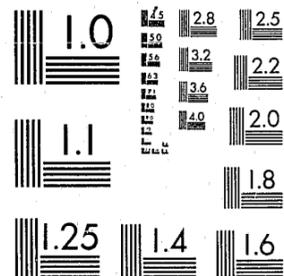National Criminal Justice Reference Service

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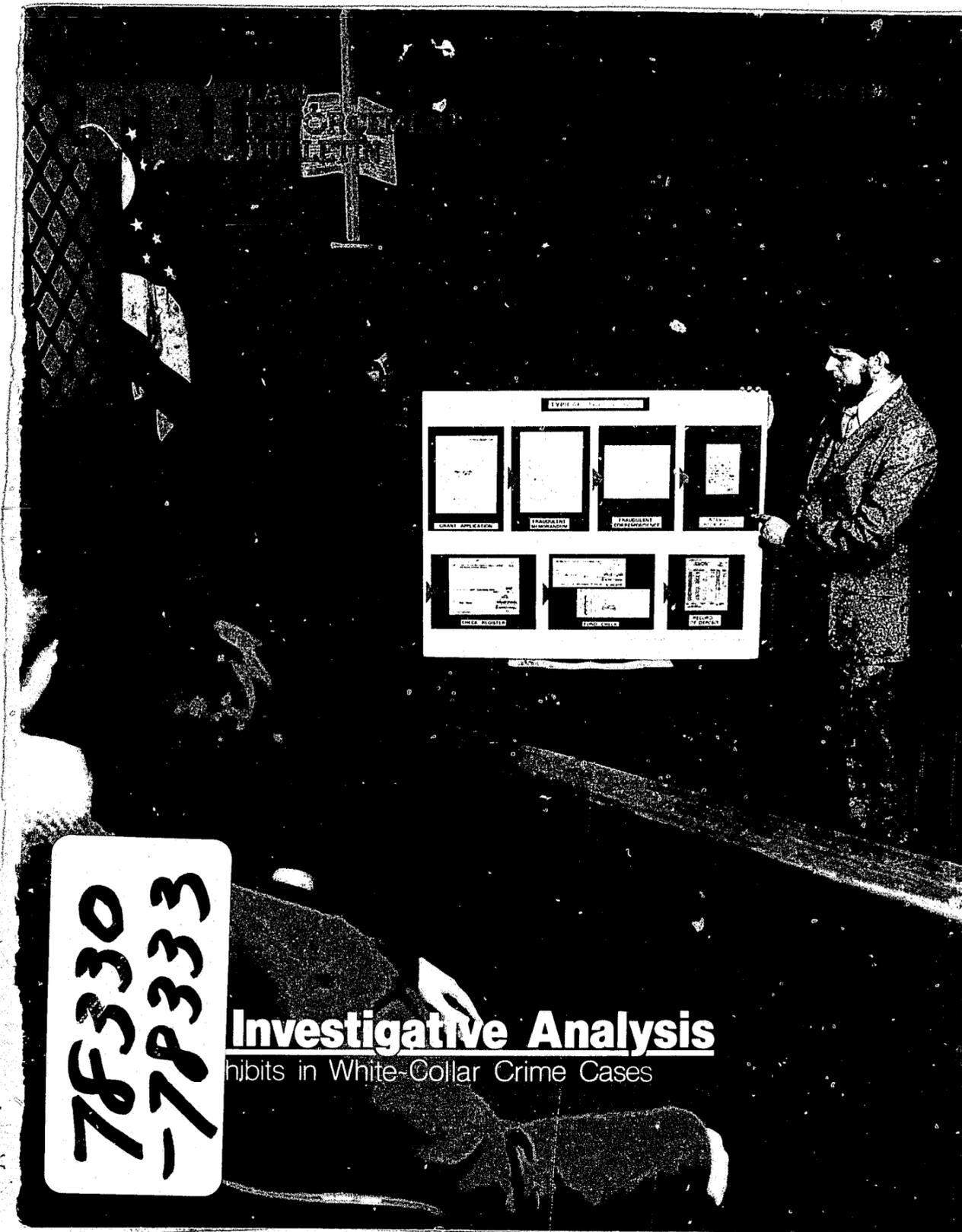NATIONAL BUREAU OF STANDARDS-1963-A

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Investigative Analysis
Exhibits in White-Collar Crime Cases

FBI LAW ENFORCEMENT BULLETIN

Contents

Results Management

(Conclusion)

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Part I of this article featured an overview of the results management program of the Colorado State Patrol. The conclusion will discuss the various programs and processes of the project.

