1972. Over the years, this process became burdensome as city staff was instructed to measure everything. The result of this system led to information overload with 800 to 900 measures reported each year and lengthy reports that were never read⁷. Overall corporate goals were not being pursued as attention was only being paid to departmental goals. The City of Charlotte's case is not uncommon: most organizations that implemented MBO systems report that the end result is typically failure⁸. Consequently, other performance management systems were devised.

2.2 WHAT WE KNOW ABOUT PERFORMANCE MANAGEMENT

Performance management systems first emerged in the private sector and then were adopted later by public sector organizations. Critics argue that measuring performance in public sector organizations is more difficult and complex than in private sector companies. The emphasis in a private sector organization for instance, revolves around the amount of product produced in relation to the resources consumed⁹. Public sector goals however, do not revolve around profits and amount of product made.

On the other hand, advocates of public sector performance management systems argue that public sector organizations are inherently flawed in comparison to the operation of private sector organizations because private companies must stay

⁶ Robert Kaplan and David Norton. "The Strategy Focused Organization": 233

⁷ Ibid: 234

⁸ Stephan Robbins and Robin Stuart-Kotze. "Management: Concepts and Practices": 164

lean and efficient due to the existence of external competition¹⁰. Therefore in the private sector, consumers have the ability to express their preferences by either buying a product or not buying it.

Public sector organizations do not share this same fate, as they do not face the same competition as private sector organizations. In many cases, local governments have a monopoly over services. Consumers do not have a choice regarding whom they receive their services from. Performance management systems in the public sector are therefore a means of making public organizations operate with the same level of efficiency as private organizations but without the same level of competition.

Presently, an increasing number of local governments are turning to performance management systems as a means of becoming more accountable to both senior management and the public. A recent study demonstrated that 34 percent of counties in the United States with populations over 50,000 and 38 percent of cities with populations over 25,000 are using some type of formal performance measurement system¹¹.

This study does not include informal systems that smaller municipalities are currently using. Therefore in reality, more local governments are using some type of performance measurement system than suggested. The reason for this heavy usage is the widespread recognition that these systems work.

2.3 WHY THESE SYSTEMS WORK

2.3.1. Fundamental Concepts For Implementation

What is appealing about performance management systems in the public sector are its focus on the concepts of efficiency and effectiveness. The concept of efficiency, which is a cornerstone in performance management systems, can be

² Rita Kelly. "Promoting Productivity": 164

¹⁰ Richard Tindal and Susan Tindal. "Local Government in Canada": 19

defined as the ability to get the most output from a given set of resources¹².

Efficiency can also be described as a measure of how well an organization is able to manage its resources and produce outputs¹³. The prospect of attaining greater efficiency is the fundamental rationale for implementing performance management systems into local government organizations.

Another concept that is fundamental in performance management systems is the concept of effectiveness. Effectiveness is essentially a measure of outcomes as it measures quality that is determined by the client or customer¹⁴. Therefore, effectiveness is described as a measure of satisfaction and importance of government services, programs, products and solutions for the client or customer.

Together, these two concepts of efficiency and effectiveness serve as the cornerstones explaining why performance management systems are implemented within the public sector. These concepts are thought to promote accountability in the public sector. In addition to these two fundamental concepts, other issues demonstrate why Balanced Scorecards within local governments work. However, prior to identifying these other issues, critical success factors that are required for implementation must be identified.

2.3.2 Critical Success Factors

In order for the balanced scorecard to be successful, a number of factors must be present within an organization. For instance, evidence indicates that elected officials, senior appointed officials, middle managers and front-line workers must "buy-into" the program¹⁵. This commitment is essential, as it will determine the amount of effort that employees contribute to the system. For instance, if a

¹¹ Paul Niven. "Balanced Scorecard Step-by-Step": 296

¹² Jeffrey Green. "Cities and Privatization": 39

¹³ Province of Alberta. "Performance Management in the Alberta Public Sector"

¹⁴ Ibid

¹⁵ James McDavid. "Building Organizational Capacity for Performance Measurement"

supervising manager believes that the system is making operations efficient, he/she will accept their performance measures as being valid.

This “buy-in” is also essential as it determines whether the information will get used. If managers accept the measures as being valid, they may be more likely to use the results to change various aspects of their operations.

In addition to the required commitment, there must also be recognition that measuring performance within local governments is both difficult and complex¹⁶. The reason is because there is no generally accepted set of measures that should be used within every municipality. Each municipality is unique in terms of characteristics and must structure their Balanced Scorecard or system around issues that are of particular concern to them.

Measurement programs must be flexible. Indicators need to be assessed and changed regularly to ensure they reflect organizational goals and strategies. Therefore, municipalities such as the City of Grande Prairie advise that municipalities should not make a commitment to measurement itself; instead, municipalities should make a commitment to service delivery improvements¹⁷. This will ensure employees are focused on improving operations as opposed to simply calculating indicators.

The last critical success factor that will be discussed for the purposes of this paper is the entrepreneurial culture that is required for implementation. The term ‘entrepreneurial government’ is widely used in public sector performance management literature and is used in a different context than normally thought. In this context, French economist named J.B. Say, coined the term entrepreneur around 1800.

“The entrepreneur shifts economic resources out of an area of lower and into an area of higher productivity and greater yield.¹⁸”

¹⁶ City of Grande Prairie Alberta. “Performance Measurement- Issues and Principles”

¹⁷ Ibid

¹⁸ Osborne and Gaebler. “Reinventing Government”: xix

Therefore, an entrepreneur in the municipal government context uses resources in new ways to maximize productivity and effectiveness. This culture is required in order for successful implementation to occur.

2.3.3 Why Balanced Scorecards Are Beneficial In Local Governments

Balanced Scorecards provide numerous benefits upon implementation. For instance, the scorecards serve as an important communication tool to recognizing corporate goals, objectives and strategies. Since the same corporate scorecard is circulated throughout the organization and community, all employees are able to see exactly what the overall goals of the municipality are. Pat McCrory, the current mayor of Charlotte, North Carolina, notes that

"The Balanced Scorecard has helped me to communicate a strategic vision for the city to my constituents, the citizens, and to prospective businesses that are considering locating here. It helps the city manager focus on things that will have the biggest impact on the city"¹⁹.

Therefore, Balanced Scorecards assist in ensuring that all employees and members of the community understand the strategic direction the municipality is heading.

Another associated argument related to why these systems work is seen in the uniformity they bring to an organization. As previously described, the Balanced Scorecard focuses all organizational efforts on achieving predetermined goals. Therefore everyone within the organization is working towards the same overall goals as opposed to only focusing on departmental goals.

This uniformity within the organization leads to consistency. When goals and measures are both determined and understood, all employees throughout an organization will strive to achieve these goals in a consistent fashion. For example, if a municipality's goal is to be more responsive to customers, they might use the following measure as an indication of whether they are successful: the percentage of

telephone calls answered within the first three rings. This goal would be recognized and used throughout the organization, which would lead to increased consistency.

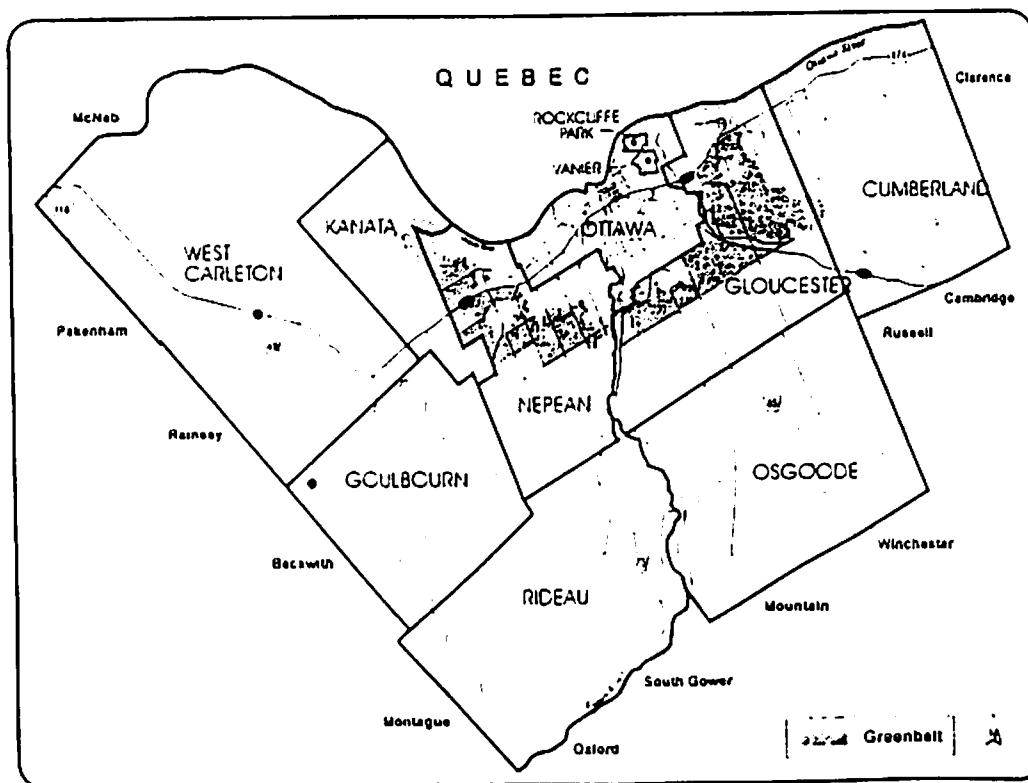
These benefits and others will be revisited at the end of this paper after a formal discussion regarding the City of Ottawa's Balanced Scorecard has been illustrated.

3.0 The City of Ottawa

3.1 The City of Ottawa's Dilemma

As alluded to in the introduction, the City of Ottawa is in a unique situation. On January 1 2001, the new City of Ottawa was created with the amalgamation of the Region of Ottawa-Carleton and eleven other municipalities. These municipalities include Cumberland, Gloucester, Goulbourn, Kanata, Nepean, Osgoode, Ottawa, Rideau, Rockcliffe Park, Vanier and West Carleton. The map below illustrates the former municipalities that now make up the new City of Ottawa.

Figure 1 Ottawa-Carleton



Amalgamation was proposed and advocated by both the Harris Conservatives and former Mayor Jim Watson because of the cost savings that would occur as a result of the union of 11 municipalities. These cost savings are expected to occur because it was thought that this union would create economies of scale by joining a number of small municipalities together. Currently, these cost savings are not being recognized.

Because of the current size of the new city and the changes that are still taking place, managing resources is difficult. For instance administration within the city has recognized that duplications in terms of administration and services do exist. In a recent employee newsletter, City Manager Bruce Thom recognized the difficulties that have arisen due to amalgamation:

“At the moment, though the City functions as one entity, our effectiveness and efficiency are comprised by a legacy of having rolled 12 different ways of doing things, into one. This is duplication and wasted effort, which impacts our ability to do our jobs”²⁰.

