



City of Seattle
Human Services Department

Date: March 29, 2013

To: Councilmember Nick Licata, Chair
Seattle City Council Housing, Human Services, Health and Culture Committee

Sally Bagshaw, Councilmember
Bruce Harrell, Councilmember
Tom Rasmussen, Councilmember

From: Dannette R. Smith, Director
Seattle Human Services Department

Re: Statement of Legislative Intent 88-1-A-1: Report on HSD Strategic Plan and Review
of Outcome-Based Contracts

This memorandum transmits the Seattle Human Services Department's (HSD's) response to the City Council's Statement of Legislative Intent (SLI) 88-1-A-1 included in the 2013 Adopted Budget, requesting the Human Services Department provide a report updating Council on implementation of the Department's strategic plan and to conduct a review of outcome-based contracts. Specifically, the Department was requested to provide:

1. Two written summaries on progress towards implementing the HSD strategic plan to the Housing, Human Services, Health and Culture (HSHHC) Committee. The first summary is due no later than March 30, 2013 and the second no later than August 31, 2013.
2. One written report summarizing a comprehensive review of the Department's use of outcome-based contracting with clearly articulated goals for using the analysis of other models from around the country. This report is due no later than August 31, 2013.

The attached report is the first summary describing the progress towards implementing the Department's strategic plan. Specifically, this summary provides a status report on the following:

- Progress related to developing the new "outcome framework" and "logic models" for each division;
- Status of new investment plans for each division;
- Public outreach and stakeholder input associated with outcomes framework and investment plans with a focus on how HSD has engaged the community including agencies and service providers, prior to release of the final investment plans; and

- An update on implementation of the HSD work plan (job duties and expectations) and staff performance evaluation tools.

The subsequent report due by August 31, 2013 will address the following:

- Significant progress on the items included in the first report (outcome framework and logic models, division investment plans, public outreach and stakeholder engagement, and work performance management tools);
- Changes related to RFIs and other procurements tools;
- Changes related to contracts including progress towards increasing the amount of details and financial information required from service agencies;
- Changes to improve contract monitoring; and
- A summary of findings and progress to address staff capacity and data infrastructure needs for the Department.

Additionally, a comprehensive report summarizing findings from a review of the Department's use of outcome-based contracts will be provided by August 31, 2013.

The SLI requests the first report on this matter be submitted to the Housing, Human Services, Health and Culture (HSHHC) Committee by March 30, 2013. The HSHHC Committee may also request a formal public briefing for this first report.

I appreciate your commitment and support of our goal to create a seamless service delivery system which ensures equity in its funding process based on the use of data. I am happy to answer any questions you may have about HSD's attached report.

Cc: Catherine Lester, Deputy Director, Seattle Human Services Department
Beth Goldberg, Seattle City Budget Office
Becky Guerra, Seattle City Budget Office
Jeanette Blankenship, Seattle City Budget Office
Ben Noble, Council Central Staff
Mike Fong, Council Central Staff
Susana Serna, Council Central Staff
Jaline Quinto, Mayor's Office

**Seattle Human Services Department
Report on HSD Strategic Plan and Review of Outcome-Based Contracts
Statement of Legislative Intent (SLI) 88-1-A-1**

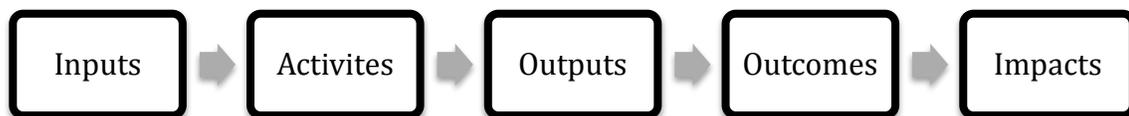
The Seattle City Council approved Statement of Legislative Intent (SLI) 88-1-A-1: Report on HSD Strategic Plan and Review of Outcome-Based Contracts as part of the 2013 Adopted Budget. City Council members expressed an interest in reviewing the Department's reports on this topic at two intervals, the first by March 30, 2013 and the second by August 31, 2013.

In response to the two priorities laid out by City Council in SLI 88-1-A-1, this report will provide an update on the Department's implementation of its strategic plan. Specifically, the report will address four topics outlined in the SLI document, along with next steps.

Outcomes Framework & Logic Models:

In July 2010, the Mayor and City Council charged the Human Services Department (HSD) with the following goals: (1) create a seamless service delivery system; (2) reorganize, redesign contracting infrastructure and processes; and (3) develop a data-driven environment that guides investments. Since that time, the Department has been focused on developing the infrastructure needed to support the implementation of its strategic plan and address the three goals set forth by the Mayor and City Council. This has involved alignment of leadership resources, clarification of staff roles and responsibilities, addressing capacity and training needs, the development and implementation of an outcomes framework, and extensive community engagement.

In 2012, the Department convened an internal data team to begin its work in developing an outcomes framework with the focus on articulating the desired results from its investments with community-based organizations. The outcomes framework involved the creation of logic models for each service division, using the W. K. Kellogg Foundation¹ as a developmental guide. Additionally, the internal data team reviewed demographic data, as well as risk and resilience data for the populations served by the Department. Each division's logic models included information about inputs, activities, outputs and outcomes, and tied to the division's impact statement. Below is the visual depiction of a logic model:



¹ The W. K. Kellogg Foundation Logic Model Development Guide available at <http://www.wkkf.org/knowledge-center/resources/2006/02/wk-kellogg-foundation-logic-model-development-guide.aspx>

On December 6, 2012, HSD invited various stakeholders to a meeting to learn about the Department's outcomes framework and initial division logic models. Below are the primary logic model outcomes for each division, as well as the impact statements:

