SAN MATEO COUNTY

ORGANIZATIONAL REVIEW

March 2006

March 27, 2006

Mr. John Maltbie
County Manager
County of San Mateo
400 County Center
Redwood City, CA 94063

Dear John:

Enclosed is the final report on our organizational review. We are aware that San Mateo County faces a host of issues as it prepares for the future. This report can be used as a roadmap for addressing many of the most critical items.

It has been a pleasure to work with you and the staff of the County of San Mateo on this analysis. You are fortunate to have a committed, competent senior management staff and Board of Supervisors who are interested in continually improving the services to the people of San Mateo County.

Sincerely,

Gerald E. Newfarmer
President and CEO

TABLE OF CONTENTS

TABLES

FIGURES

EXECUTIVE SUMMARY

The County of San Mateo is changing. The composition of the population is quite different than it was 14 years ago when the last comprehensive review of the organization occurred. San Mateo County's population is one of the most ethnically diverse communities in the nation. The County has an aging population with the single largest age cohort being 65 and over. The pace of retirements within the County staff has doubled and will stay at that level for the next several years. Fewer young people are choosing government service as a career. Resources are tight for the County, as they have been for the last few years.

All of these and other factors suggest that current and future demands may necessitate changes in programs, priorities and organization structure. Two themes run through this report that should be mentioned at the outset:

- The County has developed a culture of collaboration and innovation that enables it to excel even during budget reductions and increasing demands. This did not occur by happenstance; it is a culture that has been fostered by the Board of Supervisors, County Manager, and senior management team. This culture, or problem-solving approach, which allows the County to operate effectively even with lower than average staffing and revenues, is not self-perpetuating. It must be sustained with ongoing management attention. All of the changes recommended through this review, including changes in organizational structure, are intended to do one or more of the following: foster collaboration, increase effectiveness, and/or enhance policy and executive level support and focus. In fact, most of the organization appears to function well within the current structure, and we have not recommended changes where they were not warranted.

- The importance of developing staff to succeed retiring senior level managers is more pressing than in previous years. In fact, from 2005 to well into the next decade, the County will have to handle almost twice the historical levels of retirement for which existing systems were designed. This calls for alternatives to the "just-in-time" hiring that worked well in the past, when there was a large talent pool available for County positions. New resources will be needed to develop an effective Succession Planning Program. All of the County's department heads must provide leadership and

collaborate so that individuals who could become future County executives get the time, support and opportunities they need to develop.

Management Partners has identified 79 recommendations for change and improvement. They cover a variety of organization-wide and organization structure issues. (A complete list of recommendations is included as Attachment M.)

Organization-wide issues include fostering the culture of collaboration and innovation, communications, succession planning, training, hiring and promotional practices, performance feedback, information technology, departmental review process, and organizational names and titles. Management Partners identified opportunities for improvements in each of those areas. Of chief significance is the need to address the anticipated changes in the workforce that will accompany "baby boom" retirements in the next few years. Recommendations have been made for succession planning, hiring, training, evaluating and promoting individuals to ensure continuation of quality services as retirements take place. Additionally, given the current and future investments in information technology, and the importance in considering enterprise-wide issues, several recommendations have been made to improve decision making about technology.

Organization structure issues addressed in this report are staffing for the Board of Supervisors; County Manager/Clerk of Board Office; Employee and Public Services; Public Works; Environmental Services; Housing; Alcohol, Tobacco and Other Drug Services; Children's and Family Services; and Planning and Evaluation functions.

The collaborative nature of the County organization has worked effectively in service delivery. Our basic conclusion is that County departments perform well. Given the complexities of county government however, the span of control for the County Manager is significant. Management Partners identified several improvements to coordination and service delivery that could be made with some structural modifications. Our analysis indicates even better performance could be achieved with greater coordination of work units that are dealing with inter-related subjects.

Recommendations are made to enhance the capacity and constituent relations of the Board of Supervisors through additional resources. Recommendations are also made to increase the role of the County Manager's Office in multi-disciplinary problem solving and coordination among departments. A larger role for Deputy County Managers is proposed to increase inter-departmental coordination, service integration, and leadership by the County Manager's Office.

Among the changes are a new role for the Assistant County Manager, focusing on complex, multi-disciplinary policies, and problems that require executive attention and assistance. We recommend expanding the role

of the Deputy County Manager for Intergovernmental and Public Affairs to improve internal and external communications, and to develop and implement key strategic initiatives. A new Deputy County Manager for Community Services is recommended to coordinate and provide assistance to a number of aligned services and departments, many of which work with other local government agencies. The proposed Community Services group includes the Office of Public Safety Communications, a new Office of Economic Development/Real Property (incorporating the Real Property unit of the County Manager's Office), and the departments of Public Works (incorporating the Capital Projects unit of the County Manager's Office), Planning and Building, Parks and Recreation, and Housing. Additionally the responsibility for coordinating with the Local Agency Formation Commission and the San Mateo County Library Joint Powers Authority is placed with the Deputy County Manager for Community Services.

The position of Deputy County Manager for Budget and Performance is proposed to be responsible for a new Administrative Services group. The composition of the new Administrative Services group is Budget and Performance (to include California Department of Forestry contract administration), Internal Services (to include Purchasing, Copy Center, and Mail Center) and the department of Human Resources.

Through the organizational changes recommended in this report, two departments are proposed for elimination: Employee and Public Services Department and the Environmental Services Agency. The remaining functions of those two departments (not incorporated into the Community Services or Administrative Services groups) are proposed to be assigned as follows: Revenue Services to the Tax Collector/Treasurer; Animal Control and Animal Licensing to the Health Department; Agriculture, Weights and Measures to the Health Department, and; University of California Cooperative Extension to the Health Department. Additionally, the Tobacco services section currently within the Human Services Agency is proposed to be transferred to the Health Department.

With the exception of the changes described above, all other County departments are proposed to remain as currently organized. The timing of any of the proposed organizational changes and reporting relationships should be determined by the County Manager based on individual circumstances involving each affected department.

BACKGROUND AND INTRODUCTION

In late 2005 the County of San Mateo decided to undertake a review of the organization and to plan for succession of talented individuals into key positions as others retire. The FY2005-06 budget message describes the purpose of the organizational review as follows: "*A Countywide study will be conducted to evaluate existing structure and will provide recommendations for improvements."*

It has been nearly 14 years since the last major reorganization in the County. Much has changed since that time, including the composition of various departments. The County has determined that it is time to reconsider its department organization so it can effectively deliver valued services over the next several years. This review is timely in an era of reduced resources, increased demands, and the importance of continuous improvement and gains in productivity. The study is an opportunity to identify structure and process changes that would enhance efficiency, innovation and a culture of excellence.

Additionally, as the County's executive and management workforce continues to age, preparing staff for promotions will be critical. The County's organizational structure and processes should provide opportunities for people to gain skills and experience necessary to fill leadership roles and ensure continuity of service.

Goals of the organization review project were to:
- Review existing management development opportunities
- Review current organizational development processes
- Examine recent history of organizational changes
- Obtain input from affected stakeholders within the County organization
- Obtain relevant best practice information
- Report results with recommendations.

San Mateo County Context[1]

San Mateo County covers 531 square miles, of which 54 miles is coastline. Seventy-four percent of the land within the County is in agricultural use, watershed, open space, wetlands or parks. The County population was 723,453 as of January 1, 2005, of which 64,414 were in

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[1] Source: County of San Mateo Profile, 2005

unincorporated areas. San Mateo County is the 14th most populated of California's 58 counties.

According to 2000 U.S. Census data, San Mateo County is one of the most ethnically diverse communities in the nation: 49.8% of County residents are Caucasian, 21.8% are Hispanic, 21% Asian/Pacific Islander, 3.3% African American and 4.1% are other.

The County's 2003 median family income was $84,171 -- the highest in California and the 11th highest in the nation -- while the mean family income was $106,647.

San Mateo County is home to San Francisco International Airport ("SFO"), the Port of Redwood City and five Bay Area Regional Transit ("BART") stations, in addition to BART-SFO. While SFO is owned and operated by the City and County of San Francisco, it is important to the economy of San Mateo County.

Air transportation is the County's single largest industry, with many people employed by the airlines, cargo carriers, restaurants, aviation suppliers and other SFO-related business and support services.

The Port of Redwood City has a deep-water channel and handles bulk cargo, including lumber and scrap metal. In FY2002-03, the Port handled a record 1,111,400 metric tons of cargo, 23.5 percent higher than the prior year.

BART weekday ridership to SFO and the five San Mateo County stations averaged 41,755, according to the May 2005 multimodal ridership report. That is a six percent increase over 2004 ridership.

County Government[2]

The San Mateo County Charter requires each of the five members of the Board of Supervisors to reside within one of five geographic supervisory districts and to be elected at large by all voters of the County. Supervisors are elected to four-year terms and are limited to no more than three terms. The Board of Supervisors makes policy for county government activity, except for those functions reserved for other elected officials. The Board legislates and sets policy, and it administers county government through ordinances and regulations. The County Manager and County Counsel are appointed by the Board of Supervisors.

The County has approximately 5,400 full-time employees serving residents, visitors and businesses. A full range of services are provided by County departments. Seven of the departments are headed by elected officials: Assessor, County Clerk-Recorder, Controller, Coroner, District

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[2] Source: County of San Mateo Profile, 2005; Budget Message, 2005

Attorney/Public Administrator, Sheriff and the Tax Collector/Treasurer. The Court Executive Officer and the Chief Probation Officer are appointed by the Superior Court. All other department heads are appointed by, and report directly to, the County Manager: Health, Medical Center, Human Services, Information Services, Public Works, Environmental Services, Child Support, Housing, and Employee and Public Services.

STUDY APPROACH

Management Partners' study of the San Mateo County organization was conducted using a number of analytical and management techniques, which are discussed in more detail below.

Selection of Reference Jurisdictions

One component of this study was the identification of "reference jurisdictions," or other counties with some similarity to San Mateo County, to be used as a point of comparison. Some of the principal factors used to identify San Mateo's reference counties included population, median family income, median housing value, the 2000-2004 population growth (or shrinkage), percent of population below poverty, and county size. County size is a proxy for both the smaller county size of an urban county, and the size and scale of the service delivery area.

One of the traditional methods of selecting reference counties is by population, although this one criterion is insufficient on its own. For this selection process, we also considered median family income, median housing value, percent of population below poverty; and total population and shrinkage/growth over the past five years.

The following *six counties* were selected as reference counties because four or five of the above-mentioned criteria qualified them as most similar to San Mateo County: *Santa Clara, Alameda, Contra Costa, Sonoma, Solano, and Ventura.*

Individual Interviews

We conducted interviews with the Board of Supervisors, County elected officials, department directors, legislative aides to the Supervisors, and many key staff members in all County departments. A total of 79 individuals were interviewed, and several group interviews were conducted with County staff.

Hearing directly from those individuals responsible for the services delivered by the County was an important element in our data collection process. We asked questions about County strengths, opportunities for improvement and key issues that need to be addressed. Our interviews produced information about values of the organization, areas for inquiry

and analysis, services about which people are proud, and areas in which improvements may be made.

Focus Groups

To garner a wide variety of organizational perspectives, Management Partners facilitated seven focus groups with a cross-section of County employees. Three focus groups explored specific topical areas on the issues of Alcohol, Drug and Tobacco services, Children's and Family Services, and Municipal Services. These groups were primarily comprised of high-level management from the applicable departments.

Management Partners also facilitated four general focus groups to explore a wide variety of topics. One general focus group included only management and supervisory-level employees selected randomly from across the organization. Three other general focus groups included a cross-section of non-management employees selected randomly from across the organization.

In addition to the seven focus groups, Management Partners invited the County's labor groups to a meeting to garner labor's perspectives on County issues. Representatives of three County labor groups participated: Deputy Sheriffs Association, Service Employees International Union; and the American Federation of State, County and Municipal Employees.

Document Review

A wide variety of County documents were reviewed and referenced during the course of this study, including budgets, organization charts, strategic plans, course catalogs, and various programmatic data as provided by County managers.

COMPARISONS WITH OTHER COUNTIES

Selection of Reference Counties

Six counties were used as points of reference for comparisons relating to general service demand. We evaluated specific data from those counties pertaining to staffing countywide, in the county manager/chief executive/chief administrator office, in the Clerk of the Board function, and in the Board of Supervisors' offices. The reference counties are ***Santa Clara, Alameda, Contra Costa, Sonoma, Solano and Ventura.***

Six principal criteria were used to identify other counties with which to compare San Mateo County's staffing:

      (1) 2005 estimated population
      (2) 2000-2004 population growth/shrinkage
      (3) Median household income
      (4) Value of owner-occupied housing
      (5) Percent population living below poverty level
      (6) County size in square miles.

One of the traditional methods of selecting reference counties is by population, although this one criterion was insufficient in this particular process. Other relevant criteria include median family income, median housing value, and percent of population below poverty. These criteria relate more closely to the type of services the County delivers, while also serving as indicators of community needs for such services. County size is a proxy for both the smaller county size of an urban county, and the size and scale of the service delivery area.

To determine counties that may be good comparisons with San Mateo, we initially looked at California counties with a population that ranged from half of San Mateo's to those with double the population. Table 1 below shows the counties in this group:

TABLE 1: POTENTIAL REFERENCE COUNTIES RANKED BY POPULATION

Santa Clara	1,759,585
Alameda	1,507,500
Sacramento	1,369,855
Contra Costa	1,020,898
Fresno	883,537
Ventura	813,052
Kern	753,070
San Mateo	**723,453**
San Joaquin	653,333
Stanislaus	504,482
Sonoma	478,440
Monterey	425,102
Solano	421,657
Santa Barbara	419,260

For purposes of this study, California Department of Finance estimates were used for 2004 and 2005 population estimates, and estimated population growth/shrinkage for 2004-2005. U.S. Census estimates were used for all other data, including the 2000-2004 population growth/shrinkage estimates.

Those counties within 35% of San Mateo County's population were deemed to have met the first criterion, 2005 Estimated County Population.

Those counties with less than 7% growth met the second criterion, 2000-2004 Population Growth/Shrinkage. There is a significant difference in the population growth rates of the counties along the northern and southern coasts of the State, as compared to the central valley counties.

As to the third criterion, Median 1999 Household Income, those counties with a median income of $50,000 or greater met this criterion. Median Household Income is a proxy of ability to pay for the cost of living in a community, as well as an indicator of the high level of income required due to higher housing costs.

Those counties with an Owner Occupied Housing value of $200,000 or greater met the fourth criterion, 2000 Value of Owner Occupied Housing. Housing value separates the central valley counties from the coastal regions of the State, bringing with it affordability and service issues.

For criterion number five, Percent of Population Living Below the Poverty Level (1999), those counties with a percentage of 11% or less met this criterion. The percent of population living below poverty can be

misleading as an indicator for service delivery needs because the cost of living is significantly higher in the coastal regions of the State (see Cost of Housing).

Those counties of 1,300 square miles or less met criterion number six, County Size in Square Miles. The geographic size of counties is both a measure of the decentralization of the service delivery area, as well as a proxy for urban counties with higher land costs.

Selection criteria for San Mateo and the six reference counties derived from the above analysis are shown below in Table 2.

TABLE 2: SELECTION CRITERIA FOR REFERENCE COUNTIES

County	Population	Growth Rate	Median Family Income	Median SF Housing Cost	% Below Poverty Level	Square Miles
Alameda	1,507,500	0.8	$55,946	$303,100	11	738
Contra Costa	1,020,898	6.4	$63,675	$267,800	7.6	720
San Mateo	**723,453**	**-1.1**	**$70,819**	**$469,200**	**5.8**	**449**
Santa Clara	1,759,585	0.2	$74,335	$446,400	7.5	1,291
Solano	421,657	4.7	$54,099	$178,300	8.3	829
Sonoma	478,440	2.1	$53,076	$273,200	8.1	1,576
Ventura	813,052	5.9	$59,666	$248,700	9.2	1,845

It is interesting to note that even among counties that were identified as most similar, San Mateo is unique in several ways. The County was actually at the high or low end of the spectrum in each comparison except family income, where it ranked second highest. Specifically, San Mateo showed the slowest growth rate, had the highest housing costs and the lowest percentage of population below the poverty line. It was also the smallest county in terms of square miles.

What this means is that even among counties objectively selected to be similar to San Mateo, the County still stands out as "different". This tends to make comparisons less useful.

Details on each reference county criterion and the specific results of each comparison are shown in more detail in Attachment A.

Other Points of Comparison

Counties in California deliver both State-mandated and locally determined services. Revenues are largely driven by State subventions, and the county share of local property tax and sales tax. Expenditures are driven to some degree by the size of the county (both population and square mileage) and the percentage of population that resides within incorporated cities, as opposed to unincorporated county lands.

Total revenues in the reference counties tend to range from about $900 per capita to $1,400 per capita. Expenditures range from just under $1,000 to approximately $1,300. As shown in Figure 1 below, San Mateo had the second lowest revenue and expense per capita (FY2003 data):

FIGURE 1: COMPARISON OF REFERENCE COUNTY REVENUES AND EXPENDITURES
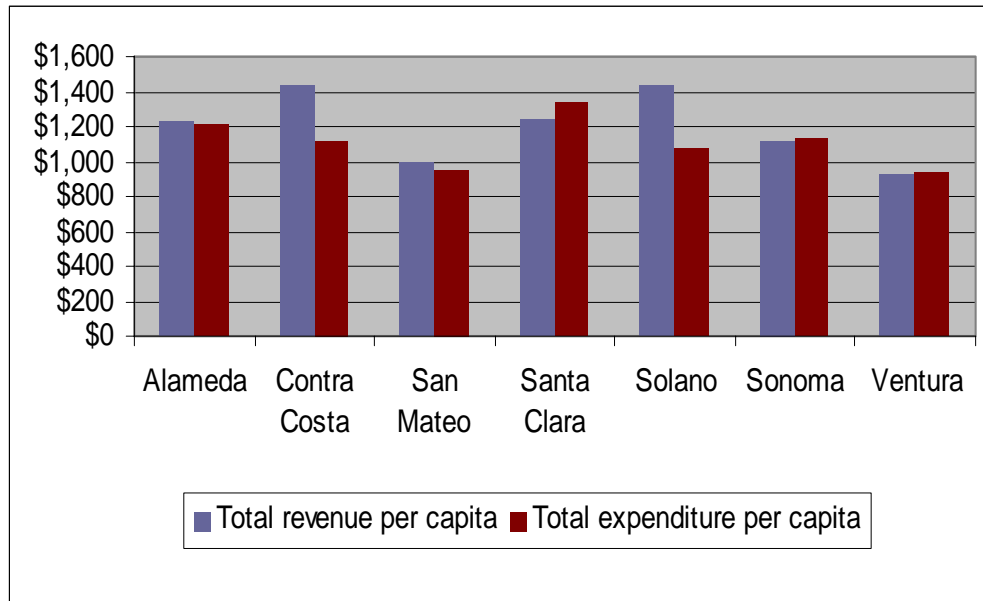
San Mateo's ranking probably reflects that a large part of the County population lives in incorporated areas and that the County is physically small.

Another point of comparison is overall county staffing per 1,000 population. This is a simple way to compare San Mateo County's overall staffing with other counties.

As Figure 2 below illustrates, a review of 2004-05 full-time equivalent employees (FTEs) shows that San Mateo County staff ratio compares favorably to those of reference counties. Reference counties had an average of 7.4 full-time positions per 1,000 residents, as compared with 6.9 positions in San Mateo County.

FIGURE 2: FTEs PER 1,000 RESIDENTS AMONG REFERENCE COUNTIES

Full Time Employees per 1000 County Residents
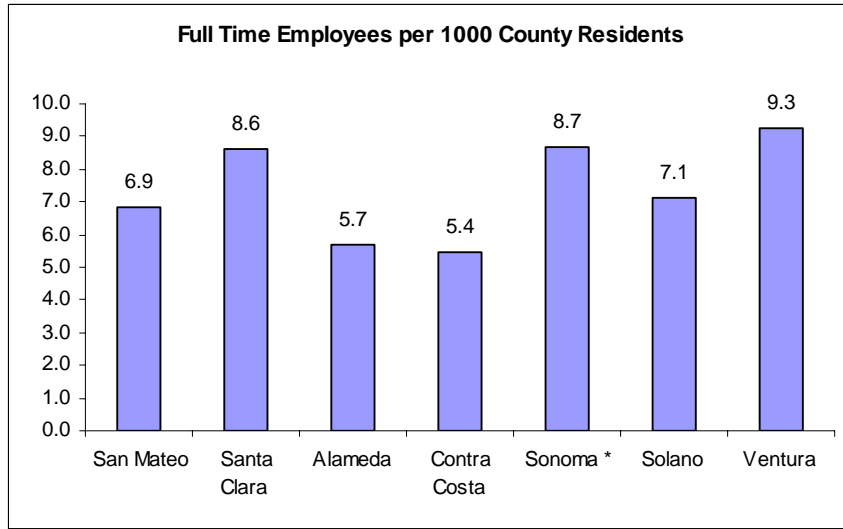
This comparison data suggests that San Mateo is a relatively unique county. It has some of the highest incomes and housing costs in the State. County government, however, tends to have both spending and revenue levels that are below those in other comparison counties.

FOCUS GROUPS

To garner a wide variety of organizational perspectives, Management Partners facilitated seven focus groups with a cross-section of County employees, and a meeting with representatives of the County's labor groups. Three of the seven focus groups explored specific topical areas of interest; four were general in nature.

Topical Focus Groups

The three topical focus groups were:
- Alcohol, Drug and Tobacco Services
- Children's and Family Services
- Municipal Services

Participants in the three topical focus groups were selected by the County departments engaged in the particular issue, with input from the County Manager's Office. Generally, participants in those three groups were upper-level management from the representative departments. The three topical focus groups were conducted in an informal question-and-answer format, using small workgroups to explore and respond to specific questions. The results of the small workgroups were then shared and further discussed with the large group.

The comments from the three focus groups can be found as Attachment B of this report. A brief summary of the major themes and issues expressed during the three focus groups follows.

Alcohol, Drug and Tobacco Services
Participants in this focus group were from the following departments:
- Human Services Agency
- Probation
- Department of Child Support Services
- Courts
- Health Department
- District Attorney's Office
- San Mateo Medical Center
- Sheriff's Department

Participants observed that all County departments are affected by drug and alcohol issues, either through their role in service delivery or within their workforce. There was agreement that alcohol and drug problems are

more complex now, as many clients have multiple diagnoses. That results in the need for a more client-centered, cross-discipline approach to service provision.

Services are provided late in the clients' cycle of needs, at a high cost to the County (e.g., hospital, courts, District Attorney's Office). The County would be more efficient in spending resources for prevention – and earlier in the treatment of alcohol, drug and tobacco problems.

Focus group participants expressed concerns about resources being concentrated on a relatively few people, while there is a much greater need in the community. An increasing number of clients are from different cultures and are not native English speakers. Departmental representatives suggested the County needs a strategic plan to effectively address alcohol and drug issues, and better coordination within the County and community. A committee led by the Human Services Agency currently is leading the development of a strategic plan for alcohol and drug services.

Children's and Family Services

Participants in the Children's and Family Services focus group were from the following departments:
- Courts
- Human Services Agency
- Department of Housing
- Health Department
- San Mateo Medical Center
- Information Services
- Probation
- District Attorney's Office
- Sheriff's Office
- Department of Child Support Services

Participants noted that service trends are showing an increasing number of non-English speaking clients which, in turn, results in challenges for communicating access to County services. The growing demand for services and rising County cost of living exacerbate client needs.

Program emphasis increasingly is on early identification, intervention and prevention. While program-level collaboration and coordination between County departments was viewed as being quite good, more strategic coordination at the executive level is desired to solve problems and develop policies across departmental lines.

There also was a desire to increase education internally, so that staff members are aware of other departments' programs and methodologies, and can provide more effective client services. Data cannot be shared across departments, and clients cannot be tracked across the County (in part due to confidentiality requirements). At the end of the focus group, participants said it was useful for them to be in the same room sharing information and insights.

Municipal Services

Participants in the Municipal Services focus group were from the following departments:

- County Manager's Office
- Department of Housing
- Health Department
- Information Services
- Public Works
- Environmental Services Agency

Participants noted that the County geographic areas that generate the most complaints tend to be locations with multiple layers of agency oversight (e.g., the coastal region of San Mateo County). Services provided on a regional or countywide basis -- such as EMS, fire dispatch, and hazardous materials -- were viewed as some of the County's most effective.

The most significant customer issue noted by focus group participants is the need to help customers navigate between multiple agencies, including those outside of the County organization (i.e., sewer districts, Coastal Commission). As noted in the other focus groups, participants do not believe the County is keeping pace with the increasing service demands of an aging population, and one with increasing cultural and language diversity.

General Focus Groups

In addition to the three topical focus groups noted above, Management Partners facilitated four general focus groups to explore a wide variety of topics with a broad cross-section of County employees. One of the four general focus groups included only management and supervisory-level employees. The other three included a cross-section of non-management employees from across the organization. Employees were randomly selected by EPS using information from the Controller's Payroll Division.

These focus groups explored a wide variety of topics, ranging from "What works?" and "What doesn't work?" to "Tell us about hiring and promotional processes" to "How do the internal service/support departments work?" Verbatim comments from all four focus groups have been integrated into one report found as Attachment C of this report. A summary of key themes is as follows.

In the general focus group comprised of supervisors and management employees, they noted that San Mateo County is a leader among county governments, and they appreciated its sound fiscal foundation, family-friendly benefits and flexible work scheduling. Nonetheless, participants stated that increased communication between departments could reduce missed opportunities for collaboration.

Participants stated that department barriers, referred to by some individuals as "departmental silos," should be lowered to improve system navigation by customers. Participants suggested that the County provide more training and education for employees about services and programs in other departments, so that employees would be more knowledgeable in serving customers.

Participants thought the County's training programs were very good, but that there should be greater linkage to help individual employees gain the skills necessary for promotion. Some expressed concerns that County policies are not always fair and equitable across departments (e.g. work breaks or flexibility to accommodate public transportation schedules).

Some of the opinions expressed in the three non-management focus groups were similar to those expressed in the supervisors and management group. For instance, employees appreciate the County's benefits and work scheduling, have similar concerns regarding customers' ability to navigate County services, and desire more communication across department lines to improve understanding and collaboration.

But some non-management employees stated they feel that they are not involved, or even informed about, policy or program changes until very late and they have difficulty understanding them or explaining them to customers.

Additionally, some non-management employees believe the hiring and promotions process lacks fairness -- that promotions are often filled by "hand-picked" employees. Employees also indicated they seek a "big picture" view of the County to better prepare themselves for advancement and to better help customers navigate the system.

Some said there are too many supervisors and managers, and not enough line employees, with the additional concern that supervisors are not held sufficiently accountable for their actions. Employees are concerned that knowledge is being lost as long-term employees leave, and they suggest that the County try to have a period of overlap between the retiring employee and his/her successor to build in a training period.

Some employees commented that the County "waits out" or transfers problem workers rather than deal with performance issues. Some individuals said morale was low and that some employees were leaving the County because they were not sufficiently recognized for good performance.

We heard frustrations from employees in the non-management focus groups that they are not asked to provide input about changes in policies or procedures before decisions are made. Adding to their frustration is that employees feel they are not given enough of the background and rational for the changes, which results in the employee in the field having difficulty communicating the reasons for the change to customers.

Additionally, participants said that important information about the County available to top- and middle-level employees is frequently not communicated well to line employees. The effect is that line employees feel like they are in the dark much of the time.

The overall tenor of comments heard in these focus groups suggests there is a disconnect between management and non-management employees. We have provided recommendations under several other categories of business issues in the balance of this report that are intended to help strengthen employee-management communications and relations.

Labor Group Input

Management Partners invited representatives of the County's nine bargaining units to a discussion of County issues. Those attending included representatives from American Federation of State, County and Municipal Employees (AFSCME), Service Employees International Union (SEIU), and Deputy Sheriffs Association (DSA). The union representatives identified a number of concerns, and offered suggestions for improving the County, as well as views about the County's successes.

Union representatives commented that the County is good at providing services to customers, takes care of its employees relatively well, and offers a good onsite accelerated degree program. Participants expressed concerns that promotional opportunities are too limited, and that the County appears to groom favorite candidates for those positions, rather than provide advancement opportunities to all qualified candidates.

Union representatives said that employees often feel they know in advance of a hiring process who will get the promotion. They also talked about the County's practice of rehiring retired Deputy Sheriffs, rather than recruiting and promoting young, new officers who could provide years of future service. Other concerns were that Extra Help employees do not always qualify for permanent positions when hiring opportunities arise; about the safety of Sheriff Deputies; limited benefits choices; overall staffing shortages; and the future of the hospital.

Union representatives suggest that there are opportunities for improvement for the County in succession planning and professional development. Many of the comments made by union representatives were also heard in the general focus groups composed of randomly selected management and non-management employees from throughout the organization.

CORPORATE ISSUES

Through interviews, focus groups, document reviews and application of knowledge of best practices, Management Partners identified a number of corporate issues for consideration by the County. Additionally, Management Partners was asked to review specific issues. This section on Corporate Issues addresses all identified issues in the two categories of **organization-wide issues** and **organization structure issues**, as listed below:

Organization-Wide Issues:
- Organizational culture
- Communications
- Succession planning
- Training
- Hiring and promotional practices
- Performance feedback
- Information technology
- Departmental review process
- Organizational names and titles

Organization Structure Issues:
- Board of Supervisors' staffing
- County Manager's Office staffing
  - Multi-disciplinary leadership
  - Clerk of the Board staffing
  - Assessment Appeals Board process
  - Administrative Services
  - Community Services
  - Intergovernmental and Public Affairs
- Employee and Public Services
  - Human Resources
  - Mail Center/Copy Center/Purchasing
  - Public Safety Communications
  - Revenue Services
- Environmental Services
  - Planning and Building
  - Local Agency Formation Commission
  - San Mateo County Library Joint Powers Authority
  - Parks and Recreation
  - California Department of Forestry contract administration
  - Animal Control Services

- - o Agriculture, Weights and Measures
  - o University of California (UC) Cooperative Extension
  - Public Works
  - Alcohol, Tobacco and Other Drug Services
  - Children's and Family Services
  - Planning and Evaluation

Organization-Wide Issues

This section addresses organization culture, communications, succession planning, supervisory and management training, hiring and promotional practices, performance feedback, information technology, and organization names and titles.

Organizational Culture

Two themes that describe the organizational culture of the County of San Mateo emerged from the interviews with senior executives and elected officials: *collaboration* and *innovation*.

Interviewees consistently stated that the County has a strong culture of collaboration and an environment that encourages innovation. Individuals said that San Mateo County programs are recognized regionally and nationally for their excellence, which helps the County recruit outstanding talent to the organization. Senior executives and elected officials alike cited numerous ways in which the County responds creatively to challenges and service demands, and the ways in which County programs are recognized as best practices.

In focus groups, managers and non-managers reported that they believe the County does an outstanding job of providing valued services to the public in ways that are innovative and cost effective.

All of the elected and appointed executives interviewed were consistent in their comments that one of the best attributes of San Mateo County is that people are oriented toward working collaboratively in the interest of the public. This cultural value is stated in the County's *Shared Vision 2010* document as #22, "County and local governments effectively communicate, collaborate and develop strategic approaches to issues affecting the entire County."

People reported that department heads are eager to assist each other, that there are many interdepartmental teams working on service improvements, and that people are wiling to help others solve problems. Additionally, the mutual respect among elected officials, appointed executives and staff was apparent through the interviews.

The theme of collaboration also was voiced during the three topical focus groups pertaining to substance abuse services, municipal services, and services for children and families. Those groups were comprised of senior

level managers in each of those areas, representing all of the departments who serve common constituents in some manner. In all of those focus groups, the managers cited many examples of service excellence through collaboration.

They also cited some barriers to effective collaboration, such as lack of information technology systems that would enable them to share information about clients, being stretched thin on staff resources, being physically located in various buildings, and not being completely knowledgeable about the services being offered by other departments. Many individuals stated that more information and communication on the services, programs, operations and issues of County departments is needed to strengthen collaboration.

Individuals in the focus groups pertaining to substance abuse and services to children and families cited a need for executive-level discussions and problem solving on specific issues. They indicated that while they work collaboratively, it is most often on a program or project basis. But some of the issues facing the County need strategic attention, with executive level individuals convened for broader problem solving and strategic planning.

In contrast with the consistent comments from elected officials and senior level managers about collaboration, the three general focus groups of non-management employees and the one of randomly selected mid-managers produced different results.

In those groups, employees stated that they do not think there is strong collaboration between departments, or between management staff and other employees. They did not believe they are consulted as much as they should be when changes are made. They believe they have insights and contributions to make before policies or procedures change, but they are not included in those discussions.

When asked what they think may have contributed to the County's collaborative culture, many individuals stated that it has just been that way for as long as they could remember. Some possible reasons cited include the long tenure of elected officials, executives, and other staff; the election of the Board of Supervisors on an at-large basis; the relative flatness of the organization, without layers between the County Manager and department directors; and the County Manager's management approach.

Collaboration as a San Mateo County value, particularly at the executive and elected official level, is institutionalized in a number of ways. For instance, collaboration is fundamental to the *Shared Vision 2010*, on the rating sheets for evaluating candidates for positions, in interview questions for management and other positions, incorporated into new employee orientations, and is a standard corporate practice.

Despite such a clear emphasis, employees in both individual interviews and focus groups expressed desire for improved collaboration and communication across departments. Focus group participants suggested that the County could improve how it leverages resources between departments and programs. While there is great variability in mission and operations between County departments and divisions, having guidelines to follow to ensure a strategic Countywide approach to new programs or operations could reduce missed opportunities.

> **Recommendation 1: Create guidelines for consulting others and identifying potential collaborations whenever departments initiate new programs or policies.** Such guidelines would be a tool to remind managers to check with other departments for areas of synergy, collaborative opportunities, and to identify potential ways to work with non-profit and business sectors. Requests for funding of new programs would be accompanied by a completed checklist to ensure such opportunities have been explored.

