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2009

Sterling Challenge

**Feedback
Report**

Miami-Dade County Consumer Services
Department

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INTRODUCTION

The mission of the Florida Sterling Council is "To enhance Florida's competitive edge and quality of life through promotion, assessment, and recognition of performance excellence." The goal of the Governor's Sterling Award process is to improve organizational performance excellence throughout the State of Florida by using a proven world-class management system that applies to public and private sector organizations. The Award is designed not only to recognize organizations that are leaders in performance excellence and can serve as role models for others, but also to provide a self-assessment opportunity to help your organization optimize its operations and results.

Your organization has completed its Sterling Challenge application, and a team from the Florida Sterling Council Board of Examiners has been on site to verify and clarify the information presented. This Feedback Report is the culmination of the Examiners' site visit findings.

Managing for quality does not end with receiving this report or even receiving an award, but compels an organization to maintain and continuously improve upon its position of excellence. Consistent with this philosophy, the following report is intended to identify the vital few areas of strengths and opportunities for improvement on which an applicant organization may wish to take action. The Feedback Report also provides an **Executive Summary** of the observations of the Examiners regarding the organization's key strengths and opportunities for improvement. In addition, this report includes a scoring range for each item. This percentage range is based upon the scoring guidelines, which describe the characteristics typically associated with each percentage.

This report does not prescribe specific programs or techniques with which to improve. The intent is to reflect the views of Sterling Examiners *relative to the requirements of the Sterling Criteria for Organizational Performance Excellence* at the Challenge level. These views are expected to enhance your organization's ability to analyze its continuous improvement effort and to achieve consistently higher levels of performance. Ultimately, the success of Florida depends on the success of your organization; by taking your organization to the next level, you are helping make Florida "a state of excellence."

Applicant organizations read and use feedback comments in different ways. We have gathered some tips and practices from prior applicants for you to consider:

- Take a deep breath and approach your Sterling feedback report with an open mind. You applied to get the feedback. Read it, take time to digest it, and read it again.
- You know your organization better than the Examiners know it. There might be relevant information that was not communicated to them or that they did not fully understand. Therefore, not all their comments may be equally accurate.
- Although we strive for perfection, we do not achieve it in every comment. If Examiners have misread your application or misunderstood your staff during interviews on a particular point, do not discount the whole feedback report. Consider the other comments and focus on the most important ones.

- Celebrate your strengths and build on them to achieve world-class performance and a competitive advantage. You have worked hard and should congratulate yourselves.
- Use your strength comments to understand what the Examiners observed you do well and build upon them. Continue to evaluate and improve the things you do well. Sharing those things you do well with the rest of your organization can speed organizational learning.
- Prioritize your opportunities for improvement. You cannot do everything at once. Think about what is most important for your organization at this time and decide which things to work on first.
- You may decide to address all, some, or none of the opportunities in a particular Item. It depends on how important you think that Item or comment is to your organization.
- Use the feedback as input to your strategic planning process. Focus on the strengths and opportunities for improvement that have an impact on your strategic goals and objectives.

Executive Summary

The Miami-Dade County Consumer Services Department is in the early stages of building a fact-based performance improvement system and has made considerable progress in the areas of Leadership, Strategic Planning, and Customer and Market Focus. Some of the most important strengths include:

- The Department's senior leaders have established an environment that fosters legal and ethical behavior through their day-to-day management and mechanisms such as mandatory initial ethics training. Senior leaders have created organizational performance expectations and improvement using several methods, including the ActiveStrategy initiatives on a monthly basis, to set goals and targets and monitor key functional areas of the Department such as customer service, Departmental finances, internal processes, and employee growth and training. Senior leaders are committed to participation in recognition opportunities, such as the quarterly Employee Recognition Program.
- The Department has integrated its strategic plan and business plan with its ActiveStrategy scorecards for the Department and each division. Senior leaders, managers, and supervisors regularly review key performance indicators to identify areas that are not performing at the targeted level. In addition, goals and objectives are linked to individual performance standards for leaders and supervisors. Key short and long-term strategic objectives, including timetables, have been established, and are monitored through the ActiveStrategy Enterprise System. Division directors and key staff have developed and deployed action plans, which identify necessary financial resources and performance measures.
- Customer focus is pervasive throughout all divisions of the Department. Staff members are customer focused and realize that they are expected to focus on delivering outstanding customer service. Multiple methods enable customers to seek information, conduct business, and make complaints, such as several in-person contact sites throughout the County, the Department's website, and the County 311 telephone line. The Department participates in a variety of client-based and industry-based advisory committees to hear the voice of the customer and stay current with issues and concerns from consumers and service providers throughout the Department's area of regulatory and advocacy responsibility. Formal customer complaints are reviewed by supervisors and corrective action is taken. Senior leaders are provided with written summaries and the resolution of the complaint.

There are opportunities for improvement that include:

- The Department does not have a systematic process to learn from customer complaints and for using the information gathered from its several methods for determining customer satisfaction, dissatisfaction, and loyalty. There is no systematic process to compile complaints from customers concerning the services provided by the Department, aggregate and analyze the data, determine the root causes for the complaints, then deploy the information throughout the Department. Except for the Mediation Call Center, there is no process in place to compile complaints from consumers. Calls received by other members of the Department are not documented

unless the calls are forwarded to the Mediation Call Center. This may prevent the Department from being aware of repeat complaints about Departmental services or regulated industries resulting in missing opportunities to gain the knowledge for taking appropriate action to prevent future similar incidents. The measurement systems in place for customer satisfaction and dissatisfaction are limited to a very small sample size for the customer groups surveyed. Additionally, there is no system in place to determine customer satisfaction and/or dissatisfaction associated with the largest volume of calls (over 3,000 per month) received directly from consumers to the Mediation Call Center. These calls result in approximately 300 formal consumer complaints per month. As a result, the Department may be missing opportunities for improvement of its service delivery processes.

