



# The State Bar *of California*

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## OPEN SESSION AGENDA ITEM

**41 JANUARY 2019**

**DATE:** January 25, 2019

**TO:** Members, Board of Trustees

**FROM:** Leah T. Wilson, Executive Director

**SUBJECT:** Executive Director Report

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Over the last several years the State Bar has undertaken a number of measures to increase transparency and accountability. The development of performance metrics, used to assess the overall functioning of the organization, is an important milestone in this effort. For too long the Bar has relied on the backlog measure and other Annual Discipline Report-required reporting elements to shape the narrative about its performance. With the introduction of performance metrics, and more importantly their institutionalization in internal and external reporting, we will begin to be able to provide a more accurate and comprehensive depiction of our work and its impact.

Goal 3 of the State Bar's 2017-2022 Strategic Plan includes the following objective:

*No later than November 30, 2018, develop goals and objectives for each functional area of the Bar and use those to develop organizational performance metrics.*

The attached *Proposed Performance Metrics for the State Bar of California* report, provided as Attachment A, was completed pursuant to this directive. Although these metrics have been reviewed by the Board Chair and Vice Chair and the Chair and Vice Chair of the Finance and Planning Committee, I am pleased to be able to share them for the first time with the full Board.

As paraphrased from the report: Performance measurement provides a quantifiable way for organizational leaders to recognize successes and areas needing improvement. It allows policymakers, management, staff, stakeholders, and the public to build trust in leadership and see the results of ongoing efforts. Effective performance measures can also help streamline existing processes, encourage collaboration across offices, and allow organizational leaders to better manage limited resources in order to increase impact and

plan for future growth. “*Performance measurement*” is a process by which a governmental or non-governmental public service organization undertakes regular collection of *outcome* and/or *output* data to determine how efficiently and effectively it is managed. It includes quantifying the value delivered for customers and other stakeholders.

While the metrics reflect significant progress in our reaching this elevated state of operational performance, no doubt they will need refinement and adjustments, both large and small, as they are operationalized. This continuous improvement process should not be seen as a reflection of the limitations or shortcomings of the metrics, but understood as part of the Bar’s continuous improvement commitment.

The metrics were developed in primary part by the Kolbe Company and Evaluation Works (Kolbe and Associates), which led a process during 2018 by which each Office Director was directly engaged in identifying performance measures for their respective areas. Chiefs participated directly in these sessions; I participated in some, and also reviewed interim work product with the consultants at several junctures throughout the project period.

## **RELATIONSHIP TO DISCIPLINE SYSTEM METRICS**

The development of discipline system metrics was on a concurrent but slightly accelerated track from the State Bar performance metrics effort:

*Develop and implement transparent and accurate reporting and tracking of the health and efficacy of the discipline system, to include: (c) development of new metrics for measuring the effectiveness of the discipline system including any needed revisions to the statutory backlog.*<sup>1</sup>

The Board of Trustees approved discipline system metrics, provided as Attachment C, at its September 2018, meeting. Kolbe and Associates attempted to incorporate those metrics in its work product. Additional staff work done after submission of their report reflects our efforts to improve the metrics generally as well as to fully integrate the discipline metrics; the final product is provided as Attachment B.

## **WORKLOAD MEASURES**

Workload measures, reflecting the volume of work performed by an Office or functional area of the Bar, will continue to be important data points to capture as part of both annual reporting and budget processes. Workload measures were most recently introduced in the 2017 budget. After the performance metrics were completed the workload measures were reviewed to assess continued relevancy in a “performance metrics” environment; only a limited number of workload measures are needed in light of the nature of the data to be collected for performance metrics reporting purposes. The results of that review are provided as Attachment D.

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<sup>1</sup> State Bar 2017-2022 Strategic Plan, Goal 2, Objective b.

## IMPLEMENTATION

The performance metrics are generally slated for Monthly, Quarterly, or Annual reporting<sup>2</sup>. Some metrics are one-time in nature (for example, a specific implementation plan), while others only initiate well into the calendar year. I have discussed the following implementation schedule with the Leadership Team:

Monthly Metrics: first reports due February 28, 2019, and then monthly thereafter

Quarterly Metrics: first reports due April 30, 2019, and then quarterly thereafter

Annual Metrics: first reports due January 31, 2019 or 2020<sup>3</sup>, and then annually thereafter

Due dates are provided for one-time metrics; those that initiate in a particular quarter will align with the quarterly reporting schedule.

Each member of the Leadership Team, and/or Office of Research and Accountability (ORIA) where noted, will be responsible for data collection in their respective areas. Data will be submitted to ORIA, which will create aggregate reports. ORIA is also working with me to identify a new online dashboard tool for use in generating Board and public performance metric reports.

Most immediately, you will see information regarding both workload measures and performance metrics in the 2019 budget submission. The performance metrics will also be used to build new Regulation and Discipline Committee reports which will be introduced at the March 2019 meeting.

In closing I ask that you please join me in congratulating the Leadership Team and our entire staff for completing this comprehensive review of how best to measure both our workload and our effectiveness. This was a long and challenging effort and I thank them all for their commitment to its success.

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<sup>2</sup> Though not outlined in the attachment, workload measures have historically been reported annually.

<sup>3</sup> Data will be available to support reporting on some of the Annual metrics in 2019; others, dependent on data tracking only begun this year, will not be reportable until 2020.

# Proposed Performance Measures for

The State Bar of California



## Summary Report

by

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## I. Introduction and Overview

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### **Project Goal and Objectives**

The purpose of this short-term engagement was to provide technical assistance to the State Bar of California as it works to define, enhance, and track performance measures related to operational efficiencies, customer responsiveness, and fiscal accountability. Primary project objectives included:

1. Identify “vital few” performance measures for improved operational efficiencies across department and organizational levels
2. Assist departments in developing methods for tracking and monitoring prioritized performance measures for continuous improvement and compliance purposes
3. Reinforce the business case for adopting performance measures as a process improvement tool for enhanced fiscal and service accountability
4. Provide sample tools and templates for future action planning and continuous process improvement (i.e. re-introduce the balanced scorecard framework)

### **Performance Measurement as a Strategic Planning Tool**

The use of performance measures in public sector agencies is being driven by rising state and federal mandates, increased citizen demands for accountability, greater interest on the part of local legislators in performance related information to assist in strategic program evaluation and resource allocation decisions, and the efforts of various organizations and professional associations to make the public sector more results-oriented.

Performance measurement provides a quantifiable way for organizational leaders to recognize successes and areas needing improvement. It allows policymakers, managers, and citizens to build trust in leadership and see the results of ongoing efforts. Effective performance measures can also help streamline existing processes, encourage collaboration across departments, and allow organizational leaders to better manage limited resources in order to increase impact and plan for future growth.

A March 2018 Governmental Budgeting and Fiscal Policy (GFOA) survey researched specific benefits of implementing performance measurement systems. 75% of respondents were most satisfied about the lasting impact of performance measurement for “increasing the awareness of and focus on results” and “increasing awareness of factors that affect performance.” About 65% of respondents said that performance measurement had important lasting impacts across the other areas, such as:

- Improving program/service quality
- Improving responsiveness to customers
- Improving efficiency of programs
- Improving effectiveness of programs
- Changing strategies to achieve results

## Terms and Definitions

The term **performance measurement** is used across this entire report, while the term **performance management** is omitted. This is because: 1) the scope of this report is a narrower than the term performance management sometimes suggests, and 2) performance management typically refers to managing the performance of individual employees.

*“Performance measurement”* is a process in which a governmental or non-governmental public service organization undertakes regular collection of *outcome* and/or *output* data to determine how efficiently and effectively it is managed. It includes quantifying the value delivered for customers and other stakeholders.

*“Performance management”* processes focus on driving business results through an aligned workforce, competency building, and continuously improving employee performance through learning and development. It seeks to improve the overall performance of an organization by improving the performance of individuals within it.

Performance measurement is a management discipline, closely related to continuous improvement and organizational learning. It seeks incremental improvements in programs and their execution, and thereby outcomes for participants. For these reasons, performance measurement uses a very broad range of tools, including informal qualitative data, focus groups, short feedback surveys, staff meetings. It is dynamic, fluid process that can allow ongoing course correction—for both programmatic and operational areas of the organization itself.

Performance measures include **inputs** (resources used), **outputs** (immediate internal/external program activities), and **outcomes** (the actual results and consequences of programs and services).

**Immediate outcomes** are those most attributable to outputs, and for which organizations can most reasonably assume control, responsibility, and accountability. Examples of immediate outcomes include caseload clearance rates or percentage of applicants who successfully complete the Bar examination.

**Intermediate outcomes** include areas where organizations tend to have a lesser degree of control, but for which outputs are still expected to have an impact: (a) enabling and empowering individuals, clients, staff, and the public to make legal choices and engage in law-abiding behaviors and activities, (b) improving the ethical practice of law across the population, and (c) building safe communities.

**Ultimate outcomes** can also be viewed as **impact measures**, which represent the substantive social change or constituent benefits that result from organizational programs or services. Impacts tend to be more long-term in nature and are more challenging and time-intensive to monitor and track. Examples of impact measure include increased public confidence in the legal system, reduced recidivism rates, or increased public safety. Examples of input, output, outcome, and outcome measures are shown in Table 1.

Table 1. Sample Input, Output, Outcome, and Outcome Measures.

Category	Sample Performance Measure
Inputs	<ul style="list-style-type: none"> <li>• % growth in grants or endowments</li> <li>• % growth in administrative support</li> <li>• Dollars available for infrastructure</li> </ul>
Outputs	<ul style="list-style-type: none"> <li>• % participant involvement in various programs, events</li> <li>• % increase in applications</li> <li>• % increase in test-takers' satisfaction</li> <li>• # petitions launched</li> <li>• # supporters recruited</li> </ul>
Outcomes	<ul style="list-style-type: none"> <li>• % of lawyers who successfully complete a program</li> <li>• % of services consumed</li> <li>• % decrease in unethical behavior</li> </ul>
Impacts	<ul style="list-style-type: none"> <li>• % change in status ranking</li> <li>• % increase in the number and quality of applications</li> <li>• % reputational capital of staff</li> <li>• % increased</li> </ul>

Table 2. Common Social and Economic Impact Indicators

Programmatic Areas				
	Direct Service	Advocacy/Policy	Association/Network	Capacity Building
Outcomes	<ul style="list-style-type: none"> <li>• # beneficiaries experiencing targeted outcomes</li> <li>• success rate</li> </ul>	<ul style="list-style-type: none"> <li>• policy changes implemented</li> <li>• new coalitions created</li> </ul>	<ul style="list-style-type: none"> <li>• Members indicating they experience targeted outcomes</li> <li>• Success rate</li> </ul>	<ul style="list-style-type: none"> <li>• Clients demonstrating improvement in key capacity areas</li> </ul>
Outcome Costs	<ul style="list-style-type: none"> <li>• Cost per successful outcome</li> </ul>			
Impact Generated	<ul style="list-style-type: none"> <li>• Qualitative, quantitative data addressing higher-level systemic outcomes, such as new stakeholders engaged in addressing the target social issue</li> </ul>			



## Categories of Measures

Common measurement categories are shown in Table 3.

Table 3. Common Measurement Categories

<b>Categories of Measures</b> Common measurement categories are shown in Table 3.	
Table 3. Common Measurement Categories	
<b>OUTPUT</b> Units Produced Items Assembled Revenue Items Sold Forms Processed Inventory Turnover Output Per Hour Productivity Work Backlog Shipments New Accounts Generated Client Visits	<b>TIME</b> Equipment Downtime Overtime On Time Shipments Time to Project Completion Processing Time Cycle Time Supervisory Time Time to Proficiency Training Time Efficiency Work Stoppages Order Response Lost Time Days
<b>COSTS</b> Budget Variances Unit Costs Cost by Account Variable Costs Fixed Costs Overhead Cost Operating Costs Number of Cost Reductions Project Cost Savings Accident Costs Sales Expense	<b>QUALITY</b> Accuracy Waste Rejects Error Rates Rework Shortages Deviation From Standard Regulatory Compliance Number of Accidents
<b>CUSTOMER SERVICE</b> Customer Satisfaction Index Customer Complaints Customer Comments Customer Retention	<b>WORK CLIMATE</b> Number of Grievances Number of Discrimination Charges Employee Complaints Job Satisfaction Organizational Commitment Employee Turnover Reduced Litigation
<b>WORK HABITS</b> Absenteeism Tardiness Violations of Safety Rules	
<b>Sample Intangible Measures Linked to Impact or Outcome Data:</b> Job satisfaction Organizational commitment Climate, morale Engagement	Teamwork Brand, reputational capital Stress Leadership effectiveness

## II. Project Approach

A three-phase approach was taken to help the State Bar develop appropriate performance measures:

1. **Phase One:** Analyze performance requirements
  - a. Review historical, extant data
  - b. Conduct stakeholder interviews
2. **Phase Two:** Prioritize performance requirements
3. **Phase Three:** Define performance measures aligned to requirements

### Phase One: Analyze Performance Requirements

**Data Review.** This section describes the material used to analyze performance requirements and inform data collection with this project.

A. The “*Long-Range Planning and Creating a Culture of Continuous Improvement: The Organizational Revitalization of The State Bar of California*” report by Shelly Stump, Coyote Moon Consulting (2005), served as a “starting point” for establishing usable and appropriate Service Area performance measures within the State Bar. Relevant highlights from the report are noted in Table 4.

Table 4. Sample Measures from 2005 report around “*Creating a Culture of Continuous Improvement*”

Strategic Planning and Process Accomplishments (Partial)	Performance Measurement Recommendations (Partial)
1. Development of fourteen State Bar Plans focused on internal process improvements	1. Refine and enhance use of Service Area Performance Measures (p. 70) <ol style="list-style-type: none"> <li>a. Encourage the use of cost, time, and other quantifiable indicators</li> </ol>
2. Shared Operational Vision cited	2. Establish a “Balanced”* performance measures approach and assign clear responsibility for performance measures results
3. New or refined Mission Statements developed by each Department	3. OED: Revisit departmental plan to ensure all OGA services and performance measures are appropriately represented <ol style="list-style-type: none"> <li>a. Use Departmental Planning as a Management Tool (schedule meetings to encourage modification/improvement of departmental performance measures)</li> </ol>
4. Core Values articulated by each Department	4. Build staff ownership of Plan implementation around performance measures (p.12) <ol style="list-style-type: none"> <li>a. Assign responsibilities for programmatic measures</li> <li>b. Establish a Performance Measures working group</li> </ol>
5. Service Area Performance Measures drafted by: <ul style="list-style-type: none"> <li>• Office of Admissions</li> <li>• Office of Chief Trial Counsel</li> <li>• Client Security Fund</li> <li>• Office of the Executive Director (OED)</li> <li>• Office of Finance</li> <li>• Office of General Counsel</li> <li>• Office of Human Resources</li> <li>• Office of Information Technology</li> <li>• Office of Legal Service Access &amp; Fairness Programs</li> <li>• Office of Media &amp; Information Services</li> </ul>	5. Leverage Technology: Use “enterprise software to capture performance data”
	6. Develop a comprehensive internal and external customer feedback process

Stump also provided several measurement tools and template including a “Balanced Scorecard” framework. Additional examples of a Balanced Scorecard or dashboard can be found in Appendix C.