The culture of collaboration and innovation appears to result from strong systems that support those values and the people who have been in leadership positions for many years. As these individuals retire, which is under way and will be for the next 10 years, it is essential to keep the values of collaboration and innovation in the forefront of hiring decisions and systems.

> **Recommendation 2: Publicize, both externally and internally, the innovations for which the County is recognized by outside groups.** This would serve several purposes, including reinforcing the value and expectation of innovation, fostering public confidence in the value they are receiving through County services, and highlighting the County as a work environment that encourages excellence, which helps recruit the best workforce.

Innovations come out of a desire for excellence, commitment to problem solving, an environment in which employees can be creative, skills in problem solving and change, and having talented individuals and teams. Successful implementation of new programs requires the engagement of employees who must carry out the new efforts. Additionally, the County must be able to attract bright, capable employees, and provide them with the skills needed to make improvements to programs and systems -- continuing the culture of innovation.

> **Recommendation 3: Provide training for managers in methods of engaging employees in evaluating change, continuous improvement processes, and creating implementation plans for new programs or changes.** Engaging employees in problem solving and planning for

change will strengthen internal effectiveness and relationships.

Communications

Through interviews and focus groups, we learned about the ways in which the County communicates with the public and internally with staff. We heard suggestions for improvement in both arenas.

External Communications

Members of both topical and general focus groups expressed the need for more and improved external communication with customers. In our review, we learned that there are a variety of methods used to communicate with the public, including the County's website, brochures, meetings, annual reports, Board of Supervisors' offices, and the many interactions County staff have with the public.

Many County departments survey their clients about their needs and satisfaction with services, and then use the data to improve services and communications. Organizationally, external communications are handled by each department for their specific services, with the County's annual report, *Shared Vision 2010*, and various other communication pieces produced by the Deputy County Manager for Intergovernmental and Public Affairs in the County Manager's office.

Still, staff in the topical focus groups and senior managers in the direct client service functions (e.g., Human Services, Health, Sheriff, among others) felt the County needs to improve its methods of reaching out to people in need of services, particularly those who are not English speaking.

In the general focus groups, the concern was more that the County system is large and difficult for the typical user to navigate to find services they need. The County has an extensive internet website chock full of information for customers. But employees said it could be easier to use, and that other ways of communicating with the public should be created.

> **Recommendation 4: Create a 90-day task force comprised of managers and line employees from a cross section of County departments to recommend improvements to external communication.** The task force would make specific recommendations to the County Manager on the proposed methods and costs. The Deputy County Manager for Intergovernmental and Public Affairs would coordinate and provide advice to this task force.

Internal Communications

A recurring theme from interviews and focus groups was the need for improved internal communication. This came up in a variety of ways. Senior managers and employees in the general focus groups talked about the need for more information about programs and services across

various departments, so that employees can better serve clients. Managers and supervisors believe that inter-departmental collaboration can be improved, in part, through improved communication.

Employees feel that they need a better "big picture" understanding of County operations to help customers navigate the system, and understand County policies and procedures. The same "big picture" understanding would also help employees identify possible career and promotional opportunities within the County family.

At present, there is no centralized internal communication function for all County employees, similar to a Public Information Officer (PIO) for external communication. The Board of Supervisors and County Manager rely upon internal committees, subcommittees, and other inter-department groups for information sharing. A sample list of such committees includes:

- Executive Council
- Fiscal Operating Committee
- Payroll Council
- Information Technology Committees

All Board of Supervisors meetings are televised on the County's Intranet and employees may watch if they so desire. In addition, County press releases are posted on the County's webpage and the County Manager's office prepares an annual report that is distributed to all County employees (as well as the public). E-mails are used to a great extent, though not all employees have easy access to e-mail and/or computers. The County has an intranet for links to department websites, information such as Commute Alternatives Program, Recycling Programs, surveys, County forms and documents, informational manuals, and personnel information such as benefits and training.

Most other information is distributed by departments on a decentralized basis (e.g., EPS disseminates information about human resources and training; each department distributes information to their staff in ways of their own choosing).

Some County departments, such as the Medical Center and Human Services Agency, publish internal newsletters for their employees. The County Manager's office has discussed its desire to put out a more regular report to employees, perhaps on a quarterly basis. This project has not been pursued due to lack of resources.

During the course of this organizational review it became apparent that executive management often relies upon "trickle down" communication – the expectation that information shared with department heads and upper-level managers will make its way down to the lower levels of the organization. However, employees noted in focus groups that this does not always occur. For instance, several employees participating in the

general focus groups were unaware of this organizational review and/or its purpose and scope.

Numerous methods of improving communication with employees could be explored for costs and efficacy of implementation within San Mateo County. Some examples include:

- *Interdepartmental meetings:* Group meetings with division-level managers in the organization hosted on a rotating basis by different departments
- *E-mail:* Dissemination of information by e-mail "blasts" or newsletters to all County employees
- *Interactive computer bulletin boards:* The County could have an internal bulletin board for employees. There could be general information segments, a "Question & Answer with the County Manager" folder to allow for two-way dialog, surveys to employees on various County topics (specific departments, services, or activities), and/or "quizzes" to educate employees on County policies and procedures in a fun manner. For example, a "mystery division" can be described and employees might guess which area it is; this would educate all employees as to this area's work and job duties of employees there.
- *Pay stub stuffers:* Hard copy messages could be included with County paychecks.

Recommendation 5: Establish specific expectations for department heads regarding communications. The County Manager's Office should be explicit regarding its expectations for department heads to disseminate certain information throughout the organization. A specific nomenclature to identify "countywide" messages should be put into place so that department heads know which messages must "trickle all the way down."

Recommendation 6: Establish a procedure that assures that information about policy change is distributed to all affected employees detailing the background and reasons for the policy change. Since line employees are in the field and have daily contact with customers, it is essential that they understand the context of County policies and be able to communicate them to customers. A variety of methods can be used for disseminating information, including email, memoranda, intranet and subject-specific meetings.

Recommendation 7: Create a 90-day task force comprised of managers and line employees from a cross section of County departments to recommend improvements to internal communications. Employees will be eager to help shape improved communications

channels and to work with senior managers on the process. It fosters collaboration on a topic identified as important to staff. The task force would make specific recommendations to the County Manager on the proposed methods and costs. The County Manager's Office would convene and coordinate this task force.

In addition to the above recommendations, Management Partners suggests the County Manager's Office could assume a greater role in ensuring appropriate information is communicated to employees using the Deputy County Manager for Intergovernmental and Public Affairs to oversee this responsibility. More on this subject is provided in a subsequent report section that addresses the organization of the County Manager's Office.

Succession Planning

A primary focus for this organizational review is succession planning for the County. As key managers retire, the County seeks an assessment of current succession planning efforts and the means to improve for the future.

The need for succession planning is well documented as both private and public sector organizations face the approaching baby boomer retirement wave. As baby boomers approach 55 to 60 years of age, they are leaving the workforce in record numbers. Compounding the problem, there are not as many workers in subsequent generations to take their place. According to an International City/County Management Association (ICMA) report:

> Demographics show that, as baby-boomer chief executives retire, fewer young professionals are available to take their places. The U.S. Bureau of Labor Statistics predicts a replacement gap: by 2006 there will be 151 million jobs in the U.S. economy, but only 141 million people in the workforce to fill them. Across all sectors, but especially in the public sector, the greatest turnover in aging workers will be in executive, administrative, and managerial occupations. The General Accounting Office -- the audit, evaluation, and investigative arm of the U.S. Congress --reports that 53 percent of the middle managers in the federal workforce will qualify for retirement by 2004. And, because five out of eight public sector employees work in local government, city and county governments are particularly at risk.[3]

Government pension systems also contribute to the problem, as there can be disincentives to working years beyond the typical retirement date in a defined benefit plan. In the private sector, which has moved largely to defined contribution plans, this disincentive does not exist.

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[3] Preparing the Next Generation: A Guide for Current and Future Local Government Managers," ICMA 2003

Additionally, an anti-government bias that has been evident in the last 20 years has discouraged young people from selecting public service careers. Many of the "baby boomers" who are now retiring were inspired by leaders who called upon people to serve the public. College students and others are still selecting public service careers, but simply not in the numbers as before.

Other troubling labor factors include that government organizations are often viewed by younger generations as slow, technologically behind the private sector, bureaucratic and not competitive in terms of salaries and benefits. As noted by the International City/County Management Association:

> "New generation employees are most attracted to organizations with current technology and a collaborative working environment. Young people in Generation X (born 1964–1977) and Generation Y (born 1977–1997) exhibit values different from older, baby-boomer managers. The younger generations emphasize a balanced life and are less willing to sacrifice family and other personal activities in the interest of career advancement. Focus groups report that current Generation X local government employees often perceive chief executives to be singularly focused on work and overwhelmed, abused, and attacked. To exacerbate matters, city and county managers have done a poor job of promoting the benefits and rewards of their work."[4]

The government sector in California is being affected by some other factors as well. Since the passage of Proposition 13 in 1978, and the anti-government sentiment represented by its passage, local governments and elected officials have been hesitant to increase fees, assessments or special use taxes as the cost of providing services increased. This has been compounded by the State of California's own fiscal crises, State decisions to shift revenues from cities and counties, and responsibilities that are shifting from the State to local governments.

Consequently, cities and counties have had to reduce personnel to live within their means. One common strategy over the years has been to thin the middle management level so that direct service delivery positions are preserved. The result today for many local government organizations is a lack of bench strength at the upper middle management level -- particularly at the assistant department director level, where successor department directors would normally be found.

Recent awareness of the higher pace of retirements, and the smaller pool of people to replace retirees, has led cites and counties to explore new ways of ensuring they have the talent and skills necessary to provide service in the future.

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[4] Preparing the Next Generation: A Guide for Current and Future Local Government Managers," ICMA 2003

The traditional approach of filling positions is the "just in time" method of beginning a recruitment process once someone has announced his/her retirement. It worked well in the past because there was a large pool of people interested in working for local government and enough employees in the middle ranks who were interested in moving into leadership positions. But that's not the case now.

One new approach is to engage employees several years before they expect to retire in the process of planning for succession. That could prevent significant institutional knowledge from disappearing as larger numbers of people leave in a more compressed period of time.

Other strategies: Organizations also should document institutional knowledge where possible, provide for overlap from the incumbent to the new person in a position, and mentor candidates in advance so they will be read to take on higher-level responsibilities.

San Mateo County Retirement Projections

Management Partners analyzed County employee ages and retirement trends for the period 1994 through 2005 to make retirement projections for the period 2006 through 2020. These projections are based on actual workforce and retirement history over the period 1994-2005. On average County employees retire at between 58 and 59 years old. Over 90% of County employees retire before age 65. The projections generated from the trend analysis are shown on Figure 3 below:

FIGURE 3: ACTUAL AND PROJECTED COUNTY RETIREMENTS, 1994-2020
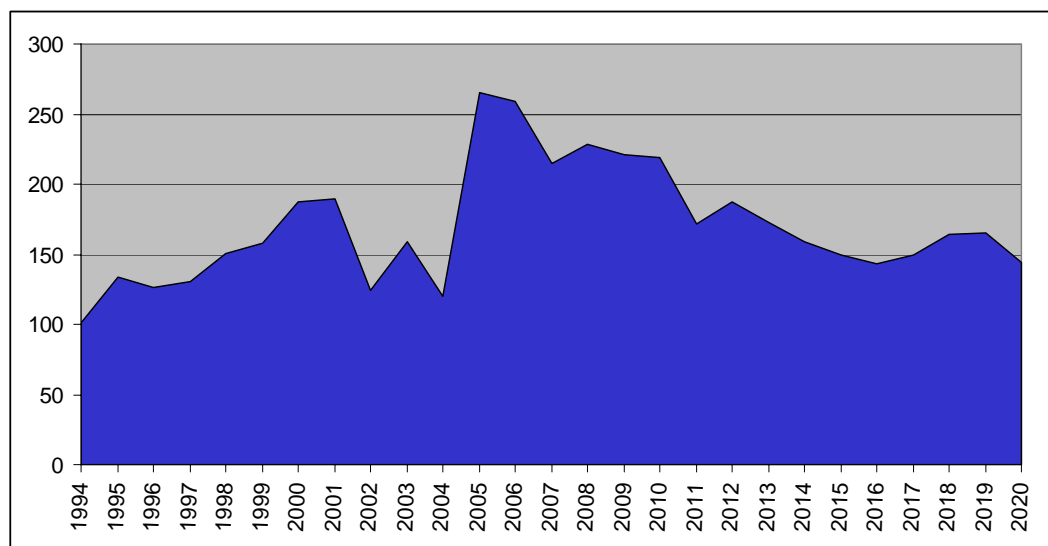
It is apparent that the actual number of retirees each year is spiking up and will drop incrementally over the next 10 years or so. In the period 1994-2004, the actual percentage of workforce retiring in San Mateo

County averaged 2.7% annually. For the period 2005-2010, our projections suggest that County may see 4.4% of the workforce retiring each year, on average. What this means is that the number of retirements will almost double and the County will need to replace almost one-fourth of the total workforce in the 2005-2010 period.

This analysis also demonstrated that the retirement wave is not about to hit the County of San Mateo -- it is already happening, with more than 250 retirements in 2005. In the period 1994-2004 total retirements never reached 200 employees per year. Our projections also indicate that the current wave will subside, and by 2015 San Mateo County will be back to a rate of retirements of about 2.7% of the workforce annually. Enhancements to the retirement packages that occurred between mid-2003 and early 2005 are likely the primary cause of the higher rate of retirements since 2005.

This has become an important issue to San Mateo County, given the high percentage of San Mateo County management 50 or more years of age with significant years of experience. Table 3 below shows the large number of County managers and supervisors, a group of 816 employees. Forty-nine percent (49%) of this group is over age 50.

TABLE 3: PROFILE OF SUPERVISORY/MANAGEMENT RETIREMENTS

Profile of County Management by Level, Tenure, and Age	Positions in Level	Number Under 50 Years Old	Over 50 Years Old	% Over 50 Years Old	Examples of Titles
Top Management	69	18	51	74%	Dept Head, Deputy Director, Assistant Deputy Director, Division Manager
Mid-Level	287	125	162	56%	Program Manager I, Program Manager II
Journey/Advanced Journey Level	73	49	24	33%	Management Analyst
Supervisors	387	221	166	43%	Line Supervisor
Total	816	413	403		
		51%	49%		

Many of the County's top managers -- including department, division, assistant and deputy directors -- have significant tenure with the County. This group includes 69 employees, and 74% of them are already over 50 years old. Twenty-eight percent (28%) are between 55-60 years old, and 14.5% are over 60 years of age.

Of the 287 mid-level managers in the County, 56% percent are over the age of 50. This high level of turnover is compounded by the substantial tenure they also have with the County. For example, 53% of mid-level managers currently have 15 or more years of service, 37% have 20 years or more of service, and 24% (or 68 employees) have 25 or more years of service. A particularly important area of focus for the County is the fact that 18 of top management positions are held by employees with 20 or more years of service.

Of the 387 supervisory staff members, 166 (43%) are 50 years or older. As in the case of the County's mid-managers, supervisory personnel have significant tenure with the County. Of that group, 53% have 15 or more years of service, 33% have 20 or more years of service, and 16% have 25 or more years of service. Given the logic of using this pool of management employees for future mid-level and executive management vacancies, the need for management succession planning at the supervisory level is reinforced.

The focus groups conducted by Management Partners also identified the need for preparing people for key managerial and leadership positions. Employees in the general focus groups and the union representatives expressed concern over the loss of key management personnel. The loss of institutional memory and very experienced senior management is eminent. Limited training of new employees by experienced ones, plus lack of work process documentation, does not make for efficient transitions.

Aside from the numbers noted above, the need to do effective succession planning is compounded by the high cost of housing in San Mateo County, turnover in critical management and supervisory positions, and traffic congestion that discourages many Bay Area candidates from accepting positions that require a significant commute.

Given these particularly unique challenges facing San Mateo County, retirement numbers and employee concerns, it is timely that the County reviews and improves its succession planning programs.

Government Succession Planning Examples
Leading government organizations are creating approaches to succession planning that work well with the principles of selecting people on the basis of merit, avoiding a "just in time" replacement philosophy, and strengthening and developing leadership talent at all levels of the organization.

Federal Initiatives: The U.S. General Account Office (GAO) studied this trend in 2000, and projected that that 71% of the federal government's senior managers would reach retirement age by the end of fiscal year 2005. Their conclusion was that, should significant numbers of managers retire, the result would be a loss of leadership continuity, institutional knowledge and expertise. The Social Security Administration, for example, faces the prospect of losing more than half of its employees and a large number of its leaders by the end of 2010. This retirement wave and the goal of achieving greater organizational efficiency make succession planning a top priority at the federal level.

In an October 2003 follow-up study, with testimony before the Subcommittee on Civil Service and Agency Organization, Committee on Government Reform, succession planning was named a critical driver of organizational transformation. The critical difference between the 2000

study and 2003 follow-up study was the determination that succession planning can help an organization change to respond to new service demands and other requirements.

California Court System: In a 2002 survey of the California courts, the Administrative Office of the Courts (AOC) determined that 70 percent of respondents expressed concern that a significant number of managerial and executive staff would retire in the next few years. In fact, 26-40% of them were eligible to retire within five years, and 23-35% in six to 10 years.

Taken as a whole, the California judicial system was expected to lose up to 75% of its managerial and executive staff within 10 years. Their chief concern was planning for the loss of institutional knowledge and talent. Specifically, they identified the need to establish processes that would:

- Capture and preserve institutional knowledge of judicial court processes and history before experienced and knowledgeable employees leave the system
- Develop a succession plan and stewardship system to ensure that trained leadership and executive talent are available for critical positions throughout the California court system.

State Initiatives: The Personnel and Organizational Development Committee (PODC) of the California Extension Committee on Organization and Policy (ECOP) identified 11 core competencies that employees should possess to anticipate and deliver quality educational programs to the public. Those 11 core competencies are included in Attachment D.

The State Cooperative Extension's core competencies are engagement, multiculturalism, community and social action processes, information and education delivery, interpersonal relations, knowledge of organization, leadership, organizational management, professionalism, and subject matter proficiency.

A wider Cooperative Extension study examined 127 program participants from 22 states to identify 15 supervisory-management key competencies: oral communication, planning/organizing, leadership, decision-making/judgment, initiative, objectivity, development of co-workers, perception, sensitivity, management control, collaborative behavior, written communication, behavioral flexibility, organizational sensitivity and assertiveness.

California Local Governments and Professional Associations: The following are examples of best practices of succession planning programs:

City of Palo Alto – Learning Commitment and Upward Mobility Initiative: The city has a comprehensive learning program intended to help employees grow and develop their careers. The key components of the

program are training and coaching, special short-term assignments, personal development plans, communication to all employees about the city's training and promotional opportunities, an enhanced performance appraisal system, comprehensive training and educational opportunities for all employees, and revisions to job descriptions. The city offers a variety of academies (executive leadership, management, supervisory, project management, lead worker), certificate programs (business writing, administrative support skills, meeting management and speaking), technology courses, degree programs, brown bag lunch sessions, and management talent exchange programs.

City of Menlo Park: The city is focusing on building competencies, increasing diversity, and balancing ongoing learning with "real time" active learning strategies. The city is finding ways to increase responsibilities for emerging leaders, with enough support to allow for mistakes, while providing continuous feedback and coaching. The city focuses on retaining talent and aligning human resources systems to support that goal, Menlo Park provides opportunities for growth and leadership through special assignments, assigning acting or interim positions, rotational assignments, cross training and job swapping; leadership training programs, and management forums. For a list of development methods they have adopted, see Attachment E.

Leadership ICMA Program: Leadership ICMA (International City/County Management Association) is an intensive, two-year ICMA University program designed to cultivate key competencies needed for successful leadership at all levels of local government management. It includes a two-year program of class modules, followed by a capstone that requires participants to demonstrate their competence in the concepts presented through the Leadership program. In addition to attending ICMA University classes and workshops, other learning opportunities include Leading Practices Conference to become familiar with best practices thinking. Included in Attachment F is an example of how ICMA developed a module approach to teaching core competencies.

California-ICMA is a leader in the country in identifying succession planning principles and practices that can be employed by local governments. Among the principles suggested are[5]:

- Developing talent is a key responsibility of executive managers, both in supporting career development and succession planning initiatives, and in serving as positive role models for why others should desire to move into top positions.
- Individuals are responsible for initiating their own learning and growth, and for preparing themselves for promotions and leadership positions.
- Aspiring managers should be encouraged to stretch themselves and take on new roles, and the organization needs to support them when they make mistakes.

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[5] Cal-ICMA website: http://www2.icma.org/cal-icma/

- Resources need to be devoted to succession planning for it to achieve results – it cannot be viewed as "extra."

Best Practices in Succession Planning Programs
Organizations taking action on succession planning do so with the unique needs of their constituents, programs, and employees in mind.

The process of creating a Succession Planning Program for an agency typically involves the following steps:
- Create, fund and assign lead responsibility for the agency's succession planning program
- Identify positions in which incumbents will retire in the next five years
- Identify participants in succession planning
- Create a comprehensive succession planning program
- Implement the program elements
- Measure results, evaluate effectiveness of program elements, and modify the program for the future.

Typical practices in succession planning:
- Leadership for succession planning from the chief executive of the organization, and sufficient resources allocated to develop and implement a comprehensive program
- Engaging "up-and-comers" in substantive conversations about the arena of leadership, including policy making, conflict resolution, broad constituent issues, political considerations and regional factors
- Giving aspiring managers a broad range of assignments, including placing them in different departments and in charge of complex projects
- Assigning aspiring managers the lead authority on special projects
- Giving priority in training and leadership development programs to people who expect to be with the organization for a significant number of years
- Structuring assignments for aspiring managers to include interaction with elected officials, boards/commissions, and executive management
- Encouraging and financially supporting aspiring managers to become involved in their professional association
- Rotating aspiring managers into executive team meetings
- Chief executive and other executive managers teaching aspiring managers how to deal with difficult political situations or individuals
- Pooling management analysts from various departments who work on organizational issues to learn about many facets of the organization's work
- Quarterly seminars with the chief executive, executive managers, and aspiring managers
- Leadership academy for aspiring managers

- Appointments to intermediate positions as a way to learn part of the job of the department head
- Trading a management analyst or aspiring manager with a similar person from a neighboring local government for a period of time to work on a project or in a department
- Course on career development, resume writing, interviewing for promotions
- Creating short courses for "future department heads" to share with aspiring managers the skills, rewards and realities of being a department head or other executive manager
- Hosting and participating in networking opportunities in the area for up-and-comers, sometimes focusing on getting to know people and other times focusing on a regional issue (such as transportation challenges, affordable housing, or other relevant issues).

San Mateo County's Succession Planning Efforts

San Mateo County has long had leadership development and training programs that help prepare people for higher-level positions. They are an important part of the County's strategy to foster excellence in performance and to develop people for promotion (discussed further in the "Hiring and Promotional Practices" section below). In 1999, the County Manager initiated a discussion with the Executive Council about succession planning needs over the subsequent two to seven years. The Executive Council agreed that a succession planning program was needed, and one was developed and approved by the Executive Council in 1999. (See Attachment G for the 1999 Succession Management Program Proposal and H for the 2000 Report on Succession Planning Meetings.)

The key objectives of the succession management program approved by the Executive Council in 1999 were:
- Create a systematic link between the strategic direction of the organization and leadership continuity
- Ensure leadership continuity within the organization
- Involve executives in planning for the future of leadership within the County
- Retain and develop County employees with leadership skills
- Encourage sharing of human resources across departments
- Reduce executive recruitment costs
- Ensure a diverse applicant pool for positions addressed through this program.

An implementation plan was drafted in 2000 by the Employee and Public Services Department (See Attachment I). EPS attended 15 department management meetings to get feedback on the implementation plan. The issues identified by departments about the succession planning program are those of concern to other agencies creating succession planning programs. Issues included:

- Employees need to have the time to develop new skills, which can often mean shifting some current assignments to free capacity for new work and training.
- Participants in any structured succession planning program may have increased expectations and a sense of entitlement to promotions.
- The method of selecting participants needs to be inclusive and reflective of diversity of the County.
- Participants should be provided broad and meaningful experience and opportunities that will prepare them for higher level positions.
- Recent high level appointments from the outside could discourage some employees from participating.
- Executive managers must be committed to the success of the program for it to have credibility.

Individual departments have created their own succession planning and career development programs, and have good examples of strategies that work that could be shared with others within the organization. The Employee and Public Services (EPS) Department has developed a draft of a succession planning program that builds upon many of the best practices of other cities, counties, states, and federal agencies.

The San Mateo County Succession Management Program Proposal drafted in 1999 provides an excellent starting point for the County's current discussion about succession planning. The program contains key elements of a successful program, including sponsorship by the County Manager and department heads, strategic direction, the business case for succession planning, statement of roles and responsibilities, and an outline of program elements. EPS's draft implementation plan is a very good base from which to work in creating a successful succession planning program in the future.

> **Recommendation 8: Appoint a subcommittee of three members of the Executive Council to review the draft program and implementation plan developed in 1999-2000 to identify the elements that remain relevant and to produce a revised program for adoption in 2006.** This streamlined subcommittee would identify ways in which to involve other managers and departments in their review and planning efforts. Part of their review efforts would be learning more about successes of other organizations and identify best practices that would strengthen San Mateo County's program.

Responsibility for succession planning must be shared by the entire executive management team of the County. In addition, special ownership should be placed within the County Manager's Office to ensure continuity of support, attention and ongoing leadership.

Recommendation 9: Assign responsibility for countywide succession planning leadership to the Assistant County Manager and responsibility for departmental leadership to each department head. The importance of this issue to the future of the County demands that succession planning be considered a key assignment for it to be successful. It is a long-term effort, and requires a long-term assignment and focus. While day-to-day activities relating to succession planning will be Human Resources responsibilities, oversight by someone at the level of Assistant County Manager is important.

Recommendation 10: Allocate sufficient funds for a comprehensive countywide succession planning program that augments departmental succession planning activities. The budget for FY2006-07 should contain sufficient funds in the Human Resources budget for enhanced training, development and succession planning programs. The specific amounts needed should be identified by Human Resources staff for next fiscal year (for at least one full-time position, initially), with funds for the ongoing program identified in the first quarter of FY2006-07.

In addition to the discussions at the executive management level about succession planning, and the County's centralized training program, a number of the County departments have active leadership development and succession planning programs. The County participates in the Bay Area Social Services Consortium (BASSC), which is a collaborative project with University of California/Berkeley Extension. BASSC has a succession planning program designed around the concept of individual responsibility. The organization offers the opportunity for growth, but the responsibility for completing a comprehensive leadership development program remains firmly with the employee.

BASSC provides an Executive Development Program in the Human Services Agency that was developed collaboratively with, and is offered through, UC/Berkeley Extension. The program began in 1994, with the goal of developing new leaders for county social services agencies in the 21st century. San Mateo County plays a key leadership role in this collaboration. This annual program features classroom training, balanced by inter-agency exchanges and internships, with real world insights in the classroom from professionals in the social services profession. A program outline is provided in Attachment J.

Two examples of San Mateo County departmental succession planning programs described here are those of the Probation Department and the Human Services Agency.

The Probation Department has created a succession planning program that has the following statement of purpose: *"It provides a system to pass*

on departmental knowledge about the organization's culture and practices and specific information regarding the job functions for promotional positions. Succession planning also ensures that when positions become vacant, staff are as prepared as possible to carry out their new and challenging duties." Probation recognizes that it has a young staff and "does not have the luxury of waiting for a workforce to gain this type of knowledge simply by being around long enough." The department has taken a proactive role in developing its staff and encouraging interested employees to gain exposure to job duties in their career ladder. The department believes that by doing so, there is a smoother transition for those who are promoted to new positions.

Probation's succession planning program has several components:
- Each level of management has created a list of possible activities that would develop skills for the next level of positions.
- Specific plans have been developed by the management teams in each job classification consisting of experiences, events and information that interested employees would need to learn to prepare for a promotion.
- The plans have been placed on the shared computer drive for review by an interested employee.
- A list of desired qualities and characteristics for managers within Probation was created and placed on the shared drive.
- A bibliography of suggested management books is listed on the shared drive.

The Human Services Agency (HSA) succession planning program involves participation in the Bay Area Social Services Consortium (BASSC) and internally working on the development of key competencies for leaders in HSA. An outline of HSA's 18 key leadership competencies is contained in Attachment K.

HSA believes that leaders need to be competent in a number areas including: accountability, adaptability, big-picture thinking, being a champion, understanding change, coaching, effective communications, facilitation, innovation, intellectual flexibility, interpersonal awareness, leveraging the organization, managing relationships, managing scope, multi-tasking, resiliency, results-orientation, rigorous inquiring, and team building.

The Human Services Agency's career development program combines competency assessment and coaching. Each employee within the agency develops an Individual Development Plan (IDP) to assist his/her training and career advancement. Human Services intends to use its Individual Development Plan as part of its leadership program. A learning matrix will enable employees to pursue specific competencies by undertaking the courses designed to develop that competency.

Recommendation 11: Collect detailed information on all succession planning efforts under way in County

departments, including an assessment of the effectiveness of each, and share the information with all executive managers. This information can be useful in the short term as departments create and/or enhance their internal succession planning programs. It also can be helpful in identifying best practices internally, as well as resources needed to foster effective staff development and promotions.

To plan for succession, the County should identify prospective retirees well in advance of their retirement dates and use that time to prepare for their successors.

Recommendation 12: Identify the top management positions in which incumbents are likely to retire within the next one to five years (2006-2010) and develop individual plans to address succession into those positions. The County Manager's Office should have conversations with each person in the "top management" positions to find out his/her plan for retirement and enlist his/her assistance in creating a succession plan for the job. The plan should include elements such as job expectations, alternatives for organizing the work once the incumbent retires, identification of people within the organization who might be candidates for the position, career development and mentoring plans for those individuals, and an overall strategy for transitioning from the incumbent to his/her successor.

Recommendation 13: Identify mid-management positions in which incumbents are likely to retire within the next one to five years (2006-2010) and develop individual plans for succession into those positions. This is similar to Recommendation 12 above for "top management". Every department director should be provided with a list of likely upcoming retirements in his/her department and take the lead in ensuring that individual plans are developed for succession into those positions.

Recommendation 14: Identify management and supervisory positions in which incumbents are likely to retire in the years 2011-2016 and develop plans to recruit, develop, and/or retain needed leadership. Attention should be place on this group in the second and third year of the new succession planning program (FY2007-08 and FY2008-09).

Recommendation 15: Identify supervisors and management analysts interested in career development, and create individual development plans

for each of them. Responsibility for career development is shared by the employee and the organization.

Recommendation 16: Create a menu of options that could be used by executive managers in ensuring smooth transition of individuals into the "mid-level management" positions. Examples of options include (a) appointment of the successor several months to a year prior to the departure of the incumbent for training purposes, and during that time the incumbent would shift out of the direct role into mentoring and knowledge transfer; and, (b) providing candidates for the position with special projects and assignments that would enable them and the County to evaluate their potential and interest in the position.

Recommendation 17: Require all managers and supervisors to include "talent development" as part of their primary job responsibilities, and evaluate them on the basis of their performance on that indicator, among other key performance indicators. All supervisors and managers should have development of staff and preparation for promotion within the County as main responsibilities.

Recommendation 18: Establish a process to provide recognition to managers who actively mentor and develop staff. Mentoring and staff development should become an organizational value in the same way that collaboration is a value. Recognition could come in the form of favorable budget considerations for resources that enable staff to take on special assignments and participate in training; and publicizing success stories in internal newsletters, on the intranet, and by the County Manager and Board of Supervisors.

Training for line employees and supervisory/management staff is also a critical part of this program. Employees require general training to improve personal and technical skills so they can successfully compete for promotions. Supervisors and managers need training on how to coach, mentor and develop staff. Additional recommendations on training programs can be found below in the Training section of this report.

Recommendation 19: Create and implement training for employees in the core competencies for success identified most often across the County. The Executive Council subcommittee should work with County departments to identify the core competencies needed by supervisors and managers. Human Resources staff should then be tasked with the creation and implementation of a related training program to help develop those skills.

County staff should be encouraged, and given the time and opportunity to participate in outside training and coaching sessions (such as those sponsored by CAL-ICMA and others) with topics relevant to the County's core competencies.

Preparing people for key managerial and leadership positions in the County also means being successful in recruiting and appointing a workforce that reflects the County's diversity, engages young people early as they make career choices, and takes advantage of newly retired "baby boomers" who wish to remain engaged in their professions.

It is critical for County management to understand what is important to young people and ethnic minorities so that the County can make changes to become an employer of choice for people who might not otherwise consider government service. Generational and cultural differences should be understood and embraced by the County as part of its succession planning program. Equally as critical is building a culturally rich workforce that reflects the County population.

As "baby boomers" retire, many will be seeking to contribute in the work force in new ways. The County should identify ways in which those baby boomers' experience and talents can be used, while meeting retirees' interest in flexible schedules.

> **Recommendation 20: Identify and implement methods of attracting young people who reflect the diversity of San Mateo County to local government as a key, long-term strategy.** The County should work to recruit energetic young people to government service to create a continuous pipeline of new talent, as well as to address the diversity of the County's clients. The County should learn what is important to younger individuals and ethnic minorities, and identify ways in which the County needs to change to be attractive to them. Strategies could include expanded internship opportunities, hiring college students for short-term projects, appointing young people to County staff committees for college credit, and using County employees as ambassadors with culturally diverse groups and colleges.

> **Recommendation 21: Identify ways in which jobs can be structured to accommodate newly retired individuals interested in part-time or flexible schedules, while providing the County with their talent and experience.** As "baby boomers" retire but wish to remain active and engaged in their professions, the County should find ways to make use of this resource. While the emphasis should be on San Mateo County retirees, it need not be solely restricted to this group if others meet County needs.