Division & Impacts	Outcomes
<p>Youth & Family Empowerment</p> <p><i>Children & youth are prepared for school and life</i></p>	<ol style="list-style-type: none"> 1. Increased number of children and youth achieve academic success 2. Increased number of youth demonstrate improvement in self regulation 3. Increase number of youth and families demonstrate skills and knowledge with regard to health and nutrition 4. Increased number of youth demonstrate improved self sufficiency 5. Increased number of children and youth improve in social, emotional, and behavioral domains
<p>Community Support & Self Sufficiency</p> <p><i>Our community is safe, stable and self reliant</i></p>	<ol style="list-style-type: none"> 1. Decreased number of vulnerable individuals via strong community connections 2. More individuals have skills to develop healthy relationships and address relationship violence 3. Increased number of survivors of abuse, assault and exploitation are safer and more stable 4. Increased number of economically vulnerable residents improve financial stability 5. Increased number of individuals are naturalized and access the benefits of citizenship
<p>Transitional Living & Support</p> <p><i>There are pathways to safe and stable housing</i></p>	<ol style="list-style-type: none"> 1. Increased number of individuals and households at risk of losing housing increase income and resources through financial empowerment assistance and education 2. Reduced number of people who enter the shelter system 3. Reduced length of time people experience homelessness 4. Reduced number of people who return to shelter 5. More economically vulnerable residents have access to good/healthy food
<p>Aging & Disability Services</p> <p><i>Our community promotes healthy aging and lifestyle</i></p>	<ol style="list-style-type: none"> 1. Increased number of medically fragile individuals have improved, maintained or less rapid decline in health (physical functioning, depression, oral health, memory) 2. Increased number of aging individuals and people with disabilities make assisted contact with benefit program and services, receive healthcare, gain employment 3. Increased number of aging individuals & people with disabilities become/remain healthy and increase / sustain social ties 4. Increased number of caregivers of frail adults/people with disabilities lower their stress and burden levels and continue to provide care at home

The meeting attendees included contract providers, advocates, other funders, the City Budget Office, Central Staff, and the Mayor's Office. During this stakeholder meeting, HSD solicited feedback on its outcomes framework and logic models; some of the questions posed to the group to elicit feedback were:

- What are your general reactions to the logic model outcomes and do they get us to the impact priorities?
- Are there any unintended consequences to consider?

- Do the outcomes address issues of disparity and help move the dial on the City's Race & Social Justice Initiative?
- What are the opportunities for broader stakeholder engagement around the logic models?
- What are the considerations for data collection practice based on the draft logic model outcomes?
- How can the system best use data to improve service quality and address inequities, as well as for shared accountability?
- What is the system's ongoing capacity needs to implement the outcome framework, and are there distinctions between providers, funders and the public system?

The feedback generated during the stakeholder meeting in December 2012 is summarized and included as an attachment with this report (**Attachment A**). Included in this feedback summary are the salient points shared by stakeholders as well as some preliminary steps that HSD is taking to incorporate the feedback into action items for advancing the outcome framework. The goal is to finalize the logic models by June 2013. The final logic models will incorporate stakeholder feedback, reflect the Department's current organizational structure, and include an operational toolkit to support staff in both planning functions as well as development of future funding processes.

Division Investment Plans:

The outcomes framework and logic models will inform the development of an investment plan for each service division. These investment plans will articulate the alignment of the Department's resources with the logic model outcomes. Each division's investment strategy will be organized according to the following categories: (1) guiding principles; (2) literature review and best/promising practice; (3) programmatic and fiscal data; (4) community engagement; and (5) investment priorities. The forthcoming investment plans present an opportunity to embed the values of the city's Race and Social Justice Initiative (RSJI) in the Department's planning and funding practice. Divisions will draft investment plans during 2014. Draft investment plans will be released for public comment during the second quarter of 2014, so that they can be finalized in time to inform subsequent funding processes for contracts beginning in 2015. The investment plans will be the framework for how the Department will make investment decisions over a two-to-three year period beginning in 2015, with a significant focus on ensuring that investments promote seamless service delivery, equity, and data-driven decisions.

Public Outreach & Stakeholder Input:

Public outreach and stakeholder input, or engagement, will be a key element in the development process for the outcomes framework and division investment plans. The Department's strategic plan *Healthy Communities, Healthy Families: An Integrated Approach to Human Services* was developed with significant community engagement. Additionally, the recent Communities Supporting Safe and Stable Housing investment plan for homeless services and investments also included extensive community engagement, including consumer voices. HSD is currently developing a practice standard for community engagement, and how data solicited from future public outreach and stakeholder

engagement efforts should be used to inform the Department's planning, funding processes, and investment decisions.

In the fourth quarter of 2012, HSD began convening provider network meetings by division. The purpose of these network meetings is to provide a proactive forum for sharing information and building relationships. To date, the Youth and Family Empowerment division and the Domestic Violence/Sexual Assault Prevention team have hosted two and three provider network meetings respectively, and the Aging and Disability Services division hosted their first provider network meeting on March 27, 2013.

In addition to the public outreach and stakeholder engagement activities noted above, HSD also convened two special stakeholder groups to partner with the Department on the implementation of the outcomes framework, and on fiscal and contract changes. These two special stakeholder groups provide a forum to invite providers' and others' input around the changes that are being implemented as part of HSD's strategic plan. As described in this report, HSD has engaged a diverse group to help inform the development of the outcomes framework; **Attachment A** of this report describes the type of feedback provided to date and the ways in which HSD will be using this feedback to advance development of the outcomes framework.

Performance Management:

HSD has initiated a process for revising its performance management system that includes a tool and procedure that is used to establish work expectations and review performance for each staff member within the Department. The revised annual work plans (AWPs) consolidate separate tools and processes into one, and are intended to be used by supervisors and managers to establish performance goals, define expected core behavioral competencies, and align training and development goals for the employee. The AWP tool and procedure was developed with significant employee input, and was vetted through City Labor as well as the Local 17 Union. Attached is a copy of the annual work plan as well as the procedural instructions (**Attachment B**).

The new work plan tool and procedure was piloted with all supervisors, managers and executives in the APEX-SAM classification in September 2012. Implementation with all staff began with the start of the 2013 calendar year. To date, 12% of all work plans have been completed and submitted to the Department's Human Resources team. The goal is to attain a 100% completion rate by April 30, 2013. The next phase of changes in the Department's performance management system is to revise the annual performance evaluation tool and process. The performance evaluation tool will mirror the new AWP tool, and will be implemented at the end of 2013 following review and vetting with staff as well as City Labor and the Local 17 Union.

