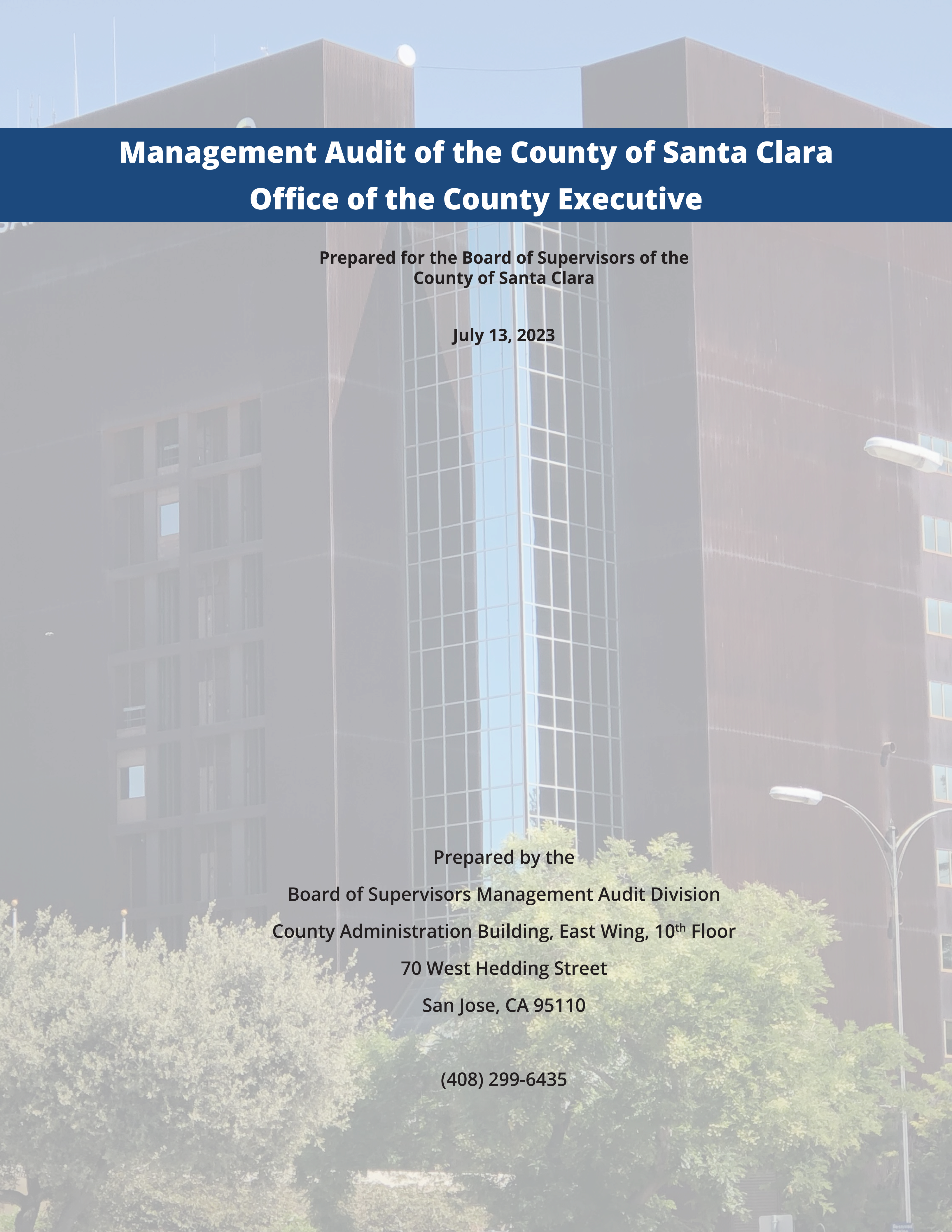

Management Audit of the County of Santa Clara
Office of the County Executive

Prepared for the Board of Supervisors of the County of Santa Clara

July 13, 2023

Prepared by the

Board of Supervisors Management Audit Division

County Administration Building, East Wing, 10th Floor

70 West Hedding Street

San Jose, CA 95110

(408) 299-6435

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County of Santa Clara

Board of Supervisors

County Government Center, East Wing
70 West Hedding Street
San Jose, California 95110-1770
(408) 299-6435 TDD 993-8272

Contract Auditor: Harvey M. Rose Associates, LLC
E-mail: cheryl.solov@bos.sccgov.org

July 13, 2023

Supervisor Otto Lee, Chair
Supervisor Susan Ellenberg, Vice Chair
Board of Supervisors' Finance and Government Operations Committee
70 West Hedding Street, San Jose, CA 95110

Dear Supervisors Lee and Ellenberg,

We have completed the Management Audit of the Office of the County Executive (CEO). This audit was added to the Management Audit Division's work plan by the Board of Supervisors of the County of Santa Clara, pursuant to the Board's power of inquiry specified in Article III, Section 302(c) of the Santa Clara County Charter. This audit was conducted in conformity with generally accepted government auditing standards as set forth in the 2018 revision of the "Yellow Book" of the U.S. Government Accountability Office. The purpose of this audit was to examine the operations, management practices, and finances of the CEO to identify opportunities to increase the Office's efficiency, effectiveness, and economy.

This report includes seven findings and 25 recommendations related to the following: developing a proposal to restructure the Office to best reflect its core mission and chartered duties; updating the Board referral policy and agenda item templates to include guidance around key required datapoints and different referral types; developing a universal referral matrix to better assist with tracking these items; creating improved communication channels and workflows between the Office's central Administration Division and other Office divisions; more robust contracts monitoring and contractor evaluations; developing written succession plans and knowledge transfer policies; refining and categorizing Deputy County Executive portfolios; and keeping more comprehensive records of pending Countywide administrative policies.

In the attached responses to this audit, the Office of the County Executive agrees with 16 of the 20 recommendations directed to them and partially agrees with four recommendations. One recommendation is directed to the Office of the County Counsel, and another recommendation is directed to the Employee Services Agency. Both parties agree with their respective recommendations. Three recommendations relating to referrals are directed to the Board of Supervisors.

If implemented, these recommendations would:

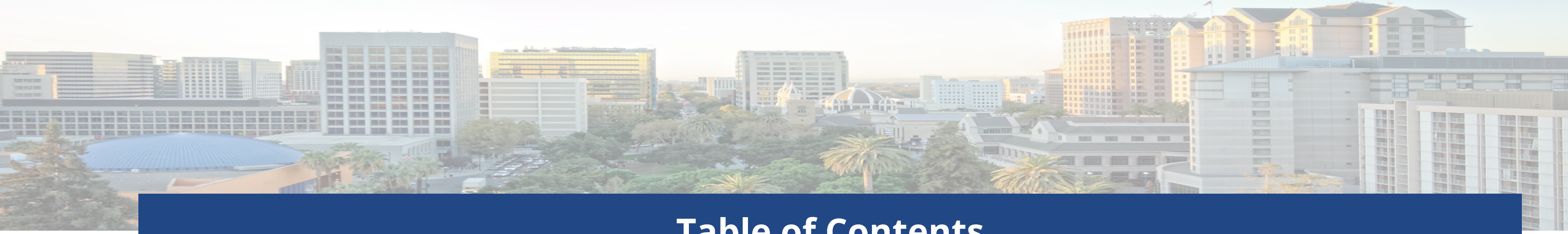
- Help the Board consider structural changes that would improve the Office of the County Executive's ability to manage the County as a whole, rather than delivering services directly.
- Facilitate more responsive reports to Board referrals and other information requests.
- Create more standardized Office procedures for goal-setting, onboarding, and returning from temporary assignments such as disaster service work.
- Improve centralized recordkeeping and reduce the risk of noncompliance with various County policies such as its social media policy and procurement administrative guidelines.
- Help the Office plan for future workforce needs, including the County's executive leaders.
- Clarify the span of control for Deputy County Executives, potentially allowing for better workload management and better-defined reporting relationships.
- Facilitate timely review and revision of proposed Countywide administrative policies.

We would sincerely like to thank the Office of the County Executive and its staff for their thoughtful, patient, and professional cooperation and assistance throughout this audit.

Respectfully submitted,

Cheryl Solov
Management Audit Manager

CC: Supervisor Sylvia Arenas
Supervisor Cindy Chavez
Supervisor S. Joseph Simitian
Tony LoPresti, County Counsel



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Finding 1: Aligning the Office of the County Executive with its Mission

Pursuant to the County Charter, the County Executive is both empowered and obligated to manage the County's operations to deliver efficient, effective services to the public, and to develop the County budget. The Office of the County Executive (CEO) has historically existed to carry out the core responsibilities of the County Executive, but the Office is now largely focused on specific (rather than Countywide) operations and programs. The extensive functions that have been added to the CEO in recent years, particularly those revolving around direct service provision, advance the County's mission to serve the community, but are not reflective of the CEO's function to oversee the effective administration of the overall County organization. The County's Chief Operating Officer, who functions as the department head for the CEO, now functionally has two roles: 1) overseeing one of the largest County departments (with 684.5 full-time equivalent staff as of Fiscal Year (FY) 2022–23) and 2) providing operational oversight and support to the entire County organization. The CEO should develop a proposal for consideration by the Board of Supervisors to restructure the Office to bring it into alignment with its core mission. This proposal may contain a discussion and analysis around transferring existing direct service delivery functions to appropriate departments or perhaps making some programs into stand-alone departments.

Finding 2: Streamlining, Prioritizing, and Tracking Board Referrals

Board Policy 3.28 defines a referral as any request for information that is approved by a majority of the Board of Supervisors and is referred to a County entity for a report back. Referrals may also be initiated by Board Policy Committees. According to the policy, Board referrals are due to the Board within 45 days from when the referral was initially made, unless another time is specified. The Office of Budget and Analysis (OBA) maintains a referral matrix that keeps Board members informed of the status and progress made on pending referrals. Board Policy 3.28 does not offer guidance around 1) differentiating between types of requests and associated timelines; 2) prioritizing referrals in alignment with CEO bandwidth and overall Board priorities; and 3) minimum information requirements for responsive reports. In a sample review of 50 referrals, auditors found that multiple responses did not meet the 45-day requirement or came out of prior reports on the same topic. Both our analysis and a separate analysis conducted by the CEO found an overall uptick in referral volume—a large portion of which was driven by offshoot referrals from Board agenda items and other informal requests. The County also lacks a complete record of referrals from both the Board and Board Policy Committees, which reduces transparency of the full referral workload and can lead to assignments that further exceed the capacity of CEO staff. The Board should revise its referral policy to clearly define different referral types and their associated parameters. The policy should include an option to initiate a workload review prior to assignment to ensure a referral is not duplicative and is properly scoped. In addition, the policy should include opportunities for reviewing, revising, and prioritizing outstanding referral requests. The Board should also develop minimum requirements and templates for key information that should be included in referral responses and agenda items. Finally, the CEO should improve its referral tracking by cataloging all referrals in one matrix, including those made through the Policy Committees.

Finding 3: Central Management of Office Work Processes

The CEO Administration Division (Administration) manages a range of human resources, financial, and logistical functions. However, CEO Administration lacks protocols to efficiently oversee and centralize the operations of the CEO's divisions. When auditors requested documents such as CEO contracts and policies and procedures, Administration had to survey each division and collect this information over a period exceeding one month. The Office also does not require divisions to report performance objectives, and a lack of onboarding guidance has led divisions to create their own, sometimes overlapping orientation documents. A lack of centralization channels has also caused recordkeeping gaps around contracts and social media accounts. Further, the CEO has no document to re-integrate CEO staff who have been deployed as Disaster Service Workers, and there is no log of updates to the CEO's Continuity of Operations Plan (COOP). Administration should require CEO divisions to record objectives and key results through the Office's existing template, which should then be discussed annually with executive leadership. Administration should also create an Office-wide onboarding manual and formal channels (e.g., a monthly check-in email) for CEO divisions to verify that centralized logs of contracts and social media accounts are accurate. Lastly, Administration should develop a procedure for re-integrating Disaster Service Workers and create a change log of COOP updates.

Finding 4: Office-Wide Contracts Oversight and Monitoring

Insofar as contracts management, CEO divisions generally identify their own service needs, prepare scopes of work and vendor evaluation criteria, develop a final agreement and budget, and monitor contract performance. Meanwhile, the CEO Administration Division (Administration) oversees the solicitation process, contract execution, and preparation of contract amendments. CEO Administration maintains a centralized log of the Office's contracts, grants, revenue agreements, and no-cost memorandums of understanding (MOU). Auditors discovered contracts and no-cost MOUs for multiple CEO divisions that were not included in CEO Administration's central contracts log, as well as incorrectly recorded contract information. Further, of 113 CEO expenditure agreements managed by Administration, auditors identified eight (7%) that were retroactively approved by the Board of Supervisors or Chief Procurement Officer without a formal agreement initially in place—a "highly disfavored" practice according to County Procurement Administrative Guidelines. Finally, while the Board Policy Manual mandates documented performance evaluations of contractors, at least 13 CEO Divisions reported that they do not have formal evaluation processes. The Office of County Contracting Management (OCCM) also has no mechanism of centrally recording existing evaluations to assess the viability of these contractors in the future. CEO Administration should regularly confirm that its centralized contracts log is complete and accurate with the Office's various division directors. Administration should develop a documented method of identifying expiring contracts and auditing end dates and amendments using a more comprehensive vendor report from the County's accounting system. The CEO's division managers should track the number of contracts monitored by each staff member to ensure assignments are equitably distributed, as well as create formal evaluation protocols for County contractors. Finally, OCCM should work with County information technology staff to find ways to upload these evaluations into County purchasing systems for future reference.

Finding 5: Improving Succession Planning Practices

Succession planning is a best practice that promotes service delivery continuity through identifying core competencies undergirding an organization's operations and preparing staff to potentially take over these operations in future. Contrary to human resources best practices, the CEO does not have a written succession plan or specified policies and procedures for knowledge transfer. The Office tracks vacancies, Extra Help work hours, and employees utilizing an alternate work schedule, and multiple CEO divisions have onboarding manuals. However, the CEO has not adopted any mechanism of anticipating or preparing for future workforce needs. This issue is not specific to the Office, as our 2019 audit of Countywide hiring practices found a lack of workforce planning across the County. Yet, creating succession plans is particularly critical for the CEO due to the degree of executive leadership and institutional knowledge held within the Office. We recommend that the CEO work with the Employee Services Agency (ESA) to develop written succession plans and knowledge transfer policies for all executive leadership classifications and evaluate the need for plans within CEO programs and offices with fewer than five full-time equivalent staff. Per recommendations in our 2019 hiring audit, ESA should retain an actuary to estimate the likely retirements and vacancies based on employee ages, estimated retirement time frames, and recruitment timelines.

Finding 6: Role and Portfolios of Deputy County Executives

Seven Deputy County Executives (DCEs) assist the County Executive and Chief Operating Officer in managing County operations and representing the CEO before the Board of Supervisors. DCEs enact the County Executive's guidance through portfolios overseeing various County and Office functions, and their work often focuses on responding to Board inquiries. However, the County's DCE portfolios are ambiguous in their span of control, and DCE assignments have not been formally memorialized in either County or CEO organization charts. In the absence of this formal delineation of responsibilities, DCE portfolios are wide-ranging in scope, with some containing multiple County departments while others focus on one CEO division. This variance makes it difficult to reliably compare DCE workloads and raises the risk of imbalanced assignments. A lack of clearly defined DCE policy buckets has led to overlapping functions being spread across multiple portfolios and ambiguous reporting structures in which some offices report to multiple executives. The CEO should develop a categorization system for DCE portfolios that informs the assignments in each portfolio (e.g., by policy area). For every assignment within each portfolio, the Office should clarify the scope of the DCE's role and limit any dual direct supervision assignments. The CEO should consolidate this information into a single organization chart that shows the entirety of DCE portfolios and integrate a high-level version into the County's public organization chart. The CEO should revisit these portfolios at least annually to ensure that assignments are balanced.

Finding 7: Approving Countywide Administrative Policies

County administrative policies apply Countywide and must do one of the following: 1) implement a Board policy; 2) achieve compliance with applicable laws and regulations; or 3) address a risk to the County that cannot be addressed elsewhere. According to the County's policy on proposing, revising, and rescinding an administrative policy, the County Executive has delegated authority to the Administrative Policy Council (APC) to establish and review administrative policies. The APC is led by the CEO and also contains departmental stakeholders, Labor Relations, and the Office of the County Counsel. The CEO reported that the APC has not had dedicated staff for this function since Fall 2021. In addition, the Office does not keep central records around administrative policies that have been submitted, approved, and are pending. In the absence of these records, the CEO was unable to answer the following questions: 1) how many administrative policy requests were submitted to the APC between FY 2017–18 and FY 2021–22; 2) the names of these policies and originating departments; 3) the status of these policies; and 4) any prioritization criteria for the review and finalization of these policies. The CEO should create a descriptive log of pending administrative policy proposals and their statuses, which the Office of the County Counsel should review and augment. In addition, the two parties should develop target timelines and prioritization criteria for reviewing and finalizing policies.

INTRODUCTION

This Management Audit of the Office of the County Executive (CEO) was added to the Management Audit Division's Fiscal Year (FY) 2021-2022 work plan by the Board of Supervisors, pursuant to the Board's power of inquiry specified in Article III, Section 302(c) of the County of Santa Clara Charter. The Board added this audit after considering the annual County-wide audit risk assessment conducted by the Management Audit Division in accordance with Board Policy.

PURPOSE, SCOPE, AND OBJECTIVES

The purpose of the audit was to examine the operations and management practices of the CEO Office, and to identify opportunities to increase the Office's efficiency, effectiveness, economy, ethics, and equity. Work on this audit began with an entrance conference on February 1, 2022, and a draft report was issued to the Office on February 24, 2023. We also sent the draft audit to the Office of the County Counsel.

An exit conference was held with CEO on March 15, 2023, and a revised (final) report incorporating feedback from the exit conference was issued to CEO on June 9, 2023.

The audit's main objectives were:

- To determine the ways in which the Office enacts legislative mandates, Board and County policy priorities, strategic planning, and budgetary oversight through its various divisions, programs, and services.
- To assess Office's structure, span of control, and staffing, and how these areas have evolved with the County's growth.
- To evaluate the adequacy of the Office's succession planning policies, procedures, and practices, including those for executive recruitment.
- To analyze the Office's internal controls for managing internal and Countywide risk, including its financial management practices.
- To assess the Office's Board referral and contracts management processes.
- To determine the extent to which the Office has implemented equity and inclusion principles throughout the County organization.
- To identify any opportunities to improve the effectiveness, efficiency, and economy of the Office.

Primarily, we evaluated the Office's operations between Fiscal Year (FY) 2016-17 and FY 2020-21, although our audit includes significant changes to policy, procedures, and practices implemented over FY 2021-22 and the first half of FY 2022-23.

AUDIT METHODOLOGY

We interviewed executive and upper management personnel including the County Executive, Chief Operating Officer,[1] Deputy County Executives, Health and Hospital System Director, and Chief Procurement Officer. We also interviewed various directors, program managers and line staff of the CEO's constituent offices and programs.

We reviewed the Office's FY 2021-22 and FY 2022-23 budgets, as well as Federal, State, and County laws and policies. We analyzed the Office's Board referral matrix and reviewed a judgmental sample of these requests. We reviewed the CEO's strategic plans and performance metrics, training presentations, central administrative records, contracts and amendments, and division organization charts and rosters. The Management Audit Division also issued a peer survey to different 12 California Jurisdictions, to which we received eight responses (full survey results can be found in Attachment A on page 93. We reviewed the organization charts of the county administrative offices of these eight respondents.

Compliance with Generally Accepted Government Auditing Standards

This management audit was conducted under the requirements of the Board of Supervisors Policy Number 3.35 as amended on May 25, 2010. That policy states that management audits are to be conducted under generally accepted government auditing standards (GAGAS) issued by the U.S. Government Accountability Office. We conducted this performance audit in accordance with GAGAS as set forth in the 2018 revision of the "Yellow Book" of the U.S. Government Accountability Office. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. In accordance with these auditing standards, we performed the following procedures:

Audit Planning – This management audit was selected by the Board of Supervisors using a risk assessment tool and estimate of audit work hours developed at the Board's direction by the Management Audit Division. After audit selection by the Board, a detailed management audit work plan was developed and provided to the CEO.

Entrance Conference - An entrance conference was held with CEO management to introduce the audit team, describe the audit program and scope of review, and to respond to questions. A letter of introduction from the Board and the audit work plan were also provided prior to the entrance conference.

Pre-Audit Survey - Audit staff reviewed documentation and other materials to obtain an overall understanding of the Office's operations, and to isolate audit areas that warranted more detailed assessments.

1 We interviewed the Chief Operating Officer at the outset of our audit, who has since transitioned out of this role since August 2022.

Field Work - Field work activities were conducted after completion of the pre-audit survey and included the following: (a) staff interviews; (b) reviews of Federal, State, and County laws and policies; (c) reviews of the Office's contracts, strategic plans and performance metrics, training presentations, and central administrative records; (d) analyses of the Board referrals matrix and a judgmental sample of these requests; (e) and issuance of a County peer jurisdiction survey among other investigative tasks.

Draft Report - On February 24, 2023, a draft report was provided to the CEO to describe audit progress, and to share general information on our preliminary findings and conclusions. We also provided the draft report to the Office of the County Counsel and the Employee Services Agency.

Exit Conference – An exit conference was held with CEO management on March 15, 2023, to obtain views on the report findings, conclusions, and recommendations, and to make fact-based corrections and clarifications as appropriate. Following these meetings, a revised draft was provided to the Office on June 9, 2023, for use in preparing their formal written responses.

Final Report - A revised (final) report was prepared and issued on July 13, 2023. Written responses from the CEO, County Counsel and the Employee Services Agency are attached to the final report as Attachment B on page 133, Attachment C on page 143, and Attachment D on page 145, respectively.

Overview of CEO Services

The CEO's core function is to provide support for the overall effective administration of the County organization, including support to the County Executive in the performance of the County Executive's duties under the Charter (Article IV) and Ordinance Code. These duties are to be carried out in a manner that advances the policy priorities and objectives of the County's Board of Supervisors and delivers excellent service to residents of the County. Through the CEO's 42 offices and programs, the CEO provides analytical support, strategic planning, policy analysis, and budgetary oversight to the County. These responsibilities include, but are not limited to, the preparation of the County's annual budget, setting policies and standards for County purchasing and contracting, managing the County's public communications, reviewing and approving County administrative policies, liaising with State and Federal government officials, and developing strategic plans for Board priority areas ranging from sustainability to racial equity and inclusion.

In addition to enacting Board policies and priorities through its various offices and programs, the CEO also responds to various Board requests and referrals. During FY 2021-22, the Office received approximately 187 referrals, or approximately 16 per month on average (for a more detailed discussion on referrals, see Section 2, starting on page 23 of this audit report).

Part of the challenge in managing the County is that its service levels exploded over the decade from FY 2012-13 to FY 2022-23. Countywide (all funds) budgeted expenditures increased by 171.5%, from $4.2 billion to $11.4 billion in the Recommended Budget. General Fund budgeted expenditures grew by 125.8%, and Valley Medical Center costs increased by 163.1%. Budgeted staffing levels also increased, Countywide, by nearly 45% over the decade. As the County has acquired multiple facilities, developed new programs, and grown substantially in its budget and workforce, the CEO has evolved rapidly to meet these changing needs and fulfill Board priorities.