Recommendation 22: Conduct an analysis of the County's promotional hiring practices to identify what percent of employees are hired from within the department that has an opening, what percent are hired from other County employee ranks, and what percent are hired from outside the County workforce. This measure can be used by the Executive Council subcommittee as a baseline to see how well the County is able to move current employees into promotional positions. It also can be a point of comparison (and pride) for departments most successful in doing so.

(See section on **Hiring and Promotional Practices** below for additional recommendations.)

Transitions are critical for successful succession. The loss of years of valuable institutional knowledge, and the ensuing learning curve for successors, can negatively affect organizational productivity and stability. With more people retiring at the same time, it is more important than in previous years to ensure knowledge, perspective and training is relayed from people planning to retire to those planning to take their places. Fewer people will be around who have the years of experience to advise newly appointed individuals.

Recommendation 23: Initiate a structured process for key personnel to capture and preserve institutional knowledge for their successor's insight and guidance. Each retiring manager should be asked to develop a "cookbook" or reference document for the department. Such documents should be prepared the maximum amount of time prior to the departure of the employee as possible so they can be used as a training tool.

Recommendation 24: Establish a procedure to overlap positions to the extent possible so that the retiring manager continues his or her employment for at least a week or two, alongside the replacement manager, for training and mentoring purposes. Recruitments to replace outgoing employees should proceed on a schedule that enables the new employee to benefit from the outgoing employee's knowledge.

A component of the County's future Succession Planning Program should be to assign staff through the County Manager's office to multi-disciplinary projects and/or analytical projects dealing with critical policy issues or departmental questions. This rotational assignment program would present professional development opportunities for those staff members, and would offer new perspectives on analytical projects. Assignments could range from very short to several months in duration, depending on the project. The program would need good management of

assignments, mentoring of participants, and troubleshooting as needed on behalf of the participating staff.

County department heads would play an important role in the rotational assignment program as well. They should identify potential projects, participate in the staff selection process, and provide mentoring and support to those working on special projects related to their departments.

For the rotational assignment program to be successful, department heads must ensure that staff members selected for the assignments have sufficient time away from other assignments. In turn, departments can provide professional development opportunities for other staff members who assume some of the ongoing work of the person temporarily assigned to a project.

> **Recommendation 25: Create a rotational assignment program in the County Manager's Office as part of the Succession Planning Program that incorporates the value of conducting program and departmental reviews, policy analysis, and planning functions.** Additional staff will be required to properly implement the reviews and analysis. These staffing needs will be presented in a subsequent section of this report addressing the County Manager's Office organization.

> **Recommendation 26: Assign the Assistant County Manager the task of managing the project element of the Succession Planning Program and attendant staff, selecting individuals from other County departments to participate in assignments, and provide mentoring for participants.**

> **Recommendation 27: Establish a process that creates opportunities to move managers between departments for long-term assignments as a method for developing their County-wide management perspectives.** County executive managers are most effective when they understand the entire County organization range of disciplines, and can apply their knowledge to the specific area of their assignment. Creating opportunities for mid-managers to move between departments will assist them in becoming well-rounded executives for the County.

Employees in the general focus groups for this study specifically requested more "big-picture" information about County issues. Employees expressed an interest in opportunities to learn about other positions and the work of other departments. These interests by employees are consistent with a comprehensive succession planning program.

Recommendation 28: Provide developmental assignments such as staff rotations within departments and interdepartmental staff exchanges. This would provide opportunities for staff to learn new skills, see issues from other vantage points, and learn more about work they may wish to pursue. Additionally, rotations and exchanges provide new perspective on how the work is approached, which can result in improvements on process and outcomes. Further, offering rotations and exchange opportunities demonstrates to staff that their career development is worth an investment by the organization.

Creating a successful succession planning program requires continuous improvement to respond to changing conditions, modify or eliminate program elements that may not be achieving results, and incorporate new activities. The cycle of planning, implementing, evaluating and modifying the program will be important to its ability to meet County objectives for preparing the next generation of staff leaders.

Recommendation 29: Establish processes and a schedule of measuring results and evaluating the Succession Planning Program, and use the information to make improvements in the program. In addition to fostering continuous improvement of the program, measurement suggests to department heads how important planning for the future is for the County's policy makers. If it is being measured, there is a much greater likelihood it will be deemed important to the department head.

Training
Management Partners' knowledge of other local government agencies suggests that San Mateo County is a leader in offering a comprehensive program of staff development and training. The County offers a wide variety of courses for employees, educational/tuition reimbursement and onsite advanced degree programs. In employee focus groups, both management and non-management employees noted that the County has a strong training program and a wide selection of courses. This was viewed by everyone as an important employment benefit.

While expressing appreciation for the current program, employees in the focus groups stated they thought the program could be improved. Employees in the non-management focus groups wanted more supervisory and management training, particularly for front-line and lower/middle level supervisors. While the majority of comments provided by employees on EPS feedback surveys were positive, some employees in focus groups felt the training courses looked good on paper and in the catalog, but were not as substantive in practice.

EPS staff interviewed as part of this study stated they agree that the County's training programs could be expanded. They have many ideas for making improvements and have developed a substantial series of programs that could meet identified needs if more resources were provided. At present, the County's central training program is coordinated and run entirely by two full-time individuals in EPS (a Training and Development Manager and a Human Resources Technician).

The County's Course Catalog for Fall 2005 offered 86 classes in computer training, customer service, diversity, finance and administration, Fiscal Officer's Training Academy, human resources management, Online Hiring Center, leadership development, professional development, safety and written communication skills. Of these 86 courses, nine were classes offered for the first time.

A specific training program often referred to during our discussions regarding succession planning is the County's Management Development and Mentoring Program, first implemented in 2002. Participants attend monthly half-day sessions on selected management topics. Topics in the current year include:

- Leadership expectations
- Shared Vision 2010/Community outreach and involvement
- Outcome-based management
- Coaching, counseling and confronting employees
- Corrective action
- Program/change management
- Political astuteness
- Legislative process
- Employee/labor relations
- Facilitation
- Laws/legal – what managers should know

Trainers for these sessions in FY2005-06 include the County Manager, a County Supervisor, department directors and senior level managers of various County programs. Following each session, the trainers make themselves available for coaching and mentoring of participants.

While the majority of employees in the general focus groups said they believed that the Management Development and Mentoring Program was valuable, they were concerned about limitations on the numbers of participants. Annual participation has averaged 28.5 employees per year in the four fiscal years from 2002-03 through 2005-06, for a total of 114 employees to date. This equates to about 14% of the County's 816 employees classified as "management and supervisory."

Of the 114 participants, 34 employees (29.8%) were promoted since participating in the program. Given the wave of upcoming retirements discussed earlier in this report, this level of participation is insufficient to meet the County's succession planning needs and the program should be expanded.

Recommendation 30: Expand the County's Management Development and Mentoring Program to accommodate 20% of the County's management and supervisory employees each year. Given the expected pace of retirements, it is a critical time to invest in this program as one way of preparing individuals for promotion. The Human Resources staff will need more resources to expand the program from 28 to 163 participants per year.

Employees in the general focus groups stated that too often supervisors do not allow people to take time away from the job for training. That is especially the case if the training desired is for professional development, not job-specific or technical training. Employees attributed this reluctance to lean staffing and the need to have employees available for service delivery.

As a reference point, it is important to understand that public agencies, in general, provide little in the way of training relative to their organizational counterparts in the private sector. The American Society for Training and Development (the largest training and learning association, with more than 70,000 members) has for many years benchmarked Fortune 500 companies, as well as a broader cross section of smaller corporations. That Society reports that smaller organizations spend approximately $820 per employee annually on learning while the larger Fortune 500 group spends almost $1,200 per employee. The percent of payroll invested in learning and training ranged from 2.0 to 2.5 percent.

Management Partners is not aware of any estimate of total learning and training expenditures in the County, but using the 2% factor above, multiplied by the total County payroll of roughly $574 million suggests that, if the County were a private corporation, it might well spend about $11 million per year on learning and training for employees.

Spending in San Mateo County, or any other public agency, on training and learning for employees is well below this level. So, while compared to its public sector counterparts, the County does a good job in this area, but the commitment is meager indeed relative to private sector organizations.

The private sector commitment to learning and training is, like all private-sector costs, aimed at increasing profitability. There is a lesson in this for the public sector, where training is often the first expenditure cut in bad times.

In the private sector, many leading industries also lead in training and career development for their staffs. According to *Training Magazine's* extensive research and nomination/application process, the 10 companies ranked highest for training and employee development programs in 2006 include:

- IBM
- Booz Allen Hamilton
- Pfizer
- Sprint
- KLA-Tencor
- Deloitte & Touche
- Ernst & Young
- Lockheed Martin
- Ritz-Carlton
- Ohio Savings Bank

IBM boasts an $825 million corporate training budget and focuses on bringing training to the employee via online research and training opportunities.

The corporate university at Booz Allen Hamilton offers 32,000 participant days of training, 4,500 individuals utilizing online study courses, 9,000 completed self-study courses and 125,000 hits on its virtual campus each year. Booz Allen serves corporations and public agencies with global strategic, operations and technology services, and it has 17,000 employees on six continents. The private company is growing at the rate of 400-500 new recruits each month, which makes training an even greater priority.

At Ritz-Carlton, the vice president of its Leadership Center ensures that more than 27,000 employees receive an average of 284 hours of training each year, and the company has a staff of 70 full-time training and development professionals to help accomplish this task.

For employees to be able to meet the demands of their jobs and prepare for increasing responsibilities, it is important for training to be viewed as an essential part of job performance. It is equally important to provide time and resources for employees to participate in training. The linkage between training and succession planning should be made more overt. The County's commitment to succession planning will be strengthened by increasing commitment of resources to, and expectations about, training and development of County employees.

> **Recommendation 31: Establish an annual training target for every County employee to receive 20 hours of training per fiscal year, and task Human Resources with tracking the hours.** In setting this training objective, County leadership should make it clear that employee development is a priority. While accommodating employee

training time requires flexibility on the part of department management, this target will enhance the County's commitment to current employees and further succession planning.

A comment made a number of times in the non-management employee focus groups was that some supervisors and managers are perceived as not performing as they should be. Several times it was suggested that the County provide training for supervisors and managers.

While it is normal to hear employees complain about their supervisors, training managers is crucial for their success. When individuals are promoted into supervisory positions for the first time, they should be given training that establishes County expectations for supervisors and specific skills required for the position.

Currently, the County approaches training of first-time supervisors in a variety of ways, depending on the department. In some cases, first-time supervisors may not be provided any training.

> **Recommendation 32: Require all first-time supervisors (whether external hires or internal promotions) to attend a "New Supervisors Training" class.** This should occur within three months of their appointment. The class should review County expectations and policies on supervision and management of employees, development of staff, and organizational culture and values. Human Resources should be charged with tracking compliance with this requirement.

> **Recommendation 33: Require all supervisors to attend a minimum of eight hours of supervisory training each year.** Supervision and management, like technical skills, require ongoing training and review to keep fresh. These eight hours would be included within the 20-hour target suggested in Recommendation 31 above.

Hiring and Promotional Practices

The stated purpose of the County's recruitment and selection process is to "establish a qualified candidate pool which meets diverse workforce needs to enable the County to provide the highest standards of public service." The Employee and Public Service Department does that through a number of goals and activities. Among the goals for 2005-07:

- Actively recruit and refer qualified and diverse candidates to departments for County employment
- Develop and administer job-related tests that are valid and predict job performance
- Ensure that recruitment and selection processes promote career mobility by focusing on transferable knowledge, skills and abilities

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San Mateo County has a Civil Service system and the County's hiring and promotional practices are dictated by its adopted Civil Service Commission rules, as amended on January 7, 1994. In summary, exams are held for open positions and the County has a "rule of seven" – the top seven scorers for each exam are eligible for interview and hire by departments in subsequent recruitments. Examinations can be one of five types:

1) Open examinations – any person meeting minimum qualifications may apply
2) General promotional examinations – permanent and probationary employees with six months of service may apply
3) Department promotional examinations – permanent and probationary employees with six months of service in the hiring department may apply
4) Open and promotional examinations – any person meeting minimum qualifications may apply (internal or external candidate)
5) San Mateo County Court – separate system for Court employees

Veterans get an automatic five points added to final exam scores. Permanent and probationary County employees with at least six months service also receive five points for open and promotional examinations. This is the County's method for providing current employees an advantage when competing against external candidates.

Examination lists are maintained by EPS for six months to one year, depending upon the type of exam.

EPS works with the hiring department to do recruitment. First, the EPS Analyst and department representative prepare a detailed recruitment plan outlining the type of recruitment (e.g., open, promotional, or so forth), the recruitment and examination schedule, and a marketing plan to attract applicants. The decision of which type of recruitment to use is left to the hiring department, but EPS provides guidance and encourages departments to provide internal promotion opportunities whenever possible.

In most of the County's recruitments, candidates interview with a panel that evaluates qualifications and ability. Before the interview, candidates are provided written notice of the names of all panelists and can request that a panelist not participate if he/she has concerns about their objectivity. Interview panels are usually comprised of representatives from the hiring department and from other County departments. EPS makes a strong effort to ensure racial and gender diversity on the panels.

Occasionally, representatives from local non-profit agencies or other outside groups are included on interview panels. In the past, individuals from other Counties were regularly asked to serve on interview panels to provide outside perspectives and guard against internal bias toward candidates. However, according to EPS staff, the use of outside panelists

was largely discontinued because the County found that many of them were not adept at evaluating people for San Mateo County positions.

A Career Opportunities Program (COP) is in place to foster internal promotions. The COP has three components:

- A list of specific job classifications that will be opened on either a promotional, or open and promotional basis,
- A specific four-phase career planning and development program, and
- A program to provide for job transfers/movement within a specific grouping of similar job classifications.

The Career Opportunities Program was changed and improved, with input from the County's labor unions, in response to previous concerns. The most recent changes to the COP broadened the groupings of job classifications within which employees can easily transfer. Others improvements to the COP were also enacted.

Department directors and managers report a high level of satisfaction with EPS, and the hiring and promotional system. They appreciate the flexibility to determine the recruitment process for vacant positions, and note EPS' customer-service attitude in meeting their needs (as opposed to dictating them). Internal customer survey results for EPS show satisfaction ratings well over 90%, which is high for an internal service department.

EPS data shows that of the approximately 400 recruitments done countywide between January 1, 2005 through late December 2005, 16% were department-only promotional, 4% were countywide promotional, and 80% were either open or open/promotional.

In the general employee focus groups, however, some frustration was expressed about the difficulty of getting internal promotions. Employees said some promotional processes are not fair because "management has already hand-picked who they want." They suggested that the County place outsiders on interview panels to reduce bias. But employees in the same focus groups also expressed a desire for the County to do more "grooming" of specific candidates to prepare them for promotion, which is at odds with the other criticism.

In general, there is a perception by some employees the hiring system is unfair because of the very flexibility that management appreciates.

While these feelings are real on the part of employees, they are also not unusual in human resources processes, nor are they new to the County. According to EPS staff, similar comments have been made over the years and, in response, EPS has modified policies, procedures and programs.

A bulletin about the County's "new" Career Opportunities Program published in 1998 discussed these same concerns as reason for revisions

to the old COP. Additionally, EPS notes that there have been just three formal appeals brought to the Civil Service Commission since 1995, two of which were unrelated to the process of employee selection.

EPS staff commented that when vacancies occur, a department manager may think one or more individuals are good candidates for a position, but they are looking for the best person and want to consider the full range of applicants. EPS staff also said internal candidates get an advantage from the exam preference points and also by being a "known quantity."

It can be useful for internal applicants to get feedback when they are not selected to understand the areas in which they are weak and create a personal development program to improve skills. According to EPS, all candidates receive written notification about testing results and selection results.

Candidates also are advised of the opportunity to request specific feedback on their performance in the testing and interview process from the Recruitment Analyst.

Department executives interviewed for this study noted that they have heard the complaint from employees that positions seem to be pre-designated for certain individuals. They said they always strive to hire the person who will perform best in the position, and that what some employees may regard as favoritism is rather the fact that the hired person had taken it upon him/herself to develop skills that make him/her more qualified and likely to be successful.

In the general employee focus groups, some participants said they felt career development can be blocked by a supervisor who does not show support, or who wants the employee to stay in his current position. EPS staff acknowledge this can occur, and stated they and department managers work to correct such situations. Employees can and do discuss specific concerns with EPS staff and others to remedy such situations.

As noted in the training section of this report, Management Partners recommends that all employees be provided a minimum of 20 hours of training a year, which will ensure a basic level of "clearance" by supervisors for employee development.

In the end, the final decision about whom to select for the job will always be subjective.

One area in which EPS acknowledges they would like to devote more resources is in educating County employees about its internal procedures. Then, employees will have a greater understanding of procedures and what they can do to prepare through training and development for promotion.

Recommendation 34: Provide guidance and coaching to department managers so they can give specific feedback to unsuccessful candidates. That way, these employees will be better informed about how to prepare themselves for future promotional opportunities. Feedback is important to learning and career development. Candidates should be given the opportunity to hear their perceived strengths, weaknesses and development opportunities so they may improve their skills and chances for promotion.

Recommendation 35: Enhance the information provided by Human Resources to employees about County procedures for hiring, recruitment, promotion, and transfer. Further educating County employees on how the system works will help reduce fears of preferential and unfair treatment. Include information on resources available to employees for furthering their career development. The information should be provided regularly as part of the County's internal communication outreach to employees, as noted in Recommendation 7 above.

Another area of flexibility is in the hiring and management of Extra Help employees. Extra Help positions are considered non-permanent positions used to fill a position quickly on a temporary basis. Extra Help employees do not receive benefits and are limited to working 1,040 hours per year. The use of Extra Help employees has increased in the County recently, due in large part to the County's recent three-year hiring freeze, according to EPS staff.

In focus groups of non-management employees, comments were made that Extra Help employees could be "hired off the street" and "hand-picked" by supervisors for positions. The perception exists that the Extra Help employees, by virtue of having done the work for some time, then have an advantage in being hired into a permanent position, resulting in lost promotional opportunities for other County employees. This latter point is disputed by EPS staff members, who say that the vast majority of Extra Help positions are entry level positions and, by virtue of their classifications, are not promotional opportunities.

Presently, an Extra Help employee may be hired by the department and must take the job's examination only afterward, when applying for the permanent position (if the position becomes available). This causes difficulties if the Extra Help person is unable to pass the examination, raising questions about the validity of the exam and/or whether the person should have been hired in the first place.

Currently, EPS encourages departments to hire extra help who have gone through a formal testing process. Some, but not all departments have followed this recommendation. EPS is proposing a policy change

such that applicants for Extra Help positions must pass the exam prior to being hired, in most circumstances. While we understand the thinking, this might elongate the hiring process for Extra Help, reducing the value to management.

EPS acknowledges that Extra Help hiring practices are highly flexible and that there is limited structure in place on how supervisors select these workers. This very lack of structure, however, exacerbates employees' perception that the system if unfair and "political."

> **Recommendation 36: Create a formalized system to be used County-wide for the hiring of Extra Help positions.** Departments should conform to some standard requirements as to how Extra Help positions are filled – but these requirements should not result in a delayed hiring process when departments need workloads covered immediately. Having a simple yet standardized system will reduce the appearance of bias or favoritism, as well as ensure a basic level of quality for Extra Help employees across the County.

Finally, universally managers and employees noted that the County's services are being provided in multiple languages to a wide variety of ethnicities. San Mateo County is highly diverse and successful outreach to these populations is key to service provision. This need is built into the County's hiring processes but efforts should be enhanced for certain professions, particularly in light of the increased rate of retirements and the number of vacancies that will exist.

> **Recommendation 37: Fund and increase the County's recruitment outreach and advertising efforts to diverse populations on the Peninsula.** Added resources may be helpful in drawing more applicants representing the diversity of cultures and languages reflected within the county.

Performance Feedback

San Mateo County's approach to employee performance evaluations are outlined in Administrative Memorandum E-13, dated January 24, 1996. These regulations state: *"It is strongly encouraged Employee Performance Reports should be completed annually on all permanent employees regardless of the length of service."* While the regulations do state specific timelines for the completion of evaluations for probationary employees, there is no further requirement about evaluating employees after probation has been completed.

EPS serves as a resource of performance evaluation forms that can be used by County departments. No one form or system is mandated, as department directors are expected to create systems that are most beneficial to their operations.

EPS staff indicated that the County emphasizes ongoing coaching and supervisor meetings with employees over formalized structure of forms and ratings. They state that Human Resources analysts and staff consistently reinforce this concept in meetings and supervisory training sessions. This approach is also mirrored in E-13, which states:

> "Feedback on employee performance is a continual process throughout the year and needs to be given as recognition for achievements or when the employee is having a difficulty meeting performance standards or objectives. The report form itself documents the ongoing feedback that the supervisor has discussed with the employee throughout the year, in addition to setting specific objectives the employee is expected to accomplish during the next review period."

In the general focus groups with County employees, performance evaluations were not a significant issue. While there was an occasional reference to making the evaluation process more "fair," the primary concern expressed was that some supervisors did not appear to be held accountable in the performance of their own work. Several suggestions were made in focus groups to have employees participate in the evaluation of their supervisors and/or to implement a "360-degree evaluation" system.

While Management Partners agrees that coaching and verbal feedback from a supervisor is much more important than a written form or standardized process, we do believe the regularity of such feedback is important and should be documented.

Feedback is an important element of an employee's professional development. For managers and supervisors, obtaining feedback from the people with whom they work, and those relying on their performance, can be useful to identify opportunities for improvement.

> **Recommendation 38: Modify the County's performance evaluation system to ensure every County employee gets some form of structured feedback on his/her job performance at least once per year.** As with other requirements, Human Resources staff should document that this feedback discussion has occurred and the employee should sign a statement that it has occurred.

> **Recommendation 39: Modify the County's performance evaluation processes to factor in employee input as a component of supervisory reviews.** This gives managers and supervisors specific feedback on how to further improve their performance, which in turn, increases skills and capabilities for promotion. Additionally, the collaborative nature of the

County requires that supervisors and managers work well with their peers and be reliable collaborators. Peer feedback can provide useful information for professional development objectives.

Recommendation 40: Create a process through which the County Manager and executive team assess the performance and capabilities of the top 1-2% of the management group, at least through division head positions, as part of the succession planning and development program. Through this process, the County Manager and executive team can identify opportunities for individuals to continue their professional development and progression into leadership positions in the County.

Information Technology

San Mateo County, like other organizations, is highly reliant on electronic data storage and information. Many of the County's clients and customers are served by more than one County department. Similar types of information are needed and utilized by several County departments.

Investments in information technology (IT) are expensive and complicated as relates to hardware and software purchases, but also in terms of the support needed to maintain the systems in optimal working order. As is so often the case in large organizations, individual departments have developed their own IT expertise and have focused, understandably, on meeting the specific business needs of their programs and operations.

Integration of data systems on an organization-wide basis has been a more recent focus in San Mateo County. It has developed because of practical considerations for sharing information about clients and data among departments, and cost. Since IT investments are large and need to have a return over a number of years, the decisions to purchase system need to be made with care.

In the focus group on Children's and Family Services and the one on Alcohol, Drug and Tobacco Services, the inability to share data between departments was raised a number of times. Lack of data sharing impedes their ability to collaborate effectively and serve clients efficiently.

The County has in place what can be described as a hybrid information technology organizational model. A central Information Services Department performs some of the County's IT needs, while other IT expertise and systems are provided by dedicated staff within individual County departments. The Information Services Department is an internal service department, with 100% of its cost charged back to other County departments either directly or indirectly.

Information about IT Investments

The Information Services Department (ISD) has a staff of 134.1 FTEs (FY2004-05), and a budget of $15.3 million. A number of County departments have their own IT FTEs. The total budget for electronic information systems Countywide has not been quantified. However, the County spent an estimated $10.8 million in 2005 for hardware and software. Of that amount, $5.4 million was budgeted and planned by ISD, and $5.4 million by other County departments.

In our review, we found that the County does not track all of the expenditures for IT purchases, staff, maintenance or other costs, so that a complete picture of the County's investments in IT is unknown. We believe the County needs an accurate accounting of what is being spent in all categories of IT investment. Tracking and better understanding technology purchases, needs, and proposed expenditures may also give the County opportunities to negotiate better prices from vendors.

> **Recommendation 41: Assign responsibility to ISD for developing performance measures to accurately measure the cost and benefit of IT spending.** These performance measures should be focused on cross-departmental and countywide IT projects, and should be reported annually.

Organizational Role of ISD

Our interviews with County executives suggest that there is no consensus as to the appropriate role and mission of the Information Systems Department. The County's approach to IT results in a largely decentralized system of decision making and implementation of information technology systems. Some department directors report their operational needs are best met through the current system. Other departments make significant use of assistance provided through the Information Services Department.

The key issue is not centralization versus decentralization of information system services but, rather, ensuring that the "big picture" countywide view is considered when new investments in systems or technology staff are contemplated. Given the significance of the County's investments and the importance of information technology to efficient and effective service delivery, it will be increasingly important for the County to have sound methods of making decisions about technology investments.

ISD's two largest customers are the Health Department and San Mateo Medical Center, which, combined, represent half the County's workforce. The relationship between ISD and these two departments is described by staff as a strong partnership, with ISD staff serving on the executive teams of both departments. Strategic plans for IT are in place in both departments, created collaboratively by ISD staff and staff from each of those departments.

The current hybrid approach to IT in San Mateo County presents challenges in ensuring that decisions made by and for one department are beneficial on a Countywide basis or, at the minimum, do not create impediments. The problem with the current approach to decision making is there could be a set of higher return solutions that are either unidentified or ignored because their return spans departmental boundaries.

San Mateo County may be missing opportunities for high impact, multi-department solutions and associated return because of the way IT projects are currently evaluated for funding on a departmental, rather than countywide, basis.

Additionally, the highly decentralized approach has resulted in separate databases, with limitations for sharing information between departments. County departments have identified the need for improved data sharing as an important step to improving service to customers.

Some initiatives are under way that represent a good step in addressing this issue and will result in benefits to several departments and to the County as a whole. One example is the County's Geographical Information system (GIS), which provides multiple-department benefits through an initial pooling of resources, consolidated infrastructure, coordinated efforts, and cost control between the Assessors Office, Planning, and Public Works. A second example is the effort to develop a shared data warehousing capability that would enable the Health Department, San Mateo Medical Center and the Human Services Agency to share data cross-departmentally, coordinate service delivery, and get a more complete picture of services provided to an individual client.

There are ways to strengthen the process of determining Countywide impact and benefit of IT systems, and for providing greater assurance that decisions about technology investments are made with the entire enterprise in mind.

For instance, the ISD Director and/or the applicable ISD Relationship Manager should be in the earliest discussions with departments as they contemplate their IT needs and possible solutions. The County has an internal service model that could be used to provide for multi-department information technology solutions and be a vehicle for planning multi-year project funding. These and other questions are critical to the productive use of limited County dollars.

Management Partners has observed other large agencies effectively using an approach that engages executives in strategic planning and decision-making. We think it would be useful for San Mateo County to create such a strategic planning council for IT.

Currently, ISD's review of proposed departmental IT expenditures is uneven, depending on when the particular County department involved

seeks input from ISD. Some departments, such as the Health Department or the San Mateo Medical Center, engage ISD early.

Others rely on a cursory ISD review as required in Administrative Memorandum B1 just before a recommendation to purchase goes to the Board of Supervisors. That late in the process, ISD cannot make a meaningful recommendation and is hard pressed to offer suggestions for change that might benefit the County as a whole if it means delaying the project -- something the initiating department would not welcome.

> **Recommendation 42: Develop a new administrative policy on information technology that requires that ISD be involved at the beginning of a department's process of evaluating its technology needs or improvements.** In support of this new policy, the ISD Director should provide a complete and comprehensive report to the County Manager of Countywide IT spending plans for the next fiscal year during the budget cycle. Meaningful guidance should be provided to departments so that Countywide interests are considered early in the decision making process.

The County has established several cross-departmental countywide committees in an effort to provide some level of coordination and consistency in IT. Attachment L shows the purpose statement and membership roster for each of these committees.

Staff participation is very useful in moving the County forward with integrated IT investments and coordinated systems. This report does not evaluate the effectiveness of the committees, or the time spent on committee work. However, we did observe that even with the committees in place, executive managers and others consistently posed fundamental questions about the mission of ISD, how decisions should be made on IT investments and expenditures, and other policy level issues. We suggest that the County needs a streamlined executive-level group with a focused mission to move the County forward with an integrated, enterprise-wide approach to IT.

> **Recommendation 43: Establish an Information Technology Planning Council (ITPC) comprised of department heads and executives appointed by the County Manager.** The ITPC's mission would be developing the County's information technology policies, strategic plan, and recommendations for funding. Its recommendation would accompany any separate recommendations County departments make to the Board of Supervisors for funding. The Chair of the ITPC would rotate among the members, with the ISD Director serving as an ex-officio member providing staff support to the Council. The Assistant County Manager or Deputy County

Manager for Administrative Services would also serve on the ITPC.

Recommendation 44: Using evaluation criteria approved by the ITPC, bi-annually evaluate the results achieved by each of the existing IT committees and associated staff time, review their charters, and make modifications as indicated by the review. Periodic evaluation of results of committees is important as a way to ensure that the staff time spent is producing desired outcomes.

IT Strategic Planning

ISD prepared a draft *San Mateo County Information Technology Strategic Plan* in 2004. It is a good start at identifying the County's IT needs and possible solutions. In our review of the draft strategic plan, we found it to be thoughtful and a good description of the County's technology needs and possible solutions. It identifies strategic areas of focus, the case for developing standards, technology trends, technology and change management, operational and policy strategies, an implementation plan and a survey of departmental IT visions.

It would serve the County well to consider many of the recommendations in that earlier strategic plan. For the plan to be comprehensive, however, it should also address funding for IT projects and other expenditures, decision making, performance indicators for IT investments, and the role of the Information Services Department.

Recommendation 45: Revise the County's IT Strategic Plan to establish policies for making decisions about IT investments, performance indicators, and a five-year timeframe for budgeting. Set a target date for the formal adoption of the IT Strategic Plan for San Mateo County. The new strategic plan should establish an enterprise-wide perspective while meeting operational needs of County departments. Guidance for the strategic planning process would be provided by the ITPC, and would be developed collaboratively by ISD and all County departments.

Departmental Review Process

Public organizations are finding that changes in business processes and technology are dictating that organizational reviews must be conducted more frequently to maximize productivity, continuously improve processes, and make best use of available resources. The organizational review that resulted in this report is a product of the County's interest in evaluating and improving the management structure and systems of the organization. Members of the Board of Supervisors also have expressed interest in periodic program reviews of County departments to improve performance and efficiencies, as well as generate new revenue and/or

cost savings. Reviews of select departments have been completed over the past several years with success. As we conducted this countywide organizational review, we found a positive attitude for improvement of organizational processes and procedures in Board policies and management practices.

The County has long had a practice of evaluating performance, measuring results, and continuously improving services. Outcome Based Management (OBM) is the County's program of performance management and is led by the Deputy County Manager for Budget and Performance. The Internal Audit Division of the Controller's Office conducts operational, financial, and performance audits of various County operations each year, offering suggestions for improving results.

Even though it is important and the County has a tradition of program evaluation, it can be difficult for agencies to take the time to systematically seek improvements in their processes and operations. That is particularly true when staffing is lean and simply keeping up with high daily demands is challenging.

A regular program of departmental reviews would help keep operations up-to-date. Such reviews could be conducted on either a rotational or an as needed basis. While some organizations have been able to conduct management and organizational reviews internally, most like the greater scrutiny of an independent third party to make the assessment. An independent look also provides exposure to new practices and procedures gleaned from the third-party experience with other agencies.

The County Manager's Office has created the basic framework for conducting program reviews and is prepared to initiate the first one. The framework for the program review contemplates one or more departmental operations evaluated each year by an in-house team and consultant. This approach can be a good way to train staff in evaluation methodologies, provide an opportunity for staff to learn about a program area outside their own discipline, and result in meaningful information for the County which can serve as the basis for improvements.

> **Recommendation 46: Initiate a departmental review process using an independent consultant, with assistance from assigned County staff, to make recommendations for program improvements.** The assignment of County staff to work with an experienced consultant offers many benefits to the County and those assuming the assignments. In addition to providing useful information for the department under review and the County Manager and Board of Supervisors, the investment in program reviews can be part of the County's succession planning sequence by developing the skills of staff who aspire to County leadership positions. The consultant would have the ultimate responsibility for completion of reports, and presentations to County management and the

Board of Supervisors. The Assistant County Manager should assume the day-to-day operational responsibility for this review function. The County Manager's Office staff needs to accommodate this process are discussed in the later section of this report regarding the organization of the Office.

Organizational Names and Titles

In the course of our organizational review, we found two basic categories of names and titles to be confusing for customers and/or staff.

- Names of organizational units
- Titles of executive and senior management staff, and designation of managers and supervisors

The lack of clarity about organizational unit names was raised a number of times in focus groups and interviews. The County's use of terms like "department" and "agency" are inconsistent and it is confusing. The names of various services sometimes do not convey the work being performed, and it is difficult for customers to find what they need.

For example, the name "Revenue Services" may not indicate to customers that it is the location they pay their bill. "Revenue" is an internally oriented term, rather than externally oriented. Another example is the name "Environmental Services Agency." In fact, that agency as currently organized does little that would be considered "environmental" by customers. It has responsibility for Planning and Building, the contract with California Department of Forestry for fire services, Animal Control, County Library, Agriculture and Weights and Measures, and other services.

Orienting the names of County operations to what services are provided would make it easier for customers to navigate through the County's services.

Internally there is confusion about the use of "department" versus "agency" and what the distinction between the two might be (if there is one). For example, the Environmental Services Agency and Human Services Agency are both organizationally equivalent to the Departments of Public Works and Health Services, with each department or agency director reporting to the County Manager. The confusion exists despite Chapter 2.04.020 that lists County departments.