Future Updates – Second SLI Report, Due by August 31, 2013:

In the second response to City Council for SLI 88-1-A-1, HSD will provide the following updates on the Department's implementation of its strategic plan:

1. Updates on outcomes framework and logic models, division investment plans, public outreach and stakeholder input, and performance management;
2. Summary of work and accomplishments to re-engineer and improve the Department's funding processes (e.g., RFIs);
3. Summary of work and accomplishments to improve the Department's contract development and monitoring practice; and
4. Identified capacity needs and data infrastructure needs, as well as steps to address.

Additionally, a comprehensive report will be provided to summarize findings from a review of the Department's use of outcome-based contracts.

To provide a visual overview of the body of work required to fully implement HSD's outcomes framework, a Gantt chart has been developed as a working draft to track the key milestones. This working draft is attached with the report (**Attachment C**).

SUMMARY OF SMALL GROUP DISCUSSION (last revised 3-8-13)
Human Services Department – Outcomes Advisory Group Meeting on December 6th, 2012
Healthy Communities, Healthy Families: An Integrated Approach to Human Services

Small Groups – Discussion Guide & Feedback	Action Steps/Lead/Timeline
<p>1) General Reactions</p> <p>a. What are your general reactions to the logic model outcomes?</p> <p>b. Do they get us to the impact priorities?</p> <p>c. Do they address issues of disparity and help move the dial on the city’s Race & Social Justice Initiative?</p> <p>d. Are there any unintended consequences to consider?</p> <ul style="list-style-type: none"> • “Health” crosses all divisions and needs to be incorporated/reflected in the logic model • Keep the logic model outcomes simple, relevant and concise; ensure there is alignment with federal outcomes (i.e. HEARTH) • Having any more than five outcomes seems too intense/big; make sure outcomes that intend to have a system-wide collective impact are tight and concise • Ensure that outcome language is clear, consistent and action focused (i.e. verbs) rather than suggestive or passive language; include specific about intent of the change (i.e. increase/decrease) • If crime prevention is the goal of “self-regulation” for YFE, then crime prevention should be listed as an outcome • Consideration about whether or not there are tradeoffs with the outcomes; do any of them create an unintended adverse condition? • Need clarity about the steps that must happen in between outcomes and priorities – what’s the theory of change and how will logic models be operationalized by HSD? • Consider including another category addressing the interim steps that should happen in order for the outcomes to be achieved (i.e. reduced # of people return to shelter- will necessitate more permanent, stable housing) • Is HSD creating a perverse incentive system that would reward the status quo? • Use numbers wherever possible to show actual changes in condition related to the outcomes as well as define target population • Be very explicit about the disparity issues that HSD wants to impact and how the logic model outcomes will do that • Acknowledge other investments/inputs not funded by City that impact outcome achievement • Consider broad contracts and with multiple outcomes; shift to more collective impact focus 	<p>A. Review draft logic models to ensure that outcome language is clear, concise and action focused, and accurately reflects health across the HSD continuum – HSD by 4/30/13</p> <p>B. Develop a toolkit that will be used by HSD staff to operationalize the outcome framework and logic models in developing future investment plans; this toolkit will include intermediary outcomes as well as clearly lay out the theory of change – HSD by 6/30/13</p> <p>C. Develop a central repository within HSD to manage data (i.e. demographic data, disparity data, etc.) and other resources to use in developing investment strategies and future funding processes – HSD by 9/30/13</p> <p>D. Define contract types and options to assist with reconciling outcome-based contracts with the outcomes framework/logic models – HSD by 9/30/13</p> <p>E. Identify opportunities and action steps for HSD to better coordinate and align with other funders (i.e. King County, United Way, private funders, etc.) on outcome priorities and options for leveraging collective impact – HSD, King County, United Way and Building Changes by 12/31/13</p> <p>F. Monitor and consider potential tradeoffs with the logic model outcomes, and identify options for mitigating potential negative implications for program participants and/or the community – HSD & Stakeholders ongoing</p>

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Human Services Department – Outcomes Advisory Group Meeting on December 6th, 2012
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<p>2) Stakeholder Engagement</p> <p>a. What are the opportunities for stakeholder engagement?</p> <p>b. How do we ensure diversity in the engagement process?</p> <p>c. What is a joint message for this stakeholder engagement?</p> <p>d. What are our rules of engagement, and how do we set shared expectations for the stakeholder engagement work?</p> <ul style="list-style-type: none"> • Stakeholder engagement should be an intentional opportunity to <u>add</u> input • Engagement must be 1) holistically/seamlessly; 2) transparent and involve a real conversation; 3) include creative methods; and 4) authentic (not just checking off a task) • Purpose of engagement is to help surface new ideas, not yet considered • Should leverage existing groups/forums rather than starting from scratch • Should be purposeful about engaging people/communities that are not typically included in the conversation and/or data; contact leaders directly • Contractors/providers can provide meaningful introductions to people/groups and help with credibility; however this work should not be defaulted to providers to solely cover this function • Inventory existing opportunities and gaps/missing contacts & information • Diverse and connected staff members can help make connections • Acknowledge shortcomings and ask for help; get good advice on how to develop relationships and get feedback from specific groups of people • Have conversation with agencies about what has worked for them currently and in the past • Keep in mind that agencies have even more expertise and interest in areas outside of the scope of their HSD contract • Be creative; use multiple opportunities, types and methodologies • Make sure to create a feedback loop for reporting back how engagement data is used in planning and/or decision process • Ensure access by providing translators & interpreters, as well as considering day, time, and location of engagement activities • Come with respect and acknowledge their time, opinion, and fatigue from these processes • Be up front about expectations for the meetings and “partnerships” 	<p>A. Initiate provider stakeholder meetings per division as a strategy for community engagement – HSD by 1/31/13</p> <p>B. Inventory prior stakeholder/community engagement efforts including data knowledgebase and gaps – HSD by 5/31/13</p> <p>C. Develop a working definition of stakeholder/community engagement to use in creating a consistent practice standard – HSD and Stakeholders by 6/30/13</p> <p>D. Incorporate community engagement practice standard as part of the expectations for all planning and development of funding processes for HSD staff – HSD by 9/30/13</p> <p>E. Determine community engagement strategy for development of the division investment plans – HSD by 12/31/13</p>
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Human Services Department – Outcomes Advisory Group Meeting on December 6th, 2012
Healthy Communities, Healthy Families: An Integrated Approach to Human Services

