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I, Maria A. Scheitz, hereby submit this original work as part of the requirements for the degree of Master of Community Planning in Community Planning.

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The Implementation of Performance Management Techniques in a Time of Economic Recovery: The Case of Louisville

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The Implementation of Performance Management Techniques in a Time of Economic Recovery: The Case of Louisville

A thesis submitted to the Graduate School of the University of Cincinnati in partial fulfillment of the requirements for the degree of Master of Community Planning in the Department of Planning of the College of Design, Architecture, Art and Planning by

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PM TECHNIQUES IN TIME OF ECONOMIC RECOVERY

Abstract

The purpose of this study is to provide an analysis of the implementation of Total Quality Management (TQM) and Performance Management (PM) techniques in a public planning department during a time of economic recovery and provide practical recommendations to increase the efficacy of implementation.

Specifically, I asked:

1. Can Total Quality Management foster quality planning practices in the Louisville Metro Planning and Design Division?

2. Is Total Quality Management an appropriate management technique for planning agencies during a time of economic recovery?

3. Does the implementation of Performance Management techniques create a power differential that unintentionally gives more influence to the development community?

4. How can the process of TQM be improved in Louisville Metro’s Division of Planning and Design?

To answer these questions, I conducted an explanatory case study of the implementation of TQM and PM in a public planning division during a time of economic recovery, Louisville Metro Division of Planning and Design Services from 2011 to 2014. I used data gathered online and participant observation research as a former staff member of Louisville Metro Planning and Design Services from 2009-2013. I chose this time frame because the great recession exacerbated some of the intrinsic difficulties of implementation of TQM and PM in the public sector and specifically the field of planning. Additionally, because 2011 marked the initial phase of the application of TQM and PM in Louisville Metro, an
extraordinary amount of data was available that permitted in-depth analysis. First hand knowledge as a former staff member gave insight into the Division of Planning and Design Services.

The case study assessed the definition of customer, the definition of quality and success, and the outline of planning processes identified for improvement by the Performance Audit Team using research in the field of Urban Planning. Next, the vision, mission, goals, indicators and targets included in the Codes and Regulations Six-Year Plan and “LouieStat” were evaluated using Boyne’s guiding principles for the implementation of PM. Then, the goals, indicators and targets included in Codes and Regulations Six-Year Plan and “LouieStat” were compared against the goals and indicators drafted by the Performance Audit Team categories of goals chosen for implementation/omission are identified and discussed. Finally, information from local media, the Metro Louisville website, and first hand observation is used to evaluate which goals and indicators are in the process of implementation.

This research suggests that the TQM strategy should be expanded in the Louisville Metro Department of Planning and Design Services to involve the staff in the process of continuous improvement, ensure all customers included in the data collected and represented in the goals selected for implementation, and allow for a wider definition of quality as it pertains to the field of planning. This research will add to the body of literature on the implementation of TQM and PM in the field of planning by providing a basis for discussion and demonstrating a research design that can be easily adapted to public agencies implementing TQM and PM.
Keywords: Total Quality Management, Performance Management, Performance Measurement, Six Sigma, urban planning
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INTRODUCTION

“The organization in which there is no irritation or conflict is one that is not changing or growing. It is in trouble. The healthy organization, the one which is undergoing constructive change, witnesses conflict and questioning, but is able to struggle in an honest and open way with those questions.” (Lawrence Miller)

Using Louisville Metro as a case study, this research provides an analysis of the implementation of TQM and performance management techniques in a public planning department during a time of economic recovery and provides practical suggestions for Division specific process improvements.

The housing bubble in the early 2000’s fueled residential housing construction and resulted in a need to hire more planners. At the height of the housing boom in 2006, Louisville and the surrounding counties issued 5023 residential building permits. In 2009, 2 out of 3 planners worked for government agencies (BLS 2014). The Great Recession (2006-2008) resulted in large numbers of layoffs, reduced lending, increased foreclosures and a stagnation of construction. At the height of the recession in 2008, only 2219 permits were issued. The number of residential permits issued bottomed out in 2011, with only 1458 permits issued. (Lammers 2014, 4-6).

In 2011, after almost 25 years under the administration of Mayor Jerry Abramson, Louisville elected a new mayor, Greg Fischer. Almost immediately, Mayor Fischer began making “data driven changes” based on the theory of Total Quality Management (TQM) with the goals of ensuring Louisville Metropolitan Government’s performance is competitive with the top quartile of cities and “of maintaining a well-planned, safe and
sustainable community by utilizing technology, training, and teamwork to reduce costs and improve customer service.” (Codes and Regulations, 2013, no page). The mayor’s new strategy is intended to address “systemic” problems in the Division of Planning and Design Services including: “lack of notice to and effective participation in the process by affected neighbors and the general public, and, “undue delays for applicants, especially in what could be considered non-controversial cases”. (Louisville Metro 2012)

While TQM is widely accepted in the private sector as a successful management strategy, the effectiveness of Total Quality Management and its corollary Performance Management (PM) in the public sector and specifically the field of planning has been questioned by scholars and practitioners alike (Boyne 2010, Zucker 1997). The question becomes how to apply a management technique that uses primarily quantitative data measures of quality and requires sustained effort for implementation and utilizing it in a field where defining and measuring quality is markedly difficult and political and budgetary changes are imminent.

The planning profession has felt the strain of decreased construction through layoffs and through increased political pressure. Amidst the turmoil of the recession, public planners in Louisville’s Division of Planning and Design Services faced increased pressure from politicians and developers to use the creation of jobs and their assistance in economic recovery as a measure of the quality of work. Planners felt pressure to support approval of cases going before Planning Commission and the Board of Zoning Adjustments. Additionally, the planning management team is encouraged by senior management to move toward a full-cost recovery budget based on fees, giving staff the impression that their
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positions are reliant on development. Because TQM focuses on measures of customer satisfaction as metrics of success, staff are encouraged to create a development friendly environment by providing excellent customer service, which often translates to feelings that the staff should encourage approval of plans. While these pressures are perceived and never stated, they can erode professional integrity and let planners forget that success is also measured by the quality of developments and the impact they have on the community.

The aim of this thesis is to evaluate the following:

5. Can Total Quality Management foster quality planning practices in the Louisville Metro Planning and Design Division?
6. Is Total Quality Management an appropriate management technique for planning agencies during a time of economic recovery?
7. Does the implementation of Performance Management techniques create a power differential that unintentionally gives more influence to the development community?
8. How can the process of TQM be improved in Louisville Metro’s Division of Planning and Design?

The study looks first provides background on TQM and PM and the difficulties associated with application of these management techniques in the public sector. It looks at the difficulty of applying a management technique that uses primarily quantitative data measures of quality and requires sustained effort for implementation and in a field where defining and measuring quality is markedly difficult and political and budgetary changes are imminent.
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Next a definition of quality in Planning and the processes traditionally association with the planning profession are discussed.

This task will be performed by first defining the role of public planners, what quality output and success means in the context of the planning profession and who are customers of Public Planning and then evaluating the implementation steps for performance management in Metro Louisville starting in 2011.

These steps are:

1. Develop a Vision
2. Develop Indicators
3. Develop Targets
4. Evaluate and Make Changes

BODY

1. LITERATURE REVIEW

1.1 TOTAL QUALITY MANAGEMENT/ PERFORMANCE MANAGEMENT

1.1.1 HISTORY
Total Quality Management (TQM) has its roots in the field of scientific management. First introduced by Fredrick W. Taylor in the late 1800’s as a way to break down industrial tasks into component parts and then perfect each step of the process, scientific management has grown into many subfields. TQM developed in the post WWII era as the Japanese strove to recover from the war by improving manufacturing processes and creating superior products utilizing statistical analysis. The communal culture of the Japanese combined
with the techniques of scientific management resulted in TQM, “A process of continuous improvement based on meeting or exceeding the customers needs and expectations. It includes participation of all members of the organization in improving the process, products, services and the culture they work in” (Zucker 1997, 30). TQM focuses on the customer and “customer satisfaction is viewed as the only reason a job or organization exists” (Zucker 1997, 31). Therefore, providing excellent customer service underlies all performance management visions, goals and targets.

The field of Total Quality Management gained momentum in government and in the profession of planning in the economic downturn of the 1990's. As smaller budgets forced government to “do more with less”, managers looked for ways to manage the efficiency and effectiveness of current staff and resources (Streib and Poister 1999, Krane 2008). Managers believe that a system based on results will “make their organizations more outcome oriented, proactive, and agile, leading to greater over-all effectiveness (Swiss 2005, 592).

One major difficulty with utilizing TQM in government is defining quality (Zucker 1997). This can prove difficult in government where customers have multifarious goals and purposes (Zucker 1997, Boyne 2010). While quality in manufacturing may be defined as producing a product with fewer defects, or developing a more marketable product, quality government and especially quality planning cannot be easily defined (Talen 1994). Neighborhood groups, developers, private sector planning professionals and public sector planning professionals each have their own definition of quality.
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In the case of Louisville’s Division of Planning and Design, while most agreed that there was a need for improvement in the Division, community leaders, development professionals, public planning staff, and senior management within the government chain of command all had slightly different definitions of what improving quality means for the division making it difficult to define quantitative and qualitative measures of quality. An audit of the Division noted, “Those who are on the applicant’s side of the equation felt strongly the system is too slow, cumbersome, hard to understand, expensive, inconsistent and unfriendly to the applicant’s interests. On the other hand, those who were more aligned with neighborhood and other general public interests felt just as strongly that the process is too secretive, unavailable to the private citizen, complicated, uninterested in citizen views, and consistently weighted in favor of applicants and developers” (Planning and Design Task Force Committee 2012). The concept of defining success in a planning agency will be discussed in depth later in this research.

Another hurdle to implementing TQM in government is defining the customer. While a business can choose its customer base and targets the best markets, a public agency’s customer base is the general public. When the focus is on service production, the immediate target of the service becomes more visible and gains more importance than the general public (Swiss 1992). For example, trash collection services should be regular and efficient. It is easier to focus on the specific customers receiving the trash pickup and the task of picking up the trash regularly than it is to focus on providing a good service to the general public by instituting policies for waste reduction, recycling, or composting.

1.1.2 Total Quality Management Basic Concepts
Juran (1989) defines three underlying principles of Total Quality Management 1) customer
orientation, 2) process orientation and 3) continuous improvement. When TQM is applied to government Swiss adapts those basic principles and defines them as 1) client feedback, 2) tracking performance, 3) continuous improvement and 4) participation of the work force (1992).

TQM techniques can be characterized as hard and soft (Wilkinson1992). Hard techniques are those that are associated with a traditional scientific management approach and focus on production and operations management. Soft techniques include customer service techniques, team-work, training and inclusion of staff in the improvement process (Boyne 2002).

**Six Sigma** The term “six sigma” originated in statistical quality control methods and refers to the ability to produce a large amount of product with few deficiencies. In the public sector, it has come to mean addressing process and waste issues. It involves process mapping to identify areas of improvement. For example, in the planning profession, one might map the steps of a rezoning or the steps in the production of a neighborhood plan (TRADE 2014).