A related issue noted by a number of employees is that it is difficult for customers and employees alike to find the right service or County staff using the County's website. They suggest that a much easier directory be created that uses names and categories of services that would be used by customers.

Several employees cited Santa Clara County's "A-Z Services" section of its website as an example of an easy-to-use directory. ISD could create a database of County services and programs that can be sorted by

program/service name, department, and contact person. All County employees and customers should have access to the directory online so that customers can find services themselves and any county employee can assist a customer.

The second point of confusion relates to staff titles. There are "directors" and "department heads." Staff said it is sometimes confusing when agency directors and department directors are not included in the same e-mail groupings or memos. While there is list of elected department heads and individuals reporting directly to the County Manager, the use of the term "director" and "department head" is confusing.

Clarity for communication purposes would be helpful to employees. Related is the use of the terms "manager" and "supervisor." We found staff to be unclear at times as to which people are in which of the two groups. It may be useful to clarify the use and meaning of all such designations.

> **Recommendation 47: Review department and agency names to determine whether changes would help customers find the service they seek, and make changes as appropriate.** The Deputy County Manager for Intergovernmental and Public Affairs should assist in the review and naming process to provide a non-departmental and customer perspective. Based on our review of overall County organization, we believe that using the term "department" for the operating units would establish the necessary consistency and remove the confusion that currently exists. The subordinate working groups for each department would then become divisions.

> **Recommendation 48: Create standard e-mail groups to be used for the appropriate type of communication and monitor their usage to aid in consistency.** ISD should create e-mail grouping templates for various organizational levels (i.e. the Agency/Department Director level, Deputy Director level and so on). These group names should be distributed countywide for use by all employees to ensure consistent inclusion of the correct employees in communications.

> **Recommendation 49: Create a detailed online County directory by service, program, and staff to make it easy for customers to find who or what they seek.**

Organizational Structure

This section contains observations and recommendations about the structure of the organization.

The structure of an organization, how services are aligned, and the reporting relationships are a function of the services being provided, talent within the organization, tradition, and preferences of the chief executive and policy makers. Within a couple of years after the current County Manager arrived, a number of significant organizational changes were made, based on an assessment at the time of how to best deliver effective service delivery.

Over the years, other changes have been made, either to realize cost savings (such as eliminating the General Services Department), accommodate new requirements (such as creating a separate Department of Child Support), or emphasize a County priority (such as establishing a separate Housing Department).

Our review suggests that the culture of collaboration and innovation is supported by the management and leadership philosophy of the County, as well as the long tenure of County executive staff. All of the changes proposed through this review, including changes in organizational structure proposed below, are intended to do one or more of the following: **foster collaboration, increase effectiveness, and/or enhance policy and executive level support and focus.**

As part of our review of the organization structure, we were asked to evaluate the placement of support services from the former General Services Department (eliminated in 1993). Facilities and fleet services were incorporated into the Public Works Department. Revenue, purchasing, copy center, mail room and public safety communications were folded into the Employee and Public Services Department.

We sought customer feedback about these support services to learn whether there were opportunities for improvement and whether any problems existed due to organizational location. We found a high level of customer satisfaction with all support services except facilities, and the comments about facilities referenced budgetary limitations in the services provided to departments.

In light of the planned retirement of the Employee and Public Services (EPS) Director in March 2006, we propose redistribution of the functions within EPS (see sections below on **County Manager's Office** and **Employee and Public Services**.)

Board of Supervisors Staffing

As part of this review, Management Partners compared staffing levels in the San Mateo County Board of Supervisors Office with those in the reference counties. We conducted interviews with members of the Board of Supervisors and each of their staff members. Each Supervisor has two staff positions that can be allocated in any manner the Supervisor wishes, i.e. administrative or constituent relations.

Generally, the interviews suggested that additional staff would be useful in carrying out the responsibilities and workload of the Board of Supervisors. Most of the specific concerns relate to inadequate administrative support for routine purchases and similar functions. These currently must be performed by the Supervisors' staff, along with their regular duties. Other concerns related to an interest in having additional analytical and constituent relations capacity.

Table 4 below shows Board of Supervisors staffing. This figure shows full-time equivalent staff positions (FTEs) for the Board of Supervisors, and does not including the elected Supervisors themselves.

TABLE 4: BOARD OF SUPERVISORS OFFICE STAFFING COMPARISON

San Mateo	Santa Clara	Alameda	Contra Costa	Sonoma	Solano	Ventura
10	35	25	22	5	5	20

San Mateo County's staffing level of 10 full-time equivalent positions (FTEs) is below the reference county average of 18.7 FTEs.

Most of the reference counties provide an equal number of staff for each member of their Board of Supervisors. For example, Santa Clara County provides seven full-time equivalent positions per Supervisor, Alameda County provides five, Solano and Sonoma County provide just one.

Our conclusion is that each Supervisor could benefit from additional assistance on administrative tasks such as preparing position papers, statistical reports, memos, press releases, committee assignments that may involve budget and legislative analysis, and constituent relations that may involve special projects, event planning and participating in community meetings. That assistance could come in the form of an added position for each Supervisor. An alternative could be the addition of sufficient staff in the County Manager's Office to provide necessary administrative and analytical assistance to each of the Board members.

> **Recommendation 50: Increase the budget for each member of the Board of Supervisors by an amount equal to one additional full-time staff position, to be used at the discretion of the Supervisor.** Added capacity would be beneficial to members of the Board of Supervisors, given the demands placed on them by

constituents, committee assignments, and other responsibilities. An amount can be placed in the budget for each Supervisor, and then each can then determine if the need is for an additional staff person or contractual services to address specific single needs.

County Manager's Office

The County Manager's Office provides executive leadership for the County's appointed departments, coordination for the entire County organization, a range of general administrative duties, and Clerk of the Board responsibilities. The County Manager is supported by an Assistant County Manager and two Deputy County Managers. The Assistant County Manager position is currently vacant (although the position is being filled on a part-time basis to manage the Youth Services Center project). One of the Deputies is responsible for Intergovernmental and Public Affairs, and the other is responsible for Budget and Performance. In addition, an Executive Assistant/Office Manager oversees support staff within the Clerk of the Board, Assessment Appeals Board, and overall County Manager's Office. All appointed department heads currently report to the County Manager, as shown below in Figure 4.

FIGURE 4: COUNTY MANAGER'S OFFICE MANAGEMENT STRUCTURE (CURRENT)
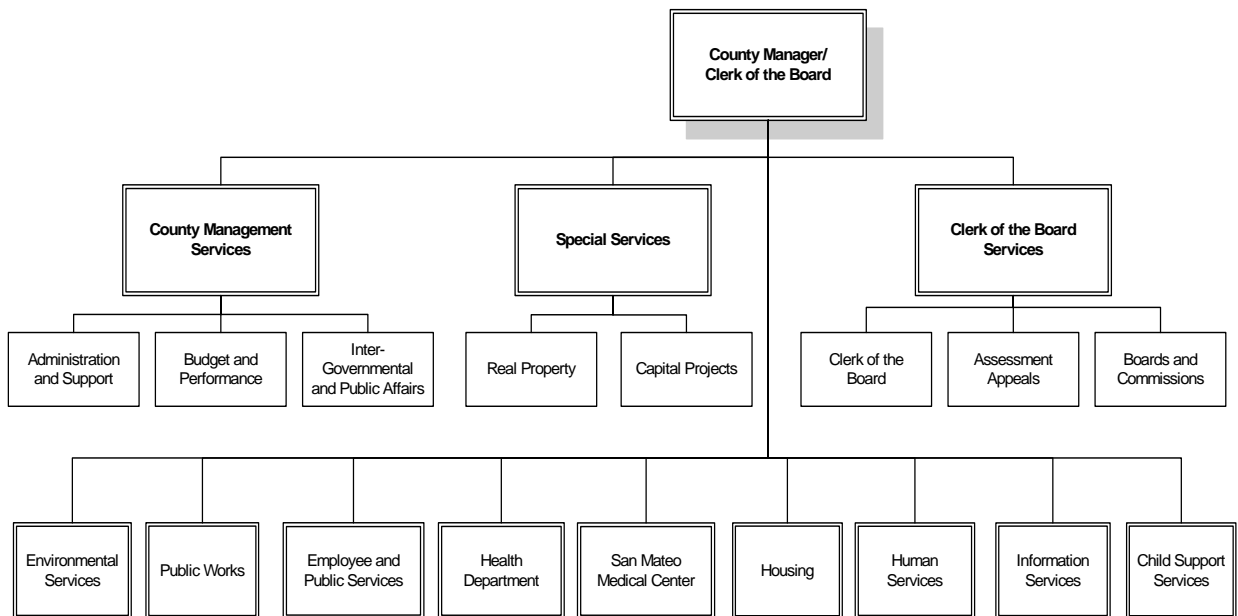
Figure 5 below shows one measure of relative staffing levels, a ratio of County Manager's Office employees per 1,000 County FTEs (2004-05 figures). At 4.5, the San Mateo County Manager's Office has slightly lower staffing than the reference county average of 5.3.

FIGURE 5: COUNTY MANAGER'S OFFICE EMPLOYEES PER 1,000 COUNTY FTEs
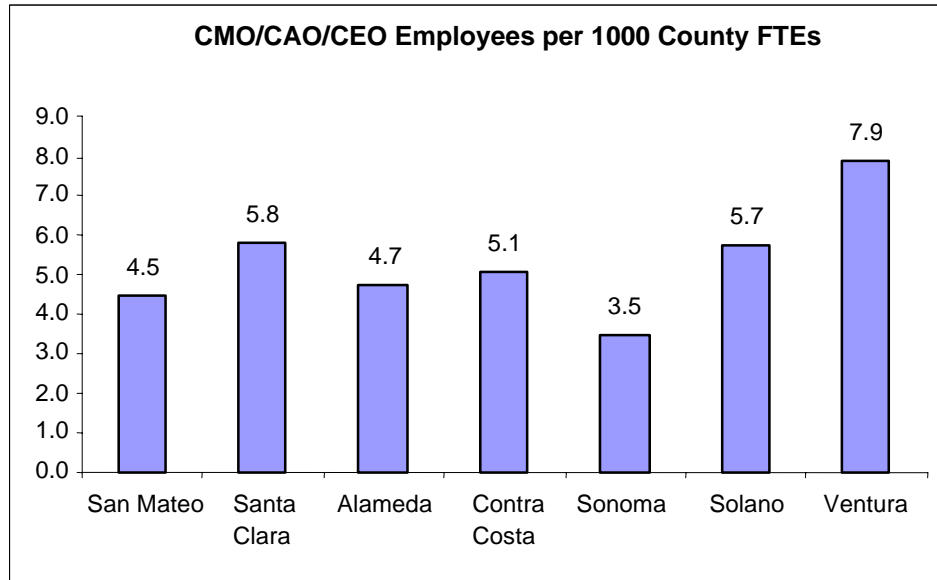
Under the current organizational structure, all nine non-elected County department heads report directly to the County Manager. The collaborative nature of the County organization has worked well in service delivery. Given the complexities of county government, however, the span of control for the County Manager is significant. Management Partners identified several improvements to coordination and service delivery that could be made with some structural modifications.

As a preface to discussing the organization of the County Manager's Office, it should be understood that our basic conclusion is that all the departments have performed well. As indicated in the prior sections of this report relating to focus group comments, our analysis indicates even better performance could be achieved with greater coordination of work units that are dealing with inter-related subjects.

The following sections describe a new role for the Assistant County Manager, changes to the assignments of the two Deputy County Managers, and the addition of a third Deputy County Manager. Modifications to the duties of the Deputy County Manager for Budget and Performance are proposed to create an Administrative Services group. Enhancements to the role of the Deputy County Manager for Intergovernmental and Public Affairs are recommended. A new Deputy County Manager position for Community Services is proposed.

A number of changes in reporting relationships are recommended with the creation of the Administrative Services and Community Services divisions within the County Manager's Office to increase coordination between functions. However, the timing of re-assignments in reporting relationships should be determined by the County Manager based on an individual assessment of each function.

For instance, while Management Partners recommends the Housing Department become part of the management responsibility of a new Community Services group under a Deputy County Manager, the County Manager may decide to delay the change in reporting relationship. A delay would be warranted because the Housing Director is relatively new, as is the department itself, and the County Manager may determine that a direct reporting relationship to the County Manager should stay in effect until the department is well established.

Unless otherwise noted, all existing departments will continue to operate as departments in the County structure. The reporting relationship to the County Manager's Office may be altered from time to time by the County Manager when such a modification would be useful.

Multi-Disciplinary Leadership and Departmental Review
A recurrent theme in department interviews and in focus groups was the perceived need for increased participation and leadership from the County Manager's Office in multi-disciplinary problem-solving and policy level planning for the County.

Collaboration is a strong organizational value and is stated in the *Shared Vision 2010* plan, but some issues require direct support from the County Manager's Office to solve problems and plan policy. Such direct support would strengthen policy discussions at the Supervisors level, as well as implementation of new initiatives.

The high level of collaboration that now exists is the result of strong leadership within the executive team – and that will always be needed. The County Manager and department heads also discuss collaboration as an organizational value during new employee orientations.

Still, there is an important leadership role for the County Manager's Office in facilitating problem solving and providing direction from a Countywide perspective. San Mateo County deals with a range of complicated issues and policy level problems. Examples of such issues are substance abuse-related services, the effect of substance abuse on virtually all County operations, children's and family services, and corporate-wide policies on information technology.

County Manager's Office leadership also will be important to meaningful direction and budgetary support of succession planning as a corporate issue.

The position of Assistant County Manager is vacant, following the retirement of the previous incumbent. A logical role for a new Assistant County Manager is that of executive and policy level problem solving and direction, leadership for succession planning (with implementation through the Human Resources and other County departments), and leading the effort of departmental reviews (see Recommendation 46). Previous duties of the Assistant County Manager included problem solving on complex issues, as well as managing Real Property and Capital Projects. For the Assistant County Manager to have the time to provide the desired executive level leadership and multi-disciplinary problem solving, it will be important for the previous role of overseeing the Real Property and Capital Projects functions to be reassigned.

One solution would be to assign the Real Property Manager to the proposed Community Services group managed by a new Deputy County Manager (see Recommendation 58), and Capital Projects as a division within the Public Works Department. The Real Property Manager's position could be expanded to include economic development, as part of the Community Services group. The Real Property Manager has the capability to lead an Office of Economic Development for the County, which would both provide managerial development for that individual and enable the County to focus additional attention to economic development opportunities. The restructured position would become an Economic Development Director, responsible for both Real Property and Economic Development. The Capital Projects unit would be transferred to Public Works, where it would report to the Public Works Director and would provide oversight for the County's capital improvement plan and construction of new facilities such as the Women's Jail and office building in the Redwood City campus.

> **Recommendation 51: Modify the role of the Assistant County Manager position to include leadership for multi-disciplinary collaboration and problem-solving, executive leadership for succession planning, and corporate level support and assistance on issues of importance to the County.** This position could play a lead role in convening inter-departmental task forces and in setting key policies. Potential arenas of value-added assistance by the Assistant County Manager would be with County health, human services, substance abuse services, and information technology -- given the complexities of the policy, collaborative and program issues involved in each of these program and functional assignments.

> **Recommendation 52: Transfer the Capital Projects unit to Public Works reporting to the Director to provide oversight for the construction of new facilities and capital improvement plan for the County.** The Public Works Department currently has responsibility for construction and has strong alignment with capital projects responsibilities. Transferring the Capital Projects unit to

Public Works under the Director would provide the level of oversight needed for future capital needs of the County.

> **Recommendation 53: Create an Economic Development Director position by broadening the responsibilities of the Real Property Manager to include Economic Development, and have the individual report to new Deputy County Manager for Community Services.** The County would be well served by establishing an economic development focus, particularly for the Fair Oaks unincorporated area of the County. The Real Property Manager has the capacity and capability of creating an economic development program for the County. Assigning responsibility for economic development to the Real Property Manager would serve as a development opportunity for that individual.

As noted previously in Recommendation 46, reviews of departmental programs and service-delivery methods should be conducted on a rotational basis each year. We have recommended the responsibility for these reviews be placed with the Assistant County Manager. We have also recommended that this position have the oversight of succession planning, working in conjunction with Human Resources.

Further, we have indicated one of the ways to prepare employees for management positions in the County is to rotate personnel both within the County Manager's Office and among the operating departments. To properly accomplish this task, while addressing the day-to-day workload of the County Manager's Office and departments, more staff will be necessary. Existing staff cannot be expected to perform the current level of work and also be part of a rotation of personnel within the County Manager's Office.

> **Recommendation 54: Add one senior analyst level position to the County Manager's Office, assigned to the Assistant County Manager, to become part of the management development program within the Office, and to assist with the departmental review process.** The analyst would primarily be assigned to the County Manager's Office, but could be assigned to any of the operating departments as a means of training in-house personnel for future management positions in the organization.

Clerk of the Board

Management Partners reviewed the Clerk of the Board function as part of the overall review of the County Manager's Office and the Board of Supervisors' Office, and also in response to specific concerns raised during interviews about how well that function performs. In conducting our review, we compared San Mateo County's staffing with six reference counties, interviewed all of the staff to the Board of Supervisors,

interviewed many staff in the County Manager's Office, and reviewed process information about the jobs being performed.

As part of an expense-reduction strategy in the 1990s, the Clerk of the Board function was transferred to the County Manager. The Clerk of the Board and Assistant Clerk of the Board positions were eliminated, while three support staff were transferred to the County Manager's Office. The County Manager assumed the position of Clerk of the Board, and delegated day-to-day responsibility for carrying out the supervisory support functions to the Office Services Manager, who reports directly to the County Manager.

Clerk of the Board unit staff have been reclassified since the consolidation. The unit now has two Agenda Administrator positions and one Administrative Assistant I position (the latter of which is dedicated to the Assessment Appeals Board process, which is organizationally part of the Clerk of the Board function).

The role of the Office Services Manager is to provide direct clerical support to the County Manager, supervise the clerical staff within the County Manager's Office (including the three Clerk of the Board positions), and provide clerical support to the Board of Supervisors as needed.

As a result of the broad range of job responsibilities of the Office Services Manager, it is challenging for the person in that position to provide sufficient oversight of the Clerk of the Board staff along with the supervision of the remaining County Manager's Office support staff. Interviews with staff to the Board of Supervisors suggest dissatisfaction that they have to perform a number of clerical functions. There is a perception that at some points in the past, more clerical support was available to assist the staff of the Board of Supervisors. Examples of desired support include ordering office supplies, framing proclamations, and various repetitive clerical functions.

Compared with the reference counties, San Mateo County's staffing of the Clerk of the Board function is lean, as shown in Table 5 below:

TABLE 5: CLERK OF THE BOARD STAFFING FOR REFERENCE COUNTIES

	San Mateo	Santa Clara	Alameda	Contra Costa	Sonoma	Solano	Ventura
Clerk of Board Staffing	3	29.5	9	7	6	2	4
Clerk of Board Location	CMO	Separate dept.	CAO	Central Support Services Dept.	CAO	CAO	CEO

Having the County Manager serve in the Clerk of the Board role works well. It integrates the functions of agenda preparation and other Clerk of

the Board duties with County Manager's Office work. Additionally, the current integrated clerical support group works well. The individuals provide backup to each other and can flex according to workload.

However, given the broad job responsibilities of the Office Services Manager, there is insufficient time available for close attention to the Clerk of the Board function nor time for process improvements that could be identified to assist Board members and other County staff.

It would be useful to have an Assistant Clerk of the Board to provide greater management support and direction for the function. If such an individual were available, the Office Services Manager would be able to focus on the other important aspects of the County Manager's Office and there would be increased attention on process improvements in the Clerk of the Board function. The duties of the individuals within the Clerk of the Board unit could be reorganized so that one of the Agenda Administrator positions could be deleted with the addition of an Assistant Clerk of the Board.

> **Recommendations 55: Create a new position of Assistant Clerk of the Board and delete an Agenda Administrator position.** An Assistant Clerk of the Board would add capacity and provide oversight for the Clerk of the Board function. The Clerk of the Board function would remain part of the County Manager's Office.

Assessment Appeals Board Process

As part of Management Partners' review of the Clerk of the Board function, we reviewed the County's Assessment Appeals Board process since it is part of the Clerk of the Board responsibilities. In the course of our review, we found that the Assessment Appeals Board process has been a concern to Board members and Assessor's Office for some time, due to a significant backlog of appeals and a need to significantly improve systems and oversight.

In 2005, the County commissioned a study of the Assessment Appeals Board function from the consulting firm Bartig, Basler & Ray. Study results, presented In August 2005, identified numerous problems and made a number of recommendations. Problems in the Assessment Appeals Board system were noted in scheduling appeals, a significant backlog of appeals, lack of on-line processes, and insufficient explanations to potential appellants of the appeals process and bases for successful appeals. The consultants noted that the two-year statutory requirement for hearing appeals was missed in one instance, resulting in revenue loss to the County. The report also noted a lack of management oversight of Clerk of the Assessment Appeals Board responsibilities.

The report made recommendations to improve performance in each of those areas. To date, they have not been implemented. Among the recommendations:

- Additional Assessment Appeals Board members should be appointed to create a larger pool of members and an ability to hold more hearings, including during the evening and on weekends
- Coordinated data systems improvements to eliminate the multiple systems currently in effect to accept, track, schedule, and resolve applications filed by property owners
- Education of property owners about what is required as the basis for appeals to help property owners make more informed decisions about whether or not to file appeals

A review of Assessment Appeals Board best practices in other counties may be useful for San Mateo County in identifying reasonable improvements.

Orange County, for example, has a reputation for streamlined, customer-oriented processes. The location of Orange County's Assessment Appeals Board function as part of the Clerk of the Board is the same as its location in the six reference counties we considered in our review. The reason for Orange County's success appears to be that the Clerk of the Board is centrally located and easily accessible by the public.

Clerk of the Board staff accepts the assessment appeals board filings (just as they do other legal documents), they are accustomed to processing receipts, notifying the parties, and following up. Additionally, the statewide Clerk of the Board professional association recommends alignment of the assessment appeals board function with the Clerk of the Board function because they believe the services are related.

> **Recommendation 56: Review the August 2005 recommendations by Bartig, Basler & Ray to ascertain which can be implemented immediately, which can be implemented later and which should not be implemented.** The review and decisions should be made collaboratively between the County Manager's Office, the County Counsel's Office and the Assessor's Office. The new Assistant Clerk of the Board should manage this review and report progress to the Office Services Manager on a regular basis.

Administrative Services
An opportunity exists to align more of the internal support services of the County and take advantage of the capabilities of the Deputy County Manager for Budget and Performance in doing so.

With the upcoming retirement of the Employee and Public Services (EPS) Director, the County needs to make a decision about organizational placement of current EPS responsibilities. EPS has been successful in delivering an array of support services that are not commonly grouped in other local government agencies as they are in San Mateo County, largely because of the leadership and skills of the Director. (See the

section on EPS below for more detail on current EPS operations and recommendations for change.)

Several of the County's internal support services could be effectively managed by the Deputy County Manager for Budget and Performance as part of a restructured and broadened position. Increasing the scope of responsibilities for that Deputy County Manager to a range of administrative services enhances coordination of those functions and creates greater depth of knowledge and expertise within the County Manager's Office for those services.

Specifically, Purchasing, the Copy Center, the Mail Room, and the traditional Human Resources functions would be well served under the Deputy County Manager for Budget and Performance, re-titled as Deputy County Manager for Administrative Services.

A Human Resources Director will be needed upon the retirement of the EPS Director to ensure the County has the depth of expertise needed for that important organization-wide function. The Human Resources Director will be responsible for all of the County's human resources functions, including the traditional personnel functions, training, employee relations, risk management and benefits.

Another function that would be well served by being placed in the County Manager's Office is the County's contract with the California Department of Forestry (CDF) for fire protection provided to residents outside city and fire district boundaries in San Mateo County. Currently, contract administration is handled through the Environmental Services Agency, and little direction is needed from County staff for the actual delivery of emergency services. Administering the contract through the Budget and Performance group of the County Manager's Office would enhance financial planning for the services provided by CDF.

Placing the CDF contract under the Deputy County Manager for Administrative Services will provide an additional management development opportunity for that Deputy, as well as enhance financial planning for fire services. If, in the future, the County expands the scope of the CDF contract to include more jurisdictions in shared services, it may be appropriate to transfer the contract administration function to the Deputy County Manager for Community Services to integrate these services with other multi-jurisdictional services.

> **Recommendation 57: Restructure the responsibilities of the Deputy County Manager for Budget and Performance to include additional management responsibilities and change the title to Deputy County Manager for Administrative Services. Increase the scope of responsibilities of the Deputy County Manager to provide management and coordination of the following functions: (1) Budget and Performance (which would be expanded to include CDF contract**

administration), (2) Human Resources (which would include Benefits, Employee Relations, and Risk Management), and (3) Internal Services (which would include Purchasing, Copy Center, and Mail Room. At the same time, formalize the assignment of the legal contract for risk management liability to the County Counsel. Such a restructuring means that a new Director of Human Resources must be recruited to handle the full range of responsibilities of this important function. Enhancing the responsibilities of the Deputy County Manager to include a broader range of administrative functions will provide developmental opportunities for that individual.

The remaining activities from Employee and Public Services that have not been addressed through this recommendation are the Revenue Services and the Public Safety Communications functions. The Revenue Services function has close alignment with the work carried out by the Tax Collector/Treasurer. A transfer of Revenue Services to the Tax Collector/Treasurer would provide the expertise and management for supervision of that function (see Recommendation 66 below). The Public Safety Communications function is recommended for placement under the new Deputy County Manager for Community Services as described in the next section of this report.

The added responsibilities of the Deputy County Manager of Administrative Services will require changes to the Deputy's supervisory, budget, and administrative assignments, and changes to others' assignments within the existing Budget and Performance unit. These changes should be carefully analyzed as the planning for the transition moves forward.

Figure 6 below shows the new structure for the Deputy County Manager for the Administrative Services group. The Internal Services unit of the County Manager's Office would include purchasing, copy center, and mail center. A new Human Resources Department would be established, with a Director appointed upon the retirement of the Employee and Public Services Director. The Budget and Performance unit shown below is currently reporting to the Deputy County Manager.

FIGURE 6: DEPUTY COUNTY MANAGER FOR ADMINISTRATIVE SERVICES

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                    ┌───────────────────────┐
                    │  Deputy County Manager │
                    │ (Administrative Services)│
                    └───────────────────────┘
                                │
         ┌──────────────────────┼──────────────────────┐
┌─────────────────┐   ┌─────────────────┐   ┌─────────────────┐
│ Internal Services│   │     Human       │   │    Budget &     │
│                  │   │   Resources     │   │   Performance   │
└─────────────────┘   └─────────────────┘   └─────────────────┘
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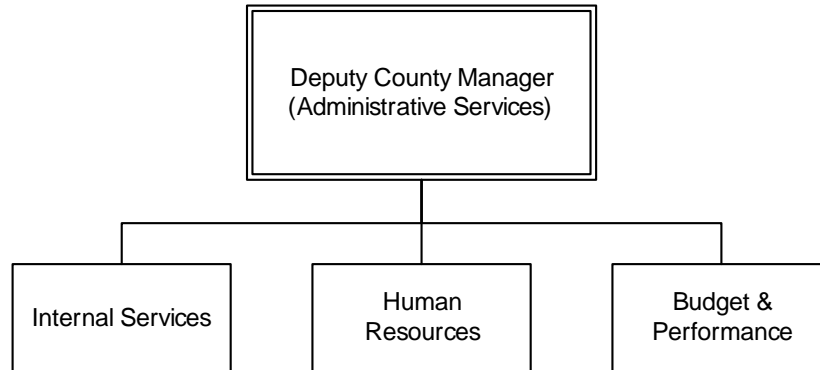
Community Services

An opportunity exists to more closely align the community oriented and/or multi-jurisdictional County departments of Planning and Building, Housing, Public Works, Parks and Recreation, and the office of Public Safety Communications. Also recommended is the creation of a new Office of Economic Development, and the establishment of stronger executive management links of coordination for the San Mateo County Library Joint Powers Authority and Local Agency Formation Commission.

Coordinating these functions through the County Manager's Office would be beneficial because of their many interrelationships with each other, and with outside agencies and municipalities within San Mateo County. Grouping municipal community services functions would create opportunities and leadership with a result of greater collaboration.

Such higher-level coordination can help departments with multi-jurisdictional issues, complex problem solving, and coordination. Additionally, resource management and economic development are important responsibilities of the County that are not contained within any one department.

There are many examples of inter-relationships between the departments listed above. For instance, for the County to achieve the program goals of the new Housing Department, a close relationship with Planning and Building Department staff and programs will be critical. Additionally, the work of the Public Works Department is closely aligned with other municipal-type services and also involves a great deal of interagency work, which would benefit from increased coordination with other departments.

In the focus group pertaining to municipal services and in our interviews, participants commented on problems that customers have in navigating through the many outside special districts (sewer districts, Coastal Commission and the like). Having additional resources in the County Manager's Office, both for public information and to assist with issues related to the various agencies involved in development and environmental issues, should be of benefit to the County.

Creating a higher level focus on economic development, particularly in the Fair Oaks area of San Mateo County, and fostering collaboration between economic development efforts and other development, planning, and capital projects work, will be beneficial to the County. The Real Property Manager, previously reporting to the Assistant County Manager before the Assistant County Manager retired, has the capacity and ability to create a focused economic development program for the County, while managing the Real Property programs. Those functions would be well served by being part of a new Community Services group within the County Manager's Office, reporting to a new Deputy County Manager.

> **Recommendation 58: Add a position of Deputy County Manager for Community Services to have management responsibility for the following County functions: Planning and Building, Public Works (to include Capital Projects), Housing, Parks and Recreation, Public Safety Communications, Economic Development (to include Real Property), and Resource Management. Assign assistance to the Local Agency Formation Commission and the San Mateo County Library Joint Powers Authority to the Deputy County Manager for Community Services.** With this change, Public Safety Communications would become a unit within the County Manager's Office. A new Office of Economic Development would be created, to include responsibility for Real Property. New County departments would be established for Planning and Building, and Parks and Recreation. The County departments of Public Works (to include the Capital Projects unit) and Housing would remain separate departments, but would be coordinated and receive management oversight by the Deputy County Manager. The Resource Management function is included in recognition of the need for enhanced inter-departmental coordination. The timing of the change in reporting relationship for each of the departments should be determined by the County Manager, based on a separate assessment. It may be desirable to phase the change in reporting relationships due to circumstances unique to each department.

By taking this action, Environmental Services Agency will be eliminated as an organizational unit of the County government. Its functions will be transferred to other operating units for better coordination within the County and with other governmental agencies through oversight from the County Manager's Office. These transitions are discussed in a subsequent section of this report regarding ESA.

This restructuring would enhance the coordination of all of the operations within the new Community Services group. For instance, managing the County's approach to environmental resource issues requires cross-departmental coordination to address the range of State and Federal requirements. The County operations that typically play a role in environmental resource issues are Public Works and Planning, with others like Environmental Health and the County Counsel's Office having significant participation. Another example is the critical alignment of work between the Housing Department and Planning and Building Department so that the County's new housing initiatives are successful.

In January 2005, the Board of Supervisors established the Housing Department to provide a more focused approach to increasing the supply of affordable housing countywide and creating greater awareness of the Housing Authority. An essential part of the new Housing Department's mission is providing increased emphasis on long-range planning for housing, redevelopment, and economic development in the unincorporated areas. The services within the new department include the Housing Authority, and housing and community development activities.

To be successful in increasing the supply of affordable housing, close alignment and collaboration with the work of the Planning and Building Department will be essential. Setting the stage for building new housing is politically challenging, requiring executive and policy level attention and support. We believe that the County would be well served by elevating Housing to the County Manager's Office to provide increased support and visibility to housing and community development objectives.

In addition to evaluating organizational placement of Housing, Management Partners was asked to determine whether the County's homeless services, currently located within the Human Services Agency, should be assigned to Housing. We suggest deferring that question at this time because the Housing Department will be undertaking a separate organizational and management review in the first half of 2006, and the question of placement of homeless services can most effectively be considered in more detail at that time.

An additional area that has gained momentum in the past several years is consideration of an economic development component in the County organization. It is a natural to be coordinated in conjunction with housing and planning functions. That way, an overall vision can be developed of what the County wants to ensure economic vitality and support services necessary for any future development.

FIGURE 7: DEPUTY COUNTY MANAGER FOR COMMUNITY SERVICES
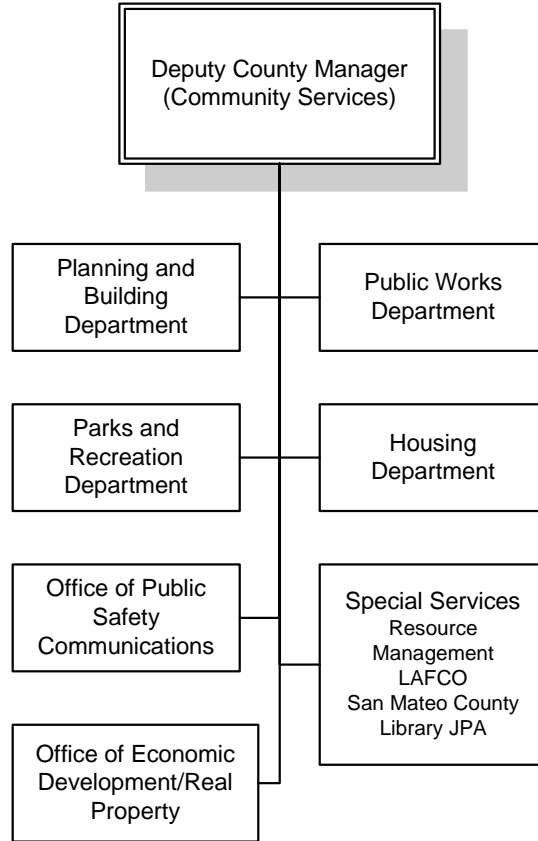
Intergovernmental and Public Affairs

As previously noted, there is a need for more information and better coordination of information to the public and to employees. Additionally, in our interviews, a number of individuals suggested that the County's rapid changes in population, service demands, and other factors call for increased strategic planning.

