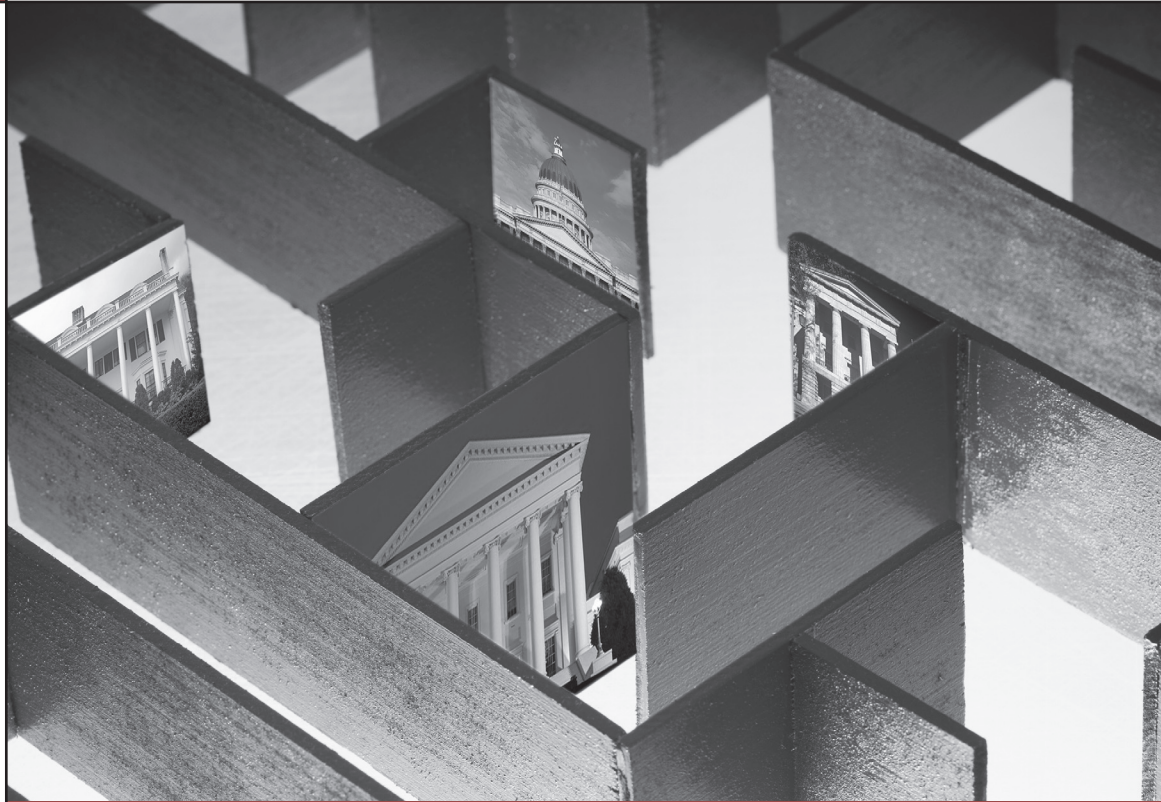




Organizational Transformation Series

Four Strategies to Transform State Governance



Keon S. Chi
Former Director
National Center for State Governance Transformation
The Council of State Governments



IBM Center for
The Business of Government

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FOREWORD

On behalf of the IBM Center for The Business of Government, we are pleased to present this report, “Four Strategies to Transform State Governance,” by the late Dr. Keon S. Chi, who was the director of the National Center for State Governance Transformation for The Council of State Governments.

This year, 11 states will be holding gubernatorial elections. Most states will be holding legislative elections. *Change* seems to be a watchword in campaigns across the country. This report is a snapshot of the kinds of strategies states have undertaken in the past decade to change—or transform—the way they govern. This report is intended to be a practical guide for state leaders. Many of its insights can be acted upon with a relatively minimal amount of money. Most of the strategies can be acted upon through strong leadership and attention. It offers best practice examples of a wide range of changes that may serve as inspiration for new governors and legislators.

While we are excited to share this report with you, it is with a heavy heart that this report is our first published posthumously. Last year when Dr. Chi came to us with his proposal for this report, we were delighted. We saw Dr. Chi as one of the preeminent researchers on state governments, with a long career as the lead researcher for The Council of State Governments.

We knew he had the credibility and perspective to address the transformation trends underway in states across the country. We hoped that the lessons he surfaced would highlight the role of states as “laboratories of democracy,” as Supreme Court Justice Felix Frankfurter once called them.

Dr. Chi died in a tragic auto accident earlier this year. We learned from his staff that he had completed his draft of this report shortly before his death. So while we were greatly saddened by his death, we are honored to be able to share with you his last piece of research on state government. He was a



Albert Morales



Lisa Mattivi

frontline observer of what states are doing to transform. We hope this report serves as a fitting tribute to his life-long devotion to improving state government.

As you read it, you will see his customary insightfulness and perceptivity. He leaves us with a blueprint of the future of state government in the U.S.—and possibly a framework that could challenge the next president of the United States, as well.



Albert Morales
Managing Partner
IBM Center for The Business of Government
albert.morales@us.ibm.com



Lisa Mattivi
Vice President
State and Local Government
IBM Global Business Services
lmattivi@us.ibm.com

EXECUTIVE SUMMARY

Today's world is turbulent, dynamic, and interconnected. The challenge for states is to become more responsive to the rapidly changing environment in which they operate. Economic, demographic, societal, environmental, and technological changes are threatening to overwhelm state government. State policy makers and managers cannot afford to be entrenched in traditional bureaucratic, change-resistant systems. They are faced with fundamentally transforming how their states are governed if they hope to remain relevant to their citizens.

In this report, state governance transformation refers to fundamentally changing outmoded and ineffective institutional characteristics to enhance state governments' capacity to govern and more effectively deal with the challenges of the 21st century. The transformation strategies discussed in this report are doable without investing a great deal of additional resources and can be implemented in a relatively short period of time without partisan debate if state officials are serious about meeting the challenges of the future. They are based on the assumption that states can help transform themselves by implementing innovative strategies, using selected best practices developed and tested by other states as starting points rather than attempting to reinvent the wheel or experimenting with untested organizational theories or replicating management practices borrowed from other levels of government, the private sector, or other countries without careful scrutiny.

These strategies are grouped as follows:

- **Anticipatory Governance.** This strategy deals with changing short-term-oriented decision-making practices to longer-term policy making

with vision and foresight. This allows legislative, management, and adjudication processes to be based more on informed trends and fact- and evidence-based decisions as well as preferred futures designed together by state officials and citizens.

- **Results-Focused Governance.** This strategy can help lawmakers and agency managers tie spending and operations to produce desired results to meet citizen expectations and demands. The strategy may also be used as a tool for governance accountability.
- **Collaborative Governance.** This strategy calls for interagency, interbranch, interstate, and intergovernmental collaboration. It also includes public-private partnerships, relying on optimal service delivery systems using improved information technology and communication.
- **Transparent Governance.** This strategy addresses ways that state officials can be more open with their performance and more responsive to citizen demands. This approach also allows more public participation in an age of digital government and cyber democracy.

Historically, transforming state government typically meant restructuring or reorganizing the executive branch or a subset of agencies. This has typically yielded meager results. Today, transformation is seen as much broader. Most governance transformation initiatives in state government today were typically initiated by newly elected governors, with the support of legislative leaders, to deal with either a fiscal crisis or political scandal. Those initiatives that have tended to last beyond a single term of a governor and have had lasting impact are those which possess the following characteristics:

- **Have bipartisan leadership commitment.** State governance transformation initiatives can be implemented more effectively in a bipartisan environment with state leaders' strong commitment, interbranch collaboration, and active participation by all stakeholders, including civic, business, and labor groups, and the media.
- **Are enacted into law.** Foresight and long-term planning projects that have been sustained over the years are the ones that have been enacted into law. Those put in place via executive orders or private organizations did not last beyond gubernatorial terms.
- **Link plans to budgets.** State agencies in many states have adopted either long-term or strategic planning as a management approach without statewide strategic planning. If governors and legislators are serious about transforming governance, they must have an integrated planning, performance, and budgeting system with enabling legislation.
- **Use measures to manage, not just for accountability.** Executive branch agencies in most states have been developing performance measures or indicators. In transformed governance, performance measures and a performance management framework should focus more on implementing and monitoring such measures on a continuous basis, and plans and goals should extend beyond gubernatorial terms or legislative election cycles.
- **Reach beyond the boundaries of state government.** State leaders can develop more collaborative networks with governmental and non-governmental entities and civic groups, relying more on e-government as well as cyber democracy. Doing so creates a greater sense of joint responsibility, legitimacy, and trust. These attributes are important to strengthening both democracy and the use of networks as an effective policy instrument for delivering services.

Introduction

Today we live in a world that is turbulent, dynamic, and interconnected. We communicate and conduct daily transactions in dramatically different ways. The challenge for states is to become more responsive to the rapidly changing environment in which they operate. States also are faced with unprecedented societal, economic, technological, and environmental forces. Yet policy makers and managers in many states are trying to deal with such forces with basically the same systems and strategies they have used for several decades. The question is, what can or should our state governments do to better respond to the challenges of the new century?

One thing is certain: State policy makers and managers cannot afford to be entrenched in traditional bureaucratic, change-resistant systems. They should have a clear understanding of emerging trends and implications and consider workable strategies of transforming some of the characteristics of their institutions by launching state governance transformation projects.

What does the word *transformation* mean? Dictionary definitions of the term vary:

- A thorough and drastic change in form, appearance, character
- The operation of changing one configuration or expression to another
- The process or an instance of passing from one form to another

Transformation may also be defined as conversion from one form to another. Its meaning, however, depends on the lens through which it is viewed. In this report, “state governance transformation” refers

to fundamentally changing outmoded and ineffective institutional characteristics to enhance state governments’ capacity to govern and more effectively deal with challenges of the 21st century.

The Case for State Governance Transformation

Why do states need to consider governance transformation *now*?

Emerging trends. State policy makers and managers now need to respond to emerging trends without further delay since they are reshaping the policy landscape in their state. Such emerging trends include but are not limited to:

- Aging society with a longevity revolution necessitating new and more expensive programs
- Illegal immigrants forcing states to revamp their traditional policies
- A knowledge-based economy requiring new lines of work
- Growing globalization with new economic forces
- A steady increase in the use of information technology with digital government and emerging cyber democracy
- Rising energy costs and dwindling natural resources
- Ambiguous government authorities with overlapping jurisdictions
- Polarized politics due to reflective partisan and ideological divisiveness

The implications of these trends and issues on state government are enormous, and the challenges for state policy makers and managers are daunting (The Council of State Governments [CSG], 2005b, 2005c).

Mismatch between authority and responsibility.

There is now a mismatch between what states are doing and what states *should be* doing to respond to such emerging trends not only in their public policies and programs, but also in their crosscutting efforts across policy and service jurisdictions.

Examples of such institutional problems include:

- The lack of government-wide foresight and strategic planning
- Traditional silo-based and turf-oriented management that tends to prohibit more effective and efficient work
- A hierarchy- and regulation-oriented bureaucratic environment that tends to discourage policy and management innovations
- State monopoly of service delivery systems without utilizing more optimal tools

In addition, many states are not as transparent as they should be with their performance records; many still do not have responsive and accountable governance mechanisms in a fast-changing, digital era.