Program Planning

Program planning is emerging as a management discipline. Traditionally, the program manager is the person with the most complete knowledge of needs, benefits, ultimate objectives, and functions. Historically, he has been ill-equipped to articulate the program in a generally understandable way and has had the added difficulty of not being able to spare large amounts of time from technical responsibilities to develop "systematized" plans. Managers have needed planning tools to assist them.

The major portion of work needs to be done prior to actually quantifying objectives. This segment, called the workplan, should involve all members of the team so that there is a clear plan on how to reach the objectives. Once the general objectives are set, they must be quantified so that success can be measured.

Results-oriented objectives specify in quantifiable terms what is to be accomplished in a specified time period. Setting objectives is not a "cure-all" for management's problems, nor is it a paperwork "gimmick" to compound management's problems. It is part of a systematized process to aid all levels of an organization in accomplishing management's goals. It is not intended to be used to keep subordinates in line.

Establishment of Objectives

Once the goals are understood by all members of the organization, the supporting objective cycle begins. This is a chance for all levels of the organization to contribute to and feel a part of the decisionmaking process of the organization. Individual motivation is increased when one is allowed to establish his own objectives and discuss and negotiate them with supervisors. Objectives are a communication tool—they can be understood by all levels of management.

Accomplishing objectives involves the cooperation of all levels of management as well as other organizations. Commitments to individual objectives start from lower management and work toward upper management, as each supervisor sets objectives in his area of responsibility. The key to the project is obtaining concurrence on the objectives from all levels of the organization. This requires that each level in the organization be evaluated on its contribution to the objectives rather than on the activity generated.

Major Dempsey

Each field unit in the patrol has established six objectives that address statewide goals. Beyond this, troops may establish objectives which address a local issue of concern or further support the goals of the division.

Objective Negotiation

One of the key elements in the management by objectives system is formal communication throughout the management hierarchy. The face-to-face meeting and sign off by the supervisor of the objective manager is imperative. The approval of the objective by the supervisor is, in effect, a "contract" between the supervisor and objective manager.

Approval means that the supervisor concurs that achieving objectives will contribute to his goal, the milestones listed will lead to its accomplishment within an acceptable time frame and cost, and the supervisor also agrees that the evaluation design measures accomplishment of the objectives.

The supervisor must be careful not to "meddle" in the workplan and force his will upon the objective manager in terms of the processes the manager will use in accomplishing the objective. This will be one of the tests of the workability of the management by objectives system. The supervisor must not destroy the ownership and commitment of the objective manager. Before designing the workplan and writing objectives, the objective manager must understand the critical resources and budget limitations.

Targeting

Because of limited resources, the organization needs to identify areas in which an impact can be made. If the resources are spread out, little impact is readily apparent. The Colorado State Patrol, therefore, determined that targeting objectives toward areas where maximum outcome can be measured would increase overall departmental effectiveness.

Steps in targeting include identifying and quantifying the problem and determining where improvement is most needed and achievable. For example, in the area of accident reduction, key stretches or areas of road could be identified, based on road designation, accident experience, traffic volume, length of segment, and roadway geometry, to name just a few.

The target selection should be based on potential impact, *not* enforcement behavior. Otherwise, the emphasis might be on the "fishing hole" where many citations will be issued, but no serious problems can be identified.