At least one such planning process is under way now, pertaining to alcohol and drug abuse services. Other strategic planning initiatives are expected, given the orientation of the executive management team toward innovation and improvement.

The County Manager's Office can be helpful to departments as strategic planning processes are undertaken in two ways. One is to serve as a resource for strategic planning by departments and the other is to serve as a connector between departments to foster coordination and integration of planning efforts and results. The Deputy County Manager

for Intergovernmental and Public Affairs can assume responsibility for assisting departments with their strategic planning initiatives.

There is also a growing need for handling special projects under the guidance of the County Manager. With some additional staff assistance, the Deputy County Manager for Intergovernmental and Public Affairs could assume the responsibility for special projects for the County Manager or, if assigned, the Board of Supervisors.

> **Recommendation 59: Assign the added responsibility for internal communications, strategic planning and special projects to the Deputy County Manager for Intergovernmental and Public Affairs.** Add one analyst position and one graphics specialist/administrative support position to assist with the increased scope of work.

Figure 8 below shows the new structure for the Deputy County Manager of Intergovernmental and Public Affairs.

FIGURE 8: DEPUTY COUNTY MANAGER FOR INTERGOVERNMENTAL AND PUBLIC AFFAIRS
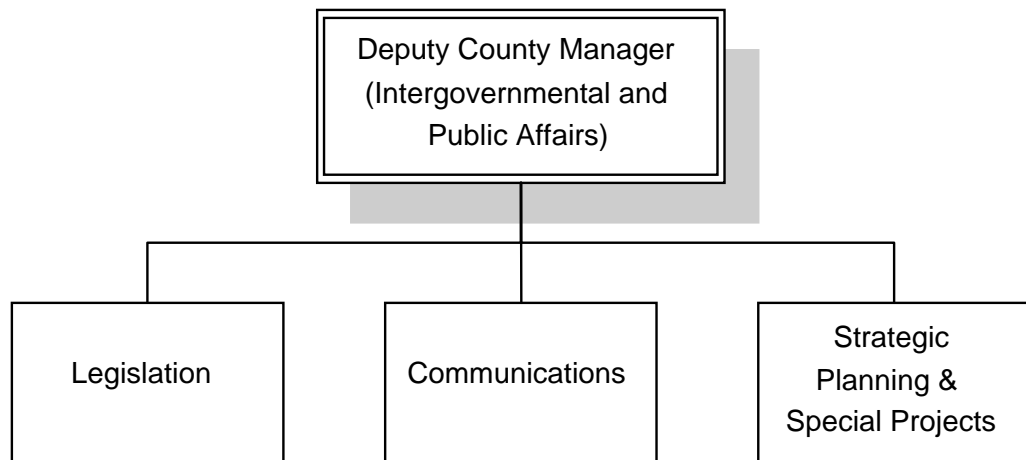
Summary of Structural Changes in the County Manager's Office

The result of the recommended changes in assignments is to create three divisions within the County Manager's Office: (1) Administrative Services, (2) Community Services, and (3) Intergovernmental and Public Affairs. In addition to offering increased executive level support out of the County Manager's Office to the entire County organization, the assignments to the three Deputy County Managers will provide an effective means of professionally and technically developing those three individuals, which is consistent with succession planning objectives of the County.

The structure creates the potential for rotating the employees assigned to the Deputy positions for their managerial development and organizational improvement. Existing departmental structures will continue to exist, with enhanced assistance and coordination being provided by the County Manager's Office through the Assistant County Manager and three Deputy County Managers.

To ensure a smooth and thoughtful transition of responsibilities of the current departmental reporting relationships to the County Manager's Office, the County Manager should set the timing of the moves, based on circumstances unique to each department. Additionally, the salaries of the Assistant County Manager and Deputy County Managers should be reviewed in light of the proposed changes in responsibilities.

Figure 9 below illustrates the proposed County Manager's Office organizational structure:

FIGURE 9: PROPOSED ORGANIZATIONAL STRUCTURE FOR COUNTY MANAGER

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                          ┌─────────────────────┐
                          │  County Manager/    │
                          │  Clerk of the Board │
                          └─────────────────────┘
   ┌──────────────────┐                    ┌──────────────────────┐
   │ Assistant County │                    │ Executive Assistant /│
   │     Manager      │                    │   Office Manager     │
   └──────────────────┘                    │ (Clerk of Board and  │
                                           │  Assessment Appeals) │
                                           └──────────────────────┘
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Deputy County Manager (Intergovernmental and Public Affairs)	Deputy County Manager (Administrative Services)	Deputy County Manager (Community Services)	
Legislation	Internal Services	Planning and Building Department	Public Works Department
Communications	Human Resources Department	Parks and Recreation Department	Housing Department
Strategic Planning & Special Projects	Budget & Performance	Office of Public Safety Communications	Special Services Resource Management LAFCO San Mateo County Library JPA
		Office of Economic Development/Real Property	

Child Support Services Department	Human Services Agency	Health Department	San Mateo Medical Center	Information Services Department

Departmental Changes

The modifications recommended in the prior section relating to the County Manager's Office will impact the County's current organizational structure. The following sections of this report detail the departments that are impacted by the changes in management oversight with the creation of the Administrative Services and Community Services divisions of the County Manager's Office.

Employee and Public Services Department

The Employee and Public Services Department (EPS) is comprised of the following divisions:

- Human Resources
  - Recruitment and Selection
  - Classification and Compensation
  - Equal Employment Opportunity
  - Employee Relations
  - Benefits
  - Risk Management
  - Training and Development
- Public Safety Communications
- Purchasing/Copy Center/Mail Services
- Revenue Services

The department as currently organized is a combination of a traditional human resources or personnel department, and a traditional general services department. This is the case because in 1993, upon dissolution of the County's former General Services Department, EPS absorbed some General Services divisions and, according to staff, "turned them around" into successful operations. The result is a large and varied department.

Despite its unique structure and range of services, EPS is considered to be successful in large part because of strong department management and leadership. It was widely acknowledged by individuals interviewed as part of this review that the EPS Director, who is retiring in Spring 2006, is an extraordinarily capable manager who has led the department to success, despite its unique organizational composition.

In group interviews with EPS managers, they consistently remarked that the EPS Director was a key factor in the department's success. When asked whether a new director would be able to continue to successfully manage the department in its current structure, however, the managers were split.

Some felt that removing non-Human Resource functions from EPS would return those functions to their former, poorly performing states. Others felt that it was unlikely that the County would find a replacement for the

current Director with the strength and skills necessary to continue to successfully lead such a broad department.

In reviewing the composition of EPS, Management Partners agrees with the latter point of view, that it may be very difficult for the County to find someone with the same background as the current EPS Director, who is trained as a human resources professional but is capable of leading other functions. It is more likely that a Human Resources Director could be found and that leadership for the other divisions would be provided through other means.

As noted in the previous section regarding Administrative Services in the County Manager's Office, Management Partners is recommending that most of the functions currently housed in EPS should be placed in the County Manager's Office (see Recommendation 56), with the exception of Revenue Services, as further described below.

> **Recommendation 60: Eliminate the Employee and Public Services Department of the County and transfer its functions as follows: (1) To the Tax Collector/Treasurer: Revenue Services (all but Animal Licensing, which would go to the Health Department along with Animal Control), (2) To the Deputy County Manager for Administrative Services: Human Resources Department; Mail Center/Copy Center/Purchasing, (3) To the Deputy County Manager for Community Services: Public Safety Communications.** These changes will build on the theme of collaboration and coordination across the County organization, and will provide greater visibility for functions with both external and internal customers of the services. All the receiving entities have the capacity to handle the organizational responsibilities resulting from the changes.

The core Human Resources functions should remain together as one operating unit because the work is closely tied together. Re-creating a Human Resources Department upon the elimination of Employee and Public Services, and having the Human Resources Director report to the Deputy County Manager for Administrative Services, will provide the visibility and coordination necessary for this very important set of functions that serves every County department. A Human Resources Director, to report to the Deputy County Manager, should be hired upon the retirement of the EPS Director.

> **Recommendation 61: Create a Human Resources Department with the Director reporting to the Deputy County Manager for Administrative Services.** The full range of Human Resources activities relating to employee recruitment and selection, classification and compensation, training, benefits, risk management, equal employment opportunity, and employee relations should remain as a

cohesive work unit to ensure the coordination necessary for effective service delivery.

Risk Management

Risk Management is part of the Human Resources function within EPS. The Risk Management staff administers liability insurance, property insurance and workers' compensation services for the County. All legal aspects of these services are coordinated with the County Counsel's Office.

As a point of comparison, Table 6 below shows the placement of risk management functions as follows:

TABLE 6: PLACEMENT OF RISK MANAGEMENT IN REFERENCE COUNTIES

County	Placement of Risk Management
Alameda	County Administrator's Office
Sonoma	General Services Department
Solano	Department of Human Resources
Contra Costa	County Administrator's Office
Ventura	HR Division within County Executive's Office
Santa Clara	Employee Services Agency

Recommendation 62: Assign the Risk Management function as part of the Human Resources function within the Administrative Services section of the County Manager's Office. There are natural ties between the personnel and administrative activities previously recommended for placement in the County Manager's Office. In addition, there are ties of the financial aspects of Risk Management to the budgeting responsibilities of this Deputy County Manager. Continuing a close relationship and coordination with the County Counsel's Office handling the legal aspects of risk and liability management is assumed with this transition of the function to the Deputy County Manager.

Recommendation 63: Assign responsibility for legal services contracts for Risk Management functions to the County Counsel. The legal aspects of liability for Risk Management activities should rest with the County Counsel. Continued close collaboration with the Human Resources and Risk Management staff should continue.

Mail Center/Copy Center/Purchasing

The Mail Center/Copy Center/Purchasing Division was previously in the General Services Department until that Department was eliminated. This division provides general mail distribution, copying and reproduction services and purchasing services for all County departments. These are all centralized support functions and would serve the County organization well as part of a centralized Administrative Services operation.

> **Recommendation 64: Assign Purchasing/Copy Center/Mail Room as part of the new Administrative Services division of the County Manager's Office.** The determination of supervisory responsibilities should be made as part of the transition planning for these activities.

Public Safety Communications

The County's Public Safety Communications Division, located within EPS, is responsible for the provision of dispatch and other functions to the County Sheriff's Department and California Department of Forestry (CDF)/County Fire for county fire protection. It also provides dispatch for 22 contract clients, including 16 fire departments/districts, four police departments, American Medical Response (AMR) paramedic ambulance service, and the Peninsula Humane Society for animal services.

The dispatch operation handles more than 630,000 calls per year. In calendar year 2004, 51.8% of calls were fire/EMS calls, with the remaining 48.2% comprised of law enforcement calls.

EPS and Public Safety Communications staff has provided key leadership in the consolidation of dispatching services in San Mateo County. This consolidation is maintained through customer-oriented outreach and performance contracts to ensure quality of service. It is apparent in discussions with the Public Safety Communications Manager that customer satisfaction is a key priority.

In 2005, San Mateo County's Public Safety Communications Division was awarded "Accreditation as an Emergency Medical Dispatch Center of Excellence" from the National Academies of Emergency Dispatch (NAED), one of only nine centers in California to receive the award.

Aside from traditional public safety dispatching functions, the Public Safety Communications Division also provides needed ancillary services such as phone paging and message services on a 24/7 basis to County departments and employees.

According to the Public Safety Communications Manager, the EPS Director has been integral in supporting consolidation efforts and has supported efforts of the Manager in doing so. While consolidation of dispatch is not a stated County goal, the County is proud of its achievements in this regard and the system is viewed as working very

well and providing a high level of service to county residents and governmental agencies. Participants in the Municipal Services focus group noted dispatch as one of the County's services that worked very well.

While the Public Safety Communications Division could remain within EPS, upon the retirement of the EPS Director it is unlikely that a new Human Resources manager will have dispatch experience.

The Public Safety Communications Division functions well and would likely perform well in many organizational locations, given current leadership of the Division. The critical question is where it should be located to best position it with customers and to continue to support dispatch consolidation opportunities.

Among the variety of options that could be considered for Public Safety Communications if it is moved out of Employee and Public Services, there are two most likely scenarios: (1) moving it to another County department, and (2) placing it in a centralized office within the County.

In considering opportunities in other County Departments, the Sheriff's Department is both capable of overseeing Public Safety Communications and is willing to do so. The Sheriff's Department believes there are opportunities for making better use of regional public resources by expanding the County's services provided to other agencies on a fee basis. The Sheriff's Department also successfully assumed responsibility for the County's Office of Emergency Services (OES) in FY1996-97.

An impediment to the option of having the Sheriff's Department assume responsibility for Communications is that the fire dispatch consolidations were accomplished with the strong interest by fire chiefs that the communications functions remain independent of a law enforcement operation.

In Management Partners' consideration of the option of the Sheriff's Department assuming responsibility for Public Safety Communications, representatives of the cities were contacted and asked their opinion. The comments received suggest that the County could be putting the consolidated fire dispatch arrangement at risk if Public Safety Communications were moved into the Sheriff's Department. City representatives noted that it has taken a number of years to get to the point where fire agencies within San Mateo County are working in a highly collaborative manner, and they wish to maintain an independent focus so that the success of those collaborations will continue.

The second option, and the one we believe is most viable for the County, is to place Public Safety Communications in a centralized location within the County. Given the regional nature of Public Safety Communications, Management Partners believes the County Manager's Office is the appropriate place for the function to reside. The County Manager communicates frequently with the City Managers of the participating cities

and, through the County Manager's office, the relationships will continue to be productive. The Public Safety Communications function would be appropriate within the new Community Services unit of the County Manager's Office.

> **Recommendation 65: Assign the Public Safety Communications unit to the new Community Services group within the County Manager's Office.** The Public Safety Communications Manager would report to the Deputy County Manager for Community Services. This assignment will solidify the working relationship between the chief executive level of the County and the various participants in the service.

A separate issue for Public Safety Communications is facilities. Current dispatching facilities are located in the basement of the Hall of Justice. The facilities are dark, windowless and not conducive to a good working environment for employees.

Even more importantly, all of the space is utilized yet conditions are cramped for employees. The Public Safety Communications Manager has given up office space to bring in another dispatch console. She expresses concern that further consolidation efficiencies will be hindered without the ability to expand operations and add consoles.

Staff is also concerned that, due to state legislation, ownership of the Hall of Justice facility will be transferred from the County to the state and the courts will take over the current dispatching space by 2010. There is no long-range facilities plan in place to address the location and needs of Public Safety Communications.

> **Recommendation 66: Create a facilities plan for a future new location of Public Safety Communications.** This plan should build in some level of growth for the addition of consoles in case of further consolidation in the future.

Revenue Services
The Revenue Services Division is the County's public accounts receivable operation; it collects bills and monies due to the county from the public for a wide variety of departmental operations and purposes, including Court and Recorder fees, juvenile custody care fees, medical billings, dog licensing, and more. The Division works with debtors to establish payment plans and educates them on the importance of good credit.

Like Public Safety Communications, the Revenue Services Division was merged with EPS upon the dissolution of the County's former General Services Department and has little service nexus with the Department's Human Resources focus. Having the Revenue Division in a Department

called "Employee and Public Services" may also be confusing to customers looking for where to pay bills.

As a point of comparison, placement of Revenue Services and collections functions in the reference counties is shown below. As can be seen in Table 7, there is a great deal of variation as to where this operation can be placed organizationally:

TABLE 7: PLACEMENT OF REVENUE SERVICES IN REFERENCE COUNTIES

County	Placement of Revenue Services Operations
Alameda	Auditor-Controller
Sonoma	Treasurer-Tax Collector
Solano	Unknown
Contra Costa	County Administrator's Office
Ventura	Treasurer-Tax Collector
Santa Clara	Department of Revenue

In San Mateo County, the work of Revenue Services is most similar to the type of work performed by the Tax Collector/Treasurer. Potential efficiencies and benefits could be realized by merging Revenue Services into the Tax Collector/Treasurer's Office.

The location of Revenue Services in another building would create some managerial challenges for the Tax Collector/Treasurer, as would the hours of work, which are different in the two offices.

Another option for assigning Revenue Services is to place responsibility with the Deputy County Manager for Administrative Services. In Contra Costa County, the Office of Revenue Collection is located in the County Administrator's Office. However, there is a stronger alignment of functions and objectives between the Tax Collector/Treasurer and Revenue Services.

> **Recommendation 67: Assign Revenue Services to the Tax Collector/Treasurer and create a plan to transition management and responsibility for Revenue Services to the Tax Collector/Treasurer. Transfer Animal Licensing from Revenue Services to the Health Department (accompanying Animal Control).** The Division should be reorganized under the Tax Collector/Treasurer's administration, with care given to a smooth transition. Given current space constraints, a physical co-location may not be possible in the short-term. Work hours between Revenue Services and the Tax Collector/Treasurer vary, and work methods vary. The transition will require a phasing plan. As part of the transition plan, move Animal Licensing with Animal Control to the Health Department, since Animal Licensing is a function related to Animal Control, which is being moved to

the Health Department as part of its mission pertaining to public health and protection.

Environmental Services Agency
ESA currently performs the following functions:
- Planning and Building
- Local Agency Formation Commission (LAFCo)
- San Mateo County Library Joint Powers Authority
- Parks and Recreation
- Animal Control
- Agriculture, Weights, and Measures
- University of California (UC) Cooperative Extension
- California Department of Forestry Contract Administration

> **Recommendation 68: Eliminate the Environmental Services Agency of the County and transfer the functions to other County operations as follow: (1) To the Deputy County Manager for Community Services: Planning and Building, Local Agency Formation Commission, San Mateo County Library Joint Powers Authority, Parks and Recreation; (2) To the Deputy County Manager for Administrative Services: California Department of Forestry contract administration; (3) To the Health Department: Animal Control; Agriculture, Weights and Measures; UC Cooperative Extension.** The functions now within ESA would benefit by close coordination with other functions as described in this report. In addition, the visibility that will result for many of the services with oversight by the County Manager's Office will enhance coordination with other governmental agencies.

Planning and Building
The Planning and Building Department has responsibility for the preparation of plans and regulations that guide development of San Mateo County, and for the review of private and public development projects to assure that they conform to those plans. The work of the department is primarily within the unincorporated areas of the county.

With the creation of the new Housing Department, and its responsibility for housing and community development objectives for the County, close alignment with the County's Planning and Building function is needed. Many of the activities and objectives in the Housing Department's work plan require active assistance and participation of the Planning and Building staff. Examples include creating a countywide housing strategy, participating in the Housing Element update, evaluating housing site readiness, participating in the sub-regional growth plan, creating voluntary inclusionary housing policies, facilitating Midway Village revitalization, evaluating feasibility of utilizing county lands for housing, and participating in evaluation of sites near transit stations for housing development.

The County's Planning and Building Department has experienced challenges in the last several years meeting customer service demands for a variety of reasons that have been well documented. A 2002 study by Management Partners made numerous recommendations for improvement, including increasing planning staff, reducing the number of commissions and advisory review bodies, and streamlining the County's extremely complex zoning codes and regulatory requirements.

In 2005 the Board of Supervisors authorized a Task Force to again review the Planning and Building Department, which remained a source of concern. Among other things, the 2005 Task Force found that Planning Division staffing levels had fallen from 13 to eight positions, with a turnover rate of 100% since 2001. In the same time period from 2001 to 2005, application volume had increased significantly and planner caseloads had risen from approximately 34 to 85 cases per month, an extraordinarily high (and unviable) number.

In late 2005, a new Planning and Building Director was hired who is beginning to make positive changes and implement Task Force recommendations. The Board of Supervisors and County Manager have pledged increased staffing and the resources necessary for Department success, but the turnaround will not happen quickly and is a long-term process requiring attention. We noted through our interviews and focus groups that staff feels they are unfairly blamed for slow turnaround times and believe they can provide the desired service if they get the support and resources necessary.

There is a need for greater policy and strategic level support for the Building and Planning function, given its role in critical land use decisions. Additionally, there is a need for effective collaboration between Planning and Building and the new Housing Department in order to achieve the County's housing goals. Therefore, we recommend creating a Planning and Building Department and having this new Department and its associated functions, as well as the Housing Department, report to the Deputy County Manager for Community Services.

> **Recommendation 69: Create a Planning and Building Department to report to the Deputy County Manager for Community Services.** This will provide for greater policy and strategic level support for this important County function.

Local Agency Formation Commission (LAFCo)
LAFCos were created by the State legislature in 1963 to regulate the boundaries of cities and special districts. The Commission is comprised of two members of the County Board of Supervisors (appointed by the Board), two members of city councils of the cities in the county (appointed by the Council of Mayors), two board members of independent special districts in the county (appointed by the presiding officers of Independent Special Districts), a public member (appointed by the county, city and

special district members), and four alternate members (county, city, special district and public). LAFCo adopts a net operating budget (appropriations less fee revenues) and is funded in thirds by the County, cities and independent special districts based on a mandated formula. The Commission contracts with the County of San Mateo for an Executive Officer, legal counsel and office space.

The Local Agency Formation Commission is an independent Commission that conducts municipal service reviews, adopts and reviews spheres of influence (planned service areas of cities and special districts) and considers applications for annexation to cities and special districts, extension of service outside jurisdictional boundaries, city incorporations, district formation, dissolution and consolidation. These functions are significant aspects of the LAFCo operation related to both County and municipal planning and development departments.

Given the role of the County Manager's Office in coordinating with a variety of outside jurisdictions, it is logical to move coordination of the contract between the County and LAFCo to the Deputy County Manager for Community Services. Additionally, with the County's Planning and Building Department proposed to be relocated organizationally to report to the Deputy County Manager for Community Services, keeping LAFCo together with Planning and Building will be appropriate.

> **Recommendation 70: Transfer the responsibility for coordinating the contract between the County and LAFCo to the newly created Deputy County Manager for Community Services.** This move will facilitate communications between programs related to land use and municipal service delivery for both county and city residents.

San Mateo County Library Joint Powers Authority
As the San Mateo County Library is a Joint Powers Authority (JPA), intergovernmental coordination is important to its success. The members of the JPA are the cities of Atherton, Belmont, Brisbane, East Palo Alto, Foster City, Half Moon Bay, Millbrae, Pacifica, Portola Valley, San Carlos, and Woodside, as well as unincorporated areas of the County represented by the County of San Mateo.

These 11 cities and the County govern the Library though a joint exercise of powers (JPA) over library services. There is a need to ensure executive level coordination with the 11 municipalities in the County. Placing this responsibility in the County Manager's Office would ensure that high level of coordination.

Recommendation 71: Transfer the responsibility for coordinating the Library JPA functions to the newly created Deputy County Manager for Community Services. The working relationship between the County and incorporated cities for library services can be very sensitive, requiring top executive oversight. This oversight should come from the County Manager's Office.

Parks and Recreation

While the County's Park and Recreation Department serves residents from greater ranges than the county boundaries, its primary clients are people within the county, both incorporated and unincorporated residents.

The current operation of Parks requires close coordination with the needs of municipal residents. The siting of future parks needs to be coordinated with countywide planning and LAFCo activities. As such, creating a Department of Parks and Recreation to report to the Deputy County Manager for Community Services group with related activities is a logical move.

Recommendation 72: Create a Parks and Recreation Department to report to the new Deputy County Manager for Community Services. Coordination of current and future services for residents of the county, incorporated and unincorporated, is key to this recommendation. The County Manager's Office best meets the need for executive level coordination.

Animal Control Services

The 20 incorporated cities and towns of San Mateo County contract with the County to operate a countywide animal control program. The County contracts with the Peninsula Humane Society, a private, non-profit organization, to enforce all animal control and anti-cruelty laws as well as to provide sheltering for homeless animals and other services.

Under the Field Services division, Peninsula Humane Society staff members perform the following services: capture of at-large or stray dogs, rescue of injured animals, pick-up of dead animals from public property, enforcement of leash law and other local ordinances, investigation of dog bites and attacks, euthanasia of severely injured animals, as well as other services.

Recommendation 73: Assign Animal Control Services to the Health Department. A significant aspect of animal control operations is the protection of residents from the diseases resulting from wild or unsafe animals. Public Health must deal with these potential diseases and as such is the agency best suited to provide direction to the Animal Control unit. As part of this move, and as part of the transition of Revenue Services to the Tax

Collector/Treasurer, move Animal Licensing to the Health Department.

Agriculture, Weights and Measures

The Agriculture, Weights and Measures division is responsible for pesticide use enforcement, pest detection, plant quarantine and pest exclusion, nursery and seed inspection, fruit and vegetable quality control, certification of farmers' markets and producers, inspection of produce, inspection and testing of weighing and measuring devices and retail price scanner systems, and the publication of the annual crop report. The division's mission focuses on the prevention of the introduction or establishment of exotic plant pests that are harmful to California's agricultural industry and natural resources, consumer protection, and the protection of public health, worker safety and the environment.

> **Recommendation 74: Assign responsibility for the Agriculture and Weights and Measures division to the Health Department.** The majority of its functions is closely aligned with the public health and environmental health operations of Public Health and would benefit by integration with Health services.

University of California Cooperative Extension

Local Cooperative Extension services are provided in three locations. Among the programs offered are 4-H youth development, environmental education, research programs that assist the agricultural community, information for home gardeners, urban forestry information, nutrition and consumer materials, and marine science programs.

> **Recommendation 75: Assign responsibility for the University of California Cooperative Extension to the Health Department.**

California Department of Forestry

Fire services to the unincorporated areas of San Mateo County are provided by the California Department of Forestry through a contract with the County. CDF is essentially an independent provider and the County's responsibilities are primarily those of contract administration and financial oversight. The County is not responsible for determining how services are delivered. As such, contract administration and financial oversight could effectively be provided by the Deputy County Manager for Administrative Services. If, in the future, the CDF contract were expanded to incorporate shared services on a multi-jurisdictional basis, it would be appropriate to transfer responsibility to the Deputy County Manager for Community Services to more fully integrate fire services with other multi-jurisdictional municipal and community services.

Recommendation 76: Transfer CDF contract administration to the Budget and Performance section, reporting to the Deputy County Manager for Administrative Services. This assignment will allow for better coordination of the financial aspects of the contract for fire services with the State while not impacting the basic day-to-day administration of the contract. It will also provide a management development opportunity for the Deputy County Manager.

Public Works

The Public Works Department deals with provision of design, construction, and maintenance for County infrastructure. The Public Works Department consists of the following divisions:

- Engineering and Resource Protection
- Administrative Service and Airports
- Road Services
- Facility Services

As part of its work, Public Works is responsible for the County's Flood Control District, lighting districts, sewer and water services, watershed protection, waste management, transportation planning, and the County's vehicle fleet.

As recommended in the section on the County Manager's Office, Public Works should assume the responsibility for Capital Projects (see Recommendation 52). As the department responsible for designing and, usually, maintaining capital facilities, it is a logical step to house Capital Projects as a division of Public Works. Under that organizational arrangement, the County will have an integrated approach to planning, developing, constructing and administering capital projects.

In fulfilling its responsibilities for capital project planning, design, construction and maintenance, Public Works must ensure close coordination with other County functions to ensure good use of the available resources. Its decisions must be well coordinated with activities in Planning and Building to ensure integration of facilities and services. It is particularly important that transportation planning actions be in sync with current and long term planning emanating from the Planning and Building Department and the Local Agency Formation Commission.

Project planning and construction also needs to be closely coordinated with the incorporated cities in such a manner to cause proper integration of facilities and minimal disruption for the customers of both the county and municipalities. Again, it is particularly important that transportation activities be coordinated to avoid problems in a county where traffic issues are paramount for residents.

For all the reasons stated above, the opportunity to align this function with other County and community-based functions and to improve inter-

relationships with County agencies such as special districts and municipalities via coordination through the County Manager's Office should be seized.

> **Recommendation 77: Assign the Public Works Department to report to the Deputy County Manager for Community Services.** This move will provide coordination and alignment of activities with similarly-focused County functions as well as improve coordination with special districts, cities, and other agencies in the County. The timing of this reporting relationship change should be determined by the County Manager.

Alcohol, Tobacco and Other Drug Services

As part of our review, we were asked to consider the organizational placement of the Alcohol, Tobacco and Other Drug Services office. That office was moved out of the Health Department some years ago to the Human Services Agency, where it currently is located.

Health Department employees feel the office would have a stronger service nexus and programmatic linkage with Health programs, while Human Services staff members believe the stronger relationship is with social services.

Alcohol, tobacco and other drug services are part of a division within Human Services called Substance Abuse and Shelter Services. In addition to the specific responsibilities of the division, the director has responsibilities within Human Services for the Northern Region, which involves community capacity, economic self-sufficiency, and family strength. The Substance Abuse and Shelter Services Division has the following responsibilities:

- Alcohol, Tobacco and Other Drugs
- Domestic Violence Services
- Homeless Programs, Continuum of Care
- Core Service Agency Contracts

The Alcohol, Tobacco and Other Drugs unit (referred to as AOD) within the division has the following objectives:

- Help individuals recover from drug and/or alcohol addiction by directing them to helpful organizations and treatment programs.
- Promote awareness and education of drug and alcohol addiction through community action and legislation.
- Conduct community-based tobacco education programs and services for San Mateo County to reduce the number of residents using tobacco products, reduce the community's exposure to secondhand smoke, reduce youth access to tobacco products, and combat pro-tobacco influences.

The substance abuse staff works closely with two advisory groups. The San Mateo County Tobacco Education Coalition identifies priority tobacco education needs in San Mateo County, and works with residents and agencies within the County to provide services to meet those needs. The Drug and Alcohol Advisory Board advises the Board of Supervisors on alcohol and drug programs to meet the needs of the community by fostering a comprehensive system of care and to assure quality of alcohol and other drug services in San Mateo County.

To make a recommendation on this item, Management Partners held a focus group, interviewed executive and senior level staff, and reviewed a great deal of material about the work of the AOD office, the Health Department and the Human Services Agency.

Focus group participants included senior level staff of the various County operations that deal with alcohol and drug abuse services or the effects of substance abuse. The group included the director of Substance Abuse and Shelter Services, senior level staff of Health, Human Services, Sheriff, Courts, Probation, Child Support Services, District Attorney, and the San Mateo Medical Center.

The participants noted that the focus group presented a good opportunity to discuss critical issues the County faces related to alcohol and drugs. They commented that a strategic Countywide focus on the issues of substance abuse was needed, given the resources required to deal with the negative effects of alcohol and drug abuse.

The question of organizational placement was regarded as secondary to the larger question of creating a more effective strategy for addressing substance abuse problems. Issues noted by the focus group included the problem of data that could not be accessed by staff outside their home departments, need for much more information and communication between agencies, and need for more collaboration.

Each of the senior level staff in Health and Human Services individuals stated that successful collaboration between their departments, and other County departments, is more important than where the unit is located.
The senior managers of each of the departments also noted that the Tobacco unit within the AOD office had a stronger nexus with programs in the Health Department than those in Human Services.

The differences we heard in our interviews about organizational placement had to do with what the senior managers saw as the primary focus, or what the primary focus should be, for the Alcohol, Tobacco and Other Drugs unit. For senior managers in the Health Department, the orientation should be public health, juvenile health and correctional health. For the senior managers in Human Services, the principal connection should be the social services clients they serve, given that most of their clients have serious substance abuse problems that have significant effects on children.

Additionally, the current organization structure in Human Services relies on the Substance Abuse and Shelter Services Director for additional responsibilities related to the Agency's regional system of service.

Both the Health Department and the Human Services Agency have taken the lead in various ways to address the issues related to alcohol, tobacco and drug abuse. In 2004, with guidance from the Board of Supervisors, the Health Department and community began to identify local disparities in health care and health outcomes in the county.

They selected three priority areas on which to concentrate, one of which was alcohol, tobacco and other drugs prevention. An initiative called *Healthy Communities San Mateo: A Community Health Improvement Initiative*, focuses on communities with adverse health outcomes and higher mortality/morbidity rates in the county.

A task force to address alcohol, tobacco and other drug use, misuse, or abuse was convened in March 2005, called the Alcohol, Tobacco and Other Drugs Prevention Task Force. It is coordinated in close partnership with Human Services and community based organizations. Members include representatives from prevention providers, youth groups, health care systems, community based organizations, law enforcement, policy makers, County departments and others.

Human Services has initiated a strategic planning process for alcohol, tobacco and other drugs for the County. The Substance Abuse and Shelter Services Director from Human Services is coordinating the process. If the strategic plan has a sufficiently broad focus, with leadership provided by other key stakeholders, it potentially will respond to the key interest identified in our focus group pertaining to substance abuse.

As we considered the placement of the alcohol, tobacco and other drug services programs, we concluded that it could be effective in either the Health Department or the Human Services Agency.

The Alcohol, Tobacco and Other Drug Services office is working effectively within the Human Services Agency, given the mission as currently defined for the office. The Director and staff receive sufficient support, both financial and programmatic, and the Human Services Agency has a strong interest in continuing to have the alcohol and other drug services function within its agency. Based on interviews with Health Department staff, Management Partners believes the alcohol and other drug services function would also receive strong support if located there.

The Health Department provides a broad array of services to the public through seven divisions, several of which have a close nexus with alcohol, tobacco and other drug related issues and services.

- Health Administration
- Aging and Adult Services
- Correctional Health Services
- Emergency Medical Services
- Environmental Health
- Health Policy, Planning and Promotion
- Mental Health Services
- Public Health and Environmental Protection

The Human Services Agency provides a variety of services through the following divisions:

- Children and Family Services
- Community Prevention and Early Intervention
- Self Sufficiency
- Substance Abuse and Shelter Services
- Program Support

As Table 8 below shows, in the six reference counties included in this review, the alcohol and drug services unit is associated predominately with health departments. The missions and programs of the substance abuse services are largely directed toward health objectives.[6]

TABLE 8: LOCATION OF ALCOHOL AND DRUG SERVICES IN REFERENCE COUNTIES

County	Placement of Alcohol and Drug Services
Alameda	Behavioral Health Care Services Department
Sonoma	Health Services Department
Solano	Health and Social Services Department
Contra Costa	Health Services Department
Ventura	Behavioral Health Department
Santa Clara	Department of Alcohol and Drug Services

As Table 9 below shows, in the six reference counties included in this review, the tobacco prevention and education function is also primarily associated with health departments.