Tighter fiscal conditions. States must now be prepared to operate under tighter fiscal conditions. Although the financial situation in some states has improved somewhat in recent years, many states' fiscal conditions are projected to be worse in coming years due to a long-term structural imbalance—a serious financial mismatch between revenues and expenditures. States also will continue to face steadily rising costs for Medicaid, education, health insurance, and pension programs. State government debts are likely to soar to a record level.

In addition, projected national debts and federal deficits, as well as funding for Social Security, Medicare, homeland security, and the war on terrorism, will have serious financial impacts on the states by affecting the level of federal aid programs to states and localities (Behn & Keating, 2004; Boyd, 2006; Walker, 2006; see also Kincaid 2006a, 2006b, 2007).

Public expectations. States need transformation because the public's expectations of state governments are higher than before. Most Americans now appear to have less confidence and trust in their state government than they used to have and believe their state is not well prepared to deal with the challenges of the new century. One recent survey showed that only some 20 percent of the American public have confidence and trust in state leaders (*U.S. News and World Report*, November 19, 2007, 46).

A large majority of the public say their state government should be more proactive and should have plans for the future. On the other hand, voters will continue to resist tax hikes and expect more and better services from government. Governors, legislative leaders, chief justices, and other elected and appointed officials in some states, however, have been experimenting with effective novel approaches to improve organizational structures and management practices. State officials in other states should do the same to earn the public's confidence and approval.

Recent Experience with State Governance Transformation

In the past half a century, many reforms were undertaken in narrowly defined areas. For example:

- State legislative reapportionment in the 1960s following the "one person, one vote" principle
- Legislative reforms in the 1970s influenced by the work of the Citizens Conference on State Legislatures
- Executive branch and judicial reforms in the 1970s and 1980s
- Corrections reforms in the 1970s and 1980s with prison overcrowding and sentencing guidelines
- Alternative service delivery with privatization initiatives in the 1980s and 1990s
- Voter initiatives for state legislative term limits in the 1990s
- State education reforms with the national education goals in the 1990s
- New public management approaches since the mid-1990s

Today, states need to consider implementing broader reforms. This is being touted under a wide range of labels such as “the price of government,” “enterprise governance,” “entrepreneurial management,” and “governing by network.” (Osborne & Hutchison, 2004; Eggers & Campbell III, 2006; Goldsmith & Eggers, 2004; Kettl, 2005; see also Stillman, 2006). These approaches are encouraging state officials to broadly rethink the way they run government and develop more enduring strategies to governance transformation.

Strategies for State Governance Transformation

The transformation strategies recommended in this report are doable without investing a great deal of additional resources and can be implemented in a relatively short period of time without partisan debate *if* state officials are serious about meeting the challenges of the future. They are based on the assumption that states can help transform themselves by implementing innovative strategies, using selected best practices developed and tested by other states as starting points rather than attempting to reinvent the wheel or experimenting with untested organizational theories or replicating management practices borrowed from other levels of government, the private sector, or other countries without careful scrutiny.

These strategies are grouped as follows:

- **Anticipatory Governance.** This strategy deals with changing short-term-oriented decision-making practices to longer-term policy making with vision and foresight. This allows legislative, management, and adjudication processes to be based more on informed trends and fact- and evidence-based decisions as well as preferred futures designed together by state officials and their citizens.
- **Results-Focused Governance.** This strategy can help lawmakers and agency managers tie spending and operations to produce desired results to meet citizen expectations and demands. The strategy may also be used as a tool for governance accountability.
- **Collaborative Governance.** This strategy calls for interagency, interbranch, interstate, and

intergovernmental collaboration. It also includes public-private partnerships, relying on optimal service delivery systems using improved information technology and communication.

- **Transparent Governance.** This strategy addresses ways that state officials can be more open with their performance and more responsive to citizen demands. This approach also allows more public participation in an age of digital government and cyber democracy.

The four strategies shown in Table 1 illustrate the characteristics of these potential strategies in comparison with the typical status quo in most states.

Table 1: Examples of Targets of Transformation and Transformed Characteristics for the Four Strategies of State Governance Transformation

	Targets of Transformation	Transformed Characteristics
Anticipatory Governance	Current-issues-driven government	Emerging-trends-oriented governance
	Short-term decision making	Long-term and strategic planning
	Individual agency plans and objectives	Statewide plans with shared vision and goals
	Piecemeal solutions to immediate problems	Holistic approaches to crosscutting issues
Results-Focused Governance	Legislation with policy and program objectives	Legislation with measurable results
	Line-item and incremental budgeting	Performance budgeting for desired outcomes
	Rules and process-oriented management	Management flexibility and innovation
	Hierarchical and top-down administration	Entrepreneurial and transformational leadership
Collaborative Governance	Silo-based organizational culture	Interagency and inter-sector collaboration
	Fragmented structures with turf protection	Consolidated structures and shared services
	Agency-specific databases	Integrated information systems
	State monopoly of service delivery	Optimal, cost-efficient service delivery
Transparent Governance	Closed and inward administrative processes	Open government with clear public access
	Self-contained and multi-layered bureaucracy	Citizen-friendly and responsive mechanisms
	Slow, paper-based operations	E-government with speedy, simple processing
	Unethical behavior, diminishing public integrity	Accountable governance in cyber democracy

Strategy One: Anticipatory Governance

Why Anticipatory Governance?

Foresight, a tool for identifying and interpreting emerging trends and issues by looking ahead, can help state leaders make more informed and wiser decisions with a big picture and broader knowledge about governance. The trend has been toward more widespread use of foresight at all levels of government; it is now used by other democratic governments as well (Walker, 2006).

Anticipatory governance refers to governing with foresight and long-term, strategic, and financial planning. As in “anticipatory democracy” envisioned by futurist Alvin Toffler three decades ago, anticipatory governance involves a wide range of forward-looking and engagement activities by policy makers, managers, and the public.

There are compelling reasons today for adopting anticipatory governance for our states. First, emerging societal, economic, technological, and environmental trends are forcing policy makers to look forward more systematically to develop proactive action plans. Second, leaders have to deal with unprecedented challenges in a fast-changing world that may not be solved effectively with short-term policies or piecemeal solutions alone. Third, they may have to be “thinking about unthinkables,” as futurist Herman Kahn talked about during the Cold War era. Some of the problems that states now are faced with may have been due to the lack of foresight activities in the past. State policy makers should be asking questions such as:

- Why does our state have a structural imbalance between revenues and expenditures?

Strategy One: What Is Anticipatory Governance?

Anticipatory governance refers to governing with foresight. Foresight is the process of identifying and interpreting information and data by looking ahead. It is often long-term, extending up to 20 to 30 years in the future. It can be both strategic and financial in nature. States that reflect the traits of anticipatory governance engage in a wide range of forward-looking activities and engage policy makers, managers, and the public on a regular basis.

- Why does our state still have a constitutional or legal provision that requires the return of a budget surplus to taxpayers (only to face a budget shortfall the following year)?
- Why does our state have the largest debt in its history (as does the federal government)?
- What are we going to do about our state’s failing bridges and other deteriorating infrastructure?

No one would say the lack of foresight is the only reason for having these serious problems. We can say, however, that the use of foresight could have helped in dealing with some of these problems. State policy makers and managers can raise similar questions about problems in major policy areas such as education, health care, public safety, and criminal justice, as well as unmet future challenges.

Many elected state leaders used to believe that state government is not a proper place to use foresight because of systematic impediments in their state and the nature of electoral democracy. State policy makers in the three branches, for example, all have legal

“As change accelerates in the 21st century, state leaders need to actively consider the type of future they prefer for their state. By utilizing foresight tools, creating a shared vision of the future, utilizing trends and forecasts, and creating different models for politics and policy making, state leaders can create a successful future. State leaders will then be able to leave office with legacies of success rather than leaving postponed problems.”

– Clement Bezold
Institute for Alternative Futures, 2001

and financial constraints when trying to do much more beyond their routine work, other than when dealing with hot-button issues. Besides, they have to work with annual or biennial budgets, subject themselves to two- to four-year election cycles, and meet political demands for quick turnarounds. Elected state leaders must demonstrate accomplishments in a relatively short time period. Political futurists have been critical about the lack of foresightedness in government decision making. Three decades ago, for example, futurist Alvin Toffler said: “Our political decision makers swing widely back and forth between doing nothing about a problem until it explodes into crisis and, alternatively, racing in with ill-equipped, poorly pre-assessed crash programs.”

Of course, much has changed since then as far as state policy making is concerned. A number of governors, agency managers, legislative leaders, and judges have implemented innovations, some of which are recognized as models or best practices and included in this report for others to consider. The question is: What about other states that have not initiated such innovations or models?

Best Practices in Anticipatory Governance

Foresight is not an unfamiliar topic to most state policy makers and managers. From now on, however, state leaders should consider more sustainable foresight projects that can be readily used in developing and implementing government-wide strategic

planning, not a mere reference source. In the past, governors and legislative leaders in many states worked with business and civic leaders to better anticipate societal changes and design preferred futures for their constituents. During the 1970s and 1980s, for example, various state future-oriented projects were initiated in more than 30 states to meet the challenges of a new millennium. Many states called their foresight projects state “2000 commissions.” Typical questions these long-term planning commissions addressed were:

- Where are we now?
- Where are the trends taking us?
- Where do we want to go?
- What do we have to do to get there?

Some futures commissions were initiated as a public-private partnership project, others were conducted as an expanded state planning effort, and still others were carried out by civic and business groups without directly involving state policy makers. But most of these futures projects were led by ad hoc groups and became defunct without follow-up activities except for a final report. In many states, state leaders simply ignored such long-term planning reports (Chi, 1983, 1991). Exceptions include the ongoing workings of the Oregon Progress Board and North Carolina Progress Board. These two foresight projects, conceived in the late 1980s and mid-1990s, have continued to work with their long-term planning efforts over the years despite some lingering obstacles.

Foresight activities were not limited to the legislative and executive branches. In fact, state judicial branches have done as much as, if not more than, the other branches. During the 1990s, for example, more than 30 state supreme courts established judicial futures commissions. A comprehensive evaluation of these commissions’ activities is not available.

Some are still able to continue to reach out beyond the present. Other states have convened special focus groups to address specific concerns or have created more recent reports. According to the National Center for State Courts, those courts that have had the most significant success at futures planning identified several elements as critical to their success:

- The commitment and continuity by judicial leaders
- A sense of urgency or need for the project
- Stakeholder identification and involvement
- Communication of the plan to the public and the courts
- A compelling vision that drives the planning process
- Resource allocation and state support
- Empowerment of staff on the front line
- A feedback mechanism¹

As we entered into the new millennium, there was a resurgence of long-term projects (see Table 2). Some of those projects are implemented on a statewide basis and others are policy-specific. In addition, legislators in some states have begun their own foresight projects. In Minnesota, for example, the 2020 Caucus (www.mn2020.com) began in 2006 with a group of 30 lawmakers in both chambers guiding the legislature in a direction that focuses more on the policy and demographic challenges that the state will face in the years and decades ahead. The number of participating legislators doubled within a year.