However, the CEO's office has grown at more than nine times the rate of the County overall. In FY 2012-13, the CEO's adopted budget included 85.5 positions (FTEs) over two budget units. The FY 2022-23 adopted budget for the CEO included four budget units and 684.5 FTEs. These budget units are 107 (CEO), 113 (Local Area Formation Commission), 168 (Office of Supportive Housing), and 108 (Risk Management) (see Section 1, starting on page 15 of this audit report for a full discussion of CEO positions and programs as of FY 2022-23).

In August 2022, the CEO reported that the Office has added 17 new divisions and offices over the past five fiscal years—approximately 40% of its 42 offices. Among these additions are the CEO's Language Access Unit; Office of Disability Affairs; Office of Equity, Diversity, and Belonging; and Office of Gender-Based Violence Prevention, many of which were created as a direct result of Board action. Some offices, such as the Information Security Office and Internal Audit Division, were transferred to the CEO from other County departments, while others, such as the Equal Opportunity Department, were transferred out of the CEO. This state of flux is unique to Santa Clara County in comparison to the peer jurisdictions we surveyed, which reported between zero to three new offices over the past five fiscal years. The exception was Los Angeles County, which added ten new divisions over this period.

Illustrating the effect of the CEO's ever-expanding and shifting responsibilities, the Office gave multiple differing answers when auditors asked about the number of divisions within the CEO. For instance, the County budget book contains 42 offices; the Office responded 45 offices to our peer survey; and management reported 43 offices at the audit entrance conference. While we were provided organization charts of individual CEO divisions, management warned that these organization charts have changed frequently.

In addition to the pandemic, the CEO has also been responsible for responding to other disasters such as the 2019 Gilroy and 2021 Valley Transportation Authority shootings. The Office was heavily involved in healthcare worker union negotiations with the 2019 O'Connor and St. Louise hospital acquisitions, and then again in 2022 with the threat of a physician strike at Valley Medical Center. Finally, the Office's Executive Management personnel underwent significant turnover in FY 2022-23, including its Chief Operating Officer, Director of Financial and Business Operations, and County Executive (effective July 2023)[2].

The significant expansion of Office (particularly in unrelated direct service functions), as well as the consequences of this expansion, are discussed in greater detail within Section 1, starting on page 15 and throughout this audit report. Among these consequences is an impeded ability for the CEO to develop updated policies and procedures; set strategic plans; provide comprehensive, centralized administrative oversight; and effectively run Countywide operations.

ORGANIZATIONAL STRUCTURE

The CEO is managed by the County Executive, who is the chief administrative officer of the County. As outlined in Article IV of the County Charter, the County Executive is appointed by the Board of Supervisors. The County Executive's responsibilities include, but are not limited to, the following: 1) supervising and managing the

2 Following our March 2023 exit conference, the CEO reported that the Director of Financial and Business Operations position had been permanently filled as of February 2023.

appointment and removal of all non-elected department heads; 2) supervising and directing the annual County budget; 3) coordinating the work of all County offices and departments and devising means to maximize their efficiency and economy; 4) recommending amendments to the Administrative Code; 5) preparing annual reports on finances and County administrative activities; 6) formulating and presenting plans to the Board of Supervisors for the implementation of goals adopted by the Board; 7) having charge of all county property, buildings, works, and improvements; and 8) making temporary employee transfers from one county office or department to another.

The second highest administrative position in the County is the Chief Operating Officer, who reports to the County Executive, assists with the above duties, and serves as the acting County Executive in their absence. The Office additionally contains six Deputy County Executives who manage the CEO's 42 offices and programs, liaise with County departments, and sit on various County committees and commissions.[3] Finally, the Director of the Santa Clara Valley Health and Hospital System also reports to the County Executive.

Appointment of New County Executive in FY 2022-23

In November 2022, the Board of Supervisors announced the appointment of a new County Executive after unanimously appointing this individual during a closed session meeting. Per the County Ordinance Code, appointment of this position is based on executive and administrative qualifications and experience and is entirely at the discretion of the Board of Supervisors. Consequently, the Management Audit Division did not review this appointment as part of our audit report. The new County Executive takes office in July 2023.

TOPICS REQUIRING ADDITIONAL REVIEW

During the course of a management audit, certain issues may be identified and brought to the attention of the agency being audited and the Board of Supervisors, even though a specific finding is not included in the report. Three such matters are described below.

Implementing Race and Equity Principles into the County Budget

Since June 2020, the County has taken numerous steps to institutionalize race and equity within County operations. These actions include the Board of Supervisors adopting a resolution declaring racism a public health crisis and a second resolution pledging to incorporate principles of equity and disability inclusion into policy and budget decisions. Further, as part of the Fiscal Year 2021-22 budget, a new Office of Equity, Inclusion, and Belonging (ODEB) was added to the Division of Equity and Social Justice within the CEO.

For the FY 2022-23 budget cycle, the Office of Budget and Analysis (OBA) reported that they would work with this new office to assist County operating departments in integrating equity and inclusion considerations into their annual budget proposals. To this end, OBA issued a written directive requiring County operating departments to

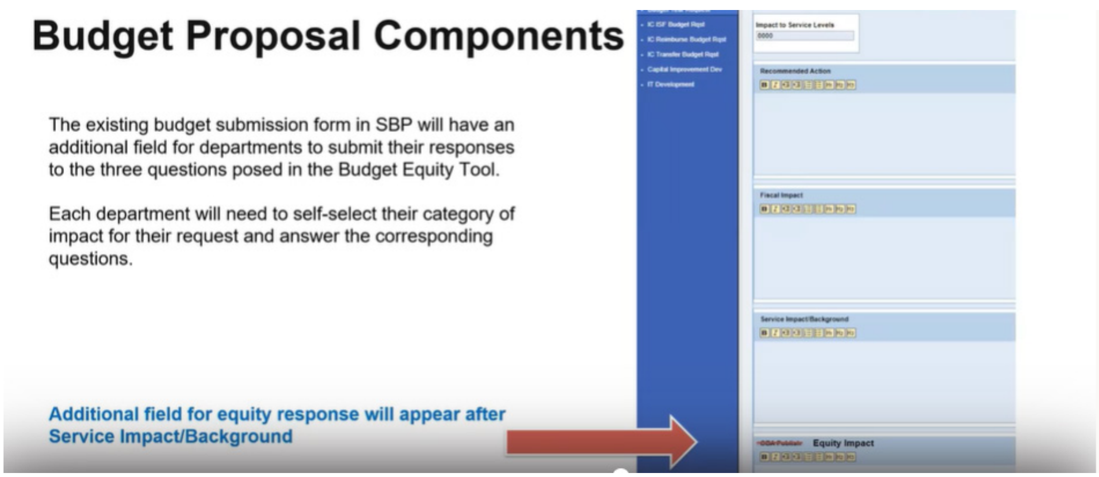
3 In some County documents, such as the title page of the County budget, the director of the Employee Services Agency (ESA) is listed as a Deputy County Executive. However, the ESA director position is a separate classification than Deputy County Executive, which was confirmed by the CEO.

"apply an equity and inclusion lens" to their proposed budgets. However, this directive did not cover specific guidelines or outline best practices for how departments might achieve this goal. Instead, instructions only generally stated that the lens "must be applied when building a budget proposal and not simply considered after the fact."

In June 2022, auditors requested an update from OBA and the ODEB on whether there were any observations or lessons learned around equity and inclusion from the FY 2022-23 budget process. While the parties provided specific examples of equity budget initiatives from three departments, expertise in this area varied within the County. OBA and ODEB reported that they had to delay trainings around the prescribed budgetary equity and inclusion lens (originally planned for May 2022) due to COVID-19 priorities and staffing needs for ODEB. As a result, "many departments did not adequately implement racial equity into their budgetary asks."

ODEB's Learning and Training Program Implementation Plan for FY 2022-23 includes a Budget Equity Tool to be rolled out prior to the FY 2023-24 budget process. In January 2023, a printed version of this Tool was presented in an instructional manual at a Board of Supervisors special meeting. The Tool consists of a set of questions for departments to evaluate service and infrastructure impacts of budget requests through an equity lens. Department staff respond to these questions in a mandatory new field when they electronically submit their budget proposals (see Figure I.1 below).

Figure I.1: ***Budget Proposal Screen with Equity Impact Field***



Source: Santa Clara County Budget Equity Training Video

Within the instructional manual, there is also a list of data resources to assist departments with collecting population-level data, as well as sample responses to the Budget Equity Tool and a glossary of terms. An accompanying training titled "County of Santa Clara Budgeting for Equity Training Video" largely mirrors the narrative in the Budget Equity Tool. According to the training video, both OBA Analysts and ODEB staff are available for answering questions and offering technical assistance to departments as they complete the new equity field in their budget proposals. Once OBA receives the budget proposal, OBA will review and vet the analyses provided by County departments.

Budget Equity Tool responses are not a deciding factor in determining whether a proposal will be funded. Rather, OBA relies on a multitude of considerations such as operational impact, legal mandates, and health and safety issues, among other factors. The Tool "provides additional context" and helps illustrate "how a department budget proposal may advance equity within its operations or within the community."[4]

For the FY 2023-24 budget cycle, the Management Audit Division suggests that OBA and ODEB develop key performance indicators (including concrete metrics) for this tool, given that the Tool does not necessarily ensure the adoption of equity-integrated County services. OBA and ODEB should determine the criteria for "successful" implementation and assess the performance of County operating departments against this definition and performance indicators. Finally, we suggest that ODEB and OBA develop a report summarizing the results of this assessment that includes trends and potential areas of improvement. This is aligned with discussions from the January 2023 Board meeting around a potential equity audit that provides an accounting of how the County is performing and where it is spending its money from an equity standpoint.

More Stringent Analysis of Contracts Budgeting and Extensions

Management of the Office of the CEO's contracts is divided between the CEO's operating divisions and the Office's central Administration Division (Administration). CEO divisions identify service needs, prepare the agreement's scope of work (i.e., contract deliverables), develop selection evaluation criteria, provide the budget for the agreement, and monitor contract compliance. Meanwhile, the Contracts Unit within Administration facilitates the contract solicitation and execution process, reviews the scope of work, and prepares amendments. Administration's Fiscal Unit verifies budget requirements and processes vendor invoices and budget modifications (see Section 4, starting on page 47, for a more detailed discussion on contracts management).

Auditors identified multiple underspent contracts from the CEO's Office of Reentry Services, Office of LGBTQ Affairs, Office of Labor Standards Enforcement, and other CEO divisions. Within the County's accounting system, invoices showed that several of these agreements had been underspent by hundreds of thousands of dollars. Further, auditors identified at least three instances in which CEO contracts had been extended multiple times for identical dollar amounts despite this amount having never been fully expended in prior years. For example, one Office of Reentry Services contract was extended twice into FY 2020-21 and FY 2021-22 for an additional $1.2 million per extension (the budget of the original contract) despite annual billings never exceeding $960,000 for this vendor.

In another case, an amendment to a CEO contract that was extended from June 2022 to August 2022 augmented this agreement's budget by $191,929 to cover the services in this extended contract term. By the end of October 2022 (past the term of the contract), only $77,153 of this budgeted amount had been invoiced. This contract was then extended into June 2023 for an additional $267,494, and the accompanying FY 2022-23 budget summary did not include a discussion of how unspent dollars from the previous augmentation would be factored into the final contract budget. Continuous contract augmentations without explanations of how previously unspent amounts will factor into future budgets may needlessly encumber excess contract dollars that will ultimately remain unspent.

4 Office of Budget & Analysis. County of Santa Clara Budgeting for Equity – Manual and Tool: Fiscal Year 2023 – 2024. p. 9.

For some underspent contracts executed between FY 2019-20 and FY 2021-22, services and billings were impacted by the COVID-19 pandemic. For instance, several in-custody programs and classes were delayed and did not meet expected levels due to pandemic lockdowns. The ability to administer surveys and trainings was also diminished due to social distancing guidelines and staffing challenges. One $100,000 contract for graphic recording services at in-person events was not utilized at all due to COVID gathering restrictions.[5] While it is logical that the pandemic impacted County vendors' ability and capacity to provide agreed-upon services, consistent overbudgeting of contracts creates opportunity costs for other County services that may require additional funding.

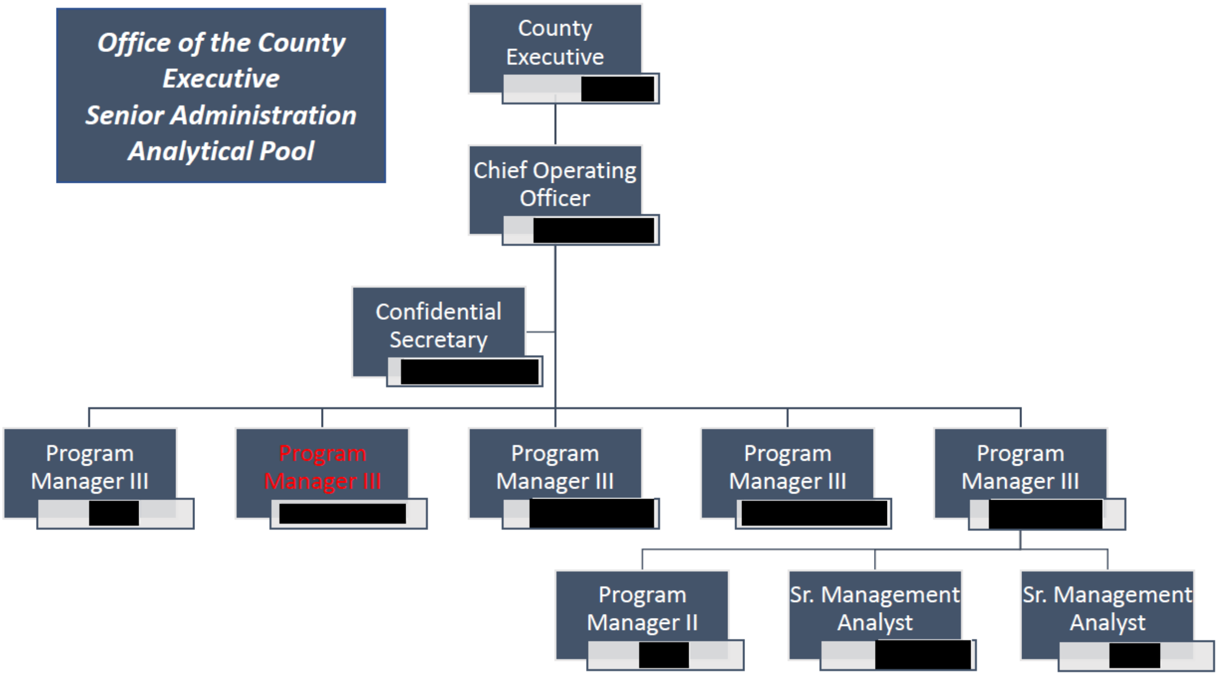
We suggest that the CEO, when developing contract budgets, take ongoing pandemic factors into account when determining service levels and associated costs. In addition, the CEO should consider providing a breakdown of previously unspent funds when requesting contract amendments that require budget augmentations. These breakdowns should show how proposed augmentations factor these unspent funds into the total new contract amount.

Restructuring and the Program Manager III Role in the CEO's Management Support

The CEO has a central analytical and program support pool intended to support the needs of senior administration. CEO staff reported that these needs can include project management, managing specific referrals from the Board of Supervisors, representing the Office in meetings, and working to improve Office work processes such the assignment and tracking of referrals. As of August 2022, this group included five Program Manager III positions, one of which was vacant. One of these positions (referred to here as the Lead Program Manager III) also oversees three other positions in the central program support pool: one Program Manager II and two Senior Management Analysts (see Figure I.2).

5 Graphic recorders translate conversations or presentations into text and pictures in real-time, so that meeting attendees have an immediate visual guide for key ideas.

Figure I.2: *Central Support Pool Organization Chart as of August 2022*



Source: Office of the County Executive (names have been redacted)

Analytical staffing support within the CEO, including staffing of the central program support pool, is an area of continued restructuring for the Office. Between February and August of 2022, the Office added two budgeted positions to the pool, consisting of one Program Manager III and one Program Manager II. During this time, the Office also expanded direct analytical support for Deputy County Executives (DCE) by creating additional positions. Within this new structure, most DCEs have one dedicated Program Manager II supporting them, in addition to other support staff. Since the addition of these budgeted positions, multiple CEO staff who had described a need for additional analytical staffing during initial interviews with our team reported these changes may sufficiently address these needs, while noting that it remains too early to tell.

Compared to other Program Manager IIIs in the Office, Program Manager IIIs in the central support pool often work more closely with senior executive management. Within this group, Program Manager IIIs report to the Chief Operating Officer. While they do not formally report to the County Executive, CEO staff noted that Program Manager IIIs in the central support pool have frequent contact with, and often relay direct guidance from, the County Executive. In contrast, Program Manager IIIs in many CEO divisions have at least two levels of authority (a division director and DCE) between them and the County Executive in their line of reporting. Program Manager IIIs in other CEO divisions, such as the Division of Equity and Social Justice and the Vietnamese American Service Center, report to a DCE, not the COO or County Executive. As such, the reporting lines of Program Manager IIIs in the central support pool, combined with the cross-cutting nature of their Office coordination work, more closely mirror the reporting lines of DCEs than other Office staff sharing the same job classification.

In August 2022, CEO management reported that the Office was in the process of reassessing the central support pool structure and determining if any adjustments are appropriate. To more closely align the classification of the Program Manager IIIs in this group with the duties they perform, and to further distinguish this role from the position of DCE, we suggest the COO consider reclassifying these positions—an option that Office staff is reportedly already considering. As part of this process, the COO could choose to further distinguish the role of the Lead Program Manager III, who manages three members of the Pool, and assign it a different classification, such as Chief of Staff.

RECOMMENDATION PRIORITIES

The priority rankings shown for each recommendation in the audit report are consistent with the audit recommendation priority structure adopted by the Finance and Government Operations Committee of the Board of Supervisors, as follows:

Priority 1: Recommendations that address issues of non-compliance with federal, State and local laws, regulations, ordinances and the County Charter; would result in increases or decreases in expenditures or revenues of $250,000 or more; or, suggest significant changes in federal, State or local policy through amendments to existing laws, regulations and policies.

Priority 2: Recommendations that would result in increases or decreases in expenditures or revenues of less than $250,000; advocate changes in local policy through amendments to existing County ordinances and policies and procedures; or, would revise existing departmental or program policies and procedures for improved service delivery, increased operational efficiency, or greater program effectiveness.

Priority 3: Recommendations that address program-related policies and procedures that would not have a significant impact on revenues and expenditures but would result in modest improvements in service delivery and operating efficiency.

OFFICE ACCOMPLISHMENTS

While management audits focus on areas for improvement within the audited entity, these entities also have accomplishments that should be highlighted to enable the reader to understand operations in their entirety, including those areas that are not the subject of audit findings. We have asked the CEO to provide comment on its recent accomplishments. Management furnished the memo, which is provided in Attachment E on page 147.

Section 1: Aligning the Office of the County Executive with its Mission

Background

Pursuant to the County Charter, the County Executive is both empowered and obligated to manage the County's operations to deliver efficient, effective services to the public, and to develop the County budget. The Office of the County Executive (CEO) has historically existed to carry out the core responsibilities of the County Executive, but the Office is now largely focused on specific (rather than Countywide) operations and programs.

Problem, Cause, and Adverse Effect

In FY 2012–13, the CEO had 85.5 full-time-equivalent (FTE) staff, mostly oriented to oversee and support the County's various service-delivery departments and produce the County budget, consistent with the County Executive's duties under the Charter. By FY 2022–23, the CEO had been charged with directly implementing many direct services and programs, and the Office had therefore ventured far from its Countywide oversight and support mission. It had 684.5 FTEs, with more than 600 of these personnel responsible for providing services themselves. CEO staff directly run programs related to housing, employee wellness, criminal justice, sustainability, mediation, internal audits, labor-standards enforcement, and many others. The County's Chief Operating Officer, who functions as the department head for the CEO, now functionally has two roles: 1) overseeing one of the largest County departments and 2) providing operational oversight and support to the entire County organization. The functions that have been added to the CEO in recent years advance the County's mission to serve the community, but are not reflective of the CEO's function to oversee the effective administration of the overall County organization. Further, we are unaware of any other county administrative offices that contain units providing this level of direct services to employees and the public. The effects of the CEO's ballooning size and programs were apparent when we sought the Office's policies only to discover that dozens of CEO divisions had their own, independent policies as they were expected to operate "semi-autonomously."

Recommendations

The CEO should develop a proposal for consideration by the Board of Supervisors to restructure the Office to bring it into better alignment with its core mission. Within this proposal, the CEO may propose restructuring the Office by placing—to the extent feasible—direct services and other functions that do not directly support administration of the County and the work of the County Executive in the performance of their duties under the Charter and Ordinance Code into existing or potentially new County departments.

Savings, Benefits, and Costs

Implementation of this recommendation would align the CEO's structure with and focus its personnel on its mission of managing Countywide operations. It also could mitigate certain administrative problems discussed throughout this audit report.

FINDING

The County Executive's Mission

The County of Santa Clara is a Charter County. Article IV of the Charter specifies the powers and duties of the County Executive, as the head of the administrative branch of the County. Among other duties, the Charter requires the County Executive to "appoint, supervise, suspend, or remove subject to the provisions of this Charter all officers and department heads of the County" … except those who are elected or appointed by the Board under the Charter. The Charter also requires the County Executive to "coordinate the work of all offices and departments, both elective and appointive, and devise ways and means whereby efficiency and economy may be secured in the operation of all offices and departments." Thus, it is the duty of the County Executive to manage the County's overall operations to deliver efficient, effective services to the public. The Office of the County Executive (CEO) has historically existed to carry out the core responsibilities of the County Executive.

A Decade of Explosive Growth for the County and the Office of the County Executive

County service levels grew from Fiscal Year (FY) 2012–13 to FY 2022–23. Countywide budgeted expenditures increased by 171.5%, from $4.2 billion to $11.5 billion in the Adopted Budget. The General Fund budgeted expenditures grew by 125.8%, and Valley Medical Center costs increased by 163.1%. Budgeted staffing levels also increased, Countywide, by nearly 45%.