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[6] Source: Websites for each of the reference counties.

TABLE 9: LOCATION OF TOBACCO PREVENTION/EDUCATION IN REFERENCE COUNTIES

County	Placement of Alcohol and Drug Services
Alameda	Public Health Department of the Health Care Services Agency
Sonoma	Prevention and Planning Division of the Health Services Department
Solano	Public Health Division of the Health and Social Services Department
Contra Costa	Health Services Department
Ventura	Health Education Services Division of the Health Care Agency
Santa Clara	Public Health Department

Program Alignment of Tobacco Prevention

There is a strong alignment between tobacco prevention and the public health and education services with San Mateo County's Health Department. The primary focus of the Tobacco Prevention Program (TPP) is improving the health of County residents by reducing the number of residents using tobacco products, reducing the community's exposure to secondhand smoke, reducing youth access to tobacco products, and combating pro-tobacco influences. All of those purposes are consistent with the mission, role and services of the Health Department.

> **Recommendation 78: Move the Tobacco Prevention Program to the Health Department.** The focus of the tobacco unit is clearly aligned with the mission of the Health Department.

Program Alignment of Alcohol and Other Drug Services

The fundamental question for the County is: *What is the desired programmatic focus for Alcohol and Other Drug Services?* If the County's desire is to shift the focus to one of public health, placing more emphasis on the health perspective, then it should be moved out of Human Services. If the programmatic emphasis meets the County's policy objectives for substance abuse services, focusing more on social service client needs, then it may be properly located as it is now.

The subject of organizational placement has not been specifically evaluated as part of the Alcohol, Tobacco and Other Drugs Prevention Task Force, or identified as part of the current strategic planning process under the sponsorship of the Human Services Agency. The question of "best fit" of the alcohol and other drug services programs would be best considered as part of a strategic planning process that focuses on programmatic focus and intended outcomes.

Recommendation 79: Structure the strategic planning process to include meaningful leadership and collaboration with the Health Department and with other County operations whose services and clients are affected by substance abuse. Include as an element of the planning process the question of where alcohol and drug abuse services should be located within the organization. The placement of the unit should follow the strategic and programmatic focus of the unit.

Children's and Family Services

An area of inquiry for this review was whether the current organization of services pertaining to children and families was the optimum arrangement. Currently, services are provided by a number of County agencies, including the Health Department, Human Services, Child Support, the Courts, Sheriff's Department, and several other County departments.

A specific question asked of Management Partners was whether any service improvements or efficiencies would be created by changing the organizational structure of Health, Human Services, and Child Support.

Management Partners conducted a focus group of all of the agencies who provide some of the services to children and families in San Mateo County. In addition, Management Partners interviewed the executive and other senior level staff in the County departments providing such services. Further, Management Partners reviewed a great deal of program and budget material provided by the various departments.

The focus group pertaining to children's and family services resulted in a number of recommendations by the senior level staff. The primary recommendation was that strategic policy level attention be provided to this important service arena, including creating avenues for the various County agencies to collaborate in creating policy and program direction in a different way than is currently the case.

A number of opportunities for improving services were identified by focus group participants, including sharing data about programs and clients, informing staff about the services available in other departments so they can make helpful referrals, and creating new methods of serving clients within the County's limited resources.

Interviews with executives and senior managers provided a consensus perspective that policy and strategic level facilitation through the County Manager's Office would be the most useful organizational change in the arena of children's and family services. Managers commented that they do in fact collaborate well with their colleagues but there are some issues that would be more effectively addressed by facilitative leadership through the County Manager's Office.

This need can be met by the redefined role of the Assistant County Manager position (currently vacant) we have recommended previously in this report. With that person taking on a convening, facilitating and problem solving role on complex issues such as many of those pertaining to children's and family services, we believe the County would be well served.

Management Partners evaluated the question of combining some of the County functions as a way of improving services to children and families. A common model in California counties is a combined Health and Human Services Department.

The results are mixed in the view of staff who have worked in such large agencies. In our interviews, we heard from staff who had previously worked in combined agencies, and they reported that the focus and mission of each unit was often lost and it was not as professionally satisfying as working in a more narrowly focused agency for which they are trained.

In San Mateo County, if the Health and Human Services operation were combined, the resulting department would be more than 1,600 full-time staff (adding Human Service's 783 full-time positions to Health Department's 866 full time positions).

When asked how San Mateo County's separate departments can ensure collaboration to provide superior service to clients, managers in both departments respond that they already collaborate closely at the programmatic level but are separated at the organization/administration level in response to highly detailed federal and state administrative requirements.

Despite this, they believe that collaboration at the client level results in seamless service to the client. As an example, currently the Human Services Agency contracts with the Health Department's Mental Health Division to serve children ages 0-3.

After completing our review, we concluded that creating larger departments could end up detracting from effectiveness and there was no obvious business reason to combine the departments or change the organizational placement of Child Support or the other services focused on children and families.

Planning and Evaluation

Management Partners was asked to evaluate the organizational option of consolidating the staffs from the planning and evaluation units of the Health Department and Human Services Agency into the County Manager's Office to achieve efficiencies.

The Health Department's Health Policy, Planning and Promotion unit has a staff of 17. The Human Services Agency's Planning and Evaluation Unit has a staff of seven. An Analyst/Services Manager II position is shared by

the Health Department and Human Services Agency. The County Manager's Office has Management Analysts who provide budget assistance to departments, training, serve on County task forces and committees, and perform special studies on behalf of the County Manager.

The purpose of the Health Policy, Planning and Promotion unit within the Health Department is to gather community health data that enables the department to support their transition to data-driven decision making. The need for this arose from the emerging problems facing San Mateo County on disease control, obesity, cardiac issues, and alcohol and drug problems.

The Health Department needed more comprehensive data and analysis to address client needs, identify and understand trends, and evaluate the impact of Health Department programs and on major health issues facing the community. The Health Department has integrated its policy, planning and promotion objectives into their IT Strategic Plan, with the twin goals of gathering the right data and identifying how to better share that data with other County departments serving the same clients.

During the IT planning process, two members of the HSA staff were actively involved in the identification of minimum standard data collection requirements. The Health Policy, Planning and Promotion staff gather data that is driven by their clinical needs, and share information with the community, colleagues, disease control staff, community health staff, and the San Mateo Medical Center.

The vision of the Planning and Evaluation unit within the Human Services Agency is to integrate policy planning and analysis with evidence-based practice in the context of values and expectations of clients and County priorities and outcomes for children and families. The data collected must both meet State data reporting requirements, as well as enabling the department to identify how best to move their clients toward self-sufficiency.

Reports and data analysis from HSA's Planning and Evaluation unit is used in decision-making by HSA management, as well as program planning, design and evaluation within the Agency.

HSA Planning and Evaluation staff keeps current on developments in specified policy areas, attends policy team meetings, and functions as a bridge between policy area priorities and the support activities of the Planning and Evaluation staff. They document requests, conduct feasibility analysis, and make recommendations related to proposed projects. They monitor the work of consultants or independent contractors to ensure timely project delivery.

Among their projects are accreditation support, continuous quality improvement, OBM Budget development and reporting, strategic plan development, coordination of agency initiatives, outcome reporting State

requirements (such as AB 636, CalWORKS, Proposition 36); geographic and policy trend monitoring, community needs assessments; Child Welfare and other mandated program planning; identifying and developing grant opportunities; and evidence-based data gathering.

The County Manager's Management Analysts are assigned to County departments and work closely with those departments on the budget and on the Outcome Based Management program, as well as many other special projects. The role of Management Analysts are to ensure coordination and assistance to County departments. They play an important analytical role in supporting Countywide objectives and ensuring the "big picture" is not lost.

There are potential benefits of combining the staffs into the County Manager's Office, such as an enhanced ability for the County Manager's Office to provide analytical support to more departments than is currently the case. A second benefit would be that of providing professional development opportunities for the staff in the department-based planning and evaluations units along with those in the County Manager's Office.

The disadvantages of such a reorganization would be the loss of staff now dedicated solely to the gathering of specific data in support of data-driven decision making, and mandated planning and evaluation required of the departments' unique funding sources.

The focus for the planning and evaluation units within the Health Department and Human Services Agency is discipline-specific content, which would still be needed, regardless of where the staff were to be located. For example, while both the Health Department and Human Services Agency are utilizing data in their decision making, and they have a common goal of more effectively serving clients, the focus and content of each is very different.

In addition, centralizing the planning and evaluation function in the County Manager's Office could result in the Health Department and Human Services Agency still having to collect and analyze data, while they have less capacity with which to do that work. With increasing service delivery demands, both departments are concerned that the result would be reduced capacity for work that they would need to accomplish.

However, the County has an opportunity to enhance its professional development and succession planning interests by engaging the staffs from the County departments who are in a planning, analysis, and evaluation role. People can learn and grow professionally by working on projects outside their specific discipline such as health, social services, housing, law enforcement or the like. The County can identify a planning and evaluation training component as part of its succession planning and career development opportunities provided to County staff.

Both the Human Services Agency and Health Department have expressed a willingness to help set up training for other departments. Those County departments who see value in such expertise and capacity, and have the resources with which to add this function, could benefit by the experience from HSA and the Health Department.

CONCLUSION

San Mateo County has capable leadership, competent staff, and a bias toward continuous improvement. It was in that spirit that the County undertook this review. The corporate issues facing the County are ones that can be addressed with focused attention and resources. For the most part, they can be addressed without a great amount of additional cost. With modifications to the structural framework of the organization and redirection of emphasis for existing programs, significant improvements can be achieved.

The County has a strong foundation on which to build its future. The Board of Supervisors' commitment to continuous improvement, the County's visioning processes, outcome-based management, a collaborative working environment, focus to client services, and talented staff all contribute to the successes the County has had in the past and can expect in the future.

The most important factor in the County's ability to continue its tradition of success will be its ability to appoint bright, capable people into key positions. Planning for future supervision and management, i.e. succession planning, of its programs will be key to a continuation of quality services. Current policy-makers and managers must see that qualified employees are being prepared to take on the important roles of maintaining and improving the County's services.

As stated in cultural value #22 of the County's *Shared Vision 2010*: "County and local governments effectively communicate, collaborate and develop strategic approaches to issues affecting the entire County." This value will not see fruition without a continuing emphasis on employee development from the legislative and management leaders of the County.

Innovations, ethical government, financial stability, and services that are valued by the public all require people in leadership positions who have the values, integrity and talent to foster those outcomes. San Mateo County can continue its tradition of excellence through careful planning, commitment of resources, and willingness to change as needed.

San Mateo County is well situated to deal with the issues of the future. It has a sense of team permeating the organization. As seen in focus group discussions, there is a strong sense of collaboration and coordination among managers. The working units have a desire to achieve a comfort

level of working together for the benefit of customers. With some focused emphasis on programs of cross-pollination, a higher level of program quality can be accomplished.

San Mateo County has recognized the need to address a number of issues that cross departmental lines. The fast changing world of technology to improve services to a very diverse client population looms for public safety, health and social service functions. Executive level coordination of this effort is recommended in this report. With the maturing of the "baby boom" generation, a number of activities require a ramping up to ensure both capacity and quality will be present when retirements remove experience and institutional memory. Doing all the things that result in a quality workforce – hiring, training, evaluating and promoting personnel – will be key to the continuing success of the County. This report provides a number of recommendations to ensure the County has the workforce quality it has come to expect.

The placement of County departments in groupings reporting to or coordinating through new positions of Deputy County Managers for Administrative Services and Community Services in the County Manager's Office and some realignment of functions within departments will improve focus and inter-departmental coordination. The enhancement of the role of the Assistant County Manager to facilitate multi-disciplinary policy discussions and recommendations and oversee rotating departmental reviews will also improve operations.

The conclusions presented in this report have resulted in 79 recommendations for improving the wide array of services provided by the County. While some will require some change of approach and thinking on the part of County employees, all are seen as quite doable.

As the County moves forward, it can take great pride in the quality of staff it has to deliver its services. Throughout this study they demonstrated openness, a willingness to contribute and a readiness to accept change for more effective services. The ingredients are there for programmatic successes in the future.

ATTACHMENT A – REFERENCE COUNTY COMPARISONS

Table 10 shows results of a comparison for the first reference county criterion, 2005 Estimated County Population[7]. Those counties within 35% of San Mateo County's population met this criterion. It is important to note, as illustrated on this table, that using population alone in insufficient to determine reference counties as it tends to group unlike counties. For example, Kern, San Joaquin, Fresno, and Stanislaus counties are dissimilar in income, poverty, and other key social and economic factors.

TABLE 10: CRITERION #1 – 2005 ESTIMATED POPULATION

SANTA CLARA	1,759,585
ALAMEDA	1,507,500
SACRAMENTO	1,369,855
CONTRA COSTA	1,020,898
FRESNO	883,537
VENTURA	813,052
KERN	753,070
SAN MATEO	723,453
SAN JOAQUIN	653,333
STANISLAUS	504,482
SONOMA	478,440
MONTEREY	425,102
SOLANO	421,657
SANTA BARBARA	419,260

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[7] California Department of Finance Estimates

Table 11 below shows results of a comparison for the second criterion, 2000-2004 Population Growth/Shrinkage[8]. Those counties with less than 7% growth met this criterion. There is a significant difference in the population growth rates of the counties along the northern and southern coasts of the State, as compared to the central valley counties.

TABLE 11: CRITERION #2 – 2002-2004 POPULATION GROWTH/SHRINKAGE

SAN JOAQUIN	15.3
STANISLAUS	11.5
KERN	11.1
SACRAMENTO	10.5
FRESNO	8.4
CONTRA COSTA	6.4
VENTURA	5.9
SOLANO	4.7
MONTEREY	3.2
SONOMA	2.1
ALAMEDA	0.8
SANTA BARBARA	0.6
SANTA CLARA	0.2
SAN MATEO	-1.1

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[8] California Department of Finance Estimates

Table 12 below shows results of a comparison for the third criterion, Median 1999 Household Income[9]. Those counties with a median income of $50,000 or greater met this criterion. Median Household Income is a proxy of ability to pay for the cost of living in a community, as well as an indicator of the high level of income required due to higher housing costs.

TABLE 12: CRITERION #3 – MEDIAN 1999 HOUSEHOLD INCOME

SANTA CLARA	$74,335
SAN MATEO	$70,819
CONTRA COSTA	$63,675
VENTURA	$59,666
ALAMEDA	$55,946
SOLANO	$54,099
SONOMA	$53,076
MONTEREY	$48,305
SANTA BARBARA	$46,677
SACRAMENTO	$43,816
SAN JOAQUIN	$41,282
STANISLAUS	$40,101
KERN	$35,446
FRESNO	$34,725

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[9] U.S. Census Bureau Estimate

Table 13 below shows results of a comparison for the fourth criterion, 2000 Value of Owner Occupied Housing[10]. Those counties with a value of $200,000 or greater met this criterion. Housing value separates the central valley counties from the coastal regions of the State, bringing with it affordability and service issues.

TABLE 13: CRITERION #4 – 2000 VALUE OF OWNER-OCCUPIED HOUSING

SAN MATEO	$469,200
SANTA CLARA	$446,400
ALAMEDA	$303,100
SANTA BARBARA	$293,000
SONOMA	$273,200
CONTRA COSTA	$267,800
MONTEREY	$265,800
VENTURA	$248,700
SOLANO	$178,300
SACRAMENTO	$144,200
SAN JOAQUIN	$142,400
STANISLAUS	$125,300
FRESNO	$104,900
KERN	$93,300

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[10] U.S. Census Bureau Estimate

Table 14 below shows results of a comparison for the fifth criterion, Percent of Population Living Below the Poverty Level (1999)[11]. Those counties with a percentage of 11% or less met this criterion. The percent of population living below poverty can be misleading as an indicator for service delivery needs, because the cost of living is significantly higher in the coastal regions of the State (see Cost of Housing).

TABLE 14: CRITERION #5 – PERCENT OF POPULATION LIVING BELOW POVERTY LEVEL (1999)

FRESNO	22.9
KERN	20.8
SAN JOAQUIN	17.7
STANISLAUS	16.0
SANTA BARBARA	14.3
SACRAMENTO	14.1
MONTEREY	13.5
ALAMEDA	11.0
VENTURA	9.2
SOLANO	8.3
SONOMA	8.1
CONTRA COSTA	7.6
SANTA CLARA	7.5
SAN MATEO	5.8

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[11] U.S. Census Bureau Estimate

Table 15 below shows results of a comparison for the sixth criterion, County Size in Square Miles (1999)[12]. Those counties of 1,300 square miles or less met this criterion. Size of counties, in square miles, is both a measure of the decentralization of the service delivery area, as well as a proxy for urban counties with higher land costs.

TABLE 15: CRITERION #6 – COUNTY SIZE IN SQUARE MILES (1999)

KERN	8,141
FRESNO	5,963
MONTEREY	3,322
SANTA BARBARA	2,737
VENTURA	1,845
SONOMA	1,576
STANISLAUS	1,494
SAN JOAQUIN	1,399
SANTA CLARA	1,291
SACRAMENTO	966
SOLANO	829
ALAMEDA	738
CONTRA COSTA	720
SAN MATEO	449

For purposes of this study, California Department of Finance estimates were used for 2004 and 2005 population estimates, and estimated population growth/shrinkage for 2004-2005. U.S. Census estimates were used for all other data, included the 2000-2004 population growth/shrinkage

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[12] U.S. Census Bureau Estimate

ATTACHMENT B – THREE TOPICAL FOCUS GROUP RESULTS

- Each bullet below is taken verbatim from the focus group flipcharts

- There has been no editing for repetition but like/similar items have been grouped together to show themes and emphasis

CHILDREN & FAMILY SERVICES FOCUS GROUP
One two-hour session

What are the trends in this area by way of client demands?
- Increasing trends = chronic drinking (older adults), binge drinking (young adults), meth use
- Decreasing trends = tobacco use
- Clients with dual and triple needs (dual diagnosis) - substance abuse, health issues.
- Cultural changes - need for culturally competent treatment
- Lack of resources for treatment continues a historic trend
- Homelessness
- Gender and age-specific treatment - need for; more females; more youth needing treatment
- Mental Health vs. Criminal
- Safety Net is stretched
- Lack of Detox
- Prevention - youth development, asset development as a key prevention strategies;
- Resources - after school resources diminishing

Clarification
- Quality/quantity of treatment going down - not keeping pace with research in
- Increasing dialog about harm reduction vs. abstinence
- Lack of service equity of treatment - particularly with the cultural shift

What works well - From customer point of view?
- Client-centered, whole youth approach; one-on-one
- Collaborative and cooperative effort - among agencies; Example: Bridges; link between PC & AOD
- Alternatives to jail
- Youth-led efforts
- Tailoring and assessing services to needs
- Community treatment
- Experientially based treatment - functionally based
- Recovery based programs
- Wrapped services/ACT model
- Structured court models - domestic violence, drug court, mental health court
- High level of accountability within system
- Rewards and consequences

Clarification
- Youth Services Center in progress; many people working on it
- Co-locations

What works well from the employee's point of view?
- Collaboration & coordinated efforts – MDT
- Expanding options for referral
- More line level communication among departments (it takes time)
- Cross-exposure across modalities (cross-training)
- Ability to identify systemic issues (HOPE)
- Attached services "one stop" – earlier, simultaneous
- Onsite services at shelters -- combined; still exception as opposed to rule,
- Gender specific treatment holistic approach - Girl's Court/Program
- Community approach
- Cultural competence
- EAP may be working well but needs further evaluations

What could work better?
- Attention – focus on client impact (client outcomes, recidivism)
- Case management teams
- Clarifying referral processes and program descriptions - between depts
- Complete continuum of care (more) - medical detox to reduce juvenile & adult incarceration
- Confidentiality inhibits sharing of info
- Contractors/CBOs - sometimes to know their capacities - they are stretched & losing staff;
- Data - better data on capacity vs. needs
- Discharge from jails - without adequate referrals
- Duplication of services
- Employees training - knowledge needs to be constantly elevated; retraining of staff for EBP
- Information exchange - inability to exchange and share confidential info (TECH)
- Integrated treatment models (more) w/ mental health; difficulty accessing with Non-SMI
- Mental Health moving to peer model
- More evidence-based practices (EBP) - in treatment
- Overlapping clients - IT issues related to tracking
- Prevention - focus on front end & prevention; public policy that supports resources for prevention
- Prevention efforts (more)
- Resources - more needed
- Technology - need integrated access
- Trend tracking - statistics, evaluation (data)

Clarification
- Getting out in the community is not treated as a priority
- Focusing resources on high utilizers - could do much more; with limited resource

What have you seen that works well elsewhere? Would it make sense for SM Co?
- AOD able to draw funding using EPSDT; drug/medical
- Communication - good within H.S.A.
- Cultural vs. punishment model
- Environmental approach to prevention; Marin Community
- Personal ID # for each client - for tracking; Alameda County (example)
- Policy, media…
- Reaching beyond traditional providers - Faith Community
- Recognize that AOD issues permeate
- Service integration; e.g., mental health offered within primary care; substance abuse within

Clarification
- Building design - not conducive to collaboration
- Co-location of different disciplines in same building - people see each other, cross
- County charge back system is disincentive for co-location
- Explore incentive to produce savings - for co-departments to keep
- Identify county policies and practices that may impede collaboration
- Interagency support - needed for sustainability requirement of grants
- No overall county system for getting grants - could be better process than each

What organizations within the community are addressing this same issue? What is our relationship with them?
- CBOs
- schools
- medical
- law enforcement
- child support
- HSA
- Business & Private Industry
- Organized Labor
- City Government
- Courts
- Neighborhood Organizations,
- V.A. – Research & Treatment
- Asian American Recovery
- Cessation Programs
- Free at Last
- Individual counselors
- Mental Health
- Other private providers
- Youth Leadership Institute

Clarification
- Not as much partnering as could be -- with the many other groups; examples, AA,
- Universities R&D Research - could help
- Service Mapping could be helpful (Community Information Program is doing it)
- (BIG) There's no system/oversight function for the entire arena; no one is tasked with the problem;

How are we addressing the needs of the victims/families impacted by these diseases?

- Address medical needs - including secondary treatment
- Arrest & Refer to treatment
- Assist those in treatment with other needs, i.e., child support, self-sufficiency link
- Diversion programs
- Educate providers on best practices
- Majority of individuals do not get help they need
- Needs not met early = because medical & emergency services, jail, courts, CPS, DV,
- Public funded treatment and prevention
- Referral line

Clarification
- No tracking of referrals of one agency to another - so one doesn't know what other is doing
- Health disparities initiative; Health & HSA trying to address thru community engagement

Is this issue tied to other County programs?
- All departments highly impacted by the problem - some more directly than others, particularly
- Programs for county programs, such as EAP – not adequately meeting the needs

Clarification
- If A.O.D. impacts all county departments, why is it such a low priority?
- Look at from broader perspective - may have more changes than we think
- What is the mission of A.O.D.? - just organizing grants, or is there another role?
- Bring disciplines together to talk policy, program, collaboration.
- Who will answer the big question? Who will have input?

How is the County doing at communicating its work to the public? Are we effectively communicating the progress we make?
- Awareness and prevention events
- Board of Supervisor Discussions
- Community dialogues
- Culturally appropriate communication - not consistently provided
- Drug & Alcohol Advisory Board
- Interacting with other groups - expanding visibility
- Internal and external communication of available services -- Poor!!
- Kids may take things home from school
- Materials
- Outreach Fairs
- Press releases
- Safe Schools Program – Community Advisory Group as part of the program
- Some areas - community well for certain programs
- Web sites
- Work with kids

Clarification
- Clients may not have access to websites

OVERALL OBSERVATIONS:
- Moving boxes on an org. chart is not the answer.

PROCESS QUESTIONS:
What went well?
- Communication among people
- Increased understanding
- Opportunity to talk
- People in the room agreed on something

What we could change?
- Need more time (e.g. #8)
- Bigger picture questions needed
- Who will answer the "Big Question" and Who will have input?

What works well in the County and should not be changed?
- Reputation as one of the "better counties"
- Considered leader in state and get support to do this
- Utilizing best practices/lessons learned regarding technology
- Visionary – long term planning
- Innovative, set example, take risks
- Inter-dept cooperation
- Departments work well together
- Culture of helping each other
- Comradery within departments
- People want to make a difference, want to do it right, and are dedicated
- Highly motivated and committed employees
- Strong fiscal management
- Fiscal responsibility
- Treat work as business
- Good stewards of public dollars
- Resourceful at minimizing impact of budget cuts

ALCOHOL, DRUG AND TOBACCO SERVICES
One two-hour session

What are the trends in this area by way of client demands?
- Increasing trends: chronic drinking (older adults), binge drinking (young adults), meth use
- Decreasing trends: tobacco use
- Clients with dual and triple needs/dual-diagnosis: substance abuse, health issues.
- Cultural changes: need for culturally competent treatment
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What works well - From customer point of view? From the employee point of view?
A. CUSTOMER POINT OF VIEW:
- Client-centered, whole youth approach; one-on-one
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- Community treatment
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- Rewards and consequences

Clarification
- Youth services center in progress; many people working on it
- Co-locations

B. EMPLOYEES POINT OF VIEW
- Collaboration and coordinated efforts - MDT
- Expanding options for referral
- More line level communication among departments (it takes time)
- Cross-exposure across modalities (cross training)
- Ability to identify systemic issues (HOPE)

- Attached services/"One Stop" - earlier, simultaneous
- Onsite services at shelters - combined; still exception as opposed to rule,
- Gender-specific treatment – holistic approach - Girl's Court/Program
- Community approach
- Cultural competence

Clarification
- E.A.P. may be working well, but needs further evaluation

What could work better?
- Attention – focus on client impact (client outcomes, recidivism)
- Case management teams
- Clarifying referral processes and program descriptions - between depts
- Complete continuum of care (more) - medical detox to reduce juvenile & adult incarceration
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- Work with kids

Clarification

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OVERALL OBSERVATIONS:

- Moving boxes is not the answer

PROCESS QUESTIONS:

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What we could change?
- Need more time (e.g. #8)
- Bigger picture questions needed
- Who will answer the "Big Question" and Who will have input?

MUNICIPAL SERVICES FOCUS GROUP
One two-hour session

What are the key services that the County provides to unincorporated areas that Cities provide in incorporated areas (i.e. "municipal services")? To cities within the County? (Note: italics denotes services provided to both city and county residents)

- Parks
- Planning
- Building
- Engineering
- Water
- Roads
- Cable
- Recycling
- Traffic
- Drainage
- Street sweeping
- Storm water
- Public Construction
- Sheriff/Police
- Boating
- Code enforcement
- *Fire*
- *Library*
- *Animal Control*
- *Housing Rehab*
- *Homebuyer Assistance*
- *Sewer*
- *Street lighting*
- *Flood control*
- *Environmental Health*
- *Public Health*
- *HHW/Hazmat Inspection*
- *Vector Control*
- *CPS*
- *Health Care*
- *Drug & Alcohol*
- *Radio*
- *Assessment*
- *Tax Collections*
- *Elections*
- *Jail*
- *Coroner*

Who are the customers of the County's municipal services?

- Residents of entire county
- Member cities and unincorporated areas in Library JPA
- Property owners
- Visitors to the county
- Transients (Airport/Caltrans/BART)

- Tourists
- Inmates

Where geographically do we have the most problems or issues with "municipal services"?
- Most problems geographically:
  - Mid-Coast
  - South Coast
  - EPA
  - North FairOaks
  - Belmont/San Carlos
  - Rural areas
- In unincorporated areas (no significant difference by geography)
  - Planning and building: on the Coast takes more time
  - Radio issues Coastside
  - Housing in low income areas

How do we communicate that County services are available?
- Website
- Letters
- Bills
- Phone
- Publications – newspaper
- Press releases
- Targeted mailings
- Bulk mail
- Ads on SamTrans
- Cable TV (PenTV)
- Displays and handouts, flyers
- Public Counter
- Fairs
- School Outreach
- Educate businesses through inspections
- Meetings (community and internal)
- Surveys
- Postings (beach, restaurant closings)
- Each department does own handouts; need more central PIO and more cultural/ethnic outreach)

What works well and should not be changed?
- EMS 911 countywide
- Fire JPA
- Emergency response – hazmat
- Parks
- Mosquito abatement

What could be improved from the customer's point of view (marked with "C")? From employee's point of view (marked with "E")?
- Improve website usability (C/E)
- Make it easier to find us; how do you know where to go? (C)
  - Citizens academy

- o New employee indoctrination; need real orientation RIGHT AWAY and including big picture view of County
        - o Kiosks/Information Desks
    - Easier program names (C/E)
    - Information service for ALL city programs: process map (C/E)
    - Flooding/drainage (C/E)
    - Animal control (C/E)
    - Planning/building process (C/E)
    - Coastal water service (C/E)
    - Coastal sewer service (C/E)
    - Housing code enforcement (C/E)
    - County recruitment process, takes too long (E)
    - Friday closure (C/E)
    - Emergency response – hazmat (E)
    - Public safety, 23 different agencies (C/E)

What policies (county, state, federal, other) get in the way of effective service delivery?
    - County policies are pretty easy to work with
    - Sometimes City policies are more restrictive
    - Cities typically are subject to same state/federal policies
    - Providing uniform services in diverse and geographically separated areas of county (example = trees)
    - Designer rules – Design Review and regulations
    - State regulations in shared space with county
    - Strings attached to federal/state money (i.e. liens)
    - Tax policies in California (i.e. Proposition 13)

What problems do customers who live in unincorporated county pockets within city boundaries report?
    - Sometimes residents are confused about who to go to for service
    - Large number of very small cities for a county this size
    - Sometimes our residents expect to have all the same services/facilities that cities have
    - Receiving differences in service levels
    - Perceived "no say" in municipal services (water)
        - o disenfranchised unincorporated property owners
    - Equity in paying for services provided by city for unincorporated residents (i.e. sewer).
        - o Services not commensurate to taxes being paid by residents
    - Residents not as informed of where their tax dollars go
    - Pockets are "service nightmares," need to do mutual agreements
    - Board member response varies by topic area
    - Development standards (i.e. pockets have trouble connecting in to sewer services, leaves us with failing septic systems)

What mechanisms exist now for coordinating the County's municipal services?
    - Agency relationships
    - Communication
    - Learning about existing services
    - Training
    - More important for some departments than others
    - Department/Agency Heads work together effectively
    - Special municipal services districts now consolidated under Public Works

- One-stop permit process thru Planning
  - Though compromised if you live in area with separate water system
- Seamless fire protection
- Environmental Health services are seamless, cross boundaries

What are some of the larger changes we are seeing on the horizon related to service delivery, service levels, and resident expectations?
- Increased demand for services
- Trend of aging population
- Trend of haves and have nots
- Diversity of population affects methods of service (language), types of resources, speed expected
- Technology has added several new layers of demands on staff time, multi-tasking, accountability
- These changes (diversity, technology) add workload and costs but we aren't given any more resources
- Need to do the same things but in many modes/layers (i.e. brick & mortar libraries plus now web library "13th branch")
- More regulations from state/federal (Coast)
- Higher expectations from residents (post-Proposition 13 taxpayers)
  - Quicker response times due to internet and e-mail access/communication
- Reduced service levels due to lack of funding – or asking residents to pay for specific requests
- Ability to stall process by filing appeals
- Ballot initiatives
- Mid-Pen Open Space District (POST) raising money to buy open space – tax base goes down
- Increase in special interest groups, non-profits
  - Even if land is off the tax rolls we have to provide the service

What is the County doing to provide business and economic development? What could the County be doing?
- Is this the County's role?
- What type of businesses do we want to attract?
  - What is the goal?
  - Revenue/sales tax, business, housing?
- HSA has responsibility
  - PIC
- SamCEDA member
- Visitors/Convention Bureau support
- We have no business license fees
- JED no longer in business (County had previously done job training)

ATTACHMENT C – GENERAL FOCUS GROUP RESULTS

GENERAL EMPLOYEE FOCUS GROUP RESULTS OF FOUR SESSIONS

- 48 individuals participated in each two-hour session
- Results of all four general focus groups have been integrated together below
- Each bullet below is taken verbatim from the focus group flipcharts
- There has been no editing for repetition but like/similar items have been grouped together to show themes and emphasis

What works well in the County and should not be changed?
- Reputation as one of the "better counties"
- Considered leader in state and get support to do this
- Utilizing best practices/lessons learned regarding technology
- Visionary – long term planning
- Innovative, set example, take risks
- Inter-dept cooperation
- Departments work well together
- Culture of helping each other
- Camaraderie within departments
- People want to make a difference, want to do it right, and are dedicated
- Highly motivated and committed employees
- Strong fiscal management
- Fiscal responsibility
- Treat work as business
- Good stewards of public dollars
- Resourceful at minimizing impact of budget cuts
- Good fiscal management
- Sound fiscal policies
- Good communication
- Health focus and education notification
- "Flexible" work scheduling – County values family friendly environment
- EPS policies are family friendly
- Promoting wellness
- Relaxed atmosphere
- Employee recognition/values employees
- Variety of continuing education
- Access to management
- Paydays
- Flexible schedules
- Holidays
- Benefits package (some disagreement) – concern about health insurance for retirees and equity of management/non-management retirement package)
- Retirement for Safety
- Educational reimbursement program
- Promotional opportunities
- Good training program

- A lot of health clinics for employees
- Benefits
- Alternative work schedules
- Child care write-off
- Public transportation program (CAP)
- Payroll works well
- County elections
- County Courts easy to deal with
- Emergency Services Response is good (and hazmat)
- Hierarchy works here (as opposed to flatter organizations)
- Holidays
- OBM and Customer Feedback (client satisfaction surveys)
- Long-tenured employees make our government more efficient
- CASES system training was good
- Child Support Call Center