- The Department has multiple mechanisms for identifying comparative data sources, such as the National Association of Consumer Agency Administrators, but does not have a systematic process to identify and use key comparative data and information for performance comparisons from those sources. Therefore, the comparison information is not used to show potential role model leadership with its key processes and practices, or to set goals and targets for improvement for achievement of role model leadership when compared to other similar organizations.
- The Department does not have a systematic process in place for understanding and assessing workforce engagement and satisfaction. Senior leaders rely primarily on an "open door" policy and monitoring the individual's overall work product to assess the workforce engagement and climate. The lack of a systematic approach to measure workforce satisfaction for individuals and workforce groups may result in leaders not being aware of underlying issues that may inhibit workforce engagement and the accompanying reduction in productivity.
- There is no systematic process in place to share work process improvement information across the divisions. Process improvements achieved over the past few years are shared informally among staff members, but there are no systematic methods to ensure those improvements are communicated throughout the Department. This may result in missed opportunities to reduce employee workload while improving customer satisfaction.

The Organizational Performance Results category assesses Miami-Dade County Consumer Services Department's trended and comparative performance in those areas of importance to the organization's key business factors. Some of the strengths and opportunities for improvement in the organization's results include:

- The consolidated Customer Satisfaction Score for the Department is 4.76 on a 1-5 rating scale for the year ending September 30, 2009, with all divisions exceeding the goal of 4.0 which is a satisfied rating.
- The dollar amount of consumer refunds recovered has shown consistent favorable increases since 2003, reaching the high of \$1,273,489 for the year ending September 30, 2009. In addition, the amount collected in fines and fee for the same period is \$1,200,608 compared to a goal of \$840,000.

- Educational outreach programs by the Cooperative Extension were significantly higher for 2009, with 117 programs offered against a target of 60, with over 1,000 attendees.
- There are no trends or comparative or competitive results reported for determining Department or division performance levels relative to high performing organizations that provide similar services.
- The average number of days to close consumer complaints is 37 days against a target of 30 days for the year ending September 30, 2009.
- The targeted telephone answering time for the Mediation Call Center was changed from 30 seconds to 60 seconds in the latter part of 2008, and has not achieved the 90% target. The result is 84% for the year ending September 30, 2009. In addition, the percentage of abandoned calls has ranged from 27% to 30% from August through November, 2009.
- There are some areas reported by the Department as important to its success that do not have reported results. These include: office wait time for customers for the issuing of licenses and other transactions; customer complaints regarding services provided by the Department; and workforce engagement, satisfaction, and learning.

In order to help the Miami-Dade County Consumer Services Department's management move to the next level on its journey for performance excellence, the Sterling Examination Team recommends the following:

- Continue to develop and expand the measurement system, such as the ActiveStrategy Enterprise System, for tracking overall organizational performance selection, collection, use, and analysis of data to run and improve processes and day-to-day operations. Develop a systematic process to share work process improvement information across the divisions and throughout the Department. There are many critical items where there are no results reported because data are not tracked such as: ability to meet all customer requirements; satisfaction and dissatisfaction by customer segment; key factors, measures, or indicators of workforce engagement, and satisfaction for each segment of the workforce; key in-process measures and indicators; and the comparative data that supports operational and strategic decision-making so the organization can see its performance relative to competitors, similar organizations, and best performers. Also, develop outcome indicators to track and make use of the information to determine trends and formulate long-term strategic planning.
- Develop a systematic process for compiling, analyzing and taking action on all complaints received by the Department concerning its services. In addition, develop a similar process for compiling complaints on regulated industries received by the Department but not forwarded to the Mediation Call Center.
- Develop and implement a systematic process for assessing the engagement, satisfaction, and climate for different workforce groups and segments. This may assist in identifying actions necessary for improving policies and practices that can have a positive impact on the Department's success.

1.0 Leadership

The **Leadership** Category examines how your organization's senior leaders guide and sustain your organization. Also examined are your organization's governance and how your organization addresses its ethical, legal, and community responsibilities.

Scoring Range: 50% - 65%

Strengths

- Senior leaders personally promote an environment that fosters, requires, and results in legal and ethical behavior through their day-to-day management of the Department, leading by example, and several other mechanisms. These mechanisms include requiring all employees to complete disclosure forms prior to hiring, take mandatory initial training as part of their orientation, and complete refresher courses on an annual basis. Also, three independent agencies investigate legal and ethical complaints and give opinions on County ordinances/practices to ensure the Department fulfills its mission in an ethical manner.
- Senior leaders create an environment of performance improvement, the accomplishment of the mission and strategic objectives, and workforce learning in several ways. For example, the ActiveStrategy initiatives, goals, and benchmarks focus on performance improvements to help the Department accomplish its mission. Each division or workgroup sets targets to improve performance, and data relative to these targets are entered on the ActiveStrategy Enterprise System scorecard. Monitoring of goals and benchmarks resulted in reducing wait-time for vehicle maintenance at the Vehicle Inspection Station. The Tuition Refund Program is a benefit provided by the Department to help employees obtain additional education and training to improve their effectiveness. All employees participate in performance evaluations to recognize effective work and identify areas in need of improvement.
- Senior leaders communicate key decisions through regularly held meetings, e-mail access, quarterly and weekly newsletters, and the ActiveStrategy Enterprise System (ASE). Senior management meetings and division meetings are held on a monthly basis, a quarterly newsletter and weekly "What's New in the County" newsletter are published and made available electronically, and organizational objectives are established and monitored through the County's ActiveStrategy Enterprise System (ASE). Measures that meet or exceed established goals are communicated to staff and underperforming areas are identified leading to the collaborative development of corrective strategies.
- Senior leaders take an active role in reward and recognition programs, engage the entire workforce and encourage two-way communication. Senior leaders personally participate in the Department's quarterly Employee Recognition Programs. They engage the entire workforce and encourage two-way communication through regularly scheduled Department and division staff meetings, individual performance appraisals, and an open-door policy.