Recently initiated foresight projects in two states appear to be of particular interest to observers of state long-term planning projects. One is the Century Commission for a Sustainable Florida (www.centurycommission.org), which was established by the Florida legislature in 2005 to answer questions such as:

- How will we address the impacts of population growth?
- How will we deal with an aging population, with more cars on the roads and more requests for drinking water?
- How will we recover from major storm events or devastating natural calamities affecting agriculture, or address increased public education needs?

Beginning in 2007, the commission started to provide the legislature and governor with annual reports on those issues for a “sustainable Florida.”

Implementing Anticipatory Governance Initiatives

Effective foresight initiatives, whatever the form, will require elected state leaders’ commitment that they will use in some way the outcomes of such initiatives in the actual policy-planning and implementation processes. State leaders should be able to work with agency heads, legislative staff, or court administrators, as well as state workers who defend the status quo.

Anticipatory governance cannot be implemented effectively without appropriate training and incentives for those involved since foresight requires expertise in futures research techniques. Within the limitations of the separation-of-powers principle, elected and appointed leaders in the legislative, executive, and judicial branches must cooperate to implement anticipatory governance through information exchange, consultation, and active participation (Chi, 1991).

Also in 2007, more than 1,000 state leaders and citizens in Hawaii gathered for a statewide summit to discuss a Hawaii 2050 Sustainability Plan (hawaii2050.org), compiled after more than a year of community gatherings by the state sustainability task force. The group was set up to “chart a viable and lasting course for the Islands over the next four decades.” Hawaii 2050 is a citizen-based planning process that builds on the island state’s past foresight experiences but with new vision and broadly defined goals. It is interesting to see how state agencies will actually adopt the plan for implementation.

Table 2 catalogs a number of other recent examples of state long-term planning efforts.

Best Practices in Long-Term and Strategic Planning

The main objective of a long-term planning project is to develop a shared vision and goals of a state or agency, although some projects go beyond visioning and goal-setting activities. The term *long-term planning* is often used interchangeably with the term *strategic planning* because of a multi-year time frame. Unlike long-term planning, however, strategic planning usually includes an assessment of a state’s or agency’s strengths and weaknesses, implementation strategies with timeline, action

Table 2: Recent Examples of Long-Term Planning Projects

Statewide Planning Initiatives	Sponsor
Century Commission	Florida Legislature
Hawaii 2050	Hawaii Legislature
Montana Vision 2020	Montana Legislature
Idaho 2020 Blue Ribbon Task Force	Idaho Governor
Alaska 2020: Finding Our Vision	Private group
California 2020	California Speaks
Minnesota 2020	Think tank
Mississippi 2020 Vision	Mississippi 2020 Network
North Carolina 20/20	North Carolina Progress Board
Utah Tomorrow Strategic Planning Commission	Governor and Legislature

Policy-Specific Planning Initiatives	Sponsor
Aging	
Aging 2020: Arizona's Plan for an Aging Population	Arizona Office of the Governor
Project 2015	New York State Office of the Aging
PA 2020 Vision Project	Pennsylvania Department of Aging
Education	
Massachusetts 2020	Massachusetts 2020
Economic development	
Louisiana: Vision 2020	Louisiana Economic Development Council
Energy	
Florida Energy 2020	Florida Energy 2020 Study Commission
Technology	
Long-Range Plan for Technology	Texas Education Agency
Wisconsin 2020	Wisconsin Technology Council
Tourism	
2010 Initiative	South Dakota Office of Tourism
Transportation	
2020 Florida Transportation Plan	Florida Department of Transportation
Michigan Transit Strategic Plan	Michigan Department of Transportation
New Mexico 2025	New Mexico Department of Transportation
State parks	
2020 Vision for Montana State Parks	Montana Department of State Parks
Education/immigration/diversity	
California Tomorrow	California Tomorrow

Source: Compiled by The Council of State Governments.

Vision for Virginia's Future: Long-Term Goals

- Be recognized as the best-managed state in the nation.
- Be a national leader in the preservation and enhancement of our economy.
- Elevate the levels of educational preparedness and attainment of our citizens.
- Inspire and support Virginians toward healthy lives and strong and resilient families.
- Protect, conserve and wisely develop our natural, historical and cultural resources.
- Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.
- Ensure that Virginia has a transportation system that is safe, enables easy movement of people and goods, enhances the economy and improves our quality of life.

Source: *Council on Virginia's Future, 2007.*

plans, performance measurement, and monitoring and evaluation. The specific purposes of strategic planning include:

- Providing a clear articulation of the vision and mission of a state government with a sense of priorities, goals, objectives, and tasks
- Providing a coherent view of the state government to various stakeholders
- Improving communication to achieve more effective coordination and implementation.

Strategic planning may be initiated with a statutory provision, administrative rule, or executive order on a statewide, individual-branch, or individual-agency basis. Therefore, both long-term planning and strategic planning may be seen as complementary when implementing anticipatory governance.

Virginia. One model of long-term planning that has been implemented recently is the Council on Virginia's Future (www.future.virginia.gov). The council was established in 2003 by the Virginia General Assembly to advise the governor and the legislature on the implementation of the "Roadmap for Virginia's Future" process. The purposes of the council include providing a long-term focus on high-priority issues, creating an environment for improved policy and budget decision making, increasing government accountability and transparency, improving government performance, and engaging citizens in dialogue about the state's future

(see the sidebar "Vision for Virginia's Future: Long-Term Goals"). In 2006, the council's initial roles merged with a larger initiative, "Virginia Performs," under a new governor.

To replicate this model, states may need enabling legislation to develop long-term goals, strategic planning, as well as measurable performance indicators for state agencies and citizens. Virginia has shown clear evidence that this model can be effective, and it may be replicated by other states.

Oregon. The Oregon Progress Board is another model. The board, created in 1989, produced a 20-year strategic plan, *Oregon Shines*, for the state and has published *Oregon Benchmarks* (benchmarks.oregon.gov) every two years since, highlighting progress made toward the state's goals by using more than 90 benchmarks or performance indicators. Oregon's long-term goals include quality jobs for all Oregonians; engaged, caring and safe communities; and healthy, sustainable surroundings.

North Carolina. A similar model is the North Carolina Progress Board, which was established in 1995 by the legislature as a permanent entity of state government to help anticipate change and enhance the state's competitiveness in a rapidly changing world. The board has served as a "strategic compass" for the state by identifying critical issues, setting milestones, checking progress, and recommending course corrections.

The North Carolina Strategic Scorecard, with eight imperatives, 27 long-term goals, and 84 strategic targets, is designed to track the state's progress (see "North Carolina 20/20 Update Report," 2006, January; www.ncprogress.org). The long-term planning boards in both Oregon and North Carolina currently are planning to maximize the value of their work by seeking more active participation by the governors and legislators.

Kentucky. The Kentucky Long-Term Policy Research Center (www.kltprc.net) model is different from the practices of the three states mentioned above. The nonpartisan, interbranch research center's activities include biennial reports on trends influencing the future of the commonwealth, research into timely topics of importance to the state's future, a "Foresight" periodical, and statewide scanning and public outreach programs.

Best Practices in Long-Term Budgeting and Financial Planning

Despite its popularity during the past two to three decades, long-term and strategic planning in many states has not been implemented as planners hoped for, in part due to the lack of political and financial commitment by governors and legislative leaders. To transform the traditional *modus operandi* of state government to anticipatory governance, it is imperative to adopt longer-term budgeting and financial planning. Long-term budgeting has been recommended by major national organizations of state officials, including the National Association of State Budget Directors, Government Finance Officers Association, and National Advisory Council on State and Local Budgeting. At the federal level, the Government Accountability Office is recommending a 10-year budget proposal by the president (Government Accountability Office, 2007).

Can states develop longer-term (five- to 10-year) budgeting? The answer is "yes." To do so, however, state leaders and voters must be willing to change their constitutional or statutory provisions on budgeting methods and processes. Following are several examples:

Florida. Florida's constitutional amendment approved by voters on November 6, 2006, may be considered a model. The amendment, "State

"Let me ask you, what California do you want in 20 or 30 years? What kind of highways will we drive on? What kind of schools will our children attend? What kind of jobs will we have? What kind of air will we breathe? And what kind of hospitals will care for our sick? Now some would say, 'How can we plan for 20 or 30 years when we can't even meet our needs today?' Well, the answer is that we will never catch up unless we know where we're going."

– California Governor Arnold Schwarzenegger, 2006

Planning and Budget Process," established a long-range budget planning process, putting both budget and revenue estimates together in one document. It created a government efficiency task force to seek input from the public and the executive and judicial branches to create a long-range financial plan.

The Florida amendment was initially designed to limit the amount of non-recurring general revenue that may be appropriated for recurring purposes in any fiscal year to 3 percent of the total general revenue funds estimated to be available unless approved by a three-fifths vote of the legislature. The amendment established a Joint Legislative Budget Commission to issue long-range financial outlooks and requires the preparation and biennial revision of a long-range state planning document (see www.votesmartflorida.org).

So the question here is whether more states will adopt Florida's model. Currently, no other states use multi-year budgeting beyond a biennial budget cycle. Twenty-nine states have annual budgets, and 21 use biennial budgeting. The trend in the past half a century has been to shift from biennial budgeting to annual budgeting, not the other way around. Forty-five states now hold annual sessions. In the past, states have made long-term planning efforts independently from their budget cycle (see National Conference of State Legislatures at www.ncsl.org/programs/fiscal/lbptabs/lbpc2t1.htm).

Alaska. Several states have proposed long-term financial planning tools. In Alaska, a Senate bill—Bill 25, 2007—would have required the governor

Expect the Unexpected

How can states cope with unforeseeable events and challenges? They have mechanisms in place to deal with emergencies and unexpected fiscal situations such as transfers of revenue, rainy day funds, and the reduction of expenditures. Most states also can use special sessions to respond to crisis situations. But what states need is multi-year budgeting or the integration of long-term budget forecasts into current budgeting and decision-making processes. Such efforts must be made in other states if they are seriously concerned about structural imbalances, future state pension fund liabilities and retirees' health care costs, as well as the downshifting of program responsibility from the federal government to the states (Hackbart, 2006).

follow performance budgeting principles, and enable the public, the Division of Budget, and the legislature to better evaluate the fiscal management and performance of virtually all state government programs (see www.budget.state.ny.us/citizen/process/process.html).

to submit a long-range plan for the next 15 years that includes expected revenue sources and major expenditures. It also would have required additional information to be used in the planning of state government finances, including actions necessary to balance the budget and analysis of state debt and unfunded state liabilities (Alaska State Legislature, 2007).

California. The California Performance Review Commission, in its final report, said that the governor and the legislature have no way to determine the long-term fiscal impact of their decisions. The review recommended that the state adopt a long-term financial planning process to ensure the state's leadership has the information necessary to determine the long-term impact of their decisions on the people who elected them (California Legislative Analyst's Office, 2004).

