



Office Performance Management

A work in progress...

PNIAF

March 2017

Strategic Plan

King County Auditor's Office

Strategic Plan 2015-2018

• To Advance Performance and Accountability •

MISSION: Promote improved performance, accountability, and transparency in King County government through objective and independent audits and studies

VALUES: Independence • Credibility • Impact

Goal 1: Make a difference

- Objective 1: Develop a work program composed of relevant, important issues
- Objective 2: Develop and apply an impact framework that drives results
- Objective 3: Maximize partnerships and communication
- Objective 4: Actively use technology to maximize impact

Goal 2: Powerfully communicate results

- Objective 1: Write great reports that people use to drive change
- Objective 2: Provide energetic briefings that inspire action

Goal 3: Maximize team effectiveness and fulfillment

- Objective 1: Ensure that staff have potent knowledge and tools
- Objective 2: Establish efficient and effective teams
- Objective 3: Build on our work environment to maximize success and satisfaction



King County

Goal 1: Make a difference

1. Develop a work program composed of relevant, important issues
2. Develop and apply an impact framework that drives results
3. Maximize partnerships and communication
4. Actively use technology

| Measures | Targets | Current Status |
|---|--|--|
| <u>Wkpgm alignment w/ council interest</u> <small>% wk pgm items that have had committee discussions separate from auditor briefings</small> | 1 council <u>mtg</u> - 60% 5 council <u>mtgs</u> - 25% 2015 1 - 59%, 5 - 25% | 45% at least 1 hearing 24% at least 5 hearings |
| # of council touchpoints | Average 10/project 2014=8 2015=12 | 11.9 |
| Communications survey score* | >4 2014=4.4 2015=4.18 collaborative | This score will not be final until the three 2016 projects planned for January 2017 publication are closed out. |
| 3 year fiscal impact 2014-16 (not a performance measure, do not make decisions based on this information) | 2011-13= 142,441,200 2012-14=142,441,200 2013-15 \$255,666,472 | \$258,816,112 |



Goal 2: Powerfully communicate results

1. Write great reports that people use to drive change
2. Provide energetic briefings that inspire action (formal and informal briefings)



| Measures | Targets | Current Status |
|----------------------------|---|--|
| Analytical products / year | 1.7/FTE .78 in 2012 1.2 in 2013 1.28 in 2014 1.73 in 2015 | 8 audits 7 nonaudit 21 follow ups 2.2/FTE (follow up anomaly) |
| Concurrence rate | 90% 2014=87% 2015=85% | 98% |
| Implementation rate | 90% 2011-13 91% 2012-14 93% 2013-15 85% | 88% (46% done, 42% progress) |

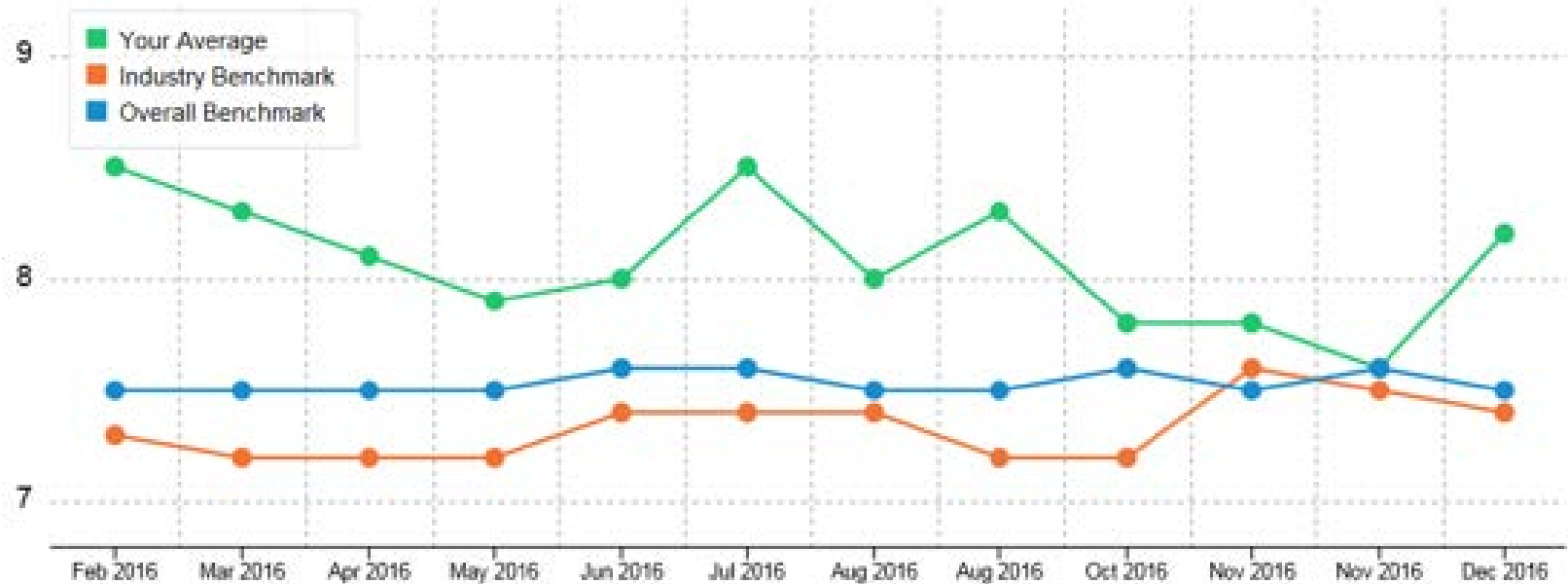
Goal 3: Maximize team efficacy and fulfillment

1. Ensure that staff have potent knowledge and tools
2. Establish efficient and effective teams
3. Build on our work environment to maximize success and satisfaction

| Measures | Targets | Current Status |
|---------------------------------|-----------------------------|-----------------|
| Readiness to face workload | 90% 2014=83% 2015=96% | 88% |
| <u>TinyPulse</u> "How happy..." | 5015=8.1 | Avg. 8.1 |

Goal 3: Maximize team efficacy and fulfillment

Happiness Trend



What to do with this information?