**Reported Status:** At the time of this engagement, it was reported that little progress or follow-up had occurred around the measurement focus and continuous improvement processes recommended in this report.

- B. The State Bar Operations Budget Detail report outlined the following performance objectives, as shown in Table 5.

Table 5. *Sample Performance Objectives and 2017 Progress*, Operations Budget Detail Report

Office of Chief Trial Counsel (OCTC)
<ul style="list-style-type: none"> <li>• Increase attorney and investigator staffing</li> <li>• All matters closed or referred to enforcement within 60 days</li> <li>• No more than 5% complainants’ requests to reopen matters deemed appropriate to reopen by OGC Complaint Review Unit</li> <li>• 95% closed cases randomly audited</li> </ul>
State Bar Court
<ul style="list-style-type: none"> <li>• Increase caseload clearance rate</li> <li>• Achieve on time case processing (both Hearing &amp; Review Departments, Effectuations Unit)</li> <li>• Reduce backlog (both Hearing &amp; Review Departments, Effectuations Unit)</li> </ul>
Mission Advancement & Accountability
<ul style="list-style-type: none"> <li>• Complete judicial candidate evaluations with 90 days, as indicated</li> <li>• 90% of Board &amp; Board Committee materials posted according to policy</li> <li>• Increase language access by providing consumer-facing website information in 5 languages</li> <li>• Improve transparency on governance through increased distribution of news releases to statewide media list</li> </ul>
Programs Division: Office of Admission Programs Division: Office of Attorney Regulation & Consumer Resources Programs Division: Office of Professional Competence Programs Division: Case Management and Supervision Programs Division: Office of the Client Security Fund
<ul style="list-style-type: none"> <li>• Monitor Year-Over-Year workload in key performance areas (partial)               <ul style="list-style-type: none"> <li>○ Applicants certified to California Supreme Court; Law Student Registrations; California Bar Examinations received/processed; Testing Accommodations</li> <li>○ Incoming calls; Certificates of Standing Orders; attorney status changes</li> <li>○ First-time, repeat callers to Ethics Hotline; web hits to Rules of Conduct site</li> <li>○ Open cases; cases closed; noncompliance referrals; modification motions</li> <li>○ Applications filed; applications paid; average payout per claim; total victim reimbursement</li> </ul> </li> </ul>

Programs Division: Office of Legal Services
<ul style="list-style-type: none"> <li>• Increase efficiency of grant evaluation, administration, and distribution</li> <li>• Monitor Year-Over-Year workload in key performance areas (partial) <ul style="list-style-type: none"> <li>◦ Total grants awarded; number of IOLTA accounts, administrative expense as % of distribution; number of participating attorneys</li> </ul> </li> </ul>
Administrative Division
<ul style="list-style-type: none"> <li>• Monitor Year-Over-Year workload in key performance areas (partial) <ul style="list-style-type: none"> <li>◦ Travel reservations, contracts executed; facilities work orders completed; meetings supported; employment applications received; training classes offered</li> </ul> </li> </ul>
Administrative Division: Office of Finance
<ul style="list-style-type: none"> <li>• Ensure accuracy in processing of Cash Receipts, Accounts Payable, and Payroll</li> </ul>

**Reported Status:** Since the above measures were identified, several Discipline System Metrics were proposed in July of 2018 to enhance operational efficiencies in key areas related to case-processing, per below.

- C. ***Discipline System Metrics*** were approved by the State Bar Board of Trustees in September 2018. The impetus for developing these metrics originated from a 2017 Bureau of State Audit recommendation stating that the Bar “identify key goals and metrics to measure how well its attorney discipline system is meeting the State Bar’s core mission to protect the public from attorney misconduct.”

The approved Discipline System Metrics encompass several operational areas that are involved directly with processing discipline cases, including:

- The Office of Trial Counsel (OCTC)
- State Bar Court
- Office of Probation
- Lawyer Assistance Program (LAP), and
- Client Security Fund (CSF)

Three types of measures were identified including:

- Measures of efficiency (related to case-processing)
- Externally oriented measures, designed to seek feedback from the public and attorneys
- Measures of efficacy (related to various actions taken in the discipline system)

Specific Discipline Metrics identified include:

- Caseload clearance rate (current CPS Measure 2)
- Case disposition time at median and 90<sup>th</sup> percentile
- Proportion of cases disposed within established standard timeline (current CPS Measures 3 and 4)
- Writs (Review Department Appeals)
- Remands (Cases sent back to review by Supreme Court)

- Reversals or changes to the new level of discipline (by Supreme Court)

## **Phase One: Analyze Performance Requirements**

### ***Conduct Stakeholder Interviews***

During June, July and August 2018, the project team conducted telephone interviews with department heads and leaders to gather information about relevant performance data. Prior to the interviews, Pre-Work trigger questions and sample worksheets were provided to establish a common language and frame of reference.

Sample Trigger Questions included:

- *Please identify one – three critical performance objectives that matter most to your customers, stakeholders, and/or administration (no more than three)*
- *How do these measures align with your department's mission and vision?*
- *How do the measures you selected fit the characteristics noted in the attached Job Aid (timely, specific, collectible, visible)?*
- *How will you know if you've made progress in meeting your performance objective(s)?*
- *What intangible measures might result as a by-product of your performance focus? (i.e. improved teamwork, improved morale, increased job satisfaction, improved information flow, increased cross-collaboration)*

Sample Worksheets included are noted in Appendix A.

- Data Collection Plan Template
- Sample Data Collection plan

### **Participants**

The following offices and leaders participated in the interview and data collection process.

Administration:

- General Services/Procurement: Sunly Yap, Mayte Diaz, and Steve Mazer
- Human Resources: Jennifer Agular
- Information Technology: Resty Buenavidez
- Talent Engagement and Development: Theresa Bruece

Finance: Kevin Harper

General Counsel: Vanessa Holton

Mission Advancement and Accountability:

- Board Support JNE Commission and Appointments: Sarah Cohen and Dag MacLeod
- Research and Institutional Accountability: Hatem Khalek
- Strategic Communications and Stakeholder Engagement: Rebecca Farmer

Office of the Chief Trial Counsel: Melanie Lawrence

- Enforcement Strategies: Steven Moawad

Programs Division:

- Admissions: Amy Nunez and Donna Hershkowitz
- Attorney Regulation and Consumer Resources: Dina DiLoreto

- Case Management and Supervision: Terri Goldade and Michelle Harmon
  - Client Security Fund: Lori Meloch
  - Legal Services: Stephanie Choy
  - Professional Competence: Randall Difuntorum and Donna Hershkowitz

State Bar Court: Antonia Darling

## **Phase Two: Prioritize Performance Requirements**

### ***Leveraging Data Collection Plans as a Prioritization Tool***

**The Data Collection Plan.** Planning is the first step in any performance measurement process. Planning begins by defining program or service objectives and desired outcomes. To that end, participants were encouraged to identify metrics that were appropriately linked to strategic objectives and to then prioritize the “vital few” measurement targets that were most critical to organizational health and performance. These significant metrics are often referred to as key performance indicators, or KPIs.

A data collection plan is an important measurement tool that documents the type of key data being collected, the method for data collection, data sources, the timing of collection, and the various responsibilities for collection. Using an appropriate schedule to gather data—such as before, during, or after a program—is vital.

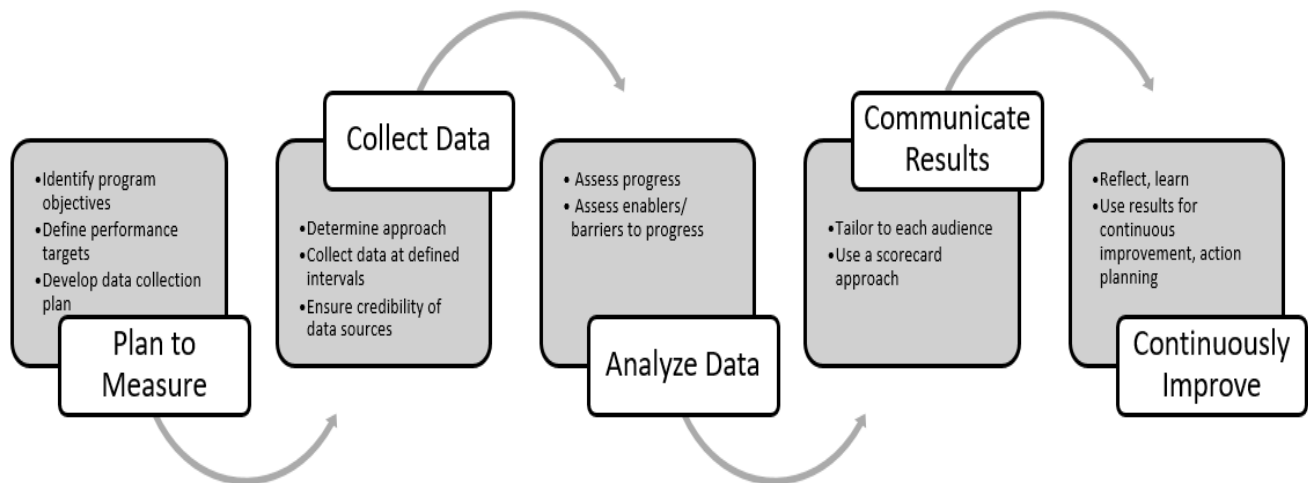
Data collection methods are likely to use one or more of these four approaches: surveys, interviews or focus groups, observations, and record or document review. Collecting this data, however, is just one step in the greater process of measuring outcomes.

**The Data Collection Process:** Figure 1 provides a high level overview of a five step measurement process, which includes:

1. Plan to Measure
  - a. Identify objectives
  - b. Define performance targets
  - c. Develop a data collection plan
2. Collect Data
  - a. Determine approach and design (*see pg. 15 for common design approaches*)
  - b. Collect data at defined intervals
  - c. Ensure credibility of data sources
3. Analyze Data
  - a. Assess progress
  - b. Assess enablers/barriers to progress (*time, money, resources, changing business conditions*)
4. Communicate the Results
  - a. Tailor to each audience
  - b. Use a scorecard approach

5. Continuously Improve
  - a. Reflect, learn
  - b. Use results for continuous improvement, action planning

Figure 1. A Five Step Process for Performance Measurement: High Level Overview



In selecting the best method for collecting data around their prioritized performance measures, participants were advised of the following considerations, including:

- the type of information needed
- sources of data (people, records, incidents, surveys, interviews, reports)
- accessibility of data (especially from external resources)
- credibility of data sources
- resources available, such as staff, time, and money
- the degree of disruption or interruption involved with collecting data
- how well the data collection method fits the norms and values of the individuals and groups being asked to provide data

Finally, when collecting data, it is important to remember that valid and reliable data is the backbone of a sound performance measurement system. **Validity** is the accuracy of the information generated. **Reliability** refers to consistency. Reliability can also be thought of as the extent to which data are reproducible. Do items or questions on a survey, for example, repeatedly produce the same response regardless of when the survey is administered or whether the respondents are men or women? Bias in the data collection instrument is a primary threat to reliability and can be reduced by repeated testing and revision of the instrument.

### Phase Three: Define Performance Measures Aligned to Requirements

#### *Defined Performance Measures by Individual Departments/Divisions*

The output of telephone interviews and measurement consultations conducted during Phase Two, was a compilation of individual Data Collection Plans developed by each department or division head. To ensure that each plan was effectively aligned with strategic priorities and desired performance requirements, the proposed measures within each individualized plan were vetted with Leah Wilson, Executive Director of the State Bar and Sponsor of the Performance Measurement initiative.

Appendix B shows each individualized data collection plan, once vetted and approved.

**NOTE:** It is recommended that the Executive Direction review Updated Data Collection Plans with respective Division Heads as a follow-up action item

**Data Collection Plan Summary.** Table 6 shows high level categories of measures identified by participants.

Table 6. Categories of Measures Identified by Office

Measurement Category	Department	Frequency
Cycle Time <ul style="list-style-type: none"> <li>Requisitions; facilities requests; IT response; performance evaluations; time to hire; vendor invoices; case processing time; Moral Character” applications; Bar Exam grades</li> </ul>	<ul style="list-style-type: none"> <li>General Services/Procurement</li> <li>Information Technology</li> <li>Human Resources</li> <li>Office of Chief Trial Counsel</li> <li>Programs</li> </ul>	<ul style="list-style-type: none"> <li>Weekly</li> <li>Monthly</li> <li>Quarterly</li> <li>Annually</li> </ul>
Efficiency <ul style="list-style-type: none"> <li>Case resolution; timely, accurate distribution of Board materials; reduced case backlog; on time rollout of Odyssey per project plan; document retrieval, completion; probation reports completed</li> </ul>	<ul style="list-style-type: none"> <li>General Counsel</li> <li>Admissions</li> <li>Mission Advancement and Accountability</li> <li>Office of Chief Trial Counsel</li> <li>Programs Division: Case Management &amp; Supervision</li> </ul>	<ul style="list-style-type: none"> <li>Daily</li> <li>Monthly</li> <li>Bi-annually</li> <li>Annually</li> </ul>
Quality <ul style="list-style-type: none"> <li>Error rates (billing, finances)</li> </ul>	<ul style="list-style-type: none"> <li>Human Resources</li> </ul>	<ul style="list-style-type: none"> <li>Monthly</li> <li>Quarterly</li> </ul>
Costs <ul style="list-style-type: none"> <li>Bar exam costs; operational costs;</li> </ul>	<ul style="list-style-type: none"> <li>Programs Division: Admissions</li> <li>Administration:</li> </ul>	<ul style="list-style-type: none"> <li>Quarterly</li> </ul>
Customer Service <ul style="list-style-type: none"> <li>Presentation requests; intakes; caseload clearance; Hotline call ratios, customer feedback; ease of access;</li> </ul>	<ul style="list-style-type: none"> <li>Programs Division: Case Management &amp; Supervision</li> <li>Legal Services</li> <li>Administration:</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> <li>Daily</li> <li>Quarterly</li> </ul>

Information  
Technology



Organizational Capability, Employee Engagement <ul style="list-style-type: none"> <li>Internal job movement; career development resources</li> </ul>	<ul style="list-style-type: none"> <li>TED</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> </ul>
Public Trust, Brand Image, Reputational Capital <ul style="list-style-type: none"> <li>Stakeholder communications; news articles; internal communications; outreach activities; restitution, discipline compliance; victim reimbursement; caseload clearance; Hotline call ratios</li> </ul>	<ul style="list-style-type: none"> <li>Mission Advancement and Accountability – Strategic Communications</li> <li>Programs Division: Case Management &amp; Supervision</li> <li>Programs Division: Professional Competence</li> </ul>	<ul style="list-style-type: none"> <li>Weekly</li> <li>Quarterly</li> <li>Annually</li> </ul>

- Client Security Fund

### Overall Observations

The following provides a high level summary of observed strengths and opportunities relative to current performance measurement work at the State Bar of California.