New York. One model for such long-term financial planning is New York State's long-range financial plans. Every year, the Division of the Budget prepares a report that summarizes the impact of the legislature's actions on the state's multi-year financial plan. Once the governor completes his review of the legislature's actions, the Division of Budget issues a comprehensive Enacted Budget Report, which contains the state's official financial plan projections for the current and successive fiscal years. A bill, the State Responsibility, Performance, Accountability, Initiative and Results Act of 2007, was introduced in New York to require all state agencies to develop long-term strategic plans,

Strategy Two: Results-Focused Governance

Why Results-Focused Governance?

Results-focused governance means a system of state government—all three branches—that focuses its policy formulation, execution, and adjudication on measurable performance, shifting from traditional process-oriented practices. The term *results* is interchangeably used with the term *outcomes*. Both terms mean “the consequences of a program in terms of its benefits to the public. These are measurable results that affect citizens directly.” (National Conference of State Legislatures, 2006; see also Liner et al., 2001).

Results-focused governance does not mean that policy makers, managers, and workers ignore internal organizational processes; rather, it means putting more emphasis and higher priority on deliverable outcomes for citizens, not for themselves. One additional component that needs to be added to the typical results-oriented management governance approach is the role of legislatures, because the odds of implementing performance management can be greater with elected lawmakers’ active involvement in the legislative process using performance information.

There are important reasons for promoting results-focused legislation, budgeting, and management. First, anticipatory governance without measurable outcomes would not help transform state government. No matter how good the planning might be, planning itself does not guarantee anything.

Second, while it is necessary to have statewide and agency rules and regulations, too many process-oriented rules can be a barrier to producing desired results in some cases. Most state agencies have too many rules to follow. Illinois Governor Rod

Strategy Two: What Is Results-Focused Governance?

Results-focused governance focuses on measurable performance rather than chiefly relying on administrative processes. A results-oriented focus becomes the underlying premise for government approaches to planning, legislating, budgeting, contracting, staffing, managing, and rule making.

Blagojevich says, “According to the State Board of Education, it takes 2,800 pages of all these rules and regulations to run our schools, more than all of the rules of Christianity, Judaism, and Islam, combined. This is a bureaucratic nightmare of biblical proportions” (Blagojevich, 2004).

Third, these days citizens are demanding better quality and speedy services for their tax dollars more than ever before.

Over the years, the case for results-oriented management reform has been made by civic and business groups, researchers, professional consultants, government reformers, and elected and appointed officials. State agency managers and workers have experimented with a number of new approaches to public management, such as Management by Objectives (MBO), zero-based budgeting (ZBB), quality circles (QC), Organizational Development (OD), Total Quality Management (TQM), and reinventing government. So the concept of results-focused government is not new, but progress toward performance management has been slow and sporadic.

In transformed governance, states must practice performance management, not merely debate the

“The public continues to demand greater and greater accountability for use of scarce tax dollars.”

– Jerry Luke LeBlanc, former member of the Louisiana House of Representatives

type and number of performance measures or indicators. Since the late 1980s, governors and agency managers in many states have used this approach along with structural consolidation, privatization, and reformed management systems (National Governors Association [NGA], 1993). A survey by the National Association of State Budget Directors reported in 2002 that most executive branch agencies were participating in performance measurement systems (National Association of State Budget Officers, 2002; see also NGA, 2001). Currently, several national organizations of state officials are collecting information on performance measures in their jurisdictions. Some of these measures are federally mandated under grant projects (NGA, 2007).

Best Practices in Results-Focused Governance

As noted earlier, the Council on Virginia’s Future, the Oregon Progress Board, and the North Carolina Progress Board all serve as good models of long-term planning. These three can also be used as models in the results-focused governance approach because they were designed to use measurable benchmarks for policy makers to implement and citizens to monitor. In addition, we have identified five other models: Washington State’s Government Management Accountability and Performance (GMAP) project, Iowa’s charter agencies, “budgeting for outcomes” in Michigan and Washington, the Virginia Performs project, and a “legislating for results” approach.

Washington. Washington State’s Government Management Accountability and Performance project has been hailed as an innovative approach to governors’ management of the executive branch of state government. GMAP is a disciplined method of performance management that governors and agency heads can use when making

speedy decisions and achieve measurable results in selected service areas.

In Washington State, the governor and the highest-ranking staff personally and regularly review performance reports on selected service areas: health care, vulnerable children, economic vitality, government efficiency, public safety, transportation, welfare to work, education, and Puget Sound cleanup. Biweekly meetings have been “real-time problem-solving sessions” with the governor presiding most, if not all, of the time. Participants are expected to follow up and report back.

In essence, GMAP was designed to change the culture of state government by focusing on results that are important to citizens. One of the challenges agency directors faced under this project is how to build trust with other agencies and how to tell the truth even when one fails to reach goals. Another concern is how the next governor will sustain this particular management approach (Government Management Accountability and Performance, 2007).

Iowa. Iowa’s charter agency model (charter.iowa.gov) is often called a “bureaucracy-busting” deal that allows volunteering state agencies to waive administrative rules, have the authority to retain funds, be exempt from the full-time employee caps and across-the-board budget cuts, and be exempt from seeking Executive Council’s approval for their initiatives. The major benefit of this model is allowing agency managers to be more creative and efficient without following existing “counter-productive” agency rules and regulations for their performance related to their client groups and citizens. This approach required support from legislators, agency directors, managers and employees, and other stakeholders, including unions and the media.

Since the creation of the charter agency model, participating agencies have realized an annual savings of approximately \$20 million. Several other departments have shown cost savings and speedy delivery of services as well. Some observers and critics of the charter agency approach in Iowa talked about decreased legislative oversight of regulations and spending and decreased opportunity to hold departments and staff accountable for meeting the requirements established for them annually. In addition to

the charter agency approach, Iowa also has implemented the Accountable Government Act, which is another best practice of results-focused management (see www.ResultsIowa.org). Key performance components of the Iowa enabling legislation are presented in Table 3.

Michigan and Washington. The “budgeting for outcomes” approach piloted in several states, including Michigan and Washington, is based on the concept of the “price of government,” advocated by a consulting group operated by former Minnesota commissioner of finance, former Minnesota commissioner of administration, and the coauthor of *Reinventing Government*.

The essence of the “budgeting for outcomes” model is the use of a simulated market situation in which “buyers” ask for the results they want to buy and “sellers” make offers to produce those results. Buyers are the governor and legislature. Their job is to purchase results. Sellers are state agencies and anyone who seeks a piece of the state budget. Offers are the sellers’ response to buyers. Buyers then put the offers in priority order. The outcome is a budget made up of numerous offers, each of which has

specific measurable results associated with it as well as a specific price.

Elected officials can tell the public exactly what they are buying. The process is designed to link spending recommendations to results, avoid traditional incremental budgeting, encourage better prioritization within departments and agencies, encourage greater collaboration between departments, help break down department silos, and provide greater transparency.

States contemplating replicating this model need to be aware of some barriers to overcome. One official noted: “The first year the executive budget made way too many politically unwise recommendations; reinforced the notion that budgets are all about politics. The final budget deal between the legislature and the governor was based on politics and compromise, not results the citizen expects.” (Lannoye, 2006). For a best practice to succeed, interbranch and bipartisan collaboration is essential.

Virginia. Virginia Performs (www.VaPerforms.virginia.gov) is an expanded version of the Council on Virginia’s Future project initiated by former

Table 3: Key Components Required by Iowa’s Accountable Government Act

Enterprise strategic plan	<ul style="list-style-type: none"> • List of priority goals identified by Iowans • Road map for achieving key enterprise goals • Measures of performance relative to goals
Agency strategic plans	<ul style="list-style-type: none"> • Agencies’ road maps for achieving enterprise and agency goals • Measures of performance relative to goals
Agency performance plans	<ul style="list-style-type: none"> • Agency action plans for achieving strategic and operational goals • List of core functions and services, products and activities, with quantifiable measures to monitor agency performance and track progress
Individual performance plans	<ul style="list-style-type: none"> • Individual employees’ roles in implementation of their agency performance and strategic plans • Framework to develop the skills, knowledge, and abilities employees need to achieve plan goals
Performance budgeting/ purchasing results	<ul style="list-style-type: none"> • Performance linked with the budget • Resources linked to results to improve budget decisions • Tax dollars connected with benefits for Iowans
Agency performance reports	<ul style="list-style-type: none"> • Report of results achieved
Agency performance audits	<ul style="list-style-type: none"> • Agency performance analyzed and feedback provided to agencies • Improvement opportunities identified

Source: “Achieving Results for Iowans: The Accountable Government Act Implementation and Evaluation,” Iowa Department of Management, 2006.

Governor Mark Warner. There was some confusion about implementing hundreds of metrics without central coordination. Governor Tim Kaine decided to simplify the results-focused system by integrating the state's comprehensive performance management system with agency strategic plans and redefining key outcome-based performance measures, service area metrics, performance baselines, performance targets, and management scorecards (administrative outcomes defining effective management of agencies). The governor also created a senior-level internal performance management team in his office, emphasizing to agency heads that performance management is his number one priority. The new Virginia Performs system includes societal-based indicators, key outcome measures, and a coordinated performance management system. The 2006–2008 biennial budget was presented in a new format for the first time.

Legislating for results. The “legislating for results” approach may be used to increase state legislators’ understanding and the actual use of performance management information in the legislative process. The benefit of the model is to improve the effectiveness of the state’s services to its residents with

measurable outcomes as legislative committees work closely with relevant executive agencies. This performance-based legislation method may be helpful in strengthening interbranch collaboration as well.

Under the “legislating for results” approach, legislative staff can help legislators obtain and use performance information by preparing outcome-focused staff reviews. Such reviews can identify the extent to which programs are getting results, provide a basis for questioning the executive branch about program outcomes, help legislative staff strengthen their own examination of programs, and provide guidance to the executive branch for improving programs and outcome measurement processes. (Hatry, Zelio, & Mark, 2003; NCSL, 2003, 2005).

The sidebar “Legislative Tasks for ‘Legislating for Results’” shows what legislatures should be doing to practice this approach. In essence, legislating for results would help legislatures move from “legislating by anecdotes and politics to legislating by performance information and reason.” It may take time to transform the way lawmakers and agency heads run government, but they can learn from states that

Legislative Tasks for ‘Legislating for Results’

- For each major program, the legislature should require the program to identify outcomes and measurable outcome indicators. Fiscal committees should regularly review their outcomes.
- The legislature should identify outcomes for which it needs data and make sure that agencies provide timely and accurate information for them.
- The legislature should identify those outcomes to which multiple agencies contribute. When multiple agencies share responsibility for an outcome, a primary/coordinating agency should be identified.
- Legislative analysts should examine outcome information received from the executive branch each year and highlight and interpret key information for legislators.
- Legislators should review agency performance information during budget appropriations reviews and in making policy.
- The legislature should request agencies to explain why actual values for outcome indicators are substantially worse or substantially better than what had been projected.
- The legislature should ask each agency, as part of its annual performance reports, to describe what is being done to ensure data accuracy.
- Legislators should receive at least brief training on the state’s performance measurement process, including what types of information it can and should expect, how the information can be used, and what its limitations are.