Strengths

- Senior leaders regularly review several key performance measures to inform them on needed actions. These performance measures monitor key functional areas of the Department such as customer service, Departmental finances, internal processes, and employee growth/training. The Department also measures progress of key initiatives such as implementation of recommendations of a recent taxi study, and implementation of the ActiveStrategy Enterprise System.
- The Department reviews and achieves management accountability and fiscal accountability through the performance appraisal program for managers, budgetary monitoring, and internal and external audits. Managers' performance appraisals are based on established goals that are directly tied to the County's strategic goals and the Department's mission; performance appraisals are also tied directly to the County's Wage and Salary Program. Budgetary monitoring occurs on an ongoing basis, and fiscal accountability is achieved through an internal audit component for all fees collected, as well as through independent external audits conducted by the County's Finance Department. The Department also conducts external audits of specific contracts, and all for-hire taxicab medallion and limousine lotteries are audited by independent certified public auditing firms.
- The Department addresses any adverse impact of its products, services and operations. For example, the Department commissioned an independent Taxicab Ridership Study to evaluate service conditions and to recommend a growth mechanism. Also, the Department implemented a consumer awareness program directed to employees for the purpose of detecting specific consumer protection law violations. A recent example occurred when the Department was assigned the duty of registering Domestic Partnerships. To ensure that Department employees treated this duty with appropriate respect, diversity training was provided for all staff members in advance of the start date for this duty.

Opportunities For Improvement

- Senior leaders do not communicate organizational vision and values to all customers, stakeholders, and staff members. The Department has developed mission and vision statements which are regularly reviewed by senior leaders, and are in addition to the County's mission, vision, and guiding belief statements. The County's mission, vision and guiding belief statements are systematically communicated to customers, stakeholders, and staff members; however, the Department's mission and vision statements are not systematically communicated. Lack of a systematic approach to communicate the Department's vision and values may make it difficult for customers to understand the purpose of the Department, and for staff members to effectively execute their role in helping the Department achieve its vision and values.
- Senior leaders do not have a systematic approach to create an environment of innovation, competitive or role-model performance leadership, or to participate in

Opportunities For Improvement

succession planning. Some innovations have occurred, such as restructuring inspection schedules to reduce wait time, but there is no Department-wide systematic innovation approach. The Department regularly meets with peers from at least two other counties, and has the capability of accessing comparative data from other Departments within the County by using the ActiveStrategy Enterprise System, but it is not currently using the available comparative data to create an environment of competitive or role model performance leadership. Succession planning is currently done in an informal manner by providing opportunities for future successors to observe or participate in various leadership experiences, but there is not a systematic approach for senior leaders to identify future successors or participate in their development. Lack of a systematic approach to create an environment of innovation, competitive or role-model performance leadership, and participate in succession planning may make it difficult for the Department to stay relevant amidst changes in each of the regulated industries, determine its performance relative to similar organizations, identify and learn from higher-performing organizations, and maintain its principal success factor of a well-trained staff.

- A primary approach used by senior leaders to communicate key decisions is not thoroughly deployed to all employees. E-mail is one of the primary methods of communication within the Department for communicating with staff members who have regular access to e-mail. However, staff members who are not in the office on a regular basis, such as enforcement officers, are only able to access e-mail communications on the one day of the week that they are in the office, which is typically at the end of the week. By that time of the week, the decisions and information communicated via email are sometimes no longer current. Without thorough and timely deployment of an approach to communicate key decisions to all employees, it may be difficult for the Department to overcome its strategic challenge of communication with enforcement officers in the field and may negatively impact their ability to stay current on policies and procedures.
- The Department does not have a systematic approach to actively identify and support key communities. Department employees support various initiatives such as Toys for Tots and cancer walks; however, there is no systematic process for identifying key communities and determining areas for organizational involvement. Without a process for identifying these communities and determining areas for organizational involvement, it may be difficult for the Department to capitalize on its principal success factor of maintaining partnerships with other entities, and to address its key organizational sustainability challenge of raising public awareness about the Department and its services.

2.0 Strategic Planning

The **Strategic Planning** Category examines how your organization develops strategic objectives and action plans. Also examined are how your chosen strategic objectives and action plans are deployed and changed if circumstances require, and how progress is measured.

Scoring Range: 50% - 65%

Strengths

- The Department conducts strategic planning through the County's strategic planning initiative. Steps include reviewing the mission, prior year performance, budget, resource availability, and establishing goals and measurable objectives for each division in alignment with the County Strategic Plan. Division directors are charged with assigning responsibility and time lines. On a monthly basis supervisors review current performance, and monthly business review meetings are held to discuss performance and make adjustments as necessary. The ActiveStrategy Enterprise System (ASE) aligns and tracks division, Department and County strategies and performance measures.
- The Department's strategic planning process addresses the regulatory environment and shifts in technology, identifies strengths and weaknesses, and includes the ability to execute the plan. The business plan includes four areas: customer, financial, internal, and learning and growth. Each area has objectives and performance measures contained in ActiveStrategy Enterprise System (ASE). Through review of these, Departmental strengths and weaknesses are identified, and goals and improvement solutions are developed. For example, training and scheduling adjustments were identified as operational changes likely to increase consumer refunds. During 2007, consumer refunds increased 75%. Most technology issues are addressed through the initiatives maintained in ActiveStrategy Enterprise System (ASE). An example is the implementation of the centralized enterprise database system in 2008. Revenues and expenditures are also monitored through ActiveStrategy Enterprise System (ASE). The County's Department of Intergovernmental Affairs monitors regulatory and legislative changes, and the Department works with advisory groups to understand and monitor changes in regulated industries. Staff uses the ActiveStrategy Enterprise System (ASE) to review monthly business performance at the section, division, and Department levels. Operational changes resulting from the planning process led to the Mediation Center recovering an unprecedented \$1.2 million in consumer reimbursements during fiscal year 2007.
- The Department identifies strategic challenges and advantages through several different methods. These methods include industry advisory groups and interdepartmental collaboration to assess external factors that have the potential to impact service delivery. Also, monthly management meetings are held to interpret information gathered and to view that information in the larger context of the business plan. The Department has identified several strategic challenges, including: adjusting to the changing political environment, political resistance to fee increases, limited funding to meet increasing needs, raising public awareness about its programs and services, staff recruitment,