<p>3) Data Collection</p> <p>a. What are the opportunities for us to strengthen our data collection practice and reduce administrative burden?</p> <p>b. What data should be collected and how?</p> <p>c. How do we use the data for shared accountability?</p> <p>d. How do we use the data to improve service quality and address inequities?</p> <ul style="list-style-type: none"> • Need clarity about demographic data collection – what and how • Consider ramifications of data collection of personal information and potential impact on disclosing/sharing information • How to tap into and use data that shows what funding supports/drives certain investments • What data exists and is available accessible; seek out ways for funders to coordinate outcomes priorities as well as data collection requirements • Consider ways to reduce administrative burden for providers and program participants/consumers (particular impacts for I/R consumers) • Look at various ways of measuring impact, including tracking shorter increments of change • Consider measures that take into consideration other/external factors • Make sure that investments match demographic data and take into consideration factors related to under-reporting, safety and privacy issues • Critical to include a feedback loop to stakeholders on data collected • Make sure that there is clear utility and purpose for data that is collected • Examine gaps in available data; use for prioritization of data collection activities • Need to establish a framework and common language for data collection • Use data to create/support a culture of learning with a focus on service quality and continuous quality improvement processes • Look at cross-systems implication for data collection and opportunities to build/support shared data systems that are secure • Involve program participants/community in data collection and analysis • Use data to demonstrate accountability to taxpayers and the community • Determine what data is useful and why • Ensure close coordination around data collection requirements and priorities between funders, as well as between funders and providers • Identify and work toward common data points and priorities with other regional funders • Consider capacity needs for data analysis and use in planning 	<p>A. Develop a template for a monthly data scorecard to use in providing key data points to external stakeholders – HSD by 6/30/13</p> <p>B. Determine consistent practice expectations for monthly contract provider reports (content and format), and identify expectations for synthesizing and providing a real time data summary – HSD by 9/30/13</p> <p>C. Review client profile report to determine appropriate content, ways to ensure consistent implementation across HSD, and automation options – HSD by 10/31/13</p> <p>D. Identify opportunities and action steps for HSD to better coordinate and align with other funders (i.e. King County, United Way, private funders, etc.) on data collection practice and requirements – HSD, King County, United Way and Building Changes by 12/31/13</p> <p>E. Inventory capacity needs of the system to accommodate any shift in data collection practice and requirements – HSD and Stakeholders ongoing</p>
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Human Services Department – Outcomes Advisory Group Meeting on December 6th, 2012
Healthy Communities, Healthy Families: An Integrated Approach to Human Services

<ul style="list-style-type: none"> • Data practice expectations must be reasonable and not require additional capacity/resources that take way from direct services • Consider a middle ground for data points and time periods, and how to share data with partners in “real time” • Need greater alignment amongst funders, especially on allowable expenses 	
<p>4) Ongoing Capacity Needs</p> <ul style="list-style-type: none"> a. What is are our ongoing capacity needs to be able to make a shift with the outcomes framework? b. Are there specific capacity needs that providers have? c. Are there specific capacity needs that funders have? d. Are there specific capacity needs that HSD has? <ul style="list-style-type: none"> • Ongoing challenge is the desire to “feed the monster” with different and varying data requirements – this created addition capacity needs • Increased data requirements is staff intensive; clarity about purpose and utility of data collected is critical for creating broad buy-in and support • System to pull data from one source/multiple entry • Consider models for data integration and the role of HSD in making that work (i.e. look at what Snohomish County is doing) • Capacity needs/issues created when outcomes and data requirements are not aligned – look for alignment options on with local, state federal and privately funded programs (note – local and private funding most flexible) • Prioritize and communicate capacity and data needs; coordinate share goals and efforts within the system • Consider outcomes that are achievable; make the distinction between collective impact goals and outcome-based contracts (1-2 years) • Contract outcomes must be reported within the one-year timeframe • Need to tackle challenge of tracking outcome and impact for services that have multiple fund sources; consider capacity needs for tracking impact across different funders 	<ul style="list-style-type: none"> A. Identify opportunities and action steps for HSD to better coordinate and align with other funders (i.e. King County, United Way, private funders, etc.) on system capacity needs and development opportunities – HSD, King County, United Way and Building Changes by 12/31/13 B. Inventory capacity needs of the system to accommodate any shift in data collection practice and requirements – HSD and Stakeholders ongoing



Human Services Annual Work Plan

1. Employee Last Name	2. Employee First Name and Middle Initial	3. Job Title	4. Division	5. Employee Number				
6. Supervisor Name	7. Supervisor Job Title	8. Manager/Division Director Name	9. Review Period From _____ to _____					
10. Purpose of Plan <input type="checkbox"/> Annual <input type="checkbox"/> New Hire <input type="checkbox"/> Job Change <input type="checkbox"/> Promotion <input type="checkbox"/> Other _____								
Human Services employees are expected to individually contribute to the Department goals and objectives through meeting their performance objectives and demonstrating the required HSD competencies for their position. This Work Plan is to support supervisors in identifying and setting individual contributor goals (performance objective), informing employees on how performance will be measured and identifying training and developmental need to ensure employee success during the performance period.								
<p>Mission To connect people with resources and solutions during times of need so we can all live, learn, work, and take part in strong, healthy communities.</p> <p>Vision That all basic needs in our communities are met through innovative and collaborative approaches. Greater Seattle is a place where the richness of our diversity is valued, all of our communities thrive, and people grow up and grow old with opportunity and dignity.</p> <p>Department Goals</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; padding: 5px;">1) Create a Proactive, Seamless Service System</td> <td style="width: 50%; padding: 5px;">3) Engage and Partner with the Community</td> </tr> <tr> <td style="padding: 5px;">2) Strengthen and Expand Partnerships</td> <td style="padding: 5px;">4) Use Data-Driven Design and Evaluation</td> </tr> </table>					1) Create a Proactive, Seamless Service System	3) Engage and Partner with the Community	2) Strengthen and Expand Partnerships	4) Use Data-Driven Design and Evaluation
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Section I

APEX SAM ([Executives](#), [Manager 1, 2, 3](#) and [Strategic Advisor 1 & 2](#))

Review the Class Spec and identify key areas of responsibility expected of the employee during the review period. Limit the areas selected to the four or five most important job functions required to demonstrate successful performance in the position and those that meet the business needs of the Department.