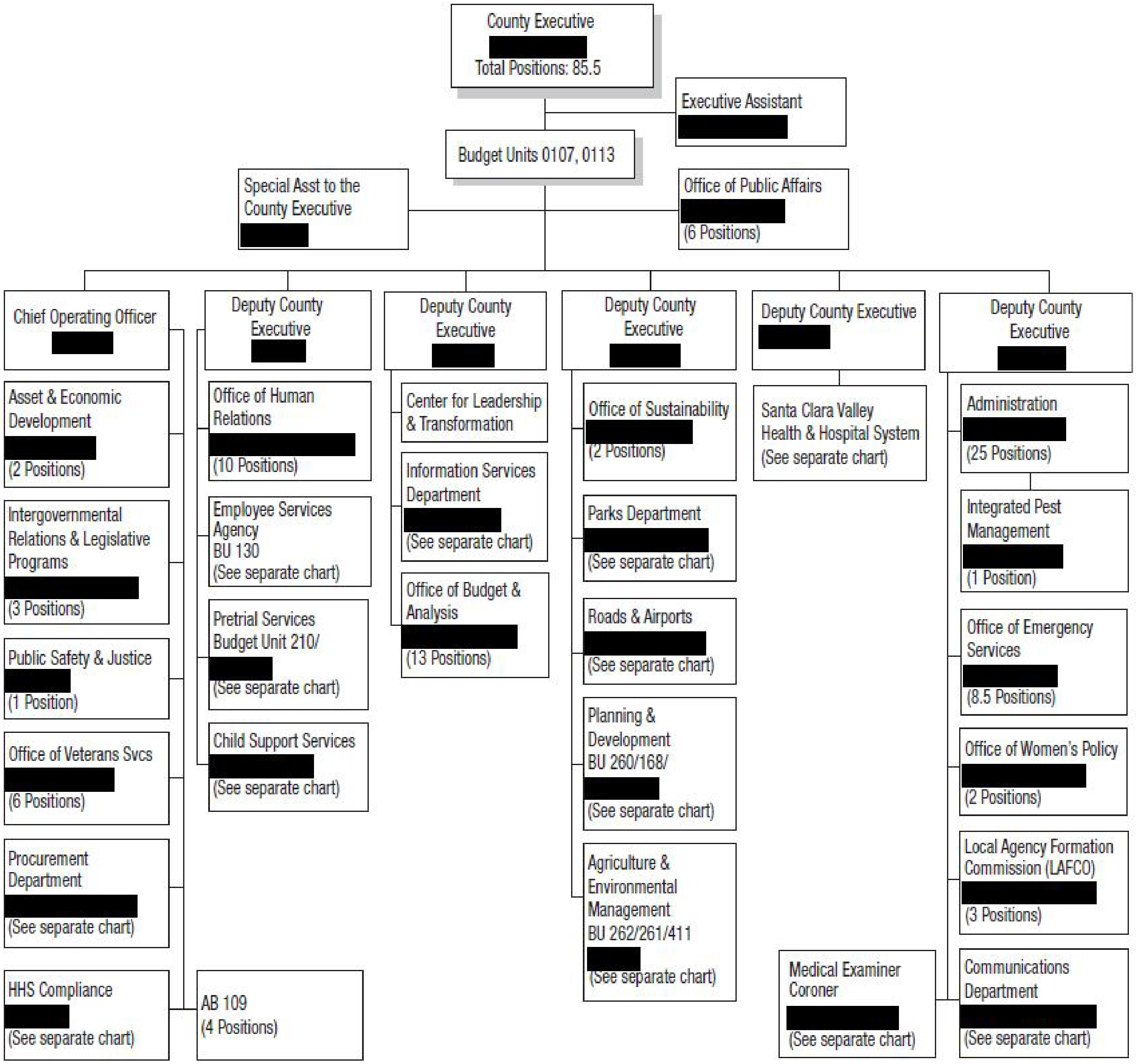
On January 1, 2013, the population of Santa Clara County was estimated by the State Department of Finance at 1,863,975. By January 1, 2022, this same estimate was 1.7% higher, at 1,894,783.[6] Based on trends since the pandemic, it is likely that the 2023 estimate will be at or below the 2022 figure.

The County's growth in service levels, therefore, has far exceeded the growth in population and inflation. Managing County operations in alignment with this growth is the responsibility of the CEO. However, the Office's service levels have grown at an even greater rate.

In FY 2012–13, the CEO was budgeted for 85.5 full-time-equivalent staff (FTE). For the most part, these staff oversaw and supported County departments, such as the Roads Department and the County hospital, as shown in Figure 1.1 on page 17. Pursuant to the County Charter, the County Executive is responsible for development of the recommended budget, and thus the Office also included personnel to carry out that function.

6 Based on data available as of April 2023.

Figure 1.1: *The CEO Structure in FY 2012–13*



Source: FY 2012–13 Final Budget, page 46.

A decade later, in FY 2022–23, the adopted budget for the CEO included four budget units and 684.5 FTEs. These budget units are 0107 (CEO), 0113 (Local Area Formation Commission), 0168 (Office of Supportive Housing), and 0108 (Risk Management).

Based on the programs budgeted, of these 684.5 positions, 246 were specific to the COVID-19 pandemic. Thus, inclusive of pandemic positions, the CEO's personnel grew by 701% over the decade. Excluding the pandemic-specific positions, the CEO's budgeted personnel grew from 85.5 to 434.5 FTEs, or by 408%. The CEO's staffing expansion of 408% is therefore more than nine times the rate of personnel expansion Countywide over the same period (45%). Budgeted CEO expenditures, after taking out the pandemic-specific costs, increased by 2,068%, from $16.5 million to $357.7 million over the decade.

The CEO is operating many unrelated programs, as shown in Figure 1.2 below. Many of these programs were not historically part of the CEO but have been created or brought under its domain in recent years, often as a result of specific Board initiatives. The County's Chief Operating Officer, who functions as the department head for the CEO, now functionally has two roles: 1) overseeing one of the largest County departments by number of employees and 2) providing operational oversight and support to the entire County organization.

Figure 1.2: *FY 2022–23 Budgeted CEO Program Staff*[1]

Program Name	Gross Appropriation	Staff (Full-Time Equivalent Positions)
Administration Division	$24,174,712.00	58.00
Asset & Economic Development	$10,667,623.00	1.00
Budget & Analysis	$5,984,147.00	26.00
Children and Family Policy	$5,474,027.00	2.00
Communications & Public Affairs	$3,025,277.00	15.00
Countywide Contracting Management	$2,067,532.00	10.00
Cultural Competency	$2,939,443.00	11.00
Data Oversight, Monitoring, & Evaluation	$817,210.00	4.00
Division of Equity and Social Justice	$1,511,321.00	5.00
Emergency Management	$4,775,998.00	12.00
Emergency Operations Center	$508,092.00	-
Employee Wellness	$1,859,405.00	7.00
Equity and Social Justice	$1,331,992.00	5.00
Facilities Security	$538,493.00	2.00
Gender-Based Violence Prevention	$2,706,596.00	3.00
Immigrant Relations	$1,314,915.00	6.00
Information Security	$8,193,296.00	18.00
Integrated Pest Management	$495,135.00	2.00
Intergovernmental Relations	$755,983.00	3.00
Internal Audit	$2,113,687.00	11.00
Jail Reforms	$1,061,024.00	3.00
Labor Standards Enforcement	$2,453,820.00	5.00
Language Access	$1,383,506.00	11.00
Learning & Employee Development	$2,495,730.00	11.00
Learning Organization	$1,642,917.00	5.00
Legislative Programs	$426,123.00	1.00
LGBTQ Affairs	$1,984,684.00	5.00
Liability & Property Insurance/Claims	$77,890,506.00	6.00
Local Agency Formation Commission	$1,186,638.00	4.00
Mediation & Ombus Services	$1,960,222.00	10.50

Program Name	Gross Appropriation	Staff (Full-Time Equivalent Positions)
Occupational Safety/Environmental Compliance	$942,078.00	4.00
OEM Pandemic Response	$21,538,297.00	223.00
Office of Disability Affairs	$439,356.00	1.00
Office of Supportive Housing	$112,693,682.00	71.00
OSH Pandemic Response	$2,741,006.00	23.00
Pandemic Communications	$732,830.00	4.00
Privacy	$1,471,753.00	7.00
Reentry Services	$3,524,965.00	18.00
Risk Management	$1,109,823.00	5.00
Stanford Trail Agreement	$ -	-
Sustainability	$2,428,808.00	8.00
Vietnamese American Services Center	$4,817,158.00	20.00
Whistleblower Program	$396,418.00	2.00
Women's Policy	$1,125,373.00	6.00
Workers' Compensation	$54,960,150.00	30.00
Total	**$382,661,751.00**	**684.50**

Source: FY 2022–23 Adopted Budget, pages 69–70.

Note: (1) The number of listed offices does not add up to 42 because some offices, such as the Office of LGBTQ Affairs, are housed within other larger divisions such as the Division of Equity and Social Justice. "Equity and Social Justice" refers to the Office of Diversity, Equity, and Belonging, which is housed within the broader Division. Meanwhile, the "Division of Equity and Social Justice" refers to the five positions responsible for providing division-wide support across all Division of Equity and Social Justice programs.

Today's CEO *Primarily* Delivers Services

Today, the CEO operates many unrelated programs that were not historically part of the Office but have been created or brought under its domain in recent years. Seventeen of these divisions or offices, or over 40% of the CEO's total functions, have been added within the last five fiscal years. To compare, in a peer survey we issued to California jurisdictions, Santa Clara's CEO contained both the largest number of total individual divisions and the largest number of divisions added in recent years. Further, as compared to responding counties, Santa Clara County's CEO was the only executive administrative office responsible for internal audit and reentry services functions.

To be clear, we are not suggesting that any of these programs lack value, should not exist, or are overstaffed. However, given the sheer variety of complex programs under the Santa Clara CEO's direction, we question whether any CEO team could adequately deliver all these disparate services while also carrying out the mission of managing, coordinating, and ensuring the efficiency of growing Countywide services. For example, as discussed in Section 7, starting on page 73 of this audit report, the CEO has been unable to maintain the committee that reviews and finalizes Countywide administrative policies, which is an integral aspect of managing Countywide operations. Other Office issues, such as continuously changing organization charts, gaps in contracts management and other centralized record-keeping, inconsistent human resources information across CEO divisions, and reporting structure ambiguities (i.e., problems discussed throughout our audit report) appear to be symptoms of managing an organization with almost 700 staff, many of whom deliver entirely unrelated services.

To reiterate, the Management Audit Division found no evidence that there are too many staff devoted to these programs, or that staff are inefficient in their duties. However, we question the location of such a large and disparate number of programs under the direct management of the CEO, when, per the Charter, the County Executive is supposed to be ensuring, among other things, that the County's various departments operate efficiently and effectively.

As shown in the FY 2012–13 organization chart in Figure 1.1 on page 17, the CEO a decade ago was mostly organized to oversee and support County agencies and functions that were directly managed by department heads. Along these lines, the delineation of Deputy County Executive (DCE) portfolios was much clearer in the County's FY 2012–13 organization chart than the current DCE model discussed in Section 6, starting on page 61 of this audit report.

In contrast, many of the CEO's staff in FY 2022–23 were acting as service providers in areas such as pandemic response and communications, employee learning, labor standards enforcement, reentry services, and supportive housing, among others. When we requested the CEO's policies at the outset of this audit, the office had to gather them by separately polling each "semi-autonomous" unit. When the CEO is so sprawling and responsible for providing such a wide variety of services that it cannot efficiently set and review its own internal policies, the size and structure of the organization must be questioned.

The Management Audit Division recommends that the CEO develop and present to the Board of Supervisors a proposal to bring the Office in alignment with its core mission of overseeing Countywide functions. This proposal may contain a discussion and analysis around transferring existing direct service delivery functions to appropriate departments or perhaps making some programs into stand-alone departments.

CONCLUSION

The Santa Clara County CEO has grown by 701% over the last decade, far outpacing the growth of the County population and overall growth of the County organization. With 684.5 budgeted FTEs, Santa Clara's CEO has more staff than the administrative office of Los Angeles County, which has the highest population and number of employees of any county in the U.S. However, this volume of staff is not primarily devoted to management of the County as a whole, but rather to program delivery that is not part of the express mission of the County Executive and that is not akin to services provided by the Office a decade ago. This expansion of staff and services hinders the ability of the Office to perform the County Executive's chartered duties of managing the County organization and creates administrative challenges around managing its own far-reaching functions.

RECOMMENDATIONS:

The Office of the County Executive should:

1.1 To bring the focus of the Office of the County Executive (CEO) back to its mission of overseeing Countywide services, develop and present to the Board of Supervisors a proposal to restructure the CEO to best reflect its core mission and performance of the County Executive's chartered duties. This proposal may include recommendations to shift the provision of direct services and associated CEO personnel to current or new County departments. (Priority 2)

COSTS, SAVINGS AND BENEFITS

Implementation of Recommendation 1.1 would allow the Board to consider changes that would reduce the size and scope of the CEO, facilitating its ability to manage the County as a whole, rather than delivering services directly. As of early 2023, much of the staffing of the CEO was devoted to service delivery, rather than management of the County's overall operations. Not only is direct service delivery by the CEO in most cases inconsistent with the Office's mission, it diverts CEO resources to management of specific programs rather than management of all County elected and appointed departments for efficiency and effectiveness. This is evidenced by the fact that the CEO has had no capacity to review and approve Countywide administrative policies since at least Fall of 2021.

The additional cost to develop a CEO restructuring plan for the Board's consideration would be nominal, equal to the cost of other agenda items. The cost to *implement* restructure of the Office would depend on the actual plan, if any, approved by the Board. Bringing the CEO back into alignment with its core mission would provide potentially greater efficiency in service delivery by marrying services with affiliated departments and/or establishing new departments. Further, delegating multiple direct service functions to other parties would increase the capacity of the CEO to streamline human resources policies, improve contracts management, update its Continuity of Operations Plan, and other administrative operations.

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Section 2: Streamlining, Prioritizing, and Tracking Board Referrals

Background

Board Policy 3.28 defines a referral as any request for information that is approved by a majority of the Board of Supervisors and is referred to a County entity for a report back. Referrals may also be initiated by Board Policy Committees. According to the policy, Board referrals are due to the Board within 45 days from when the referral was initially made, unless another time is specified. The Office of Budget and Analysis (OBA) maintains a referral matrix that keeps Board members informed of the status and progress made on pending referrals. From FY 2017–18 to FY 2021–22, OBA's reported annual number of referrals requested by the Board increased by 81.70%, from 153 to 278, with the Office of the County Executive (CEO) being assigned the largest portion of these referrals.

Problem, Cause, and Adverse Effect

Our review of a sample of 50 Board referrals from FY 2021–22 found that 11 did not meet the 45-day turnaround requirement, and 21 referrals came out of prior reports or other referrals on the same topic. Inefficient referrals management may partially stem from the vague nature of Board Policy 3.28, which broadly defines referrals as any information request approved by the Board and does not differentiate between types of requests and associated timelines (e.g., data updates versus analyzing new, complex County initiatives). The referral policy also lacks guidance around the following: 1) prioritizing referrals in alignment with CEO bandwidth and overall Board priorities; and 2) minimum information requirements for responsive reports. To compare, the City of San Jose's referral policy provides options for assessing the complexity and workload of City Council requests at their outset and outlines follow-up channels to reassess and prioritize ongoing referrals. Offshoot referrals from Board agenda item discussions have also contributed to the uptick in total referral volume, and this trend may be driven by a lack of guidance around key required data-points for agendized reports. Referrals have repeatedly been made to address information deficiencies in initial submissions. Finally, the County lacks a complete record of referrals from both the Board and Board Policy Committees, which reduces transparency of the full referral workload and can lead to assignments that further exceed the capacity of CEO staff.

Recommendations

The Board should revise its referral policy to clearly define different referral types and their associated parameters. The policy should include an option to initiate a workload review prior to assignment to ensure a referral is not duplicative and is properly scoped. In addition, the policy should include opportunities for reviewing, revising, and prioritizing outstanding referral requests. The Board should also develop minimum requirements and templates for key information that should be included in referral responses and agenda items. Finally, the CEO should improve its referral tracking by cataloging all referrals in one matrix, including those made through the Policy Committees.

Savings, Benefits, and Costs

These recommendations will help increase efficiency by providing CEO and County staff additional guidance around how to develop and prioritize referrals and agendized reports while benefiting the Board by potentially resulting in more responsive referrals and informative agenda items. Improved referral tracking will help increase transparency into the referral process for both the Board and public.

FINDING

The Office of the County Executive has a Leading Role in Assigning and Tracking Board Referrals

Referrals are the primary tool by which Board members can obtain information needed to govern the County. The Board of Supervisors' Policy Manual describes the Board's process for making and receiving report-backs on referrals in Board Policy 3.28, "Policy on Time Certain for Reports Back to the Board After Referral has Been Made." The Policy broadly defines a Board referral as "any request for information made by a majority of the Board of Supervisors and referred to a County Department or Agency for report back." This means that a referral can be anything from a straightforward request such as examining the addition of Extra Help staff to support the County's Sexual Assault Response Team Committee, to more complex and involved policy proposals or studies, such as assessing County acquisition options for the Lehigh Cement Plant and Quarry. Referrals can be made both by the full Board of Supervisors and the County's five Board Policy Committees.

Board Policy also outlines timeline requirements for County departments and agencies, stating that—unless a referral has a specified date for reporting back to the Board or Committee—the report is due within 45 days from the date of the referral or the next Board or Committee meeting date after the 45 days. If the department or agency cannot report back by the deadline, then an off-agenda extension request is sent to the Board or Policy Committee, the Clerk of the board, and the County Executive by the referral due date. This extension request must include the amount of time, the amount of work, and a description of the work required to respond to the referral. After reviewing the request, any Board member may direct the department or agency to prepare a transmittal to agendize the referral on the next available Board or Committee meeting. The Board may make the decision to adjust the scope of the referral or determine the priority of the referral compared to other pending referrals.

The Policy also states that the "Board Referral Matrix" will be used to keep the Board updated on the status and progress of pending referrals. While not explicitly defined in the Board Policy, the Office of the County Executive (CEO) and Office of Budget and Analysis (OBA), housed within the CEO, manage the process for assigning and tracking referrals. In addition to managing the process, the CEO often leads in responding to individual referral requests.

In 2018, the County Executive and County Budget Director issued a memo that further detailed the process for assigning and managing referrals, as well as defining OBA's role in the process. Beginning in March 2018, OBA, in consultation with the County Executive, implemented a practice of assigning an executive employee (most typically a Deputy County Executive or executive leader of a department) to coordinate referral responses and provide status updates. The memo reaffirmed that report backs on referrals are due 45 days from the date of the initial referral request if not otherwise specified. The Agenda Review Administrator, who is responsible for coordinating the Board Referral Matrix, must update the Matrix with the due dates for referrals and includes updated due dates if an extension is granted.

The memo further states that the referral Matrix is "maintained by County Agency/ Departments and coordinated by OBA," and that the Matrix is included in the agenda for the first Board meeting each month. The memo clarifies that the Matrix only includes updates on information requests coming from the full Board and that any requests that come from one of the five Board Policy Committees is tracked separately on each Board Policy Committee's workplan. This has resulted in six different documents for tracking Board-related referrals: the Board Referral Matrix, which tracks referrals made by the full Board, and then the five separate Board Committee workplans.

Around the time the CEO issued this memo, the Office also created the Inventory and Referral Item Strike Team (IRIS). IRIS assists with assigning and communicating with the CEO and departmental staff who are the primary contacts for each referral. The IRIS Team lead, an OBA staff member, serves as the coordinator for referral assignments. This role entails reviewing the list of Board referrals on the agenda in advance of Board meetings; initiating contact with the relevant departments whose input will likely be necessary to respond to the referral; and facilitating the IRIS Team meetings prior to Board meetings to hold an initial discussion of the proposed referrals and assignments. Ultimately, the County Executive determines the primary point of contact for a referral, and the IRIS Team lead is responsible for communicating with departments once the contact is confirmed and the referral is approved. The IRIS Lead communicates with the Agenda Review Administrator about the Board Referral Matrix to ensure that assignments are consistent.

However, while the Board Policy, March 2018 memo, and IRIS internal procedures offer general guidance around the referral process, these documents do not fully define the different types of referrals that the Board may request. These guidelines also do not offer a mechanism for prioritizing referrals prior to an extension request, which can lead to strains on staff, delays in referral report backs, and unresponsive reports. These issues are amplified by the rapid increase in the volume of referrals over the past five fiscal years.

Significant Increases in the Volume of Board Referrals from FY 2017–18 to FY 2021–22

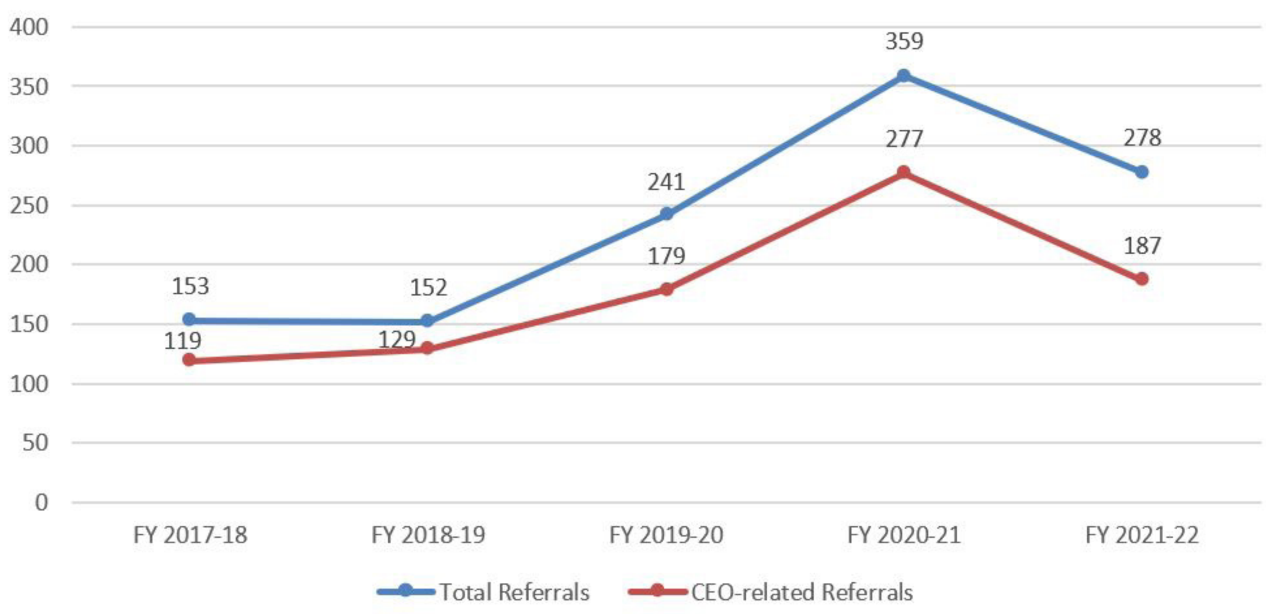
The number of referrals requested by the Board and directed to the CEO, in whole or part, have increased 57.14% from 119 in FY 2017–18 to 187 in FY 2021–22.[7] However, the number peaked in FY 2020–21 at 277 referrals, likely driven by the County's response to the COVID-19 pandemic. This mirrors but is slightly less of an

7 OBA provided auditors with three different datasets for the Board Referral Matrix: (1) all Board referrals from FY 2017–18 through FY 2021–22; (2) all Board referrals where the CEO was the responding department or played an integral role in the referral response for FY 2017–18 through January of FY 2021–22 (provided in April 2022 as a response to auditors' initial request for information); and, (3) updated FY 2021–22 data to capture all Board referrals where the CEO was the responding department or played an integral role in the referral response for the entire fiscal year (provided in August 2022).

OBA created the second and third datasets by filtering for referrals where the CEO was either the primary respondent or where OBA reported that the CEO played an integral role in responding to the referrals. To verify these counts, auditors requested the filters applied to determine the CEO-directed referrals, but the Office did not provide these filters. As such, auditors analyzed the provided datasets at face value.

increase than the number of referrals directed by the Board to all departments, which increased 81.70% from 153 in FY 2017–18 to 278 in FY 2021–22. Figure 2.1 below charts this increase for both referrals directed to the CEO and referrals directed to all departments.

Figure 2.1: *Referrals directed by the Full Board - FY 2017–18 through FY 2021–22*



Source: Office of Budget and Analysis, Board Referral Matrix

Over this five-year period, the CEO was assigned—either whole or in part—75.32% (891 out of 1,183) of the total referrals assigned by the full Board. This does not include the referrals that were assigned through the five Board Policy Committees because these referrals are tracked separately through the Committee workplans. The workplans do not have a complete archive for previously assigned and completed referrals by assigned date, which prevented us from determining a complete universe of total referrals both made by the Board and the Board Committees.