Strengths

communication with field staff, and streamlining all licensing processes. It has identified its strategic advantage of unique services with no competitors.

- The Department has identified key short and long-term strategic objectives and a timetable for accomplishing these. Short-term objectives have a one year timetable and include: effectively resolving consumer/business disputes; empowering consumers to make informed decisions; enforce consumer protection laws; secure regulated business satisfaction and trust; and phase in enforcement component of database system. Long-term objectives have a one to three year timetable and include: revising many out-dated general consumer protection ordinances; planning and supporting a customer-friendly for-hire experience during Super Bowl 2010; equipping field officers with E-Ticketing capabilities; and identifying and creating a priority list for implementation of the initial recommendations of the Taxicab Industry Modernization Plan. Short and long-term objectives are deployed and monitored through the ActiveStrategy Enterprise System (ASE) and help accomplish the Department's mission to enhance the quality of life for residents, visitors, and businesses through education, regulation, and the investigation and mediation of consumer complaints.
- The Department develops and deploys action plans (initiatives) including adequate financial resources, to achieve short-term strategic objectives. Meetings are held with division directors and key staff to develop action plans, which identify necessary financial resources and performance measures. Examples of short-term action plans include: revision of inspection forms to expedite the compliance inspection process for vehicle inspection stations and increase the number of inspections performed; increasing outreach venues to raise consumer awareness; and adoption of a two-team based approach to improve licenses and complaint processes for the for-hire vehicle inspection process. Performance measures are tracked and reported monthly via ActiveStrategy Enterprise System (ASE) and are aligned to performance appraisals, recognition, and staff training and coaching.
- The Department identifies key performance measures for tracking progress on action plans (initiatives). These include:
 - Effectiveness in resolving disputes between consumers and businesses (amount of complaint investigations received monthly; average time to close complaint is 30 days, consumer refunds recovered met or exceed \$90,000 monthly);
 - Empower customers to make informed decisions (conduct/participate in at least 10 educational and outreach programs and community events monthly, conduct at least 30 agricultural industry training programs monthly, obtain a knowledge gained rating of at least 3.5 out of 5 for each cooperative extension training program conducted);
 - Uphold and enforce general consumer protection laws (conduct at least eight motor vehicle repair and general consumer protection compliance inspections per day per officer, conduct two towing record audits per month), and

Strengths

- Regular business satisfaction and trust, such as: issue renewal licenses within 14 calendar days of completed inspection; limit average wait time to 25 minutes at the for-hire vehicle inspection stations; and obtain a monthly average satisfaction rating of 4.5 out of 5 from businesses that applied for a license by mail and in person.
- Individuals, as well as all programs, are responsible for ensuring performance targets are met, and monthly business reviews are held to determine progress.

Opportunities For Improvement

- The Department does not have a systematic approach to address opportunities and threats. Strengths and weaknesses are identified through ActiveStrategy Enterprise System (ASE) measures, but opportunities and threats are not systematically identified. Without a systematic approach for a complete SWOT analysis, the Department may miss opportunities for improvement and/or to protect itself from unforeseen threats. This could hinder the Department's ability to address revenue shortfalls, a shifting political environment, and the political resistance to fee increases.
- The Department's strategic objectives do not address all identified strategic challenges in its annual strategic planning process. For example, there are no strategic objectives for recruiting and retaining qualified staff for the Cooperative Extensions Division. In addition, there is no strategic objective for addressing limited funding for personnel to meet increasing and ever expanding programs. Without objectives to address these challenges, the Department may have difficulty maintaining current service levels to meet the needs of its customers.

3.0 Customer and Market Focus

The **Customer and Market Focus** Category examines how your organization determines the requirements, needs, expectations, and preferences of customers and markets. Also examined is how your organization builds relationships with customers and determines the key factors that lead to customer acquisition, satisfaction, loyalty, and retention, and to business expansion and sustainability.

Scoring Range: 30% - 45%

Strengths

- The Department identifies customers as all residents, visitors, and businesses in the County. Customer groups are identified in terms of the type of service sought from the Department. Examples of these include: business licenses, complaint mediation, general consumer information/advice, enforcement of consumer protection laws and business regulations, education about consumer-related issues, management of youth and development programs and education programs, and technical assistance to residents and the agricultural industry.
- The Department listens to the voice of the customer during industry forums to gather customer input that is used to develop and implement service changes. For example, short-term chauffeur licenses for special events, such as the Super Bowl, to accommodate the high volume of visitors to South Florida were the result of input from industry advisory group forums. Additionally, customer input is also gathered through regular meetings with the industry advisory groups, proactive outreach programs, and monthly customer surveys.
- The Department uses multiple methods to enable customers to seek information, conduct business, and make complaints. These include in-person contacts at several locations throughout the County, e-mail, phone, and service provisions at customers' locations. Information can be obtained on the Department's website for programs offered, frequently asked questions, training schedules, application requirements, and links to other resources. Complaint forms, license applications, business applications, and permits are also available online. The County 311 line and other publications also provide contact information for the Department.