Class Summary

APEX-SAM employees perform professional level work in the management of the provision of direct and contracted human services. Employees in this classification are accountable for translating City and Departmental objectives into specific outcomes in the areas of policy, programs and service delivery, through effective utilization of the City’s human, financial and other resources.

Distinguishing Characteristics’ of the Class

[Managers](#) are distinguished from [Strategic Advisors](#) in that Strategic Advisors do not directly manage significant human or other resources; for example, supervision of staff may be assigned to Strategic Advisors, but it is not the primary focus of the work.

The Manager 1-3 job classes are part of a broadband pay program. The three levels of the Manager series are distinguished from each other based on the level and amount of contribution to, and impact on, the following elements: policy, program, budget, communications, matrix, technical expertise and human resources—these elements relate to different levels of job duties and responsibilities.

Linkage

Employees in these leadership positions provide critical supervision for employees directly and indirectly supporting System Building and/or Investing functions required to meet the strategic goals for the Human Services Department. Core job functions typically include setting work performance objectives and expectations of others, measuring work outcomes, providing timely and regular feedback to staff, peers and the Department Director.

Section II

INDIVIDUAL CONTRIBUTOR GOALS (PERFORMANCE OBJECTIVES)

Using the SMART criteria, write an individual contributor goal (performance objective) for each of the four or five key areas of responsibility identified in the Class Spec. The goals (objective) written should indicate what the employee must do well in order to be successful during the performance period in their job position. The goal (objective) must align with HSD mission, strategic goals and Department-wide objectives. Each employee Work Plan must have a minimum of four goals and a maximum of six included in their Work Plan during each review period.

1.

2.

3.

4.

5.

6.

Section III.

HSD STAFF COMPETENCIES

CORE COMPETENCIES

All HSD employees are expected to have and demonstrate each of the core competencies.	
Ethics & Integrity	<ul style="list-style-type: none"> Exhibits transparent, truthful, and ethical conduct that considers impact to the Department, the City, others and self. Adheres to the Code of Ethics, readily discloses potential conflicts of interest, and takes personal responsibility for mistakes. Demonstrates fairness, respect and honesty by making decisions that are objective and reflect just treatment of others. Protect and conserve Department resources against misuse and abuse.
Customer-Focus	<ul style="list-style-type: none"> Demonstrates dedication to internal and external customers by providing effective and timely service. Result-oriented approach to work assignments with the customer and service level provided in mind. Initiates improvements to business practice or processes to meet the evolving customer needs and/or feedback. Solid understanding of the Department, individual contributor goals (performance objectives) and program expectations. Establishes timelines, monitors process, and develops midcourse corrections as necessary to achieve desired results to meet the needs of the customer.
Cultural Competency	<ul style="list-style-type: none"> Demonstrates respect and sensitivity to cultural and other differences when interacting with others. Avoids over generalizing and stereotyping, while exercising equitable and fair treatment to all. Develops and adapts approaches to problems that take into account cultural differences. Respect, understand, value, and seek out individual differences to achieve the vision and mission of the department. Holds self and others accountable for achieving results that embody the principles of diversity and inclusion.
Adaptability/ Flexibility	<ul style="list-style-type: none"> Able to work with ambiguity and adjust to changing priorities with demonstrated ability to seek and find alternate methods to accomplish tasks or assignments. Can work with others with divergent approaches, perspectives, or expertise to develop effective solutions. Open minded and willingness to embrace new approaches when appropriate and discard approaches that are no longer working.
Collaboration	<ul style="list-style-type: none"> Actively pursues opportunities to team with others to advance the Department objectives as applicable. Collaborates with internal and external partners to achieve common goals. Works effectively in cross functional, multi-department, citywide work teams, and external stakeholders to achieve mutual objectives.
Critical Thinking & Leadership	<ul style="list-style-type: none"> Identifies and collaborates with appropriate parties to develop options to resolve issues, problems, and concerns. Uses purposeful and reflective judgment and logic to process, analyze, interpret, explain, evaluate, illustrate and compare data and information and reach a conclusion or decision point. Able to effectively use, manipulate, collect and report data on program performance measures to identify opportunities and measure improvement. Takes initiative to identify problems and solutions to workplace challenges. Goes beyond the routine demands of the job to seek opportunities to influence events and assist others with less experience or heavier workloads.
Interpersonal Abilities	<ul style="list-style-type: none"> Able to consistently communicate respectfully and effectively to internal and external customers, co-workers and management to engage others to participate and mitigate conflict. Able to communicate in a clear, professional and concise manner in person, over the phone and in writing. Earns the trust and confidence of coworkers and customer through consistent honesty, open communication and professionalism. Uses diplomacy, tact and discretion when dealing with others on emotional or sensitive issues or concerns Seek and use feedback from customers, staff, peers, and supervisors.