**Continuous Improvement or Kaizen** Kaizen is a philosophy that literally means the continuous search for improvement. It refers to the cyclical nature of TQM. Goals, targets, and performance measures are constantly reevaluated to ensure the best product. The concept of kaizen also connotes a culture that encourages input and suggestions from all employees and relies on them for success. Continuous improvement involves cross training employees in different areas and the creation interdepartmental focus groups to foster the generation of innovative solutions (TRADE 2014). Employees trained in the art
of six sigma and kaizen are embedded into companies to drive the cycle of change. There are different levels of distinction within Six Sigma training such as green belts (beginners), and black belts (masters). The culture associated with TQM is difficult to implement in typical government bureaucracies. The tendency toward audits of performance measures and the effects on the budgets of agencies makes it difficult to institute a culture of continuous learning and improvement (Rashman and Radnor 2005).

**Lean** The theory of lean refers to cutting out any use of resources that do not go toward producing the desired product or result. It is intended to eliminate waste and encourage the best product with limited resources (Zucker 1997, TRADE 2014)

**Plan Do Check Act** The cycle of continuous improvement takes place through “Plan, Do, Check, Act” cycle. Plan refers to the visioning process whereby visions and goals and targets for improvement are determined. In the “Do” step, the plan is implemented and data is gathered to determine if targets were met. “Check” means to compare the data gathered and measure the desired results against those that were actually obtained. “Act” refers to taking corrective actions based on the data analysis. During this step data is analyzed to determine the root causes of issues so that a plan can be put into place for correction (TRADE 2014).
The Louisville Metro Office of Performance Improvement developed a planning cycle based on the PDCA model (Figure 2). Each step of the cycle takes a couple months and the full cycle coincides with the fiscal year for Metro Louisville. The first steps in the cycle are to plan by determining appropriate performance measures for Metro Louisville and for each department. Next these goals are allocated capital, staff and resources. Projects are then developed to ensure the success of the measures and the plans are implemented. At the beginning of the year, performance measures are reevaluated and goals determined as part of the planning cycle.

**FIGURE 2: LOUISVILLE METRO PLANNING CYCLE (OFFICE OF PERFORMANCE IMPROVEMENT 2013)**
1.1.3 Performance Management
Part of any TQM system is the implementation of performance measures. The field of performance management delves into the details of determining appropriate visions, goals, targets, measures and implementation actions. Each part of performance measurement must be properly utilized to ensure successful TQM. The following is a discussion of techniques of performance measurement in public management at each step of the process. The existing literature on the subject will then serve as a basis of discussion for the implementation of TQM in Louisville.

Boyne conducted a comprehensive literature review of performance measures in public management and determined that there are 14 propositions or guiding principles of implementing performance measures. It must be noted that his research then tests those propositions and finds a paucity of quantitative data to support the propositions directly. However, these propositions were developed by scholars on the field of study and should be given due consideration. This study uses the propositions as a starting point for the discussion of implementation of performance measures in Louisville Metro Government. These propositions are included in the discussion below.

1.1.3i Visions and Goals
Integral to a discussion of performance measurement is the concept of setting visions and goals. Government organizations tend to have goals that are "more vague, hard-to-measure, multiple and conflicting (Rainey and Jung 2010). Ambiguity in goal setting can increase collaboration and political support for a specific goal but can decrease managerial effectiveness if overbroad (Rainey and Jung 2010). If a goal is not easily measurable, it is
often ignored (Boyne 2010). An example of a goal could be increased notification to neighborhoods during hearing processes.

In the planning field, developing goals has proven to be a difficult task. The role of planners has expanded from the traditional role of developing physical spaces to a role that includes concerns of sustainability, economics, food production and transportation. Planners are expected to provide good customer service and to develop and implement plans in a professional manner. Defining the goals of a planning Division requires a definition of the role of a planner and how planners measure success.

This leads to difficulty in developing performance metrics. A goal of increasing the successful use of sustainability can be much more difficult to implement and measure than a goal of ensuring timely notification of hearings. In a case where both are integral to the function of the department, goals of timely notification are much more likely to be implemented.

1.1.3 Indicators
A performance indicator is defined as “the addition of explicit expectations and the use of indicators in organizational decisions that convert performance measurement into performance management” (Boyne 2010). These indicators “provide a quantitative scale against which current and subsequent achievements can be assessed and tracked” (Boyne 2010). An example of an indicator could be to increase the number of neighbors signed up for electronic notification of hearings in their council districts. This indicator could illustrate whether a goal of increased notification to neighborhoods during hearing processes is achieved. Translating broad goals into specific indicators and targets requires
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management that understand the intent of the goals and are involved in the process enough to select appropriate measures of goal attainment. This is one area where politics and personal desires of management can influence the process of TQM. A managers desire to remain politically neutral, to shield employees from harsh criticism or to gain the respect of senior management by setting goals that can be easily attained are all examples of scenarios that can and do affect the process.

When creating performance targets and indicators, most performance measures fall into one of the following six categories:

1. Effectiveness: Does the process create a product or output that conforms to our specifications?
2. Efficiency: Does the process create the product or output using the least resources possible?
3. Quality: Does the product or output meet the expectations and desires of the customer?
4. Timeliness: Was the unit of work done on time within the timeframe anticipated by the customer?
5. Productivity: Does the process maximize creating the best product or output for using the least amount of resources?
6. Safety: Is the working environment healthy and safe for the employees?

(TRADE 2014).

This list is not exhaustive and may be altered to fit an organization. It is a good starting point for the creation of indicators. Although it is noted that TQM focuses on the quality of customer service, all six categories listed above are considered integral to good customer service.

Boyne suggests 5 guiding principles for the development of indicators  (Boyne 2011, p. 211-212):
1. “Performance indicators are more likely to lead to better service results if they focus on outcomes rather than outputs or activities.”
2. “The positive relationship between indicators that focus on outcomes and service results will be weaker when such outcomes are viewed by managers as 'uncontrollable'”.
3. “The relationship between the number of indicators and service performance resembles an 'inverted U'”.
4. “Performance indicators that are adjusted for 'degree of difficulty' will have stronger positive effects than raw performance indicators.”
5. “The positive effect of performance indicators that are adjusted for 'degree of difficulty' will be stronger if they can be easily interpreted by internal and external stakeholders”.

Performance indicators will encourage better services if the indicators are measures of a desired outcome rather than a quantitative measurement of a certain output. If a broad goal such as encouraging connectivity is measured only in terms of efficiency of output such as a certain number of applications for sidewalk construction, then other dimensions of quality are lost. It is better to measure outcomes instead such as the miles of sidewalks constructed or the percentage increase in the number of bus stops. Where possible, it is important to tie measures to an end result rather than steps along the way (Boyne 2010).

However, if a performance measure is seen by a manager as something that they cannot reasonably control such as the number of housing permits during the recession or the number of land use variances applied for within a given timeframe, the manager will put less effort toward achievement of the measure (Boyne 2010).

If managers devise too many indicators, they risk watering down the intention of the goal and spreading resources too thinly. A smaller number of indicators allows managers to focus efforts, but may leave out some important dimensions goal achievement. The difficulty becomes finding the balance between too few performance indicators and too many. For this reason, Boyne indicates that service performance will improve with the
number of indicators until it there are too many indicators to measure service performance accurately. At that point, service performance will decrease (Boyne 2010).

When drafting performance indicators, it is important to recognize that some indicators will be more difficult to achieve. Unless there is mitigating factor such as an incentive, or political motivation, managers will focus on the goals that are easiest to achieve. If senior management determines that some statistical manipulation of the raw performance measurement data is necessary to give the measure more weight or clarity, then it is important that the resultant numbers are easily understood (Boyne 2010).

1.1.3 III Targets
Creating a target means “setting precise expectations for future achievements on the indicators that have been selected. What score on the indicator does the organization expect to attain by some specific date?” (Boyne 2010, p. 212). TQM focuses on short timeframes for implementation (Zucker 1997). In the case of Louisville, targets were set for 3-6 month cycles. (Mott 2013). An example of a target would be to increase the number of neighbors signed up for electronic notification of hearings in their council districts by 20% over a 3 month timeframe.

Boyne suggests 5 guiding principles for the development of targets (2010, p. 213-214):

6. “A target boosts performance on the indicator that is targeted.”
7. “A target cuts performance on indicators that are not targeted.”
8. “The relationship between the number of targets and service performance resembles an 'inverted U'.
9. “The relationship between targets and performance is moderated by managerial gaming”.
10. “Consultation with staff responsible for achieving a target is likely to moderate the link between target setting and performance; in particular, the relationship between the extent of consultation and service performance will resemble an inverted-U.”
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Once indicators are established and targets are attached to those indicators, management will divert organizational time, staff and resources toward the achievement of those goals. Attaching targets to indicators will increase performance on indicators targeted but decrease performance in other areas. Organizations often “hit the target but miss the point” (Boyne 2010).

Just as with indicators, a small number of targets may overlook dimensions of goal achievement while a large number of targets can lead to misallocation of staff efforts. Managers will direct efforts and resources toward goals that are most easily achieved.

TQM stresses worker involvement in the process of continuous improvement. Management and front-line workers should be involved in the creation of targets for their team. Involvement in the process encourages front line staff to take ownership of the process. Some literature even suggests that employees that are not allowed to engage in the process of setting targets may become disenfranchised and do not actively seek to reach targets and will even sabotage goal attainment. Alternatively if staff are given too much control over the target setting process, they may deliberately set targets that are easily attainable rather than targets that may be difficult to achieve and require outside support from management. (Boyne 2010, TRADE 2014)

1.1.2.iv Evaluate and Make Changes
After goals, indicators and targets are set, data must be gathered and evaluated in order to adjudge performance and to aid in the next round of goal setting. Swiss notes that effective implementation requires robust achievement data, capacity to implement change and incentives (2005).
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Robust Data

Managers need detailed information to inform decision-making and goal setting processes. They need information to determine where the organization is in achieving its goals and to determine where the organization needs to go (Swiss 2005). Accurate and timely reports on performance targets can give this direction. At this step, the organization must also determine if the goals, indicators and targets set are appropriate and whether management needs to gather more data such as conducting surveys or studies before goals are reset for the next cycle.

Capacity

No matter how much data is gathered, performance cannot be improved without dedicated people, resources and capital to ensure the capacity for change. Scholars of TQM and performance management have studied these topics at length. I will discuss budgets, training, firing, and changes to organizational hierarchy as tools of change.

Budgets- Managers can use departmental budgets as a tool in the implementation of TQM in the private sector, but this can be difficult in the public sector. Political forces and pressures make it difficult to apply budgetary rewards and sanctions (Swiss 2005). Additionally, staff must have the budget available to implement changes. Management will be able to make some simple process changes by realigning staff and resources, but larger changes and improvements in technology require a dedication of financial resources by senior management staff and the Mayor’s office. Zucker suggests that applicants in the planning process are more than willing to pay higher fees to ensure good services and management should not be afraid to charge fees that cover the cost of services (Zucker
Training for Continuous Improvement - Implementation of TQM requires a well-trained and well-educated workforce that can suggest changes, promote change and adapt to change (Swiss 2005). Staff must be able to utilize advances in communication and information technology. These tools are necessary for better coordination. Planning management literature suggests a looser budget can result in more wiggle room for trainings (Zucker 1997) Trainings can ensure staff have the capacity to implement the changes suggested by management.