What could be improved for customers?
- Consolidate number of places customers have to go for service
- Need to do a better job of "telling our story" [as a County – what do we do]
- Centralize information so customers can find it
- Information Kiosk
- More communication to customer
- Navigate the systems
- Phone book confusing
- Have people to answer questions and not just technology for customer
- Difficult for clients to navigate and access system
- Better idea of who does what (County vs. City -- Who is "they"?)
- Information operators could do better in routing calls and presenting information
- Real people to answer questions
- Better customer service – be more generous in giving customers benefits and recognition by employees that we are here to serve
- More resources and services in general
- More services to customer all around
- Consolidate authority and responsibility (don't give department responsibility without authority)
  - o For example, unify real property and facilities management and project managers
- Increase language capacity
- Access to expanded language capabilities for clients so they do not need to go out of county
- Better and more online services
- Website could be improved
  - o Information dissemination
  - o Better search function
  - o More online service delivery
- More electronic interfaces for customer
- Use technology for access to services
- Better use of technology to access services
- Integrate services and partnerships (reduce silos) from a customer's perspective – consolidation
- Streamline administrative "stuff"
- So much bureaucracy/red tape for customers
  - o Make it easier to know who to talk to

- o Fridays Building 455 is closed
- o Processes all take too long
- Improved customer access
  - o Four day workweek
  - o Limited call hours/no ability to leave voicemails
- Not enough internal accountability to ensure service quality to customer
  - o OBM not tied to anything
  - o No linkage between organizational mission statement and line
- Training to improve cultural sensitivity
- Staff should mirror/represent the population being served
  - o However, new cultures also have to respect old org. culture
- More cultural awareness training
- Homeless shelters/outreach
- Customers unhappy with permits/Building Dept.
- More emphasis on prevention
- Affordable housing

What could be improved for employees?
- Managers need someone to be accountable to
- Require existing managers to go thru supervisory/management training
- Have managers reviewed by staff (360 review)
- Provide some way to support new supervisors and directors (are subordinates sabotaging them?)
- Management gets better benefits/privileges than the workers
- Staffing levels – we're drowning (went from 7 staff to 2 with same work)
- Matrix management not clear authority/responsibility, doesn't work, we lose expertise of specialist managers (HSA)
- All departments understaffed (especially support staff – and clerical aren't allowed to use overtime)
- Too many Chiefs, not enough Indians
- County moves problem employees around
- Inconsistent policies. They made everybody start at bottom of salary, then new person with M.A. doesn't have to. Why?
- Promotions done by the "good old boy" network
- If your last supervisor was bad, it is hard to promote as they are your references
- No sense of career development
- Discounting of non-County work experience
- Only certain people singled out for success
  - o Very frustrating
  - o More career path; not pigeonholed
  - o No career growth
  - o Equal access to career development
  - o Clerical seems to move around; more licensing/skilled, less so
  - o The shinier you look, the more you get tripped
- Internal candidates for management positions are screened out; give more consideration to internal candidates
- Open up management hiring to all cultures
- Truthful, honest direction and performance evaluations
- No idea of resources – having better understanding of other resources (in other departments and external resources/training)
- Standardizing of policies across departments
- Systems not integrated

- Public (customer & employees) outreach/education regarding resources available by San Mateo County
- Need more crossover between departments; job shadowing
- Lack of budget for resource training
- More responsive training department
  - o Supervisory/manager training
  - o Training offered, but trouble getting approval to attend
  - o Classes can "look good" on paper but not substantive
- Cookie cutter training
- Increase computer systems training
- Systems training (software)
- New computer systems do NOT make things easier (as promised)
- Less bureaucracy especially processing things through fiscal
- Contract process – raise limit of amounts
- Purchasing approval – too many people needed to contact to get approval
- Contract ease – attract better vendors
- Contract training for employees; use designated staff to do them and have been templates available
- Timely response from County Counsel
- Timecard overhaul
- Some departments have insufficient computer resources
- Turnover in EPS (HR)
- Hiring process too long or slow for managers
- New employees can't learn from leaving employees
- No documentation of jobs for succession planning
- Be more proactive with staffing – we staff behind the curve
- Information security is lacking
- Allow more creativity in flexible schedules
- Benefits
  - o HMO, Dental – more options/competition
  - o More upfront explanation to employees of pros and cons of choices
- Commute issues for employees
  - o Depts. accommodating new train schedules
  - o Work with all departments to flex if commuting
- Challenges with budget shortfalls
- Organization does non-required services (SMMC) that eat up resources from required services; results in
  - o Increased employee stress/illness
  - o Less efficiency
  - o <u>Trying</u> to do more with less

Tell us about communication in the County. Do you have the information you need to do your job well? How could communication be improved?
- Yes, we have information we need
- Not effective in directing public across departments
- Not effective in training one another
- Knowing people in other departments/locations
- Make cross training mandatory.
- Good to know overall County organizational structure
- New employee orientation should be revamped
- People don't get direction regarding services; need better dissemination of information
- Silos of information

- Not enough written materials in languages (Spanish, Chinese, Tagalog, Polynesian)
- Employees in key positions with poor communication skills can effect customer service
- Keep history, capture knowledge for future
- Access to and ease of posting updates on the web
- Unify electronic systems
- More clarity from managers on project requirements
- Department policies out of date
- Inconsistencies with policies across depts. (i.e. breaks)
- Policies not tied to performance
- Fingerprint (background check) too slow
- Make web pages known. Have intranet for employees only.
- Hard to get phone numbers
- Conflicting information from two different manager groups (i.e. matrix management)
- Family support services not engaged with the public enough (APS)
  - Grandparents.
- Not enough visibility of CMO or dept. heads
- CMO doesn't provide advanced notice of directives or understand impact of these directives
- Upper management not always in tune with line staff (line employees have to interact with customers on policies without background knowledge)
- Intranet is good – but does everyone know about it?
- Frustrating to call a department on Friday for information to help customer and they are closed
- People don't answer their phones or respond to calls
- Employees aren't considerate of each other, don't help each other
  - Communication between worksites and janitorial; staff make janitors' job harder instead of helping
- Respect needs improvement countywide; set a vision and work towards it
- Give out kudos and acknowledgement to employees, some recognition

Tell us about the County's promotional practices. What do you like? What would you change or improve? Why?
- We like:
  - Interest card
  - online system
  - Allow/encourage people to move around
  - Promote within county, move staff beyond job initially hired into
- EPS: like training'/professional development
- Good at letting us know about opportunities
- People don't apply because they believe people are handpicked/chosen (atmosphere is not to even try)
- Open positions often already filled, decided before process begins
- Whole process too political, "sticky and icky"
- Doesn't give the best candidates for the job; process is slanted to get the person they want
- Is a position REALLY open or is it just a dog and pony show?
- Really open up positions and look at everyone's qualifications equally; don't slant for hand-picked person
- Need outsiders on panels
- Process not used equitably by all
- Re-examine interview process
- Some departments just appoint – do not use hiring process

- Improve: more in-county promotional hiring for executive/managerial positions (builds morale)
- Internal promotion process
  - too much process, three interviews
  - takes a long time
  - they pretend they don't known me -- silly
- Reclassification/upgrade job
  - SO processed; is it stalling?
  - Takes a year
  - Have to work out of class one year first
  - Decision authority too high – not dept. management
  - Liability issues – result of being risk averse
- Hard to get job re-classed even if you are doing that work already
- Huge numbers of County staff working out of class
  - result of low staffing levels
  - supposed to be six months work out of class but people do it for years
- Managers who are chosen aren't always qualified to answer our questions, impacts line staff
- Get rid of Civil Service (some disagreement – don't want to lose job guarantee)
- County hierarchy stratified by cultures/races
- In our department there is no promotion, nowhere to go
- We don't always hear about openings (have to go online yourself to find)
- During the hiring freeze, used Extra Help to get work done but this blocks promotion for us; Extra Help always get the job since they were doing it already
- Hiring process for Extra Help is appointment/no list, so easy to hand pick people
- Help extra help on interview skills so are more successful

What works for the internal services such as Human Resources, Information Services Department and Facilities? What could be improved? What have you seen that works well elsewhere? Would it make sense for San Mateo County?

- Better information regarding recruitments
- Improve information such as where posted
- Ability to access and get information
- Communication between projects in departments
- Time to implementation is too long (ISD, EPS, etc.)
- Communication between computer systems
- Communication needs to float down
- Facilities does a great job with what they have
- Facilities/PW does a great job
- Challenges with offsite facilities; the further from main campus, the more marginalized
- ISD/HR seems to do a good job but somewhat invisible
- Trouble figuring out who to talk to in HR
- ISD phone/data groups not integrated (esp. for large projects)
- Better phone trees
- Green book online (intranet by first name or last name)
- Password security
- Facilities issues take too long (HVAC, changing clocks)
- Technology – by time of purchase, already outdated
- Bidding system takes time
- Good experiences in general

- Distribution at the Hospital tries to tell us how many things we need, stops us from doing our job
- The guy at the top doesn't know what the guy at the bottom is doing
- Purchasing and EPS are slow and lacking – purchasing tries to read our minds, orders the wrong items, makes things worse (but they are understaffed, too)
- EPS has one recruiter for each department; the prioritization of positions means your job can keep getting bumped down the queue, resulting in long lag times

What would you look for in the County that would result in your making a career decision to stay, grow and seek promotions?
- Adequate funding for programs and services
- Good management
- Opportunities for skill development and mentoring programs
- Continue to look at ways to improve; be progressive and continue trainings
- Stay competitive with salary and benefits
- Continue and improve programs that help employees want and be able to stay/reside in the County (i.e. commute alternative)
- Fairness and Equity
    - Real or perceived issue?
    - Varies with leadership
- Seeing value in my work and connection to the community
- Feeling supported by management
- Permanent positions vs. Extra Help (with no benefits)
- When Working Out of Class, add skills development as well to increase chances of getting job
- Continuing education program is working
- Supervisors should give more thought to hiring people with complementary skills vs. the same technical skills as they have
    - Managers hire good people/team or they hire less shining stars so they aren't threatened
- Supervisors don't always get it; need people skills
    - Bad decisions
    - Job share for supervisors – doesn't work, unfair to employees
- Upper management decisions are a burden on us
- Rule of 7 range broadens our ability to pick and choose; invalidates purpose of test
- Retirement ability/program
- Medical benefits
- Job security

What have you seen that works well elsewhere? Would it make sense for San Mateo County?
- Does better than other counties
- Clear chain of command (open chain of command)
- Departments charging other departments that don't charge – another way of budgeting – becomes political
- Alameda Phone Tree
- Santa Clara County and San Fran Website
- Riverside County Multi-discipline/integrated Task Force (APS/conservators, public guardian, AAS, DA) – more communication/more action
- Incentives for employees (motivation)
    - Merit increases
    - Recognition for going above and beyond

- Stories that employees are "blackballed" from promotion
- County not preparing employees for retirement/attrition – develop employees
- Keep people refreshed/rotated
- Lateral moves are easy; but just changing the scenery
    - Moving up is the challenge
    - 'The higher the level, the bigger the devil"
- Morale is bad
    - CMO vs. Everyone
    - Upper management vs. Everyone (less finger pointing)
- Smartflex (flexible spending) is a good program. People aren't aware or don't understand it.
- Tuition reimbursement is good program, could use bigger dollars and better promotion
- Mail in applications for MediCAL
- Why is the department head of negotiating department at the table (other counties use other dept heads)?
- Close the whole government on Fridays
- Give more accountability to line employees for signing off their own work (i.e. stamping plans) so they don't bump up poor quality work to supervisors

What would career development look like to you? Is it currently present in the County? have you benefited from any specific development programs and/or training? What do we need more of? What is not the best use of our resources?
- Structured mentoring program (i.e. Genentech), ongoing and not just for orientation to the county or for management layers
- Life coaches
- Tuition reimbursement is good
- EPS trainings and classes good)
- More online training (like harassment training)
- Bureaucracy not best use of resources (continuing education took a lot of process to get back $50)
- Not dealing with employee problems due to their retirement or longevity
- Retirees or soon-to-be are acting out
- Add opportunity to have a "personal coach" for managers and executives (dept heads need support also!)
- Opportunities to work out of class
- Cross-training – "shadow" other employees (promote job/mobility program)
- More interaction with other counties with similar programs
- County has great foundation in career development – all departments should support/utilize it
- EPS has good classes and we get notice of them
- External hiring is contract to career development classes
    - 5 points not enough to compete over externals
    - Internals give up
- Don't match career development program to skills of those we're competing against (outsiders)
- County good at helping you to improve in your current job (i.e. educational reimbursement)
- Can't compete with San Francisco; we can't exclude our competition for salary comparisons (i.e. we aren't comparing with our real competition – San Fran is taking people away)
- Mentoring
- Signed up for class but managers don't allow us to attend

- Employees intimidated – reputation of middle managers (retaliation?)
- First part of Career Assessment Program (EOD) good but need implementation with mentor and direct link to career path
- Need to use mentors (get employees to volunteer)
- Would like more information about other departments and job opportunities there
- For clerical to move around, you have to be on a list for each job class (not so easy)
- County should have longevity pay or bonus, reward for long-term knowledge (now nothing after step 5)
- Merit pay – no way to reward good employees now, we are losing good people
- County's formal Mentoring program (one year)
    - Dept Heads/County Manager speak
    - Exclusive program – 30 employees a year
    - Works well – but only 15 of 30 finish a year
    - Expand the program – bring down to division/dept level?
    - Encourage people to take

Are the recruitment processes effective in hiring the most qualified candidates?
- Yes/No from some
- New nurse recruiter effective/creative
- Hard to fill positions a challenge for some departments
- Some "closed" recruitments should be open
- Testing needs to be improved, needs more practical performance exams
- Preference to extra help – give them extra points
- Use outside oral boards
- Daunting for people who don't understand the system
- Too many panels
- Panel members not always related to the position
- Sometimes pick available people for panels, not the BEST people
- Cost of living (need more incentives)
- ISD recruiting challenges (Health IT), need more incentives
- County not open to change (e.g. creative compensation options)
- Internal candidates that "toe the county line" are usually chosen
- An anti-change mindset
- We aren't maximizing existing staff; develop them
- More education for middle management, esp. people who have been here a long time

What else should we look at as we conduct a County wide review?
- Give departments more discretion/autonomy within budgetary expectations on hiring and contracts because shouldn't have to go thru CMO
- Look at department structures – see if they don't match other counties, some functions in different areas
- Department competitive and not focused on consumer needs
- Work more cooperatively
- More inter-dept. communication so we are not doing same thing or duplicating efforts
- Increase efficiency and better communication e.g. purchasing thru CMO (administrative "stuff")
- More Quality Assurance across the board
- Assess business processes where time is wasted
- Look at whether frontline and lower management are empowered and trusted to make decisions

- San Mateo Medical Center – a huge part is not required service and takes from General Fund (provide required indigent care only)
- Practice of hiring Extra Help
- Salary comparisons using San Francisco
- More coordination between Health and HSA on MediCal enrollment
- Too many managers and not enough workers (managers always in meetings)
- Bottom up review process (performance evaluations) – help managers see how they can improve
    - Shared information
    - Better client handoff
- Housing assistance for employees
- Promote better collaboration between departments
- Old Guard comes back after retiring as Extra Help – blocks mobility and progress
- We have longevity here because we are most unregimented county, keep average performers
- Don't transfer problem employees
- Good place to work but missing some key things (we're about 80% there)
- Every department does its own thing – no collaboration. County Manager needs to lead, identify key issues and move to address them.
- Kids lost in the county, address their needs (high cost of living means lots of families with both parents working)
- County has good domestic partnership benefit, I appreciate that
- Educational reimbursement program works well IF your supervisor approves what you are studying (but some supervisors won't approve classes if they don't directly benefit your current job – meaning you can't grow to move up)

ATTACHMENT D – STATE OF CALIFORNIA SUCCESSION PLANNING INITIATIVE

Eleven Core Competencies for Cooperative Extension

- ***Community and Social Action Processes --*** the ability to identify and monitor variables and issues important to community vitality (e.g., demographics, economics, human services, environmental, etc.), and the ability to use and apply these variables to program prioritization, planning, and delivery.

- ***Diversity/Pluralism/Multiculturalism --*** the awareness, commitment, and ability to include one's own as well as the other's different cultural perceptions, assumptions, norms, beliefs, and values.

- ***Educational Programming --*** the ability to plan, design, implement, evaluate, account for, and market significant Extension education programs that improve the quality of life for Extension learners.

- ***Engagement --*** the ability to recognize, understand, and facilitate opportunities and to broker the necessary resources that best respond to the needs of individuals and communities.

- ***Information and Education Delivery --*** the mastery of communication skills (such as written and verbal), application of technology, and delivery methods for supporting educational programs and guiding behavior change among Extension learners.

- ***Interpersonal Relations***—the ability to successfully interact with diverse individuals and groups to create partnerships, networks, and dynamic human systems.

- ***Knowledge of Organization --*** an understanding of the history, philosophy, and contemporary nature of Extension.

- ***Leadership --*** the ability to influence a wide range of diverse individuals and groups positively.

- ***Organizational Management --*** the ability to establish structure, organize processes, develop and monitor resources, and lead change to obtain educational outcomes effectively and efficiently.

- ***Professionalism --*** the demonstration of behaviors that reflect high levels of performance, a strong work ethic, and a commitment to continuing education and to the mission, vision, and goals of Extension.

- ***Subject Matter --*** the mastery of a scientific discipline, a research body of knowledge, or a technical proficiency that enhances individual and organizational effectiveness.

ATTACHMENT E – CITY OF MENLO PARK SUCCESSION PLANNING

The City of Menlo Park uses some of the following strategies in their succession planning program. They are recognized as a succession planning "best practice" City by the League of California Cities.

- ✓ Establishing an internal supervisory/management academy
- ✓ Offering an internal management certificate program
- ✓ Rotating management assistants through departments
- ✓ Developing time-limited special assignments and filling with organization's "stars"
- ✓ Convening management assistants for quarterly seminar
- ✓ Establishing practice of assigning "stars" with interim or acting responsibilities when leadership positions become vacant
- ✓ Rotating management assistants from departments into an Assistant to the City Manager position
- ✓ Exchanging management assistants with neighboring cities
- ✓ Aligning human resources systems; e.g., recruitment materials, orientation, job descriptions, performance appraisals, ongoing feedback

ATTACHMENT F – INTERNATIONAL CITY/COUNTY MANAGEMENT ASSOCIATION (ICMA) LEADERSHIP DEVELOPMENT

Leadership ICMA is an intensive, two-year ICMA University program designed to cultivate key competencies needed for successful leadership at all levels of local government management. It includes a two-year program of class modules (see below), followed by a capstone that requires participants to demonstrate their competence in the concepts presented through the Leadership program. Its approach to linking the attainment of key competencies to learning modules is outlined below:

✓ Leadership in Local Government
✓ Ethics and Integrity

MODULE 1 – Leadership in Local Government: Ethics and the Essence of Public Service

✓ Analytical skills
✓ Strategic Planning

MODULE 2 – Analytical Skills and Strategic Planning

✓ Community building
✓ Effective Policy and Administration
✓ Media relations
✓ Advocacy

MODULE 3 – Giving Voice to Leadership: Understanding the Role of Policy and Administration, Advocacy, Media Relations

✓ Organizational Effectiveness
✓ Team Building

MODULE 4 -- Organizational Effectiveness and Team Building

✓ Applying it

MODULE 5 – The Capstone requires participants to demonstrate their competence through team work on a local government consulting project.

Other core competencies identified by ICMA included: negotiation skills, initiative, risk taking, vision, creativity, and innovation.

The program also facilitates networking within the profession, and enhances connections between local government managers and their professional association. The primary goal is to cultivate key competencies needed for successful leadership at all levels of local government management.

ATTACHMENT G – COUNTY OF SAN MATEO 1999 SUCCESSION MANAGEMENT PROGRAM PROPOSAL

Succession

Management

Program Proposal

Sponsorship

This is a program of the County Manager and Department Heads of San Mateo County. This group of sponsors determines policies for the Succession Management Program, identifies critical positions, and assists in selection of program participants.

Strategic Direction

The Board of Supervisors has adopted a strategic direction for the delivery of County services that focuses on prevention and early intervention to improve the lives of our citizens and, at the same time, contain costs.

A key factor in accomplishing this direction is continuity of highly skilled leadership in County departments so that initiatives can be carried out consistently and effectively.

Succession planning will provide a method to assure that highly qualified leaders are developed in the County service, and to ensure seamless transitions of leadership when turnover in key positions occurs.

Business Case for a Succession Management Program

Of the 61 top-level managers in the County (department, division, assistant and deputy directors), 72% are over age 50 and thus eligible to retire. Assuming no staffing changes in 5 years, the percent of top level managers over 50 increases to 92%.

Compounding the problem is that 54% of the 257 mid-level managers are also over age 50, which increases to 71% in 5 years, assuming no staffing changes.

This data indicates that there will be high turnover in critical management positions beginning almost immediately. This problem is compounded by the difficulty in recruiting in our robust economy and the high cost of housing in San Mateo County. Further, the traffic congestion discourages many Bay Area candidates from accepting positions that require a significant commute.

San Mateo County must develop its employees to assume key leadership positions. The plan must provide a **short-term solution** to address turnover in the next two to five years and a **longer range solution** which makes systematic changes in recruitment and development which will bring in people with leadership potential at entry level positions and provide opportunities for them to grow.

Philosophy

The philosophy of the Succession Management Program is to provide a systematic and strategic approach to the identification, assessment, development, and retention of talent needed to successfully lead and run the current and future business of the County.

To accomplish this, the County is committed to:

- Promoting from within whenever possible
- Ensuring a talent rich organization by developing individuals with leadership skills
- Valuing diversity

Purpose/Objectives

The **purpose** of the Succession Management Program is to plan the development of people and succession in positions critical to the success of the County of San Mateo organizations and departments.

The Program has the following **objectives**:

- Create a **systematic link** between the strategic direction of the organization and leadership continuity
- Ensure **leadership continuity** within the organization
- Involve executives in **planning for the future** of leadership within the County
- **Retain and develop** County employees with leadership skills
- Encourage **sharing of human resources** across departments
- Reduce executive recruitment costs
- Ensure a **diverse applicant pool** for positions addressed through this program

Roles and Responsibilities

A.   County Manager
- Sponsors the Succession Management Program.
- Leads the succession and planning sessions for the Oversight Committee, the Department Heads and Human Resources.
- Hosts regular review meetings.
- Evaluates department heads on their support of and participation in the Succession Management Program.

B. Department/Division Directors
- Sponsors the Succession Management Program for their departments.
- Reviews business objectives and bench strengths with the County Manager.
- Coaches and mentors program participants.
- Fills critical positions within their department consistent with the purpose and objectives of the program.
- Evaluates their managers on their participation in the Succession Management Program.

C. Managers of High Potential Candidates
- Reviews development plans with high potential candidates.
- Supports training, coaching, mentoring and work experience with high potential candidates.

D. Human Resources
- Provides tools and facilitation resources to support the program goals and objectives.
- Coaches program participants to assist them in accomplishing their development plans.
- Facilitates regular review meetings and supports filling critical position vacancies.
- Expands leadership skill development opportunities from the lead worker on up.

E. Key Incumbents
- Participates in identifying the challenges, competencies and expectations of his/her position.
- Is available as a resource when appropriate.

F. High Potential Candidates
- Is committed to his/her development by investing personal time in the program
- Meets with direct supervisor to review his/her individual development plan.
- Participates in regular assessment activities.
- Engages in activities, programs and projects to develop key skills and knowledge.

Program Components

The program components outlined identify the activities that need to occur to implement the Succession Management Program for both the short term and long range solutions. One of the more innovative elements of the program is the identification of "portal classifications." These are classifications from which data indicates that leaders/managers have traditionally been selected. These portal classifications are viewed as the logical career path into higher level leadership positions in the County. Critical to the success of the program is not only the identification of the portal classifications, but the participation of employees in those classifications in the Program. Equally important are the recruitment strategies to fill vacancies in the portal classifications.

Identify Key Positions

The Succession Management Program requires a shift in **vacancy planning** from an event that occurs when someone vacates a position to a systematic method of planning for key management positions within each department. Equally important, the organization would make a greater shift from viewing County employees on a department specific basis to seeing people with leadership skills as **resources for the entire organization**.

Key positions are those that the program will target. The Oversight Committee, which is chaired by the County Manager and includes representatives from the Executive Council, decides which leadership positions will be included in the program.

Short Term: The Oversight Committee will identify those Department, Division, Assistant, and Deputy Directors who will be retiring in the next two to five years. They will seek input from Department Heads, who will be asked to identify particularly difficult-to fill positions, (e.g. Information Technology, Fiscal Managers, etc.)

Long Range: The Oversight Committee will seek input from Department Heads, who will conduct two to five year vacancy projections for leadership positions through the mid-management level. Department Heads will also determine whether the current position is in fact the most appropriate future position for the organization. The Oversight Committee will use the position information from Department Heads to compile the list of key positions. The recommendations from the Oversight Committee will be discussed and approved by Executive Council.

Identify Competencies

Competencies are core capabilities which enable superior performers to get the job done and are linked to the strategic direction of the organization.

Short-term: Competencies identified in the Management Planning and Performance Appraisal form will be reviewed/modified by the Oversight Committee. Their recommendations will be discussed and approved by Executive Council. Competencies will be revised or updated as appropriate.

Long-range: The Oversight Committee will review the leadership and management competencies for all management levels against the Board of Supervisors goals as identified in their Visioning/Strategic Planning process.

Selecting and Developing Participants

Candidate selection methods are those processes which will be utilized to determine which individuals are program participants.

To determine final participation in the program, candidates will undergo a selection process, which may include multi-rater feedback processes, assessment centers and input from supervisors and managers.

Short-term: Participants will be identified by two methods: self-identification and department head recommendation. All mid-levels will be invited to participate, with the assumption that a mid-level manager would have acquired some of the requisite competencies for Department, Division, Assistant, and Deputy level positions.

Long-range: Employees in certain "portal" classifications will be targeted for participation. Portal classifications are those from which data indicates that leaders/managers have been selected. These portal classifications will be determined once the key positions are identified. Other candidates may self select, although all candidates will undergo a selection process to determine the final participant group.

Each program participant will identify positions or groups of positions in which they have interest. The application packets will be matched with a key position(s) and forwarded to the Oversight Committee.

The Oversight Committee will determine readiness and future potential of participants during their annual review session. Candidates will, as a result, receive any suggestions or comments regarding their development plan. Candidates may revise their development plan. Plans will include specific actions for obtaining training, coaching, mentoring and work experience. In the second and subsequent years of a person's participation in the program, the Oversight Committee will have access to the previous years' development plans and results.

Participation in the Program

Participation in the program is not a job guarantee, but an avenue to exposure and opportunity. For the Program to be successful, top organizational leaders are personally involved and deeply committed.

Participants in the program will undergo a self-assessment, where their strengths and abilities, as well as their improvements will be identified. As a result participants will identify development goals and objectives.

They will then pursue activities to strengthen and develop leadership competencies. These activities may includes any of the following:

- Varied work experiences **(e.g. "acting assignments," job rotation, work-out-of-classification, etc.)**

- **Special assignments** (e.g. Task force/Committee assignments, short term projects, etc.)

- **Training/Educational Opportunities** (e.g. formal training programs, conferences, professional associations, etc.)

Link Current Practices to Program

It is critical to link recruitment, selection and development activities with the Succession Management Program. Current selection and development activities will be reviewed (and potentially redesigned) to support and enhance the Succession Management Program. New programs may be developed such as the creation of rotational management development positions, educational sabbaticals, and the use of provisional and temporary appointments on an inter-departmental basis. Additionally, new training programs may be created.

Short-term: Some recruitment, selection and development activities will change, such as establishing closer links with colleges and universities, developing increased participation in internships programs, preparing lists of potential internal candidates, and encouraging more work-out-of-classification/ other work experience activities for individuals in the program. Improvements in current recruitment, selection and development practices will be identified.

Long-range: Employee and Public Services will initiate and implement "best practices" strategies as identified by other agencies, relevant research data, and

operating departments. Particular attention will be paid to recruiting future leaders into portal classifications, establishing a workable and ongoing coaching/mentoring program, and developing broad-based management classifications that encourage rotation.

Develop Review Format and Cycle

The review format is the method the Oversight Committee utilizes to determine "bench strength" and candidate readiness for key positions. "Bench strength" is defined as a qualitative judgment regarding the number of qualified candidates available to fill open key positions.

Whenever a target position becomes vacant, the Oversight Committee or their representative will meet with the hiring manager to discuss the strengths of potential candidates. Those persons listed as ready for a position will be actively recruited to apply. Participation in the program is no guarantee that a participant will get promoted.

Short-term: The review by the Oversight Committee will occur quarterly.

Long-range: The review by the Oversight Committee will occur annually, or more often depending on the turnover rate in the key identified positions.

Evaluation

Tracking is essential to provide data on positions, candidates and overall success. The Oversight Committee will develop an evaluation and reporting process, both for the short-term and long-range solutions, which will be discussed and approved by Executive Council.

ATTACHMENT H - COUNTY OF SAN MATEO 2000 REPORT ON SUCCESSION PLANNING MEETINGS

SAN MATEO COUNTY
EMPLOYEE AND PUBLIC SERVICES DEPARTMENT

Inter-Departmental Correspondence

DATE: October 5, 2000

TO: Department Managers Participating in Succession Planning Discussions

FROM: Mary Welch, Employee and Public Services Director
Steve Rios, Personnel Analyst

SUBJECT: **Summary**

Attached is a report on our meetings with County departments on Succession Planning. The report identifies the major issues that were raised at the meetings, as well as recommendations for enhancing the Succession Planning proposal.

The Oversight Committee will be meeting soon to discuss the recommendations.

Thank you for your participation and excellent ideas.

Report on Succession Management Meetings with County Departments

BACKGROUND/NEED

In June 1999 John Maltbie convened a meeting with department heads to discuss strategies to deal with the anticipated retirements of a number of high level managers over the next two to seven years.

At that meeting, demographic data was reviewed. The data indicates that there will be high turnover in critical management positions beginning almost immediately. Of the 60 top level managers in the County, 72% are over 50 and thus eligible to retire. Almost 55% of the 250 mid-level managers are also over age 50.

Department heads said the above problem is compounded by recruiting difficulties due to our robust economy and the high cost of housing in San Mateo County. Further, the traffic congestion discourages many Bay Area candidates from accepting positions that require a <u>significant</u> commute.

All department heads agreed that a Succession Management Program needed to be developed and an Oversight Committee appointed. A Succession Management Program was developed in November 1999 and approved by Executive Council. A plan to implement the Succession Management Program was drafted in February 2000.

In order to assess potential problems and get feedback on the program, it was recommended that Mary Welch and Steve Rios of EPS attend all department management meetings.

Feedback was obtained in a series of 15 meetings over a five month period. Prior to the meetings, managers were sent a copy of the Succession Management Proposal and Implementation Plan. Specifically, department managers were asked: "What could go wrong if the County implemented this Succession Management Plan?"

Major Issues

All departments were extremely participatory and had excellent comments and feedback.

***All departments** raised the following two issues:*

1. Staffing/Workload

In order to give employees time to participate in the program, their workload needs to be reduced. Additionally staffing resources need to be provided to allow participants time to develop needed skills. For the program to be successful, participants and departments will need assurance that their involvement will mean additional resources and staffing relief. Equally, departments felt that employees needed to invest some of their own time in their development.

2. Increased Expectations/Sense of Entitlement

The concern among managers was that once employees had participated in the program they would expect promotions as an outcome. Promotions would then be seen as entitlement. The other concern among managers is that if participants were not promoted that they would leave, thereby increasing turnover. Expectations of program participants must be clear.

Many departments raised the following two issues.

3. Selection of Participants

Two key issues were raised in the area of selecting participants. One issue was to successfully market the program to employees so that they would be enthusiastic about participating. The second issue was that the program be inclusive rather than exclusive and to minimize the perception of preferential treatment or favoritism. Managers also wanted the participants to reflect the County's diversity.

4. Practical Experience/Visible Roles

Managers want employees participating in the program to have broad and meaningful experiences and opportunities. They stated that this program needed to include training and educational opportunities, but equally, it should include varied work experiences and special assignments. Additionally, participants need to understand political realities and the difference in cultures between departments.

Some departments raised the following three issues:

5. History of Hiring from the Outside

Some departments commented that many recent high level appointments were made from the outside and they felt this might affect the credibility of the program.

6. Commitment from the Highest Levels

Several departments commented that to be successful a program of this magnitude needed visible high level support and a significant commitment of resources.

7. Department Participation/Involvement

Several departments stated that they needed to do more succession planning and were developing their own program. They felt an overarching County program would be extremely beneficial.

Recommendations

Reconvene the Oversight Committee to implement recommendations to address department issues, including the following that were identified in the management meetings:

1. Provide the requested staffing for the coordination and administration of the Succession Management Program and fund it by charging departments on a pro rata basis.

2. Form a committee composed of diverse representatives from various departments to work with EPS staff on program implementation and coordination with departments and participants.

3. Once program staff are added, schedule meetings throughout the County to discuss the benefits and expectations of the program and encourage employees to participate. Offer individual follow-up meetings.