Impact is measured by factors such as energy conservation or accident reduction rather than activity such as the number of citations. Speed is not an output but rather a driver behavior (performance). It only *indirectly* measures energy conservation and accidents.

Evaluation

The evaluation process should be set during the objective setting phase. Evaluation, in the broadest sense, determines whether programs (products) or procedures (processes) should be undertaken, whether they are being properly conducted, and whether they have accomplished their objectives. It is a continuing process that takes place before, during, and after obtaining the desired result.

The evaluation process must not be complex. During the initial management by objective phase, the key elements of the evaluation process to be stressed are agreement between the

supervisor and the objective manager on the evaluation approach and availability of information to measure accomplishment. Departmentally, the patrol management information system was designed to provide the necessary information for evaluation of the objectives. Specific objective measures have been established for all statewide key objectives.

Evaluation answers increasingly frequent public demands for evidence of government effectiveness. It is important that citizens, legislators, program managers, and administrators know which efforts provide the greatest benefits and what the costs of those benefits are. Information essential for the prudent use of funds, manpower, facilities, and equipment is obtained through evaluation.

Renegotiation Process

Through continued evaluation of the desired results, success or failure can be identified at any point in the objective cycle. If it appears that results are not following the planned accomplishments, renegotiation of objectives should be considered.

The renegotiation process is an integral part of the results management program. If problems arise, several aspects of the program should be considered prior to renegotiation:

1) Is this a seasonal high or low that will correct itself?
2) Was the calculation of the objective high or low and does it need to be corrected?
3) Have new factors come into play which were not initially apparent?
4) Is the workplan not producing the desired results?
5) Was the impact that could be made underestimated?

The objectives should be negotiated with a workplan backing it. At some point, it may become necessary to review either the objective or the workplan. This should not involve simply changing an objective but carefully examining why and how the change could be made.

Feedback

Feedback is the heart of the results management program. With activity management, the raw data provides immediate feedback to the troopers. In results management, the feedback takes more work to develop but becomes more useful in the management of results. Feedback should be kept simple. Too much data not only diminishes credibility but also reduces the total program impact.

Levels of feedback should be modified to fit individual needs. The most detailed information should go to those performing the tasks, with more concise summaries going to those interested in the overall results.

The information must come from a reliable source in order to prove itself to those who have negotiated to meet the objectives. Feedback should be the ongoing responsibility of an individual or group of individuals. In addition, timeliness and constant updating of this information is an absolute necessity in order to be effective and keep abreast of changing conditions.

Management Information System I and II

Extensive use of the management information system is the key to providing up-to-date information. This can be used for troopers, the Governor, or the press.

In 1975, the Colorado State Patrol began the development of a systematic program to modernize and upgrade the management of the organization. The initial phase of this program was to develop a management information system (MIS), which would

Chief C. Wayne Keith

serve as a foundation for modernizing the management of the patrol. A grant was obtained from the Highway Safety Division of the Colorado Department of Highways to design and implement a multipurpose management information system. An internal steering committee was appointed to guide the project and a project manager was hired.

In June 1977, MIS I provided the necessary operational information to the organization. In January 1978, the department developed the results management implementation plan, which identified the need to redesign the system to support the new style of management. MIS II, now being developed, provides an information system that meets these changing needs. It has now been realized that our informational needs are expanding to meet goal-oriented objectives and MIS II is now in its conceptual design.

Graphics

At the trooper level, information is provided on the immediate results of day-to-day assignments. Graphics play an important part in visually showing those involved where they stand at any point in time. The importance of this cannot be over-emphasized.

Local supervision is responsible for devising graphics, i.e., pinmaps, line graphs, pie charts, or specialized graphics such as tactical grid maps, to meet their needs and keep the information updated on a timely basis. It is stressed that this feedback in the form of graphics should be simple, easy to read, easily updated, visually attractive, and accessible to all members.

Team Meetings

Area meetings are held to provide feedback to all members involved in obtaining objectives. These meetings provide an opportunity to review information and statistics from the MIS concerning all aspects of the objective picture. A review is made of existing problems and alternatives to solving them and a coordinated total effort is made toward obtaining the stated objectives.