Firing- Firing employees may seem like a quick solution to problems associated with training and retraining employees in the philosophy of kaizen. It is notoriously difficult to fire public employees. Removing the red tape associated with the firing process may seem like a good idea, but in government, senior management who are “usually politically active, politically appointed, and serve short terms—have many reasons to pursue political gain over hard-to-measure effectiveness”. This can lead to short sighted and politically motivated hiring and firing decisions that ignore the long-term health of the organization (Swiss 2005).

Changes to Organizational Hierarchy- The current trend in management is to reduce layers of management and increase the span of control of managers and staff. In practice, this means fewer managers within an office and more empowered staff. Additionally,
management texts suggest incorporating as many functions as possible into an office. (Zucker 1997).

Hierarchical structures result in communication difficulties between layers and a slower moving organization as commands take more time to move up and down the chain while flatter structures allow staff to act on new information quickly. A flatter structure is also promoted in the TQM literature. Limited management encourages staff to take on larger roles in the organization and to become engaged in the processes of improvement. This cannot be achieved in a traditional hierarchal bureaucracy (Swiss, 2005, Zucker 1997). During recession eras, the flatter structure results in short term cost savings as highly paid management staff is eliminated and less experienced, lower paid staff are hired.

**Incentives**

After a target is measured, managers will often provide incentives for meeting a target or sanctions if a target is missed. Incentives are categorized as budgetary when the revenue to an organization is increased or decreased or pecuniary when pay is adjusted in relation to performance (Boyne 2010). Boyne suggests guiding principles for the application of incentive systems:

11. The positive effect of a target is strengthened by budgetary incentives for organizations.
12. The impact of a target is moderated by perceptions of the fairness of the distribution of pecuniary rewards.
13. The impact of monetary rewards is moderated by service motivation.
14. The provision of incentives for meeting targets is negatively related to performance on the criterion of equity.

As would be expected, it is proposed that targets with rewards or incentives attached garner more effort and attention by management.
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In government, the desire for staff to attain pecuniary rewards is moderated by the desire to provide a public service to the community (Brewer 2010, Boyne 2002). The gravity of this effect is debated and is likely to vary by institution. However, individuals in public institutions tend to work in groups and tend to work toward group results. If the distribution of rewards among group members is seen as unfair or uneven, group members may begin to slack or even sabotage outcomes. Inter-group conflict can then result in lower target achievements (Swiss 2005).

1.2 What do Planners do?
The role of the planning profession has morphed and changed over time as a reflection of history. The field of planning in the United States in the early part of the century took a pragmatic approach to planning and focused on the physical aspects of planning. Over time planners have advocated for social change, supported economic development, acted as visionaries for the future, as political negotiators and more recently, they have been seen as customer service agents. The field of planning has grown from pure rational analysis of physical space into many different subfields. In fact, the APA website lists 46 different planning divisions or specialty areas (planning.org 2014).

Brooks argues that planning is not a profession but a loose organization of individuals pursuing three goals 1) the problems and/or development processes occurring at one or more levels of human organization, ranging from the neighborhood scale to the global; 2) an orientation to the future, whether short run or long run; and 3) the employment of planning processes or strategies” (Brooks 1993, 143-144). The daily tasks of practicing planners will change with the social, political and economic climates and the function of
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planners will change with that. He describes the changes through the decades. In the 1960’s and 1970’s, the profession generated social planners as a result of social unrest in the nation. In the 1980’s, planners responded to economics of the times by becoming experts in joint public/private ventures or “technocratic facilitator[s] of private profit “(Brooks 1993, 144, Talen 1997). Literature in the recent past has focused on the planner as customer service agent (Zucker 2012). Mandelbaum discusses the planners place in history and notes a desire for planners to remove themselves from the political sphere and instead see themselves as agents of future change (Mandelbaum 1985).

Planners have taken many roles throughout history, but it is apparent that the role of the planner is not limited to the construction of physical spaces or the provision of customer services.

In the context of Louisville Metro Planning and Design Services, planners were traditionally tasked with

- application of historic preservation regulations,
- construction and application of the Comprehensive plans,
- construction and application of Neighborhood plans, and
- case management which consists of Development plan review and involves adjudging consistency with zoning code (the codification of the comprehensive plan) and neighborhood plans and involves evaluation of whether or not deviations from the zoning code are appropriate in light of the comprehensive plan. The results of this analysis are then presented to the appropriate board, committee or commission.
In Louisville, the comprehensive plan provides the legislative backbone for the construction and application of the zoning code and the development of neighborhood plans. The comprehensive plan outlines a set of goals defined by the community and intended to guide the physical growth of the metro area. It is approved by the planning commission and by city council. By state law, a comprehensive plan is intended to be a plan “which shall serve as a guide for public and private actions and decisions to assure the development of public and private property in the most appropriate relationships. The elements of the plan may be expressed in words, graphics, or other appropriate forms. They shall be interrelated, and each element shall describe how it relates to each of the other elements.” (KRS 100, 2014, no page) For a full description of comprehensive plan requirements see Appendix A.

A neighborhood plan is a legal document approved by the planning commission and the Metro Council, which serves as the guiding document for development within neighborhoods. These plans are typically initiated by neighborhood groups and are developed after lengthy community involvement. (Louisville Metro Planning and Design Services, 2007).

A development plan is a plan that is submitted by an applicant to the Division of Planning and Design services for review. Plans are reviewed against the comprehensive plan, neighborhood plans, and zoning code. Plans that deviate from the zoning code must request appropriate variances and waivers from the code. Plans are also reviewed by other agencies such as the Metropolitan Sewer District and Air Pollution Control District for
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compliance. Plans are then typically scheduled for the hearings before the appropriate board or commission.

Plans within historic districts and/or overlay districts are reviewed by staff against design guidelines set by the Landmarks Commission and may either be approved by staff or the Landmarks Commission.

1.3 PLANNING AND PERFORMANCE MEASUREMENT

In the early 1990’s when TQM was first introduced into government, a scholarly interest in the subject peeked in the planning community. A wide variety of measures of planning success, quality and good or bad planning were discussed and suggested for use. Recent literature builds on that knowledge base, but focuses on using GIS as a tool for measuring physical change after the implementation of a plan. The literature suggests many qualitative and quantitative ways of measuring the success of planning efforts.

Baer conducted a review of the techniques of plan assessment (1997). He discusses a wide variety of methods for plan analysis. In fact, he notes that plans can be assessed before or after implementation. Plans can be assessed by success of the plan creation process, by the intended outcome of the plan versus the actual, by the general positive effects of the plan on the community and by what would have happened if no plan had been created. He even suggests that plans can be evaluated by the community or by a group of professional planners. He goes so far as to create a list of suggested evaluation criterion (Appendix B). Alexander and Faludi suggest a wide range of evaluation criteria covering the fields of policymaking, planmaking, operational decisions, implementation and the impacts of plans
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(1989). Lawless suggests measures such as leverage of public to private sector investment, square footage of commercial space provided and jobs or training places created (1991).

Talen separates the process of measuring the success of planning into 6 different steps shown in Figure 2 below. She notes that available literature on the subject falls within the first four steps and stops with suggestions to the question of how to measure success.

![Figure 2: Steps in measuring planning success](image)

Alexander offers an alternative approach to plan evaluation. He believes that evaluation of plans should be based on the planning rights of the plan consumers (ie citizens and development professionals). Planning rights can be split into two categories, procedural planning rights and substantive planning rights. Procedural rights are those that are most often measured in the planning such as the right to a fair and consistent planning process and the right to be heard at a planning hearing. These have been discussed in the planning literature outlined above and are the “low hanging fruit” of plan evaluation. The other set of rights are substantive rights. These can be judged from evaluation of the content of the plan itself to ensure that implementation will not impair the fundamental planning rights of consumers. He develops 6 criterion for substantive plan evaluation. I will include a brief description of each criterion for illustrative purposes. These are as follows:

![Figure 3: Steps in evaluating the planning process](image)
1) Transparency- a plan “must be transparent enough for the reader to understand the planner’s and decision maker’s decision making process and considerations in developing and approving it.” (2010, 206)

2) Consistency- “conformity between a plan’s espoused objectives... and the legislated purposes of the planning undertaking” and “consistency between a plan’s anticipated impacts and its own documented purposes” (2010, 206).

3) Human Dignity- “Consistent with recognized social rights or acknowledged norms for minimal living conditions” a plan cannot create or perpetuate living conditions that violate basic standards of human dignity” (2010, 206).

4) Equality- “neither a plans provisions nor its expected effects may discriminate between affected individuals or groups” (2010, 206-207).

5) Property- “whether a plan’s provisions or impacts impair any affected parties’ property rights” (2010, 207).

6) Public Interest- “a plan that does not enhance or reduces the welfare of the residents of the designated planning area is not in the public interest unless the plan or its accompanying documentation demonstrates compelling public policy considerations in support of its provisions (2010, 207).

These criterion may at first glance appear immeasurable. However, I would argue that the comprehensive planning process is designed to define what these terms mean to the community in physical terms. The comprehensive plan is the basis for all other planning functions, and if planners can ensure that the 6 criterion are implicit in the comprehensive plan, then the comprehensive plan can become a guiding document not only for staff of the planning commission, but also for management developing indicators and targets for those evaluating the efficacy and efficiency of those staff.

A fairly recent addition to the application of evaluation of planning efforts is the utilization of GIS technologies to analyze the spatial impacts of plans over a defined timeframe (Long 2010).

1.4 The case of Louisville
The first step toward TQM and performance Management in Louisville took the form of a process audit conducted in April of 2011. The audit team consisted of four committees: main committee, interview/data gathering committee, process mapping committee, and
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best practices committee. The interview/ data gathering committee conducted surveys and interviews of staff, committee and commission members and external stakeholders. The process mapping committee was unable to formally map the processes of Planning and Design services due to time constraints, but after some training on the basic techniques of performance management, the group offered suggestions for improving performance. It should be noted that all processes were mapped as part of the creation of a new case management system and that information was available to managers during the goal creation phase of the first PDCA cycle. The best practices committee conducted surveys and interviews of peer cities to get an understanding of best practices in the field of planning. Planning and Design Staff, BOZA members and Planning Commission Members were not appointed to these committees. This research will utilize the surveys and interviews conducted by the interview/data gathering committee and the final report drafted by the main committee (Planning and Design Services 2014)

An important component of implementation of TQM is including staff in the process of continuous improvement. The process of inclusion and mutual respect got off to a rough start in Louisville and led to a distrust of management. When the performance review survey was circulated to staff, they were not informed that the survey would be used as part of a larger performance audit of the department. The email from Human Relations simply said it was a staff survey gathering ideas for change. Additionally, the survey contained a statement of confidentiality, which was perceived to be breached by staff when the performance review team reported the contents of the survey responses in full on the Division website giving each staff person a number instead of a name. Because the size of the staff is so small and each person was asked to describe his or her job function, staff
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could be easily identified by the responses. A group of staff even printed out the survey and attempted to label each survey respondent. This initiated feelings of distrust and some in-fighting among the staff. After the performance audit was underway, one influential member of the Planning and Design Services Performance audit team and a major contributor to the Fischer campaign, compiled his own plan for the reorganization of the planning Division which was circulated to planning management and which management forwarded to Planning and Design Services Staff. The team member is a zoning attorney whom represents the development community. The plan noted that planners could “be told what to do and what not to do, and most can even be convinced to behave and thus handle their jobs differently.” (Shaw 2012). It was a misstatement of the intent of TQM and the philosophy of kaizen that made it difficult for staff to embrace changes suggested by the performance audit. The plan suggested changes to the function of the division and foreshadowed changes to the organizational structure when it further noted that planning staff “have strayed form the ministerial application of the law to the discretionary realm” (Klepal 2011). The director of the department supported that statement and was quoted by the local news. He stated, “Ours is a technical review... in terms of how well a proposition matches with expectations of the code and comprehensive plans,” (Klepal 2011). These opinions were influential in the attitude of the staff during the implementation phase.