A review of the August-September 2022 workplans for each Committee showed approximately 28 referrals or report-back requests that were scheduled or pending as of the end of September 2022. However, the workplans for each committee are organized differently, and referral requests are not always denoted separately from other recurring or alternate reporting assignments. Consequently, we were forced to make an informed judgement on which Committee reports arose of referral requests.

The lack of one comprehensive tracking log of all referrals impedes CEO staff, the Board of Supervisors, and the public from easily determining how many total referrals are outstanding at a given point and what topics they cover. This may result in the Board and Policy Committees assigning referrals exceeding a volume that the CEO and other County departments can feasibly complete within a 45-day timeframe. Further, without a single reference, multiple parties may create duplicative referral requests.

To note, the data in our analysis differs from the analysis presented to the Board of Supervisors in the January 17, 2023 CEO report to the Board on referrals. Our analysis relied on the referrals tracked through the referral matrix, maintained by OBA within the CEO. This matrix does not include all informal requests for information—a voluminous category of overall referrals, according to the CEO report.

To develop this report, CEO staff manually reviewed meeting minutes and logged both formal referrals and informal/offshoot information requests, the latter of which accounted for a much larger number of referrals/requests in their analysis.[8] The CEO report sought to highlight the complexity of referrals and information requests, which often do not arise from the formal referral portion of Board meeting agendas and are not comprehensively tracked. Ultimately, both sets of data show a similar trend; however, our analysis found that referrals peaked in FY 2020–21, and dipped in FY 2021–22. Overall, there was an increase in referrals between FY 2017–18 and FY 2021–22. The volume of informal information requests discovered through this manual review demonstrates the need for a single, comprehensive log of all referrals: formal, informal, and requests made via Board Policy Committees.

The Management Audit Division recommends that the CEO create one universal Board Referral Matrix that tracks all referrals made and the topics of these referrals to increase transparency into the number and type of referrals pending. This matrix would provide a more comprehensive archive of completed referrals, including referrals from Board Policy Committees and requests made outside the formal referrals process.

Multiple Referrals Exhibit Reporting Delays and Result in Additional Requests due to Broad Topics or Unresponsive Initial Report Backs

To better understand referral topics, assignments, and timelines, the Management Audit Division reviewed a random sample of 50 referrals from FY 2021–22 where the CEO was designated as the lead respondent—either solely or jointly with other County departments or agencies. Of the 50 referrals reviewed, a Deputy County Executive (DCE) or the Chief Operating Officer was assigned as the point of contact (individually or jointly) for 28 of the referrals (56%).

Referrals Frequently Exceed the 45-Day Report Back Requirement without Formal Extensions

As described above, Board Policy 3.28 requires that when a due date for a referral is not assigned, the responding County Department or Agency must report back within 45 days of the referral date, or the next Board or Committee meeting. The department or agency must request an extension if they cannot meet the deadline.

8 The CEO's January 17, 2023 report looks at the number of referrals and information requests from 2010, 2013, 2016, 2019, and 2022. Staff reviewed Board-approved meeting minutes to tally four types of referrals/requests: (1) referrals that were posted to the Board agenda, (2) items held to a future meeting by a Board member without additional direction or request, (3) informal referrals or requests made as part of motions during items discussed on the Board agenda, and (4) informal referrals or requests made as part of Consent Calendar approval. If the report was directed to the Board and a Policy Committee, it would count as two referrals. If the request was for a quarterly report, CEO staff counted this as one request. In our analysis of OBA's referral matrix, it is possible that our summary statistics represent an undercount of total referrals if multiple requests were collapsed under one line item on the matrix.

Of the 50 referrals reviewed from FY 2021–22, 30 referrals (60%) had an associated turnaround time of 45 days or less—either through an explicit due date discussed at a Board meeting or through a "date uncertain" status (meaning no report back date was assigned during Board discussion, triggering a default turnaround time of 45 days, per Board Policy). Additionally, 14 referrals were requested with a report back after the 45-day period. The remaining six referrals had a report back date that was associated with another timeline, such as the budget process, ongoing reporting, or a contract timeline.

As of our October 2022 review, 40 of the 50 referrals from FY 2021–22 were marked as completed in the Board Referral Matrix. On average, it took 64 days for these 40 referrals to be completed. This average is almost 20 days longer than what the Board Policy provides in its 45-day report back window. Of the 30 identified referrals with a 45-day timeline, 11 (36.67%) were completed or set to be completed beyond the required timeline. The Matrix did not indicate that any of the referrals in the sample were associated with an extension. However, it is possible that an extension was requested (formally or informally) but not communicated to appropriately update the referral's status in the Matrix.[9]

Responding to referral requests within 45 days can be challenging depending on the complexity of the information request, the number of departments and/or agencies involved in the request, and the availability of data and existing information on a topic. In addition, there is also a process of internal review and revision of the report within the CEO, as well as a deadline to post reports to Board agendas, which makes the effective worktime for these referrals even shorter than 45 days. For the 12 referrals we reviewed that were assigned an explicit report-back date *earlier* than 45 days, the responding departments had an average of 24 days to respond (just over three weeks). Factoring in time for internal quality control, respondents may have only one to two weeks for data collection, analysis, and writing.

Agenda Items that Lack Key Information Contribute to Offshoot Referrals

Of the 50 referrals reviewed in the sample, 29 (58%) originated through the formal "Referral" requests portion of the Board's agenda, while 21 (42%) referral requests were based on another agenda item or report. This substantial volume of our sample's agenda item-driven referrals is consistent with the presentation and discussion between the CEO and the Board of Supervisors on January 17, 2023, indicating that verbal requests as a part of regular Board agenda item discussions have been a significant driver of referral increases in recent years. There is no Board or administrative policy that governs the components or quality of agenda items, which may contribute to Board requests for further information.

9 When reviewing all 187 referrals involving the CEO in FY 2021–22, only one of the referrals in the Matrix denoted an extension, and this was for a referral that had been assigned a due date by the Board that the CEO was unable to meet. When reviewing all referrals from FY 2017–18 through FY 2021–22, there were only four referrals that mentioned requesting an extension to receive additional time to prepare the report. This scarce number of recorded extensions may indicate poor communication and/or recordkeeping around these extensions, despite the requirements outlined in the CEO and OBA's March 2018 memo.

The agenda item template is extremely broad and consists of the following fields:

- Committee recommendations
- Fiscal implications
- Contract history
- Reasons for recommendation
- Child and senior impact
- Sustainability implications
- Background
- Consequences of negative action
- Steps following approval.

As of February 2023, the template does not include any requirement to present alternatives, costs, timelines, or other factors for the Board to consider. Rather, this document is oriented around obtaining approval of the item as presented. For example, while the template includes a heading for “fiscal implications,” there is no requirement that a cost estimate, estimates of potential alternatives, or any funding sources (or lack thereof) be provided for the proposal. Rather, the County’s 2015 written guidelines for Board and Committee report writing stress the need to describe the “fiscal impact” of only the recommended action on various funds or the need for budget modifications.

To illustrate the inadequacy of this general template, the Board received a report at an October 2021 meeting discussing estimated costs for a gun buyback program. Supervisor Lee subsequently directed the CEO to report back on potential funding sources for an additional $50,000 to support the program. Requiring funding source information from the outset in Board and Committee reports would have eliminated the need for this offshoot referral.

At the January 2023 Board meeting discussing referrals, participants spoke about how Board inquiries regarding agendized reports are met with varying levels of responsiveness from County staff prior to being heard. Creating more stringent information and datapoint guidelines for Board and Committee reports and declining to hear agenda items lacking required components might decrease the high number of verbal referrals made during item discussions.

Multiple Referrals are on the same Topic and may Partially be Driven by Incomplete Initial Responses

In auditors’ sample of 50 referrals, we identified 12 responses to referrals that resulted in an additional referral request. For certain referrals, a degree of additional follow-up may be reasonable given the complexity of some initiatives, such as developing plans for the County to facilitate provision of affordable internet to under-served communities. However, offshoot referrals can generate significant additional work. These additional referrals also suggest the need for more robust preliminary scoping or prioritization to better inform staff responses to referrals, as well as the need for more complete information in the initial referral response.

Topics covered by referrals can be of a similar nature. Of the 50 referrals in the sample, seven were on topics related to one another. Three of these related referrals addressed the topic of affordable Ethernet-based broadband internet; two of the referrals addressed COVID-19 reimbursement from federal and state funding sources; and two referrals addressed questions around County jail reform efforts.

Jail reform, a topic that two of the referrals in the sample touch on, is an example of how referrals can generate additional information requests and extend beyond a 45-day turnaround. On November 16, 2021, the CEO presented the Framework for the County's Justice-Involved Clients ("jail framework"), which included the consolidation of ten related referrals that began with an initial series of requests on November 17, 2020 and accumulated additional requests through November 4, 2021. This report addresses complex questions around building a jail replacement facility, including assessing the behavioral health needs of the inmate population, developing a continuum of care for those involved in the justice system, conducting cost benefit analysis of various approaches, and engaging with the community for its input. For major policy decisions like building a new facility, Board members must receive sufficient information to take informed action.

Mirroring the sparse requirements around agenda items, there are no guidelines around the referral process that define how to comprehensively scope and respond to wide-ranging information requests with numerous components. Further, neither Board Policy 3.28 nor the CEO's referral procedure documents list minimum data-points and considerations required of referral responses such as financial metrics and budget estimates, target populations, equity implications, and the scope of proposed services. The absence of such requirements raises the likelihood of CEO and other County department responses that gloss over certain aspects of Board referrals—particularly those associated with multi-pronged requests.

For instance, two of the ten consolidated jail reform referrals requested a cost-benefit analysis of a new jail versus a mental health treatment facility. However, the CEO's jail framework report only covers estimated costs without any discussion of benefits and a comparison of trade-offs (see Figure 2.2 on page 31). As discussed in the Management Audit Division's January 2022 memo on this report, CEO staff reported that this analysis was intended only to be "informational" rather than serving as a basis for selecting one facility type over another. Yet, the November 2020 referral from former Supervisor Cortese explicitly asks for a "comparative" analysis of building a mental health center "rather than" the replacement jail facility (Figure 2.2 on page 31). Further, the requested cost component was incomplete within the jail framework report, as it did not explore staffing costs per the November 2020 request.

Figure 2.2: ***Justice-Related Referrals and Chart from Jail Framework Report***

Board Date	Referral
Nov 17, 2020	At the request of former Supervisor Cortese, the Board directed Administration by September 2021 to conduct a comparative cost-benefit analysis exploring the short- and long-term costs associated with building a licensed mental health treatment center facility that houses and treats individuals in County custody rather than the replacement jail facility the Board had previously approved, factoring in cost per bed and staffing costs associated with the classification of the treatment center as a licensed facility.
Jan 26, 2021	At the request of Supervisor Lee, the Board directed that a report be provided to the Board on a date uncertain relating to a cost-benefit analysis of building a licensed mental health treatment center

Type	# Beds	Cost per Sq Ft	Cost per Bed
1. Main Jail South	535	$1,257	$590,423
2. Behavioral Health Detention Facility 1	465	$1,360	$813,008
3. Behavioral Health Detention Facility 2	394	$1,380	$967,069
4. Correctional Treatment Center	457	$1,393	$866,868

Source: CEO Jail Framework Report dated November 16, 2021.

Given the complexity of the other information requests associated with these consolidated jail referrals, including multiple assessments of the inmate population, providing options for a needs assessment study and County correctional system master plan, assessing County efforts to reduce the inmate population, and community stakeholder engagement session results, it is difficult to conceive how all components may have been comprehensively addressed within a single, responsive report. As such, additional guidance around structuring, scoping, and minimum requirements of report backs to Board requests may lead to more informative responses.

Auditors also identified unresponsive reports from the CEO that led the Board to request additional information. For example, during a Board meeting on August 16, 2022, the Board deferred a report from the CEO related to financial resources for expanding behavioral health system capacity due to insufficient information. The Board requested revising the report with additional information on options to dedicate and grow the pool of workforce and facility funds, as initially directed in the Board's June 2022 referral. Unresponsive agenda reports and referral responses hinder the Board's ability to direct County policy and diminishes the efficiency of referrals management. The January 2023 meeting regarding Board referrals similarly addressed concerns of referrals being unresponsive to initial requests and the need to ensure that a referral is answering the questions posed.

In order to develop reports that are more responsive to Board requests, as well as provide Board members with pertinent information up front so that fewer subsequent referral requests are required, the Management Audit Division recommends that the Board of Supervisors develop a set of criteria that authors of agenda items and referral responses will consider and include as appropriate. These criteria should be incorporated into Board Policy 3.28, and items should not be agendized and heard by the Board unless these criteria are met. These criteria should be used as the basis for agenda-item templates.

While topics of referral vary widely, key information regarding project scope and costs, staff capacity, alternatives, equity implications, community and stakeholder engagement, and goals and baseline metrics are examples of the types of information required by the Board of Supervisors to make informed decisions. For example, in the Management Audit Division's June 2020 audit of the Facilities and Fleet Department's Capital Programs Division, we recommended that the Capital Program Division include certain key information in its initial project proposals, reports, updates, and budget augmentation requests to the Board of Supervisors. Requiring key data-points at the outset may reduce the prevalence of offshoot requests for information.

In addition, the Management Audit Division recommends that the CEO tracks the topics of referrals in the Board Referral Matrix (e.g., COVID relief funding, jail reforms, etc.) to better inform CEO staff, the Board, and the public on which referral topics are currently being addressed and those that have been addressed over time. Tracking the topics of referrals will ideally help identify how to better streamline and structure information sharing on issues where referrals are frequently requested. This tracking will also allow referral stakeholders to easily reference previous reports on the same topic when responding to new referrals.

Revising and Better Defining Referral Policy and Processes

Multiple staff within the CEO reported spending significant time writing and responding to referrals—in some cases, 50 percent or more of their time. Other jurisdictions provide extensive guidance around defining referrals and assessing workload that the County might use as a model to manage these requests more efficiently. For example, the City of San Jose's referral policy defines different types of referrals (see Attachment F on page 155 for full policy). There is the "Council Referral," which is a policy referral or major study that may require more complex analysis, budget resources, potential amendments to municipal code, or over 40 hours of staff time. These referrals are formally considered by the Council Rules Committee. If the request is a "major study," the Committee must review a set of criteria regarding the study, including the informational value of the study, staff time involved, parameters of the study, estimated cost, and general feasibility prior to approving the request. Finally, there are "Requests for Information," which are formal or informal requests for existing information, which the City Manager and their staff review and determine if a Council Referral may be required.

A second component of the San Jose policy is a "Workload Assessment Report." This report is developed by staff in response to a Council Referral that outlines the "policy issues, workload impacts, cost implications" involved with responding to a referral. The Committee may review this report before taking action on a referral and determining whether to assign, drop, or defer the referral request. Implementing a workload assessment prior to approving a referral can help scope out the referral to better refine expectations.

Lastly, San Jose's referral policy contains mechanisms for prioritizing referrals and revisiting these priority levels as workload and staffing levels change. The City of San Jose has an option within its referral policy that allows the City Manager or other Council Appointee, at their discretion, to indicate to the Council that any outstanding referral or information requests represent a workload that is large enough to disrupt on-going work. In these cases, the City Manager or designee can propose a priority order of outstanding referrals and indicate those that are being deferred due to workload interruptions. The Committee may then determine if re-prioritizing referrals is required, whether to delete any referrals, a need to change the scope of referrals, or whether revised completion dates are necessary. The County's Board Referral Policy allows for examining prioritization when there is a extension requested, as described in the March 2018 memo by the County Executive and County Budget Director. However, creating additional opportunities to reassess prioritization outside of the extension process can also help the CEO with workload demands.

Other jurisdictions also choose to define different categories of referral and information requests and describe distinct response processes. Auditors issued a peer survey to 12 jurisdictions this audit, to which we received eight responses (see Attachment A on page 93 for full survey). Within this survey, Los Angeles County reported that its process for responding to a referral varies depends on the type of information request. The county defines the following referral categories:

1. Board of Supervisors' motions, which are Board directives to their County Exective's Office to report back in writing on an issue. These report deadlines are monitored by the Clerk of the Board and written responses are distributed via email and posted online for public access.

2. Formal Board referrals, which are constituent inquiries that are sometimes referred to their County Executive Office for evaluation and response. Their Office will provide a written response to the constituent and submit a copy of the response under separate cover to the requesting Supervisor.

3. Informal Board requests, which are requests that come from a Supervisor to analyze or respond to specific issue. These are typically responded to in writing via email.

The Management Audit Division reached out to peer jurisdictions for additional information around their referral process, policies, and prioritization procedures. Two counties, Sacramento and San Mateo, responded to our request. Sacramento County reported that their referral/information policy deals primarily with Brown Act and public information sharing guidelines. San Mateo County reported that they do not have a formal policy for responding to Board member information requests or prioritizing these requests. Typically, the County Executive Office assigns the request to a Deputy County Executive, who then works with the appropriate department or individual to obtain information and respond to the request. The result of the request can range from a short informational update to a longer report; holding a study session for Board members; or establishing an ad hoc Board committee to address the policy topic. Board members also often work with the Board President's Office to funnel requests and prioritize topic areas.

In line with the practices of jurisdictions such as Los Angeles County, the Management Audit Division recommends the Board of Supervisors update its referral policy to define different categories of referrals that are requested by the Board of Supervisors. These categories may include more routine information requests to complex policy analyses or major studies. The policy should also be revised to define the parameters for how to successfully scope and report back to the Board on these referral requests (particularly for more complex referrals that may require budget augmentations, new policy initiatives, etc.). This may include a preliminary workload assessment and an estimate of how the referral response will impact other ongoing work. The Board should also update the referral policy to include processes for reviewing current pending referrals and initiating requests to consider reprioritizing, deleting, or deferring referrals as needed.

CONCLUSION

The County's Board Referral Policy provides broad guidance on the expectations around completing Board referrals. The CEO has added additional structure and processes to assist with referrals tracking and management, but a large increase in the volume of referrals over the past five fiscal years and incomplete tracking of referrals, accompanied by a system with few opportunities to reprioritize referrals, has resulted in delays in meeting the report back timelines, referrals that are duplicative, report backs that are unresponsive to the initial request, and CEO staff who spend a significant amount of time managing and responding to these referrals. Further, both agendized reports (including measures that the Board will vote on) and referral responses sometimes lack key information at the outset, and the County does not have extensive guidelines around minimum requirements for either. This may lead to offshoot referrals that add to the workload of the CEO and other County departments.

RECOMMENDATIONS

The Board of Supervisors should:

2.1 Update its referral policy to define different categories of referrals that are requested by the Board of Supervisors. These categories may include more routine information requests to complex policy analyses or major studies. The policy should also be revised to define the parameters for how to successfully scope and report back to the Board on these referral requests. This process may include a preliminary workload assessment and an estimate of how the referral response will impact other ongoing work. (Priority 2)

2.2 Update the referral policy to include processes for reviewing current pending referrals and initiating requests to consider reprioritizing, deleting, or deferring referrals as needed. (Priority 2)

2.3 Modify Board policy, the agenda item template, and associated published guidance on report writing to establish minimum criteria for agenda items and referral responses to the Board. This information may include, but is not limited to, discussions of proposed scope and estimated costs (as distinct from "fiscal impact,") alternatives, staff capacity, equity impacts, community engagement, and goals and baseline metrics. Agenda items and referral responses should not be heard or received by the Board unless these minimum requirements are met. (Priority 2)

The Office of the County Executive should:

2.4 Develop a universal referral matrix that includes referrals made through both the full Board of Supervisors and through the Board's Policy Committees. The matrix should also archive completed referrals from both sources and be updated with referral extensions and other changes. (Priority 2)

2.5 Track the topic of each referral within the Board Referral Matrix in order to collect information on similarly requested topics to help inform County staff, the Board, and the public on which referral topics are currently being addressed and the topics that have been addressed over time. (Priority 2)

SAVINGS, BENEFITS, AND COSTS

A revised referral policy, along with the provision of key information, will help increase efficiency by providing the CEO and County staff additional guidance around how to develop and prioritize referrals while benefiting the Board by leading to potentially fewer referrals and referrals that are more responsive to Board requests. Improved referrals tracking will help increase transparency into the referral process for both the Board and public and may prevent the assignment of more referrals that can be feasibly completed at any given point. There will be initial, one-time costs from staff time to develop an updated Board policy and implement new tracking processes. There will also be ongoing staff time associated with creating workload assessments, reprioritizing referrals, and maintaining the more complete Board Referral Matrix. However, this additional staff time will ideally result in a Board Referral system that is more streamlined and address some of the current workload challenges associated with the referral response process.

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Section 3: Central Management of Office Work Processes

Background
The Office of the County Executive's (CEO) Administration Division (Administration) manages a range of human resources, financial, and logistical functions. It oversees hiring, works with the Office of Budget and Analysis to develop the CEO's annual budget, processes payments to and from the CEO, and works with CEO divisions on contracting and grants. The Division also manages the CEO's physical campus (e.g., preparing workstations for new hires). CEO Administration's cross-division work positions it well to centralize operations that occur across the CEO's 41 other units.

Problem, Cause, and Adverse Effect
CEO Administration lacks protocols to efficiently oversee and centralize the operations of the CEO's divisions. When auditors requested documents such as CEO contracts and policies and procedures, Administration had to survey each division and collect this information over a period exceeding one month. The Office does not require divisions to report performance objectives, and only nine divisions shared measurable goals for their unit with the audit team. This limits the ability of executive leaders to assess division performance. Separately, a lack of onboarding guidance has led divisions to create their own, sometimes overlapping orientation documents. A lack of centralization channels has also caused recordkeeping gaps. Administration has no record of CEO approval for at least 19 social media accounts operated by nine divisions, and contracts from several divisions were excluded from Administration's central contracts list, as discussed in Section 4, starting on page 47 of this audit report. These gaps limit the effectiveness of risk management protocols embedded into County policy and Administration's oversight responsibilities. Further, Administration can improve its approach to emergency operations. The CEO has no document to re-integrate CEO staff who have been deployed as Disaster Service Workers, and there is no log of updates to the CEO's Continuity of Operations Plan (COOP).

Recommendations
Administration should require CEO divisions to record objectives and key results through the Office's existing Measures of Success template, which should then be discussed annually with executive leadership. Administration should also create an Office-wide onboarding manual and formal channels (e.g., a monthly check-in email) for CEO divisions to verify that centralized logs of contracts and social media accounts are accurate. Lastly, Administration should develop a procedure for re-integrating Disaster Service Workers and create a change log of COOP updates.

Savings, Benefits, and Costs
Standardizing procedures for goal-setting, onboarding, and returning from temporary assignments can improve implementation of Board policy priorities and ensure divisions are completing essential components of these processes. Through central reporting channels for contracts and social media, the CEO can reduce risks of noncompliance with County policies. Although centralizing these processes may require staff time initially, these actions will facilitate more efficient oversight in the future.

FINDING

Role of the Office of the County Executive's Administration Division

To meet the Office of the County Executive's (CEO) operational needs, the Office's Administration Division (Administration) manages a range of human resources (HR), financial, and logistical functions. It oversees CEO hiring, works with the Office of Budget and Analysis on developing the CEO's annual budget, processes payments to and from the CEO, and works with CEO divisions on contracting and grants. Administration also manages logistics for the Office's physical campus (e.g., preparing workstations for new hires). Until the last half of Fiscal Year (FY) 2022–23, Administration oversaw the CEO's preparation of legislative files for the Board of Supervisors. Administration's cross-division work positions it well to centralize operations that occur across the CEO's 41 other units.[10]

Lack of Protocols to Consolidate and Oversee CEO Division Operations

The CEO's functions are wide-ranging; consequently, the Office's divisions have a tendency to operate in silos. While Administration is positioned to serve as a central hub for these operations, it lacks protocols to consolidate various division processes for more efficient oversight. For example, in March 2022, auditors submitted a document request covering materials such as policies and procedures, contracts, and strategic plans. In preparing its response, the Administration Division had to survey each individual CEO division and collect this information over a period exceeding one month. In total, the Administration Division ultimately provided hundreds of records. CEO policies and procedures alone comprised 25 different subfolders from different Office divisions, some of which contained up to 30 documents each.