Accordingly, there is a recognition that amalgamation has not led to the increased efficiencies and cost savings that were previously promised. The reason for this results from the major organizational changes that are occurring within the city. If the City of Ottawa wants to realize costs savings, a performance management system would help the city manage its resources better.

3.2 Size

As a result of amalgamation, the new City of Ottawa is currently the fourth largest city in Canada, and second in Ontario, with a population of 785,000. Within the next few years, Ottawa is expected to grow to include over one million people.

²⁰ Bruce Thom. “One goal, one voice, one vision” City Manager Messages: (MOE) City of Ottawa Intranet

In addition to population size, the current geographical size of the new city is worth noting. The total distance of the city is 110 kilometers from the east to the west²¹.

Even though size is not a criterion for the implementation of a performance management system, it does warrant attention. Typically, larger organizations lacking performance management systems have a more difficult time managing resources than do smaller organizations in the same situation for the simple reason that larger organizations have more resources. Therefore, because the new City of Ottawa has grown dramatically in size due to amalgamation, a performance management system would be helpful in identifying where and how resources are currently being used.

3.3 Changes Within the City

Amalgamation has also created widespread changes within city services. In addition to moving away from its two-tiered system of governance, the City of Ottawa is now responsible for more services and functions than previously before. For instance, the city has 33 libraries, 37 arenas, 37 swimming pools and over 73 recreation or community centers. Additionally, there are more than 400 elementary and secondary schools located within the city. In terms of environmental issues, the new city contains more than 532 square kilometers of greenbelt area that is considered environmentally sensitive²².

Transportation is another large department that provides important services. Currently, there are 5,300 buses, 200 routes serving 80 million passengers per year and 145 Para Transpo vehicles providing 730,000 trips per year²³. Therefore the sheer number of all services provided (not just in transportation) and the costs of maintaining current infrastructure are substantial. For instance, for fiscal year 2002,

²¹ City of Ottawa. "A Profile"

²² Ibid

²³ Ibid

the City was in charge of managing a \$1.7 billion operating budget and a \$521 million capital budget²⁴. Tracking all these services and resources is a complex task.

3.4 Organizational Culture

In addition to the changes that have occurred within the City regarding services and resources, changes to the organizational culture have also been substantial. The new City of Ottawa's culture is entrepreneurial in nature. This can be seen by the emphasis that is placed on enhancing customer service and making operations more efficient. Current City Manager Bruce Thom advocates this culture:

"Around the world, governments are delivering services through client-centered business models that emphasize convenience, responsiveness, cost effectiveness and timeliness"²⁵.

Thom goes on to state that the importance of client services is no longer one part of the big picture; it is the big picture.

The new City of Ottawa has further embraced the 'customer first' method of managing by providing around the clock service. The central call center uses an electronic database to deliver information about the city and its services to callers wanting information. Online services provide another method of attaining information 24 hours a day. Some of the features included in these online services are locating the nearest swimming pool, paying parking tickets, renewing dog licenses, accessing council agendas and minutes and looking into upcoming events²⁶.

This 'customer first' mentality is important to recognize as it contributes to the entrepreneurial culture which is required for implementation. Because this type of culture is a critical success, it must be highlighted as being important. This

²⁴ City of Ottawa website. www.ottawa.ca

²⁵ Bruce Thom. "One goal, one voice, one vision". City Manager Messages (MOE): City of Ottawa Intranet

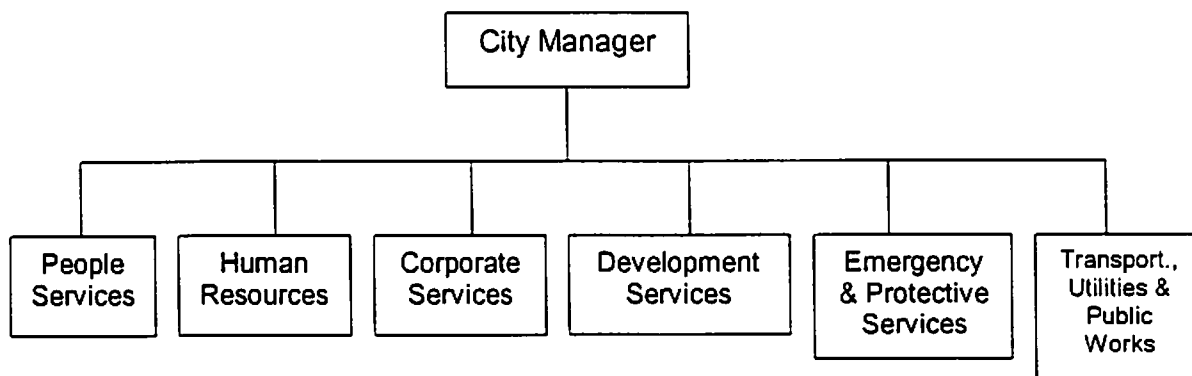
²⁶ City of Ottawa website. www.ottawa.ca

entrepreneurial culture can also be seen within the departments that form the City of Ottawa.

3.5 Organizational Structure

The current organizational structure of the new city has changed as twelve different types of management structures were formally eliminated and one new structure was created. These pre-existing structures were not replaced; they were just changed to form the new City of Ottawa. The current administrative organizational configuration can be seen in the figure below.

Figure 2: Main Structure



As illustrated in the above figure, the new City of Ottawa's organizational structure is relatively flat. The six departments of People Services, Human Resources, Corporate Services, Development Services, Emergency & Protective Services and Transportation, Utilities & Public Works are all presented as equals on the organizational chart.

A Transition committee who was in charge of organizing the resources for the new city developed these departments alongside council and senior administration. After the six departments were established, the Transition Committee requested that each department submit a detailed service delivery plan, which would state how the department would function. Included in these plans are various performance indicators.

The inclusion of isolated performance indicators is important as it demonstrates that each department is familiar with the concept of measuring performance. These indicators represent only the *beginning* of a comprehensive performance management program because of their bottom-up approach. The Balanced Scorecard, which will be discussed further in the following section, uses a top-down approach.

The top-down approach is seen to be more effective in local government corporations as it organizes the whole municipality around the same goals and objectives. After the corporate goals and objectives have been identified, departments then structure and identify measures that relate to the corporate goals. Therefore, the whole organization's goals and objectives are uniform and all performance is geared towards achieving the central goals.

On the other hand, in a bottom-up approach, there will be no consistency throughout the organization as every branch and/or department will construct goals and objectives that are suited only to their functions. As departments strive to meet their individual goals, overall collective goals may not receive the attention they deserve.

Accordingly, it is important to analyze each department in relation to performance indicators already proposed. In addition to analyzing these indicators, examining department's vision and mission statements will provide evidence that each department within the city is familiar with the concept of performance measurement.

In addition to showing familiarity with the concept of performance measurement, examining each department in isolation will show that Ottawa's current practices in this area of measuring performance are not sufficient. The approach currently taken allows each department to devise and use measures as

they see fit. This bottom up approach needs to be eliminated in order for a top-down approach to be implemented.

3.5.1 People Services

This department is new to the city as it regroups services previously known as Recreation, Culture, Arts and Heritage, Social Services, Public Health, Homes for the Aged, Social Housing, Child Care and Library Services. The key goals of this department are to improve the quality of life for citizens, enhance citizen's capacity to participate in their community, and promote a healthier community while decreasing the costs to taxpayers²⁷.

Relevant to the idea of performance management is that new service delivery models adopted by this department are rooted in a client-centered approach to fostering a healthy community. This department states that their overall success in the future will be assessed using a number of performance factors that represent key service delivery objectives that are important to clients and the community²⁸.

Preliminary performance measures can be seen in following figures:

Figure 3: Performance Indicators: Public Health and Long Term Care²⁹

Program Area	Performance Measure
Health protection	% reduction of morbidity & mortality rates associated with the control of infectious diseases
Chronic disease & injury prevention	% reduction in chronic disease mortality rates, % reduction of incidence levels
Long Term Care	% decrease in cost per resident day, sustain highest accreditation rating

²⁷ City of Ottawa. "One goal, one voice, one vision". City Manager Messages (MOE) City of Ottawa Intranet

²⁸ City of Ottawa. "Service Delivery Model: Detailed Design" People Services

Figure 4: Performance Indicators: Community Services³⁰

Program Area	Performance Measure
Public health services to children, youth, families & adults	% improvement in reproductive health (for example, reduction in low birth weight)
Child Care	% improvement in access to affordable & flexible child care services
Recreation and leisure, community arts & culture services	% increase in levels of participation; achieve best value for money for recreation services vis-à-vis Ontario wide baseline data

Figure 5: Performance Indicators: Housing³¹

Program Area	Performance Measure
Homelessness	Reduction in the % of homelessness
Temporary shelters	Reduced length of occupancy in shelters

Figure 6: Performance Indicators: Employment and Financial Services³²

Program Area	Performance Measure
Employment	% increase of clients who left Ontario Works for employment related reasons
Employment activities: community placements, employment placements, self employment, employee measures and employment development initiatives..	Increased % of Ontario Works participants involved in employment related activities
Preventing unemployment	% decrease in recidivism rate within the Ontario Works program

²⁹ City of Ottawa. "Service Delivery Model: Detailed Design" People Services

³⁰ Ibid

³¹ Ibid

Figure 7: Performance Indicators: Libraries³³

Program Area	Performance Measure
Library Services	% increase in service transaction per capita

Figure 8: Performance Indicators: Innovative Development and Partnerships³⁴

Program Area	Performance Measure
Community Development	% increase number of partnerships
Cultural Affairs	% increase of partnerships with cultural
Strategic/Business Planning	Increase degree of alignment between branch plans, departmental plan and city master plan
Workforce Development	% increase in partnerships with employers and training organizations

Currently People Services is using a bottom up approach to measuring performance as each branch has developed specific indicators without regard to overall corporate goals. The existence of a corporate level Balanced Scorecard would ensure that departmental goals being focused on relate to corporate goals.

What should be evident is these measures are not incorrect; they are simply geared towards department and branch goals. A Corporate Balanced Scorecard would ensure these measures relate to the overall goals of the organization. One measure that achieves this is in *Figure 8: Strategic/Business Planning*. This measure aligns department plans with the city master plan. Measures such of this ensure that performance within departments is aligned with corporate objectives.

3.5.2 Human Resources

Human Resources department also possesses a good foundation for implementation of a Balanced Scorecard. This department is made up of four main

³² City of Ottawa. "Service Delivery Model: Detailed Design" People Services

³³ Ibid

³⁴ Ibid

branches: Labour Relations, Compensation, Human Resource Services and Organizational Effectiveness. This last category is important to the concept of performance management as it deals with how well the organization is functioning.