_____ Employee Initials

_____ Supervisor Initials

SUPERVISOR COMPETENCIES

All HSD employees supervisors are expected to have and demonstrate each of the core and supervisor competencies.	
Organizational Alignment	<ul style="list-style-type: none"> Exhibit professional conduct, including communication styles, which demonstrate knowledge of and support of the alignment of the Department’s mission, vision, values and strategic direction.
Business Acumen	<ul style="list-style-type: none"> Demonstrate knowledge of core business management principles to include resource management (i.e. staff, financial, equipment, relationships) Set priorities based on a cost-benefit review and identify cost-effective approaches to improve program(s) effectiveness and the Department. Ensure that others within the division, function or area(s) of responsibility operate in alignment of established performance, division and Department objectives.
Innovation/ Systems Thinking	<ul style="list-style-type: none"> Demonstrates knowledge of internal and external factors that impact learning and performance in the Department. Recognize trends and anticipate opportunities to add value to the division and Department. Operate from a systemic or holistic perspective to develop innovative staff learning and performance strategies that build and support ongoing alignment with the Department’s strategic plan.
Developing Direct Reports	<ul style="list-style-type: none"> Proactively encourage employees to identify skill deficiency, training or mentoring needs and/or opportunities. Provide support and encouragement in staff meeting and regular one-on-one meetings during the learning process. Express confidence that the employee will be able to learn a new process, procedure or skill. Skillfully advocates on behalf of employees, teams and their work.
Project Management	<ul style="list-style-type: none"> Effectively manage, monitor and balance people, time, scope and financial resources to ensure successful completion. Communicate project progress and challenges in a timely manner to avoid impact to end results or project delay.

_____ Employee Initials _____ Supervisor Initials

APEX-SAM COMPETENCIES

All HSD APEX –SAM employees are expected to have and demonstrate each of the core, supervisor and APEX-SAM competencies.	
Manage Vision and Purpose	<ul style="list-style-type: none"> Communicates inspiring sense of the Department’s core purpose and values. Articulate a compelling picture of the Department’s future that guide, align and inspire action from others. Create milestones to rally support and motivate entire decision, function or area of responsibility. Pursues objectives with drive and the need to finish.
Political and Organizational Savvy	<ul style="list-style-type: none"> Can navigate through complex political and organizational situations effectively and quietly. Apply knowledge of the organizational landscape and political climate to make informed decisions and planned actions that satisfy diverse interests and contribute effectively to organizational goals. Accepts policies and is able to get things done timely and within established parameters. Build and maintain credibility with key stakeholders, internally/externally, by expertly knowing the Department’s business (vision, emerging trends, strategy, key priorities, financial drivers/position, etc.).
Leveraging Resources	<ul style="list-style-type: none"> Expertise in managing working relationships with peers, direct reports, other employees, internal/external customers and community partners. Expertise in managing staff and financial resources.

_____ Employee Initials _____ Supervisor Initials

Attachment B

Section IV.

INDIVIDUAL DEVELOPMENT PLAN

Identify and write below the training and development needs and/or opportunities the employee should focus on during this performance period. (i.e. MS Excel Training, Out-of-Class, Job Shadowing, Developmental Assignments etc.)
1.
2.
3.

Section V.

SIGNATURES

We have reviewed and discussed the performance expectations, applicable competencies and the individual development plan identified in the Annual Work Plan.

Employee Signature: _____

Date: _____

Supervisor Signature: _____

Date: _____

Manager or Division Director: _____

Date: _____

For Human Resources Purposes Only Receive Date: _____ File Date: _____
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Section VI.

Quarterly Check-in

Use the quarterly check-in to review the Work Plan over the course of the of the performance period. Document performance progress and/or to adjust expectations if the Department-wide objectives or goals change during the review period. Signatures and a three-level review are required by the employee, immediate supervisor and next-level manager and signatures quarterly.

1st Quarter Check-in

Employee Signature: _____ Date: _____ Manager/Div. Director Signature: _____

Date: _____

Supervisory Signature: _____ Date: _____

2nd Quarter Check-in

Employee Signature: _____ Date: _____ Manager/Div. Director Signature: _____

Date: _____

Supervisory Signature: _____ Date: _____

3rd Quarter Check-in

Employee Signature: _____ Date: _____ Manager/Div. Director Signature: _____

Date: _____

Supervisory Signature: _____ Date: _____

Annual Work Plan Procedural Instructions

Overview

Human Services Annual Work Plan is the form used by supervisors to set individual performance goals and review expected behavioral competencies for all employees. This form is intended to provide clarity and reinforce what is expected of each HSD employee and how the employee’s performance and conduct will be measured for success. All Annual Work Plans require a three-level review (employee, supervisor and next level manager). Below is the suggested process for completing the Annual Work Plan.



Completing the Work Plan is a collaborative process between the supervisor and the employee with clear responsibilities for each.

Supervisor Responsibilities

- Identify key responsibilities of each job position.
- Create individual goals (performance expectations) based on the key areas or most important job functions, using the SMART criteria.
- Review and discuss the expected performance goals and required HSD Employee Competencies with each employee.
- Provide the employee with a copy of the Annual Work Plan within 45 days of hire, job change or new performance period.
- Review and provide ongoing feedback to the employee regarding performance progress.

Employee Responsibilities

- Review and ask questions of the required individual contributor goals (performance expectations).
- Work with the supervisor to identify specific training needs for the Individual Development Plan.
- Review the Work Plan regularly to track individual performance progress.
- Communicate any and all concerns or challenges regarding meeting goals and objectives prior to the end of the performance review period.

ANNUAL WORK PLAN COMPLETION DEADLINES

Work Plan Purpose	Supervisor	Employee	Submit Original Copy to HR
New Hire or Job Change	Complete within 30-45 days of hire or job change	Receives copy within 45 days of hire or job change	Within 60 days of Hire or Job Change
Annual	Complete by January 31	Receives copy by February 15	By February 28

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Procedural Instructions

These instructions are guidelines intended to help supervisors complete the Human Services Annual Work Plan. There are six sections that require review and/or completion by the supervisor, employee and the supervisor's reviewer. The section numbers are noted in the top left corner of each new section. The following instructions are organized by section number to help walk supervisors through reviewing and/or completing required sections of the Annual Work Plan.

Getting Started

1) Complete all of the boxes on page one of the Annual Work Plan.

Box 1. Fill in the employee's legal last name.

Box 2. Fill in the employee's full legal first name and middle initial.

Box 3. Fill in the employee's job title.

Box 4. Fill in the division name where the employee works.

Box 5. Fill in the employee's number.

Box 6. Fill in the name of the immediate supervisor.

Box 7. Fill in the job title of the immediate supervisor.

Box 8. Fill in the name of the supervisor's manager.