Opportunities For Improvement

- The Department does not identify customer contact requirements for all customer groups. For example, telephone etiquette is taught to most employees during locally provided customer service training and is emphasized in the customer call center. However, there is no Department-wide customer contact policy to ensure consistency in the handling of customer contacts across divisions. Without consistent policies and practices for all employees to follow during telephone contacts as well as in-person, or via mail, education, and outreach sessions, the Department may miss opportunities to

Opportunities For Improvement

practice and build upon many of its core competences including: ability to communicate clearly; customer service orientation; ability to analyze a situation and make the correct decision on how to proceed; and a commitment to public service.

- The Department does not deploy a systematic process to learn from customer complaints about its services or staff members to all divisions and sections. For example, the Department uses a corrective approach with immediate parties involved or implements Department-wide training and policy changes depending on the severity of the complaint, but there is no process for compiling and analyzing complaints that are received in the various divisions and sections of the Department. Without deployment of a systematic approach for compiling, analyzing, determining the root causes, and learning from complaints received throughout the Department, it may be difficult to identify and eliminate the causes for repeat complaints. This may result in a reduced ability to demonstrate the Department's core competency of commitment to public service and achieve its key success factor of exceeding customer expectations.
- The Department does not have a systematic process deployed to all divisions and sections to learn from customer complaints received from consumers about products and services provided by the various businesses and industries in the County regulated by the Department. Most consumer complaint calls are received or forwarded to the Mediation Call Center for recording and processing, but there are additional calls that are not forwarded to the Call Center. In addition, of the approximately 3,000 calls received each month fewer than 300 result in formal complaints. There is no systematic process in place to compile actionable information on the other calls received by the Mediation Call Center that do not result in formal complaints or the calls received by staff members in other divisions and sections of the Department. This may result in missing trends in complaints that could lead to the development of actions for improving consumer satisfaction while reducing the workload required for the Department's staff.
- The Department does not have a systematic process for using the information gathered from its several methods for determining customer satisfaction, dissatisfaction, and loyalty to implement improvements. For example, only the last question concerning overall satisfaction from a small sample of customers is used for measuring customer satisfaction and dissatisfaction on a monthly and annual basis. The additional questions on the survey regarding service delivery are not systematically used in the analysis of customer satisfaction. There is no process in place to use these data along with data gained from customer complaints, the Secret Shopper Program, attendees at outreach programs and seminars. Additionally, the Department does not evaluate customer satisfaction relative to local and benchmark regulatory agencies. Without a process to clarify the causes of customer satisfaction and dissatisfaction the Department may miss identifying opportunities for improvement of its service delivery processes. This may result in the Department not effectively supporting its core competencies of: customer service orientation; and ability to analyze a situation and make the correct decision on how to proceed.

4.0 Measurement, Analysis, and Knowledge Management

The **Measurement, Analysis, and Knowledge Management** Category examines how your organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets and how it manages its information technology. Also examined is how your organization reviews and uses reviews to improve its performance.

Scoring Range: 30% - 45%

Strengths

- The Department selects, collects, aligns, and uses data and information for tracking overall daily operations and overall organizational performance based on the County's strategic and business plan processes. The County's strategic plan goals and outcomes for service delivery in six comprehensive areas are the principal guide in developing the Department's business plan. The Department has identified key performance indicators that align with the County's goals and outcomes. Goals and targets are developed using historical performance. The key organizational measures include: timeliness of handling customer transactions; volume of work functions performed; outcomes associated with the Department's efforts; and overall customer satisfaction. Data for the identified performance indicators of each service area are collected, reported, and tracked on a monthly and quarterly basis and are available to employees through the ActiveStrategy Enterprise System.
- The Department uses the ActiveStrategy Enterprise System and the business plan process to analyze and review organizational performance, and uses that information as well as historical information from the Department to set goals and priorities for improvement. The Department establishes objective target goals at the beginning of the fiscal year and tracks these using the ActiveStrategy Enterprise System. Department and divisional managers conduct monthly performance reviews against business plan objectives and set division improvement strategies. The Department also solicits customer feedback via satisfaction surveys and feedback from advisory committees and uses this information in setting priorities. The measured business plan objectives are linked throughout the organizational structure to individual objectives which can be monitored/analyzed on a daily and weekly basis. The ActiveStrategy Enterprise System requires acceptable variances to be linked to the performance indicators. When the performance indicator falls outside the acceptable range, a variance report must be created by the supervisor, and priorities for improvement must be established. Also, the organization uses its performance management system to link strategic goals to individual performance objectives for success.
- The Department manages information resources to ensure the continued availability of data and information and hardware and software systems in the event of an emergency through its internal service agreements with the County's Enterprise Technology Services Department (ETSD), and its detailed Continuity of Operations Plan (COOP). ETSD provides maintenance support for applications, systems, backup (daily and weekly), and storage. The COOP provides policies and procedures in the event the facility is incapacitated – from utilization of laptops and home computers for remote

Strengths

access to systems and data, to manual operations until automated systems are restored. Handheld radios and cell phones are used to relay information to those without remote access. Procedures in the COOP are updated annually and are deployed to each level of the Department. The procedures call for back-up of individual work station information and data to removable storage devices. Office machinery is covered and moved to the most secure locations. This ensures continued availability of data and information during an emergency.

- The Department ensures the integrity, reliability, accuracy, and security, of data and information through the database system Ceiling And Visibility Unlimited (CAVU), ActiveStrategy Enterprise System, and other methods. Reliability and accuracy are ensured through parameters set in CAVU which cannot be altered at the user level. All system changes create an audit trail identifying the user/date changes made. The ability to track all changes provides heightened file security. Supervisors and managers validate and enter performance indicator data into the ActiveStrategy Enterprise System and link supporting reports to ensure integrity of the data. Licensing payment transactions are input into the CAVU licensing component by individual users, and the system tracks the monetary value of each transaction, batches them, and reconciles them daily for each user. Also, the Department removes customers' Social Security numbers from business license applications after background checks are conducted, and credit card receipts show only the last four digits of card numbers after the license application fees or fines for violations are satisfactorily paid. All paper copies of credit card receipts are kept only as long as legally required, and are then shredded.