In addition to the structure of this department, analyzing the vision statements is important. Included in the overall vision statement is a sentence stating the department must deliver services that are value-added, cost-effective and essential to the achievement of corporate objectives. In addition, it must develop administrative processes that are efficient, effective and that maximize the use of technology³⁵. Therefore Human Resources is already visioning linking departmental strategy with corporate goals.

Similarly, the Human Resources department's basic tenets closely reflect the underlying goals of performance management. Included in the basic tenets are the following: support the business of the new City, maximize efficiency and effectiveness in the delivery of services, and provide a cost effective and sustainable service delivery infrastructure³⁶.

The Human Resources department is unique as they recommend a consultant be hired as soon as possible to assist in the development of standards that are generic in nature and can be used by everyone within the corporation³⁷. This recommendation demonstrates the Human Resources Department advocates the implementation of a comprehensive performance measurement program throughout the City of Ottawa.

By looking at Appendix 1, it is evident that the Human Resources Department has developed a very detailed measurement plan however all objectives of this plan relate directly to departmental and branch goals.

³⁵ City of Ottawa Intranet (MOE) My Ottawa E-Links

³⁶ City of Ottawa. "Human Resources Restructuring: Detail Design"

³⁷ Ibid

3.5.3 Corporate Services

The department of Corporate Services also provides evidence demonstrating foundations required for successful implementation. Evidence of this can be seen in the department's overall vision statement:

"The mission of the Corporate Services Department is to support the new City organization by providing the services required by both internal and external clients in a manner that exemplifies a concern for effectiveness, efficiency and value."

This vision statement demonstrates that this department possesses an entrepreneurial culture.

The Corporate Services Department is made up of eight separate branches: Communications and Marketing; Financial Services; Fleet Services; Real Property Asset Management; Legal Service; Information Technology Services; Secretariat Services; and Centers of Expertise. Each branch contains vision and mission statements that strive to make each branch operate in the most efficient manner.

In addition to having vision and mission statements that reflect the needed culture for implementation, some branches within Corporate Services have gone one step further and designed performance indicators they feel best measure their functions. The figure below and Appendix 2 illustrate two examples of initiatives taken by Client Services, which is a part of the Secretariat Services Branch.

Appendix 2 illustrates the 2001-2003 Business Plan and Budget. This appendix shows specific performance measures for four of its key services. The key services include Call Centers, Client Service Centers, E-Services, and Customer Service Policy Development. Each of these services is entrepreneurial in culture. The measures are already divided into measures of efficiency and effectiveness.

In addition, the figure below goes one step further and actually lists specific performance targets for two of the performance measures shown in the previous appendix.

Figure 9: Performance Indicators. Corporate Services: Client Services³⁸

Performance Measures	Performance Target	Responsibility for Measurement	Frequency of Reporting
Measures of Client Services Performance			
Ex. "on-hold" time	30 seconds	Client Services	Weekly
Measures of Corporate Service Programs & Services			
Ex. Rec. Programs Complaints	0-5	Client Services	Monthly

Appendix 2 and the above figure are important as they show Corporate Services is both familiar and comfortable with the idea of performance measurement. This department devised these measures by their own will, which serves as evidence that they are proponents of measuring and tracking performance. Moreover, the language contained in their vision statements, mission statements and performance plans show the culture within the department is entrepreneurial.

3.5.4 Development Services

Development Services is another department that already possesses key foundations for the implementation of a comprehensive performance management system. The services and functions that are executed by this department include application review and approvals, building permits, committee of adjustment, Official Plan, zoning by-laws, environmental policies, and infrastructure and park planning.

Similar to the Corporate Services Department, both Development Service's vision and mission statements closely reflect the culture needed for the implementation of a performance management system. Part of the vision for this department is

"...to facilitate the planning and development of the City in a cost-effective and environmentally sensitive manner to meet the needs of a dynamic community"³⁹.

The words 'cost-effective', which appear in the first sentence, demonstrate the entrepreneurial culture that exists within this department.

The mission statement for this department provides additional support showing they possess the foundations for a comprehensive performance management program. The mission of this department is

"To provide professional advice and leadership in the provision of planning and development services to the City's varied communities, based on best practices, and delivered in a user friendly, client oriented and cost effective manner"⁴⁰.

This mission statement reflects the entrepreneurial nature of the department by referring to a more 'client oriented' and cost effective method of management.

In addition to the mission and vision statements of this department, the strategic roadmap that Development Services has envisioned contains many applicable issues that would allow for implementation of a comprehensive performance program. For instance, this roadmap states that a new Branch called *Business Development* should be created in order to deliver key economic development services and maintain positive relationships with external agencies. Some of the key activities include providing strategic business data to support investment decisions, supporting and assisting businesses on local economic development matters, liaising with the Business Improvement Areas and assisting in

³⁸ Corporate Service Department Service Agreement: Client Services

³⁹ MOE (My Ottawa E-Links): City of Ottawa Intranet

⁴⁰ City of Ottawa Intranet

the implementation of initiatives that address business climate impediments⁴¹. The very existence of a branch called 'Business Development' further supports the entrepreneurial culture that is prevalent in this department.

By examining the guiding principles of Development Services, other issues relevant to performance management can be seen. The guiding principles state that this department must be customer driven, must reflect best practices, must provide single window access for citizens, must reflect an enterprise culture and must be accessible and accountable⁴². All the guiding principles that are listed in Development Service's strategic plans are highly reflective of what performance management systems address and show the entrepreneurial nature of this department.

This department goes one step further and defines what they feel are relevant indicators. A complete list of these indicators can be seen in the figure below. When examining these figures, it is clear that this department views the following functions and services to be areas that should be measured: building services; development and infrastructure approvals; planning, environment and infrastructure policy; and business development.

Figure 10: Performance Indicators: Development Services

<p>Building Services</p> <ul style="list-style-type: none">• Percentage of applications processed within prescribed service standards• Targeted response to an inspection request• Number of inspections conducted per inspector per day• Percentage of voluntary compliance• Percentage of successful prosecutions• Client Satisfaction
--

⁴¹ City of Ottawa. "Detailed Service Model: Development Services Department"

Development & Infrastructure Approvals

- Percentage of applications processed within prescribed service standards
- Number of subdivision inspections conducted within prescribed service standards
- Percentage of decision appealed to Ontario Municipal Board
- Percentage of disputes successfully mediated
- Client Satisfaction

Planning, Environment & Infrastructure Policy

- Improvement in environmental indicators
- Supply of serviceable land available for development & infrastructure to support growth
- Costs associated with development to meet reasonable infrastructure standards
- Reduction in the need for official plan amendments
- Client satisfaction

Business Development

- Number of client inquires responded to within a prescribed service standard
- Economic indicators (ex. Business investment, growth & retention rates)
- Number of economic development barriers/impediments identified and removed
- Client Services

Similar to Corporate Services, the indicators Development Services have identified are reflective of only departmental goals and do not consider the organization as a whole. The previous statement is not implying that Development Service's indicators should not focused on their functions and services; rather, it is

⁴² City of Ottawa. "Detailed Service Model: Development Services Department"

stating that the visions and mission of this department should be designed to reflect the goals of the overall organization if proposed cost savings are to be realized.

3.5.5 Emergency and Protective Services

The next department, Emergency Services, was just created with amalgamation. For the first time, emergency medical services, by-law enforcement and licensing, emergency planning, E911 call taking, fire suppression and rescue services all have a common operating jurisdiction. This alignment within Protective Services provides opportunities to maximize resource allocation, which ensure a cost-effective and efficient delivery of services⁴³. Because this department is new, formal performance indicators were not designed at the time transition documents were submitted.

Nevertheless, informal indicators exist. For instance, ambulance services have informal response times they abide by. Similar informal targets are also present within police services and other medical services. Even though this department has not created formal indicators they still appear to be fully supportive of them.

An example of the supportive nature of this department can be seen within the fire services branch. Fire services have not gone as far as developing actual measures; however, fire services have identified key outcomes that should be addressed by a performance management program. Some of the key outcomes identified are as follows: development and maintenance of a single corporate emergency plan; internal communication protocols; delivery of emergency preparedness public education initiatives; and coordination of emergency response⁴⁴.

⁴³ City of Ottawa Intranet (MOE) My Ottawa E-Links

⁴⁴ City of Ottawa. "Restructuring and Enhancing Protective and Emergency Services"

Further evidence of this supportive nature can be seen in the overall strategic plan of the department. For instance, the key principle in the design of the Ottawa Fire Services is to advocate a performance-based organizational structure, which will entail establishing benchmarks and best practices⁴⁵. Accordingly, preliminary evidence shows that Emergency and Protective Services is supportive of performance measurement goals within the department.

3.5.6 Transportation, Utilities and Public Works

And finally, the last department within the City of Ottawa is the Department of Transportation, Utilities and Public Works. This department is comprised of five main branches: Infrastructure Services, Surface Operations, Traffic and Parking Operations, Transit Services and Utility Services⁴⁶. Preliminary measures have already been developed for each of the five branches and can be seen in figure below.

Figure 10: Performance Indicators: Transportation, Utilities & Public Works

Core Program	Performance Measures
Infrastructure Services	Processing cost per right-of-way permit; contract administrative cost as % of project cost; % of infrastructure inventory assessed annually
Surface Operations	Cost per lane km; parks serviceability; OGRA Benchmark comparison
Traffic and Parking	Number of collisions per capita; response time; parking meter downtime; parking enforcement request turnaround time
Utilities	Percentage drinking water samples meeting standards; cost per cubic metre for the services; percentage solid waste diversion; number of storm sewer overflow exceedences

⁴⁵ City of Ottawa. "Restructuring and Enhancing Protective and Emergency Services"

Figure 10: Continued

Transit	Annual ridership; revenue as percentage of cost On-time performance
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Similar to the other departments, the above figure illustrates the departmental nature of measures constructed.

3.6 Summary of Departmental Characteristics

After examining each of the six departments, it is evident that every department focuses on efficiency and effectiveness in some manner. Most departments have gone as far as developing measures they feel are reflective of their duties.

These preliminary performance indicators are important as they demonstrate that all six departments understand the concepts behind performance management. Therefore after reviewing city transition documentation, it is evident that all departments possess the entrepreneurial culture needed for implementation.

3.7 Limitations of Ottawa's Current System

It is clear that all six departments are familiar with the concept of performance management, as many have developed their own measures. Herein lies the problem: the City of Ottawa does not currently have one uniform performance management program that is consistent throughout the organization. Instead, the *idea* of implementing some type of comprehensive program exists.

Currently, each department has devised and potentially implemented measures of their own. These measures have been designed to reflect only the goals of the department. This method reflects a bottom-up approach to managing.