Box 9. Fill in the performance period start and end date. For new hires the performance period will be from the start date through the end of the calendar year. For existing employees the performance period is January to December.

Box 10. Check one of the options to indicate the purpose of the plan.

- **Annual:** Select this box for updating the Work Plan as part of the standard performance period of January through December.
- **New Hire:** Select this box when completing new Work Plans for the first time for a new employee. The plan starts the first day of employment and ends with the calendar year.
- **Job Change:** Select this box when there is a change of duties or responsibilities to the existing Annual Work Plan or if the employee changes job positions.
- **Promotion:** Select this box, if the employee has been promoted into a new position during the regular performance period.
- **Other:** Select this box for all other personnel actions that might affect the employee's ability to meet the expected individual contributor goals (performance objectives) in their current job positions. (i.e. Out of Class Assignment, Demotion, etc.)

2) Review HSD's mission, vision, department goals and department-wide objectives to gain a better understanding of HSD's business direction. This will help supervisors create goals and objectives for each employee that align with HSD's business outcome.

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Section I- Class Specification

This section is divided into three areas. The first two, Class Summary and Distinguishing Characteristics of the Class, are from and defined by City Personnel. The third area is unique to HSD and is the Linkage statement. The following is the purpose of each:

- **Class Summary** describes the entire scope of work of all employees in this classification.
- **Distinguishing Characteristics of the Class** describes how this position is different from other levels or similarly classified positions in the classification series.
- **Position Linkage** describes how this position is aligned and supports the work of the Human Services Department.
 - 1) Review the class spec and identify four or five key areas or most important job functions from the Class Spec that the employee must focus on and demonstrate well during the performance period.

Be sure to select key areas of responsibilities and/or most important job functions. Avoid identifying tasks (i.e. answering phones, filing, data entry). Areas selected should focus on the overall scope of responsibilities of the position for the employee.

Section II-Individual Contributor Goals (Performance Objectives)

Write individual contributor goals (performance objectives) for each of the identified key areas or most important job functions using the SMART criteria (See Appendix). SMART is an acronym for **S**pecific, **M**easurable, **A**ttainable, **R**ealistic and **T**ime bound. The focus of the SMART criteria is to write goals that inform employees of (1) specific areas of performance expectations and outcomes, (2) aligns the individual performance to the Department's goal and objectives and (3) informs the employee on how performance success will be defined at the beginning of the performance period and measured at the end during the evaluation.

- 1) Create a SMART goal for each of the four or five key areas or most important job functions identified in your review of the class spec. Each employee must have a minimum of four and a maximum of six individual contributor goals (performance objectives) in their Annual Work Plan.

Example A

Key area or important job function: "Provide supervision and feedback to staff."

SMART goal: "From January 1, 2013 to December 31, 2013, provide supervision to a team of five employees, to include create, review and completing an Annual Work Plan for each employee by February 15, 2013. Provide regular feedback through regular one-on-one meetings, monthly staff meetings, feedback sessions and quarterly check-in's to ensure each employee has and understands their individual contributor goals (performance objectives) at the beginning of the performance period, identifies and receives development support (i.e. training, job shadowing, etc.), has available resources to meet each individual contributor goal

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(performance objective) and understands the required staff competencies for their level and how their position supports HSD Department goals and objectives.”

Make sure you include how successful performance is defined and how it will be measured for each key area or most important job function throughout the performance period. Depending on the job position, some key areas or most important job functions might have two individual contributor goals (performance objectives).

Section III. HSD STAFF COMPETENCIES

The complete HSD Staff competency list for all employees at all job levels is included in this section. The list is divided into three levels: core competencies, supervisors and APEX-SAM (i.e. managers, strategic advisors, executives). HSD expects all employees to have and demonstrate all seven core competencies in all of their interactions with coworkers, direct reports, peers, customers and the general public. Supervisors are expected to demonstrate the seven core competencies and five additional supervisor competencies. APEX-SAM employees are expected to have and demonstrate all 15 competencies on the list.

1. Review the core competencies for **all** employees. Both the supervisor and the employee must initial at the bottom of the competency list to acknowledge that you have reviewed and understand each of the competencies listed in this section. **If the employee does not supervise others skip to the instructions in Section IV.**
2. Review the supervisor competencies with all employees responsible for supervising others. Both the supervisor and the employee must initial at the bottom of the competency list to acknowledge that you have reviewed and understand each of the competencies listed in this section. **If the employee supervises others, but is not classified as APEX-SAM, skip to the instructions in Section IV.**
3. Review the APEX-SAM competencies with all employees classified as APEX-SAM (managers, strategic advisors and executives). Both the supervisor and the employee must initial at the bottom of the competency list to acknowledge that you have reviewed and understand each of the competencies listed in this section

Section IV. INDIVIDUAL DEVELOPMENT PLAN

All Work Plans must identify and include training and development needs and/or opportunities each employee should focus on during the current performance period. (i.e. MS Excel skill training, job shadowing, a developmental assignment or project, etc.). If there aren't any skills identified as needing improvement or development, use the section to list potential career development opportunities such as an Out of Class (OOC) assignment. However, the priority focus of this section is to support the employee to reach performance success in their current position.

1. Review the individual contributor goals (performance objectives) in Section II and the required level of behavioral competencies in Section III with the employee. Consider the following questions to help you complete this section.
 - Does the employee have the skills required to meet the individual contributor goals (performance objectives) and expected competencies?
 - Can the employee job shadow a top performer to develop this skill set?
 - Is there training needed to develop the required skills or competencies?
 - Can the skill be gained or improved through a developmental assignment?

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- Is the training available inside HSD or City Personnel?
- Is there a cost for the training?

2. Write the identified training needed in this section of the form. If the employee can develop this skill through developmental experience (new assignments, special projects) or job shadowing another employee, include this as part of the Individual Development Plan.

Example A

Presentation or public speak skills is identified as an area needing improvement. Write the skill needed in the Individual Development Plan section of the Annual Work Plan. Include how the employee is expected to develop or improve the skill (i.e. training, developmental assignment).