**Strengths:** The State Bar, through the impetus of Executive Director, Leah Wilson, appears to be making gradual progress towards establishing standard measures of performance that will demonstrate its commitment to core values of transparency, accountability, and excellence. Staff members were gracious and helpful participants during the process of defining performance success measures. Most took pride in discussing how their programs and services contributed to the mission and values of the State Bar.

Historical reports, such as The *“Long-Range Planning and Creating a Culture of Continuous Improvement: The Organizational Revitalization of The State Bar of California”* report by Shelly Stump, Coyote Moon Consulting (2005), provide comprehensive “insider” recommendations for action planning that maintain their relevance for current efforts. For example, many recommendations (ie. *leveraging technology, improving customer feedback processes, initiating balanced scorecards*) from that report (pg. 7) are useful baseline, “starting points” for maintaining traction and have been captured as recommendations and/or performance priorities in this report as well.

**Opportunities:** Developing capabilities around performance measurement presents an opportunity for continuous improvement across all people, process, and organizational levels. Capability development begins with a common language around performance measurement. Previous recommendations (Stump, 2005) for a “Performance Measures Working Group” would be worth re-considering as way to build staff ownership and consistency around the way organizational measures are defined, collected, analyzed, and reported. Dag MacLeod and Hatem Khalek from Research and Institutional Accountability, may also be appropriate resources for serving as designated “process owners” of ongoing performance measurement work, particularly task force work. Since collecting and tracking outcome data can be time-consuming and laborious, designated process owners can help sensitize and inform leadership about the impact of implementing new performance standards and accountability requirements. Many participants cited concerns about resource constraints so being proactive and anticipating potential issues here would serve the Bar well.

Integrating a performance measurement framework with existing operations (processes, procedures, performance management systems) presents key opportunities as well. Determining

how to integrate new performance standards with existing systems like Odyssey or business-critical performance requirements related to Discipline Metrics or BOT reform mandates can streamline efforts and make the process of collecting outcome data more holistic and meaningful. The more performance measurement systems across the enterprise can be integrated to “speak to each other”, and the more performance tracking can be consolidated as a collective rather than an isolated, ad hoc, “silo” endeavor, the more sustainable and value-added the process will become.

Finally, developing performance improvement measures to track performance change is a change project in and of itself. For optimal success, a growth, “opportunity”-oriented mindset is needed among all those involved. The Maturity Model (Figure 3, pg. 22) provides a roadmap for communicating and adopting this perspective.

### **Recommendation 1. Build Upon Planning Work Completed to Date**

The State Bar has made ongoing progress in developing the capability to develop and use performance-based measures to continuously improve its efficiency and effectiveness. Foundational work includes the comprehensive analysis provided by Shelly Stump, in the *“Long-Range Planning and Creating a Culture of Continuous Improvement: The Organizational Revitalization of The State Bar of California”* report (2005), along with the more recent Discipline System Metrics approved in August 2018.

### **Recommendation 2. Use Performance Metrics as Tools, Not End Goals**

Performance metrics are best used as improvement tools and mechanisms for an organization to hold itself accountable to the public, and not as disciplinary means against departments. A common challenge when implementing a new performance measurement system is balancing organizational accountability with individual accountability. The focus should be on using metrics as customizable tools for learning, and using that learning to continuously improve over time. In short, performance measurement implies a burden of action—not a burden of proof—to learn and improve.

### **Recommendation 3. Ensure that Performance Measures Meet Proper Criteria**

When identifying performance measurements, focus on ensuring that measures account for the following criteria:

Useful	Measures provide information that is helpful to decision making or strategic business objectives
Relevant	Measures can be clearly linked to the service delivery/program outcomes that they are intended to measure, are appropriate for the outcome being measured, and have perceived value to stakeholders
Specific	Measures provide clearly defined criteria for tracking, analyzing, and reporting
Transparent	Data collection purpose and measurement methods are easily understood by those effected by it
Credible	Methods provide valid, accurate information in the eyes of stakeholders and decision-makers
Collectible	Measures are readily available and do not involve excessive time/effort to collect
Consistent	Measures can be regularly collected to track outcomes over time and avoid need to continuously identify new measures
Controllable	There is a clear line of sight from the measure to the result; internal or external variables that influence outcomes -- especially long term impact measures -- are addressed and accounted for
Accountable	Responsibilities for collection, storage, and dissemination of the data are clearly identified

#### **Recommendation 4. Focus on a Handful of “Vital Few” Measures**

The long-held view that “what gets measured gets done” has spurred many organizations to pile more and more measures on their operations in a bid to encourage employees to work harder and departments to achieve more. As a result, individuals may end up spending too much time on the mechanics of collecting data and monitoring their activities and not enough time managing the projects or programs that contribute most to desired results. An important challenge of measuring performance in any organization is identifying key priorities and establishing measures directly related to those priorities. As a general rule, if a team has more than six to ten measures, it should take a fresh look at the importance of each one.

This is perhaps one of the biggest roadblocks when implementing and institutionalizing a performance measurement system. It is common for organizations to focus on either too many measures and/or on measures that are too far reaching and beyond immediate influence or control, making it difficult to recognize and achieve progress. In addition, focusing on a handful of vital few” measures that are manageable, achievable, and appropriately time-bound, helps mitigate the risk issue of resource constraints cited by many State Bar participants.

#### **Recommendation 5. Consider Implementations Issues in Data Collection**

It will be critical to find reliable and trustworthy methods for collecting and managing performance data. Consider who will collect the data across all department levels and how data collection will be integrated into current job responsibilities or role functions. What procedures and guidelines need to be revised or created? What training may be needed? What common reports, resources, or technology can be leveraged? How and where will data be stored? Who will determine and supply access to performance data? Finally, how will decisions be made about the most appropriate data collection design for various programs or services?

Here are descriptions for five approaches or designs that can be used to enhance data collection. More than one type of design may be employed for a specific measurement or tracking effort.

##### **Design 1: Post-only Measures**

- Data are collected once: at the end of the program, service, or activity
- Example: Level of participant knowledge on a survey after a training workshop

##### **Design 2: Pre/Post Measures**

- Data are collected twice: at the beginning to establish a baseline and at the end of the program
- Example: Comparison of an organization’s documented fundraising success before and after receiving technical assistance

##### **Design 3: Time Series**

- Data are collected a number of times: during an ongoing program and in follow-up
- Example: Monthly observations of an organization’s collaboration meetings to track changes in partnership development and communication

##### **Design 4: Measures with a Comparison Group**

- Data are collected from two groups: one group that receives the program or service and one that doesn't
- Example: Comparison of data on skill development from individuals who participated in management training and those who have not yet taken the workshop

**Note:** Comparison groups can be very useful in demonstrating program success. The main question is, can you find a group of people or organizations that is just like the group with whom you are working? In order to provide a valid comparison, the two groups must have the same general characteristics. A similar group may be difficult to find. However, if you are working with different groups at different times, and the groups are similar, this approach may be appropriate.

#### Design 5: Measures with a Comparative Standard

- Data are collected once: at the end of the program, service, or activity, and are compared with a standard
- Example: Comparison of this year's data on organizations' success in Board recruitment versus last year's data

**Note:** Comparative standards are standards against which you can measure yourself. There are standards of success in some fields (e.g., health mortality and morbidity rates, student achievement scores, teen birth rates). For intermediaries, however, there are unlikely to be many regarding your program outcomes or indicators. You can, however, compare your results for one time period to an earlier one, as shown in the example above. You collect data for the first time period as your baseline and use it as your standard in the future.

### Recommendation 6. Build Consistent Reporting Processes

Establish a regular process (ie. Quarterly Status Reports) for each department to update and account for measures included in their plans. Clarify why their data is important and how it will be used. Schedule regular meetings to encourage review and modification of departmental performance measures. Common reporting processes include the following.

#### **Status Reports**

An example of a quarterly status report regarding performance metrics is illustrated by the New York State (NYS) Tax Department, Table 7. The NYS Tax Department publishes strategic metrics that support its goal of promoting government transparency and accountability to taxpayers. These metrics are posted on a quarterly basis. Each new fiscal year, all strategic metrics are reviewed and updated as necessary to reflect current operations and best practices.

Table 7. Sample Quarterly Status Report from the NYS Tax Department

NYS Department of Taxation and Finance Performance Metrics Fiscal Year to Date Through June 2017	
Promoting Government Transparency and Accountability to Taxpayers	
Strategic Metric	Status
Answer 85% of all TCC inquiries within an average of 5 minutes	Through June 2017, 42.7% of telephone inquiries were answered within 5 minutes
Issue all tax forms on time	Through June 2017, 100% of 123 tax forms were issued on time
Issue all tax forms instructions with 100% accuracy	Through June 2017, 100% of 123 tax forms were issued accurately
Resolve 95% of written PIT inquiries (including liability resolutions) within 90 days	Through June 2017, an average of 74% of written PIT inquiries regarding personal income tax were resolved within 90 days
Resolve 85% of written business inquiries (including liability resolutions) within 90 days	Through June 2017, an average of 90.6% of written business inquiries were resolved within 90 days

Source: [https://www.tax.ny.gov/about/strategic/performance\\_measures.htm](https://www.tax.ny.gov/about/strategic/performance_measures.htm)

Table 8. Sample Quarterly Status Report for the State Bar of California

The State Bar of California Performance Metrics Fiscal Year to Date Through Nov 2018	
Promoting Government Transparency and Accountability to Taxpayers	
Strategic Metric	Status

### **Recommendation 7. Adopt a Balanced Scorecard Approach**

Once a performance measurement system is up and running, dashboards can become a valuable tool for reviewing data and drawing conclusions. A dashboard includes a focused selection baseline, or initial measurement. For some measures or key indicators, you may be able to define your baseline right away if data from the previous months or years is available. If baseline data is not available, establish a specified period of time to collect it.

When reflecting and acting upon data from dashboard reports, common questions include:

- How have results changed over time?
- How do results compare to baseline and targets?
- For measures being tracked for the first time, what do results show?
- For measures that have exceeded or missed targets, what are the underlying causes?
- How do results align with expected results?
- What opportunities for improvement exist?
- What decisions regarding operations and activities can be made based upon this data?

Appendix C provides sample dashboard reports as a reference and action planning guide.

### **Recommendation 8. Ensure Consistent and Timely Communications**

For a performance measurement system to be properly integrated into operational management, communication about measures must be consistent, timely, and well understood. This includes both internal and external communications.

When communicating performance measures *internally* ensure the following:

- Expectations – clearly communicate how performance measures will be utilized in decision-making and across all levels of the organization
- Purpose – emphasize that performance measures are used to inform decisions and facilitate improvement and understanding. Less than favorable outcomes should be evaluated to understand the root cause of the issue and avoid quick punitive actions as this will make accurate data collection efforts more difficult in the future
- Clarity – clearly articulate the performance measures, including both expected results/targets and actual results
- Data Integrity – the source of the data and how the data is interpreted or used to draw conclusions should be clearly and fairly articulated.

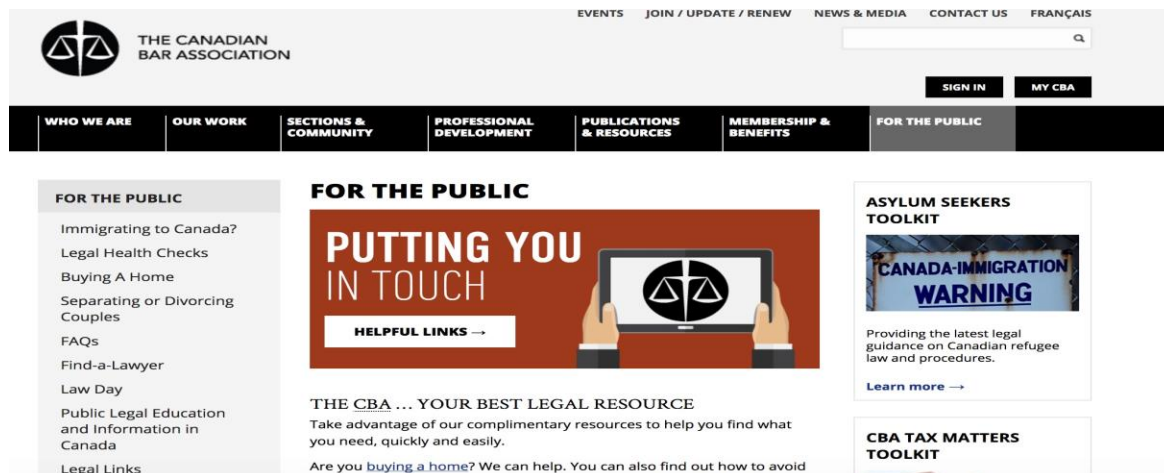
- Context – provide background on why these particular performance measures were chosen, such as cost, timeliness, availability, etc.
- Approach – reference sources of performance measures and how the measures were collected
- Dissemination – ensure performance measures are distributed throughout all levels of the organization and are made readily available

Many identified performance measures include improving customer satisfaction and enhancing feedback loops with external customers or stakeholders. When communicating performance measures **externally** the following considerations should be addressed.

- Delivery – how and where will the performance measures be communicated (how can technology be leveraged)
- Audience – identify who the primary audience of the information will be
- Format – what is the best way to present the information (press release, social media, newsletters, brochures, toolkits, FAQ guides)
- Frequency – how often will performance measures be communicated/updated
- Clarity – explain the exact source of the data, how the calculations were conducted and why, what the performance measures show, both expected results/targets and actual results
- Context – as needed, provide background on why these particular performance measures were chosen, why, if any target measures were set and why, and what the results mean to operations, service levels, or community outcomes

An example of leveraging a website for stakeholders and customer communications can be found with the Canadian Bar Association at <https://www.cba.org/Home>. While a “Public” link is common for both the Canadian Bar Association (CBA) and the State Bar of California websites, it may be worthwhile to consider replicating some of the CBA Toolkits or FAQ guides (Figure 2) to communicate about activities and initiatives directed towards improving performance, accountability, and transparency at the State Bar. Benchmarking communication strategies against those used by other, like associations, can accelerate progress, conserve resources, and streamline efforts.