⁴⁶ City of Ottawa Intranet (MOE) My Ottawa E-Links

In developing a comprehensive performance management system, this bottom up approach is not ideal as it supports the fragmentation of the organization.

The reason a bottom-up approach is not ideal is because every department develops their measures in accordance to the specific duties they perform. Aside from basic administrative operations, the duties, functions and goals of every department are different. Therefore, measures will be geared towards different goals and visions. In order to address this problem and realize potential cost saving arising from amalgamation, the City of Ottawa needs a system that uses a top-down approach.

Implementing a Balanced Scorecard would enable all managers to see the strengths and weaknesses of the organization because all measures would be related to the goals of the city. A comprehensive top-down approach would also be beneficial, as everyone within the organization would be using the same language. This would help departments understand other department's operations and performance.

4.0 THE BALANCED SCORECARD

4.1 Introduction: What it is

The Balanced Scorecard emerged in the early 1990s as Robert Kaplan and David Norton recognized shortcoming with traditional performance management systems. Private sector practitioners were dissatisfied with the results of their programs as they thought too much emphasis was being placed on earnings and accounting practices⁴⁷. Kaplan and Norton knew examining only financial statements was not sufficient when studying organizational performance.

The Balanced Scorecard retains traditional financial measures, but also puts emphasis on three other perspectives: internal processes, the customer perspective,

and learning and growth. This approach to management has established itself as being more than simply the latest management fad. The *Harvard Business Review* identified it as being amongst the 75 most influential ideas of the 20th century⁴⁸.

Even though this approach to performance management was initially developed for private corporations, the adaptation process to the public sector has proven successful. Academics and practitioners alike all credit this success to the balanced approach it takes. Some go as far as to suggest that

“While the focus and application of the Balanced Scorecard has been in the for-profit sector, the opportunity for the Scorecard to improve the management of government and not-for-profit enterprises is, if anything, even greater”⁴⁹.

Accordingly, the City of Ottawa should implement this approach in order to realize the cost savings promise by amalgamation.

4.2 Introduction: What it does

Because the Balanced Scorecard takes a top-down approach, the first step is to develop an overall, corporate scorecard. Once the corporate scorecard has been developed, the overall strategic visions and goals of the organization become evident.

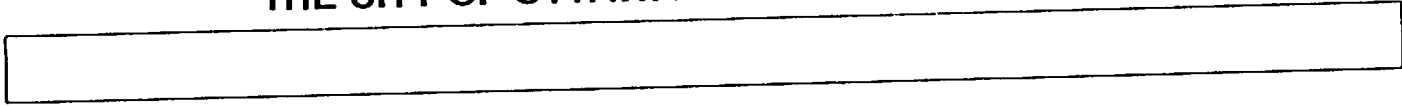
The template for the corporate scorecard can be seen in on the following page. The first box underneath the title is for the overall mission statement of the city. After all boxes have been filled in, this scorecard will be given to each of the six departments who will then develop their own departmental scorecard in accordance to the objectives seen on the corporate scorecard.

⁴⁷ Ittner and Larcker. “Non-Financial Performance Measures: What Works and What Doesn’t”

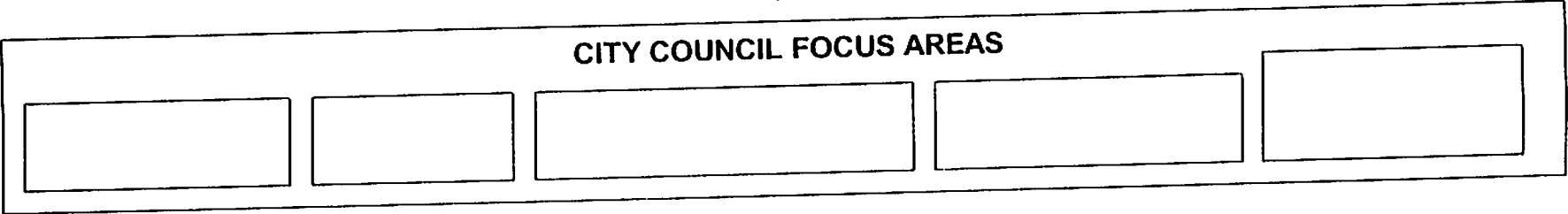
⁴⁸ Paul Niven. “Balanced Scorecard Step-by-Step”: 12

⁴⁹ Ibid: 31

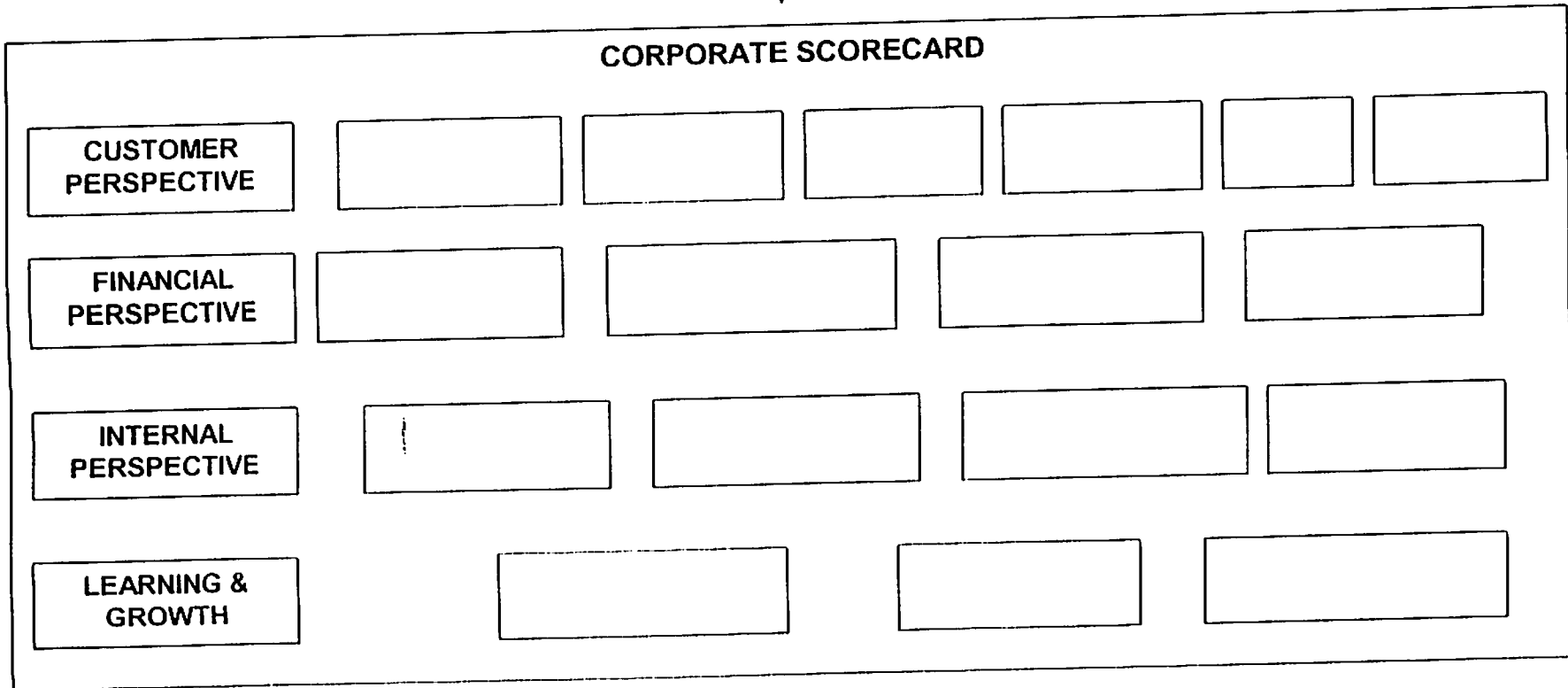
THE CITY OF OTTAWA: CORPORATE SCORECARD



CITY COUNCIL FOCUS AREAS



CORPORATE SCORECARD



This cascading process will continue within each department. For instance after the departments have developed their own scorecards, the branches within each department will be given the scorecards from which they will develop their own scorecards. The cascading process continues within the branches and eventually can go as far as individuals within the organization developing personal scorecards that detail how their individual jobs contribute to the overall success of the organization.

The scorecards at every level will be reflective of the first corporate scorecard. An example of this cascading process can be seen in Appendix 3. Therefore, this cascading process ensures that every individual within the organization is aware of how their job contributes to achieving corporate goals.

4.3 How it works

In order to understand how the Balanced Scorecard will contribute to the success of the city, an in depth examination will be made regarding each of the four perspectives. Within these four perspectives, a corporate scorecard will be built for the City of Ottawa. For instance after a description of the customer perspective, this paper will take information from the City of Ottawa and build the customer perspective. This exercise will continue with the other three perspectives. In order to build the corporate scorecard for the City of Ottawa, a public consultation document called *Ottawa 20/20: Charting a Course* will be used.

4.4 Ottawa 20/20: Charting a Course

Ottawa 20/20 is a City of Ottawa initiative regarding how they plan on managing the growth of the city over the next two decades. The intent of Ottawa 20/20 is to ensure that all issues and concerns are addressed. This two-year planning process began in June 2001 and will end in June 2003. The document

Charting a Course reflects the public consultation process the city was engaged in⁵⁰. This document is to provide guidance regarding the goals council and administration should focus on over the next 20 years.

Within this public consultation process, six major principles were developed regarding areas the public felt City Council should focus their efforts. Of these, only five will be represented on the Scorecard. The sixth recommendation for a "Creative City Rich in Heritage, Unique in Identity" will not be included. The reason for this is that the goals identified are too hard to measure.

The first principle recommended was for "A Responsible and Responsive City". Within this vision, the public wanted to see the city become more accountable, fiscally responsible and partake in more partnerships. Additionally, the public wanted to see a more open system and wanted council to strive to educate the public on major decisions being made.

The next focus area that was recommended was "A Caring and Inclusive City". Within this area, citizens were most concerned about issues such as their personal safety and security, civic engagement, healthy living, diversity and access to the basics. This 'access to the basics' category suggested that all people should have access to adequate income, food, clothing and housing regardless of their financial status.

The third recommendation was for "A Green and Environmentally Sensitive City". Issues that citizens felt were important in this category include living in a green city, that development should be in harmony with the Environment, there should be a focus on walking, cycling and public transportation and the city must work to ensure that clean air and water exist.

⁵⁰ City of Ottawa: "Charting a Course"

Next, citizens declared they wanted "A City of Distinct Livable Communities". This recommendation includes concerns such as having a sense of community, complete communities (variety of housing choices, employment, parks and a wide range of services and facilities), easy mobility and beauty.

Finally, the last recommendation was for "An Innovative City Where Prosperity is Shared Among All". This recommendation is for strong export-based economic generators, strong local businesses, a strong rural economy, techniques for connecting people to opportunities and methods for connecting businesses to a skilled workforce.