The following sections describe negative outcomes in specific areas where the Office lacks centralization protocols. First, in the absence of a requirement for division goal setting, senior Office executives cannot efficiently determine the degree to which divisions are achieving County objectives. Second, Administration lacks a policy manual for onboarding, resulting in duplicative efforts by divisions to create their own documents without a central quality control mechanism. Finally, auditors identified gaps in central record-keeping for items such as County contracts and social media accounts, which hinders the ability of Administration to verify CEO division compliance with County policies.

Goals and Performance Metrics

Although the Office encourages divisions to record annual goals, this practice is not required, and few divisions report doing so. In response to the Management Audit Division's request for information, only nine divisions shared measurable objectives for their units.[11] Formats for these objectives ranged, as did methods for documenting corresponding performance, as shown in Figure 3.1 on page 39. More than half of CEO divisions (27) did not report any goals or metrics, although it should be noted

10 According to the CEO, the Office has 42 "divisions, offices and units," including Administration. This total, reflected in the CEO's organization chart in the County's FY 2022–23 budget, includes multiple units that are included in other umbrella units such as the Division of Equity and Social Justice, Office of Risk Management, and the Learning Organization.

11 In addition to these eight divisions, Administration provided a Measures of Success document covering divisions across the CEO. Administration also referenced goals for three programs managed by its Programs Unit: the Government Fellowship Program, the Fireworks Grant Sponsorship Program, and the Countywide Student Work Study Program.

that four of these divisions are associated with one or more "measures of success" in the Office's FY 2022–23 Measures of Success document. This document describes nine objectives pertaining to various CEO divisions, the status of these objectives, frequency of data collection and the reporting period for these measures of success, and outcomes (see Attachment G on page 159 for an example from FY 2022–23). Five divisions provided metrics but did not identify goals or targets for these data-points.

Figure 3.1: *Selection of Division Responses to Request for Goals and Performance Metrics*

Division	Goals	Corresponding Performance Tracking
Office of Sustainability	Publicly accessible online data dashboard, with specific targets	Online dashboard showing progress toward established targets
Jail Reforms	Recommendations developed by an independent commission established by the Board of Supervisors	Semi-annual updates to Board of Supervisors on completion of commission's recommendations
Workers Compensation Division	Microsoft Word document listing four goals	Two Microsoft Excel spreadsheets
Integrated Pest Management	Microsoft Word document referencing various goals and metrics	A) Charts in the Office of Sustainability's online dashboard; B) TreePlotter interactive website
Office of Emergency Management	94-page Strategic Visioning Plan, which includes performance goals	Updates provided by sections in biweekly status updates to OEM leadership
Office of Countywide Contracting Management	A Measures of Success report on three department goals for the past fiscal year[12]	"Outcome/Results" section for each goal
Office of Supportive Housing	Two Measures of Success related to housing that are part of the nine Measures of Success for the CEO as a whole	"Outcome/Results" section for each goal
Information Security Office	A national framework for improving cybersecurity	The framework lists specific actions; the CEO did not provide tracking of such actions.
Office of Mediation and Ombuds Services	Two Measures of Success related to service delivery processes	The Measures of Success format includes an "Outcome/Results" section; the CEO did not provide this portion of these Measures of Success

Source: Management Audit summary of CEO division responses to Management Audit Division's Request for Information

12 The Measures of Success provided by OCCM were for the Procurement Department. Although they are separate entities, both report to the Chief Procurement Officer, and these goals, such as increasing the number of competitively awarded contracts, relate to the work of both units. OCCM did not provide additional goals specific to OCCM.

Given that a straightforward template for concisely recording goals and outcomes already exists within the CEO's Measures of Success document (each Measure of Success fits on about one typed page, and these measures can be used to both establish new goals and report annual progress on ongoing ones), the Management Audit Division recommends that Administration require all CEO Office divisions to record annual objectives and report their corresponding performance through the Measures of Success template. CEO Administration should maintain a record of these documents, and the Office should require division heads to discuss them annually with the County Executive, Chief Operating Officer, or the Chief Operating Officer's designee. Requiring every division to record goals in this format would provide a consistent framework for executive leaders and division leaders to discuss measurable division objectives, strategies, and results throughout the CEO.

Office Onboarding Materials

In FY 2021–22, 277 employees joined the Office of the County Executive, either as new hires, re-hires, or transfers from other County departments, according to reports from the Employee Services Agency's data team. Prior to a CEO employee's first day, Administration's HR Unit sends the new hire several administrative documents, including verification of eligibility to work in the U.S., tax documents, direct deposit paperwork and retirement savings forms. Administration's Facilities and Logistics Unit also sets up the employee's workstation and email access. After the new employee starts, the HR Unit sends them information about the County's timekeeping system, and the County's Employee Services Agency provides a benefits orientation. The new employee's particular division is responsible for orienting the employee to office and division procedures.

Administration, despite handling the HR and orientation tasks discussed above, has no standardized office procedures or central onboarding manual for CEO staff. Instead, divisions determine their own procedures in these areas and orient new staff accordingly. The audit team reviewed draft or final onboarding guides prepared by four CEO divisions. These guides include overlapping information, much of which could likely be standardized across the Office through CEO Administration. Each of the following categories of information appear in at least two of these documents:

- payroll procedures
- dress code expectations
- shared space etiquette
- useful websites and other County resources
- working hours
- time off procedures
- teleworking and Covid-19 policies
- room reservations
- office technology
- communication and mail

- trainings for County employees

There are occasional discrepancies across divisions within the same category of guidance. For instance, one division provides a link to an online resource with the County's updated COVID-19 policies, while another division's draft document dedicates a paragraph to COVID-19 policies related to working from home. This latter description states that employees are *permitted* to work remotely if they test positive or experience symptoms, provided that they are well enough to do so, obtain permission from their manager, and are able to perform their work remotely. This draft document does not contain additional information about COVID-19 policies. In contrast, the other division's manual links to a list of County policies, including a memo stating that a County employee is *required* to inform a designated department contact or supervisor if they test positive for COVID-19 or are a close contact of someone who has tested positive, and whether the employee has been or will be working on-site during their infectious period. (The memo also states, among other provisions, that the employee will be required to follow isolation and quarantine rules.)

Onboarding documents also vary in the level of detail they provide within the same category. For instance, one covers shared space etiquette in six bullet points, including two guidelines related to noise: employees should 1) "be respectful of noise levels" and 2) use earbuds while listening to audio. Conversely, another division's draft manual devotes three pages to shared space etiquette, with much more extensive noise limitation requirements. These requests include turning off computer sound effects, taking conference calls from conference rooms, attempting to pick up the phone after one or two rings, setting ringer volume low, and turning ringer volume off when leaving one's cubicle.

Finally, several areas that might be helpful across divisions are missing from some of these guides despite being included in at least one division's document. These include:

- A County organization chart
- Bios of the County Executive and members of the Board of Supervisors
- Destruction of confidential documents
- A directory of acronyms used across the County organization
- A program offering an escort between the Office and an employee's parking space after core business hours

Rather than having divisions develop their own documents covering CEO operations, the Management Audit Division recommends that CEO Administration develop a single onboarding manual. This would provide Administration an opportunity to ensure that useful Office-wide onboarding information is communicated to all new CEO employees. Administration taking ownership of a single onboarding manual would serve an important quality control purpose, eliminating procedural inconsistencies sometimes present in different division onboarding manuals. Further, this centrally developed guide would be more efficient than having multiple divisions develop their own similar products in parallel. Such a process need not preclude CEO divisions from also distributing division-specific onboarding guidance, as the manual could be a document that leaves room for divisions to add their own addendums.

Gaps in Central Recordkeeping – Social Media Platforms and CEO Contracts

Auditors identified gaps in Administration's central recordkeeping, indicating a need for a better information feedback loop between CEO divisions and CEO Administration. For example, for 19 social media accounts belonging to at least nine CEO divisions, Administration has no record of a Social Media Application Business Plan that covers the account, as required by County policy. On May 22, 2014, the County adopted a Social Media Application Policy designed to "balance the risk associated with using social media with the benefits of engaging the public." The policy sought to minimize risks that included "potential legal, security and privacy issues," as well as the prospect of the County being misrepresented. In order to use a social media account for County business, the policy requires departments and agencies to first submit a Social Media Application Business Plan. Plans must be approved by either the County Executive or a designee before divisions can begin using the accounts in question. The policy also lays out rules regarding posted content, requires that departments share login information, and creates a content moderation process, among other provisions.

Administration provided auditors with a Social Media Application Business Plan completed in 2014 by the Office of Public Affairs[13] about the County's primary social media accounts, such as the County's main Facebook page and Twitter account. Administration also furnished three division-specific Social Media Application Business Plans submitted by the Office of Labor Standards Enforcement, the Office of LGBTQ Affairs, and the Office of Women's Policy. However, auditors subsequently identified a total of three social media accounts used by two of these divisions that were missing from the relevant plans provided by Administration. Auditors additionally found 16 social media accounts (five Twitter accounts, six Facebook accounts, three Instagram accounts and two YouTube accounts) used by seven Office divisions for which Administration had not provided Social Media Application Business Plans at all. In total, this represents 19 accounts that are either noncompliant with County policy or are not reflected in Administration's record of CEO division Social Media Application Business Plans.

Additionally, despite having a Contracts Unit within Administration to ensure CEO divisions adhere to County contracting guidelines, Administration's central contracts log was missing multiple CEO agreements (see Section 4, starting on page 47 for more detail on contracts management and oversight). Not having a comprehensive record of Office contracts hinders the ability of Administration's Contracts Unit to oversee the solicitation process and assist with contract execution and amendments.

Auditors recommend that Administration develop formal channels (e.g., a monthly check-in email) for CEO divisions to verify that Administration's centralized logs of contracts and social media accounts are up-to-date and accurate.

Opportunities for Improved Emergency Management and Response Protocols

Auditors also identified opportunities for Administration to improve its emergency management protocols. For instance, Administration has not maintained a record of updates to the Office of the County Executive's Continuity of Operations Plan (COOP), which is designed to ensure the execution of essential County government functions following crises. The Director of Financial and Business Operations, part

13 The Office of Public Affairs predated the Office of Communication and Public Affairs.

of Administration, is responsible for logging COOP updates on a change log that includes summaries of updates, the date of these changes, and the person making the change. In addition to performing a complete review of the COOP every other year, staff update the COOP as needed, and Administration reported that County staff have made multiple updates since the beginning of the COVID-19 pandemic to reflect lessons learned. However, the change log in the version of the COOP provided to auditors is blank, and no other log exists documenting these updates or any prior modifications.

Further, auditors discovered multiple outdated sections in the COOP that listed staff that were no longer with the CEO, despite this document being reportedly reviewed every other year. The Office stated that a near-term work plan includes updating the entire COOP as part of the regular biannual review. The Management Audit Division recommends that Administration maintain a COOP change log to reflect these and any other changes to this document.

Administration also has not developed plans, protocols, or guidelines for the process of CEO staff returning from activation as Disaster Service Workers (DSW). During these assignments, which occur during County emergencies, staff perform roles related to the County's crisis response that are separate from their normal jobs. Dating back to the start of the pandemic, at least 96 staff members from the Office have been activated at various times as DSWs, for assignments that could last over a year in duration. Many of these assignments have been based at new job locations, such as vaccination sites. Multiple CEO staff reported challenges re-integrating into their positions in the Office following the end of their assignments as DSWs, such as a lack of clarity about their current job duties.

Although only five CEO staff remained activated as DSWs as of July 1, 2022, new pandemic developments could require future activations, as could other crises. Executive leaders also reported considering ways to incorporate other forms of temporary assignments into future positions. Certain future job descriptions might, for instance, include the expectation that a CEO employee take on temporary assignments for short-term County projects such as Census data collection. Although these plans remain in a preliminary stage, they strengthen the case for developing protocols for re-integration following temporary assignments, as these protocols would support employees returning from non-emergency activations in addition to those released from DSW assignments. The Management Audit Division recommends that Administration develop a standard protocol for division managers to follow when team members return from temporary work assignments.

Multiple factors may help explain why Administration has not already developed the centralization protocols discussed above. First, the CEO has grown considerably in size and complexity, making it more difficult to create new Office-wide protocols that are workable across all 41 divisions (excluding Administration). This issue is discussed in greater detail in Section 1, starting on page 15 of this audit report. Second, Administration has experienced significant managerial turnover dating back to at least the fall of 2021, with the departure of three permanent or acting Directors of Financial and Business Operations and one Program Manager III. Such turnover can make new initiatives, such as centralizing additional work processes, less likely to occur, as new executives may focus on improving existing workflows before creating new ones. However, the Office can also use the hiring of a new permanent Director of Financial and Business Operations, a position that was filled in an acting capacity in October 2022 and permanently as of February 2023, as an opportunity to initiate the changes recommended in this finding. Further, if Recommendation 1.1 in Section 1, starting on page 15 of this audit report is adopted, CEO Administration may have a much simpler time creating centralized work processes for the Office's core functions if direct service divisions are transferred to other County departments.

CONCLUSION

Though it provides numerous financial and business services to the CEO's 41 other divisions, CEO Administration lacks protocols for division goal-setting, onboarding, and re-integrating staff after temporary assignments. Standardizing goal-setting, onboarding and re-integration would help executive leaders manage implementation of County goals, ensure new hires receive appropriate orientation to their roles, maintain procedural consistency across the Office, and improve clarity for employees returning from temporary assignments such as DSW activation. Separately, Administration has gaps in specific recordkeeping responsibilities pertaining to CEO's use of social media, contracts management, and the Office's COOP. This hinders Administration's ability to ensure that CEO divisions are in compliance with County administrative policies and that the CEO's COOP is up-to-date and accurate.

RECOMMENDATIONS

The Office of the County Executive should:

3.1 Require divisions throughout the Office of the County Executive to record annual objectives and report their corresponding performance through the Measures of Success template. The Administration Division should maintain a record of these documents, and the Office should require division heads to discuss them annually with the Chief Operating Officer or the Chief Operating Officer's designee. (Priority 2)

3.2 Direct the Administration Division to develop an onboarding manual for new Office employees describing standard Office procedures. This document can leave room for divisions within the Office of the County Executive to add their own addendums with division-specific information. (Priority 2)

3.3 Create centralized channels for its divisions to report social media accounts, contracts, and other recordkeeping materials the Office is responsible for to the central Administration Division, such as through a monthly check-in email. (Priority 2)

3.4 Develop a written protocol for reintegrating employees following temporary work assignments, such as activation as a Disaster Service Worker, and maintain a change log for the Office of the County Executive's Continuity of Operations Plan. (Priority 2)

SAVINGS, BENEFITS, AND COSTS

Standardizing procedures for goal-setting, onboarding, and returning from temporary assignments can improve implementation of Board policies and priorities and ensure CEO divisions are completing essential components of these processes. Through central reporting channels for materials the CEO is responsible for, such as social media accounts and contracts maintained by the Office's various divisions, the CEO can reduce risks associated with noncompliance with County policies (e.g., misuse of County-labeled social media platforms or failure to follow appropriate County solicitation and amendment processes).

Although centralizing these processes will require staff capacity during an initial development period, these measures will ultimately allow for more efficient oversight and reduce duplicative administrative work currently performed in parallel by division staff.

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Section 4: Office-Wide Contracts Oversight and Monitoring

Background

The Office of the County Executive's (CEO) Administration Division (Administration) centrally manages contracts and other types of agreements for the Office. Generally, CEO divisions identify their own service needs, prepare scopes of work and vendor evaluation criteria, develop a final agreement and budget, and monitor contract performance. Meanwhile, CEO Administration oversees the solicitation process, contract execution, and preparation of contract amendments. CEO Administration maintains a centralized log of the Office's contracts, grants, revenue agreements, and no-cost memorandums of understanding (MOU).

Problem, Cause, and Adverse Effect

Auditors discovered contracts and no-cost MOUs for multiple CEO divisions that were not included in CEO Administration's central contracts log. When Administration has incomplete contract information, it cannot ensure that these agreements adhere to Board guidelines governing the solicitation and contract execution process. Further, of 113 CEO expenditure agreements managed by Administration, auditors identified eight (7%) that were retroactively approved by the Board of Supervisors or Chief Procurement Officer without a formal agreement initially in place—a "highly disfavored" practice according to County Procurement Administrative Guidelines. These retroactive agreements may be driven, in part, by inaccurate or incomplete contract information. For example, within the Division's contract log, auditors found inaccurate or blank end dates for 14 contracts. Adequate contract monitoring may also be hindered by an imbalanced distribution of contracts amongst CEO staff, with certain staff monitoring as many as 21 agreements. Finally, while the Board Policy Manual mandates documented performance evaluations of contractors, at least 13 CEO Divisions reported that they do not have formal evaluation processes. The Office of County Contracting Management (OCCM) also has no mechanism of centrally recording existing evaluations to assess the viability of these contractors in the future.

Recommendations

Per Recommendation 3.3, on page 44 of this audit report, CEO Administration should regularly confirm that its centralized contracts log is complete and accurate with the Office's various division directors. Administration should develop a documented method of identifying expiring contracts and auditing end dates and amendments using a more comprehensive vendor report from the County's accounting system. The CEO's division managers should track the number of contracts monitored by each staff member to ensure assignments are equitably distributed, as well as create formal evaluation protocols for County contractors. Finally, OCCM should work with County information technology staff to find ways to upload these evaluations into County purchasing systems for future reference.

Savings, Benefits, and Costs

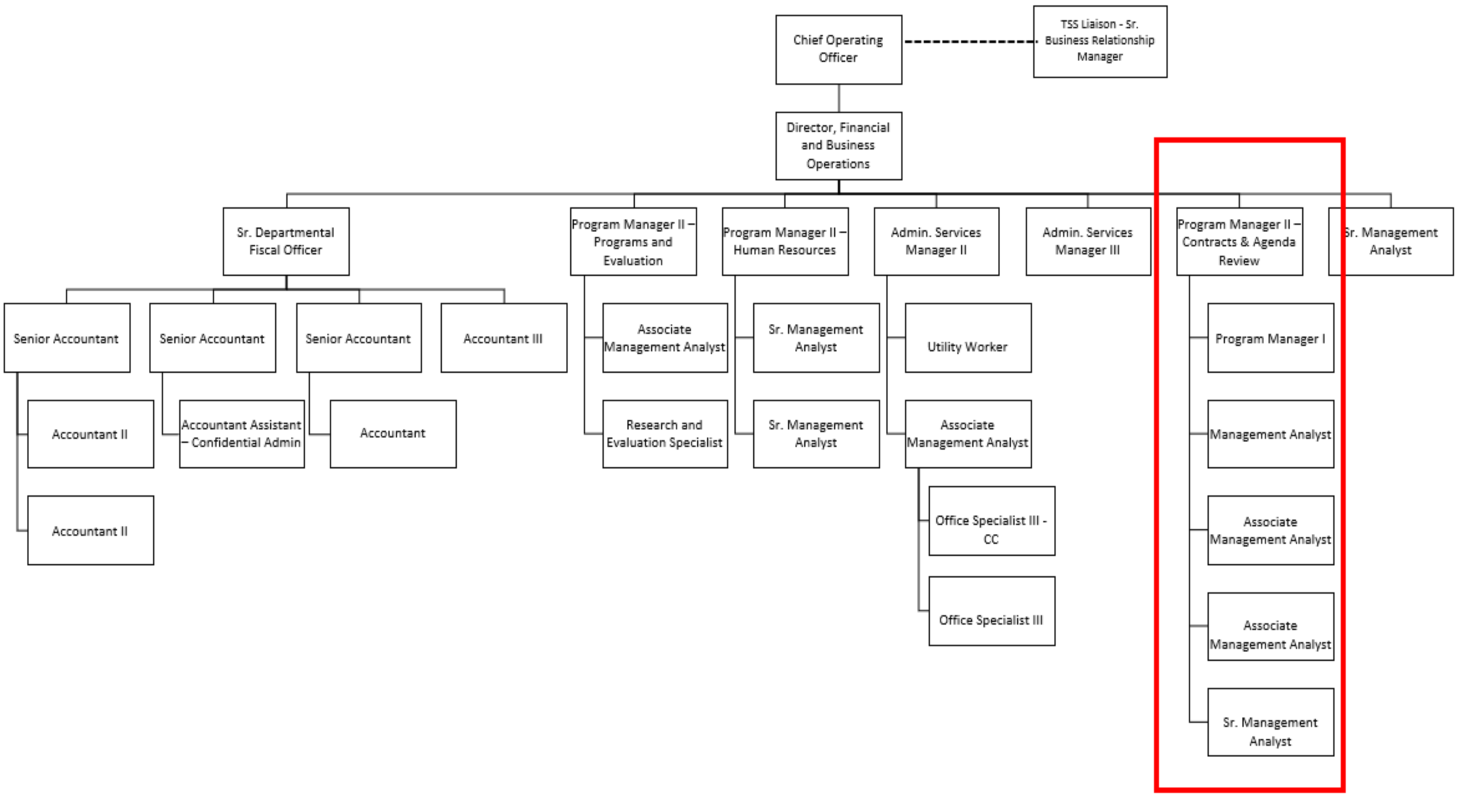
Implementing these measures will allow CEO Administration to have more accurate contract information, facilitating better planning of amendments and extensions and reducing the risk of service lapses. Having a comprehensive list of the CEO's contracts will also help Administration verify that all agreements adhere to County solicitation and contract execution guidelines. Ensuring equitable distribution of contracts among division contracts monitors will allow staff to better track deliverables, and setting standard evaluation protocols will provide reference for future contracting decisions.

FINDING

Management of Contracts within the Office of the County Executive

Within the Office of the County Executive (CEO), a contracts unit within the CEO's Administration Division (Administration) manages the Office's expenditure service agreements, no-cost memorandums of understanding (MOU), revenue agreements, and grants (see Figure 4.1 for the Administration organization chart).

Figure 4.1: *CEO Administration - Contracts Unit*



Source: Management Audit Division-redacted organization chart provided by the CEO.

These various agreements assist CEO divisions in running their day-to-day operations and implementing specific projects and programs in alignment with Board priorities. For instance, the CEO's Office of Reentry Services has a contract with Goodwill of Silicon Valley to provide the following: 1) in-custody job readiness classes, 2) a comprehensive employment program to justice-involved individuals, and 3) a day worker program to provide immediate short-term job placements.

Administration's Contracts Unit is managed by a Program Manager II, who oversees one Program Manager I and four positions in the Management Analyst classification series. Generally, CEO offices and divisions are responsible for identifying their own service needs, completing service request forms, preparing scopes of work and evaluation criteria for vendors, developing the final agreement and budget, and monitoring contract performance. Meanwhile, CEO Administration's Contracts Unit oversees the solicitation process (which involves reviewing the scope of work), contract execution, and preparing contract amendments. Exceptions to this management structure include the CEO's Learning Organization and Office of Supportive Housing, which manage their own contracts. Additionally, for the Office of Gender-Based Violence Prevention and Office of Immigrant Relations, agreements executed before July 2019 (when Administration's Contracts Unit was created) are managed by the County's Social Services Agency.