The next step in the implementation of TQM was the establishment of the The Office of Performance Improvement (OPI) in 2012. The office is tasked with strategic planning, performance management and continuous improvement consulting and training.
The strategic plan or “Vision Louisville” is a cross departmental strategic plan for the city. OPI assists departments in implementation of the goals and initiatives outlined in the plan. OPI provides professional assistance in the creation of Departmental strategic plans and ensures all departments follow the yearly PDCA cycle. Although the goals and programs are reevaluated annually, the plan covers several years (OPI 2014). The Division of Planning and Design Services is included in the strategic plan for the Department of Codes and Regulations at this time.

OPI manages the metro-wide performance management system, Louisville Statistics or “LouieStat”. LouieStat utilizes information already found in the data-systems implemented in metro departments to track performance. For example, LouieStat utilizes the data entered into the time keeping program to track the number of employees with high sick leave consumption and the number of hours lost to work related illness or injury and then sets targets for improvement. Then, management holds meetings every 6-8 weeks to assess performance. (OPI 2014) Currently, there are no division specific metrics for Planning and Design Services utilized by LouieStat. However, the new case management system, Hansen8, would be capable of producing data for use in PM.

The third task of OPI is to embed a culture of continuous improvement in Louisville Metro. They do this by managing cross-functional interdepartmental teams to address metro-wide issues and providing training on Six Sigma, Lean and TQM. (OPI 2014) OPI utilizes the Influence Model to implement continuous improvement. The model has four components. The first is to let employees know what is expected of them in an understanding way. The second is to implement formal structures and processes to support desired behaviors. The
third component is to offer training to employees so that they can implement change and the fourth is to encourage role modeling by ensuring that senior staff are modeling the desired behaviors. The process of implementation involves collaboration with a local life insurance company, Humana for Lean Six Sigma training. Once employees are trained in the use of Six Sigma they are expected to work with others in their departments to implement the principles (Mott 2014).

The first program to be implemented using the Six Sigma processes is the Louisville Statistics Program or “Louiestat”. The program was embedded in 20 out of 21 departments in Louisville Metro Government over a period of 2 years (Mott 2014).

Concurrent with the implementation of TQM, Louisville Metro received a 4.8 million dollar grant from Bloomberg Philanthropies to encourage innovation in government. The money was be awarded over a 3 year timeframe and was matched with funds from the city. The grant covered five core projects, one of which is to improve the zoning process in Metro Louisville (Bailey 2012). Because funding and resources were available for the necessary improvements, Mayor Fischer’s office and the management of Louisville Metro Planning and Design Services placed emphasis on the rezoning process throughout the PDCA cycle. The funding allowed the city to hire an “Innovation Delivery Team” tasked specifically with implementing changes to accomplish the goal of revamping the zoning process and to hire a management expert, Paul Zucker, to review the zoning process.

2. METHODS
I conducted an explanatory case study of the implementation of TQM and PM in a public planning division during a time of economic recovery, Louisville Metro Division of Planning
and Design Services from 2011 to 2014. I used data gathered online and participant observation research as a former staff member of Louisville Metro Planning and Design Services from 2009-2013. I chose this time frame because the great recession exacerbated some of the intrinsic difficulties of implementation of TQM and PM in the public sector and specifically the field of planning. Additionally, because 2011 marked the initial phase of the application of TQM and PM in Louisville Metro, an extraordinary amount of data was available that permitted in-depth analysis. First hand knowledge as a former staff member gave me insight into the unit of analysis, the Louisville Metro Division of Planning and Design Services.

I conducted the case study according to the methodology put forth in Bruce Berg’s Qualitative Research Methods for the Social Sciences—6th Edition (2007). In this instance, the case study method was used to provide an in-depth analysis of an organizational theory as applied to a group in a particular context (Berg 2007). A case study is an appropriate method to analyze the implementation of TQM and PM because it allows the researcher to examine available data in the context of the planning profession during the recovery from the Great Recession. The implementation of TQM and PM in Louisville Metro was affected by outside forces unique to this time period and location that did have an impact on the effectiveness of the implementation efforts.

2.1 Case Study Design
The case study assessed the definition of customer, the definition of quality and success, and the outline of planning processes identified for improvement by the Performance Audit Team using research in the field of Urban Planning. Next, the vision, mission, goals,
indicators and targets included in the Codes and Regulations Six-Year Plan and “LouieStat” were evaluated using Boyne’s guiding principles for the implementation of PM. Then, the goals, indicators and targets included in Codes and Regulations Six-Year Plan and “LouieStat” were compared against the goals and indicators drafted by the Performance Audit Team categories of goals chosen for implementation/omission are identified and discussed. Finally, information from local media, the Metro Louisville website, and first hand observation is used to evaluate which goals and indicators are in the process of implementation.

2.2 DATA:
Because the Fischer administration stressed transparency and open government as part of the TQM process, surveys administered during the TQM process, reports outlining proposed changes, statistical information related to performance measures and frequent press releases outlining progress was available online.

2.2.1 PLANNING AND DESIGN SERVICES PERFORMANCE AUDIT SURVEYS, INTERVIEWS
This research utilized the surveys and interviews conducted by the interview/data gathering committee of the Planning and Design Services audit team and the final report drafted by the main committee of the Performance Audit Team.

Surveys were sent to staff and external stakeholders including neighborhood groups and development professionals. Staff Surveys include those sent electronically to Planning and Design Division Staff (which included the long-range planning team) and a 3-person team of Transportation planners that work in tandem with the Planning and Design staff on development reviews. There were thirty-six (36) staff responses to the survey. I was included in the staff survey sample. Support staff and planning technicians were included
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in this survey. The discussion of Planning and Design Staff will include the planning commission and BOZA support staff, historical preservation staff and the long-range planning team. During the course of implementation of TQM, the long-range planning staff was transferred to the Economic Development Department. Because the data used for evaluation was gathered within the Planning and Design Division, planners in other departments such as Economic Development, Housing and Community Development, and Transportation will not be discussed.

The external stakeholder survey developed as part of the process audit identified 14 different stakeholder groups: commercial real estate broker, real estate developer/builder, contractor, architect, engineer, land planner, Planning Commission/Board of Zoning Adjustments, overlay/preservation district, Architectural Review Committee, neighborhood association, preservationist/environmentalist, concerned citizen. For the purposes of this case study, the term development professionals will include land developers and the architects, landscape architects, surveyors and lawyers that they employ.

The Main Committee of the Performance Audit Team used the data collected in these surveys along with in-depth interviews of these same groups and recommendations from a committee with the Performance Audit Team, the Process Committee, to develop a set of recommended goals and indicators. The goals and indicators were submitted as part of the final report to Mayor Fischer’s Office.

2.2.2 PERFORMANCE MEASURES ADOPTED BY THE DIVISION
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I compared the goals and indicators submitted for review by the Performance Audit Team with the goals and indicators adopted for the Division of Planning and Design Services in the Codes and Regulations Six-Year Strategic Plan and “LouieStat” Data from the Office of Performance Improvement website. Planning and Design Services is a division of the Department of Codes and Regulations.

2.2.3 ADVERTISED CHANGES TO THE DIVISION
I conducted a search of the local newspaper, The Courier Journal, press releases by the mayor’s office and by the office of Planning and Design Services, and the content Planning and Design Services website to determine how management implemented the primary goals suggested by neighborhood groups, development professionals and staff have been implemented. I also had first hand knowledge of some of the goals implemented.

3. ANALYSIS

3.1 DEFINITION OF PLANNING PROCESSES
The processes attributed to the Planning and Design Division resemble the traditional role of planners as technical professionals involved in the process of physical development. The director of the Department of Codes and Regulations stated, “Ours is a technical review... in terms of how well a proposition matches with expectations of the code and comprehensive plans,” (Klepal 2011).

Processes included for review in the performance audit are listed below.

- Case Management: Development Plans, Waivers, Variances, Rezoning, Conditional Use Permit, Minor Plats, Subdivision (major), Category 3 Plan Approval, Category 2B Plan Approval, Landscape and Tree Preservations Plans
- Non-Conforming Rights Determination
- Administration Appeals
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- Staff Determinations
- Overlays, Landmarks

These processes are identified in a final report to Mayor Fischer’s Office from the process review team during the audit and were targeted for improvement in the Codes and Regulations Six-Year Strategic Plan.

In the midst of the audit process, Mayor Fischer revised the organizational structure of the Division of Planning and Design services and reassigned the long-range planning staff to the Economic Development Department to assist with the Vision Louisville Strategic Plan for all Metro Departments. Although long-range planning is still listed as a function of the Division of Planning and Design Services on the Metro website, the functions and responsibilities of the long-range planning team have not be reassigned. The long-range planning team staff was included in the staff surveys and interviews and external stakeholder surveys reveal an assumption that they are also evaluating the long-range planning team. The Performance Audit Team did collect data concerning the long-range planning team, but was not incorporated in the final vision and performance measurement process. The data is relevant to this research because it sheds light on what the community feels is good customer service and the data is reflected in the goals and indicators suggested by external stakeholders included in the performance audit.

3.2 DEFINING QUALITY CUSTOMER SERVICE

While the terms quality customer service and successful planning are not actually defined as part of the process of creating performance measures, questions included in the external stakeholder survey and responses by planning staff to the question “Are there any
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measures you use to determine if you are doing a good job?” in the staff survey offer some guidance on defining quality for the Division of Planning and design Services.

The questions in Table 1 below illustrate different dimensions of quality as described in a traditional private sector view of TQM. Question numbers do not correspond to numbers in the survey and are used for reference to this table only. Question 1 probes different dimensions of the processes of plan review. Question 2 illustrates the dimensions of good planning such as consistency, objectivity and advocating of good design. It strays outside the realm of traditional TQM by including advocates of good design and advocates of good planning. Question 3 alludes to the TQM principle of quality where quality is receiving the expected product. Question 4 evaluates of the kaizen philosophy of teamwork. It asks how well the division coordinates as a team.