Source: Harry P. Hatry, Judy Zelio, and Katherine Mark, “Governing for Results in the States,” *The Book of the States* 2003, *The Council of State Governments*, Vol. 35, 411–17.

have experimented with the approach, such as New Mexico and Louisiana.

Best Practices in Performance Measurement

It is difficult to assess successes or failures of the performance measurement approaches used in the states. One recent study found that the approach has been only partially adopted (Moynihan, 2006). Where the approach has been used, in some cases the number of performance indicators was too many to implement and monitor effectively. Other problems state managers have encountered include:

- Difficulties in reaching consensus on desired outcomes among stakeholders
- Inconsistency in the definitions of performance indicators among agencies
- Turnovers of state managers responsible for implementation

- Lack of training for results-focused budgeting and management

The most problematic aspect of performance management has been linking performance measures to budgeting, just like the problem of linking strategic plans with budgeting. Unless performance and budget are integrated, it is not realistic to expect the realization of the goal of outcome-based government. That has been the case in many states. The 2008 Government Performance Project, conducted by The Pew Charitable Trusts, only identified six states (Michigan, Missouri, Texas, Utah, Virginia, and Washington) as “high performers” in their development and use of performance information (Government Performance Project [GPP], 2008).

Why is it so difficult to move from measuring performance to performance management? One study noted: “Performance-based budgeting calls for a revolution in how states are governed. It focuses on setting goals, designing the strategies needed to meet the goals, and measuring how well they are

Best Practices in the Development and Use of Performance Measures

The Government Finance Officers Association recommends that program and service performance measures be developed and used as an important component of long-term strategic planning and decision making which should be linked to governmental budgeting. Performance measures should:

- Be based on program goals and objectives that tie to a statement of program mission or purpose.
- Measure program outcomes.
- Provide for resource allocation comparisons over time.
- Measure efficiency and effectiveness for continued improvement.
- Be verifiable, understandable, and timely.
- Be consistent throughout the strategic plan, budget, accounting and reporting systems and, to the extent practical, be consistent over time.
- Be reported internally and externally.
- Be monitored and used in the managerial decision-making process.
- Be limited to a number and degree of complexity that can provide an efficient and meaningful way to assess the effectiveness and efficiency of key programs.
- Be designed in such a way to motivate staff at all levels to contribute toward organizational improvement.

Source: Government Finance Officers Association. *Performance Management: Using Performance Measurement for Decision Making* (2002 and 2007).

met. This approach requires that budgeting be directed at program rather than at specific line items, that the goals of those programs be laid out in measurable terms, and that performance review becomes central to budget decisions” (NCSL, 1995). The study also stated: “Experts suggest that traditional budgeting survives because of its lack of rigorous method. The traditional system allows but does not require legislators and governors to use many techniques and kinds of information now available and similar to those which reformers urge them to adopt.... There is no lack of review. What is lacking is the use of the information in budgeting.” Thus, it is essential for states to shift their line-item budgeting approaches to performance budgeting if they are serious about results-focused governance.

Best Practices in Performance Management

According to a 2006 survey by the National Governors Association, a number of governors were developing new performance management systems to ensure the effective implementation of their priorities and improve the capacity of state government (NGA, 2006). The rationale for reinvigorating

performance management systems may be justified since states are currently using multiple approaches to budgeting; not a single state uses performance-based budgeting exclusively. Table 4 shows a recent picture of state budgeting methods from a 2007 survey conducted by the National Association of State Budget Officers.

The Government Finance Officers Association (GFOA) has been promoting the use of performance management (see the sidebar “Best Practices in the Development and Use of Performance Measures” on page 23). In 2007, GFOA, along with the International City/County Management Association, received endorsement from the “Big Seven” organizations of state and local leaders to begin a renewed effort to implement performance management in state and local governments across the nation.² These national organizations of state and local governments are planning to create a State and Local Commission on Performance Management similar to the National Advisory Council on State and Local Budgeting. The first meeting of the National Performance Management Advisory Commission occurred in early 2008.

Table 4: Use of Performance Budgeting and Measurement in the States (45 states reporting)

		Number of States
Budget Approach	Performance	42
	Incremental	38
	Zero-based	17
	Performance-based	25
Performance Measures	States requiring measures at the program level	37
	Agencies formally participating	
	Executive	45
	Legislative	15
	Independent agencies	26
	Responsibility for measures (which measures are to be reported on)	
	Budget agencies and legislative branch	7
	Budget agency	24
	Legislative (Utah)	1
	Governor’s office	10
Agency performance measures available to the public online	36	

Source: National Association of State Budget Officers, December 8, 2007.

Strategy Three: Collaborative Governance

Why Collaborative Governance?

To transform the way states manage and deliver services more effectively and efficiently, collaborative and networked governance must be attained not only within executive agencies but also among the three branches, among states, and with the federal government and local governments. In transforming state governance, the phrase “collaborative and networked governance” should be distinguished from similar and more familiar terms.

The terms *cooperation* and *collaboration* have typically been used interchangeably. In transformed governance, however, state officials may want to use the term *cooperation* when an agency, department, or committee is working together to achieve common goals as an independent organizational unit without giving up its autonomy.

They should use the term *collaboration* to refer to a situation or relationship where participating agencies are working together as partners by giving up some of their independence and autonomy through formal or informal agreements. According to Mandell and Keast:

In coordinative types of networks, participants remain independent and can continue to focus on the needs of their own organization with little regard to the needs of other organizations represented in the network. Only minor adjustments may be needed to coordinate activities and avoid duplication of effort.

Retained autonomy is not a characteristic of collaborative networks. In these networks,

Strategy Three: What Is Collaborative Governance?

Collaborative and networked governance refers to a situation or relationship where participating agencies or programs work together as co-equal partners. Each gives up some of their independence and autonomy through formal or informal agreements. In the process, each becomes partially dependent on the other for their individual, as well as joint, success.

participants cannot remain independent, and changes at the margins will not be enough because they are no longer acting as independent organizations that merely need to work together to deliver existing services. Instead, it is recognized that to achieve the innovative solutions they are looking for, they will have to give up something to get something. In other words, major changes in the existing ways they are working will need to be made, and these actions will need to be meshed with the corresponding actions of others in the collaborative network (2006).

The term *networking* means a broad system of webs including non-governmental entities—for-profit and not-for-profit organizations, foundations, educational institutions, and civic groups. As proponents of “governing by network” say, networking is “not about outsourcing vs. bureaucracy. It’s about managing diverse webs of relationships to deliver value” (Eggers & Goldsmith, 2003; Goldsmith & Eggers, 2004). The term *governance* is used more inclusively than *government*, focusing on “what government does” with collaborative and networked relationships.

Governance is not something that transcends plain old “government”; governance is what government does (though not always directly or on its own). Collaboration may be linked to mandated and to induced cooperation. But our working premise is that collaboration is distinguishable theoretically and empirically; an important category of collective action; and under-examined relative to its importance. Where does collaborative governance fit within the sprawling spectrum of models for structuring collective action?... Classifying collaborative governance is at least as tricky (Donahue, 2004; see also Agranoff, 2003; Gould, 2007).

Collaborative governance has not been easy to attain in state government for various reasons. The number of state agencies has grown steadily over the years because of increased roles and responsibilities of the states to meet the needs of changing demographic characteristics. The results are fragmented and decentralized organizational structures often providing duplicated services without communication or coordination. “The states have responded to the demands brought by their increased responsibilities in many ways by adopting new and sharply revised constitutions; by improving structures of administrative organization; by strengthening principal policy institutions, including governors, legislatures, and courts; and by expanding the number of administrative agencies responsible for addressing policy issues at the state level” (Herbert, Wright, & Brudney, 1992).

The federal influence on state organizational patterns cannot be ignored in the administrative growth in the states. In the past two to three decades, the federal government has influenced states through interference in policy making, skewing of state priority setting, and allocation of resources. At least one-third of nearly 90 separate state agencies in existence today are thought to have been established by states primarily, if not solely, because of federal influence. In some areas, many states replicated a federal model; in other cases, separate agencies have been created to take advantage of financial incentives by the federal government. Federal grant requirements, such as a single organizational unit, greatly influenced state agency structures. At the

same time, the number of state workers has increased steadily, exceeding the rate of growth of both federal and local employees.

As a solution to fragmented structures, governors and agency directors have often chosen to restructure administrative structures to eliminate some of the management problems, including loosened span of control, duplication, waste, and slowness. However, most attempts to comprehensively restructure state governments have not been successful. The most recent failed attempts to reorganize the executive branch in three states—Arkansas, Massachusetts, and California—reinforce the dismal historical track record of government reorganization. (*Editor’s note: A June 2008 Harvard Business Review article by Neilson, Martin, and Powers reinforces this point. In the private sector, restructuring is seen as one of the least effective tools for transforming organizations.*)

Best Practices in Collaborative Governance

State policy makers and agency managers should consider other forms of collaboration beyond structural reorganization or consolidation when contemplating governance transformation. Organizations have found that when they initiated collaborative efforts beginning with internal networks first—such as within the state government—this helped create the skills and capabilities to develop external networks more effectively, such as networks with other levels of government or with non-governmental entities. What follows are some best practices in collaboration among different kinds of entities.

Interagency Collaboration

New York. One timely model for interagency collaboration is the New York State Office for the Aging’s (NYSOA) Project 2015. Under the project, the New York state government’s 36 cabinet-level agencies were brought together to analyze the impact of the state’s aging and diverse population. The agencies documented their work throughout the process, which was published in a white paper titled *Project 2015: State Agencies Prepare for the Impact of an Aging New York*.

The white paper provided an action plan for each agency, as well as a cohesive policy framework for the state to address the future impact of major

population and social change. “Project 2015’s formal framework has been successful in moving agencies forward and in stimulating innovation, resulting in many tangible outcomes, including non-traditional collaborations, new laws, improved services, and appropriate products ... creating a more optimal fit between the goods and services provided by government and the citizens who need and use those goods and services,” according to the NYSOA. This innovative approach transforms the way policy makers think, act, and interact with others regarding the challenges and opportunities inherent in dynamic demographic change.

Maine. Another model of interagency collaboration is Maine’s departmental collaboration on behalf of children and families. In addition to the initiatives launched directly by the Children’s Cabinet, the five participating departments collaborate on a variety of initiatives designed to improve services to children and their families. These collaborative initiatives involve the Departments of Education, Human Services, Corrections, Labor, and Public Safety. “Active collaboration among the child-serving agencies to develop a system of care has been productive and effective,” the cabinet reported. “Substantive progress has been made on improvements to better manage behavioral health care for children and their families, specifically, interdepartmental resource development planning to identify priority needs for all children to include new or enhanced program needs in addition to creating single point access, on-site visits and medical record reviews, mental health clinical services.” (See www.maine.gov/cabinet/agencycollaboration.html.)

Illinois. Shared services is another form of internal collaboration. Shared services refers to services provided by an agency for multiple organizations, as opposed to services an organization produces internally for its own needs. Illinois’ shared services project may be considered a model because it changed agency silos (agencies each have their own back-office functions and systems) to an enterprise framework (agencies share back-office functions and systems). Under an executive order issued by Governor Rod Blagojevich in 2006, a shared services program was created with three essential goals: improved processes, better technologies, and new service centers.