4.4.1 How and why *Charting a Course* will be used

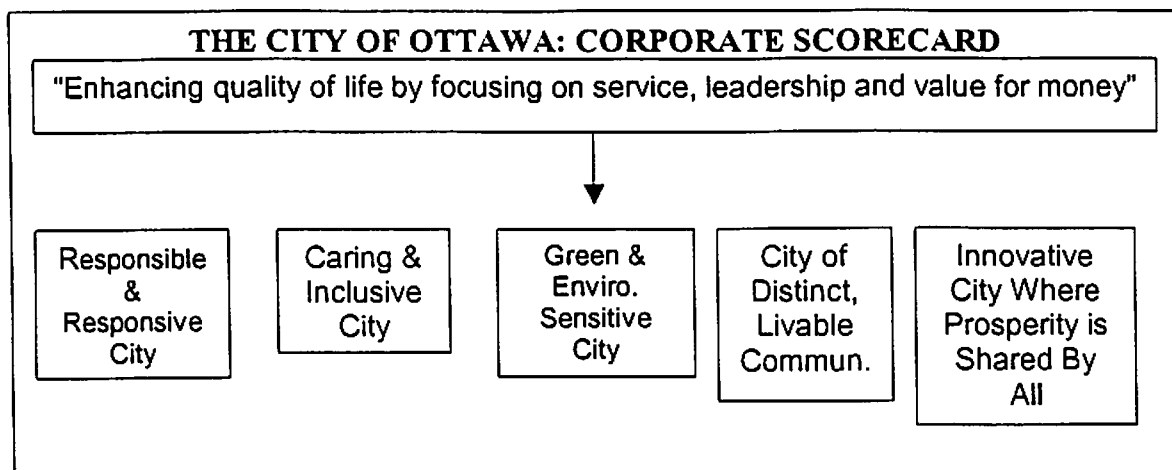
These five recommendations have been identified by the public and can be translated into the overall goals of the Corporate Scorecard. Because the City of Ottawa sees public consultation as being of great importance and because the recommendations from *Charting a Course* will guide all other growth management plans, these five recommendations will serve as the overall goals and objectives of the corporation.

Charting a Course is effectively the starting point of designing a performance management program. It identifies the main focus areas and states what citizens would like to see their community evolve into. Therefore, overall citizen goals and objectives have been identified. However, this process does not identify metrics that would assess how successful the city is in meeting these goals. A Corporate Scorecard would take these focus areas and ensure that each of the four perspectives [customers, financial, internal, learning and growth] measures success.

4.5 City of Ottawa's Corporate Scorecard

Consequently, these five recommendations that have been identified by the public are translated into the overall goals of the Corporate Scorecard.

Figure 11: Corporate Scorecard: City Council Focus Areas



Appendix 4 illustrates how the overall corporate scorecard looks. When looking at this appendix, many boxes appear beside each of the perspectives. These boxes will be filled with corporate objectives. These objectives will clarify how the City of Ottawa will implement strategy. In order to accomplish this, these objectives will have broad definitions, which will provide the context for what is to be achieved⁵¹. Therefore, the relationship between the goals, objectives and four perspectives will serve as a blueprint for the City of Ottawa operations.

For each objective identified, there should be a set of strategic measures and targets. Developing these measures is a complex task. Fortunately, many departments within the City already have established measures, which may be used.

4.5.1 The Customer Perspective

The customer perspective concerns itself both with the ability of the organization to provide quality goods and services to its clients and, the effectiveness of their delivery⁵². Therefore, this perspective revolves around overall customer satisfaction. It describes the ways in which value is to be created for customers and how customers demand to be satisfied.

The reason this perspective is important is because managers in local government organizations must know if the organization is meeting citizen's needs. Managers determine this by asking themselves if the organization is delivering the services that the customers want⁵³.

In the private sector, most of the effort within the customer perspective is directed at determining how to increase the number of customers buying a product or using a service⁵⁴. The Balanced Scorecard would determine this by surveying clients and finding out how satisfied they are with the product/service, what they would like to see from the product/service in the future and how effective customers see the organization's product as being. This perspective is recognized as being one of the most important in private sector organizations. Many even argue that it is more important than the financial perspective.

In the public sector, the customer perspective is seen to be the most important and many argue that it should be the heart of a municipality's scorecard. By examining the City of Charlotte's Balanced Scorecard, it is evident that they devote the majority of their attention to this perspective. The reason why this perspective is so important to local governments is because they exist to serve their public.

Accordingly, the City of Ottawa should place emphasis on this perspective and develop objectives that reflect the overall goals of the organization. Appendix 5 illustrates these objectives. The objectives identified include accountability; public awareness; personal safety and security; focus on walking cycling and public transportation; diversity; and the promotion of economic opportunity to all. Therefore, this perspective includes six objectives.

⁵¹ City of Charlotte website. "Performance Management"

⁵² Procurement Executives' Association. "Guide to Balanced Scorecard Performance Methodology"

⁵³ City of Charlotte website. "Performance Management"

Each of the six objectives within this perspective would have a broad definition, which provides the context for what the City of Ottawa hopes to achieve. For example, the broad definition that might accompany the 'accountability' objective would be as follows: The City should increase leadership by following through and sticking to its decisions, by conducting on-going strategic monitoring and making appropriate adjustments⁵⁵.

Another example of a broad definition may be seen with the 'personal safety and security' objective. A broad definition could be to increase the number of people who feel safe in their homes and communities and increase the number of people who feel safe traveling around the city⁵⁶. From here, individuals departments would develop objectives that relate to this objective and others located on the corporate scorecard.

The reason the 'Customer Perspective' contains more objectives than other perspectives are because of the City of Ottawa's current culture. As discussed earlier, Ottawa has an entrepreneurial culture: both administration and council feel increasing customer satisfaction is a top priority within the city. Therefore, when measuring performance within the City of Ottawa, the customer perspective should receive the most attention.

4.5.2 The Financial Perspective

The second perspective that is located on the Corporate Scorecard is the financial perspective. This perspective emphasizes the cost efficiencies within the organization and the organization's ability to deliver maximum value to the

⁵⁴ Nils-Goran Olve. "A Practical Guide to Using the Balanced Scorecard": 61

⁵⁵ City of Ottawa. "Charting a Course"

⁵⁶ Ibid

customer⁵⁷. Therefore, it is within this perspective that many of the traditional measurement indicators are located.

In the private sector, many organizations have found it useful to denote this perspective as being "the shareholder and financial perspective⁵⁸". In local government organizations however, this perspective ensures that managers are focusing on meeting service needs in an efficient manner. This perspective answers the question of whether services are being delivered at a good price⁵⁹.

Appendix 6 illustrates four objectives the City of Ottawa should pursue in order to answer the question of whether the city is delivering services at a good price. The objectives include: maximizing benefit/cost; increasing public-private partnerships; increasing the tax base; and examining alternative service delivery. The reason these four objectives have been chosen is because they are all issues the city is currently examining. For instance, the city recently hired a director to be in charge of a two-year project, which seeks to increase the number of public-private partnerships (P3) the city enters into. This focus is thought to be financially beneficial to the City of Ottawa, as it will allow the city to pursue interests that were once thought to be non-existent.

An example of a broad definition that could apply to the 'increase tax base' category could be: increase tax revenue by increasing new business development, retaining existing businesses, and encouraging residential/commercial developments⁶⁰. This objective and the three others all tie back to the overall goals of the organization.

4.5.3 The Internal Process Perspective

⁵⁷ Procurement Executives' Association. "Guide to a Balanced Performance Management Methodology"

⁵⁸ Nils-Goran Olve. "A Practical Guide to Using the Balanced Scorecard": 60

⁵⁹ City Of Charlotte website. "Performance Management"

⁶⁰ Ibid

The third perspective is the 'Internal Process Perspective', which focuses on internal business results that lead an organization to financial success and satisfied customers⁵¹. This perspective attempts to answer the question of 'what processes generate the right forms of value for customers and lead to the fulfillment of customer expectations?'⁶². As a result, this perspective describes all the organizations processes in terms of customer needs through the delivery of the service.

In local government organizations this perspective is important because it describes the processes that lead to customer satisfaction. Currently in the public sector, the increasing emphasis on program evaluation is reflective of this perspective. In program evaluation, an employee analyzes programs to ensure that all steps taken to complete the project or program are being completed in the most efficient manner possible and that all steps are causally linked.

Appendix 7 illustrates four objectives that the City of Ottawa could adopt within this perspective. Included are: enhanced customer service; improve productivity; promote civic engagement; and fiscal responsibility. These objectives were chosen because of their suitability with the city's current goals. For example, the success of these internal objectives will ensure that the overall goals are achieved.

4.5.4 The Learning and Growth Perspective

And finally, the last category located on the corporate scorecard is the 'learning and growth' perspective. This perspective looks at the ability of employees, the quality of information systems and the effects of organizational alignment in supporting accomplishments of organizational goals⁶³. Essentially, in the private

⁵¹ Procurement Executives' Association. "Guide to a Balanced Scorecard Methodology"

⁵² Nils-Goran Olve. "A Practical Guide to Using the Balanced Scorecard": 62

⁶³ Procurement Executives' Association. "Guide to a Balanced Scorecard Methodology"

sector this perspective enables the organization to ensure its capacity for long-term growth.

In a local government, the 'learning and growth' perspective deals with an organization's ability to improve and meet citizen's demands which ties directly to the employee's ability to meet those demands. This perspective seeks to answer the question of whether the organization is maintaining technology and employee training for continuous improvement⁶⁴. This is important in local governments, as it will assist the organization in ensuring that new methods and techniques are always known.

The final appendix, Appendix 8 shows the objectives for this perspective. They are: improve employee motivation; increase flexibility; and increase cross-functional coordination. Like the other perspectives, all objectives found in this category relate to achieving the overall goals of the organization.

4.6 The Implementation of the Balanced Scorecard

Therefore in total, 17 objectives have been identified. As stated earlier in this paper, these objectives exist to deliver strategies. After the overall goals and objectives have been identified, measures are designed to indicate how well the organization is achieving its overall goals. In order to measure how successful the organization is, each objective is rated in accordance to how important the organization sees it as being.

For example, the City of Ottawa might assign a total value of 100 points to their Corporate Scorecard. These 100 points will be distributed to each objective. The city may think 'enhancing customer service' (in the internal perspective) is the most important objective and accordingly, assign it a value of 10 points.

⁶⁴ City of Charlotte website. "Performance Management"

Subsequently, the city would design specific measures to rate how well the city is doing in terms of achieving this specific objective.

After all measures and points have been assigned at the corporate level, the scorecard is cascaded down the organization. The City of Ottawa would do this by cascading the scorecard first to each of the six departments. The departments would then cascade their scorecards to each of the branches. This process can continue until each individual employee has designed his or her own personal scorecard.