**TABLE 1: QUESTIONS INCLUDED IN STAKEHOLDER SURVEY (PLANNING AND DESIGN SERVICES 2011)**

<table>
<thead>
<tr>
<th>1) Please rate your experience with the following aspects of their work?</th>
<th>2) In your experience, how frequently has the staff of the Planning and Design Services Department acted in the following ways?</th>
<th>3) I have confidence that the Planning and Design Services Department will deliver the services I expect (responses indicated on Likert Scale)</th>
<th>4) Please rate the following aspects of the Planning and Design organization:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Overall timeliness of review process</td>
<td>• Decisive and Clear</td>
<td>• The quality of decisions made outside the group</td>
<td>• The quality of decisions made</td>
</tr>
<tr>
<td>• Keeping you informed throughout process</td>
<td>• Consistent</td>
<td>• The consistency of decisions made</td>
<td>• The speed of decisions made</td>
</tr>
<tr>
<td>• Making process understandable</td>
<td>• Objective in their decisions</td>
<td>• The level of management support</td>
<td>• The level of communication within the group</td>
</tr>
<tr>
<td>• Setting reasonable timeframe for when reviews will be completed</td>
<td>• Advocates of Good Design</td>
<td>• The quality of decisions made within the group</td>
<td>• The quality of decisions made within the group</td>
</tr>
<tr>
<td>• Responding promptly to questions &amp; info requests</td>
<td>• Positive Attitude</td>
<td>• The level of teamwork</td>
<td>• The level of teamwork</td>
</tr>
<tr>
<td>• Making services of Planning &amp; Design Dept accessible</td>
<td>• Advocates of Good Planning</td>
<td></td>
<td>• The level of communication with external stakeholders</td>
</tr>
</tbody>
</table>
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When asked, "Are there any measures you use to determine if you are doing a good job?”, the planners at Louisville Metro illustrate the wide range of definitions of quality described in the planning literature. Below are responses representative of the sample.

- I review my cases within the time allotted and that they have been reviewed with 100% accuracy with equal treatment to a homeowner and UPS.
- Customer satisfaction cards and yearly evaluations.
- Positive feedback from managers, but mostly its compliments and thanks from people I've helped.
- I see the results of my work operational and built and sometimes thriving – whole neighborhoods with promise for the present and the future, commercial corridors that are the true economic engines of this community, feedback from the public that says we are striving to keep Louisville uniquely Louisville.
- Finding solutions to problems that work for everyone is a sign of a good job.

Responses indicate a view that planning quality is about customer satisfaction, consistency, and timeliness as suggested in traditional TQM literature, but there are dimensions unique to the profession such as seeing good development and “finding solutions that work for everyone.” This suggests a need for a revised definition of quality geared toward the planning profession specifically.

3.3 VISION
The vision and mission statements were developed for the Department of Codes and Regulations. The statements are included below and are followed by analysis.

Vision:

A Safe Sustainable Well Planned & Code Compliant Diversified Community.

We can accomplish our vision by being the most proactive, seamless, transparent and integrated department possible while ensuring successful implementation of
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our mission utilizing technology, training and teamwork to reduce costs and improve customer service. (Codes and Regulations, 2013)

Mission:

Promote and ensure quality and sustainable land use, construction, community design, and on-going property maintenance to support continued economic growth and physical development, ensuring prosperity, health and safety, and the general welfare of all the citizens and visitors in our community.

The vision and mission statements echo concerns of stakeholder groups mentioned during the process audit. Key concerns highlighted by the audit were sustainability, economic development, code compliance and general welfare of the community. The statement is broad enough, yet pointed enough to garner support from the external stakeholders. The second sentence of the vision statement states that the vision will be implemented utilizing TQM, “successful implementation of our mission utilizing technology, training and teamwork to reduce costs and improve customer service” (Codes and Regulations, 2013). A vision and mission statement targeted directly to the Division of Planning and Design Services could be less broad and more specific to the customers of the Division. This would permit management to construct more specific goals and targets.

3.4 INDICATORS AND TARGETS

The performance measures used for Planning and Design Services are broad and meld strategic planning processes with performance management. The numeric targets are attached to wide goals rather than specific targets aligned with indicators (Table 2). The LouieStat system used Metro-wide employs standard measures of performance associated with sick leave and other human resource concerns (Table 3).
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<table>
<thead>
<tr>
<th>Goals</th>
<th>Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Increase on-line services available to customers by 80% by FY 2015</td>
<td>Increase the number of on-line application processes available to customers Implement on-line services that enable customers the opportunity to plan, permit and pay for a license and/or permit without direct interface with a customer service representative Expand the number of case files that are available to customers through a searchable on-line database Establish a push pin map base to provide more customer-friendly information about construction-related permits, specialty licenses and property maintenance cases</td>
</tr>
<tr>
<td>2) Improve customer satisfaction through reduced cycle times (by 20%), better communications, and predictable out come by FY 2014*</td>
<td>Complete a comprehensive review of the current rezoning process, establish improved procedures with the objective Review existing zoning process with assistant from Innovation Delivery team Implement an exit survey Shorten development review cycles Remove causes for process defects Minimize process variability Achieve stable and predictable outcomes Provide measureable improvements</td>
</tr>
<tr>
<td>3) Complete the Land Development Code revisions by FY 2014; Complete the minor Comprehensive Plan Update by FY 2014</td>
<td>Continue to work with the Land Development Code (LDC) Committee to review and revise the existing LDC Incorporate the latest census information into the minor comprehensive plan revision Start the adoption process for both revisions/updates</td>
</tr>
<tr>
<td>4) Conduct a major Update to the Comprehensive Plan by FY 2018</td>
<td>Work with other agencies to incorporate the Vision Plan, Sustainability Plan and KIPDA regional Plan into the Comprehensive Plan Secure funding to carry out the project</td>
</tr>
<tr>
<td>5) Digitize all existing records and move forward with digital/paperless records for all divisions</td>
<td>Work with I.T. and Archives Acquire new hardware and software Provide training to staff</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>TABLE 2: CODES AND REGULATIONS STRATEGIC PLAN GOALS AND INDICATORS (CODES AND REGULATIONS 2013)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>TABLE 3: LOUIESTAT PERFORMANCE MEASURES 2012-2014</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Measure</th>
<th>Level 10-3-2012</th>
<th>5/30/13</th>
<th>Level 4-18 Of Goal Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dollars Spent on Overtime*</td>
<td>26,812</td>
<td>39,646</td>
<td>155, 273</td>
</tr>
<tr>
<td>Overtime Hours Paid*</td>
<td>Not available</td>
<td>1390</td>
<td>5071</td>
</tr>
<tr>
<td>Hours Not Worked</td>
<td>Not available</td>
<td>17,409</td>
<td>15,483</td>
</tr>
<tr>
<td>Hours Lost to Work Related Illness and Injury</td>
<td>110</td>
<td>520</td>
<td>445</td>
</tr>
<tr>
<td>Employees with High Sick Leave Consumption</td>
<td>52</td>
<td>43</td>
<td>30</td>
</tr>
</tbody>
</table>

*PLANNING AND DESIGN IS NOT APPROVED FOR USE OF OVERTIME

Because the processes targeted for improvement did not include plan making and implementation, the goals, indicators and targets do not include measures of quality and success related to those processes. It can be deduced from a review of the literature on quality planning that these processes and measures should be included in the implementation of TQM.
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At this point in the analysis, it is important to revisit Boyne’s guiding principles for the creation of performance indicators and targets. I will use these guiding principles to analyze the performance indicators and targets included in the Strategic Plan and the LouieStat System and look for areas of improvement.

1. “Performance indicators are more likely to lead to better service results if they focus on outcomes rather than outputs or activities.”

The indicators chosen for inclusion focus on broad outcomes rather than specific outputs. In fact, some goals such as “remove causes for process defects” and “minimize process variability” may be overly broad. The LouieStat indicators focused on the outcomes of reduction of sick leave consumption and hours not worked and the numbers above illustrate that managerial efforts have been effective.

2. “The positive relationship between indicators that focus on outcomes and service results will be weaker when such outcomes are viewed by managers as ‘uncontrollable’.”

Many of the goals for the department are outside of the direct control of management and planning staff. The outcomes and services targeted for improvement are attainable with financial support from the Mayor’s office and the Bloomberg grant. Many of the goals will require political support from senior management and may fail to be fully implemented if support for the improvement is withdrawn. Cross-functional teams will be integral to the implementation of goals of increased online services and updates to the Comprehensive plan that include goals of several agencies.

The LouieStat indicators focusing on the outcomes of reduction of sick leave consumption and hours not worked were not viewed as uncontrollable by management. Staff were
targeted for improvement at emails sent periodically when sick leave fell below a certain level.

3. “The relationship between the number of indicators and service performance resembles an 'inverted U'”. Because this process is new to Louisville Metro, only management will be able to determine if the number of indicators is appropriate to maximize service performance. This analysis does not have any data to support review of this principle.

4. “Performance indicators that are adjusted for 'degree of difficulty' will have stronger positive effects than raw performance indicators.”

and

5. “The positive effect of performance indicators that are adjusted for 'degree of difficulty' will be stronger if they can be easily interpreted by internal and external stakeholders”.

It is not apparent that any indicators were adjusted for degree of difficulty. However, targets attached to goals are vague and difficult to understand. It is not clear what an 80% increase in online services will mean for the department. It is unclear how the number of online services currently available.

6. “A target boosts performance on the indicator that is targeted.”

and

7. “A target cuts performance on indicators that are not targeted.” The goal/ target of "Increase on-line services available to customers by 80% by FY 2015” will be more readily implemented than the goal/target of “Digitize all existing records and move forward with digital/paperless records for all divisions” because the scope of the improvement desired within the timeframe has been defined.
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The LouieStat indicators are attached to specific targets and the targets have been adjusted annually to reflect progress. The numbers above illustrate that the targets have been effective. Targets set by the LouieStat are clear and accessible to management. Future expansion of TQM and PM in the Division of Planning and Design Services could include indicators of process improvement automatically calculated by the Hansen8 System.

8. “The relationship between the number of targets and service performance resembles an 'inverted U'.

The small number of targets should encourage performance to increase in the areas targeted. An assessment of the goals implemented in the next section indicates that the goals included in the Six-Year plan for Codes and regulation are already being implemented successfully.

9. “The relationship between targets and performance is moderated by managerial gaming”.

Because this process is still in the early stages it is unclear if managerial gaming is having an effect on performance.

10. “Consultation with staff responsible for achieving a target is likely to moderate the link between target setting and performance; in particular, the relationship between the extent of consultation and service performance will resemble an inverted-U.”

Goals assigned to members of the Planning and Design staff will be easier to attain because management can have frequent direct consultation with the staff and a greater managerial oversight on the process of implementation. Many of the goals and indicators require reliance on other metro departments for implementation. Service performance on those goals will be mitigated by the amount of consultation management can have with those departments.
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The LouieStat indicators focusing on the outcomes of reduction of sick leave consumption and hours not worked were particularly effective because front-line management could meet with staff regularly regarding a defined issue and encourage ownership where issues were apparent.