Figure 2: Sample “For the Public” Website Communication





## IV. Final Considerations

### REMEMBER

Achieving high levels of measurement process and practice maturity is not about one program or system that delivers exceptional support in a single area; it is about creating flexible systems that can support a range of performance, client, and stakeholder needs that shift over time.

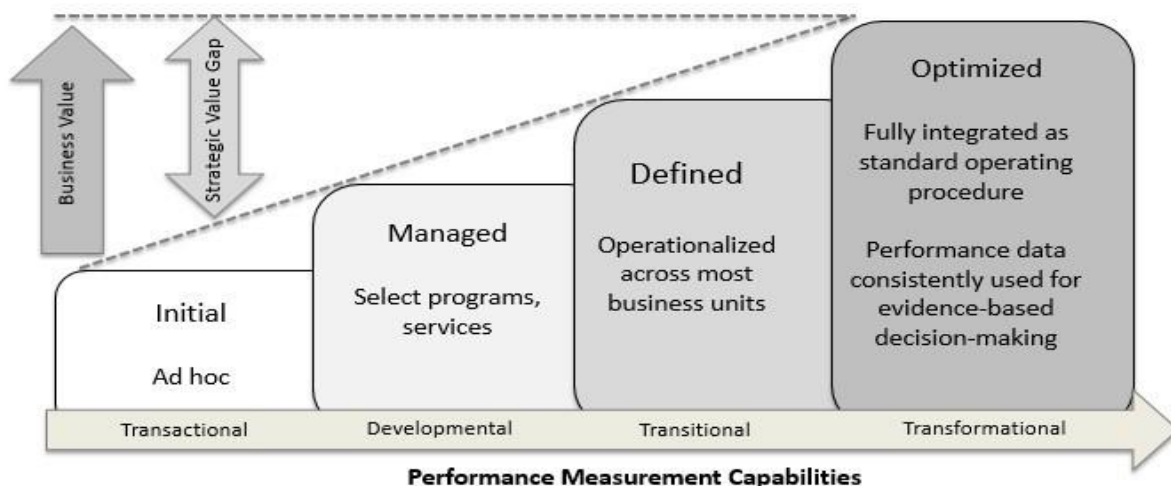
While achieving quantifiable outcomes may be the ultimate goal of a performance measurement system, it is important to remember that implementing a robust measurement process is a change project in and of itself and should be approached as such. Since many individuals assume multiple or shifting roles in tracking performance metrics, a major challenge is to identify the right people, get them involved, foster their commitment, and keep them well informed at all stages of the process. Engaging the participation and commitment of different stakeholder groups is critical and poses special challenges because leaders must approve time and resource allocations for all phases of measurement planning, data collection and analysis, and communication of results.

In addition, there are common concerns around the increased accountability associated with performance tracking. Leaders must be prepared to address such questions as

- *How will results be used?*
- *What happens when outcomes are “negative” or below standard?*
- *How does this (ie. collecting or tracking measurement) affect my daily job priorities?*

Ultimately, there are no shortcuts to building and sustain an evidence-based measurement process. Research shows that process and practice process maturity is not a single accomplishment, but rather a never-ending evolution with predictable stages of development. Figure 3 illustrates common phases of performance measurement maturity.

Figure 3. Performance Measurement Maturity Model



Source: Burkett, H. (2017) Used with permission

Experts say that a sustainable measurement process—one that is fully embedded in organizational culture— may take several years to achieve. While the effort might seem daunting, the key is to focus on the manageable, achievable actions – such as those recommended here -- that can provide forward movement and a long-term line of sight.

The Kolbe Company is available for a follow-up review and additional technical assistance to support momentum. In fact, given the scope and complexity of this effort, it is recommended that the State Bar Association engage the Kolbe Company for a brief, one-two day follow-up review plan in February or March 2019, which may include

- follow-up telephone interviews with those who completed data collection plans
- follow-up guidelines (charters, action plans, training tools) for Performance Measures process owners or working groups
- performance measurement resources, job aids, checklists
- follow-up progress report
- other technical assistance to be determined

**Appendix A:**

**Data Collection Plans and Reported  
Performance Measures**

**(Vetted by the Executive Director, Oct. 2018)**

**DATA COLLECTION PLAN - MAYTE DIAZ****Division/Office: Administration – General Services/Procurement****Measurement Focus: Cycle Time, Quality**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Cycle time, Quality: Timely processing of Procurement Requisitions	Process 90% Procurement Requisitions with 100% accuracy within 3 days by Q4 2018 (from yearly average of 70%)	Procurement Team	Oracle system Excel Tracking Sheet	Monthly	Procurement Program Analyst
<b>2</b>	Cycle time: Timely processing of Facilities Requests	Process 85% of all facilities requests (not requiring parts/equipment ordering) within three business days or less	Facilities Team	Angus Work Order Request System	Monthly	Facilities Lead Program Analysts
<b>3</b>	Cycle time: Timely processing of Capital Improvements	Process 95% of capital improvement projects on time, by Q1 2019	Meeting and Travel Team	Intranet Meeting Calendar End user feedback	Monthly Quarterly	Administrative Supervisors
<b>4</b>	Quality: Accurate processing of Capital Improvements	Process all capital improvement projects with 100% accuracy, by Q1 2019	Meeting and Travel Team	Intranet Meeting Calendar End user feedback	Monthly Quarterly	Administrative Supervisors
<b>Link to Strategic Projects/Objectives:</b> Goal 2: Ensure a timely, fair, and appropriately resourced admissions, discipline, and regulatory system for the more than 250,000 lawyers licensed in California. Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.						

**DATA COLLECTION PLAN – JENNIFER AGUILAR****Division/Office: Administration – Human Resources****Measurement Focus: Efficiency, Cycle Time, Engagement**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method*</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Operational Efficiency	Reduce average time to hire to 60 days	Human Resources	Requisition logs Employment records	Quarterly Annually	Human Resources
<b>2</b>	Cycle time	Process performance evaluations within 30 days of due date	Human Resources	Monthly	Annually	Human Resources
<b>3</b>	Engagement	90% of new hires report being properly prepared for their job as a result of their onboarding experience	New Hires Hiring Managers Human Resources	Onboarding Feedback from questionnaire Interviews with hiring supervisors	Quarterly Annually	Human Resources Managers
	<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.					

**DATA COLLECTION PLAN - RESTY BUENAVIDEZ****Division/Office:** Administration – Office of Information Technology (IT)**Measurement Focus:** Efficiency, Customer Satisfaction/Service

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Customer Satisfaction	90% of stakeholders report a high level of OVERALL satisfaction with use of new technologies by Q2 2019	State Bar Strategic Plan specific to IT projects and services	Project Management Reports, SDLC and Agile deliverables, post project surveys	Quarterly	IT
<b>2</b>	Customer Service	90% of end users report that technologies meet functionality requirements by Q2 2019	State Bar Strategic Plan specific to IT projects and services, and IT Technology Plan	Project Management Reports, SDLC and Agile deliverables, post project surveys Annual Staff Survey (Service or Help Desk Tickets*)	Quarterly	IT
<b>3</b>	Customer Service	90% of stakeholders report that use of new technologies meet desired security requirements by Q2 2019	IT Stakeholders and Customers	IT stakeholder and customer feedback, post project or services surveys	Quarterly	IT
<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.						

\* Sample data collection method

**DATA COLLECTION PLAN – THERESA BRUECE****Division/Office: Administration – Talent Engagement and Development (TED)****Measurement Focus: Organizational Capability, Customer Satisfaction**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Organizational Capability: Career Mobility	Increase % of internal hires as compared to % of external hires  <b>Target:</b> Identify baseline data for internal job hires as compared to external hires by Q1 2019)	HR/Recruitment	Reclassification records Requisitions	Annually	HR & TED
<b>2</b>	Customer Satisfaction	90% participants report a high level of OVERALL Satisfaction with the TED Assignment and Career Development programs, respectively, in annual participant survey	TED Assignment and Career Development participants	Annual Employee Survey	Annually	TED
<b>3</b>	Organizational Capability	Increase attraction/retention of key positions (ie. investigator positions) by Q3  <b>Target:</b> Identify baseline data for time to hire and/or turnover for all key positions where retention effort may be needed by Q1 2019)	HR/Recruitment	Reclassification records Requisitions	Annually	HR & TED
	<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence Improve the fiscal and operational management of the Bar.					

**DATA COLLECTION PLAN – KEVIN HARPER**Division/Office: **Finance**Measurement Focus: **Fiscal Management/Operational Efficiency, Quality, Cycle Time**

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
<b>1</b>	Fiscal Management/Operational Efficiency	Provide accurate and timely budget projections to enable efficient financial planning by client departments, quarterly	Monthly financial statements	Financial statements	Quarterly	Finance
<b>2</b>	Quality: Licensee billing errors	Reduce number of billing-related phone calls from attorneys to ARCR by 10% by Q1 2109	ACRC collect number of attorney calls related to billing matters	Call logs Billing records Invoices	Quarterly	Finance
<b>3</b>	Cycle Time	Pay 90% of vendor invoices within 30 days of receipt by Q1 2019	Info available after Oracle upgrade.	Invoices Oracle reports (Need to have invoices sent to Finance first, then distributed for approval)	Quarterly	Finance
<b>4</b>	Cycle Time	Process 100% monthly financial statements, accurately and on time, by the 20 <sup>th</sup> of every month	Month end monthly financial information	Financial statements	Monthly	Finance
	<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.					



**DATA COLLECTION PLAN – SARAH COHEN****Division/Office: Mission Advancement and Accountability – Board Support JNE Commission and Appointments****Measurement Focus: Efficiency (Operational Management), Diversity/Inclusion**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Efficiency: Operational management	90% stakeholders report a high level of OVERALL satisfaction with quality of operational support provided, by Q1 2019	Board, stakeholders	Web analytics Formal, informal feedback	Ongoing Quarterly	Dag MacLeod, Chief of Mission Advancement and Accountability
<b>2</b>	Diversity/Inclusion	Ensure diversity of Board applicant pool by establishing baseline data of applicant pool by Q1 2018	Board applicants	Measures of diversity, criteria for over/under-representation	Quarterly	
<b>3</b>	Efficiency	Develop standardized on-boarding process for all state bar entities by Q4 2018	Onboarding participants Historical records	Onboarding feedback Stakeholder input	Quarterly	
<b>4</b>	Efficiency	90% utilization of a standardized on-boarding process by all state bar entities, Q2 2019	Onboarding records Stakeholders	Number of state bar entities utilizing standardized onboarding processes	Quarterly	
<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.						

**DATA COLLECTION PLAN – HATAM KHALEK**Division/Office: **Mission Advancement and Accountability – Research and Institutional Accountability**Measurement Focus: **Efficiency (Operational Management)**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Efficiency: Operational Management	90% of all ORIA projects meet project milestones by Q2 2019	ORIA case records	Project plan review	Monthly Quarterly Annually	DAG
2	Efficiency: Operational Management	90% of all ORIA reports meet compliance requirements (ie. comprehensive, timely, accurate) by October 2018*	Related compliance reports associated with respective requirements*	End user feedback	Monthly Quarterly Annually	DAG
3	Efficiency: Operational Management	95% on time distribution of Discipline Reports from ODY by April 30, 2019	Discipline reports		Monthly Quarterly Annually	DAG
<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.						

\*Performance targets, data sources, and data collection timing in progress: to be more fully specified by DAG and Leah.

**DATA COLLECTION PLAN – REBECCA FARMER****Division/Office:** Mission Advancement and Accountability – Strategic Communications and Stakeholder Engagement**Measurement Focus:** Outreach (Brand Image, Public Perception), Customer Satisfaction

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
1	Outreach: Brand Image, Public Perception	Increase positive narrative about the State Bar by distributing 3-5 news stories about core work and priorities to targeted news sources, monthly, by Q1 2019	Select news channels	Number of monthly news stories printed after distribution from Communications team	Monthly Annually	Communications staff
2	Customer Satisfaction	90% stakeholders report a high level of OVERALL satisfaction with quality of internal communications by Q1 2019	Client departments BOT Internal website and newsletter	Formal, informal feedback Number of newsletter views or comments Pulse polls (tbd)	Monthly Quarterly Annually	Communications staff
<b>Link to Strategic Projects/Objectives:</b> Goal 5: Proactively inform and educate all stakeholders, but particularly the public, about the State Bar's responsibilities, initiatives, and resources.						

**DATA COLLECTION PLAN – MELANIE LAWRENCE**Division/Office: **Office of Chief Trial Counsel (OCTC)**Measurement Focus: **Cycle Time**

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
1	Cycle Time (Caseload clearance)	Decrease number of P-1 and P-2 cases in backlog	ORIA Discipline System Metrics	Number of cases in backlog	Monthly Annually	OCTC managers and supervisors
2	Maintain quality while meeting time goals	Maintain current level of CRU reopens for reasons other than new evidence; maintain current level of Walker reopens; decrease the number of random audit reopens for substantive reasons	OGC; OCTC Calibration Manager	Manual counts	Monthly Annually	OCTC Calibration Manager
<b>Link to Strategic Projects/Objectives:</b> Goal 2: Ensure a timely, fair, and appropriately resourced admissions, discipline, and regulatory system for the more than 250,000 lawyers licensed in California. Linked to Discipline System Metrics.						

**DATA COLLECTION PLAN – VANESSA HOLTON**Division/Office: **Office of General Counsel (OGC)**Measurement Focus: **Cycle Time, Customer Satisfaction, Organizational Capability**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Cycle Time	Complete/resolve an average of 60 cases per month by end of Q4 2018	RAD Report	Number of cases completed IT and OGC pulls and sorts	Monthly	Donna Lum: Collect measures  Carissa Andresen: Report progress
<b>2</b>	Customer Satisfaction	90% of BOT clients report a high level of OVERALL satisfaction with OGC services, annually	Staff survey Board of Trustees (BOT)	Annual Staff survey results Formal/informal feedback from BOT	Monthly Annually	Veronica Li: Collect measures  Vanessa Holton: Report progress
<b>3</b>	Organizational Capability	Staff 100% of the attorney positions in the Office of General Counsel by the end of Q4 2018	Position Control Number Report	Oracle report pulled by Human Resources Number of Attorney positions completely filled	Annually	Veronica Li: Collect measures  Vanessa Holton: Report progress
	<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.					