CEO Administration maintains a centralized log of the Office's service agreements, grants, revenue agreements, and no-cost MOUs. A breakdown of these items is shown in Figure 4.2 below.

Figure 4.2: ***Agreements from Administration's Central Tracking Log as of May 2022***

Agreement Type	Number
Service Agreement	113
Grant	7
Revenue Agreement	8
No-Cost Memorandum of Understanding	9
Total	**137**

Source: Central tracking log provided by CEO Administration

Contracts for the CEO's Division of Equity and Social Justice comprise a substantial portion of these agreements, making up 44 of the Office's 113 service agreements (38.9%), five of the Office's seven grants (71.4%), and five of the Office's nine no-cost MOUs (55.5%).[14]

Gaps and Errors in Administration's Contracts Recordkeeping

Despite CEO Administration reporting that it manages all CEO division and office contracts unless otherwise agreed upon (e.g., the Learning Organization, Office of Supportive Housing, and various Division of Equity and Social Justice offices, as discussed above), auditors identified service agreements and no-cost MOUs for multiple CEO offices and divisions that were not included in Administration's central contracts log. For instance, as part of our auditee information request, auditors received five contracts from CEO's Integrated Pest Management office, as well as five no-cost MOUs from the Office of Immigrant Relations and the Office of Reentry Services that were missing from this central tracking sheet.

When Administration has incomplete contract information or is unaware of the existence of certain service agreements, it cannot verify that all Office contracts adhere to Board guidelines governing the solicitation and contract execution process. This gap in central recordkeeping is not unique to contracts, as Administration also lacks information on social media accounts, division-specific policies and procedures, and other initiatives produced by the CEO's 41[15] other unique offices (an issue discussed in more detail in Section 3, starting on page 37 of this audit report).

14 The Division of Equity and Social Justice also has one revenue agreement with the Santa Clara County Office of Education.
15 The CEO has 42 divisions and offices total, including Administration.

To better ensure that Administration is apprised of all contracts executed by CEO divisions, we recommend that the Office develop monthly central information reporting channels—including for contracts—as described in Recommendation 3.3, on page 44 of this audit.

Having an inaccurate record of CEO agreements can also prevent Administration from adequately planning for contract extensions and amendments. Of the 113 service agreements on CEO Administration's tracking log, auditors found at least eight (7%) that were retroactively approved by the appropriate signing authority, including one contract that was retroactively approved twice within three fiscal years. This means that services were provided to the County without a formally executed agreement initially in place, and that these purchases were approved after-the-fact.

The County's Procurement Administrative Guidelines note that retroactive agreements are "highly disfavored," and that "Departments and agencies should make every effort to avoid retroactive purchases." Without a formally executed agreement, the County has limited recourse if provided goods or services are unsatisfactory, or if the contractor claims misconduct on the part of the County. These same Administrative Guidelines state, "Retroactive purchases are generally avoidable with strong contact management and acquisition planning practices."

The CEO's retroactive approvals may partially be driven by incorrect contract end dates in Administration's records. When comparing end dates in the central contracts log against the original agreements pulled from the County's accounting system, auditors identified at least 13 contract end dates that did not match. One additional entry in Administration's log did not contain an end date at all. Having incorrect or blank contract end dates in its central contracts records prevents Administration from appropriately planning ahead for contract extensions and amendments. Indeed, in a February 2022 justification memo for one of the CEO's retroactively approved contracts, Office staff reported that a self-audit of internal records showed that the end date for this contract had been incorrectly noted. As such, it was not in the CEO's list to renew for contracts ending in January.

This same memo stated that the CEO Administration's Contracts Unit would conduct audits at regular intervals and perform multiple checks to prevent future retroactive agreements. However, when auditors requested copies of these audits, CEO staff stated that no formal reports are produced during these checks. Rather, staff create notes on contracts tracking spreadsheets to correct inaccurate items, and these notes are subsequently deleted once the errors are resolved. Consequently, auditors were unable to confirm the frequency or comprehensiveness of these audits.

The architecture of the County's accounting system further complicates these risk-mitigation measures, even if such checks occur frequently. To check for expiring contracts, Administration pulls reports from SAP, the County's accounting system. However, because this system is not designed around purchasing, there is no way to easily generate a complete report of expiring contracts. Instead, system users can use various date-range criteria to pull reports and then manually filter these reports by inputted contract end dates. When auditors identified a missing contract from the CEO's provided list, Administration responded that they had been using five-year criteria that turned out to exclude multiple active contracts that had been approved in years prior to this range. CEO Administration reported that they would be using an additional vendor report from SAP to conduct more comprehensive self-checks.

Morever, as discussed in the August 2021 Management Audit of the County's Procurement Department, contract expiration dates are often erroneously entered into SAP by users. If a user sets a premature contract end date prior to Administration pulling a contracts report, this contract may not show up as active and be omitted from the report. Additionally, despite being a practice required by the Procurement Department, County staff sometimes neglect to upload all relevant purchasing documents (e.g., the original contract and its complete amendments) into the system, complicating the process of validating information in SAP. Finally, Administration reported that, while SAP sends purchase order expiration alerts for individual contracts, these notifications go directly to contract monitors that may have turned over by the time alerts are issued. CEO staff noted they would work with the Procurement department to update all points of contact to a centralized shared inbox.

To prevent future retroactive agreements or potential service lapses, the Management Audit Division recommends that CEO Administration develop a documented method of identifying expiring contracts and auditing their end dates and amendments. This procedure should describe the frequency and methodology of these audits, including how different SAP reports should be reconciled to reduce the possibility of omitted agreements. The procedure should also designate a position within Administration to be the central point of contact for all SAP contract notifications.

Additionally, if CEO Administration, over the course of these audits, recognizes recurring issues with erroneously inputted contract dates or incomplete documents uploaded into SAP, Administration should work with the Procurement Department to deliver targeted trainings to CEO divisions exhibiting these issues.

Imbalanced Contracts Monitoring Assignments and No Formal Evaluation Process

The Board of Supervisors Policy Manual highlights the importance of monitoring and evaluating County contracts to promote cost-effective use of taxpayer dollars. This Policy Manual section states that, "Agencies/Departments are required to develop performance standards and implement a process that incorporates monitoring, administration and evaluation of contracts." Illustrating the importance of contracts oversight, one CEO-executed contract for historical book writing services resulted in a draft manuscript that was two years behind schedule. The San Jose *Mercury News* then reported that significant portions of this manuscript were plagiarized from sources such as Wikipedia and the History Channel. These discoveries were made after at least $1 million was paid to the vendor for their book writing services. It is possible that more stringent monitoring of this contract and key milestones could have prevented this outcome.

CEO division managers assign monitors to the Office's contracts—often subject-matter experts or business owners of the program or project related to the contract. Despite the history book incident, we found no evidence of systemic, widespread issues with contracts monitoring and deliverables management within the Office. CEO Administration provided examples of various process meeting summaries, check-in agendas, and monthly progress reports gathered from different divisions, although the format and comprehensiveness of these documents varied. In addition, when auditors emailed contracts monitors from multiple divisions with questions about budgets, draw-downs, and deliverables, these staff were able to respond with specificity (e.g., how many sessions were delivered, number of surveys administered, etc.).

The distribution of monitoring assignments amongst Office staff may impede effective oversight of CEO agreements. For instance, on Administration's central tracking log (which may be missing additional agreements, as discussed above), we found that one staff member was assigned over 20 contracts. Although service agreements vary in the number and complexity of their deliverables, it seems unlikely that one staff member would be able to oversee performance metrics for 21 contracts on top of their other job duties, particularly for agreements with multiple amendments. We recommend that the CEO's division managers track the number of contracts monitored by each staff member to ensure assignments are equitably distributed.

In addition to requiring contracts monitoring, the Board Policy Manual also mandates documented performance evaluations for contractors, which may be used by County entities to "evaluate the propriety of entering into contract extensions or future agreements with the same contractor." However, when CEO administration issued a survey to Office divisions about contract evaluation protocols, 13 of 30 or 43% of respondents[16] (eight of whom have active contracts on Administration's central tracking log) reported that no formal protocols exist.

Administration also reported that the CEO does not have documents specifically designed to critique individual vendors' performance to inform their eligibility for future County purchasing. Even for CEO Divisions that furnished evaluation documents, it was difficult for auditors to readily determine from these materials whether vendors ultimately provided quality deliverables in a cooperative and timely manner. Many of these evaluations consisted of progress reports, weekly timecards, or notes that described services rendered; however, they did not provide a final assessment of these services against specific performance standards.

The Management Audit Division recommends that all CEO division managers develop formal evaluation protocols for County contractors. These protocols should include intermittent evaluation processes (for which guidelines already exist on the Office of Countywide Contracting Management's intranet site) and a final evaluation that succinctly measures contractor performance against specific standards as part of the contract close-out process.

Finally, according to the CEO's Office of Countywide Contracting Management, the County has no mechanism to centrally store completed contractor evaluations so that they can be referenced for future purchasing needs, per the Board Policy Manual. Auditors reviewed documents indicating that locating contractor evaluations is an issue for several CEO divisions. For example, an email to Administration showed that a staff member was unable to furnish evaluation documents for a contractor due to the prior contract monitor leaving the County. The County's lack of a central repository diminishes the utility of evaluations and raises the likelihood of the County entering into new agreements or extensions with former contractors that exhibited unsatisfactory performance.

16 Not including responses from the Administration Division.

According to a peer survey distributed for this audit report, central recordkeeping of contractor evaluations is rare, as only one respondent—Orange County—reported having a method for this type of tracking. In their response, Orange County discussed a manual process with an evaluation form that is completed by their procurement department and departmental end user at each renewal term. These forms are stored in Orange County's automated in-house requisition system and are available for countywide reference.

Auditors believe the County could accomplish something similar by having County users upload evaluations by vendor into SAP or other County systems. The Management Audit Division recommends that the Office for Countywide Contracting Management work with County information technology staff to find ways to upload contractor evaluations into County purchasing systems for future reference. If successful, uploading evaluations should be integrated into the countywide contract close-out process and added to the County Procurement Administrative Guidelines.

CONCLUSION

The responsibility for managing CEO contracts is split between individual Office divisions and CEO Administration. While CEO divisions identify their own service needs and prepare scopes of work, vendor evaluation criteria, and the final agreement, CEO Administration oversees the solicitation process, contract execution, and preparation of contract amendments. Administration's Contracts Unit maintains a centralized log of the Office's contracts, grants, revenue agreements, and no-cost MOUs.

However, auditors discovered multiple missing contracts, incorrect contract end dates, and blank fields in this central log. Incomplete and inaccurate agreement information may prevent CEO Administration from centrally managing the contract solicitation and execution process. Further, these gaps impede Administration's planning of contract extensions and amendments, as seen in multiple retroactive agreements for the CEO. While CEO staff reported conducting self-audits and checks of expiring contracts, these measures are complicated by the architecture of the County's accounting system, which cannot readily generate comprehensive reports of expiring contracts.

In potential noncompliance with Board Policy Manual requirements, at least 13 CEO divisions also do not have formal procedures for evaluating contractors, and the distribution of contracts monitoring responsibilities throughout the Office is imbalanced. These conditions raise the risk of the County failing to receive satisfactory contract deliverables, as was the case with the CEO's history book agreement in 2022. Finally, the County has no central, readily accessible repository for evaluations, reducing the future utility of these documents.

RECOMMENDATIONS

The Office of the County Executive (CEO) should:

4.1 To prevent future retroactive agreements or potential service lapses, direct its Administration Division to develop a documented method of identifying expiring contracts and auditing their end dates and amendments. This procedure should describe the frequency and methodology of these audits, including how different SAP reports should be reconciled to reduce the possibility of omitted agreements. The procedure should also designate a position within the Administration Division to be the central point of contact for all SAP contract notifications. (Priority 2)

4.2 Direct all Office division managers to develop formal evaluation protocols for County contractors. These protocols should include intermittent evaluation processes and a final evaluation that succinctly measures contractor performance against specific standards as part of the contract close-out process. (Priority 2)

4.3 If Recommendation 4.1 is adopted, work with the Procurement Department to deliver targeted trainings to CEO divisions exhibiting recurring issues with erroneously inputted contract dates or incomplete documents uploaded into SAP. (Priority 2)

4.4 Direct Office division managers to track the number of contracts monitored by each staff member to ensure assignments are equitably distributed. (Priority 2)

4.5 Direct the Office for Countywide Contracting Management (OCCM) to work with County information technology staff to find ways to upload contractor evaluations into Santa Clara County's purchasing systems for future reference. If successful, OCCM should integrate uploading evaluations into the countywide contract close-out process and add this step to the County Procurement Administrative Guidelines. (Priority 2)

SAVINGS, BENEFITS, AND COSTS

Implementing Recommendations 4.1 and 4.3 will allow CEO Administration to have more accurate contract information, facilitating better planning of amendments and extensions. This may decrease the probability of service lapses and reduce instances of retroactive agreements. Having a comprehensive list of the CEO's contracts will also help Administration verify that all agreements adhere to County solicitation and contract execution guidelines.

Recommendations 4.2 and 4.4 will better ensure compliance with Board Policy mandates around contract monitoring and evaluation, helping CEO staff verify that taxpayer dollars are being appropriately spent on contracted goods and services. The cost of inadequate contract monitoring can be high, as the County has spent over $1 million on a history book project that was canceled and accused of plagiarism. Lastly, Recommendation 4.5 will help County staff be better informed of the contractor landscape and provide reference for future contracting decisions.

Section 5: Improving Succession Planning Practices

Background
Succession planning is a best practice that promotes service delivery continuity through identifying core competencies undergirding an organization's operations and preparing staff to potentially take over these operations in future. The Federal Office of Personnel Management emphasizes the need for this capacity-building and intentional knowledge transfer, stating that internal resources are critical in an environment where the demand for experienced, specialized employees is high. The Government Finance Officers Association (GFOA), an association of public finance officials, provides multiple best practices around this area, including assessing potential employee turnover and developing a formal, written plan outlining workforce risks and strategies.

Problem, Cause, and Adverse Effect
Contrary to GFOA and human resources best practices, the Office of the County Executive (CEO) does not have a written succession plan or specified policies and procedures for knowledge transfer. The Office tracks vacancies, Extra Help work hours, and employees utilizing an alternate work schedule, and multiple CEO divisions have onboarding manuals. However, the CEO has not adopted any mechanism of anticipating or preparing for future workforce needs. This issue is not specific to the Office, as our 2019 audit of Countywide hiring practices found a lack of workforce planning across the County. Yet, creating succession plans is particularly critical for the CEO due to the degree of executive leadership and institutional knowledge held within the Office. As of August 2022, 56 of 431 CEO employees (13%) had been with the County for ten or more years. Additionally, over 25% of CEO staff were aged 50 years or older (the County's average retirement age being 57), and 13 of these 110 over-50 staff were in executive leadership positions. Further, multiple CEO divisions and programs have only one staff member, making it unclear how operations will continue when these individuals retire. Finally, during Fiscal Year 2021–22, the CEO had a much higher turnover rate than the County overall—16.5% as compared to 8.7%. An absence of succession planning within an Office with a unique level of leadership positions, technical expertise, and institutional knowledge, as well as a relatively high turnover rate, raises the risk of service gaps in Countywide management functions due to staff transitions.

Recommendations
We recommend that the CEO work with the Employee Services Agency (ESA) to develop written succession plans and knowledge transfer policies for all executive leadership classifications and evaluate the need for plans within CEO programs and offices with fewer than five full-time equivalent staff. Per recommendations in our 2019 hiring audit, which were never formally adopted by the Board of Supervisors, ESA should retain an actuary to estimate the likely retirements and vacancies based on employee ages, estimated retirement timeframes, and recruitment timelines.

Savings, Benefits, and Costs
Implementing these recommendations will allow the CEO to better anticipate employee transitions and create more seamless hand-offs of knowledge and responsibilities vital to County operations. Additionally, according to GFOA, organizations with an integrated approach to succession management can result in higher retention rates and increased employee morale.

FINDING

Succession Planning as a Best Practice

Succession planning is a deliberate approach to ensuring organizational and mission continuity. Rather than pre-selecting candidates, succession planning projects future workforce needs and builds internal capacity to prepare staff to potentially meet these needs. This involves identifying core competencies undergirding mission-critical work and creating a plan for existing employees to strengthen their knowledge, skills, and abilities in these areas. Succession planning is especially important for leadership or highly technical positions in an environment where demand for experienced, specialized employees is high.

Public agencies and associations such as the Federal Office of Personnel Management (OPM) and the Government Finance Officers Association (GFOA)[17] encourage specific best practices around succession planning. These practices include identifying leadership "bench strength;" assessing employee turnover; creating a formal, written plan for succession initiatives; crafting written policies for knowledge transfer; and developing leadership skills and encouraging professional development amongst current staff.

A Lack of Formal Succession Planning within the Office of the County Executive

The Office of the County Executive (CEO) does not employ any of the succession planning best practices stated above. Rather, the Office maintains a current vacancy list, an Extra Help tracking spreadsheet to ensure these personnel do not go beyond allocated hours, and a log of employees on alternate work schedules. In addition, multiple divisions within the CEO have onboarding manuals containing human resources, technology, and other administrative information.

These personnel initiatives are largely concerned with recruiting for present vacancies and orienting current staff. However, the Federal OPM notes that, "achieving mission continuity requires more than simply backfilling vacant positions." The CEO has no concrete means to anticipate and address future workforce gaps, raising the risk of rocky transitions and incomplete knowledge transfers.

This lack of succession planning is not unique to the CEO, as our 2019 audit of Countywide hiring practices found a lack of workforce planning across the County. Yet, creating succession plans is particularly necessary for this Office due to the degree of institutional knowledge and executive leadership within the CEO.

As of August 2022, 56 of 431 CEO employees (13%) had been with the County for ten or more years. Additionally, the County's Employee Services Agency (ESA) reported that the average retirement age for County employees is 57, while CalPERS (the pension plan of County employees) reported an average retirement age of 58.7 for its members at the end of Fiscal Year (FY) 2020–21. In August 2022, over a quarter of CEO staff was aged 50 years or older (110 of 431 employees), and 13 of these 110 above-50 staff were in executive leadership positions. Further, two additional

17 An association of public finance officials.

above-50 staff were Assistant Directors to one of these executive classifications. Several of these above-50 executive leaders are primary or alternate staff assigned to "essential functions" in the CEO's Continuity of Operations Plan,[18] indicating the critical nature of these leadership roles (see Figure 5.1 below).

Figure 5.1: ***Essential Functions Table in CEO's Continuity of Operations Plan***

TABLE 5: ESSENTIAL FUNCTIONS AND ASSIGNED PERSONNEL

Essential Function	Primary Staff Assigned	Alternate Staff Assigned
Organizational Leadership	County Executive	Chief Operating Officer/Deputy County Executive
Emergency Operations Center Function	County Executive	Chief Operating Officer/Deputy County Executive
CEO Leadership	County Executive	Chief Operating Officer/Deputy County Executive
CEO Administration	Financial & Administrative Services Manager	Administrative Services Manager
Public Communication	Office of Public Affairs Director	Office of Public Affairs Asst. Director
Development of Annual Budget	Budget Director	Budget Operations Manager
Legislative Liaison	Program Manager II	Program Manager I
Homeless Programs	Director, Office of Affordable Housing	Deputy Director, Office of Affordable Housing
Central liaison for board/committee agenda preparation	Agenda Review Administrator Budget & Public Policy Analyst	Principal Budget and Policy Analyst
Central accounting function	Senior Accountant	Accountant III
70 West Hedding facility management	Administrative Services Manager	Financial & Administrative Services Manager

Source: CEO's Continuity of Operations Plan Document

In addition to the large number of general and executive staff within ten years of the average County and CalPERS retirement age, the CEO also has multiple divisions and programs staffed by only one or two full-time equivalent positions. Examples of such functions include Bail and Release, Facilities and Security, Redevelopment, and Asset Management. Given the lack of back-up candidates and months-long County recruitment timelines, it is unclear how these divisions will continue their operations in light of retirements or other staff transitions.

The degree of institutional knowledge, number of above-50 executive leadership staff, and functions with limited or no "bench" employees within the CEO elevate the stakes of succession planning within this Office. This need is further heightened by the CEO's relatively high turnover rate: ESA Data Support reported a turnover rate of 16.5% for the Office during FY 2021–22, which was almost twice as high as the County's overall turnover rate of 8.7%. To illustrate the importance of succession planning, over the course of our audit, the CEO's Financial and Administrative Services Manager—one of the staff designated for "essential functions" in the Continuity of Operations Plan—turned over within five months.

18 A plan for the CEO to continue its essential functions and governance in the event of a crisis that would disrupt day-to-day operations. This Continuity of Operations Plan serves as a supplement to the County's Emergency Operations Plan.

Comparison to other Counties

CEO staff noted that succession planning may be difficult due to the County Ordinance's Merit System Rules for employment, which preclude pre-selection of candidates and require applicants to undergo a competitive recruitment process. However, human resources professionals distinguish between pre-selection and preparation, with the latter focusing on knowledge sharing, skill development, and career planning for a range of individuals rather than fast-tracking a specific candidate into a position.

Auditors issued a peer survey to 12 jurisdictions and received eight responses (view full survey results in Attachment A on page 93). Although these other counties adminster their own versions of merit system rules and personnel systems, multiple respondents reported some form of succession planning. For example, Sacramento, Ventura, Orange, and San Mateo counties responded that they provide leadership trainings or have executive leadership training cohorts. San Mateo additionally reported rotational assignments to bring staff into the County Executive's Office. Meanwhile, Los Angeles responded that their Human Resources Department evaluates each department's succession planning to identify staff development opportunities and areas of executive strengths and weaknesses. These survey results indicate that succession planning is still possible in the context of competitive, local government hiring when the focus is on capacity-building rather than pre-selecting specific staff for future roles.

The Management Audit Division recommends that the CEO work with ESA to develop written succession plans and knowledge transfer policies for all executive leadership classifications and evaluate the need for plans within CEO programs and offices with fewer than five full-time equivalent staff. In addition, per unadopted recommendations from our 2019 hiring audit, we recommend that ESA retain an actuary to estimate the likely retirements and vacancies based on employee ages, estimated retirement timeframes, and recruitment timelines for the Office.

CONCLUSION

Succession planning is a best practice that promotes mission continuity by preparing organizations to transition smoothly between staff in the event of employee turnover. This practice is encouraged by both human resources professionals and public agencies and associations such as the Federal OPM and GFOA. The CEO, like the rest of the County, does not have written succession plans or knowledge transfer policies in place, nor does the Office analyze employee turnover and retirement rates to assess future workforce needs. While the CEO's lack of succession planning is not unique, its high number of above-50 County executive leadership staff, large degree of institutional knowledge, multiple divisions and programs with minimal "bench" staff, and relatively high turnover rates make it particularly susceptible to significant "shocks" when employees retire or leave the County.

RECOMMENDATIONS

The Office of the County Executive should:

5.1 Work with the Employee Services Agency (ESA) to develop written succession plans and knowledge transfer policies for all executive leadership classifications and evaluate the need for plans within CEO programs and offices with fewer than five full-time equivalent staff. (Priority 2)

The Employee Services Agency should:

5.2 Per recommendations of auditor's 2019 hiring audit, retain an actuary to estimate the likely retirements and vacancies based on employee ages, estimated retirement timeframes, and recruitment timelines for the Office. (Priority 2)

SAVINGS, BENEFITS, AND COSTS

Implementing these recommendations will allow the CEO to better anticipate employee transitions and create more seamless hand-offs of knowledge and responsibilities vital to County operations. Additionally, according to GFOA, organizations with an integrated approach to succession management can result in higher retention rates and increased employee morale. The County already contracts for a variety of actuarial services and likely could expand the scope of these services by amending an existing contract. We believe the cost of this service would fall well below the $250,000 threshold of a Priority 1 cost.