For example, By June 30, 2013, Ms. X will deliver a presentation at two monthly staff meetings on a topic important to developing the team or related to the workgroup goal (i.e. communication, case note tips, etc.) by June 2013

Be sure to include a timeline for completing the training, developmental experience and/or the job shadowing (i.e. number of weeks with the skilled employee who can provide job shadowing, type of work activity or project in the developmental assignment, frequency of meeting and completion date).

Section V. SIGNATURES

After the employee and supervisor has reviewed and discussed all sections of the Annual Work Plan, it must be signed and dated by the employee, the immediate supervisor and the next level manager. A copy goes to the employee, the supervisors' file and the original is submitted to HR for placement in the personnel file within 60 days of a new hire or job change or by the February 15th deadline per the Annual Work Plan completion deadline schedule on page one.

Section VI. QUARTERLY CHECK IN

To ensure that employees are receiving ongoing support and feedback on the progress of meeting the individual contributor goals (performance objectives) in the Annual Work Plan, the immediate supervisor will review and discuss the entire Annual Work Plan quarterly with the employee. Supervisor will document that the meeting has taken place and any other information related to the review of the Annual Work Plan in the space provided. The employee and supervisor will sign the form. Then, the supervisor submits the form to their next level manager for review and signature. Once the next level manager signs the form, it is returned to the supervisor and placed in the supervisors' file.

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SMART Criteria Goal Overview

SMART Goal Example:

By March 31, 2013, implement a new performance management system for APEX-SAM, Executives, and represented and non-represented staff using clearly defined processes and guidelines to improve communications of job expectations and evaluations.

Specific

What: “implement a new performance management system for APEX-SAM, Executives and represented and non-represented staff.”

How: “using clearly defined processes and guidelines. “

Why: “to improve communications of job expectations and evaluations.”

Measurable

- How will you measure if the goal is complete? In this example, “it will be if a new performance management system is implemented.”

Achievable

- Is the goal possible during this evaluation period?
- Does the employee have the required knowledge, skills, abilities (KSA’s) and resources to accomplish the goal?

If additional KSA’s are needed through training, list in the Individual Development Plan under Section V of the form.

Relevant

- What is the business reason, purpose or benefit of accomplishing the goal? How important is this performance expectation to the job position and the work of the work group, division and department? In this example the benefit or business reason is “to improve communications of job expectations and evaluations”.

Time-bound

- What is the expected completion date? “By March 31, 2013”

2013 - 2014 Seattle City Council Statement of Legislative Intent

Approved

Tab	Action	Option	Version
88	1	A	1

Budget Action Title: Requesting the Human Services Department (HSD) to update Council on implementation of its strategic plan and to conduct a review of outcome-based contracts.

Councilmembers: Burgess; Clark; Licata

Staff Analyst: Michael Fong

Budget Committee Vote:

Date	Result	SB	BH	TR	RC	TB	NL	JG	SC	MO
11/07/2012	Pass 8- 1-Absent	Y	Y	-	Y	Y	Y	Y	Y	Y

Statement of Legislative Intent:

In 2013, the Human Services Department (HSD) plans to continue implementing elements of the department’s new strategic plan. HSD internal policy decisions are likely to impact the development of future Requests for Investments (RFIs), agency contracting, contract monitoring, service outcomes and delivery and have ongoing staffing and budget implications. Council is interested in monitoring HSD’s progress in 2013 through this Statement of Legislative Intent (SLI). In addition, Council requests HSD to conduct a comprehensive review and analysis of its approach to outcome based contracting. The department is requested to provide the following:

1. Two written summaries on progress toward implementing the HSD strategic plan to the Housing, Human Services, Health and Culture (HSHHC) Committee. The first summary is due no later than March 30, 2013. The second summary is due no later than August 31, 2013. The HSHHC committee may request formal public briefings for each of these reports.
2. One written report on a comprehensive review of the department’s use of outcome- based contracting with clearly articulated goals for using this tool and analysis of other models from around the country. This report is due no later than August 31, 2013. The HSHHC committee may request a formal public briefing on this report.

Below is additional information related to what the Council is seeking from the written reports requested in this SLI.

1. HSD Strategic Plan Implementation

The Council is particularly interested in HSD’s progress on the following related to implementation of its new strategic plan:

- Progress related to developing new “outcome frameworks” and “logic models” for each division.

- Status of new investment plans for each division.
- Public outreach and stakeholder input associated with outcomes frameworks and investment plans. In particular, a specific plan should be outlined that clearly articulates HSD's engagement with agencies and service providers prior to the release of final products.
- Changes relating to RFI's and other procurement tools.
- Changes relating to contracts, including progress toward increasing the amount of detail and financial information required from service agencies.
- Changes underway to improve contract monitoring.
- Update on implementation of HSD job duties and expectations and staff performance evaluation tools.
- Summary of findings and progress to address staff capacity and data infrastructure needs for the department.

2. Outcomes-Based Contracts Review

In addition, Council is interested in HSD's approach to outcomes (performance) based contracting. The department primarily uses an 80% base pay/20% performance pay model to incentivize service agencies to meet certain outcome thresholds. In Central Staff's review of a small subset of HSD's outcomes based contracts, it appears that the 80% base pay portion is not consistently tied to outcomes, but rather to outputs. It is also unclear as to whether failure to meet performance outcomes leads to any consequence for service agencies, other than not receiving the 20% performance pay for that particular contract year. The department's ability to track, monitor and report on the relative effectiveness of the use of performance based contracts also appears lacking and insufficient.

There are many other models throughout the country for human services outcomes or performance based contracting (see "Approaches to Performance Based Contracting (PBC) For Social Services" by Lawrence L. Martin, MSW, MBA, PhD, University of Central Florida). HSD is requested to review its approach to outcomes-based contracting, identify any opportunities for improvement, evaluate other potential models and share with Council its findings and recommendations. HSD should develop clear goal(s) for having outcome based contracts and whether to continue the department's current approach, modify it or potentially implement new models for outcomes-based contracting to meet the articulated goals.

Responsible Council Committee(s): Housing, Human Services, Health, & Culture

Date Due to Council: March 30, 2013 and August 31, 2013