**DATA COLLECTION PLAN – AMY NUNEZ****Division/Office: Program Division Office-Admissions****Measurement Focus: Quality Control, Cycle Time, Cost Control**

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
1	Quality Control	Implement 100% of Sept 2018 BOT adopted reforms by Q4 2019  Target: Develop project plan, with quarterly target dates, for codifying all new standards by Q1 2019	Board reports BOT	TBD*	Quarterly	Admissions
2	Cycle Time	Advance 80% of Moral Character applications from “received” to “filed” status within 60 days by April 2019 (Currently 90 days)	Moral Character applications Admissions Case Management system	Number of filed Moral Character applications	Bi-annually	Admissions
3	Cost Control	Reduce the exam costs by 5% by July 2019 CA Bar Exam. (Currently \$122 per exam taker and \$265 for a testing accommodation)	Average exam cost, per taker, per accommodation Oracle Financial System	Review of exam costs per exam taker		Admissions
4	Cycle Time	Reduce time to grade Bar exams from 11 weeks to 9 weeks by July 2019 CA Bar Exam	Reviewer input Graded Bar exams	Number of graded Bar exams Process time averages for graded Bar exams	Bi-annually	Admissions
<b>Link to Strategic Projects/Objectives:</b> Goal 2: Ensure a timely, fair, and appropriately resourced admissions, discipline, and regulatory system for the more than 250,000 lawyers licensed in California. Committee bar exam						

\* Clarify data sources and collection meth

**DATA COLLECTION PLAN - DINA DILORETO**Division/Office: Programs - **Attorney Regulation & Consumer Resources (ARCR)**Measurement Focus: **Efficiency (Operational Management), Cycle Time**

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
1	Efficiency: Operational Management	Demonstrate full centralization of SB workload related to incoming calls within the Attorney Regulation Call Center by Q4 2018	ARCR, IT	Cisco reporting	Quarterly (Working towards developing monthly reports)	Dina DiLoreto, Program Director  Cassandra Sanders, Program Supervisor
2	Cycle Time	Process 75% of MCLE Activity Applications within 30 days by end of Q4 2018. (Currently, review is being completed within 6 weeks)	ARCR	AS400 reports and queries	Quarterly	Robert McPhail, Program Manager  Arayeh Rahimitabar, Program Supervisor
3	Efficiency: LLP Renewal Process	Convert 60% of LLPs to a strictly online renewal process by 2018 Q3/Q4	ARCR IT	Conversion rates for online reporting tools available in the renewal system	Quarterly reporting	Robert McPhail, Program Manager
	<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.					

**DATA COLLECTION PLAN – MICHELLE HARMON****Division/Office: Programs – Case Management and Supervision****Measurement Focus: Utilization, Customer Service, Outreach**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Utilization	10% increase in intakes annually	LAP CRCs and Administrative staff	Number of new intakes	Ongoing Annually	Matt Adams (Admin)
<b>2</b>	Utilization	70% of appropriate intakes successfully complete program requirements upon closing by Q1 2019	LAP CRCs and Administrative staff	Number of program completions meeting program requirements	Ongoing Annually	Lita Abella (Sr. Analyst) Matt Adams (Admin)
<b>3</b>	Customer Service	Respond to 100% of requests for presentations within 2 business days by Q1 2019	LAP Senior Analyst	Number of presentation requests	Ongoing Annually	Lita Abella (Sr. Analyst) Matt Adams (Admin)
<b>4</b>	Customer Service	Fulfill 90% of appropriate presentation requests by Q1 2019	LAP Senior Analyst	Number of presentations provided	Quarterly Annually	Lita Abella (Sr. Analyst) Matt Adams (Admin)
<b>5</b>	Outreach	Increase number of law school presentations from 0 to 8 by end of 2018	LAP Senior Analyst	Number of presentations to students at CA law schools	Ongoing	Lita Abella, Sr. Analyst
	<b>Link to Strategic Projects/Objectives:</b> Goal 5 - Proactively inform and educate all stakeholders, but particularly the public, about the State Bar's responsibilities, initiatives, and resources.					



**DATA COLLECTION PLAN – LORI MELOCH**Division/Office: **Programs – Client Security Fund**Measurement Focus: **Customer Satisfaction, Efficiency, Cost Control, Cycle Time**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Customer Service/Satisfaction	Provide status update to 100% of applicants at least twice a year	CSF Discipline System Metrics	List of letters and when sent	By June 30 and December 31	CSF
<b>2</b>	Efficiency, Cost Control	Ensure timely, accurate budget allocations for reimbursement, annually	CSF/Finance	Reimbursements and budget tracked through CSF and Finance	End of the calendar year	CSF and Finance
<b>3</b>	Cycle Time (Caseload clearance, prioritization)	Monitor caseload clearance rate (number in and number out) and case inventory and amount of time to resolve with goal of moving to resolving applications within 12 months of jurisdiction as resources allow	CSF Discipline System Metrics	CSF data report	End of the calendar year	CSF
	<b>Link to Strategic Projects/Objectives:</b> Goal 2: Ensure a timely, fair, and appropriately resourced admissions, discipline, and regulatory system for the more than 250,000 lawyers licensed in California. Linked to Discipline System Metrics.					

**DATA COLLECTION PLAN – LEAH WILSON****Division/Office: Programs – Office of Access & Inclusion****Measurement Focus: Efficiency (Operational Management), Compliance**

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
<b>1</b>	Efficiency: Operational Management	Demonstrate full integration of grant-making, diversity, and legal services policy work by Q1 2019	Staff assignments Policy outputs	Policy record review Staff, client input	Monthly Annually	Staff
<b>2</b>	Compliance	Implement 90% of changes identified in Legal Services Trust Fund & Access Commission Stakeholder Processes, by Q3 2019	Report: Legal Services Trust Fund & Access Commission Stakeholder Processes	Compliance audit (formal, informal) Stakeholder input Staff report	Quarterly Annually	Staff
<b>3</b>	Efficiency	Identify 3-5 key improvement opportunities in data collection and reporting within the 2018 Main Benefits Report by Q1 2019	2018 Main Benefits Report	Data analysis of reporting needs and gaps	Quarterly Annually	Staff
<b>4</b>	Efficiency	Implement 80% of identified data collection and reporting improvements by Q2 2019	2018 Main Benefits Report	Data collection report reviews	Quarterly Annually	Staff
<b>Link to Strategic Projects/Objectives:</b> Goal 3: Improve the fiscal and operational management of the State Bar, emphasizing integrity, transparency, accountability, and excellence.						

**DATA COLLECTION PLAN – RANDALL DIFUNTORUM**Division/Office: **Programs-Professional Competence**Measurement Focus: **Outreach/Access, Customer Satisfaction**

	<b>Potential Measures</b>	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
<b>1</b>	Outreach / Access	Maintain historical benchmark of a ratio of 60% new callers to 40% returning callers within a 10% variance,	Hotline users OPC staff	AS400 computer database Online survey	Daily tracking Annual reporting	OPC Program Supervisor or Sr. Program Analyst will run monthly
<b>2</b>	Outreach/Access	Increase attorney awareness of the new Rules of Professional Conduct	Hotline users provide data via online survey	Online survey Number of calls prompted by Professional Conduct - Daily call logs	Real-time data collection by vendor Monthly Reporting	OPC Program Supervisor for Sr. Program Analyst will run monthly reports of survey data and review call log information
<b>3</b>	Customer satisfaction (e-learning courses)	90% of participants report a high level of OVERALL satisfaction with a “4” or above rating (on a scale of 1 to 5, with 5 being the highest rating) on course feedback	e-learning course registrants provide feedback via online evaluation form	Data is collected through an online evaluation from in the learning management system (LMS)	The LMS course survey results are available for viewing immediately and at any time	OPC Program Supervisor or Sr. Program Analyst will run monthly reports
<b>4</b>	Customer feedback (e-learning courses)	90% of participants report that e-courses are RELEVANT to their needs, with a “4” or above rating (on a scale of 1 to 5, with 5 being the highest rating) on course feedback*	e-learning course registrants provide feedback via online evaluation form	Data is collected through an online evaluation from in the learning Management system (LMS)	The LMS course survey results are available for viewing immediately and at any time	OPC Program Supervisor or Sr. Program Analyst will run monthly Reports
	<b>Link to Strategic Projects/Objectives:</b> Goal 2: Ensure a timely, fair, and appropriately resourced admissions, discipline, and regulatory system for the more than 250,000 lawyers licensed in California. Goal 5: Proactively inform and educate all stakeholders, but particularly the public, about the State Bar’s responsibilities, initiatives, and resources.					

\* Note: Consider updating training feedback questions to better capture data about course relevance and overall satisfaction (sample feedback questions provided)

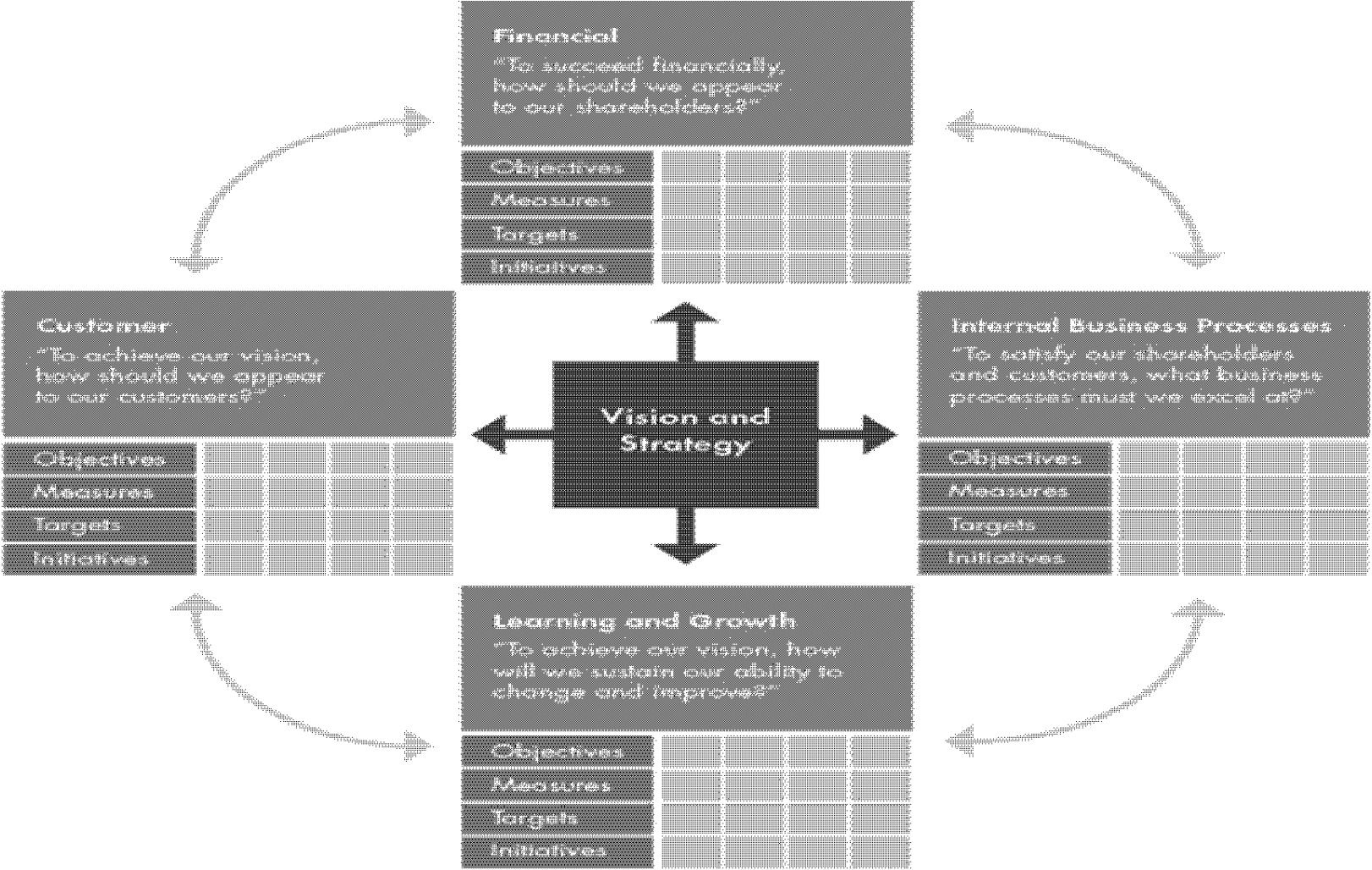
**DATA COLLECTION PLAN – ANTONIA G. DARLING**Division/Office: State Bar CourtMeasurement Focus: Efficiency, Cycle Time

	Potential Measures	Performance Target	Data Sources	Data Collection Method	Timing	Responsibilities
1	<b>Efficiency:</b> Caseload Clearance Rate (ratio of cases opened to cases closed)	Maintain at least a 1:1 ratio; seek to exceed ratio at least 6 months out of the year	Case Specialists enter data in the Case Management System as cases are opened and closed	Reports are run on the Case Management System	Caseload Clearance Report is run monthly, with cumulative totals	Court Administrator and Presiding Judge reviews monthly. Report is also sent to RAD (Board of Trustee Committee). CPS committee meets quarterly to review
2	<b>Cycle Time:</b> On time case processing (Activities occur within pre-set time ranges, to ensure the case is disposed of within overall time frame)	Hearing and Review: 90% of cases final outcome within timelines. All cases final outcome within 150% of timelines  Effectuations: 100% of cases processed within timeframes	Case Specialists enter data in the Case Management System as each event occurs  Timelines are established at beginning of case	Reports are run on the Case Management System	On Time Processing Report is run monthly, with cumulative totals	Court Administrator and Presiding Judge review monthly. Report is also sent to RAD. CPS Committee meets quarterly to review
	<b>Link to Strategic Projects/Objectives:</b> Goal 2: Ensure a timely, fair, and appropriately resourced admissions, discipline, and regulatory system for the more than 250,000 lawyers licensed in California. Linked to Discipline System Metrics.					