Shared services at the Central Management Services include telecom and IT, procurement, supplier diversity, property management, personnel, benefits, fleet management, labor relations, external communications, internal audit, workers’ compensation, and legal services. Return on investment exceeded 7 to 1. Prior to the transformation, state agencies, boards, and commissions each provided many personnel and fiscal services, using inconsistent paper-based processes and employing over 100 unique fiscal, human resource, and payroll systems, many of which were over 20 years old, technologically obsolete, and incompatible with each other (Campbell, 2007).

Interbranch Collaboration

In transformed governance, each of the three branches of a state government should collaborate with the others with new approaches and mechanisms to better meet the challenges of the future. Recent decades have witnessed growing tensions among the three branches in virtually every state over issues such as judicial budgets, sentencing guidelines, selection methods of judges, executive orders, and administrative laws. A study of state leaders conducted by The Council of State Governments in 2005 revealed the nature of interbranch tensions, and a majority of the respondents asked for information about how other states have effectively addressed various problems existing among the three branches (CSG, 2005a).

The Council of State Governments has been working on new forms of collaboration by setting up working group meetings and a special state summit. Suggested solutions to ease interbranch tensions include orientations for newly elected state officials on the principles of separation of power and checks and balances, regular forums among representatives from the three branches, and partnerships with national organizations of state officials representing the three branches to promote interbranch communication to avoid future confrontations (American Bar Association, 2003). It is important, however, for each state to seek interbranch collaboration in its own constitutional and political context because of different definitions of legislative, executive, and judicial powers as well as provisions on sharing powers among the three branches (Tarr, 2003).

Interstate Collaboration

One formal method of networking governments and enhancing collaboration among the states is through interstate compacts or interstate administrative agreements coordinated by the National Center for Interstate Compacts (www.csg.org/programs/ncic/default.aspx), which is affiliated with The Council of State Governments. Interstate compacts are characterized as durable and adaptive tools for:

- Promoting and ensuring cooperative action among the states and avoiding federal intervention and preemption.
- Providing state-developed solutions to complex public policy problems; establishing a formal, legal relationship among the states to address problems or promote a common agenda.
- Creating independent, multi-state government authorities (e.g., commissions) that can address issues more effectively than a state agency acting independently or when no state has the authority to act unilaterally.
- Establishing uniform guidelines, standards, or procedures for agencies in the compact's member states; creating economies of scale to reduce administrative costs.
- Responding to national priorities in consultation or in partnership with the federal government.
- Retaining state sovereignty in matters traditionally reserved for the states.

Today, states are facing issues that are not confined to geographical boundaries or jurisdictional lines. As we become more integrated socially, culturally, and economically, the volume of these issues will only increase, and interstate compacts may well prove to be an apt mechanism for developing state-based solutions to supra-state problems. State legislatures considered more than 100 interstate compact bills in 2007. Recent compacts include:

- Interstate Compacts on Educational Opportunity for Military Children
- Interstate Compact for Juveniles
- Great Lakes-St. Lawrence River Basin Water Resources Compact
- Interstate Compact for the Placement of Children

- Interstate Insurance Product Regulation Compact
- National Popular Vote Compact
- Agreements on water issues signed by seven Western states and three Southern states

State-Local Collaboration

Many state policies and programs can be better administered in collaboration with their local governments with some changes to their rules and regulations. State officials also need to solve the many irritants existing in state-local relations today. These include state mandates and restraints contained in statutes and administrative rules and regulations (Zimmerman, 2007).

One model that can help the two levels of government work together in particular program areas is the "The Kansas Collaborative"—a joint effort between the Kansas state government, the Kansas Association of Counties, and the League of Kansas Municipalities. This model has an encouraging record of saving the state and local governments millions of dollars in pharmaceutical purchases for state prisoners and county inmates through a collaborative effort between the public and private sectors.

Its first success came with a pilot project, the Prescription Drugs for Incarcerated Populations Breakthrough Team, launched to reduce pharmaceutical costs to county correctional facilities through improved contracting practices. As a result of this pilot effort, participating counties have saved more than \$1 million in annual recurring costs. The Kansas Collaborative is working on other breakthrough projects focused on the use of Geographic Information Systems, health care costs, and options for lowering the purchasing costs of medical supplies for local health departments, county jails, ambulance services, and other government entities.

Federal-State Relations

All levels of government are faced with difficult intergovernmental challenges, some of which are enumerated in the sidebar "Emerging Intergovernmental Issues." States need a new strategy for more dynamic intergovernmental partnerships based on the traditions of federalism to meet new, unforeseen demands as they come into play in the future. To better respond to natural disasters like Katrina or

terrorist attacks like 9/11, state agencies need to work more closely with their counterparts in the other levels of government with more clearly defined authority and collaborative mechanisms. Ambiguous authority with duplication of efforts and lack of communication has hindered closer collaboration in the past. For example, the creation of state and local fusion centers has been an important step in collaboration across levels of government in the area of homeland security. State and local fusion centers bring together law enforcement information and personnel from all levels of government to coordinate intelligence and provide access to information on terrorism-related activities (Department of Homeland Security, 2008).

On a long-term basis, however, states will need to assert their rightful place in the American federal system by vigorously protecting their sovereignty and preserving their autonomy and flexibility against further centralization, more preemption, and unfunded mandates. State leaders should work together through their national organizations of state and local officials, as well as the U.S. Government Accountability Office and the congressionally chartered National Academy of Public Administration, to create a forum to address these kinds of emerging issues.

Emerging Intergovernmental Issues

- Rise in federal preemption.
- Centralization of power due to increased use of federal preemption.
- Unilateral federal action undermining service capacity.
- Rising state and local fiscal squeeze to cover growing proportions of federal programs.
- Options for joint action to achieve nationwide goals capacity to perform federalism assessments.
- The failure of any organization to produce the types of data produced by the Advisory Commission on Intergovernmental Relations, which was abolished in 1996.
- Mismatch between current revenues and spending demands. (Increased spending demands and revenue shortfalls during economic downturns affect states' ability to fund their share of key programs.)
- Intergovernmental financing of health care, particularly long-term care for the elderly and disabled (a growing aging population, Medicaid, high health care costs).
- Current tax structures at all levels of government and interrelationships between them. (Review the tax structures of all levels of government collectively to better consider the relationships between them. Increasingly interconnected and global as business is conducted across state and national boundaries.)
- The need to reassess the assignment of responsibilities. (The federal government has continued to mandate new responsibilities for achieving national goals on state and local government by law or regulation.)

Sources: *Compiled from "National Agenda for the Support of Intergovernmental Research," National Academy of Public Administration, July 2006; "Highlights of a GAO Symposium: Addressing Key Challenges in an Intergovernmental Setting," March 2003, GAO-03-35SP.*

Strategy Four: Transparent Governance

Why Transparent Governance?

Transformed governance should be more open about the operations of government so citizens can have clearer access to legislative, administrative, and judicial processes than they had before. Transformed governance also should be different from traditional government in states' relationships with the citizens they serve—not only in terms of what they do for them but also what citizens do for their government. Although issues such as open-meeting laws, open records, and disclosures of campaign financing and lobbying activities are all familiar, fiscal transparency seems to be an emerging transparency issue across the states. “The lack of financial transparency can translate into questionable uses of tax money,” according to taxpayers groups. “Transparency of information has not always been fondly accepted in political environments,” Georgia Governor Sonny Perdue said. “I believe if you are going to run a government, the more information that is out there, the more opportunity there is for doing better.... Transparency is a way of protecting fairness and ensuring the common good. When citizens know what their government is up to, they have a better chance of ensuring that decisions treat everyone equally and protect the common conditions that are important to everyone’s welfare.”

Transparency has become a global issue as well. Former Comptroller General of the United States David Walker, an advocate of governance transformation at the national and international levels, said:

On a domestic level, reasonable transparency is essential to fighting corruption, improving government performance, ensuring accountability, maintaining public trust,

Strategy Four: What Is Transparent Governance?

Transparent governance refers to greater openness in government operations and performance, both internally as well as externally. This includes greater availability of data in user-friendly formats as well as tools to assist in their interpretation. Clearer access to legislative, administrative, and judicial processes is a way of protecting fairness and ensuring accountability to the common good. Facilitating the availability and use of government information can increase civic engagement, make it more collaborative and fact-based, and allow citizens to solve their own problems.

and building a healthy democracy. On an international level, government transparency matters not just for domestic reasons but also to help build trust and promote convergence and cooperation because in today’s world countries need to partner for progress on a number of current and emerging challenges.... Transparency also puts pressure on public officials to make difficult but necessary policy and operational choices (Walker, 2007).

Transformed governance should make more civic engagement possible because of the steady increase in the use of the Internet, digital government, and cyber democracy. The impact of information technology on politics and government has been phenomenal and will continue to change how election campaigns will be conducted and how government officials deal with their customers. Although it is not certain whether more voters would participate in the electoral process in coming years, it seems

quite reasonable to assume that more citizens will communicate with their elected representatives and state agencies about programs and services they expect to receive. Civic groups may interact with state officials to advance their causes or make their demands more frequently than before. Citizens in many states without initiatives and referenda authority can now engage in all kinds of transformed governance activities.

The demand for financial transparency comes mostly from civic organizations and government watchdog groups, such as the National Taxpayers Union and Americans for Tax Reform. The Government Accountability Standards Board (GASB), an independent national group that sets the accounting and reporting standards for government entities, issued a new standard with enormous potential implications for state and local governments. Under GASB 45, state and local government entities are required to calculate and report a present-value dollar figure for the total costs of the post-employment benefits obligations promised to employees in the future. Labor-friendly research groups, including Jobs First, are asking for greater transparency on state business incentives offered to businesses, on contracts, and on lobbying activities in the states (Mattera, Walter, Blain, & Lee, 2007; Progressive States Network, 2007).

Best Practices in Transparency

Several states are in the process of changing the way they deal with the transparency issue as reflected in recent proposals by executive branch officials and legislators. California's Secretary of State Debra Bowen said she was committed to transparent governance by providing public access to a wide range of corporate, Uniform Commercial Code, campaign finance, lobbying, and election records.

Former New York State Governor Eliot Spitzer, immediately after his inauguration, signed an executive order requiring state agencies to webcast proceedings that are covered by the state's open-meeting laws. Members of the New York Senate Majority Conference unveiled a new three-point budget transparency and accountability plan that is designed to ensure greater openness, performance, and responsiveness in state government.

Florida Governor Charlie Crist signed an executive order aimed at expediting access to public records.

He also unveiled a website giving interested citizens access to a balanced scorecard for state government and allowing them to see how the state believes it is performing.

Kansas was one of the first states to enact a law mandating the creation of a website detailing state expenditure information. Missouri Governor Matt Blunt ordered the creation of a Missouri accountability portal, the "Map Your Taxes" website, which posts a wide range of government expenditures. In Nebraska, open records requests starting in 2006 were sent to more than 400 public agencies in the state asking for copies of their Internet use policies. The project hopes to ultimately build a database on the web where voters can review the Internet use policies of these agencies.