3.4.1 Goals/Indicators suggested by Audit and Included/Not Included in Strategic Plan

Of the 55 goals/indicators suggested by the Performance Improvement Team, 21 were represented in the Codes and Regulations Six Year Plan (Appendix C). It is expected that not all goals could be incorporated into one six year plan and it is anticipated in efforts such as these that the goals suggested by the stakeholders may not be logistically feasible due to budgetary, time or legal constraints.

Of the goals included in the Codes and Regulations Six-Year Strategic Plan (2013), all were identified as areas for improvement by the Performance Improvement Audit Team. Some of the goals omitted are discussed below. The goals omitted support the need for increased sensitivity to the neighborhood groups as a customer in the planning process.

Inclusion of Citizens Groups in processes: The goals/indicators implemented focus on giving the neighborhood groups more information on cases, processes and hearing dates, but take away their power in the process of goal creation for their communities. Goals such as notification of changes proposed to the land development code, notification of formal staff interpretations, and more inclusion of neighborhoods in hearing processes were not included in the plan or implemented. Many of these goals are “soft” goals and are immeasurable, but many could be implemented to increase inclusion of neighborhood groups and citizens in the planning process. It won’t matter how many citizens show up at
a hearing or how informed they are if they do not have any power through neighborhood
and comprehensive plans to create regulation of development plans. This is especially true
when a successful planning process is one that approves plans that meet all regulations.

**Review of Legal aspects of procedures and requirements:** Items relating to legal
requirements for hearings were not included in the six-year plan and it is not evident that
the goals were implemented. There may be many reasons for this. I speculate that the
goals are being addressed internally and no evidence of the review is available or that the
goals are beyond the scope of the management staff charged with implementation.

**Enforcement of Zoning Regulations/ Development Plans:** After a development plan is
approved by the appropriate body, there is no formal mechanism to ensure that the plan in
constructed according to the plan. Often, changes are made to a plan or additional
restrictions referred to as binding elements are attached to plans to remedy perceived
negative effects of a development on nearby communities. Binding elements can include
increased screening requirements, limits on the uses of the property, restrictions on
signage, etc. Currently, the zoning enforcement team is reactionary and does not operate
under the Division of Planning and Design Services or Construction Review. They are a
separate entity under the Department of Codes and Regulations and are minimally staffed
(3 people) to address zoning infractions reported by citizens. The Zucker review of zoning
processes also included a recommendation to discuss zoning enforcement concerns with
citizens groups (2012). Even though this was noted as a concern by all parties and
identified as a recommendation for improvement by a professional evaluation of the
process, it was not addressed. It is difficult for planning staff to determine whether a
PM TECHNIQUES IN TIME OF ECONOMIC RECOVERY

development plan reviewed by staff produces quality results if no person is responsible to evaluate the physical outcome of the plan. Evaluation of implementation of development plans could provide valuable feedback for updating the zoning code and staff processes.

3.5 Evaluate and Implement Change
The final steps in the PDCA cycle to Check and to Act. As discussed in the literature review robust data, capacity and incentives are integral to these steps. The availability of robust data from external stakeholders, the capacity of the management staff to implement the changes required and the incentives offered for target attainment have implications for the efficacy of TQM during a recession and the power differentials between stakeholders and staff.

Robust Data The data collected from staff and external stakeholders during the performance audit proved invaluable to the implementation of TQM in Louisville. It is important that regular data collection continues to inform the process. One indicator was to implement an exit survey for customers. Currently, there is a link online for anyone who would like to submit suggestions to the division, but surveys for registered neighborhood groups could also be sent out regularly to ensure that their opinions are included in the process of improvement. When customer service is rendered in an informal capacity through phone or contact with front-line staff not resulting in hearings, contact information could be requested on a voluntary basis and customer feedback solicited. If all customers are not included in the feedback loop, they risk being omitted from future iterations of the process.
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Capacity

Training for Continuous Improvement-

Increased training for staff was recommended by the Performance review audit and implemented as a goal in the Codes and Regulations plan. There is no available data indicating that staff have more access to training.

Firing- Management did not use firing as a technique for performance improvement. Staff were reallocated to other divisions in some circumstances. For example, two underperforming staff members with recorded incidents requiring management redirection were transferred to other divisions. Management staff noted that the staff had skillsets that were more appropriate in other environments.

Budgets- As a result of the TQM process, a request for increases in fees charged for planning services was sent to Metro Council for approval.

As a requirement of the Bloomberg grant received by Metro, the budget for planning and Design services was increased to improve zoning processes.

Changes to organizational hierarchy- In 2003-2004, the city of Louisville merged with Jefferson County and the structure of the Planning and Design Services Division underwent several changes. In 2009, the Planning and Design staff was placed under the span of control of the Department of Codes and Regulations, which issues building permits and enforces the property maintenance code. Staff saw this as a departure from their previous roles as a “design” department. It was perceived that their new role would be solely a step in the permitting process. In 2011, the Planning and Design Division fulfilled the roles of
zoning plan review, long-range planning, and neighborhood planning. That same year, two of the four long-range planning team found other employment and two were transferred to the economic development department to work on “Vision Louisville”, a inter-departmental long-range plan for the city (See Appendix D for organizational chart). The functions of long-range comprehensive planning and neighborhood planning were not reassigned. A current staff member was promoted to provide a thorough update to the code, but there was no longer staff dedicated to conducting community meetings and putting together neighborhood plans. These plans served as the basis for plan review and are still integral to the planning process.

External stakeholder surveys stated the desire of the neighborhood organizations to be involved in all long-range planning activities. The process of putting together a neighborhood plan reminded the community of their integral role in the planning process and gave them an understanding of their power in that process. It allowed them to take ownership of their communities and give planners a concrete vision and goals to rely upon during planning commission hearings through collaborative planning processes. It gave planners legitimacy by allowing them to speak not for themselves, but for communities.

In his 2012 review of the zoning process in Louisville, Zucker echoed this concern. Although it was outside of the scope of the study, he felt compelled to comment on the small size of the long range planning team at that time, 3 to 4 team members. In a survey of 50 major cities, 90% had long-range planning in the same department as the plan review staff. Of those that did not have a combined department, the long-range planning function was separated in order to strengthen its functions. Focus groups interviewed as part of
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Zucker’s review suggested “the move in Louisville was to remove consideration of planning issues in the zoning and other development processes” (Zucker 14). One of the goals for the Planning and Design Services staff included in the strategic plan is a complete update to the comprehensive plan by 2014. There are currently no staff trained to complete this task within the department.

In 2014, Mayor Fischer’s office announced that the Department of Codes and Regulations would undergo a reorganization and Division of Planning and Design Services will move under the auspices of the Louisville Forward Initiative under the Develop Louisville Department, a new department that “focuses on the full range of land development activities that contribute to traditional economic development” such as land assembly and deliberate placemaking” (Louisvilleky.gov 2014). When the newly appointed director of the department was asked “What opportunities do you see for combining economic development and development activities within Louisville Metro?” she responded “I think that the community at large, especially those who are engaged in this debate couldn’t possibly understand how economic development works today… the reality is, lots of agencies have been doing pieces of (economic development).

The changes in organizational structure have increased layers of hierarchy and reduced the independence of planning staff. The literature review for TQM suggests that this will lead to problems in implementation in the future. The TQM philosophy of kaizen encourages each staff person to take ownership of the problem and learn skillsets out of their traditional jobs. A more hierarchical structure will not preclude this, but the literature suggests a flatter structure is preferable.
Incentives

A 5% increase in pay was awarded to all non-union Planning and Design Services staff in 2012. However, pay still falls well below the average for the field and for cities of comparable size (Zucker 2012).

The incentive was not directly tied to performance. Since 2011, several staff have received promotions into newly created positions such as Planner I’s promoted to Planner II. It is not apparent that these promotions were a result of TQM, but it is possible. It is likely that planners receive rewards in the form of more high-profile or desirable projects. None of this can be directly tied to the achievement of performance measures.

4. CONCLUSIONS AND RECOMMENDATIONS
The Implementation of TQM in Louisville has resulted in positive changes in the Division of Planning and Design Services. Of the items targeted for improvement, all have been improved to some degree. As the system expands and matures, it will be important to develop visions, goals, and performance measures targeted specifically to the planning profession to augment the existing measures of quality. Initial iterations of the program focused specifically on traditional process and customer service improvements while future plans should include the plan creation and implementation processes. Staff must be included in the process of goal creation and process improvement to create a sense of ownership in the process and the need for long range planning as a tool for neighborhood group satisfaction should not be overlooked.
4.1 Can Total Quality Management foster quality planning practices in the Louisville Metro Planning and Design Division?
The changes already taking place in the department prove that TQM can foster quality planning in Louisville Metro Planning and Design Services. Looking at appendix C and Table 2, process times have improved, technological improvements made the process more accessible to neighborhoods and developers alike, and abuse of sick leave has been reduced. Those processes targeted for improvement have seen marked increases in performance. However, the definition of quality planning utilized in the TQM process does not match definitions utilized in the planning field. TQM should be implemented on a broader scale to ensure all definitions of quality are incorporated. Recommendations for the expansion of TQM are included in section 4.4.

4.2 Is Total Quality Management an appropriate management technique for planning agencies during a time of economic recovery?
The case of Louisville Metro provides insight into how TQM can be successfully implemented in a time of economic recovery. Although the performance audit took place during the economic recovery, a wide variety of goals representative of the large group of stakeholders was submitted for consideration to Mayor Fischer’s Office. In this instance, the Bloomberg grant served as a mitigating factor for budget constraints identified as an issue for implementation of TQM in public planning agencies.

4.3 Does the implementation of Performance Management techniques create a power differential that unintentionally gives more influence to the development community?
Good management can ensure the needs of the community and the needs of the development community remain in balance. In the case of Louisville, it appears that the
implementation of TQM has shifted the focus of quality customer service to the Development community. Goals suggested by neighborhood groups requesting more inclusion processes were overlooked, organizational structures shifted to give more focus to economic development needs, and data collection unintentionally focuses on the customers in the development community.

The goals drafted as a result of the stakeholder survey indicated a need for increased communication with neighborhood groups throughout both short range and long range planning processes, yet the goals implemented only increased email notification of hearings and an increase in the amount of hearing information online without making any commitment to inclusion in processes.

In the case of Louisville, organizational structure and the assignment of processes have given the development community more weight in the planning process by aligning customer service expectations with the needs of the development community. The placement of the Division of Planning and Design Services under the Initiative “Develop Louisville” while concurrently removing the long-range planning services identified as very important by neighborhood groups in stakeholder surveys gives the development community more perceived influence in the Division.

Finally, an exit survey for customers going through the development process was instituted with no corollary in the neighborhood groups or larger community. Supporting the assertion by Swiss that the focus of TQM becomes the customer of the immediate service rather than the community at large. This research provides several recommendations for gathering input from the community at large.
4.4 How can the process of TQM be improved in Louisville Metro’s Division of Planning and Design?