The meeting should be conducted by the officers themselves. This allows them to become totally involved and committed to the program and provides the opportunity for group evaluation. The troop lieutenant and sergeant should be involved in these meetings to provide information, support, and guidance. It is not necessary, however, that they always be there.

Individual Performance Review

In order to evaluate individual performance based on project objectives rather than activities, the need for a performance review worksheet was recognized to complement the standard evaluation instrument used by the State. The organizational development team took this assignment and produced review worksheets for all Colorado State Patrol members.

It is recognized that an appraisal system which acknowledges outstanding performance and corrects poor performance can contribute significantly to improved morale and productivity. It is also recognized that the system is only as good as those who use it.

Quarterly Progress Reviews

Quarterly progress reviews of stated objectives are conducted at the trooper level. These progress reviews are then compiled, condensed, and reported to the field major who, in turn, reports directly to the chief.

The quarterly reports document whether objectives are being met and whether procedures are correct. The reports also answer increasingly frequent public demand for evidence of effectiveness and provide information for political support of continuing programs.

Ms. Hamm

Employee Feedback Survey

To obtain informational feedback from employees to upgrade the selection of troopers, to improve supervisory training and assignment of management and midmanagement officers, and to improve the training program at the Colorado State Patrol Academy, an "employee feedback survey" was conducted. This survey consisted of approximately 74 questions concerning many aspects of job duties, including uniforms, vehicles, training, and general feelings and attitudes.

Responses from the survey were provided to each employee to aid in making comparisons of particular questions. One section of the survey allows each supervisor to be rated by his subordinates. This information is then reviewed with the individual for potential growth. This method of feedback has proven to be a reliable, valuable instrument, well-received by the members of the organization, and supportive of changes necessary in the division. The survey will be administered every 2 years.

Public Surveys

Since there is a need for feedback from the general public, the organization development team decided to conduct a survey to measure the attitudes of the motoring public. At the same time, the opportunity arose for the Colorado State Patrol to survey public opinion in conjunction with an established questionnaire from the Colorado Department of Highways being administered at several driver's license examination points throughout the State. This type of questionnaire will be an ongoing instrument to measure public support and attitude.

Speed Surveys

Since the adoption of the 55 m.p.h. national maximum speed limit in 1974, which was designed as an energy conservation measure, a correlation between speed and traffic fatalities and highway-related injuries has been proven.

> ## "One of the key elements in the management by objectives system is formal communication throughout the management hierarchy."

Colorado's experience is similar to that of the Nation. We found a 55 m.p.h. speed limit works best when there is strict enforcement and public understanding of its benefits; however, the desired impact was only realized in 1974 and 1975. Since 1976, Colorado has seen a steady increase in the average speed on State highways, percentage of vehicles exceeding 55 m.p.h., percentage of injury accidents, and traffic fatalities despite the concerted enforcement efforts of the Colorado State Patrol.

In order to conserve fuel within the State, a speed monitoring program was implemented. Engineering aides were obtained and uniformly trained to conduct surveys within each of the 18 troops. A rigid schedule was established to insure that the sampling is valid and covers all normal driving patterns. The surveys are conducted at random times of the day using electronic and mechanical measuring devices, and the information is disseminated to local troopers to measure their efforts. The information is also entered into the results management information system.

Future

The implementation of results management in the Colorado State Patrol has been very successful. It has united the patrol into an organization with a common purpose and direction. Full acceptance is a long process. The move to implement fully results management will continue and is a constant growth process. Annually, the goals will be reviewed and adapted to any changes that have affected the patrol. The organization will then respond with objectives to support the overall goals.

As new ideas are introduced, they will be reviewed in terms of consistency with organizational philosophy and compatibility with operations. Innovations are a natural byproduct of implementation.

This style of management is one which demands flexibility. In the future, the Colorado State Patrol will change and grow within the confines of short and long range goals.   **FBI**

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END