When creating these cascading scorecards it is important to note that while some of the measures used may be the same throughout the entire organization, in most cases the lower-level scorecards will include measures that are reflective of the specific opportunities and challenges that they face⁶⁵. Therefore, it is not essential that all measures be cascaded throughout the organization. Instead, it is important that all departments, branches and teams design measures they feel contribute to achieving the overall goals of the corporation.

Therefore by examining each of the four perspectives individually and the overall process of the Balanced Scorecard, it is evident that this approach is applicable to the City of Ottawa. If the City of Ottawa implements this performance management system into their organization, they may be able to experience the cost saving proposed by amalgamation.

5.0 Discussion

5.1 Importance of Measuring Performance: Other Perspectives

Even though municipalities adopt performance management programs for a variety of reasons, potential benefits are numerous. The City of Calgary for example is a municipality committed to providing high quality services at the lowest possible

cost. Like most municipalities, they experienced a significant decrease in funding between 1991 to the present. Annual provincial grants and subsidies decreased by 67% during this time. In addition, Council decided not to increase property or business taxes between 1994 and 1997⁶⁶.

In order to solve this problem of decreasing funds, the City of Calgary introduced performance measures in 1995 and credits its implementation to helping the city maintain high quality services during their time of reduced revenues. The City of Calgary is further developing their system and is currently designing a Balanced Scorecard for their organization⁶⁷. Therefore, the City of Calgary has used their performance management system to deal with increasing fiscal constraints.

Another municipality who experienced success after implementation of its Balanced Scorecard is the City of Charlotte. This city uses the same process as the one proposed for the City of Ottawa. Within this city, the Balanced Scorecard has given focus to the organization and has enabled the translation of strategy into tangible objectives and measures⁶⁸. The Scorecard provides a quick but comprehensive view of progress across the four perspectives.

Therefore, the examples of the City of Calgary and the City of Charlotte have been included as they demonstrate two potential benefits that can arise from the implementation of performance management systems. In the City of Calgary, the municipality was able to increase their efficiency in delivering services, which has resulted in cost savings. The City of Charlotte noted that their system has provided focus to the organization and accordingly, all employees are now aware of corporate goals and strategies.

⁶⁵ Paul Niven. "Balanced Scorecard Step-by-Step": 202

⁶⁶ Paul Dawson and Archie Chumak. "Performance Measurement at the City of Calgary"

⁶⁷ Ibid

⁶⁸ City of Charlotte website. "Performance Management"

What is common about the experiences of the City of Charlotte and the City of Calgary returns to the cliché of 'what gets measured gets done'. Both municipalities focused on measuring things they thought were vital to the success of their organization. David Osborne and Ted Gaebler refer to a similar notion in their book *Reinventing Government*.

"If you don't measure results, you can't tell success from failure. If you can't see success, you can't reward it. If you can't reward success, you're probably rewarding failure. If you can't see success, you can't learn from it. If you can't recognize failure, you can't correct it. If you can demonstrate results, you can win public support⁶⁹"

This quotation highlights a benefit to measuring performance. Measuring performance shows where successes, efficiencies, in an organization are.

5.2 Benefits to the City of Ottawa

Both examples of the City of Calgary and the City of Charlotte reveal situations relevant to the City of Ottawa. Similar to Calgary, administration in the City of Ottawa is under pressure to make its operations more efficient. Although not facing decreases in funding, both the province and council are waiting to see the cost savings that have arisen due to amalgamation. Therefore, the implementation of a Balanced Scorecard in the City of Ottawa could result in cost savings anticipated by many.

The City of Ottawa could also achieve the outcomes the City of Charlotte realized when they implemented their Balanced Scorecard. As previously stated, the City of Charlotte has benefited from linking corporate strategies with goals and objectives. This has resulted in an increased focus on overall organizational goals as opposed to only branch and departmental goals. As the City of Ottawa is in a state of major change, they need something that will bring focus to the organization and will help achieve the cost savings proposed through amalgamation.

In addition to these two benefits, the City of Ottawa could gain additional advantages from the implementation of a Balanced Scorecard.

5.2.1 Accountability

Accountability is one of the key components of performance management systems. For instance, these systems are designed to illustrate where inefficiencies are taking place. Accordingly when inefficiencies are spotted, the people responsible for the task are held accountable. Accountability within public organizations is demanded from the public. Citizens want local government employees to be held accountable for both their spending and actions. Balanced Scorecard's make employees accountable for their actions by pinpointing where inefficiencies are taking place.

In addition to providing accountability within organizations, the Balanced Scorecard take this practice one step further by giving the public something they can assess themselves. For instance, Balanced Scorecards give detailed reports that can be accessed by the public.

Within these reports, objectives and goals are highlighted and results of the measures are shown. Citizens are able to see exactly where resources are being used and moreover, how efficiently they are being used. Therefore, citizens themselves become judges and are able to assess the municipalities spending actions themselves. By doing this, municipalities are giving citizens another opportunity to become involved in local government politics.

5.2.2 Civic Engagement

Performance management systems also open the lines of communication between citizens and governments. The current levels of civic disengagement at the local level are of great concern. Local governments are constantly striving to find

⁶⁹ Osborne and Gaebler. "Reinventing Government"

new methods of getting citizens involved in local politics. The popularity of many public consultation methods on the part of governing managers is evidence of governments trying to get more citizens involved.

However despite the great efforts made by local governments, civic disengagement is still a constant problem. A recent study by Geoffrey Segal and Adam Summers illustrated the following:

“Citizens remain unenergetic and removed from the level of government closest to them, often because they lack the simple knowledge of what government services have been provided and in what quantities, and are unable to determine such information from government documents. Even today, most citizens would be hard pressed to determine how their tax dollars are being spent, and whether or not they are spent wisely. Most municipal documents serve internal purposes and do little to educate or assist the citizen.”

Therefore, if citizens were given the basic information they may become more involved. The above quotation from Segal and Summers also highlights a very important point: It is not that citizens do not want to be involved, the means for them to get involved are not made available to them.

Consequently, to improve the relationship between the governed and the governing, local government organizations need to focus on measuring their performance, having a more efficient government and having an informed citizenry⁷⁰. One way local governments can achieve this is through communication regarding performance.

Accordingly, one of the underlying features of performance management systems is that they provide information to the public in a readable fashion. The information given to the public would state exactly what services are being provided, how much money is being spent on them and whether or not they are being provided in the most efficient manner.

⁷⁰ Segal and Summers. “Citizens’ Budget Reports: Improving Performance and Accountability in Government”

Therefore, the potential benefits the City of Ottawa could experience from the implementation of performance management systems are numerous. In addition to experiencing cost savings and increased organizational focus, the City of Ottawa could potentially become more accountable to its citizens and have more citizens involved in local government politics.

6.0 Conclusion

Although many topics and issues have been discussed throughout this paper, one issue remains central: Amalgamation within the City of Ottawa was advocated by the Harris Conservatives and former Mayor Jim Watson because of the potential cost savings. In order for the city to benefit from these potential savings, a uniform performance management system should be implemented. The City of Ottawa should take advantage of the major organizational change that has resulted due to the recent amalgamation and implement a Balanced Scorecard.

The implementation of a Balanced Scorecard would be beneficial to the City of Ottawa as it would demonstrate where within the organization inefficiencies are taking place. Furthermore, a Balanced Scorecard would bring organizational focus to the city in this time of major change by ensuring departmental goals and objectives are reflective of corporate strategies.

In conclusion, the City of Ottawa, similar to the amalgamation of the City of Toronto, represents a test case for current Conservative government's view that amalgamated cities are more efficient than multiple jurisdiction urban areas. In order for Ottawa's administration to prove the new city is more efficient, implementing a Balanced Scorecard would be beneficial.

APPENDICES

APPENDIX 1

HUMAN RESOURCES RESTRUCTURING: DETAILED DESIGN
PREPARED FOR: OTTAWA TRANSITION BOARD
DATE: OCTOBER 4, 2000

DEPARTMENT OF HUMAN RESOURCES **Cost Center: Operating department Management Division**

GOAL: To provide leadership and direction to the Department of Human Resources service areas to ensure proactive, innovative, and responsive service in support of our customers.

Objectives

- § To maintain 100 percent compliance with all time-sensitive deadlines on operating department budget projects.
- § To provide Human Resources Information System (HRIS) management and support to ensure successful implementation of 100 percent of HRIS projects by required dates, in order to support the mission-essential operations of all County HRIS customers.

Performance Indicators

Output:

Budget projects completed
HRIS projects completed

Efficiency:

Average cost per budget project
Average cost per HRIS project

Service Quality:

Accuracy of budget projects complete
Percent of HRIS projects completed by data required

Outcome:

Percent of operating department budget projects successfully completed on time
Percent of County HRIS dependent projects successfully completed

Cost Center: Employment Division

GOAL: To support operating departments in the selection and development of competent employees by providing effective, cost efficient recruitment and selection consulting services.

Objectives

- § To identify the public safety candidates' best qualified for promotion by developing and administering 12 fair and valid examinations to assist operating departments in developing valid performance standards.
- § To reduce the time to provide well-qualified applicants to operating departments from an average of 10 workdays after end of recruitment to 9 workdays for 70 percent of jobs and to implement downsizing efforts by assisting affected employees through the RIF process in less than 30 days.
- § To reduce time to process resumes into RESUMIX system from within 48 hours of receipt to 24 hours.
- § To reduce the average time to fill vacant positions with Fairfax County Government from 62 to 53 days.
- § To increase the diversity of applicants for targeted jobs and underutilized classes primarily at the senior management/executive level in FY 2001 by 10 percent.
- § To increase outreach efforts conducted for targeted jobs/underutilized classes by 20 percent in FY 2001.
- § To decentralize the certification process to requesting operating departments.

PERFORMANCE INDICATORS

OUTPUT:

Tests developed and administered
Personnel requisitions received
Resumes processed
Employees assisted through the RIF procedure

Job announcements placed
 Outreach contacts made :
Efficiency:
 Cost per resume processed
 Resumes processed per data entry staff
 Personnel cost per hire
 Resumes processed per recruitment analyst
 Advertising cost per position
 Advertising cost per applicant
 Cost per outreach contact :
Service Quality:
 Tests completed on time
 Tests developed that meet Federal validation standards
 Standards developed that meet Fairfax County's guidelines
Outcome:
 Percent of promoted public safety employees that meet or exceed minimum performance standards
 Percent satisfaction of public safety agencies with tests developed
 Percent of jobs for which resumes are given to operating departments within 9 workdays of recruitment closing date
 Percent of new employees who meet or exceed operating department minimum performance standards
 Percent of increase of minority applicants, female applicants for positions at the S-29 level and above and workers with disabilities in the County workforce
 Percent of minority, female and workers with disabilities who are finalists in the selection process
 : Outreach contacts made are the number of group contacts made to recruit minorities, females for senior level positions at and above the S-29 level and workers with disabilities.
 : Cost per targeted job/underutilized class outreach contact is calculated based on the estimated number of 100 job classes.