Opportunities For Improvement

- The Department does not have a systematic approach for selecting and using key comparative and competitive data and information to support operational and strategic decision-making and innovation. For example, the Department participates in: the International Association for Transportation Regulators that represents taxi and for-hire vehicles; the National Association of Consumer Agency Administrators that address consumer protection; and the Extension Service Division that participates in a statewide system. In addition, the Department meets every two months with the neighboring counties of Broward and Palm Beach, and twice a year with three other counties and the Florida Department of Agriculture. Also, the Department periodically surveys other similar entities in the United States regarding rates, fees, and other performance related information. Other than surveys on licensing rates and fees, the Department gathers mostly anecdotal information during these meetings. Without an approach for selecting and using key comparative and competitive data and information, it may be difficult for the Department to make fact-based decisions to sustain and improve performance, foster innovation, and deliver the high performance needed to satisfy customer and consumer requirements.

Opportunities For Improvement

- The Department does not have an approach to collect and transfer workforce knowledge across divisions to quickly identify, share and implement best practices, and use relevant knowledge in the strategic planning process. The County has initiated an "Idea Machine" for submitting improvements and recommendations through the website for review by the County's Executive Office and the Office of Strategic Business Management; however, there is no Departmental approach for identifying, collecting and sharing workforce knowledge or best practices between divisions. The Department's Consumer Protection Division collects and transfers workforce knowledge within its division through ActiveStrategy Enterprise System, but there is not a similar Department-wide approach for collecting and sharing workforce knowledge across or between all divisions of the Department. Lack of an approach for sharing across or between divisions may limit each division's ability to capture best practices and lessons learned from other divisions, which may lead to duplicated efforts, inefficient operations, and missed opportunities for innovation.

5.0 Workforce Focus

The **Workforce Focus** Category examines how your organization engages, manages, and develops its workforce to utilize its full potential in alignment with the organization's overall mission, strategy, and action plans. Also examined is your organization's ability to assess workforce capability and capacity needs and to build a workforce environment conducive to high performance.

Scoring Range: 30% - 45%

Strengths

- The Department fosters a culture conducive to a motivated workforce to accomplish cooperation, effective two-way communication, and skills and knowledge sharing within units and locations through informal methods such as the open door policy and one-on-one interaction, and several other methods. For example, the Department reinforces desired behaviors through employee recognition and discipline processes, as well as through Department gatherings and quarterly meetings. In addition, the ActiveStrategy Enterprise System is used during performance reviews to help motivate the workforce to achieve cooperation and sharing of skills and knowledge within divisions and locations.
- The Department's workforce performance management system, including policies, services, and benefits, supports work to achieve its action plans (initiatives) using several methods. The performance management system links Departmental measures to individual performance through the ActiveStrategy Enterprise System. Senior managers have adopted a performance appraisal system that aligns employee performance with specific measures established by the manager using historical data. The ActiveStrategy Enterprise System data are used to identify areas of strength and opportunities for improvement for each employee. Administrative time off, official letters of commendation, achievement certificates, and honorary mentions at quarterly employee recognition events serve as methods used to recognize achievement of performance measures. Letters of commendation are customer driven. The performance management system is fully integrated with both the workforce and the Department's action plans (initiatives).
- The Department's workforce development and learning system addresses needs identified by the workforce, and needs to support the Department's core competencies, strategic challenges and accomplishment of its action plans (initiatives) by encouraging attainment of higher level education, offering training seminars, and attending conferences. The Department participates in the County's tuition refund program to accommodate employees' individual development. In-house training by the County is offered in many core competencies such as interviewing techniques, reading and writing proficiency, ethics, and customer service. Department staff attends multi-jurisdictional conferences that address consumer-related issues, and specialized training is provided for specific job functions. Supervisors also review requests for training from staff to determine how they would impact the overall success of the mission carried out by the Department. The Department conducts periodic training needs assessments. For example, when the Department took over issuing domestic partner registrations, all staff

Strengths

completed courses in cultural diversity. During the past year, new hire employee orientation was implemented with a focus on mission, vision, ethics, the tuition refund program, and the Department's safety program. Internal training is being conducted in an effort to cross-train among positions and divisions. All employees can access the Department's training modules, policies, and procedures via a shared network drive.

- The Department's leadership development system addresses personal leadership attributes, development of Departmental knowledge, ethical practices, core competencies, and accomplishment of action plans (initiatives) through a variety of programs. The County provides leadership programs that address these areas, including an executive leadership program presented by Harvard University's JFK School of Government. In addition, training seminars, aimed at empowering current and future leaders, in budget development, procurement, human resources, and other administrative-related matters are provided. Other methods include leaders mentoring potential leaders and the Supervisor Certificate Program that prepares employees for County managerial positions. Attendees in the program learn conflict management, progressive discipline procedures, and effective management skills.
- The Department assesses workforce capacity needs, and then recruits, hires, and retains new employees that represent the diversity of its community through a variety of methods. Workforce capacity needs are determined through monthly review of the legislative landscape and divisional / sectional performance, revenues, and expenditures. Data are reviewed monthly to assist management in identifying potential understaffing or determining when restructuring may be needed. Management determines minimum standards and qualifications for positions, and recruitment is conducted through job postings placed online and in the County employment bulletin. Hiring is conducted through a structured interview process, which adheres to County policies. The County offers a comprehensive benefits package, including participation in the Florida Retirement System, which assists with retention. The Department's diverse workforce mirrors the community it serves.
- The Department manages and organizes its workforce to achieve agility to address changing business needs through fiscal and operational impact assessments, the budget process, and shifting of existing resources for each service it provides. Annual reviews include a legislative and regulatory scan to identify opportunities for service expansion and attempts by the Legislature to eliminate or outsource existing services. Allocations for resources and personnel are based on workflow and volume. For example, the Consumer Services Division performs this activity as required to handle short-term workload backlog during the year. For each service, a fiscal and operational impact statement is prepared, and the year's action plans are derived from that assessment and the budget. The Continuity of Operations Plan (COOP) is reviewed and updated annually to ensure sufficient staffing is available to support essential operations during and after a disaster.
- The Department ensures, measures, and improves workplace health, safety, and security through several methods. The County provides regular summaries of worker's