Floridians can track key indicators and view trends in six service areas—public safety, education, health and family, transportation, economy and taxes, and the environment. The site also provides an opportunity for citizens to send feedback directly to the governor.

Texas Governor Rick Perry is promoting "Google government," putting expenditures and contracts online. In January 2007, he called for government transparency as one component of his "Five-Point Budget Reform Plan." The governor called for all state agencies to publish expenditures online in a clear and consistent format. He made all of the governor's office expenditures available online; the state comptroller followed suit, posting not only her office's expenditures but also those of other agencies.

Virginia's Governor Tim Kaine issued an executive order in 2006 to ensure transparency of quality measurements for the quality of care delivered by health care providers.

Best Practices in Customer-Focused Services

The concept of customer-focused service was one of the core elements of the total quality management approach introduced in state government during the 1980s. So the issue is an old one. What appears to be new is the creation of state government-wide customer service programs. One model is Georgia's "Office of Customer Service." Governor Sonny Perdue created an office of customer service in the

“We will continue changing the culture of state government to be truly principle-centered, people-focused, customer-friendly, and dedicated to earning the people’s trust every day.”

– Georgia Governor Sonny Perdue,
2002 State of the State Address

governor’s office to develop a uniform, statewide system for measuring results, working with more than 40 executive agencies. The office is leading statewide initiatives such as customer satisfaction surveys, employee job satisfaction surveys, customer service training, and improvement of existing state call centers. Benefits of this approach may include an emphasis on results-driven and customer-focused state services with a single point of access to state services for citizens’ convenience.

A slightly different model is Iowa’s Customer Councils, designed to allow customers to work together with state agencies (www.das.iowa.gov/customer_councils/index.html). For example, Customer Councils set utility rates, set complaint resolution processes, and decide what marketplace products and services they will buy.

The consolidated Iowa Department of Administrative Services reported: “If we can’t compete, we lost the business. Our future is tied to customer satisfaction and buying decisions.” Customer Councils take a lot of time and effort to build trust so that the members are equally interested in helping them succeed as well as drive down costs (Anderson, 2006).

As an alternative to Georgia’s and Iowa’s innovations, state policy makers and managers may consider a new proposal introduced in Congress. The Federal Customer Service Enhancement Act (H.R. 404), which was introduced in 2007 and referred to Senate committees, requires the comptroller general and the director of the Office of Management and Budget to jointly develop performance measures to determine whether federal agencies are providing high-quality customer service and standards. The act also would require the head of each agency to collect information from its customers regarding the quality of its services; report to the comptroller general on the

information collected; and designate an employee as its customer relations representative to be responsible for implementing customer service standards.

Best Practices in Encouraging Civic Engagement

American democracy is characterized as representative democracy, where elected representatives are responsible for governance on behalf of voters. Yet in more than half of the states, citizens, in addition to electing their representatives, also have opportunities to make important decisions affecting the future of their state through initiatives, referenda, and recalls. Thus, citizen participation in American politics is a familiar topic. In transformed state governance, however, state officials should be ready for new forms of civic engagement. Such new forms should include ongoing civic engagement mechanisms so that state officials and citizens can interact more closely and frequently. Sophisticated information technology will make more civic engagement possible in years to come.

Civic engagement in transformed governance is broadly defined as a set of individual and collective actions to address issues of common concern and participate in civic and political life, ranging from volunteer work to voting in elections and from community organizing to political advocacy. There are several approaches to civic engagement such as “adversarial, electoral, legislative and administration information exchange, civil society, deliberative.”³ In essence, “civic engagement means working to make a difference in the civic life of our communities and developing the combination of knowledge, skills, values, and motivation to make that difference.”⁴

In recent years, Americans have tended to disassociate themselves from belonging and working for organized groups. When measured by election turnout rates, voter participation in American politics, especially in state politics, has been fair to poor. The National Conference on Citizenship, a nonprofit organization chartered by Congress to elevate the discussion of our nation’s civic health, reported recently: “Here are some reasons we need citizens to engage: The 21st century has opened with acts of terror, natural disasters, deadly regional conflicts, and increased global environmental threat; the gap between rich and poor in the United States

“When we need information or services from state government, we have a right to expect accuracy, efficiency and quality. E-government, information and services available 24 hours a day, 7 days a week, will help meet our expectations and make things a little easier and a lot more convenient.”

– Iowa Governor Tom Vilsack,
2001 State of the State Address

has widened to the highest levels ever recorded; and our politics exploit our divides for political ‘points,’ making it ever more difficult to find union” (National Conference on Citizenship, 2006).

Interestingly, however, there has been an increase in civic engagement among young Americans. In 2003, the Institute of Politics at the Kennedy School of Government at Harvard University, working with colleges and universities across the country, established the National Campaign for Political and Civic Engagement. Participating schools work on their own campus and collaboratively in three key areas: a relationship with electoral politics, a focus on career development, and a foundation in civic education.⁵

The National Center for Learning and Citizenship of the Education Commission of the States joined with the National Conference of State Legislatures to develop and implement the Youth Legislative Engagement project (www.ecs.org). In 2007, at least 14 states included high school students as members of their state boards of education. A new trend has been the creation of youth legislative advisory councils of committees to advise the legislature on issues of importance to youth in the states. Six states—Louisiana, Maine, Nevada, New Hampshire, New Mexico, and Washington—have formed these legislative councils, and in Maine the youth council is able to introduce legislation.

The nonprofit *AmericaSpeaks* (www.americaspeaks.org) is organizing citizen engagement projects across the country. According to its website, “*AmericaSpeaks* projects engage citizens in the most important public decisions that impact their lives. Since 1997, *AmericaSpeaks* has organized ‘21st Century Town Meetings’ in more than 30 states and in the District of Columbia. Meetings have addressed local, state,

and national issues ranging from the development of municipal budgets and regional plans to Social Security reform.” For example, *CaliforniaSpeaks*, a project of *AmericaSpeaks*, presents to the public selected reform proposals brought forward by political leaders. Through this forum, Californians can learn about the different options and make choices about what the state should do. The results of the discussions are presented to the governor and legislative leadership to influence legislation that is being considered in the state capitol.

The National Association of Public Affairs Networks (www.napan.net), a state public affairs network, is a non-commercial multimedia entity primarily dedicated to fostering unbiased and unfiltered connections between citizens and their state government. These connections are achieved through combinations of gavel-to-gavel video coverage of government proceedings and complementary content that adds context or explains the public policy process at large without adding editorial comment or analysis.

The most effective strategies used by state public affairs networks include those offering 24/7 programming, dealing with all three branches of government, operating by an independent government body, and encouraging citizen engagement when structured to explain the process of governing by providing additional information. When technology is available, citizens should also have interactive online systems through which they can raise questions and offer their opinions.

Best Practices in Delivering Civic Engagement

New civic engagement projects in transforming state governance may be initiated by governors, legislators, civic groups, futures organizations, quasi-government organizations, and universities and colleges. Several models, including traditional and online approaches, initiated by governors and legislators are available for replication.

Washington. During the summer of 2006, Washington Governor Chris Gregoire recruited more than 350 citizens so they could take part in “Citizen Forums” designed to engage them in the work of the “Priorities of Government” process and the Government Management Accountability and Perfor-

mance program. These forums, held in seven cities, were followed by community leader events and town hall meetings. The state government then published an annual report for the public: “Moving Washington Forward: Holding Government Accountable for Results.” The benefits of this model include direct civic engagement in government decision making and government reporting to citizens about its performance. This model can be adopted by other states without many resources. However, state leaders contemplating this model might want to consider enabling legislation for a sustainable citizen forums program so such forums can continue to function beyond a governor’s term of office.

Oregon. Oregon has been using benchmarks to measure the level of civic engagement—public understanding and involvement in government work—by creating close partnerships between government and citizens. Benchmarks are the indicators chosen by Oregonians as fair, efficient ways to measure economic, social, and environmental progress. The four benchmark categories are participation, taxes, public sector performance, and culture. Those benchmarks track such measures as the level of citizens’ understanding of government finances and the state’s bond rating, feelings about their community, their use of public libraries, volunteer work, cultural activities, and voter participation in presidential elections. The state government has made available for the public a number of websites on vote-by-mail, public policy debates, land use planning, the Arts Commission, the Heritage Commission, and information on how state government performance contributes to civic engagement benchmarks.

These civic engagement efforts are part of the state’s long-term plan, known as “Oregon Shines.” The plan has three broad goals:

- Quality jobs for all Oregonians (economic climate)
- Engaged, caring, and safe communities (social climate)
- Healthy, sustainable surroundings (environmental climate)

Oregon compares the levels of civic engagement of its citizens with those of neighboring states and national averages.

Hawaii. Hawaii has adopted a new way of civic engagement by allowing citizens to participate in legislative hearings. As stated in Hawaii’s “Sunshine Law,” “opening up government processes to public scrutiny and participation is the most viable and reasonable method of protecting democracy and the public interest.” Hawaii has steadily improved civic engagement in the legislative process since the early 1990s. The legislature’s “Public Access Room” recently added new features, including a “walk in and e-mail” program during legislative hearings. Interested citizens can e-mail committee members and others while hearings are under way. The number of such e-mails has increased sharply; the e-mail testimony has grown to 12,000 pieces during the 2007 regular session alone. The Public Access Room answers inquiries relating to the legislative process. Future plans of the Legislative Reference Bureau, which operates a public access room, include an interactive map on the Public Access Room website and joint workshops with neighbor island county councils (www.hawaii.gov/lrb/par). To replicate the Hawaiian model, state leaders must decide how to process e-mail testimonies during limited committee hearing periods.

Utah. In Utah, a personal website, “Politicopia,” created by a state legislator is recognized as a new model for other lawmakers to consider across the states. Utah State Representative Steve Urquhart, frustrated about low citizen participation in public policy debates and believing that citizens have the tools and the ability to set the agenda, launched his website in 2007 to create a “virtual town square” where interested citizens could debate issues coming before the legislature. The response to the legislator’s call was so phenomenal that one commentator said: “The potential effect for broader political discourse has stirred excitement among advocates who believe the Internet can be used to increase citizen participation in politics” (“Site Cedes Power to People,” 2007). Some observers call it the beginning of “the future of online politics,” while others characterized it as a form of “democracy on a whole new level” (Broder, 2007). The creator of the website is now working to expand the capacity of the online database so more citizens can participate in political dialogue. Cyber democracy has the potential to work across the states.