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Section 6: Role and Portfolios of Deputy County Executives

Background

The Office of the County Executive's (CEO) seven Deputy County Executives (DCEs) assist the County Executive and Chief Operating Officer in managing County operations and representing the CEO before the Board of Supervisors. DCEs enact the County Executive's guidance through portfolios overseeing various County and Office functions, and their work often focuses on responding to Board inquiries. Responsibilities also include operational support and direct management of CEO divisions and County operating departments, oversight of special projects, and serving on various commissions and task forces.

Problem, Cause, and Adverse Effect

The County's DCE portfolios are ambiguous in their span of control, and DCE assignments have not been formally memorialized in either County or CEO organization charts. At least six California jurisdictions with DCEs and comparable county executive office structures have organization charts that clearly diagram the various county programs reporting to each assistant executive. In contrast, there is no single chart within Santa Clara County that captures DCE portfolios or reporting relationships in their entirety. Rather, DCE assignments are outlined in an internal CEO document that lists Office divisions, County operating departments, and special projects under the purview of each DCE. However, this document does not clarify whether the DCE serves as a direct supervisor of each function or simply provides operational support. In the absence of this formal delineation of responsibilities, DCE portfolios are wide-ranging in scope, with some containing multiple County departments while others focus on one CEO division. This variance makes it difficult to reliably compare DCE workloads and raises the risk of imbalanced assignments, particularly given the 86% increase in budgeted CEO staffing in FY 2022–23. A lack of clearly defined DCE policy buckets has led to overlapping functions being spread across multiple portfolios. For instance, justice-related assignments such as the Office of Reentry Services, Jail Reforms, the Replacement Jail Project, and the Probation Department are spread across three different DCE portfolios. Further, certain functions such as Custody Health and the Office of Reentry Services are listed under multiple executives. These overlapping and dually managed assignments may be prone to duplicative work and confusion over which executive is the final authority for these items.

Recommendations

The CEO should develop a categorization system for DCE portfolios that informs the assignments in each portfolio (e.g., by policy area). For every assignment within each portfolio, the Office should clarify the scope of the DCE's role and limit any dual direct supervision assignments. The CEO should consolidate this information into a single organization chart that shows the entirety of DCE portfolios and integrate a high-level version into the County's public organization chart. The CEO should revisit these portfolios at least annually to ensure that assignments are balanced.

Savings, Benefits, and Costs

Formalizing and documenting DCE portfolios will clarify the span of control for DCEs, potentially allowing for better workload management and reducing confusion around decision-making authority for certain County functions. Additionally, categorizing DCE portfolios might streamline operations by eliminating overlapping assignments across multiple portfolios.

FINDING

The Role of Deputy County Executives

Reporting directly to the County Executive, the County's seven Deputy County Executives (DCE) assist with hands-on management and administration of County operations.[19] DCEs' work often focuses on managing responses to Board referrals (i.e., inquiries from the Board of Supervisors), which can involve coordinating analytical work happening across multiple divisions or departments, drafting legislative items, and preparing reports to discuss during Board meetings. Other DCE responsibilities include developing or refining work protocols, conducting strategic planning, serving as a liason between County staff and the County Executive, and implementing special projects that require the coordination of multiple Office divisions or County departments.

DCEs operationalize the County Executive's guidance within portfolios of various County functions and programs. Assignments may include oversight of County operating departments, divisions within the Office of the County Executive (CEO), and special projects. DCEs also serve as the County's representative, or the alternate of the County Executive, on various commissions and task forces. One DCE serves primarily as the Director of the Santa Clara Valley Health and Hospital System.

DCE assignments can change over time. For example, following the onset of the COVID-19 pandemic, the County Executive reassigned a portion of one DCE's portfolio to another DCE so that the first DCE could focus on COVID-19 assignments, including oversight of pandemic relief funding. In October of 2022, the County Executive also asked one DCE to serve as an interim CEO Director of Financial and Business Operations during the search for a permanent Director. This position was permanently filled in February 2023.

Staffing Comparisons to Peer Counties

As of Fiscal Year (FY) 2022–23, the County has seven DCEs (including the Health and Hospital System Director) for approximately 685 budgeted CEO staff and 22,426 total budgeted County staff (staff-to-DCE ratios of 98 and 3,204, respectively). Auditors issued a peer survey to 12 jurisdictions, to which we received eight responses. We also issued the survey to the auditee for comparison purposes (see Attachment A on page 93 for full survey results). According to unaudited survey results, the total staff-to-DCE ratio of Santa Clara is within the range of other California counties that responded to our survey (seeFigure 6.1 on page 63 for a complete summary of staffing levels). Los Angeles, Ventura, Orange and Sacramento counties have higher ratios of total county staff to assistant executive administrators than Santa Clara,

19 In the title page of the County budget, the director of the Employee Services Agency (ESA) is listed as a DCE along with the seven DCEs. However, the ESA director position is distinct from the DCE classification, and CEO management confirmed the director is not a DCE, so we have not included this position in our analysis.

while San Mateo and San Bernardino have lower ratios.[20] These calculations do not include Chief Operating Officers as DCEs, as our survey to peer counties contained separate questions about the Chief Operating Officer role and asked respondents to exclude these staff when counting the number of DCEs.

Relative to comparable survey respondents, Santa Clara has a higher ratio of budgeted staff in the executive office to deputy executive administrators as of FY 2022–23. This is largely driven by an increase in CEO staffing from FY 2021–22 to FY 2022–3. During FY 2021–22, Santa Clara had approximately 368 budgeted CEO staff per DCE, for a CEO staff-to-DCE ratio of 53. This staffing growth of 86% has significantly increased staffing ratios within the CEO. As shown in Section 1, starting on page 15 of this audit report, a large number of these new staff were assigned to pandemic response initiatives.

Figure 6.1: ***Peer County Staffing Levels of Assistant Executive Administrators as Compared to Executive Office and Total County Staffing - FY 2022–23***[(1)]

County	Number of Deputy or Assistant Executive Administrators[(2)]	Total Budgeted Staff in Executive Office	Executive Office Staff Per Assistant Executive Administrator	Total County Budgeted Staff	County Staff Per Assistant Executive Administrator
San Bernardino	11	41	4	26,190	2,381
Santa Clara	***7***	***685***	***98***	***22,426***	***3,204***
Los Angeles	6[(3)]	519	87	112,614	18,769
Orange	4	109	27	18,554	4,639
Sacramento	4	54	14	13,279	3,320
San Mateo	4	55	14	5,533	1,383
Ventura	2	156	78	10,179	5,090

Source: Auditor peer survey and FY 2022–23 adopted budget documents

(1) Note: Numbers are rounded to the nearest whole number. Where budgets included multiple methods of totaling staff, Full Time Equivalents (FTEs) were selected. San Diego County did not respond to our question about DCEs, so their staffing levels were omitted from this chart.

(2) Note: Deputy or assistant executive administrator totals are those reported by counties through our unaudited peer survey. Orange initially reported having zero deputy or assistant county executive officers, as it has none with that title apart from its chief operating officer, but our survey contact subsequently clarified that four executive roles fulfill similar functions to a deputy or assistant executive administrator.

(3) Note: Five Assistant Chief Executive Officers and one Senior Assistant Chief Exective Officer.

20 While San Francisco reported having DCEs, the City Administrator's Office in San Francisco is categorically different from most county administrative offices. Because San Francisco is both a city and a county, administrative functions are performed by both the Mayor's Office and City Administrator's Office. The City Administrator's Office also includes several functions not performed by the CEO in Santa Clara County, such as the Office of the Chief Medical Examiner. Due to the difficulty of comparing these structures, San Francisco is not included in Figure 6.1.

Given the recent nature of this shift, as well as the context of COVID-19, it is unclear whether these CEO staffing levels will be sustained, decrease, or continue to rise in the future. However, Section 1, starting on page 15 of this audit report suggests revisiting the core mission of the CEO through a proposal that may include transitioning direct service functions out of this Office.

No Formal Documentation and Unclear Span of Control of DCE Portfolios

The County has no formal documentation outlining DCE portfolios, and the CEO has not categorized these portfolios by policy or functional area. The only memorialization of DCE assignments is an internal working document of senior team responsibilities maintained by the CEO, which was last updated in March of 2022.[21] This likely reflects the Office's preference for flexibility, as office staff reported that allowing for variation in DCE responsibilities helps the CEO respond to complex and changing County needs over time. In alignment with this statement, DCE portfolios sometimes shift, as discussed above.

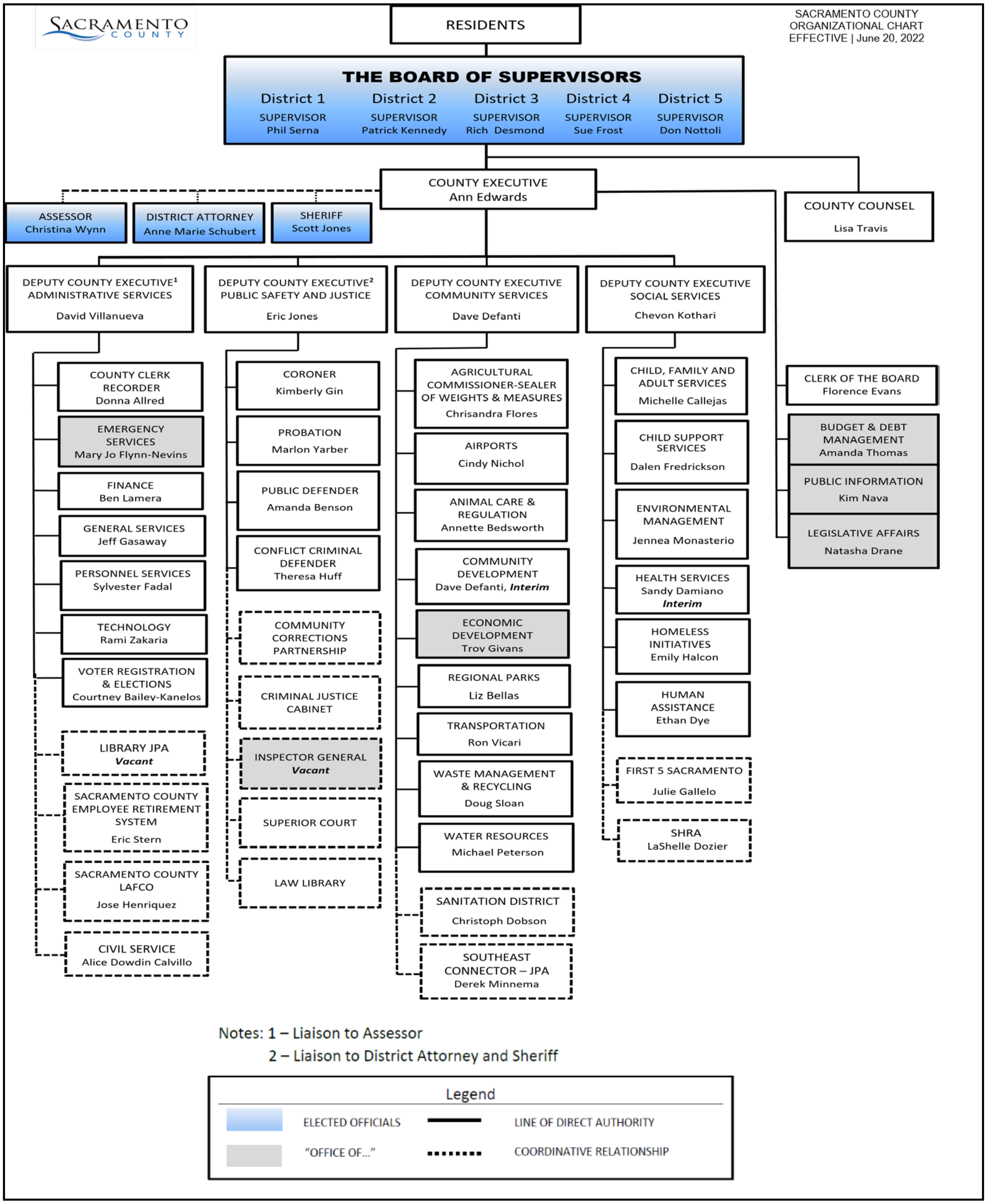
However, the County's lack of documentation around DCE assignments is not a practice mirrored by other California counties that responded to our survey, including those with over 20,000 full-time equivalent staff (FTE). For all counties that responded to the DCE question in our survey, the departments, offices, and programs overseen by DCEs or positions analogous to DCEs (e.g., assistant executives), are indicated in organization charts.[22]

Further, five of these comparable jurisdictions' organization charts and peer survey responses explicitly name the policy or functional area governing most or all DCE portfolios. For example, Sacramento County's chart displays four DCE portfolio categories: Administrative Services, Public Safety and Justice, Community Services, and Social Services. The assignments in each DCE portfolio largely reflect these umbrella categories (see Figure 6.2 on page 65 for Sacramento's organization chart as of June 2022; other county charts are included as Attachment H on page 161).

21 The auditee requested that we do not share this working document in the audit report. This document also excludes the DCE responsible for managing the County's Health and Hospital System.

22 This includes San Francisco's City Administrator's Office. However, the structure of this office is not comparable to the County's CEO, as noted above.

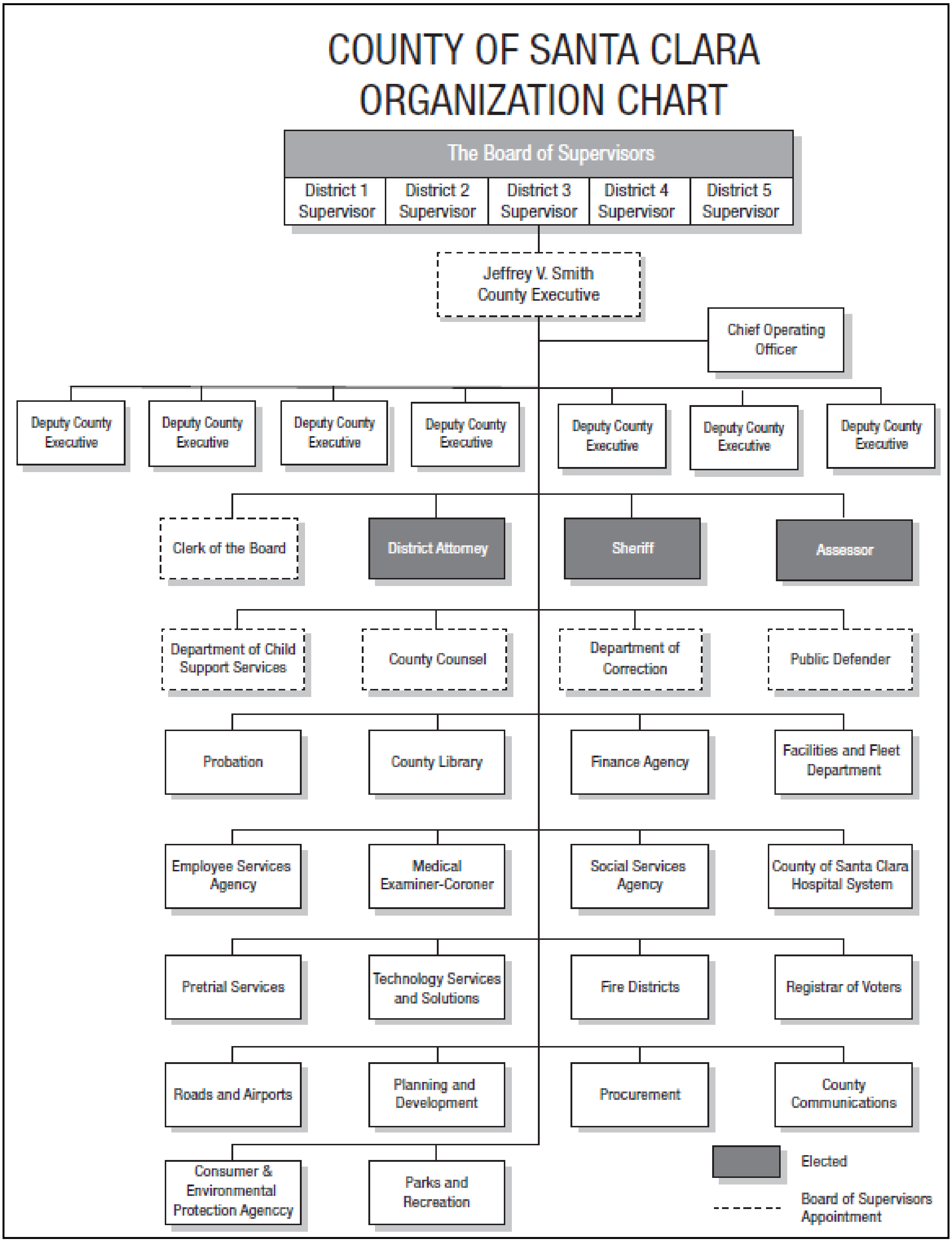
Figure 6.2: *Sacramento County Organization Chart*



Source: Sacramento County

In contrast, the organization chart within Santa Clara County's Adopted Budget does not indicate which County programs are overseen by DCEs, much less group these assignments into named portfolios (see Figure 6.3 on page 66).

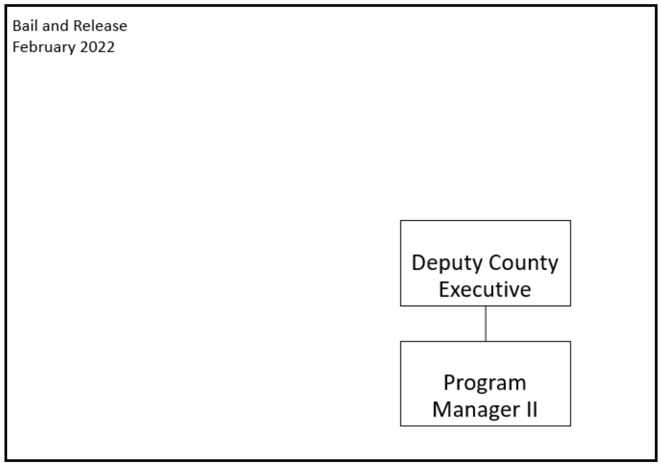
Figure 6.3: *Santa Clara County Organization Chart*



Source: FY 2022–23 Adopted Budget

Organization charts within the CEO do not contain a comprehensive depiction of DCE assignments, either. The Office's executive organization chart displays only the County Executive, Chief Operating Officer, DCEs, Senior Executive Assistants, and four CEO division directors.[23] Meanwhile, the remainder of DCE assignments within the Office must be inferred from organization charts of individual CEO divisions (see Figure 6.4 for an example).

Figure 6.4: ***Bail and Release Organization Chart***



Source: CEO Administration Division (names have been redacted from this chart)

While the CEO's senior team responsibilities working document aggregates DCE assignments in one place, this document only names the various County functions under each DCE without clarifying the DCE's role within each assignment (see Figure 6.5 for a portfolio excerpt).

Figure 6.5: ***Excerpt of DCE Portfolio from Internal Working Document***

- Office of Planning and Development
- Local Area Formation Commission
- Parks & Recreation Department
- Roads & Airports Department
- Facilities & Fleets Department
- Consumer & Environmental Protection Agency
- Integrated Pest Management

Source: CEO Senior Team Responsibilities document provided to auditors

This lack of information creates span of control ambiguities, as it is unclear whether DCEs formally manage the directors of County departments and CEO divisions listed under their purview, or whether these DCEs only provide support, guidance, and coordination to these assignments. In practice, this relationship varies by assignment: multiple CEO staff reported that DCEs have a "dotted line" and "collaborative" relationship with various County operating departments and CEO divisions, with

23 The Chief Procurement Officer, Director of Strategic Planning and Intergovernmental Affairs, Director of Communications and Public Affairs, and the County Budget Director.

directors of these organizations formally reporting to other senior executives. Meanwhile, individual CEO division organization charts and the CEO's responses to auditors' peer survey clearly showed certain department and CEO division heads reporting directly to DCEs for functions such as the Facilities and Fleet Department, Probation Department, Division of Equity and Social Justice, and the Learning Organization (see Figure 6.6 for peer survey excerpt).[24]

Figure 6.6: *Santa Clara County CEO Survey Response*

Q14

Which county directors and operating departments report to the following authorities (please include responses for ALL applicable authorities)?

Board of Supervisors	**County Executive, County Counsel, Clerk of the Board, Department of Child Support Services, Public Defender, Chief of Correction**
County's executive administrator	**Chief Operating Officer, ESA, HHS, Deputy County Executives, SSA, County Library, Medical Examiner/Coroner, VHP, OBA, TSS, Finance Agency, Office of Emergency Management**
County's chief operating officer	**Procurement, CEO, Risk Management, Privacy Office, Information Security Office, Internal Audit, Office of Supportive Housing, Office of Reentry Services, Asset & Economic Development, HHS Compliance**
Deputy or assistant executive administrators	**Planning, Parks, Roads & Airports, FAF, CEPA, Pretrial Services, County Fire, Probation, County Communications, Custody Health, Public Health, Valley Medical Center Hospitals & Clinics, Behavioral Health, Division of Equity and Social Justice, Vietnamese American Service Center, LAFCO, Office of Sustainability, Integrated Pest Management, Facility Security, Employee Wellness, Office of Mediation & Ombuds Services**

Source: Auditor Survey of Counties

Adding to this confusion, the senior team responsibilities document shows shared DCE assignments for Custody Health, the Office of Reentry Services, and the Office of Supportive Housing.[25] These shared responsibilities create ambiguities around the direct reports of executive staff, as well as who has final decision-making authority for these departments and CEO divisions. Further, the senior team responsibilities document omits the CEO's Bail & Release function, despite the individual organization chart for this division indicating a reporting structure that includes a DCE.

To compare, the legend in Sacramento County's organization chart in Figure 6.2 on page 65 visually differentiates between a line of direct authority and a coordinative relationship for departments and offices within DCE portfolios. These dotted and solid lines demonstrate a much clearer span of control than Santa Clara County's organization charts and the CEO's senior team responsibilities document.

24 Issued to the County for benchmarking purposes.
25 Custody Health is shared between two DCEs, while the Office of Reentry Services and Office of Supportive Housing are shared between a DCE and the Chief Operating Officer.

Extreme Variance and Overlapping Assignments Amongst DCE Portfolios

In the absence of formal documentation or structural guidelines around DCE portfolios, assignments for executive staff vary widely. One DCE's portfolio is comprised entirely of a single CEO division and its sub-offices; another DCE primarily manages County-wide projects; and the remaining DCEs oversee some combination of County departments, CEO divisions, and special projects. The balance of DCE job duties also substantially differs within each portfolio, with several DCEs reportedly spending significantly more time on referrals than others. This is likely due to a handful of County departments and CEO offices receiving a disproportionately large share of Board inquiries.

The lack of a consistent portfolio structure makes it difficult to reliably compare DCE workloads (i.e., it is unclear how CEO executive management might assess the work of directly managing one large CEO division versus providing support to multiple County departments). This raises the risk of imbalanced assignments and some DCEs taking on more work responsibilities than others, particularly given the significant FY 2022–23 Office staffing increases discussed above. An uneven distribution of work could result in the deprioritization of certain assignments for DCEs with more demanding portfolios.