## **Appendix B:**

### **Sample Balanced Scorecards**

Sample Balanced Scorecard



## Sample Balanced Scorecard

## Electric Utilities - Balanced Scorecard Example

	Objectives	Measures (D=Drivers)	Targets			Initiatives
			FY01	FY02	FY03	
Financial	<ul style="list-style-type: none"> <li>Maximize returns</li> <li>Profitable growth</li> <li>Leverage asset base</li> <li>Manage operating costs</li> </ul>	<ul style="list-style-type: none"> <li>ROCE</li> <li>Revenue growth</li> <li>Asset utilization rate</li> <li>Operating costs / customer</li> </ul>	14% 6% 90% \$150	14.5% 8% 85% \$140	15% 12% 90% \$125	
Customer	<ul style="list-style-type: none"> <li>Industry leading customer loyalty</li> </ul>	<ul style="list-style-type: none"> <li>Customer Satisfaction Rating</li> </ul>	80%	85%	90%	<ul style="list-style-type: none"> <li>Customer loyalty program</li> </ul>
Internal Process	<b>Business Growth</b> <ul style="list-style-type: none"> <li>Capitalize on deregulation opportunities</li> <li>Optimize trading opportunities</li> <li>Develop innovative services</li> <li>Use alliances and joint ventures</li> <li>Leverage cross-group R&amp;D</li> </ul>	<ul style="list-style-type: none"> <li>% revenue from deregulated products/services</li> <li>% trading revenue</li> <li>Revenue from new services</li> <li>% customers serviced through alliances/joint ventures</li> <li>NPV product/service pipeline</li> <li>% R&amp;D projects meeting protocol/gates (D)</li> </ul>	5% 10% \$500M 10% \$500M 90%	7% 12% \$550M 20% \$550M 95%	10% 15% \$600M 25% \$600M 100%	<ul style="list-style-type: none"> <li>Telcom infrastructure development</li> <li>Trading risk assessment</li> <li>Research alliance program</li> </ul>
	<b>Continued Public Support</b> <ul style="list-style-type: none"> <li>Proactively manage relationships</li> <li>Ensure reliable services</li> <li>Communicate/educate customers</li> </ul>	<ul style="list-style-type: none"> <li>Customer/partner satisfaction (5 point scale)</li> <li>Reliability index</li> <li>% communication/education coverage</li> <li>% communication/education plans executed (D)</li> </ul>	4.0 90/100 100% 90%	4.5 92/100 100% 95%	4.5 95/100 100% 90%	<ul style="list-style-type: none"> <li>Preventative maintenance</li> <li>Community outreach</li> </ul>
	<b>Customer Service Excellence</b> <ul style="list-style-type: none"> <li>Seamless cross-group delivery</li> <li>Understand customer drivers</li> </ul>	<ul style="list-style-type: none"> <li>Promize delivery %</li> <li>New product uptake rate</li> <li>On-time market projects (D)</li> </ul>	90% 20% 90%	95% 25% 95%	97% 30% 100%	<ul style="list-style-type: none"> <li>Cross-selling marketing program</li> <li>Service dispatch automation</li> </ul>
	<ul style="list-style-type: none"> <li>Effective customer services</li> </ul>	<ul style="list-style-type: none"> <li>Customer satisfaction rating C.S.D. (see above)</li> <li>Problem resolution cycle time C.S.D. (D)</li> </ul>	85% 5hr	89% 4hr	95% 3hr	<ul style="list-style-type: none"> <li>CIS upgrade</li> <li>Call center software integration</li> </ul>
	<b>Optimize Core Business</b> <ul style="list-style-type: none"> <li>Optimize asset utilization</li> </ul>	<ul style="list-style-type: none"> <li>% rate capacity attained</li> </ul>	80%	85%	90%	<ul style="list-style-type: none"> <li>Fossil maintenance benchmark</li> </ul>
	<ul style="list-style-type: none"> <li>Max return on resource allocation</li> <li>Continued cost management</li> <li>Enterprise-wide risk management</li> </ul>	<ul style="list-style-type: none"> <li>Employee productivity improvement</li> <li>% cost reduction</li> <li>Cost of disruption vs. plan</li> <li>Time to recovery (D)</li> </ul>	2% 5% +/-15% 8hr	3% 5% +/-10% 4hr	4% 6% +/-5% 2hr	<ul style="list-style-type: none"> <li>Shared service benchmark/outourcing initiative</li> <li>ERP implementation</li> </ul>
L&G	<ul style="list-style-type: none"> <li>Ensure market-driven skill</li> <li>Leading employee satisfaction</li> <li>World Class Leadership</li> </ul>	<ul style="list-style-type: none"> <li>Strategic skill coverage ratio</li> <li>Hours in strategic skills training (D)</li> <li>Employee satisfaction rating (5 point scale)</li> <li>Leadership effectiveness ratio (5 point scale)</li> </ul>	65% 10 3.0 4.0	75% 12 4.0 4.5	85% 15 4.5 4.5	<ul style="list-style-type: none"> <li>Competency profiling</li> <li>Performance compensation link</li> <li>Leadership training program</li> </ul>

## Sample Balanced Scorecard

Strategic Priorities		Objectives	Measures	Targets	Initiatives
Financial	Financially Strong	F1 ROCE	<input type="checkbox"/> ROCE	<input type="checkbox"/> 18%	<input type="checkbox"/> Asset Disposition Program
		F2 Asset Utilization	<input type="checkbox"/> Cash Flow	<input type="checkbox"/> \$500mm	<input type="checkbox"/> C-Store Alliances
Customer	Delight the Customer	F3 Profitability	<input type="checkbox"/> Net Margin	<input type="checkbox"/> 11%	
		F4 Cost Leader	<input type="checkbox"/> Full Costigation	<input type="checkbox"/> 5%/yr	
Internal	Win-Win Dealer Relations	F5 Profitable Growth	<input type="checkbox"/> Volume Growth	<input type="checkbox"/> 45%	
			<input type="checkbox"/> Premium Ratio	<input type="checkbox"/> \$2b	
Learning & Growth	Motivated and Prepared Workforce	C1 Delight the Targeted Consumer	<input type="checkbox"/> Share of Segment	<input type="checkbox"/> 45%	<input type="checkbox"/> Mystery Shopper Program
		C2 Build Win-Win Relations with Dealer	<input type="checkbox"/> Mystery Shopper Rating	<input type="checkbox"/> 4.5+	<input type="checkbox"/> Dealer Committee
Internal	Build the Franchise	I1 Innovative products and services	<input type="checkbox"/> Dealer Gross Profit Growth	<input type="checkbox"/> 25%	
		I2 Best-in-Class Teams	<input type="checkbox"/> New Product ROI	<input type="checkbox"/> 20%+	<input type="checkbox"/> Review Program
Internal	Increase Customer Value	I3 Refinery Performance	<input type="checkbox"/> Dealer Quality Score	<input type="checkbox"/> 4.5+	
		I4 Inventory Management	<input type="checkbox"/> Yield Gap	<input type="checkbox"/> <3%	<input type="checkbox"/> PM Program
Internal	Operational Excellence	I5 Cost Leader	<input type="checkbox"/> Unplanned Downtime	<input type="checkbox"/> <2%	
		I6 On Spec/On Time	<input type="checkbox"/> Inventory Levels	<input type="checkbox"/> 15% Sales	
Internal	Good Neighbor	I7 Improve EHS	<input type="checkbox"/> Run-out Rate	<input type="checkbox"/> <90%	<input type="checkbox"/> ISO 9000
			<input type="checkbox"/> Activity Cost vs. Competition	<input type="checkbox"/> 99%+	<input type="checkbox"/> Safety Training
Learning & Growth	Motivated and Prepared Workforce	L1 Climate for Action	<input type="checkbox"/> Perfect Orders	<input type="checkbox"/> 99%+	
		L2 Competencies	<input type="checkbox"/> Days Away from Work	<input type="checkbox"/> <250/yr	
Learning & Growth	Motivated and Prepared Workforce		<input type="checkbox"/> Employee Survey	<input type="checkbox"/> >4.8	<input type="checkbox"/> Skills Program
			<input type="checkbox"/> Personal BSC (%)	<input type="checkbox"/> 80%	<input type="checkbox"/> Competency Dev't
Learning & Growth	Motivated and Prepared Workforce		<input type="checkbox"/> Strategic Competency	<input type="checkbox"/> 85%	



## Performance Metrics

(January 2019)

DATA COLLECTION PLAN - MAYTE DIAZ

Division/Office: Administration – General Services/Procurement

Measurement Focus: Cycle Time, Quality

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsible</b>
1	Process 90% Procurement Requisitions with 100% accuracy within 3 days by Q1 2019	Procurement Team	Oracle system Excel Tracking Sheet	Quarterly	General Services
2	Process 85% of all facilities requests (not requiring parts/equipment ordering) within three business days or less	Facilities Team	Angus Work Order Request System	Quarterly	General Services
3	Complete 90% of capital improvement projects on the annual capital improvement plan	Facilities Team	CBRE Reports	Quarterly	General Services
4	Process all capital improvement projects within budget	Facilities Team	CBRE Reports Oracle system	Quarterly	General Services
5	90% of internal customers report a high level of overall satisfaction with services related to Procurement, Facilities and Administrative Support functions	Staff Survey	Annual Staff Survey	Annually	ORIA

DATA COLLECTION PLAN – JENNIFER AGUILARDivision/Office: Administration – Human Resources Including TEDMeasurement Focus: Efficiency, Cycle Time, Engagement, Organizational Capacity, Customer Satisfaction

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method*</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Reduce average time to hire to 60 days by Q3 2019	Human Resources	Requisition logs Employment records	Quarterly	Human Resources
2	Process performance evaluations within 30 days of due date	Human Resources	Monthly HR reports	Monthly	Human Resources Supervisors and Managers
3	Stay Interviews are conducted for 100% of new hires within 90 days of hire by Q2 2019	Human Resources	Stay Interviews	Quarterly	Human Resources
4	Increase % of internal hires  Target: Identify baseline data for internal hires by Q1 2019	Human Resources	Human Resources	Annually	Human Resources Supervisors and Managers
5	90% of participants report a high level of overall satisfaction with the Training and Development (T&D) program and training	Participants surveys	Participant surveys	Onset and conclusion of T&D's and training offerings	Human Resources Supervisors and Managers
6	90% of internal customers report a high level of overall satisfaction with services provided by Human Resources	Staff Survey	Annual Staff Survey	Annually	ORIA
7	Track and report on retention of key positions (i.e. investigator positions) by Q1 2019; provide strategies to Supervisors and Managers designed to increase retention  Target: identify other targeted job classifications by end of Q1 2019.  Target: Identify baseline data for time to hire and/or turnover for all key positions where retention effort may be needed by Q1 2019)	Human Resources	Human Resources	Quarterly	Human Resources

DATA COLLECTION PLAN - RESTY BUENAVIDEZDivision/Office: Administration – Office of Information Technology (IT)Measurement Focus: Efficiency, Customer Satisfaction/Service

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	90% of stakeholders report a high level of overall satisfaction with new technology deployments by Q2 2019	User survey	Project Management Reports, SDLC and Agile deliverables, post project surveys, Annual Staff Survey, Service or Help Desk Tickets	Quarterly	IT ORIA
4	Process 85% of all IT service requests (not requiring parts/equipment ordering or software development) within five business days or less	IT Team	Footprints ticketing system	Quarterly	IT
3	Complete 90% of planned major IT projects on schedule and on budget  Target: by Q1 2019, finalize an annual inventory/schedule for IT projects	State Bar Strategic Plan specific to IT projects and services, and IT Technology Plan	Project Management Reports, SDLC and Agile deliverables, Project Inventory Report	Quarterly	IT CAO
4	90% of internal customers report a high level of overall satisfaction with desktop and network support, and applications and project management services provided by IT	Staff Survey	Annual Staff Survey	Annually	ORIA

DATA COLLECTION PLAN – AMY NUÑEZDivision/Office: Programs -AdmissionsMeasurement Focus: Quality Control, Cycle Time, Cost Control

	<b>PerformanceTarget</b>	<b>DataSources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Implement 100% of Sept 2018 BOT adopted reforms by Q4 2019  Target: Develop project plan, with quarterly target dates, for codifying all new standards by Q1 2019	Board reports BOT	Track against implementation plan / project plan	Quarterly	Admissions
2	Advance 80% of Moral Character applications from “received” to “filed” status within 60 days by Q2 2019	Moral Character applications Admissions Case Management system	Number of filed Moral Character applications	Bi-annually	Admissions
3	Reduce exam costs by 5% by Q3 2019	Average exam cost, per taker, per accommodation Oracle Financial System	Review of exam costs per exam taker	Annually	Admissions
4	Reduce time to grade bar exams from 11 weeks to 9 weeks by Q4 2019	Reviewer input Graded Bar exams	Number of graded Bar exams Process time averages for graded Bar exams	Bi-annually	Admissions

DATA COLLECTION PLAN - DINA DILORETO

Division/Office: Programs - Attorney Regulation &amp; Consumer Resources (ARCR)

Measurement Focus: Efficiency (Operational Management), Cycle Time

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	By Q1 2019 develop targets for average wait times, calls abandoned, and % of calls transferred to other State Bar offices	ARCR Admissions OCTC Websites	Survey/feedback from ARCR, Admissions, OCTC, and General Services	Quarterly	ARCR
2	75% of participants completing phone system survey report a high level of OVERALL satisfaction with a "4" or above rating (on a scale of 1 to 5, with 5 being the highest rating) with their call center experience	Reports from Cisco System ARCR, IT	Cisco System report	Monthly	ARCR
3	Process 75% of MCLE applications within 30 days of receipt	ARCR	AS400 reports and queries	Quarterly	ARCR
4	Continue implementation of LLP online renewal with a goal of 90% LLPs completing online by Q4 2019	ARCR IT	Online renewal system	Annually	ARCR
5	Convert 20% of Law Corporations to a strictly online renewal process by Q3 2019	ARCR IT	Online renewal system	One-Time	ARCR
6	Fulfill 100% of requests for certificates of standing within 5 days of receipt	ARCR	ARCR database	Quarterly	ARCR

DATA COLLECTION PLAN – MICHELLE HARMONDivision/Office: Programs – Case Management and Supervision (LAP)Measurement Focus: Utilization, Customer Service, Outreach

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Finalize and implement detailed operational plan reflecting BOT's November 2018 direction regarding separation of a portion of LAP by Q1 of 2019	BOT	TBD*	Monthly	LAP
2	Increase intakes by 10% by Q4 2019	LAPIS	LAP data collection system	Annually	LAP ORIA
3	Respond to 100% of requests for presentations within 2 business days by Q1 2019	LAP	Number of presentation requests	Quarterly	LAP
4	Complete 20 law school presentations and 10 Bar Association / law firm presentations in 2019	LAP	Number of presentations to students at CA law schools	Ongoing	LAP
5	80% of participants responding to quarterly satisfaction survey report they agree or strongly agree with the following statements: "The information and services provided by LAP effectively and appropriately address my goals"; "Overall I am satisfied with my LAP experience."	LAP	Satisfaction surveys	Quarterly	LAP
6	Track successful completion rates for ADP cases by Q2 2019 (and reasons for termination)	LAP	LAP data collection system	Quarterly	LAP ORIA

DATA COLLECTION PLAN – TERRIE GOLDADEDivision/Office: Programs – Case Management and Supervision (Probation)Measurement Focus: Outcomes

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Track successful completion rates by Q2 2019	ODY, AS400, Spreadsheets	ORIA Probation	Quarterly Annually	Probation ORIA
2	Track rates of successful satisfaction of restitution orders by Q2 2019	ODY, AS400, Spreadsheets	ORIA Probation	Quarterly Annually	Probation ORIA



DATA COLLECTION PLAN – LORI MELOCHDivision/Office: Programs – Client Security FundMeasurement Focus: Customer Satisfaction, Efficiency, Cost Control, Cycle Time