Lessons Learned

Historically, transforming state government typically meant restructuring or reorganizing the executive branch. This has typically yielded meager results. Today, transformation is seen as much broader. Transformation initiatives are typically initiated by newly elected governors, with the support of legislative leaders. Those initiatives that have tended to last possess the following characteristics:

- **Have bipartisan leadership commitment.** State governance transformation initiatives can be implemented more effectively in a bipartisan environment with state leaders' strong commitment, interbranch collaboration, and active participation by all stakeholders, including civic, business, and labor groups, and the media. A successful transformation initiative also must secure support and participation by state workers through open exchange of communication and assurance of employment security from planning to implementation stages.
- **Are enacted into law.** Foresight and long-term planning projects that have been sustained over the years are the ones that have been enacted into law. Those put in place via executive orders or private organizations did not last beyond gubernatorial terms. Among the sustained projects initiated and supported by the legislative branch are the Oregon Progress Board, North Carolina Progress Board, and Council on Virginia's Future, all of which combined long-term planning and results-focused management with measurable benchmarks.
- **Link plans to budgets.** State agencies in many states have adopted either long-term or strategic planning as a management approach without
- statewide strategic planning. This has resulted in disjointed and uncoordinated departmental plans. A more important problem has been the failure to link strategic plans to budgeting. If governors and legislators are serious about transforming governance, they must have an integrated planning, performance, and budgeting system with enabling legislation.
- **Use measures to manage, not just for accountability.** Executive branch agencies in most states have been developing performance measures or indicators. Oftentimes too many have been developed as part of their strategic plans and reported separately to the governor and legislature. Most have not been integrated into their state's performance management framework (if such a framework existed in the first place). In transformed governance, performance measures and a performance management framework should focus more on implementing and monitoring such measures on a continuous basis, and plans and goals should extend beyond gubernatorial terms or legislative election cycles.
- **Reach beyond the boundaries of state government.** State leaders continue to experiment with their management innovations thanks to information technology, as shown in the areas of shared services and collaboration. They can develop more collaborative networks with governmental and non-governmental entities and civic groups, relying more on e-government as well as cyber democracy. Doing so creates a greater sense of joint responsibility, legitimacy, and trust. These attributes are important to strengthening both democracy and the use of networks as an effective policy instrument for delivering services.

Appendix: Guiding Principles for Implementation of State Governance Transformation

Types and Initiators of State Governance Transformation

Transformation leaders should decide if the transformation initiative is a legislative, executive, or judicial branch project, as well as whether it is a statewide or policy/program-specific project.

- Transformation can be initiated by governors, legislative leaders, and judges who have political skills and courage, other elected or appointed policy makers with innovative ideas, or progressive managers and workers with a sense of accountability and responsibility to the public.
- A transformation project can also be initiated in partnership with non-governmental research institutes, civic leaders, and progressive business organizations.
- An outcome focus must be paramount throughout all implementation to ensure that every agenda is aligned regardless of type of transformation.
- Transformation leaders should frankly identify constraints on the transformation and earnestly attempt to minimize them. They should also be aware that not all transformation efforts will be successful.

Essential Questions to Ask Before Launching a Statewide Transformation Project

Transformation implementation should be handled differently by each branch of state government. If it is a statewide executive branch project, for example, transformation leaders should ask the following questions:

- Is the governor ready to transform the state government?
- Can the goals of the transformation be expressed in terms of measurable outcomes?
- Are the governor's staff, cabinet members, and agency directors ready to support a governance transformation project?
- What are the specific reasons for governance transformation?
- What are the limitations, if any, on the scope and depth of the transformation effort?
- Can the governor get legislative leaders' support and commitment to implement transformation?
- Can the governor obtain necessary financial resources for transformation?

If it is an agency-wide initiative, transformation leaders should ask similar questions regarding the agency director's and managers' commitment, appropriate legislative committee leaders, and financing resources necessary to carry out the proposed transformation.

Transformation Diagnostics

If answers to these questions are affirmative, transformation diagnostics may be conducted by:

- An internal review committee of cabinet members, agency directors, and committee chairs
- An internal review committee of managers and employees representing various state agencies
- Outside consultants or third-party auditors, such as The Council of State Governments' advisory board members

- A mixed body of state and non-state transformation experts

Factors Affecting the Choice of a Transformation Approach

The approach selected should depend on the specific issue, and multiple approaches may be more effective in moving the issue forward in its transformation. The factors that should be considered can be grouped loosely into the categories listed below. A given transformation issue can be either more or less mature, or ready for transformation, in each of these different categories:

- **Political:** Political forces and stakeholders are interested, motivated, and willing and ready to support transformation.
- **Resources:** Human capital skills and other resources are sufficient to support transformation.
- **Capacity:** Organizational, institutional, agency, and cultural readiness and capacity for transformation is high.
- **Leadership:** Leadership and other thought drivers are identifiable, present, and ready to engage.
- **Vision:** Vision, objectives, goals, and desired outcomes of transformation are clear.
- **Technical:** Technical research, methodologies, and other analytics commensurate with the complexity of the transformation issue are available and sufficiently refined.
- **Data:** Data about the transformation issue, its drivers, baseline, possible scenarios, etc., are available, relevant, credible, current, and independent.
- **Accountability:** Accountability for the transformation—or lack thereof—is clearly identified.
- **Outside forces:** External forces, presence of crises, or other public policy brinkmanship present a condition of urgency about the need for change.

Problem Identification and Target Areas of Transformation

Transformation leaders and project participants should focus on problem identification and specific target areas of institutional transformation.

Insights into Selecting a Transformation Approach

- Recognizing that “rank matters” in many state government hierarchies, transformation executives or managers should either be given the authority to make decisions or a direct line of communication to the decision makers.
 - Preparing the factors for transformation in the different areas can be transformative in and of itself.
 - Overwhelming readiness in one area may be enough to outweigh lack of readiness in other areas; however, the sustainability of any transformation is improved as more areas are prepared.
 - Different factors may have relatively different weights for different transformation issues.
 - Many of these factors lend themselves as categories for action in an implementation plan or strategy.
 - Categories are not mutually exclusive or exhaustive, but are meant to provide general guidance on the types of factors that should be considered.
 - Within each bucket or area, a set of questions could be asked that would elicit the information permitting one to assess relative readiness. If such questions were written parallel, then an increasing number of “yeses” or “nos” could indicate a relatively higher state of readiness.
- It is important to identify problem areas in need of transformation first.
 - Such areas may be in a crisis situation needing immediate solution such as a “wolf at the door” situation or a worsening problem such as a “termites in the basement” problem.
 - It is also important to assess the benefits of transformation and the costs of doing nothing to identified problem areas.

Transformation Project’s Mission and Goals

Transformation leaders should establish a coherent mission, strategic goals, and a timeline of the transformation project. This must include a clear articulation of the measurable outcomes resulting from the transformation.

- Communicate with state employees on transformation goals and timeline.
- Establish a statewide knowledge and skills inventory to exchange ideas and experience on governance transformation.
- Align performance measurement systems with transformation goals.

Transformation Management Team or Office

Transformation leaders should set up a transformation management team or office with experienced and knowledgeable managers and employees, either in the governor's office or management and budget office, to coordinate the implementation of the transformation project.

- Establish networks to support and implement transformation.
- Define responsibility and accountability for agency directors, managers, and employees involved in transformation.
- Ensure that transformation executives or managers have the authority to make key decisions regarding affected staffing and resource allocation levels or have direct unfettered access to those who do.
- Integrate transformation goals into the performance measures of management team/office.

Transformation Road Map

The transformation management team should design a road map for state governance transformation with the help of other participants.

- The team or office should use in-house teams of managers and employees to develop such a road map.
- The team may seek help from an outside advisory board consisting of private sector management experts, citizen group representatives, as well as professional government consultants.
- The road map should demonstrate clear linkages between transformation implementation steps and the outcome-based goals of the transformation.

Employee Participation and Buy-In During a Transformation

Transformation leaders should involve state employees—as the most valuable state governance asset—in every step of implementation to obtain their ideas and gain their ownership of the transformation.

- Integrate transformation goals into the performance measures of all staff throughout the process.
- Implement a credible system to reward “out of the box” new ideas and “beyond the call of duty” efforts clearly aligned with transformation goals.
- Supplement participation by employee leaders through surveys, forums, and conferences.
- Involve employees and their associations from the outset in the goal setting of the transformation effort, including their input on the determination of desired measurable outcomes.
- Involve employees and employee associations or unions in planning and sharing performance information.
- Incorporate employee feedback into transformation efforts.

Communication During a Transformation

The transformation management team should establish a well-crafted communication strategy to report progress toward transformation.

- Make the case for change clearly, early, and in terms of desired measurable outcomes.
- Communicate with state workers about success stories to build trust and support, credibly demonstrating the positive role employee support plays in the transformation.
- Communicate with the public periodically with progress reports and through the media when appropriate.

Endnotes

1. An online version of Future Trends in State Courts is available at the National Center for State Courts website: <http://www.ncsc.org>.

2. The “Big Seven” consists of the National Governors Association, National Conference of State Legislatures, Council of State Governments, National Association of Counties, U.S. Conference of Mayors, National League of Cities, and International City/County Management Association.

3. Cooper, Bryer, and Meek offered a conceptual model of civic engagement: enhancing government legitimacy, responsiveness; enhancing citizen confidence, citizen trust, citizen efficacy; enhancing government trust in citizens (Cooper, Bryer, & Meek, 2006).

4. For definitions of civic engagement, see “Philanthropy for Active Civic Engagement” (PACE); www.pacefunders.org/. See also Ehrlich, 2000.

5. For more information, see www.iop.harvard.edu/Programs/National-Campaign/; see also Hauptmann, 2005 (<http://www.park.edu/icce>).

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ABOUT THE AUTHOR

Dr. Keon S. Chi was the editor-in-chief of *The Book of the States*, a premier reference book on American state governments published annually by The Council of State Governments (CSG). Dr. Chi passed away in a tragic automobile accident on January 9, 2008. At the time of his death, he was also serving as the director of the newly created National Center for State Governance Transformation.

After joining CSG in 1981, Dr. Chi served as a research associate, senior policy analyst, director of State Trends and Innovations, editor-in-chief of *Spectrum: The Journal of State Government*, and a columnist for *State Government News*. He was the author or co-author of more than 100 journal articles, monographs, book chapters, and columns dealing mostly with cutting-edge issues such as foresight, strategic planning, economic development and policy, and management innovations in state government.

Dr. Chi was a member of several professional organizations, including the American Society for Public Administration, American Political Science Association, and World Future Society. He had also been on the editorial or review boards of *Public Administration Review*, *State and Local Government Review*, *American Journal of Public Administration*, and *Public Integrity*.

Dr. Chi served on several advisory committees for state and federal governments, including the National Conference of State Legislatures and the U.S. Government Accountability Office. In addition, he served as a consultant or speaker on matters for numerous state agencies across the nation and for organizations of state officials and others interested in state politics, policies, program initiatives, and administration. In 2006, he spoke at the government auditors' conference sponsored by GAO and the annual conference of the World Future Society.

Dr. Chi held master's and doctoral degrees in government from Claremont Graduate University in California and taught at Georgetown College in Lexington, Kentucky, for more than three decades.



KEY CONTACT INFORMATION

To contact The Council of State Governments:

John Mountjoy

Director of Policy and Research
The Council of State Governments
2760 Research Park Drive
P. O. Box 11910
Lexington, KY 40578-1910
(859) 244-8256

e-mail: jmountjoy@csg.org
www.csg.org



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For additional information, contact:

Jonathan D. Breul

Executive Director

IBM Center for The Business of Government

1301 K Street, NW

Fourth Floor, West Tower

Washington, DC 20005

(202) 515-4504, fax: (202) 515-4375

e-mail: businessofgovernment@us.ibm.com

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