4. Develop recommendations to deal with the workload issue.

5. Review the core management competencies developed by the National Park Service and the State of California.

6. Explore on-site B.A. and advanced degree programs.

7. Have the first group of participants work together as "cohort" group.

8. To reduce the number and speed of retirements, restructure jobs to induce managers to stay on the job longer.

9. Select mentors for the program who are good teachers.

10. Incorporate the recommendations from the Recruitment/Retention Committee into the Succession Management Program.

ATTACHMENT I – COUNTY OF SAN MATEO SUCCESSION MANAGEMENT PROGRAM: IMPLEMENTATION PLAN (2000)

Succession Management Program
~ Implementation Plan ~

The implementation plan covers three major areas of the Succession Management Program:

I.   Identifying, Assessing, Developing and Promoting Participants
II.   Redesigning Policies, Procedures, and Systems
III. Evaluating the Program

I.   Identifying, Assessing, Developing and Promoting Participants

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IDENTIFY KEY POSITIONS

Task 1:   Interview department heads to have them identify key positions   April 2000
in their organization where the highest *risk* and/or *immediacy*
exists if the incumbent leaves in two to five years. Department
heads will be asked to consider the following criteria:

- **Level,** any level from the manager II level and above,
  with particular focus on department, division, and deputy
  directors

- **Number of positions** at the same level that do similar
  work or have similar skills

- Current or historical **recruitment problems**

- **Impact of the loss** of an incumbent's knowledge, skills
  and abilities on the organization

Task 2:   **Analyze the data collected to identify any patterns (e.g. are**   **May 2000**
most the positions identified at the division head level, are
they single position classifications, are they in any
particular field, etc.)

IDENTIFY COMPETENCIES

Task 1: Write the performance appraisal factors (attachment A) as competencies, using behavioral statements

June 2000

Task 2: Review the competencies with the Oversight Committee for possible changes and/or additions. The Oversight Committee will also identify the most important competencies.

June 2000

Task 3: Review the competencies with Executive Council

July 2000

RECRUIT AND SELECT PARTICIPANTS

Task 1: Attend all Management Meetings in the County to discuss the importance of the Succession Management Program. Encourage participation by first line supervisors and above.

Aug./ Sept. 2000

Task 2: Send a memo to all first line supervisors and managers inviting them to attend an Information Session on the Succession Management Program. At the session, request that interested employees complete an application form.

October 2000

Task 3: Review the applications to determine the number of applicants and the selection process. (Assessment Center, etc)

October 2000

Task 4: Select the participants.

November 2000

DEVELOP PARTICIPANTS

Task 1: Conduct a general meeting with all participants to review the components, timeframes, and outcomes of the Succession Management Program

December 2000

Task 2: Conduct an assessment of each participant's strengths and areas for improvement including:

Jan./Feb. 2001

- 360° feedback

- Feedback through the Assessment Center selection process (see "C" above)

- Manager feedback both formal (e.g. performance evaluations) and informal

- Other instruments, such as interests, aptitude, values, and stress assessments

Task 3: Develop an Individual Learning Plan (ILP) with and for each participant. *The objective of the ILP involves individual action planning to narrow development gaps between current and necessary competencies.* The written ILP will include:

March 2001

- What **competencies** are being developed

- What **developmental experiences/activities** (see attachment B) are tied to those competencies

- **When** (over what timeframe) the individual is being developed

- **Who** plays what role in the process

- What **resources** are needed

- How and who will *assess* **performance**

- What **evaluation methods** will be used to measure accomplishment and development

- **What results/outcomes** are expected

  <u>Note</u>: *Some participants ILP's will identify improvement in one or two competency areas over a short period of time; others may be more comprehensive and longer term.*

Task 4:   ILP's are reviewed and signed off on by the Oversight   April 2001
Committee

REVIEW PARTICIPANT PROGRESS

Task 1:   Oversight Committee meets and reviews participant progress,   Apr. – Dec. 2001
either quarterly or semi-annually as necessary

Task 2:   Oversight Committee will review candidate strengths, with the   Ongoing
hiring manager when a targeted position becomes vacant

II.   Redesigning Policies, Procedures and Systems

(Proposed)

A. EXPANDING OPPORTUNITIES FOR DEVELOPMENT

1. Rotational Assignments

Create 3-5 positions so that program participants can spend one to three months in each of the following departments: County Manager's Office, Employee and Public Services, Information Services Department, and Controller. Since the majority of positions are in Health and HSA , it is recommended that participants also spend time in these departments too.

2. Educational Sabbaticals

Under qualified circumstances, allow program participants to take a six month educational sabbatical.

3. Job Swap

Under certain circumstances that are mutually agreeable to both departments, encourage "job swaps" for up to one year.

4. Transition Planning

Establish a process for outgoing managers to orient new hires to their job.

5. Coaching/Mentoring Programs

Develop a workable coaching/mentoring program for Succession Planning participants.

6. Training Program Format

Consider shorter training modules (2 - 4 hours) and more computer-based training.

B. CHANGING RECRUITMENT PRACTICES

1. Closer Links with Colleges and Universities

Although we recruit on college campuses, it would be beneficial to establish a more formal relationship with colleges and universities.

2. Increased Participation in Internship Programs

Almost every department could benefit from an internship program. Information on how to establish one through various colleges and universities should be disseminated to all departments.

3. Expand Internet advertising for jobs

Not only should job announcements be on the Internet, but applications, as well. Additionally, applicants should be able to submit materials electronically.

4. Assess "best practices" from other organizations

Find out what works well in other organizations and adopt those practices in the County.

5. Portal Classifications

Analyze from which classifications most leaders and managers have been selected. Identify typical "career paths." Focus promotional recruitment strategies on these portal classifications.

C. EXPANDING RETENTION STRATEGIES

1. Alternative Schedules

Under certain circumstances allow managers who would otherwise retire for whom there are no succession candidates to flex or reduce their working hours. This will give internal candidates the opportunity for more on-the-job work experiences to compete for the position.

III. Evaluating the Program

A. QUANTITY

1. Input: How many participants?

2. Output: Percent of participants completed their ILP.

B. QUALITY

1. Efficiency/Service: How many ILP's are completed on schedule? How do stakeholders rate their satisfaction with the program?

2. Outcome: Percent of the identified positions filled with participants.

(Attachment I -- Continued)

<div style="border:1px solid black">

Attachment A
To the County of San Mateo Succession Management Program: Implementation Plan (2000)

</div>

Management Competencies

1. **Response to Internal and External Customers**

   Realizes the key importance of customer service and has taken steps to ensure that staff members establish positive working relationships with customers, colleagues and others and will provide high quality service.

2. **Job Knowledge/Learning Ability**

   Has knowledge of the principle tools, methods, and techniques related to a profession. Assimilates and applies new, job related information in a timely manner.

3. **Problem-Solving and Decision Making**

   Is able to gather information and quickly and accurately identifies the causes of problems in work-related activities and processes. Exhibits a readiness to make decisions, render judgments, take actions or commit oneself.

4. **Planning and Organizing**

   Sets goals and objectives based on a clear vision of the future and work towards their achievement while ensuring that short-term goals are met.

5. **Interpersonal Skills**

   Deals with others in manner that shows a capacity to understand and respond appropriately to their needs.

6. **Communication**

   Expresses thoughts effectively and convincingly using appropriate verbal and non-verbal behavior to reinforce the content of the message. Expresses thoughts in writing in a grammatically correct, well-organized, and well-structured manner.

7. **Teamwork**

   Cooperates with others and is able, where appropriate, to complement the roles of others by taking on the role of leader, peer, adviser or subordinate.

8. **Initiative**

   Is proactive, self-starting, seizes opportunities, and originates action to achieve goals.

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9. **Innovation/Creativity**

   Is change-oriented and able to generate and/or recognize creative solutions in varying work-related situations.

10. **Flexibility/Adaptability**

   Maintains effectiveness in varying work environments where circumstances and priorities are changing. Is able to modify approach in order to achieve a goal.

11. **Resourcefulness**

   Optimizes the effective and efficient management of available resources.

12. **Leadership and Motivating Others**

Has the ability to create an environment that will unite a group of people and motivate them toward a defined mission, goal and objective. Uses appropriate interpersonal styles, methods of communication, data, and argument to gain agreement or acceptance of an idea, plan, or activity.

13. **Human Resource Management**

Plans and directs the work of others and evaluates their performances objectively. Develops subordinates' competencies by planning effective experiences related to current and future jobs, in the light of individual motivations, interests, and current work situation. Delegates responsibility effectively.

14. **Budget Management**

   Has the ability to develop a feasible budget plan to maximize utilization of personnel and resources.

15. **Integrity**

   Maintains and promotes organizational, social, and ethical standards and values in the conduct of internal and external activities.

16. **Political and Organizational Awareness**

   Considers probable support or opposition to ideas or action in terms of external, organizational, professional, or sectional interests and constraints.

17. **Resilience**

   Is able to maintain high performance levels under pressure and/or opposition and maintain composure in the face of disappointments, criticism, and/or rejection.

County of San Mateo Succession Management Program: Implementation Plan (2000)

<u>Development Experience/Opportunities</u>

<u>Work Experience</u>

- Work-out-of-classification
- "Acting" assignments
- Temporary/provisional appointments
- Job rotation

<u>Special Assignments</u>

- Short Term Projects
- Presentations to the Board, Commissions and the Public
- Task Force/Committee assignments
- Teaching a class in a technical knowledge area

<u>Training/Education Opportunities</u>

- Countywide Training programs
- Departmental Training programs
- External Training Opportunities
- Degree and Certificate Programs
- Professional Associations
- Intergovernmental Management Training Program
- Tuition Reimbursement
- Educational Leave

<u>Coaching Opportunities</u>

- Career Development Assessment Center
- Mentoring

ATTACHMENT J – BAY AREA SOCIAL SERVICES CONSORTIUM EXECUTIVE DEVELOPMENT IN HUMAN SERVICES

The Bay Area Social Services Consortium (BASSC), in Cooperation with UC Berkeley Extension, offering Executive Development in the Human Services

✓ Three 5-day modules of classroom training, a half-day inter-agency exchange, and a 15-day internship (scheduled between September and May)

✓ Sessions by university faculty, agency managers, experts, and program alumni

✓ Networking time for participants to share their professional experiences

✓ Sessions led by county social services directors to provide insights into their daily challenges

✓ A certificate of completion from UC Berkeley Extension awarded to each participant upon successful completion of all modules and internship requirements

The program is designed to promote the transfer of learning to the workplace by encouraging:

✓ Participant discussions of classroom training and inter-agency projects with supervisors and key staff members

✓ Participant development of three-year individual learning plans that spell out learning goals, associated activities, and the support needed from supervisors

✓ Sharing of learning plans by participants through an alumni group within their county

✓ Sharing with supervisors the key learning points from confidential 360-degree leadership assessments undertaken as part of the coaching sessions

✓ Post-training, agency-based projects for participants to apply what they have learned to their daily activities

The Three 5-Day Learning Modules:

Module 1:   The Evolution of Human Services
- New Trends
- Evolution of Human Services
- Cutback Management

Client-Centered Administration
- Core Values
- Personnel Management
- Speaking to Public and Press

Leadership Development
- Coaching Workshop
- Thinking Like a Senior Manager

Module 2:   Contracting and Budgeting
- Contract Management with CBOs
- County Budgeting and Outcomes-Based Management
- State Budgeting Process

Inter-Agency Collaboration
- Working with CBOs and Collaboratives
- Public Health/Social Services Collaboration

Leadership Self-Assessment
- Coaching II
- Presentation Skills Workshops

Overview of Inter-agency Project

Module 3:   Managing Organizational Change
- Organizational Change
- Creating a Learning Organization

Relationship Building/Maintaining
- Administrator as Community Organizer
- State/County Relations
- Labor/Management Issues

Evaluation Across Programs
- Outcome Evaluation
- Major County Programs

Case Presentations
- Participant Presents Case Studies
- Feedback from Agency Directors-Instructors

Half-Day Inter-Agency Exchange (*between Modules 1 & 2)*
- Meet with fellow participants in another County
- Learn about his/her programs
- Develop leadership/organizational issues paper

Internship *(between Modules 2 & 3)*
- Provides post-training, agency-based projects to apply learning
- Develop learning agreement for 15-day assignment to another agency
- Write 10-page case study; present findings to peers
- Receive feedback from panel of evaluators

ATTACHMENT K – SAN MATEO COUNTY HUMAN SERVICES AGENCY LEADERSHIP COMPETENCIES

The 18 key leadership competencies identified by San Mateo County's Human Services Agency (HSA) for the purposes of building a strong leadership program included:

ACCOUNTABLE: Takes ownership of problems, projects, or issues; sets and monitors progress toward his/her own objectives and standards; recognizes the importance of, and takes the lead in, implementation of improvements; shows responsibility toward individual and group work projects or issue resolution.

ADAPTABLE: Responds to change quickly; works effectively within a broad range of situations; recognizes and considers differing perspectives; keeps an open mind to learn from, and then modify his/her approach, as the situation changes; reevaluates decisions when presented with new information.

BIG PICTURE THINKER: Focuses personal work to coordinate with the organization's long- and short-term goals, strategies, business practices, and values.

CHAMPIONS CHANGE: Values and actively promotes change as a necessary business function; acts as an advocate for other change agents within the organization.

COACHES: Accurately assesses both strengths and development needs of individuals and the team; provides challenging assignments and opportunities for development; monitors and follows through on commitments; acts with integrity by structuring realistic expectations; takes steps to develop employee skills, abilities, and competencies.

EFFECTIVE COMMUNICATOR: Builds productive relationships with others through open, honest communication appropriate to each audience; gives clear direction, actively listens and responds to others; and insures that verbal and written messages are understood.

FACILITATOR: Enables effective working relationships by managing interactions between individuals and among groups working on collective tasks; promotes collective work between employees and groups with differing skills and perspectives to produce more inclusive and effective results.

INNOVATOR: Takes non-linear approaches to problem solving; effectively integrates the perspectives, values, and approaches of others into planning and development; works to "think outside of the box" and to incorporate original perspectives as purposeful ways to avoid stagnant thinking and rote procedures.

INTELLECTUALLY FLEXIBLE: Demonstrates a broad repertoire of ways to think about, understand, and creatively handle complex ideas, problems, and situations; shows a willingness to quickly and effectively adapt, or reframe one's approach based upon the availability of new information, or the demands of a particular situation.

INTERPERSONALLY AWARE: Exhibits sensitivity to the actions, feelings, and/or reactions of others; demonstrates an awareness of others' skill levels, and assigns tasks that promote development and growth; creates a non-threatening environment that nurtures learning and development.

LEVERAGES THE ORGANIZATION: Displays knowledge of various department and organization functions, specifically as they relate to overall project objectives and requirements; networks within the organization to meet work objectives; builds cross-functional teams that share information, build synergies, and achieve results, to integrate functional perspectives for meeting customer needs.

MANAGES RELATIONSHIPS: Develops and effectively utilizes relationships and informal influence networks to achieve goals; openly shares knowledge and builds trust with colleagues, superiors, and employees; cultivates trust through integrity and shared experiences; integrates self into critical processes.

MANAGES SCOPE: Carefully works with key project stakeholders to define realistic, doable scope of work; applies processes and procedures to plan, schedule, and control a project to insure that efforts do not go beyond what is required by the plan; arranges operations so tasks are performed in a logical and efficient sequence to accomplish the goal.

MULTI-TASKER: Maintains several projects or work initiatives simultaneously; keeps track of details that support effective functioning of tasks involved; monitors the efforts of others assisting with the project.

RESILIENT: Refuses to be distracted by obstacles, irrelevant tasks, or unimportant stimuli; recognizes setbacks as learning opportunities or chances to better refine processes and procedures toward more effective results; remains emotionally positive and sable in various situations; bounces back after facing setbacks; regroups to determine best course of action.

RESULTS-ORIENTED: Focuses time and resources on activities that yield the greatest vale and most effective end result; regularly evaluates and compares work being done to specific, measurable goals; creates a sense of urgency in doing work.

RIGOROUSLY INQUIRES: Creates opportunities for mutual learning and understanding by asking provocative questions, surfacing assumptions, and thinking creatively; continually searches for valid information to draw meaningful conclusions and produce useful results.

TEAM BUILDER: Focuses the team's energy on the more important elements of a situation or project; builds and leads the team by evoking members' trust and commitment; encourages collaboration among team members; articulates a compelling vision and purpose for his or her team; develops the team by promoting open interaction and honest exchange.

ATTACHMENT L – SAN MATEO COUNTY INFORMATION TECHNOLOGY COMMITTEES

GIS Steering Committee

The GIS Steering Committee is a cross-departmental, cross disciplinary group comprised of department heads, division heads and Board Members within San Mateo County. The GIS Steering Committee works in a collaborative manner to coordinate GIS development and use: to set high-level direction for County GIS and its support systems and to prioritize GIS initiatives. The guiding principle for the GIS Steering Committee is to ensure compatibility and interoperability of GIS at the data level.

<u>**GIS COMMITTEE**</u>

Bob Adler, Assistant Controller - Controller's Office
Tim Benton, Information Technology Manager – Court
John Fitton, Court Executive Officer/Jury Commissioner - Court
Jim Fox, District Attorney
Chris Flatmoe, CIO/Director – Information Services Department
Richard Gordon, Board of Supervisors
Greg Munks, Assistant Sheriff – Sheriff's Office
Sue Lempert, CCAG
Adam Lodge, Department of Public Works
Marcia Raines, Director – Environmental Services Agency
Donna Vaillancourt, Deputy Director – Department of Public Works

IT Standards Committee

The Countywide IT Standards Committee is a cross-departmental, cross disciplinary group focused on the development of IT standards for San Mateo County. The Countywide IT Standards Committee works in a collaborative manner with all County departments to develop, implement, and update Countywide IT standards in accordance with County business needs. The guiding principles for standards development are to control the costs of IT and to ensure compatibility and interoperability of San Mateo County information technology systems while concurrently promoting effective technology alignment with departmental strategies and programs. "IT", for this purpose, means computing and electronic applications used to process and distribute information in digital and other forms and includes information technology devices and information technology services.

COUNTYWIDE IT STANDARDS COMMITTEE

Bob Adler, Assistant Controller – Controller's Office
Dorothea Curtin, Deputy Director – Information Services Department
Ed Derge, Deputy Director of Automation, Assessor/County Clerk/Recorder
Reyna Farrales, Deputy County Manager – County Manager's Office
Chris Flatmoe, CIO/Director - Information Services Department
Dhiren Gandhi, Deputy Director Information Services Department
David Garrison, Information Technology Manager, Treasurer
Elizabeth Kimmel, Information Technology Analyst - Probation
Arthur Morris, Deputy Director - Health Department
Dennis Ryan, Information Technology Manager – Sheriff's Office
Clarisa Soriano, Director of Automation – Human Services Agency
Paul Strobeck, Information Technology Manager, District Attorney's Office
Roger Tom, Information Systems Manager - Probation

CJIS Executive Committee

The CJIS Executive Committee is a cross-departmental, cross disciplinary group comprised of criminal justice department heads within San Mateo County and ISD. The CJIS Executive Committee works in a collaborative manner to coordinate CJIS development and use: to set high-level direction for CJIS and its support systems and to prioritize CJIS initiatives. The guiding principle for the CJIS Executive Committee is to ensure compatibility and interoperability of CJIS and criminal justice IT systems while concurrently promoting effective technology alignment with departmental strategies and programs.

CJIS EXECUTIVE COMMITTEE

Tim Benton, Information Technology Director - Court
Loren Buddress, Chief Probation Officer - Probation
John Cuneo, Captain, Investigations - Sheriff's Office
Karen Devan, Office Services Manager - District Attorney's Office
Chris Flatmoe, CIO/Director - Information Services Department
Jim Fox, District Attorney – District Attorney's Office
Dhiren Gandhi, Deputy Director Information Services Department
Don Horsley, Sheriff – Sheriff's Office
John Fitton, Court Executive Officer/Jury Commissioner - Court
Lee Lazaro, Deputy Director - Sheriff's Office
Leon Rich, Deputy Director - Information Services Department
Roger Tom, Information Systems Manager - Probation
Greg Trindle, Assistant Sheriff – Sheriff's Office
Eric Yee, Project Manager - Information Services Department

PIPS Steering Committee

The PIPS Steering Committee is a cross-departmental, cross disciplinary group comprised of fiscal and HR department heads within San Mateo County and ISD. The PIPS Steering Committee works in a collaborative manner to coordinate PIPS/payroll development and use: to set high-level direction for PIPS and its support systems and to prioritized PIPS initiatives.

PIPS COMMITTEE

Bob Adler, Assistant Controller – Controller's Office
Chris Flatmoe, CIO/Director – Information Services Department
Dhiren Gandhi, Deputy Director – Information Services Department
Tom Huening, Controller
Gladys Smith, Management Analyst – Controller's Office
Tim Sullivan, Assistant Director – Employee & Public Services
Patricia Velligan, Personnel/Payroll System Administrator
Mary Welch, Director – Employee and Public Services

WAG (Web Advisory Group):

The WAG (Web Advisory Group) is a cross departmental, cross disciplinary group that meets monthly. The WAG was created as a business users advisory group for the discussion and sharing of web concepts, ideas and requirements for eGov infrastructure:

- Identify enhancement needs
- Prioritize enhancements and upgrade

WEB ADVISORY COMMITTEE

Tariq Ali, Information Technology Analyst – SamCERA (Retirement)

Angus Ahanotu, Planning and Building

Ginger Balkus, Contracts and Agreements Manager – Sheriff's Office

Scott Beard, Business Systems – Information Services Department

Terrilyn Chance, Graphics Specialist – San Mateo Medical Center

Kathleen Boutte-Foster, Project Manager – Information Services Department

Jean-Francois Barthe, Business Systems – Information Services Department

Andy Maso, Health Department

Arthur Morris, Deputy Director – Health Department

Angel Pucket, County Counsel

Beverly Thames, Public Information Officer – Health Department

Christina Bringas – Health Department

Heather Cross, Public Health Administration – Health Department

Dhiren Gandhi, Deputy Director – Information Services Department

Gina di Gualco, Information Technology Technician - Controller

William Huffman, Business Systems Group – Human Services Agency

Ivan Ladcani, Information Technology - Courts

Mina Lim, Information Technology Analyst – County Manager's Office

Jennie Loft, Public Information Officer – Human Services Agency

Patrick McKenzie, Information Technology – District Attorney's Office

Norman Pascoe, Housing and Community Development – Department of Housing

Sherrie Ramos, Information Technology – Department of Child Support Services

Sandy Sanders, Graphics Section – Planning and Building Division

Praveen Singh, Business Systems – Human Services Agency

Judy Souza, Business Systems – Information Services Department

Paul Strobeck, Information Technology Manager – District Attorney's Office

Marney Taylor, Safety/Training Manager – Public Works Department

Roberto Tercero, Information Technology - Probation

Julie Thompson – Information Technology Technician – Employee & Public Services

Tim Tran, Information Technology - Courts

Isaiah Vi, Business Systems – Human Services Agency

Maricela Watt, Executive Assistant – First 5 San Mateo County

Jenifer Wilcock, Environmental Health - Health Department

Glen Youngblood, Business Systems – Health Department

ATTACHMENT M – LIST OF RECOMMENDATIONS

Recommendation 1: Create guidelines for consulting others and identifying potential collaborations whenever departments initiate new programs or policies.

Recommendation 2: Publicize, both externally and internally, the innovations for which the County is recognized by outside groups.

Recommendation 3: Provide training for managers in methods of engaging employees in evaluating change, continuous improvement processes, and creating implementation plans for new programs or changes.

Recommendation 4: Create a 90-day task force comprised of managers and line employees from a cross section of County departments to recommend improvements to external communication.

Recommendation 5: Establish specific expectations for department heads regarding communications.

Recommendation 6: Establish a procedure that assures that information about policy change is distributed to all affected employees detailing the background and reasons for the policy change.

Recommendation 7: Create a 90-day task force comprised of managers and line employees from a cross section of County departments to recommend improvements to internal communications.

Recommendation 8: Appoint a subcommittee of three members of the Executive Council to review the draft program and implementation plan developed in 1999-2000 to identify the elements that remain relevant and to produce a revised program for adoption in 2006.

Recommendation 9: Assign responsibility for countywide succession planning leadership to the Assistant County Manager and responsibility for departmental leadership to each department head.

Recommendation 10: Allocate sufficient funds for a comprehensive countywide succession planning program that augments departmental succession planning activities.

Recommendation 11: Collect detailed information on all succession planning efforts under way in County departments, including an assessment of the effectiveness of each, and share the information with all executive managers.

Recommendation 12: Identify the top management positions in which incumbents are likely to retire within the next one to five years (2006-2010) and develop individual plans to address succession into those positions.

Recommendation 13: Identify mid-management positions in which incumbents are likely to retire within the next one to five years (2006-2010) and develop individual plans for succession into those positions.

Recommendation 14: Identify management and supervisory positions in which incumbents are likely to retire in the years 2011-2016 and develop plans to recruit, develop, and/or retain needed leadership.

Recommendation 15: Identify supervisors and management analysts interested in career development, and create individual development plans for each of them.

Recommendation 16: Create a menu of options that could be used by executive managers in ensuring smooth transition of individuals into the "mid-level management" positions.

Recommendation 17: Require all managers and supervisors to include "talent development" as part of their primary job responsibilities, and evaluate them on the basis of their performance on that indicator, among other key performance indicators.

Recommendation 18: Establish a process to provide recognition to managers who actively mentor and develop staff.

Recommendation 19: Create and implement training for employees in the core competencies for success identified most often across the County.

Recommendation 20: Identify and implement methods of attracting young people who reflect the diversity of San Mateo County to local government as a key, long-term strategy.

Recommendation 21: Identify ways in which jobs can be structured to accommodate newly retired individuals interested in part-time or flexible schedules, while providing the County with their talent and experience.

Recommendation 22: Conduct an analysis of the County's promotional hiring practices to identify what percent of employees are hired from within the department that has an opening, what percent are hired from other County employee ranks, and what percent are hired from outside the County workforce.

Recommendation 23: Initiate a structured process for key personnel to capture and preserve institutional knowledge for their successor's insight and guidance.

Recommendation 24: Establish a procedure to overlap positions to the extent possible so that the retiring manager continues his or her employment for at least a week or two, alongside the replacement manager, for training and mentoring purposes.

Recommendation 25: Create a rotational assignment program in the County Manager's Office as part of the Succession Planning Program that incorporates the value of conducting program and departmental reviews, policy analysis, and planning functions.

Recommendation 26: Assign the Assistant County Manager the task of managing the project element of the Succession Planning Program and attendant staff, selecting individuals from other County departments to participate in assignments, and provide mentoring for participants.

Recommendation 27: Establish a process that creates opportunities to move managers between departments for long-term assignments as a method for developing their County-wide management perspectives.

Recommendation 28: Provide developmental assignments such as staff rotations within departments and interdepartmental staff exchanges.

Recommendation 29: Establish processes and a schedule of measuring results and evaluating the Succession Planning Program, and use the information to make improvements in the program.

Recommendation 30: Expand the County's Management Development and Mentoring Program to accommodate 20% of the County's management and supervisory employees each year.

Recommendation 31: Establish an annual training target for every County employee to receive 20 hours of training per fiscal year, and task Human Resources with tracking the hours.

Recommendation 32: Require all first-time supervisors (whether external hires or internal promotions) to attend a "New Supervisors Training" class.

Recommendation 33: Require all supervisors to attend a minimum of eight hours of supervisory training each year.

Recommendation 34: Provide guidance and coaching to department managers so they can give specific feedback to unsuccessful candidates. That way, these employees will be better informed about how to prepare themselves for future promotional opportunities.

Recommendation 35: Enhance the information provided by Human Resources to employees about County procedures for hiring, recruitment, promotion, and transfer.

Recommendation 36: Create a formalized system to be used County-wide for the hiring of Extra Help positions.

Recommendation 37: Fund and increase the County's recruitment outreach and advertising efforts to diverse populations on the Peninsula.

Recommendation 38: Modify the County's performance evaluation system to ensure every County employee gets some form of structured feedback on his/her job performance at least once per year.

Recommendation 39: Modify the County's performance evaluation processes to factor in employee input as a component of supervisory reviews.

Recommendation 40: Create a process through which the County Manager and executive team assess the performance and capabilities of the top 1-2% of the management group, at least through division head positions, as part of the succession planning and development program.

Recommendation 41: Assign responsibility to ISD for developing performance measures to accurately measure the cost and benefit of IT spending.

Recommendation 42: Develop a new administrative policy on information technology that requires that ISD be involved at the beginning of a department's process of evaluating its technology needs or improvements.

Recommendation 43: Establish an Information Technology Planning Council (ITPC) comprised of department heads and executives appointed by the County Manager.

Recommendation 44: Using evaluation criteria approved by the ITPC, bi-annually evaluate the results achieved by each of the existing IT committees and associated staff time, review their charters, and make modifications as indicated by the review.

Recommendation 45: Revise the County's IT Strategic Plan to establish policies for making decisions about IT investments, performance indicators, and a five-year timeframe for budgeting. Set a target date for the formal adoption of the IT Strategic Plan for San Mateo County.

Recommendation 46: Initiate a departmental review process using an independent consultant, with assistance from assigned County staff, to make recommendations for program improvements.

Recommendation 47: Review department and agency names to determine whether changes would help customers find the service they seek, and make changes as appropriate.

Recommendation 48: Create standard e-mail groups to be used for the appropriate type of communication and monitor their usage to aid in consistency.

Recommendation 49: Create a detailed online County directory by service, program, and staff to make it easy for customers to find who or what they seek.

Recommendation 50: Increase the budget for each member of the Board of Supervisors by an amount equal to one additional full-time staff position, to be used at the discretion of the Supervisor.

Recommendation 51: Modify the role of the Assistant County Manager position to include leadership for multi-disciplinary collaboration and problem-solving, executive leadership for succession planning, and corporate level support and assistance on issues of importance to the County.

Recommendation 52: Transfer the Capital Projects unit to Public Works reporting to the Director to provide oversight for the construction of new facilities and capital improvement plan for the County.

Recommendation 53: Create an Economic Development Director position by broadening the responsibilities of the Real Property Manager to include Economic Development, and have the individual report to new Deputy County Manager for Community Services.

Recommendation 54: Add one senior analyst level position to the County Manager's Office, assigned to the Assistant County Manager, to become part of the management development program within the Office, and to assist with the departmental review process.

Recommendations 55: Create a new position of Assistant Clerk of the Board and delete an Agenda Administrator position.

Recommendation 56: Review the August 2005 recommendations by Bartig, Basler & Ray to ascertain which can be implemented immediately, which can be implemented later and which should not be implemented.

Recommendation 57: Restructure the responsibilities of the Deputy County Manager for Budget and Performance to include additional management responsibilities and change the title to Deputy County Manager for Administrative Services. Increase the scope of responsibilities of the Deputy County Manager to provide management and coordination of the following functions: (1) Budget and Performance (which would be expanded to include CDF contract administration), (2) Human Resources (which would include Benefits, Employee Relations, and Risk Management), and (3) Internal Services (which would include Purchasing, Copy Center, and Mail Room. At the same time, formalize the assignment of the legal contract for risk management liability to the County Counsel.

Recommendation 58: Add a position of Deputy County Manager for Community Services to have management responsibility for the following County functions: Planning and Building, Public Works (to include Capital Projects), Housing, Parks and Recreation, Public Safety Communications, Economic Development (to include Real Property), and Resource Management. Assign assistance to the Local Agency Formation Commission and the San Mateo County Library Joint Powers Authority to the Deputy County Manager for Community Services.

Recommendation 59: Assign the added responsibility for internal communications, strategic planning and special projects to the Deputy County Manager for Intergovernmental and Public Affairs.

Recommendation 60: Eliminate the Employee and Public Services Department of the County and transfer its functions as follows: (1) To the Tax Collector/Treasurer: Revenue Services (all but Animal Licensing, which would go to the Health Department along with Animal Control), (2) To the Deputy County Manager for Administrative Services: Human Resources Department; Mail Center/Copy Center/Purchasing, (3) To the Deputy County Manager for Community Services: Public Safety Communications.

Recommendation 61: Create a Human Resources Department with the Director reporting to the Deputy County Manager for Administrative Services.

Recommendation 62: Assign the Risk Management function as part of the Human Resources function within the Administrative Services section of the County Manager's Office.

Recommendation 63: Assign responsibility for legal services contracts for Risk Management functions to the County Counsel.

Recommendation 64: Assign Purchasing/Copy Center/Mail Room as part of the new Administrative Services division of the County Manager's Office.

Recommendation 65: Assign the Public Safety Communications unit to the new Community Services group within the County Manager's Office.

Recommendation 66: Create a facilities plan for a future new location of Public Safety Communications.

Recommendation 67: Assign Revenue Services to the Tax Collector/Treasurer and create a plan to transition management and responsibility for Revenue Services to the Tax Collector/Treasurer. Transfer Animal Licensing from Revenue Services to the Health Department (accompanying Animal Control).

Recommendation 68: Eliminate the Environmental Services Agency of the County and transfer the functions to other County operations as follow: (1) To the Deputy County Manager for Community Services: Planning and Building, Local Agency Formation Commission, San Mateo County Library Joint Powers Authority, Parks and Recreation; (2) To the Deputy County Manager for Administrative Services: California Department of Forestry contract administration; (3) To the Health Department: Animal Control; Agriculture, Weights and Measures; UC Cooperative Extension.

Recommendation 69: Create a Planning and Building Department to report to the Deputy County Manager for Community Services.

Recommendation 70: Transfer the responsibility for coordinating the contract between the County and LAFCo to the newly created Deputy County Manager for Community Services.

Recommendation 71: Transfer the responsibility for coordinating the Library JPA functions to the newly created Deputy County Manager for Community Services.

Recommendation 72: Create a Parks and Recreation Department to report to the new Deputy County Manager for Community Services.

Recommendation 73: Assign Animal Control Services to the Health Department.

Recommendation 74: Assign responsibility for the Agriculture and Weights and Measures division to the Health Department.

Recommendation 75: Assign responsibility for the University of California Cooperative Extension to the Health Department.

Recommendation 76: Transfer CDF contract administration to the Budget and Performance section, reporting to the Deputy County Manager for Administrative Services.

Recommendation 77: Assign the Public Works Department to report to the Deputy County Manager for Community Services.

Recommendation 78: Move the Tobacco Prevention Program to the Health Department.

Recommendation 79: Structure the strategic planning process to include meaningful leadership and collaboration with the Health Department and with other County operations whose services and clients are affected by substance abuse. Include as an element of the planning process the question of where alcohol and drug abuse services should be located within the organization.