King County Auditor's Office
 Kymber Walmsun, King County Auditor

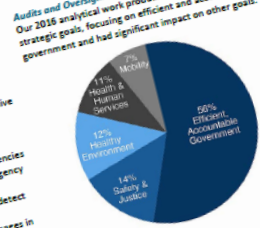


Highlights of 2016 Performance

Advancing Transparency and Positive Change in County Government

This year the Auditor's Office (KAO) produced work that created significant benefits for the county and its residents. At the same time, we focused internally on building skills in data analysis, modeling, and qualitative analytics that allowed us to bring unique insight to the difficult questions facing the county. We are proud that:

- Our Analysis Improved County Programs**
- We published 36 products this year that are driving more efficient use of resources, data-based decision-making, and achievement of goals across the county. Some examples of impacts that will come with implementation of our recommendations include:
- King County will be more prepared and responsive in the event of a disaster
 - The Sheriff will be more able to detect and respond to concerning officer behavior
 - King County Emergency Medical Services agencies will be able to provide more sensitive emergency medical care to the public in need
 - Real Estate Services will be better able to detect and prevent fraud
 - The risk of reputational and financial damages in law enforcement and real estate are reduced



Our Office Recognized as Innovative, High-Impact

We received the prestigious Exemplary Knighton Award honoring our performance audit, **Law Enforcement Oversight: Limited Independence, Authority and Access to Information Impede Effectiveness**. In addition, our office was repeatedly sought out to teach other auditors about our cutting-edge techniques.

KAO Identified Millions in Savings

The Auditor's Office has contributed to saving millions of dollars for county residents. Over the past three years, we identified almost \$127 million in one-time impacts, \$13.6 million in annual ongoing savings, and a further \$181.6 million in potential savings that we will reassess as recommendations are implemented.

We are already looking ahead to the 2017-18 biennium and the challenges facing the county. We embrace the opportunity to enhance county governments and communicate the commitment to excellence demonstrated in so many areas of the county. Thank you for the opportunity to serve.

Highlights of 2016 Performance

98% RECOMMENDATION CONCURRENCE

Of the 54 recommendations we made to the Executive and Sheriff this year, they concurred with 53 and partially concurred with one. Concurrences with audit and capital projects oversight recommendations is the first step in creating positive change for the county.



88% ACTION ON IMPLEMENTATION

This year we made a significant push to follow up on 56 pending audit recommendations spanning from 2007 to the present. We found that 49 departments had fully implemented nearly half of these recommendations and made progress on 25 others. Following up increases transparency and accountability in King County.



TRANSIT SYSTEM: Better Use Could

...ndation for the King County... its ability to detect and... problems, potentially... while driving accountability... itself concurred with all... nists, committing to work... ntern's design and the... the Sheriff's Office's... is not designed... intended... nment of the... identifying... vision.

TRANSIT AUDIT FUNCTION OUTCOMES

In 2016, we identified a number of ways that Transit can improve resource allocation in its vehicle maintenance department, leading to substantial savings. Building on capital spending, we increased oversight of Transit's 2017. We also reviewed Transit's progress on 40 recommendations made since 2009 that will have direct impacts on the organization's finances, management, and services. In addition, we made substantial progress on two performance audits: the Access Paratransit Program and Transit IT projects. Both of these audits will be published in early 2017.

CAPITAL PROJECTS OVERSIGHT SUCCESSSES

In 2016, Capital Projects Oversight monitored four major capital projects, initiated monitoring of a significant ramp up in transit capital projects, and led efforts to improve capital programs across the county. Important outcomes of our efforts included highlighting scope changes on the Children and Family Justice Center project that may impact future expansion of the facility, increasing transparency on the Georgetown project, and guiding the Puget Sound Emergency Radio Network project team toward more effective project management. The Capital Projects Oversight program also completed the first significant update to the Mandatory Phased Appropriation Risk Scoring Instrument since its development in 2010.

EMERGENCY MANAGEMENT: Insufficient Authority and Communication Hinder Emergency Preparedness and Response in King County

Our audit positions King County's Office of Emergency Management (OEM) to effectively lead King County's emergency preparedness efforts and help the county increase its resilience in the case of a disaster. The Executive concurred with our 13 recommendations, but lacks the authority, visibility, and influence needed to drive the authority, visibility, and influence needed to drive emergency preparedness and response for King County. We determined that for King County, OEM's organizational placement was a barrier in its ability to galvanize disparate stakeholders to improve preparedness and readiness to improve and recommended that the county increase response and recovery in the case of emergency events. We recommended that the county increase the authority and effectiveness of OEM in fulfilling its mission, such as creating emergency preparedness-related requirements, strengthening coordination, and considering changes to OEM's organizational placement.

GAO
 United States Government Accountability Office
 By the Comptroller General of the United States

December 2011
Government Auditing Standards
 2011 Revision



GAO-12-310



Thank you

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Questions?