The analysis of the implementation of TQM and PM provided a range of recommendations for increased efficacy in the Louisville Metro Division of Planning and Design Services. A synopsis process improvement recommendations is included below.

Utilize a revised definition of quality geared toward the planning profession specifically Expansion of the TQM system within Planning and Design Services would permit a wider definition of quality for the department focusing not only on process improvement but also on product improvement. Several methods of plan assessment could be utilized by the department to ensure that the best development plans, comprehensive plans and neighborhood plans are produced and implemented.

Develop a stand-alone strategic plan for the Division of Planning and Design Services

A more specific vision and statement of goals will allow Planning and Design Services staff to focus on targets specific to the division, will encourage staff participation and ownership of the process and will result in more timely changes within the department. It is clear from the staff surveys that the staff welcome positive change to the department and are eager to participate in change.

Expand the definition of quality planning to include quality plan making and implementation Goals, indicators and targets do not include measures of quality and success related to those processes. If the processes are to be improved, as suggested by
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neighborhood groups, measures of quality and success are necessary to benchmark achievement.

**Expand the definition of Planning functions to include a broader range of planning tasks**

**Define goals and targets more specifically** Some goals such as “remove causes for process defects” and “minimize process variability” may be overly broad.

**Ensure support of goal implementation and creation of cross-functional teams** Many of the goals for the department are outside of the direct control of management and planning staff. Many of the goals will require political support from senior management and may fail to be fully implemented if support for the improvement is withdrawn. Cross-functional teams will be integral to the implementation of goals of increased online services and updates to the Comprehensive plan that include goals of several agencies.

**Clarify targets set** Quantitative targets attached to goals are vague and difficult to understand to the public. Provide information on calculations attached to efforts. Clarification will encourage managers and staff to meet targets.

**Expand LouieStat System to incorporate measures of process quality for the Hansen8 Case Management System** Targets set by the LouieStat system were clear and accessible to management. Future expansion of TQM and PM in the Division of Planning and Design Services could include indicators of process improvement automatically calculated by the Hansen8 System.
Inclusion of Citizens Groups in processes: The goals/indicators implemented focus on giving the neighborhood groups more information on cases, processes and hearing dates, but do not encourage participation in the process of goal creation for their communities. As the TQM expands in the Division of Planning and Design Services, goals related including neighborhood groups in more aspects of the planning process should be considered.

Enforcement of Zoning Regulations/ Development Plans: After a development plan is approved by the appropriate body, there is no formal mechanism to ensure that the plan in constructed according to the plan. It is difficult for planning staff to determine whether a development plan reviewed by staff produces quality results if no person is responsible to evaluate the physical outcome of the plan. Evaluation of implementation of development plans could provide valuable feedback for updating the zoning code and staff processes.

Develop performance measures related to satisfaction of neighborhood groups as customers If the Division focuses on good customer service and the only processes where quantitative measurements are possible are those where the development professional is the primary customer, the only process that will get improved are those that benefit the development professionals. Planning will lose focus on the neighborhood planning groups as a customer.

A looser Divisional budget may encourage training opportunities. In a time of economic recovery, planning managers feel compelled to provide thorough budgets illustrating parsimonious spending. These budgets often leave little room for training and activities related to professional growth. This has been the case in Louisville Metro’s Planning and Design Division since the recession began in 2008. Planning management
literature suggests a looser budget can result in more wiggle room for trainings (Zucker 1997). These trainings can ensure staff have the capacity to implement the changes suggested by management.

**Continue to increase Robust Data available to Management in the “Check” phase of the PDCA cycle** Encourage use of e-government in the form of online surveys to routinely evaluate qualitative measures of performance for both neighborhood groups and development professionals. The surveys utilized in this analysis provide an overview of the problems in the Planning and Design Division in 2010. Continuous improvement requires regular data gathering and goal reformulation. One of the implementation steps is to conduct exit surveys. These should be matched with surveys sent to registered neighborhood groups on a regular basis.

**Encourage flatter organizational structure** The TQM philosophy of kaizen encourages each staff person to take ownership of the problem and learn skillsets out of their traditional jobs. A more hierarchical structure will not preclude this, but the literature suggests a flatter structure is preferable.

**Conclusion**
From the success of the initial stages of implementation of TQM and PM in Louisville, it is obvious that a dedicated and informed team of planning professionals, citizens, and local government appointees donated their time and talent to the performance audit process. This research suggests that the TQM strategy should be expanded in the Louisville Metro Department of Planning and Design Services to involve the staff in the process of continuous improvement, ensure all customers included in the data collected and
represented in the goals selected for implementation, and allow for a wider definition of quality as it pertains to the field of planning. This research will add to the body of scholarly literature on the topic of implementation of TQM and PM in the field of planning by providing a basis for discussion and demonstrating a research design that can be easily adapted to public agencies implementing TQM and PM.

BIBLIOGRAPHY


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**APPENDICES**

**APPENDIX A KRS 100.187 CONTENTS OF COMPREHENSIVE PLAN**

The comprehensive plan shall contain, as a minimum, the following elements:
(1) A statement of goals and objectives, which shall serve as a guide for the physical development and economic and social well-being of the planning unit;
(2) A land use plan element, which shall show proposals for the most appropriate, economic, desirable, and feasible patterns for the general location, character, extent, and interrelationship of the manner in which the community should use its public and private land at specified times as far into the future as is reasonable to foresee. Such land uses may cover, without being limited to, public and private, residential, commercial, industrial, agricultural, and recreational land uses;
(3) A transportation plan element, which shall show proposals for the most desirable, appropriate, economic, and feasible pattern for the general location, character, and extent of the channels, routes, and terminals for transportation facilities for the circulation of persons and goods for specified times as far into the future as is reasonable to foresee. The channels, routes, and terminals may include, without being limited to, all classes of highways or streets, railways, airways, waterways; routings for mass transit trucks, etc.; and terminals for people, goods, or vehicles related to highways, airways, waterways, and railways;
(4) A community facilities plan element which shall show proposals for the most desirable, appropriate, economic, and feasible pattern for the general location, character, and the extent of public and semipublic buildings, land, and facilities for specified times as far into the future as is reasonable to foresee. The facilities may include, without being limited to, parks and recreation, schools and other educational or cultural facilities, libraries, churches, hospitals, social welfare and medical facilities, utilities, fire stations, police stations, jails, or other public office or administrative facilities;
(5) (a) Provisions for the accommodation of all military installations greater than or equal in area to three hundred (300) acres that are:
1. Contained wholly or partially within the planning unit’s boundaries;
2. Abutting the planning unit’s boundaries; or
3. Contained within or abutting any county that contains a planning unit.
(b) The goal of providing for the accommodation of these military installations shall be to minimize conflicts between the relevant military installations and the planning unit’s residential population. These provisions shall be made after consultation with the relevant installation’s command authorities to determine the needs of the relevant military installation.
These consultations shall include but not be limited to questions of installation expansion, environmental impact, issues of installation safety, and issues relating to air space usage, to include noise pollution, air pollution, and air safety concerns; and
(6) The comprehensive plan may include any additional elements such as, without being limited to, community renewal, housing, flood control, pollution, conservation, natural resources, regional impact, historic preservation, and other programs which in the judgment of the planning commission will further serve the purposes of the comprehensive plan.

Effective: June 24, 2003

Appendix B: Suggested Performance Measures in Planning

Adequacy of Context. (Explain the context and setting the what and why of the document. They are not self-evident to the public.)

1. Is the political/legal context of the plan explained (e.g., meeting state mandates, public discussion and consideration, top priority issues)?
2. Is the administrative authority for preparation indicated (Council or Planning Commission resolution, state law, federal requirement, etc.)?
3. Is the role of the preparing agency or firm adequately explained (e.g., a letter of transmittal)?
4. Is background information presented (e.g., reasons for plan's presentation)?
5. Is it clear who the plan is for (e.g., citizens, agency head, city council, board)?
6. Is the purpose of the plan explained (e.g., study, information, decision, action, conveyance of advice)?
7. Is the type of plan and its scope reported early on, to alert the reader about what to expect? (E.g., the reader is alerted that this plan is highly quantitative and analytic; far ranging or narrow; specific, and technical)
8. Is an overview/summary provided (e.g., an "Executive Summary")?
9. Is the source of funding for the plan shown (e.g., federal, state, local, private donor, agency)?
10. Is the amount of time in preparation shown (total person/hours, weeks, etc.)?

"Rational Model" Considerations. (Show basic planning considerations based on underlying theory and its criteria. Even beyond the list here, there are many theories and types of plans. The plan authors must be clear about what they are doing, to transmit clarity to the reader.)

1. Given the type of plan to be prepared, are the plan formulators clear about the criteria they will use to assess its progress while being formulated?
2. Have these criteria been made explicit in the plan?
3. Are problems specifically identified (or only implied)?
4. Are goals and objectives explicitly identified?
5. Is the tone of the plan commensurate with the planning approach recommended (e.g., comprehensive, incremental, advocacy, etc.)?
   a) If the plan is intended to be comprehensive, does it relate substantively to a larger whole (e.g., horizontal relation to other agencies and adjacent governing bodies)?
   b) Does the plan consider the regional or next higher level of government or context (e.g., vertical relation)?
   c) Is there planning for procedural coordination with other plans and agencies?
6. Is the capacity or adequacy of existing infrastructure and organizational systems described?
7. Are alternatives listed, or at least considered?
8. Are the alternatives identified as "variations on a theme," or as radically different?
9. Are trade-offs permitted?

Procedural Validity. (Explain the who and how of the plan-making, inform the reader about what went on in making the plan and what is going on by publishing it.)

1. Who was involved in the plan formulation (e.g., staff from different agencies or departments, citizen groups, politicians)?
2. How were they chosen (e.g., on the basis of expertise, interest, volunteering, or other self-selection)?
3. How were they involved (e.g., discussion groups, internal staff memos or papers, public meetings)?
4. How were data, models, goals, and other pertinent information used in recommending policy or action?
5. How were technical matters transformed into recommended policy (e.g., through "ordinary knowledge," experience, "scientific" training, design training)?
6. Was an advisory group used?
7. Were preliminary drafts circulated for public comment?

Adequacy of Scope. (Show how the plan is connected to the larger world.)

1. Have all possible or pertinent issues been considered (e.g., physical, social, economic, political, psychological, cultural, or design)?
2. Have issues of efficiency and equity and predictability been considered?
3. Has the distribution of costs and benefits among different groups and interests been considered?
4. Have relocation/displacement implications been considered?
5. Have financial/fiscal implications been considered?
6. Have the legal implications been considered?
7. Has feasibility in the larger political context been considered?

Guidance for Implementation. (Most plans are intended to do something. Consider the instruments [ordinances, regulations, budgets, schedules, etc.] and the agencies and persons responsible for making the plan work. Should they be included? [A vision plan would not have an implementation aspect; rather it would have a section dealing with "the next steps."])