Cost Center: Employee Benefits Division

GOAL: To develop, administer and communicate health, financial and supplemental benefit programs for County employees and retirees, in order to provide and support a comprehensive, affordable and cost effective benefits package which will assist operating departments in attracting and retaining employees who will meet their customer service goals.

Objectives

§ To provide comprehensive health care programs for 12,000 subscribers including employees, retirees, and supplemental groups by increasing employee participation in benefit programs by 2.0 percent over current year enrollment.
 § To increase FICA savings for flexible spending plans by 5.0 percent and achieve \$1,200,000 in FICA savings from all pre-tax plan enrollments.

Performance Indicators

Output:
 Enrollments in benefit programs per year
Efficiency:
 Cost per premium for County health plans as a percent of other government plans
Service Quality:
 Customer Satisfaction Index:
 Dental Plan
 Fair Choice/COA
 Percent of eligible active employees enrolled in health plans
Outcome:
 Percent change of enrollments in benefits programs :
 Percent change of FICA savings for flexible spending plans :
 FICA savings from all pre-tax plan enrollments
 : The FY 1998 actual FICA saving of 19 percent is due to a large number of employees enrolling in Flexible Spending Accounts.
 : The FY 1999 actual increase of 25.2 percent in enrollment programs is due to basic life insurance being provided to all employees.

Cost Center: Payroll Division

GOAL: To provide accurate, timely, well-received personnel and payroll services to employees and operating departments in order to support the public service functions performed by these individuals and organizations.
NOTE: The County's Telecommuting Program is coordinated within the Payroll Cost Center. The goal for that service area is: to provide information and assistance on telecommuting for County employees, operating departments, citizens, businesses and organizations in order to reduce traffic, promote clean air, increase employee productivity, and add to the quality of employee work and family life.

Objectives

- § To maintain the standard of 99.9 percent accuracy and timeliness of personnel and payroll actions.
- § To maintain the standard of responding to information requests related to personnel and payroll with 99.9 percent accuracy and timeliness.
- § To maintain the standard of providing 99.0 percent accurate and timely response to customer requests for training and technical assistance.
- § To maintain support for 100 percent of County telecommuters presently 3.0 percent of the workforce.

Performance Indicators

Output:

- Employees supported
- Pay records processed
- Direct deposit participants (average bi-weekly)
- Time records processed
- Personnel actions received
- Information requests (written and verbal) received
- Operating department and employee requests for training and technical assistance
- Personnel/payroll documents filed (average bi-weekly)
- Telecommuting participants

Efficiency:

- Cost per pay record (check, direct deposit)
- Cost per time and attendance record, report, verification
- Cost per personnel action unit
- Cost per document filed, retrieved, copied

Service Quality:

- Customer Satisfaction Index
- Compliance Index

Outcome:

- Percent of on-time and accurate payroll actions completed
- Percent of on-time and accurate personnel actions completed
- Percent of on-time and accurate time and attendance records processed
- Percent of on-time and accurate responses provided to customers' information requests
- Percent of training and technical assistance provided to customer's satisfaction
- Percent of personnel/payroll documents filed on-time and accurately
- Percent of telecommuters supported

DEPARTMENT OF HUMAN RESOURCES

Cost Center: Classification and Compensation Divisions 1

GOAL: To design and administer classification and compensation systems that provide fair and competitive salaries in order to attract and retain the most qualified individuals in positions of employment with Fairfax County.

Performance Indicators

Output:

- Surveys completed
- Satisfied survey respondents
- Position Control Forms analyzed

Efficiency:

- Time spent completing each survey
- Time spent per service request
- Cost per position Control Form analyzed

Service Quality:

- Mean response to questions regarding satisfaction (5 point scale)
- Average response time (calendar days) for analyzing position control forms
- Percentage of customers satisfied with service response

Outcome:

- Percentage of surveys completed on time
- Percentage of customers satisfied with service response
- Percentage of position control forms analyzed within 3 days

Cost Center: Employee Relations Division

GOAL: To develop, administer and communicate employee relations programs and services to all County employees, in order to increase awareness and knowledge of rights and responsibilities of the workforce and enhance communication, understanding and organizational relationship-building among the workforce which enable employees to develop effective, collaborative, work relationships.

Objectives

§ To increase the percentage of requests for information and consultation (advice) related to employee relations responded to within one business day by 2 percentage points, from 90 to 92 percent, toward a target of 98 percent.

§ To increase the percentage of the workforce expressing satisfaction with availability, clarity and quality of information and services provided by Employee Relations by 2 percentage points, toward a target of 95 percent, while maintaining a 95 percent satisfaction rating of the Courier.

Performance Indicators

Output:

Responses to inquiries for information within one business day ;
Responses to inquiries for consultation (advice) within one business day ;
Editions of the Courier published

Efficiency:

Customers served per FTE position providing information/service:

- Awards
- General Training
- Organizational development

Customers served per position providing consultation/advice :

Cost per edition of the Courier

Service Quality:

Percent of responses to inquiries within one day

Percent of responses to consultation requests within one day

Percent of survey respondents indicating satisfaction with availability, quality and clarity of information and customer service provided by:

- awards programs
- general training
- organizational development
- policy/grievance information and consultation

Percent of survey respondents expressing satisfaction with Courier ;

Outcome:

Percentage point change in rate of response to requests for information within one business day

Percentage point change in rate of response to requests for consultation within one business day

Percentage point change in rate of survey respondents expressing satisfaction with availability, clarity, and quality of information and customer service provided by Employee Relations

1 Reflects total number of responses provided. In FY 2000, data will be collected on number of responses within one business day.

1 For FY 1997 and FY 1998, the listed number is per position. For FY 1999, FY 2000, and FY 2001, the listed number is per FTE.

1 Responses based on DHR Customer Satisfaction Survey that is to be conducted annually.

**APPENDIX 2 The New City of Ottawa
2001 - 2003 Business Plan & Budget**

Department: *Corporate Services*
Branch: *Client Services (Point of Service)*

KEY STRATEGIES 2001 - 2003

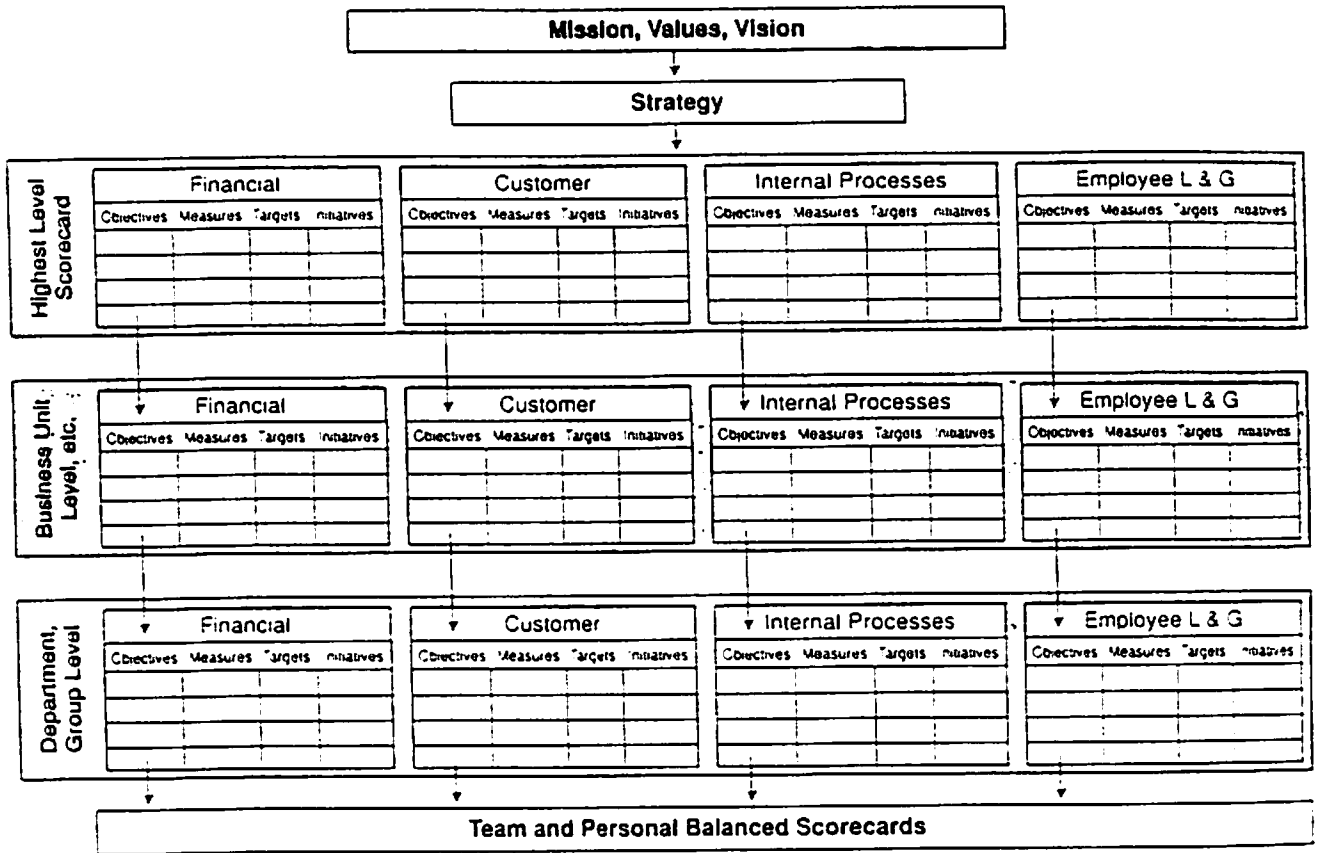
- A one stop Client Service Centre located in the new City Hall;
- Satellite Service Centres located in Cumberland Town Hall, West Carleton Town Hall, Rideau Town Hall, Nepean City Hall, Osgoode Town Hall, and Kanata City Hall;
- Secondary Service Centres made available by using existing recreation and library facilities;
- E service delivery through kiosks, interactive voice recognition systems (IVR), web enabled transactions, fax back systems, etc.;
- A consolidated Call Centre and radio dispatch operation.
- Consolidated first level support for as many services as possible through Client Services, with the policy/process and more technical or specialized functions aligned to, and provided by, the appropriate department;
- The establishment and monitoring of corporate-wide best practices, and performance measures for client services.