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Provide status update to 100% of applicants at least twice a year	CSF Discipline System Metrics	Status update distribution records	Bi-annually	CSF
2	Ensure timely, accurate budget allocations for reimbursements	CSF/Finance	Reimbursements and budget tracked through CSF and Finance	Annually	CSF Finance
3	Develop and monitor annual benchmarks for number of cases to be resolved based on annual budget and pending inventory by Q1 annually	CSF ORIA	CSF data report Adopted budgets	Annually	CSF ORIA
4	Develop and monitor target for time to payout after final disposition based on resource availability by Q1 annually	CSF ORIA	ODY AS 400 CSF report	Annually	CSF ORIA
5	Develop and monitor annual benchmarks for cases resolved by staff to monitor improvements in efficiency after transitioning Tentative Decisions to staff	CSF	AS 400	Annually	CSF

DATA COLLECTION PLAN – DONNA HERSHKOWITZDivision/Office: Programs – Office of Access & InclusionMeasurement Focus: Efficiency (Operational Management), Compliance

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Demonstrate full integration of grant- making, diversity, and legal services policy work by Q2 2019	Staff assignments Policy outputs	Staff survey Assignment review	Q2 and annually thereafter	A&I
2	Develop detailed operational plan for Legal Services Trust Fund & Access Commissions based on BOT decisions in January 2019, with a target goal for implementation of 90% of identified changes by Q4 2019	BOT adopted changes for these two sub-entities	Review documentation re implementation	Q4 2019	A&I
3	Identify 3-5 key improvement opportunities in data reporting and collection from the 2017 Main Benefits Report by Q1 2019	2017 Main Benefits Report	Data analysis of reporting needs and gaps	One time, Q2	A&I
4	Roll out 75 % of identified data reporting and collection improvements by Q2 2019 for changes involving State Bar only, and by Q3 2019 for changes impacting data collection by legal services programs for collection beginning 2020	2017 Main Benefits Report	Data collection report reviews	One time, Q3 and Q4	A&I
5	Monitor bank compliance with agreed upon interest rates.	Bank remittances Agreement letters	Review remittances and compare against agreed rates	Quarterly	A&I
6	Complete Justice Gap Study by end of Q4 2019	Household Panel telephone and online surveys Intake Census Law School Focus Groups / surveys Young Lawyer surveys	Manager contract with NORC; review and analyze intake census data; review law school and new lawyer data	End of Q4	A&I NORC Legal Services Providers ORIA

DATA COLLECTION PLAN – RANDALL DIFUNTORUMDivision/Office: Programs-Professional CompetenceMeasurement Focus: Outreach/Access, Customer Satisfaction

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Ethics Hotline: Maintain historical benchmark of a ratio of 60% new callers to 40% returning callers within a 10% variance	Hotline users OPC staff	AS400 computer database Survey	Quarterly	OPC
2	Rules of Professional Conduct: Increase attorney awareness of the new Rules of Professional Conduct, effective November 1, 2018	Hotline users provide data via online survey	Online survey AS400 - Track number of calls prompted by changes to the rules or newly adopted rules; daily call logs	Monthly	OPC
3	E-learning courses: 85% of participants completing evaluation report that courses met their expectations and contained significant relevant with a "4" or above rating (on a scale of 1 to 5, with 5 being the highest rating) on course feedback	Online evaluation forms	Learning Management System (LMS)	Quarterly	OPC

DATA COLLECTION PLAN – JOHN ADAMSDivision/Office: FinanceMeasurement Focus: Fiscal Management/Operational Efficiency, Quality, Cycle Time

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Provide accurate, timely and informed budget projections to enable efficient financial planning by client department and the Executive Director	Oracle	Financial statements	Quarterly	Finance
2	Reduce number of billing-related phone calls from attorneys to ARCR by 10% by Q1 2019	ARCR to collect number of attorney calls related to billing matters	Call logs Billing records Invoices	Quarterly	ARCR Finance
3	Pay 90% of vendor invoices within 30 days of receipt by Q1 2019	Info available after Oracle upgrade	Invoices Oracle reports (Need to have invoices sent to Finance first, then distributed for approval)	Quarterly	Finance
4	Process 100% monthly financial statements accurately and on time within 20 days of the close of the Month	Month end monthly financial information	Financial statements distribution records	Monthly	Finance
5	90% of internal clients report a high level of overall satisfaction with finance services	Staff survey	Annual Staff Survey	Annually	ORIA

DATA COLLECTION PLAN – SARAH COHENDivision/Office: Mission Advancement and Accountability – Board Support JNE Commission and AppointmentsMeasurement Focus: Efficiency (Operational Management), Diversity/Inclusion

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	90% of stakeholders report a high level of overall satisfaction with quality of operational support provided, by Q4 2019  Target: define stakeholders by Q1 2019	Board, stakeholders	Survey	Ongoing Quarterly	MAA
2	100% of JNE candidates evaluated within 90 days	JNE data system	Records Review	Bi-annually	MAA
3	Ensure diversity of Board and committee applicant pool by establishing baseline data of applicant pool by Q1 2019	Board and committee applicants	Survey	Ongoing	MAA
4	Develop standardized on-boarding process for all state bar sub-entities by Q4 2018	Onboarding material	Review material	Ongoing	MAA OGC Sub-entity lead staff
5	90% utilization of a standardized on-boarding process by all state bar entities by Q2 2019	Onboarding records Survey	Records review Survey	Bi-annually	MAA OGC Sub-entity lead staff
5	All Board Committee Coordinators and sub-entity coordinators trained and oriented on standardized meeting management procedures by Q2 2019	Board committee coordinators and sub-entity coordinators	Board support staff	Quarterly	Board Committee Coordinators Sub-Entity lead staff MAA

DATA COLLECTION PLAN – HATEM KHALEKDivision/Office: Mission Advancement and Accountability – Research and Institutional AccountabilityMeasurement Focus: Efficiency (Operational Management)

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	90% of all ORIA projects meet project milestones by Q2 2019	ORIA project plans	Project plan review	Monthly Quarterly Annually	ORIA
2	Compliance monitoring systems established with respect to statutes, rules, procedures and policies by Q3 2019	Compliance tracking spreadsheet and other related reports.	ORIA performance audits and self-reporting.	Quarterly Annually	ORIA/MAA
3	95% on time distribution of Discipline Reports from ODY by Q2 2019	Discipline reports	ODY	Ongoing	MAA
4	90% of regular management reports and performance metrics are automated by Q2 of 2019	ODY, AS400, financial databases	SQL, Stata	Monthly Quarterly Annually	ORIA

DATA COLLECTION PLAN – REBECCA FARMERDivision/Office: Strategic Communications and Stakeholder EngagementMeasurement Focus: Outreach (Brand Image, Public Perception), Customer Satisfaction

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Increase positive narrative about the State Bar by effectively communicating regarding key State Bar initiatives  Target: identify 2019 initiatives by Q1 2019	Strategic Plan BOT ED	Communication project plans developed and implemented	Q1	Communications
2	90% of stakeholders report a high level of OVERALL satisfaction with quality of internal communications by Q1 2019	State Bar staff	Annual staff survey Number of newsletter views or comments Pulse polls (tbd)	Quarterly	Communications ORIA

DATA COLLECTION PLAN – MELANIE LAWRENCEDivision/Office: Office of Chief Trial Counsel (OCTC)Measurement Focus: Cycle Time, Quality

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Minimize number of P-1 cases in backlog	ODY, AS400 OCTC documentation of reasons for P-1 cases in backlog	ORIA	Monthly	OCTC ORIA
2	Ensure P-2 cases are processed in an expedited fashion  Target: identify appropriate P-2 timeframe goal by end of Q1 2019	ODY, AS400	ORIA	Monthly	OCTC ORIA
3	Maintain annual caseload clearance rate of 1.0 or higher	ODY	ORIA	Monthly	ORIA
4	Maintain current level of CRU reopens for reasons other than new evidence; maintain current level of Walker reopens; decrease the number of random audit reopens for substantive reasons	OGC; OCTC Calibration Manager	Manual counts	Monthly	OCTC



DATA COLLECTION PLAN – VANESSA HOLTONDivision/Office: Office of General Counsel (OGC)Measurement Focus: Cycle Time, Customer Satisfaction, Organizational Capability

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Complete/resolve an average of 60 CRU cases per month by end of Q4 2019	OGC system	OGC review	Monthly	OGC
2	90% of clients report a high level of overall satisfaction with OGC services	Staff survey	Annual Staff Survey	Annually	ORIA
3	Staff 100% of the attorney positions in the Office of General Counsel	Oracle	Oracle review	Annually	OGC Human Resources

DATA COLLECTION PLAN – ANTONIA G. DARLINGDivision/Office: State Bar CourtMeasurement Focus: Efficiency, Cycle Time

	<b>Performance Target</b>	<b>Data Sources</b>	<b>Data Collection Method</b>	<b>Timing</b>	<b>Responsibilities</b>
1	Maintain a caseload clearance rate of at least 1.0 or above	ODY, AS400	ORIA	Monthly	SBC ORIA
2	Hearing and Review: 90% of cases reach final outcome within timelines. All cases final outcome within 150% of timelines  Effectuations: 100% of cases processed within established timeframes	ODY, AS400	ORIA	Monthly	SBC ORIA
3	Track number of appeals filed by Q2 2019; maintain current level of reversals and remands	OGC Supreme Court	Manual	Bi-annually	SBC OGC



# The State Bar *of California*

## **Discipline System Metrics Proposed Measures and Indicators**

Ron Pi  
Office of Research  
and Institutional Accountability



# Purpose of Discipline System Metrics

- ✓ *The State Bar should, by December 2017, identify key goals and metrics to measure how well its attorney discipline system is meeting the State Bar's core mission to protect the public from attorney misconduct.*

*- 2017 State Audit Report*

- ✓ *Develop and implement transparent and accurate reporting and tracking of the health and efficacy of the discipline system*

*- Strategic Goal 2c*



# **Components of the Discipline System under Consideration:**

- The Office of Chief Trial Counsel (OCTC)
- State Bar Court
- Office of Probation
- Lawyer Assistance Program (LAP)
- Client Security Fund (CSF)



# **Types of Metrics**

## **Different Meanings and Purposes**

- Internal oriented, focused on case processing, with benchmark targets to be established for assessing efficiency and efficacy
- External oriented, seeking feedback from the public served to identify issues, assess procedural fairness, and improve quality of service
- Follow-up impact of discipline actions or interventions taken



# Proposed OCTC Performance Metrics

- Caseload clearance rate
- Case disposition time at median and 90<sup>th</sup> percentile
- Case inventory trends
- Case prioritization and expedited processing
- Backlog trends
- Second Look cases
- Walker petitions



# Proposed State Bar Court Performance Metrics

- Caseload Clearance Rate (# of cases closed compared to # of cases filed)
- On Time Case Processing (meeting various deadlines)
- Case disposition time at median and 90<sup>th</sup> percentile
- Petitions for Review (# of Appeals to Supreme Court)
- Remands (cases sent back for reconsideration by Supreme Court)
- Reversals or changes to the level of discipline (by Supreme Court)





# Proposed Probation Performance Metrics

- Successful completion
- Reasons for non-completion
- Satisfaction of restitution orders



# Proposed LAP-ADP Performance Metrics

- Successful completion
- Reasons for termination



# Proposed CSF Performance Metrics

- Caseload clearance rate
- Case inventory
- Time from final discipline to payment



# System-Wide Measures

Follow-up recidivism rates at 6, 12, 24, and 36 months, including:

- OCTC Intake, Investigation, Pre-filing
- Probation
- State Bar Court
- LAP-ADP

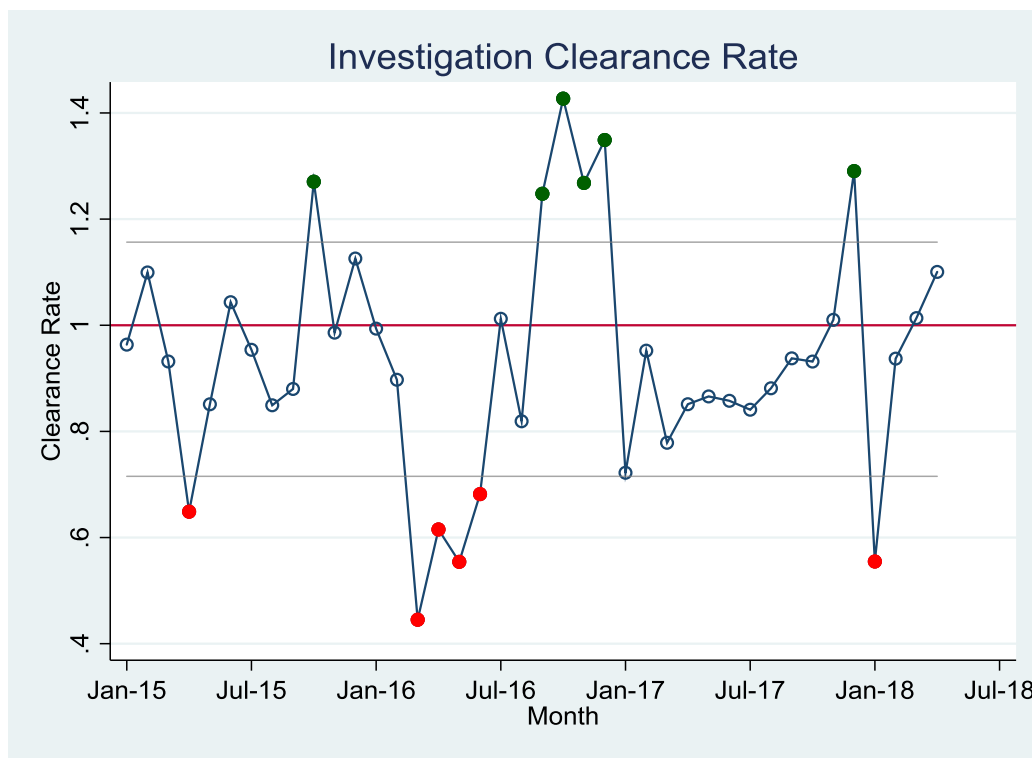
Procedural fairness surveys of complaint witnesses and respondents, including:

- OCTC
- Probation
- State Bar Court
- LAP-ADP



# Metrics and Benchmarks

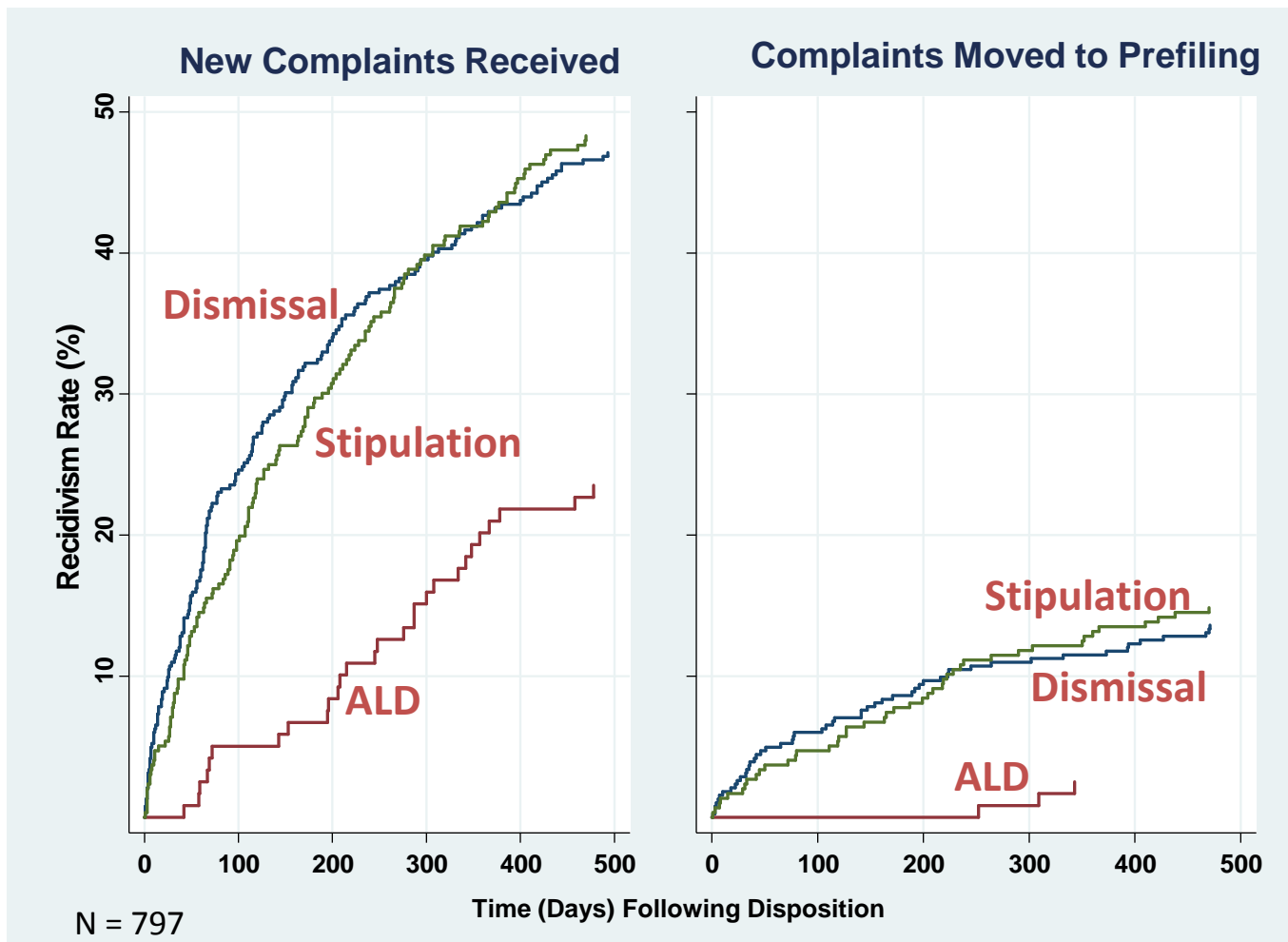
Example: maintain caseload clearance within 10 points of 100 percent





# Recidivism Rate Example

## Comparison of Two Recidivating Event Types

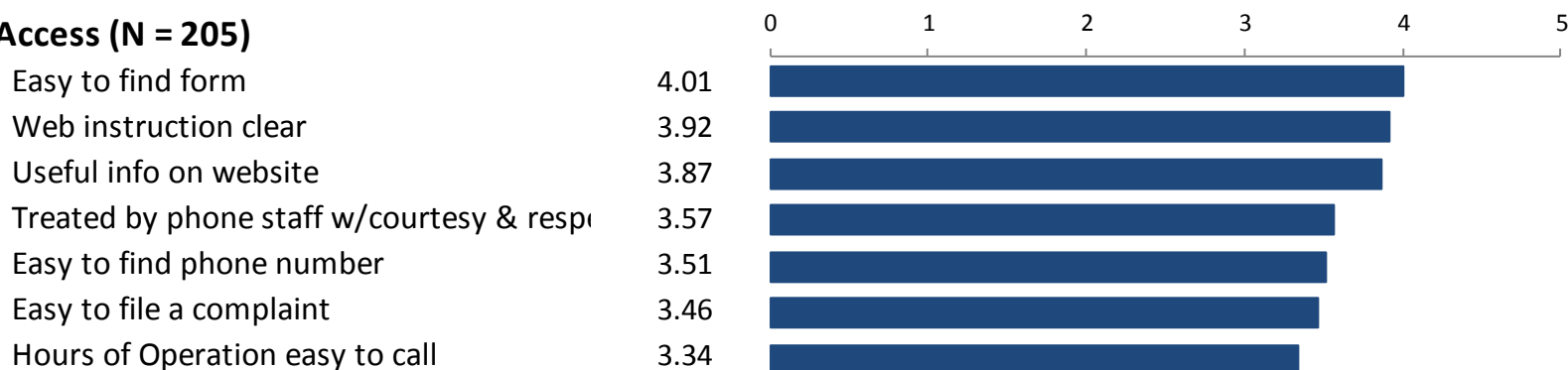




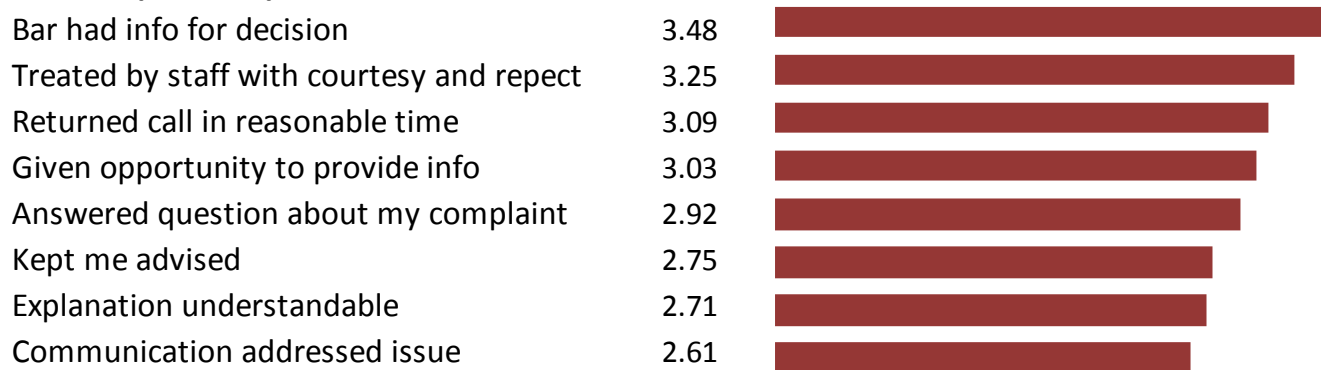
# Components of Access and Fairness Measures

## Average Scores on 5-Point Scale

### Access (N = 205)

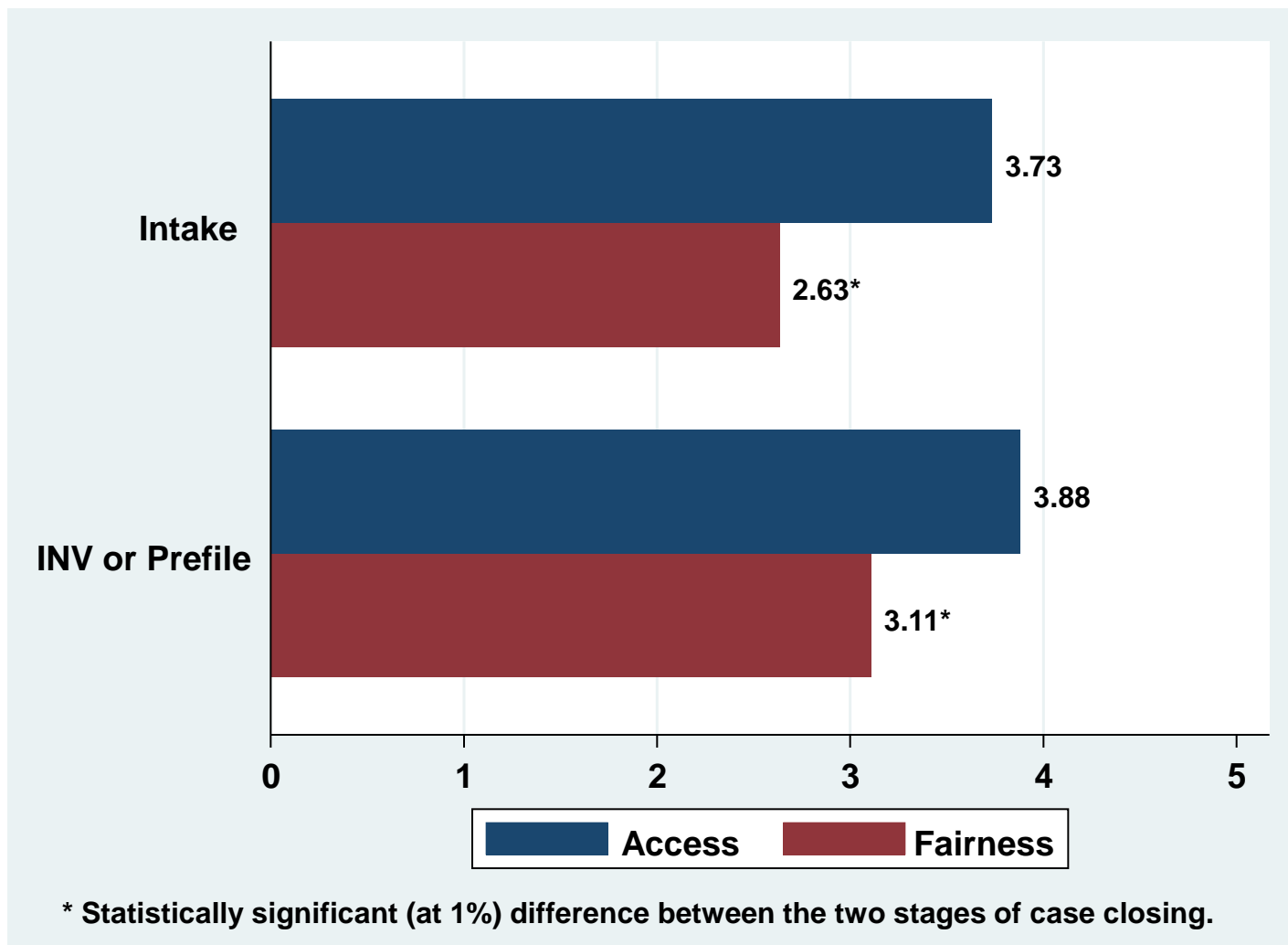


### Fairness (N = 235)





## Comparison of Access and Fairness Composite Scores by Stage of Case Closing

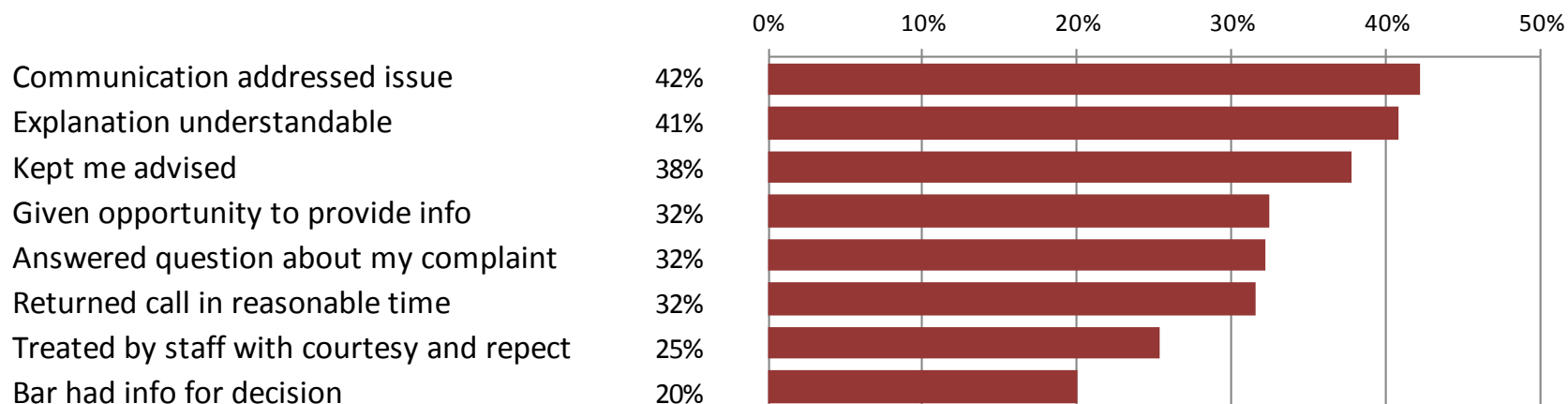






# Identify Areas with Strong Negative Ratings

**% Selecting 1 on 1-5 Scale indicating “Strongly Disagree”**



Overall 13% selected 1 (“Strongly Disagree”) in Access-related questions, compared to 34% in Fairness-related questions.



## Next Steps

- Evaluate metrics data and propose standards for benchmarks
- Identify additional relevant metrics

Office	2019 Workload Measures	Office	2019 Workload Measures
		Client Security Fund (CSF)	# of applications filed
General Services	Annual # of procurement requisitions processed	CSF	# of applications paid
General Services	Annual # of facilities requests processed	CSF	Pending inventory
Information Technology	# of IT service requests processed annually	Professional Competence	# of ethics hotline calls
Admissions	# of moral character applications received and processed annually	Finance	# of invoices processed
Admissions	# of bar and first-year law school exam applications received annually	Mission Advancement	# of JNE candidates processed annually
Admissions	# of testing accommodation requests received	Chief Trial Counsel (CTC)	Backlog trends by priority level
Attorney Regulation and Consumer Resources (ARCR)	# of incoming calls	CTC	Case disposition time at median and 90 <sup>th</sup> percentile by priority level
ARCR	# of MCLE applications received	CTC	Case inventory trends
ARCR	# of initial and renewal LLP and LLC applications received	General Counsel	# of CRU requests received
ARCR	# of requests for certificates of standing received	State Bar Court	# of filings hearing and review
Lawyer Assistance Program (LAP)	# of intakes	State Bar Court	# of effectuations cases
LAP	# of requests for educational presentations		
LAP	# of clients served		
Probation	# of new probation cases opened and annual caseload		
Probation	# of probation cases closed and reasons for termination; # of cases referred to OCTC, or for which motions for revocation were filed		