1. Are implementation provisions appropriate in the plan?
2. Are there priorities for implementation?
3. Is cost of implementation vs. nonimplementation considered?
4. Is there a time span for plan implementation?
5. Is there provision for scheduling and coordinating of implementation proposals?
6. Can proposals accomplish their intended purpose if implemented?
7. Is there a program or proposal for an impact analysis?
8. Is the agency or person responsible for implementation identified?
9. Can the responsible agency realistically be expected to implement the plan?
Appendix B: Continued

### Approach, Data, and Methodology

(Make clear the technical bases, if any, of the plan; where the data come from and how they are used, so that others may check the plan's thinking by use of the same sources.)

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<td>1. Is the plan based on a wide spectrum of data where feasible?</td>
<td>5. Is the tone of the document consistent with the message conveyed (e.g., not presented in the past tense as an accomplished fact when the plan is for study and review)?</td>
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<tr>
<td>2. Is the plan sufficiently flexible to permit new data and findings to be fed in?</td>
<td>6. Are the criteria indicated by which the plan is intended to be judged?</td>
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<td>3. Are the data sources cited?</td>
<td>Plan Format. (Other forms of communication are found in the plan format itself, as well as evidence on who takes professional responsibility for the plan's formulation, when it was adopted, and other seemingly incidental concerns that nevertheless communicate professional competence.)</td>
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<td>4. Are the methodology sources cited?</td>
<td>1. Are the size and format conducive to the use intended? (For example, an oversize plan is hard to file and copy, hence does not lend itself to constant reference and day-to-day use.)</td>
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<td>5. Are the levels of data aggregation relevant or meaningful to the study?</td>
<td>2. Is the date of publication shown?</td>
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### Quality of Communication

(Clear communication above all else is necessary for a fair bearing from others.)

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<tr>
<td>1. Is the client or reading public identified (e.g., public at large, other professionals)?</td>
<td>4. Is there a table of contents?</td>
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<td>2. Are the ideas convincingly presented, given the nature of the audience?</td>
<td>5. Are pages numbered?</td>
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<td>3. Are the rationales behind the decisions effectively presented?</td>
<td>6. Are graphics used to best advantage?</td>
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<td>4. Are the proposals/recommendations/conclusions consistent with objectives?</td>
<td>7. Is the plan attractively laid out?</td>
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Suggested Plan Evaluation Criteria Baer 1997 (338-339)
# Appendix C: Goals Included in Strategic Plan and Goals Implemented

<table>
<thead>
<tr>
<th>Goal</th>
<th>Indicator</th>
<th>Included in Codes and Regulations Strategic Plan</th>
<th>Implemented</th>
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<tbody>
<tr>
<td>Review and revise Cornerstone 2020 Comprehensive Plan and the Land Development Code (LDC)</td>
<td>Appoint a broad-based committee to review eliminating ambiguities and clarify provisions of LDC</td>
<td>Y</td>
<td>Y</td>
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<td></td>
<td>Appoint a broad-based committee to review reevaluating the Planned Development District zoning classification</td>
<td>Y</td>
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<td>Appoint a broad-based committee to review evaluating the impact of using form-based districts as opposed to existing zoning requirements</td>
<td>Y</td>
<td>Y</td>
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<td></td>
<td>Appoint a broad-based committee to review evaluating the use of “fast-track” reviews by peer cities and consider whether to propose one</td>
<td>N</td>
<td>Unknown</td>
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<td></td>
<td>Appoint a broad-based committee to review evaluating the establishment and publication of requirements for submittal of information by a date certain prior to public hearings before the PC and BOZA, and whether all of certain types of information (such as expert opinions) should be pre-filed or excluded from consideration</td>
<td>N</td>
<td>Unknown</td>
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<td></td>
<td>Appoint a broad-based committee to review evaluating the amount of detail required on the “front end” of zoning cases to determine whether the required amount of site plan, architectural, landscaping and other information is appropriate (look at Charlotte’s example)</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td></td>
<td>Create a process for regularly diagnosing and updating the LDC and Area Plans</td>
<td>N</td>
<td>N</td>
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# PM TECHNIQUES IN TIME OF ECONOMIC RECOVERY

<p>| Improve communication and understanding among valious stakeholders, and particularly between the applicant and the public | Providing earlier notification to neighborhood associations, Metro Council members and the public at the time of receipt of initial applications (including pre-applications); Providing a more formalized process for early and ongoing community involvement; Expanding opportunities for early and direct communication and interaction between neighborhood associations and interested parties and the development community to foster better understanding of concerns, interests, policies, and procedures; Involving affected citizens in all stages of project planning; Facilitating an ongoing dialogue between the development community, staff and the public in order to create more common ground regarding smart planning and good design, in advance of regulatory changes; Evaluating public relations, including whether there is a need for additional outreach, such as customer relations, updating the website, social media, and training (see Raleigh) | N | Y/N | Unknown | Unknown | Unknown |
| Revise and simplify the review process | Periodically reviewing the Case Management System through process mapping with a goal of improving predictability of process timelines, reducing cycle time and delays, and improving predictability and shortening the process | Y | Y |
| Assuring that the mail notification system is streamlined | Y | Y |
| Scheduling DRC weekly (as needed) to eliminate delays | N | Y |
| Allowing greater opportunities for staff review and approval of minor plans and ministerial requests (including BOZA requests), and consider whether the DRC should be a staff level committee responsible for all ministerial reviews and minor plans | N | Y/N |
| Supporting legislation to amend KRS 100.214 and the Land Development Code in order to reduce the minimum posting time and notice time from 30 days to 14 days unless the planning commission determines a longer time period for either is advisable due to the nature of the case. | Y | Y |
| Foster effective leadership and positive attitude with the PDS and among review agencies, through | Continuously improving interagency review coordination and communication | Y | Unknown |
| Increasing and improving training and professional development for staff, including customer service, code review and application, and collaborative decision-making, including cross-training among agencies; Intensifying professional training for all Boards and Commissions; Hiring a permanent Director for PDS to provide leadership and vision | Y | Y/N |
| Developing mechanisms to improve consistency among reviewers in plan and code interpretation and application, including formal training among case managers; | N | Y |
| Developing mechanisms to improve consistency among reviewers in plan and code interpretation and application, including formal training among case managers; | Y | Unknown |</p>
<table>
<thead>
<tr>
<th>PM TECHNIQUES IN TIME OF ECONOMIC RECOVERY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developing a formal process for surveying all stakeholders to evaluate satisfaction with process and outcomes, in order to help drive continuous improvement</td>
</tr>
<tr>
<td>Seeking guidance from the Office of the County Attorney on developing a formalized, transparent process for neighborhoods, developers, and staff to communicate with local elected officials regarding pending zoning cases, keeping in mind that elected officials with review authority may not state a position on pending cases</td>
</tr>
<tr>
<td>Providing for an informational meeting with neighborhoods prior to filing a pre-application, and recommending a second meeting prior to formal application if the preapplication process or first meeting results in substantial changes in the proposed plan;</td>
</tr>
<tr>
<td>Modifying the requirements for neighborhood meeting timetables to improve flexibility and eliminate delays</td>
</tr>
<tr>
<td>Including all of the pre-application information including minutes of the neighborhood meeting in the initial information sent to all parties in the neighborhood notification electronically and including a hyperlink to the applicable case information;</td>
</tr>
<tr>
<td>Streamlining the requirements and process for requesting and holding evening hearings in neighborhoods;</td>
</tr>
<tr>
<td>Developing a plan for improving communications and coordination between PDS and municipalities with zoning authority;</td>
</tr>
<tr>
<td>Developing an effective process with applicants to share minutes of neighborhood meetings with all attendees, by electronic media and for those without web access;</td>
</tr>
<tr>
<td>Adding notification requirements of staff determinations, including the addition of Administrative Determination Requests for specific addresses and for new uses, in the Weekly Activity Report, and post that repost on-line in a searchable format,</td>
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<tr>
<td>Increase access to and the transparency of the review processes by:</td>
</tr>
<tr>
<td>Providing early notice to the public and opportunity to be heard regarding any proposed change to rules, regulations, area planning documents, and the LDC, and providing a statement of consideration of comments received;</td>
</tr>
<tr>
<td>Evaluating the use of a “call center” model for the “front end” service by PDS, including “expert documentation” for call routing to most appropriate PDS personnel, and for logging of calls;</td>
</tr>
<tr>
<td>Developing checklists and user-friendly guidebooks for applicants and the public to the various processes associated with development, planning, code enforcement and community involvement</td>
</tr>
<tr>
<td>Developing a clear and concise set of standard operating procedures, guidelines, and a checklist for process steps and timelines for applicants and other stakeholders (see Raleigh and Jacksonville)</td>
</tr>
<tr>
<td>Scheduling PDS library for noontime availability and for one evening each week;</td>
</tr>
<tr>
<td>Assuring that where changes are proposed by Metro Council at Committee or in Council session to commission recommendations on zoning cases that the parties will have an opportunity to be heard prior to a vote on the proposed changes;</td>
</tr>
</tbody>
</table>
### PM TECHNIQUES IN TIME OF ECONOMIC RECOVERY

<table>
<thead>
<tr>
<th>Description</th>
<th>N</th>
<th>Y</th>
</tr>
</thead>
<tbody>
<tr>
<td>Creating an on-line filing and tracking system that will provide web access to all file documents for any application, including agency review requests and status, and e-notification with a hyperlink in the email when the file contents change, in order to assure that all stakeholders can remain informed and to communicate effectively throughout the process;</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Requiring applicants to file plans, documents and forms for PDS processes electronically in PDF format, and scanning capability for applicants who lack PDF conversion capability;</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Notifying the public when changes are proposed to the Land Development Code and codifying and making available on the web, agency interpretations of the code;</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>Placing guidelines, standard operating procedures and processes on-line (i.e. fee schedules, public comment opportunities, meeting minutes and agendas, etc.)</td>
<td>Y</td>
<td>Y</td>
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<tr>
<td>Creating a searchable database linking binding elements with case files;</td>
<td>N</td>
<td></td>
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<tr>
<td>Improve public confidence in the review process by improving compliance monitoring and enforcement of approved plans and conditions, including ensuring consistency in the enforcement of development agreements, remedial orders, and any penalties associated with abrogation of agreements and binding elements;</td>
<td>N</td>
<td>Unknown</td>
</tr>
<tr>
<td>Improving inspection, compliance assessment and enforcement of approved plans, binding elements, and conditions of approval</td>
<td>N</td>
<td>Unknown</td>
</tr>
<tr>
<td>Reviewing adequacy of notice to participants of approval cases where a request is made to modify or eliminate a binding element or condition of approval</td>
<td>N</td>
<td>Unknown</td>
</tr>
<tr>
<td>Assure effective implementation of audit team recommendations by creating a PDS advisory committee to oversee review and implementation of PDS review committee recommendations, including the development of metrics for measuring ongoing process and implementation efforts;</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td>Reviewing PDS and IPL organizations in order to clarify roles and responsibilities;</td>
<td>N</td>
<td>Unknown</td>
</tr>
<tr>
<td>Assembling resources and managing an implementation team within the agencies to implement recommendations and adopt best practices.</td>
<td>N</td>
<td>Y</td>
</tr>
</tbody>
</table>
APPENDIX D: ORGANIZATIONAL STRUCTURE 2009-2014