Strengths

compensation and accident claims which the safety officer uses to identify potential training needs or hazards. A safety committee, including representatives from each division and the Department safety officer, is charged with reviewing work procedures and conditions, safety practices, concerns, and other issues. The safety committee meets bi-monthly and makes recommendations to eliminate hazards and improve safety. Safety committee representatives also communicate information back to their workgroups and help to make sure safety procedures are followed. All employees receive accident and injury reporting procedures, policies and forms, and step-by-step instructions. These methods help to ensure a healthy and safe work environment for employees.

Opportunities For Improvement

- The Department does not have a systematic approach to determine and measure key factors that affect workforce engagement and satisfaction for different workforce groups and segments. For example, the Department's workforce is "a melting pot of ethnic and cultural diversity," and the Department has informal approaches to gather information such as: an open door policy, weekly staff meetings, monitoring the individual's overall work product, and exit interviews; however, the comments and ideas are not aggregated, analyzed, and converted into actionable information by ethnicity and gender and staff in various divisions performing differing tasks. Lack of a systematic approach to determine and measure key factors that drive or inhibit engagement and satisfaction in all employee groups may make it difficult for the Department to identify, analyze, and improve policies or practices that negatively affect the working environment. Additionally, this may inhibit achievement of the Department's principal success factors of a well trained staff with a customer service focus able to meet and exceed customer expectations along with efficient and effective use of resources.
- The Department does not systematically evaluate the effectiveness of its workforce and leadership development and learning systems. The Department encourages staff to attend County sponsored training programs that promote leadership and workforce development; however, the Department has no approach to evaluate the effectiveness of these programs and their resulting impact upon job performance. Lack of an approach to evaluate the effectiveness of its workforce and leadership development and learning systems may make it difficult for the organization to maintain its principal success factor of a well-trained staff able to meet and exceed customer expectations, and to develop future leaders to ensure organizational sustainability.

6.0 Process Management

The **Process Management** Category examines how your organization determines its core competencies and work systems and how it designs, manages, and improves its key processes for implementing those work systems to deliver customer value and achieve organizational success and sustainability. Also examined is your organization's readiness for emergencies.

Scoring Range: 30% - 45%

Strengths

- The Department identifies nine core competencies that require subject area knowledge, the ability to relate to others and a desire to provide excellent service, which relate to its mission and action plans. The core competencies include: 1) working knowledge of laws, regulations and procedures related to areas of responsibility; 2) the ability to listen and interpret customer needs; 3) the ability to communicate clearly; 4) knowledge of general office procedures and principles; 5) a customer service orientation; 6) the ability to analyze a situation and make the correct decision on how to proceed; 7) knowledge of systems used in the conduct of the Department's business; and 8) a commitment to public service; and 9) the ability to work together in a team environment. These core competencies are central to the Department's ability to fulfill its mission of enhancing the quality of life for residents, visitors, and businesses through education, regulation, and the investigation and mediation of consumer complaints, and are used by employees in all program areas to develop and deploy action plans.
- The Department coordinates work systems including internal work processes and the external resources necessary to develop and deliver services to customers by coordinating staffing levels, schedules, and assignments to ensure adequate resources for responsive and professional delivery of services. Cross-training is conducted with the six licensing clerks in the Consumer Protection Division. Technology systems, the Department's database system (CAVU), and ActiveStrategy Enterprise are used to track, record, and manage work flow processes. Some written procedures and work flows exist for consistency in process and implementation, such as within the Consumer Protection Division. Supplies, training, and tools are provided to enable each individual to perform the job functions. External suppliers provide access to criminal background checks and driving records for customers seeking licenses, code enforcement databases, property records, vehicle maintenance, and fuel records.
- The Department's key work processes contribute to customer value, organizational success, and sustainability through ensuring compliance with minimum standards and specific code provisions that protect residents, visitors, and businesses throughout the County. The key work processes of licensing, inspections, complaint investigation and mediation, enforcement, training, education and outreach programs enable the Department to focus on the key factors that support the vision of a community of educated consumers and sustainable business prospering in a fair and equitable marketplace.

Strengths

- The Department's key work process requirements are mandated by laws and policies adopted by the Board of County Commissioners. The County sets an expectation that services are efficient, effective, and meet customer expectations in terms of speed of delivery and customer service. Input is obtained from constituencies, advisory groups, and regular meetings with industry groups are used to identify their key requirements. The Department uses customer feedback, such as complaints, suggestions, and input from advisory groups to identify customer expectations and make some adjustments to work processes as needed.
- The Department ensures work system and workplace preparedness for disasters or emergencies through its emergency management plan, which includes the Continuity of Operations Plan. The plan depicts all defined components to ensure an effective operational plan upon activation and deactivation. The Department updates the plan each year during the strategic planning process and communication regarding the plan is conducted through staff meetings. Hard copies of the plan are provided to all staff. Training is provided on an annual basis prior to the hurricane season. Follow-up emails are sent to all supervisors to ensure all Department staff received the training. The plan is exercised once a year for the Department and once a year for its role at the County's Emergency Operations Center.