PERFORMANCE MEASURES:

SERVICE	EFFICIENCY	MEASURES EFFECTIVENESS	WORKLOAD
Call Centre	Response times vs. cost Calls answered per FTE. Time spent "up-front" with Caller as part of resolving call at source measured against "optics" of Time spent with caller, Call response times, call wait times, as well as contribution of Call Center in doing front-line data entry to support back-end performance measurements.	Number of calls answered Number of calls completed by CSC vs number of calls referred to Client department Time required to dispatch call Customer/Client department feedback. Time spent in queue. Time spent with Caller. Benchmark comparisons with other government (municipal, provincial, federal) Call Centres. Review performance levels in accordance with seasonal spikes and specific one-time events.	Calls per hour to determine peak volume times Response times Tracking of Service Requests and Info Calls to determine most common call types, volume per service, level of support per Department.
Client Service Centres	Transactions per employee. Average waiting time per client in receiving service. No of pieces of correspondence handled.	Number of complaints. Customer comments. Feedback from client departments. Customer satisfaction cards. No. and type of Councillor Inquiries.	Transactions per hour. Number of daily visits and calls to each centre per hour to determine peak volume times.
E-Service	Volume of transaction vs. cost to operate portal. Volume and category of requests by e-mail. Volume of on-line store requests.	Number of visits to portal Transaction volumes by type and service method. Client Feedback regarding accessibility, ease of transacting on-line, confidence in security of transaction, and overall satisfaction of service. Tracking of commonly purchased products and requests for products to ensure City delivers that which is most requested.	Time spent maintaining portal Reduction in transaction involving staff interaction. Time spent processing credit card requests (purchases) and fulfilling orders.
Customer Service Policy Development		Customer/client department feedback	

APPENDIX 3

THE CASCADING PROCESS



THE CITY OF OTTAWA: CORPORATE SCORECARD

“Enhancing quality of life by focusing on service, leadership and value for money”



CITY COUNCIL FOCUS AREAS

A Responsible & Responsive City

A Caring & Inclusive City

A Green & Environmentally Sensitive City

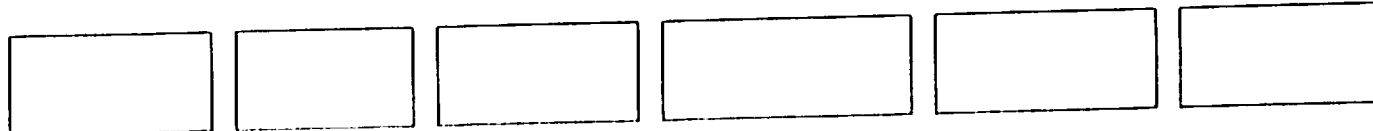
City of Distinct, Liveable Communities

An Innovative City Where Prosperity Is Shared By All

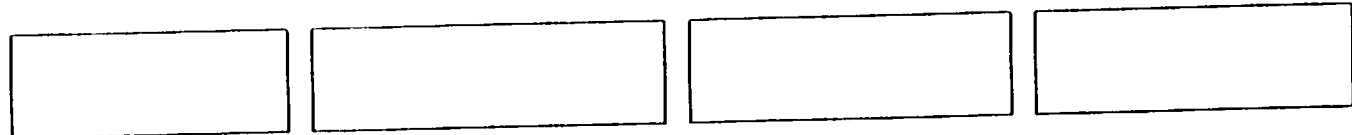


CORPORATE SCORECARD

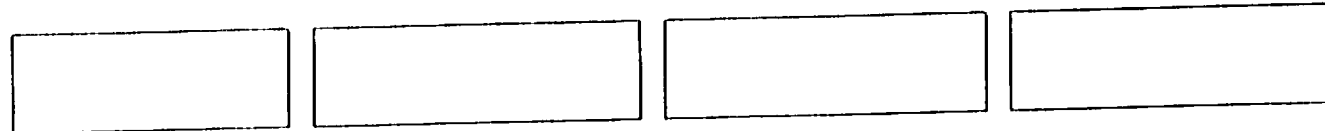
CUSTOMER PERSPECTIVE



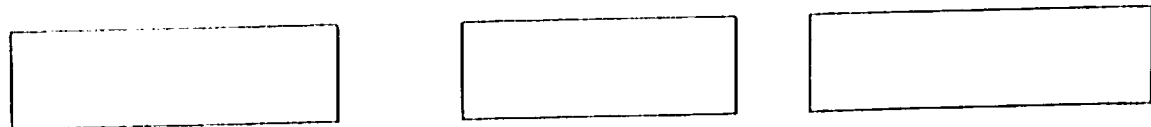
FINANCIAL PERSPECTIVE



INTERNAL PERSPECTIVE

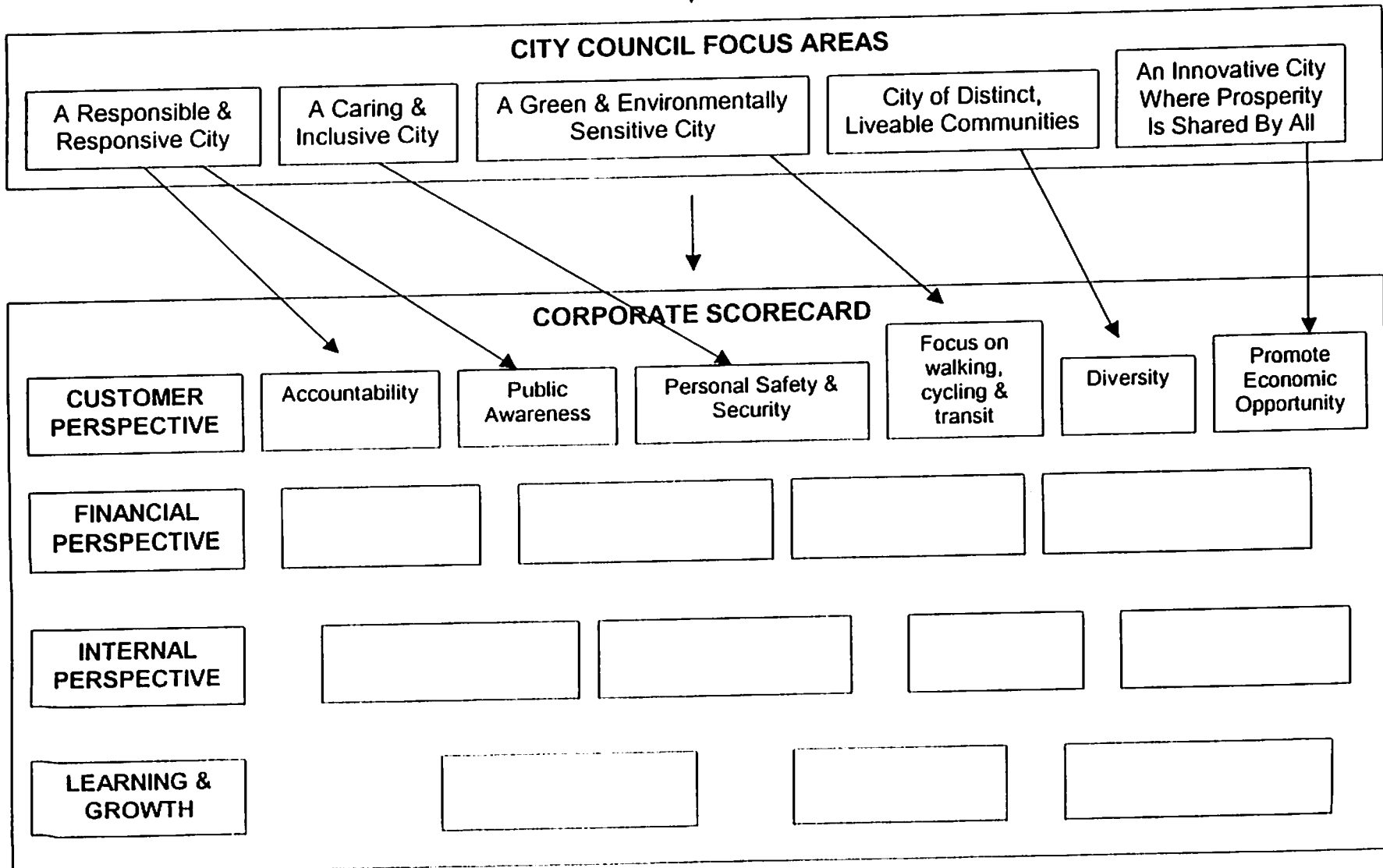


LEARNING & GROWTH



THE CITY OF OTTAWA: CORPORATE SCORECARD

"Enhancing quality of life by focusing on service, leadership and value for money"



THE CITY OF OTTAWA: CORPORATE SCORECARD

"Enhancing quality of life by focusing on service, leadership and value for money"



CITY COUNCIL FOCUS AREAS

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A Green & Environmentally Sensitive City

City of Distinct, Liveable Communities

An Innovative City Where Prosperity Is Shared By All



CORPORATE SCORECARD

CUSTOMER PERSPECTIVE

Accountability

Public Awareness

Personal Safety & Security

Focus on walking, cycling & transit

Diversity

Promote Economic Opportunity

FINANCIAL PERSPECTIVE

Maximize Benefit/Cost

Public-Private Partnerships

Increase Tax Base

Alternative Service Delivery

INTERNAL PERSPECTIVE

LEARNING & GROWTH

THE CITY OF OTTAWA: CORPORATE SCORECARD

"Enhancing quality of life by focusing on service, leadership and value for money"



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CORPORATE SCORECARD

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Focus on walking, cycling & transit

Diversity

Promote Economic Opportunity

FINANCIAL PERSPECTIVE

Maximize Benefit/Cost

Public-Private Partnerships

Increase Tax Base

Alternative Service Delivery

INTERNAL PERSPECTIVE

Enhance Customer Service

Improve Productivity

Promote Civic Engagement

Fiscal Responsibility

LEARNING & GROWTH



THE CITY OF OTTAWA: CORPORATE SCORECARD

"Enhancing quality of life by focusing on service, leadership and value for money"



CITY COUNCIL FOCUS AREAS

A Responsible & Responsive City

A Caring & Inclusive City

A Green & Environmentally Sensitive City

City of Distinct, Liveable Communities

An Innovative City Where Prosperity Is Shared By All



CORPORATE SCORECARD

CUSTOMER PERSPECTIVE

Accountability

Public Awareness

Personal Safety & Security

Focus on walking, cycling & transit

Diversity

Promote Economic Opportunity

FINANCIAL PERSPECTIVE

Maximize Benefit/Cost

Public-Private Partnerships

Increase Tax Base

Alternative Service Delivery

INTERNAL PERSPECTIVE

Enhance Customer Service

Improve Productivity

Promote Civic Engagement

Fiscal Responsibility

LEARNING & GROWTH

Improve Employee Motivation

Increase Flexibility

Increase Cross-Functional Coordination

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