Opportunities For Improvement

- The Department does not have a systematic approach across the divisions to share information about improving its work processes. For example, within the Consumer Services Division process improvements are shared at Division meetings informally and shared at one-on-one conversations among staff members as appropriate within the Division. However, there is no systematic method to ensure sharing of process improvements across divisions. The Department may be limited in its ability to apply or adopt the process improvements in one division to other divisions resulting in missed opportunities to gain efficiencies throughout the Department.
- The Department does not systematically manage and measure work processes. For example, the Department uses the County's ActiveStrategy Enterprise System to track its performance on measures such as the overall time to close consumer complaints. However, there is no consistent method to manage and measure work processes such as the time required to issue various licenses, including waiting time and rework required when the applicant does not have the required documentation on the first visit. Without methods to manage and measure work processes, the Department may have difficulty identifying, analyzing, and correcting problems that may have an unfavorable effect on the principal success factor of effective and efficient use of its resources which could lead to customer dissatisfaction with its processes and services.

7.0 Results

The **Results** Category examines your organization's performance and improvement in all key areas – product and service outcomes, customer-focused outcomes, financial and market outcomes, workforce-focused outcomes, process-effectiveness, and leadership outcomes. Performance levels are examined relative to those of competitors and other organizations providing similar products and services.

Scoring Range: 10% - 25%

Strengths

- Service performance results reported are favorable for several areas of importance to the Department, such as:
 - *Dollar Amount of Consumer Refunds Recovered* shows results trending favorably from \$30,000/quarter in October, 2003 to \$111,000/quarter in September, 2009. Consumer refunds were \$1,273,489 for the fiscal year which exceeded the targeted \$1,104,000 by \$169,489.
 - *Average Wait Time at the For-Hire Vehicle Inspection Station* demonstrates a favorable improvement trend from 27 minutes in October, 2005 (37 in 3/08) to 13 minutes in January, 2009 with an average of 15 minutes for the year ending September 30, 2009.
- Customer satisfaction as reported via opinion surveys in the *Composite Customer Satisfaction Rating* show sustained levels of favorable results of 4.7 in October, 2007 to 4.7 in September, 2009 for the Department with all divisions reporting similar results. The results are on a scale of 1-5 with 1 being very dissatisfied and 5 being very satisfied.
- Educational outreach programs by the Cooperative Extension were significantly higher for 2009, with 117 programs offered against a target of 60, with over 1,000 attendees.
- Financial performance results reported are favorable for:
 - *Revenues* trending favorably from \$3 million in FY 06 Q1 to \$5 million in FY 09 Q4. For the year ending September 30, 2009, the revenue was \$14 million compared to the targeted \$13.3 million.
 - Favorable performance with the recovery of outstanding fines and fees for the year ending September 30, 2009 of \$1,200,608 compared to the target of \$840,000.
- Operational performance results show favorable levels and trends for processing a variety of licenses and applications. These include:
 - *Percentage of Renewal Licenses Processed within 14 Days* at 42% on October, 2005 to 98% on September 2009;

Strengths

- *Processing Days for Limousine Applications* maintained from one day in October, 2007 to one day in September, 2009;
- *Percent of Chauffeur Applicants entered into training Class within 30 Days* close to 100% from October, 2005 to September, 2009; and
- *Processing Days for Completed Taxicab Transfer Applications* two days in October, 2007 to April, 2009 to one day through most of 2008 to March, 2009.
- Leadership accomplishment of strategic objectives was 86% during the 2007/2008 fiscal year. There were 99 objectives including 62 that were customer focused.
- Organizational citizenship and support of key communities is demonstrated by CSD *Community Outreach events* that totaled 55 in 2008 with (11% Business Community, 39% Consumers, 50% General Public); 94 outreach events were held in 2009.

Opportunities For Improvement

- Service performance results for *Percentage of Mediation Center Calls Answered within 30 Seconds* shows 82% in October, 2006 and a favorable trend to 90% for most of 2007 and 2008. The trend is unfavorable for most of 2009, falling to 83% of the new increased target time of 60 seconds for September, 2009. In addition, the abandoned call rate ranged from 27% to 30% from August through November, 2009.
- Service performance results for the key success factor of customer wait time show unfavorable results in the following key areas of customer service:
 - Average days to close/settle consumer protection enforcement cases for the year ending September 30, 2009 was 234 days compared to a target of 120 days;
 - Average days to close consumer complaints for the year is 37 compared to the target of 30; and
 - Average wait time for entering into a new taxi cab training class was 49 days compared to a target of 23 days for the year ending September 30, 2009; the month of September average wait was 74 days.

Additionally, results are not reported for process wait time in the office when applying for the various licenses.

- Results are not reported for areas identified as important to the organization, such as the tracking of complaints about the Department and its divisions.

Opportunities For Improvement

- The Department does not report workforce engagement, satisfaction, leader development, and workforce climate measurements or results, such as:
 - Employee Health and Wellness results including Risk Management;
 - Employee satisfaction;
 - Training and career development results, satisfaction results and segmented by classes, including those that are mandatory to maintain certification or licenses;
 - Other measures/indicators of satisfaction/engagement such as absenteeism, retention, turnover rates, grievances, etc.
 - Employee recognition program results in addition to conducting quarterly recognition events.

- Operational performance results of work systems and work processes are not reported for some of the key processes identified by the Department. For example, there are no results or measurements of processes such as the issuing of various licenses including waiting time and rework required when the applicant does not have the required documentation on the first visit. In addition, results are not reported for key indicators of the operational performance of the key processes of inspections, other than those done at the vehicle inspection station, and enforcement process activity.

- No results are reported for the Department's performance compared to organizations providing similar products and services or benchmarks relative to industry leaders.

- Few trends are reported for most measures for customer service, internal processes, and employee growth and training.