Further, without an explicit method of grouping DCE portfolios into broader policy or operational buckets, multiple portfolios exhibit overlapping assignments. For instance, justice-related functions are spread across three DCE portfolios: Pretrial Services, Administrative Booking, and the Probation Department are in one portfolio; the Replacement Jail Project and Department of Corrections Operations are in another portfolio; and Jail Reforms and the Office of Reentry Services are in a third portfolio. While the CEO may have allocated these assignments based on the skills and content-area expertise of specific DCEs, having related functions spread across portfolios in this manner increases the likelihood of duplicative work and confusion over which executive has the final say in cross-cutting decisions.

To improve efficiency and mirror the practices of peer jurisdictions, the Management Audit Division recommends that the CEO develop an explicit categorization system for DCE portfolios that informs the assignments in each portfolio (e.g., by policy area). For reference, a summary of the named DCE portfolios of selected peer jurisdictions that responded to our survey is captured in Figure 6.7 on page 70.

Figure 6.7: *DCE Portfolio Themes of Selected Peer Jurisdictions*

County	Portfolio Themes
Los Angeles	•Asset Management
	•Administration
	•Budget and Operations Management
	•Policy Alignment and Implementation
	•Risk Management
	•Legislative Affairs
Sacramento	•Administrative Services
	•Public Safety and Justice
	•Community Services
	•Social Services
Ventura	•Chief Financial Officer
	•Human Resources Director

Source: Peer County Organization Charts

Additionally, to clarify DCEs' span of control, the Office should denote the scope of the DCE's role for each assignment (e.g., direct management or coordination/support) and limit any dual direct supervision assignments. The CEO should consolidate this information into a single organization chart that shows the entirety of DCE portfolios and integrate a high-level version into the County's public organization chart for transparency. The CEO should revisit these portfolios and assess their respective workloads at least annually to ensure that assignments are balanced.

In tandem with these efforts to clarify DCE portfolios, if Recommendation 1.1 in Section 1, starting on page 15 of our audit report is adopted, the CEO should determine whether additional DCEs are necessary to manage the Office after the CEO has been restructured.

CONCLUSION

As of FY 2022–23, the CEO has seven DCEs and one Chief Operating Officer who reports directly to the County Executive and assists with hands-on management and administration of County operations. DCEs coordinate responses to Board inquiries called referrals, conduct strategic planning, implement County special projects, and provide support and oversight to various County operating departments and CEO divisions. These executive staff operationalize the County Executive's guidance within portfolios of various County functions and programs.

However, in contrast to at least six California jurisdictions, the County's DCE portfolios are not formally documented or memorialized in an organization chart. While DCE assignments have been consolidated into an internal CEO senior team responsibilities working document, this document does not clarify the role DCEs play in their respective assignments. This renders DCEs' span of control unclear, and there is a lack of public transparency around DCE responsibilities. The CEO has also not categorized DCE portfolios into specific policy or operational buckets, resulting in widely varying portfolios—some of which contain overlapping functions. Such variance and overlaps impede senior executives' ability to compare workload across DCE portfolios. These conditions may also increase the risk of duplicative work and raise confusion over which senior staff serve as the final authority for certain policy areas spread across multiple portfolios.

RECOMMENDATIONS

The Office of the County Executive should:

6.1 Develop an explicit categorization system for Deputy County Executive (DCE) portfolios that informs the assignments in each portfolio (e.g., by policy or County operational area). To clarify DCEs' span of control, the Office of the County Executive should denote the scope of the DCE's role for each assignment (e.g., direct management or coordination/support) and limit any dual direct supervision assignments. (Priority 2)

6.2 If Recommendation 1.1 is adopted, conduct an evaluation to determine whether additional DCEs are necessary to manage the restructured Office if direct service programs are transferred to existing or new County departments. (Priority 2)

6.3 If Recommendations 6.1 and 6.2 are adopted, the Office of the County Executive should consolidate this information into a single organization chart that shows the entirety of DCE portfolios and integrate a high-level version into the County's public organization chart for transparency. (Priority 2)

6.4 Revisit DCE portfolios and assess their respective workloads on at least an annual basis to ensure that assignments are balanced. (Priority 2)

SAVINGS, BENEFITS, AND COSTS

These recommendations will require up-front investments of time by the County Executive, the Chief Operating Officer, and any analytical staff asked to assist with implementation. However, formalizing and documenting DCE portfolios will clarify DCEs' span of control, potentially allowing for better workload management and reducing confusion around decision-making authority for certain County functions.

Additionally, categorizing DCE portfolios might streamline operations by eliminating overlapping assignments across multiple portfolios. Memorializing these assignments in the County's public-facing organization chart will help increase transparency and accountability within the County organization and to the public. Lastly, creating named portfolios with clearer depictions of reporting structures might assist with succession planning and integration of new DCE staff, as there would be a better up-front understanding of general job scope by potential and new hires.

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Section 7: Approving Countywide Administrative Policies

Background
County administrative policies apply Countywide and must do one of the following: 1) implement a Board policy; 2) achieve compliance with applicable laws and regulations; or 3) address a risk to the County that cannot be addressed elsewhere. According to the County's policy on proposing, revising, and rescinding an administrative policy, the County Executive has delegated authority to the Administrative Policy Council (APC) to establish and review administrative policies. The APC is led by the Office of the County Executive (CEO) and also contains departmental stakeholders, Labor Relations, and the Office of the County Counsel. At the time of our audit, the CEO reported that the responsibility for reviewing and finalizing administrative polices would be transferred to the Office of the County Counsel during FY 2022–23. However, at our audit exit conference in March 2023, the Office reported that this transition had been re-evaluated, and that the administrative policies function would remain within the CEO.

Problem, Cause, and Adverse Effect
The CEO reported that the APC has not had dedicated staff for this function since Fall 2021. In addition, the Office does not keep central records around administrative policies that have been submitted, approved, and are pending. In the absence of these records, the CEO was unable to answer the following questions: 1) how many administrative policy requests were submitted to the APC between FY 2017–18 and FY 2021–22; 2) the names of these policies and originating departments; 3) the status of these policies; and 4) any prioritization criteria for the review and finalization of these policies. This lack of a central tracking mechanism raises the risk of proposed policies falling through the cracks and County issues covered in these policies going unaddressed. Without this information, auditors were also unable to determine how long, on average, it takes to review and finalize County administrative policies.

Recommendations
The CEO should create a descriptive log of pending administrative policy proposals and their statuses, which the Office of the County Counsel should review and augment. In addition, the two parties should develop target timelines and prioritization criteria for reviewing and finalizing policies.

Savings, Benefits, and Costs
Implementing these measures will better ensure that proposed administrative policies and revisions are reviewed and approved timely. In addition, generating a proposal log will create an easy reference to help APC members determine whether new policy proposals and revisions are duplicative or inconsistent with prior proposals.

FINDING

The Role of County Administrative Policies and the Administrative Policy Council

County administrative policies work to align operations, set Countywide behavioral expectations, and communicate policy roles and responsibilities. While departmental policies apply only to the functions and employees of a specific department, County administrative policies apply Countywide and must do one of the following: 1) implement a Board policy; 2) achieve compliance with applicable laws and regulations; or 3) address a risk to the County that cannot be addressed elsewhere. Examples of administrative policies include County signage standards, COVID-19 vaccination requirements for County staff, and new employee orientation.

Guidelines for developing administrative policies are outlined in the County's policy on proposing, revising, or rescinding a County administrative policy (an administrative policy owned by the County Executive). Within this policy, the County Executive delegates authority to establish and review County administrative policies to the Administrative Policy Council (APC). This ongoing committee consists of the following parties: 1) an APC chair that is either a Deputy County Executive or designee, 2) a representative from the Office of the County Counsel, and 3) a representative from the Office of Labor Relations. The APC develops, reviews, and implements new policies, as well as revisions of existing policies and rescissions of policies that no longer meet appropriate criteria. This Council also ensures that appropriate representatives from stakeholder departments are involved in this process.

Prior to Fiscal Year 2022–23, the APC was headed by a Deputy County Executive from the Office of the County Executive (CEO). In June 2022, the CEO reported that this responsibility would be transferred to the Office of the County Counsel. Representatives from the Office of the County Counsel reported that the County's aforementioned policy on administrative policies would be revised to reflect this change.

However, during our March 2023 exit conference with the auditee, CEO staff reported that this transition had been re-evaluated, and both offices determined that the CEO would retain ownership over reviewing and finalizing administrative policies, in close collaboration with the Office of the County Counsel. The Office of the County Counsel reported this decision was made following an assessment of resources and further discussions around workflows and approvals.

Lack of Staff and No Central Tracking Record for Administrative Policies

The CEO reported that there had been no dedicated Office staff for the APC function since Fall 2021. The policy on proposing, revising, or rescinding a County administrative policy states that the APC should "meet regularly to ensure that all policy needs are met and to prevent the County from unnecessary exposure to risk." However, without dedicated staff, it is unclear to what extent the Council was active over this period and whether submitted policies were reviewed.

Additionally, the CEO does not keep central records around administrative policies that have been submitted, approved, and are pending. In the absence of these records, the CEO was unable to answer the following questions: 1) how many administrative policy requests were submitted to the APC between FY 2017–18 and FY 2021–22; 2) the names of these policies and originating departments; 3) the status of these policies; and 4) any prioritization criteria for the review and finalization of these policies. CEO staff directed us to multiple parties for this information, including the Office of the County Counsel, and these parties redirected auditors back to the CEO. The Office ultimately reported that they did not have time to find the policies that were completed and published during this time period. This lack of a central tracking mechanism raises the risk of proposed policies falling through the cracks and County issues covered in these policies going unaddressed.

The Office of the County Counsel reported that they would meet with the CEO in August 2022 to discuss reform and improved collaborative staffing of the APC. However, in September 2022, the Office of the County Counsel reported that their Office was in the process of filling a position to perform APC work, and that a more substantive planning meeting would occur once the role was filled. In October 2022, the Office of the County Counsel reported an interim process for administrative policy review, in which the CEO had assigned a Program Manager to assist with policy proposals under the oversight of staff from the Office of the County Counsel. Following October 2022, the parties determined that the administrative policies function would remain in the CEO, and that the CEO would assign existing positions in the Office to this work.

As part of an overall process improvement, the CEO should create and continuously maintain a log of pending administrative policy proposals that includes the names of proposed policies, their originating departments, submission dates, and their status (i.e., the work that has been completed on these policies thus far). This log should be reviewed and augmented (if necessary) by the Office of the County Counsel in order to maintain an accurate record of pending administrative policies.

Additionally, the Management Audit Division recommends that the two parties develop target timelines and prioritization criteria for reviewing and finalizing policies. Per the County's policy on proposing, revising, or rescinding a County administrative policy, the CEO should also create a regular meeting schedule and evaluate the existing administrative policy structure and associated County policy around this process to ensure all policy needs are met.

CONCLUSION

Administrative policies help guide Countywide operations, implement Board policies, and help achieve compliance with applicable laws and regulations. The County's administrative policy on proposing, revising, or rescinding administrative policies delegates review authority over policy proposals to the APC. Previously, this function was inadequately staffed since the beginning of Fall of 2022 within the CEO, and the CEO has no central record of pending policies and their status. This Council will continue to be managed by the CEO in FY 2023–24, but the CEO and the Office of the County Counsel reported plans for more extensive collaboration around APC functions.

RECOMMENDATIONS

The Office of the County Executive should:

7.1 To develop an accurate record of pending administrative policies as part of an overall process improvement, create and continuously maintain a log of pending administrative policy proposals that includes the names of proposed policies, their originating departments, submission dates, and their status (i.e., the work that has been completed on these policies thus far). (Priority 2)

7.2 Work with the Office of the County Counsel to develop target timelines and prioritization criteria for reviewing and finalizing policies. (Priority 2)

7.3 Create a regular meeting schedule for the Administrative Policy Committee and evaluate the existing administrative policy structure and associated County policy around this process to ensure all policy needs are met. (Priority 2)

The Office of the County Counsel should:

7.4 If Recommendation 7.1 is adopted, review and augment this record of pending policies, making changes if necessary. (Priority 2)

SAVINGS, BENEFITS, AND COSTS

Implementing these measures will better ensure that proposed administrative policies and revisions are reviewed and approved timely. In addition, generating a proposal log will create an easy reference to help APC members determine whether new policy proposals and revisions are duplicative or inconsistent with prior proposals.

Attachments A-H

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Q1 What is the name of your county?

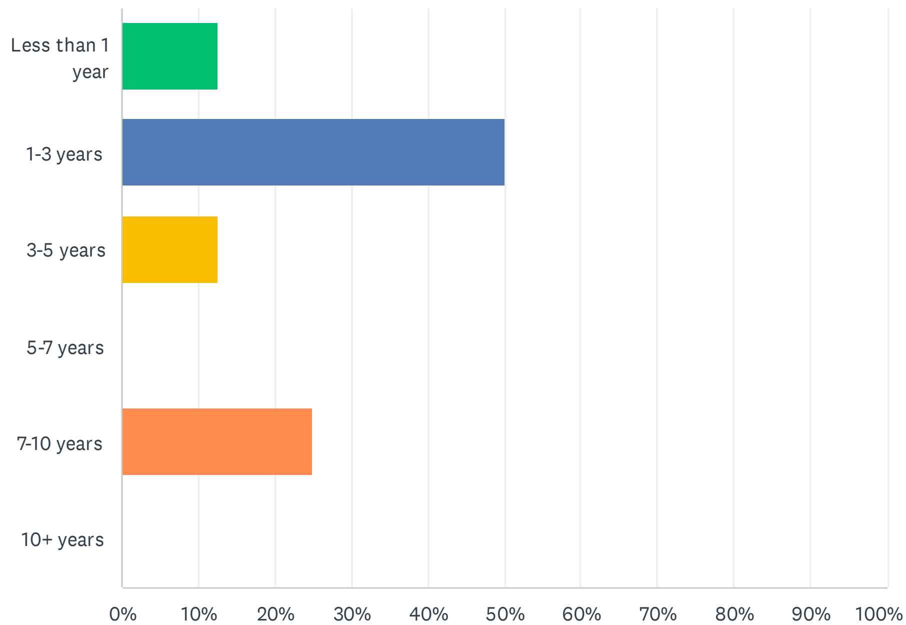
Answered: 8 Skipped: 0

#	RESPONSES	DATE
1	San Bernardino	8/8/2022 2:20 PM
2	Sacramento	8/4/2022 1:17 PM
3	County of Orange	8/3/2022 7:23 AM
4	Ventura	8/2/2022 11:51 AM
5	San Francisco	7/29/2022 2:56 PM
6	County of San Diego	7/27/2022 2:51 PM
7	San Mateo County	7/20/2022 5:23 PM
8	Los Angeles County	7/19/2022 2:50 PM

Santa Clara Response: Santa Clara County

Q2 How long has your county's executive administrator held their role?

Answered: 8 Skipped: 0

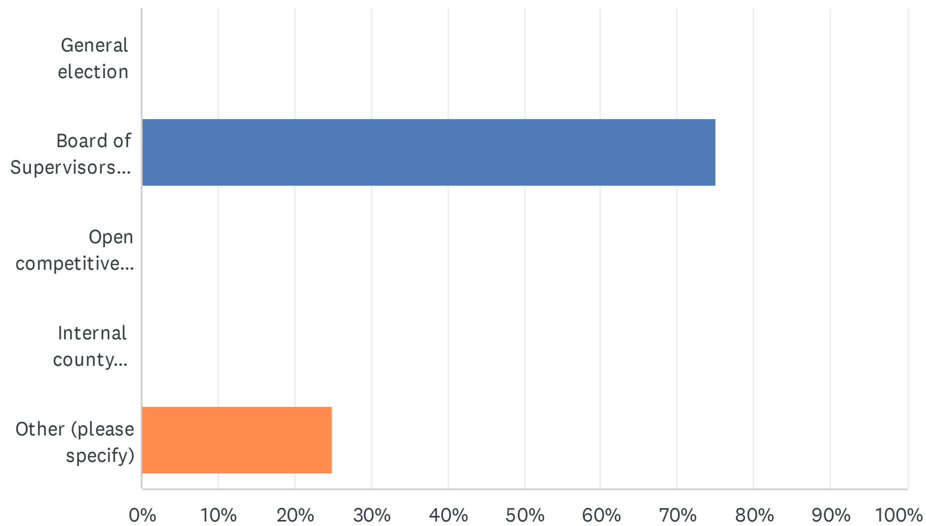


ANSWER CHOICES	RESPONSES	
Less than 1 year	12.50%	1
1-3 years	50.00%	4
3-5 years	12.50%	1
5-7 years	0.00%	0
7-10 years	25.00%	2
10+ years	0.00%	0
TOTAL		8

Santa Clara Response: 10+ years

Q3 How is your county's executive administrator selected?

Answered: 8   Skipped: 0



ANSWER CHOICES	RESPONSES	
General election	0.00%	0
Board of Supervisors appointment	75.00%	6
Open competitive recruitment process	0.00%	0
Internal county recruitment process	0.00%	0
Other (please specify)	25.00%	2
TOTAL		8

#	OTHER (PLEASE SPECIFY)	DATE
1	Mayor appointment with concurrence from Board of Supervisors	7/29/2022 2:57 PM
2	Open competitive recruitment process with Board of Supervisors as appointing authority.	7/20/2022 5:25 PM

Santa Clara Response: Board of Supervisors Appointment

Q4 Please describe the key roles and responsibilities of your county's executive administrator.

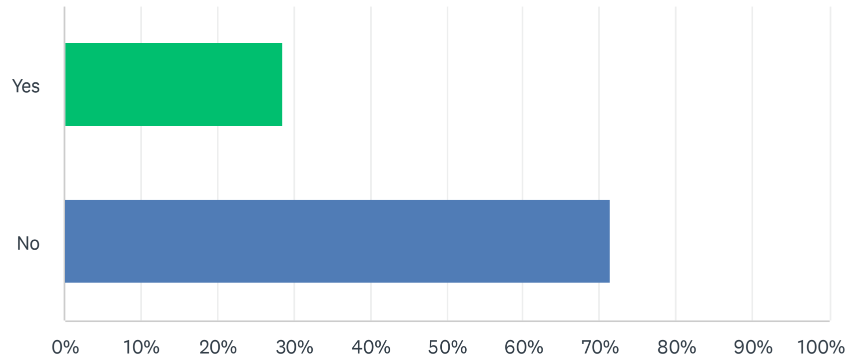
Answered: 7 Skipped: 1

#	RESPONSES	DATE
1	Provides recommendations to the Board and implements the Board’s policy direction through County departments.	8/8/2022 2:22 PM
2	The County Executive position was established in the 1933 Charter for Sacramento County. As the chief executive officer, the County Executive is responsible to the Board of Supervisors for planning, organizing, directing, controlling, and coordinating county activities. This includes serving in an advisory capacity to the Board of Supervisors with respect to the functions of officials and boards not under the direct jurisdiction or control of the County Executive. The functions and activities of the County Executive are mandated by the County Charter. The County Executive is also responsible for planning, organizing, directing and coordinating County activities. Sacramento County has more than 30 departments, offices and agencies that provide services to Sacramento County residents. Within the County Executive Office are the offices of: Budget & Debt Management Clerk of the Board Government Relations & Legislation Public Information	8/4/2022 1:19 PM
3	The key roles and responsibilities are outlined in Section 1.2.64 of the codified ordinances of the County of Orange which have been sent via email.	8/3/2022 7:29 AM
4	Executes, leads, and coordinates the management and administrative policies and directives of the Board; conducts administrative studies of County operations, procedures and department budget requests; prepares recommendations to departments and to the Board for decision; prepares overall budget for the County; and does related work as required. Key guiding principles are: Focus on serving our residents and business communities by: ✹ Adopting carefully considered policies ✹ Staying competitive through the implementation of proven practices and the effective use of technology ✹ Delivering services in a business and constituent friendly, customer-service driven, cost effective manner ✹ Utilizing strategic thinking and action ✹ Promoting an action-oriented, empowered, and accountable workforce ✹ Planning for and developing programs to meet future needs ✹ Operating in a fiscally responsible manner ✹ Driving engagement, strategy, execution, and accountability to include diversity, equity, and inclusion initiatives to ensure that all employees are treated with respect and without discrimination, and to improve culturally appropriate outcomes for community members.	8/2/2022 11:57 AM
5	The City Administrator’s Office oversees approximately 26 different departments, divisions, and programs. See https://sf.gov/departments/city-administrator/about for more information.	7/29/2022 3:38 PM
6	Serve as the Chief Executive Officer in planning, organizing, directing and reviewing the functions and activities of the County; assist in establishing, monitoring, evaluating, and revising Department and County goals, objectives, policies, and procedures; coordinate activities with outside agencies; and provide highly responsible and complex administrative support to the Board of Supervisors. Direct the development of the annual budget, financial forecasting and long range strategic planning; consult with and advise other key County management staff regarding County-wide policy issues and participate in the development of standards and programs relating to these policies; monitor County policy to ensure compliance with federal, state, and local legislation; direct staff in the planning, resource allocation, budgeting and record systems needed to meet the County Executive Officer's diverse responsibilities; represent the County before state, federal, and local regulatory, advisory, and governing bodies with respect to County matters. Full job description can be found here: https://www.governmentjobs.com/careers/sanmateo/classspecs/5581	7/20/2022 5:27 PM
7	Oversee all aspects of the Countywide budget, real property asset management, capital programs, risk management, countywide communications, chief information office, homeless initiative, alternatives to incarceration initiative, countywide classification and compensation, emergency management, labor negotiations and employee relations, state and federal legislative advocacy, women and girls initiative, antiracism, diversity and inclusion initiative.	7/19/2022 2:58 PM

Santa Clara Response: The County Executive serves as the head of the administrative branch of the County and is responsible for executive leadership and oversight of all administrative affairs of County government. The County Executive provides support to the Santa Clara County Board of Supervisors and manages the strategic direction of the County organization, overseeing implementation of Board-directed policies and programs, ensuring implementation of other legislative mandates, providing budgetary oversight for the County organization, and coordinating work to support the delivery of excellent County services. The County Executive's responsibilities also include, appointing all officers and department heads (with the exception of elected officers and Board-appointed officers as indicated in the County Charter), directing preparation of the annual recommended budget of the County for the Board of Supervisors, administration and oversight of the budget following its adoption, and recommending to the Board of Supervisors needed amendments to the Administrative Code.

Q5 Does your county's executive administrator oversee your county's auditor-controller/controller treasurer?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	28.57%	2
No	71.43%	5
TOTAL		7

Santa Clara Response: Yes

Q6 How many county staff report directly to your county's executive administrator?

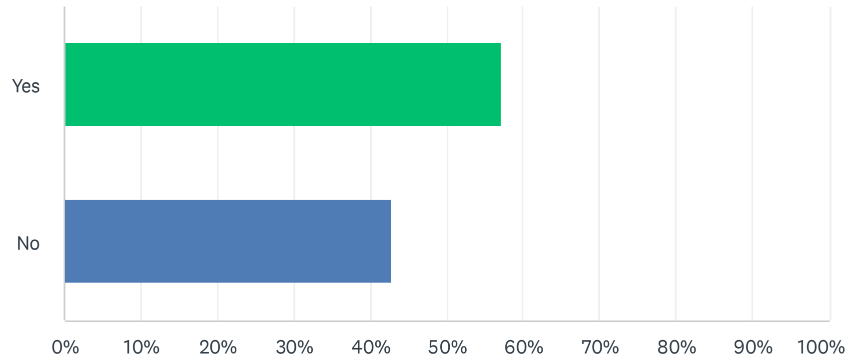
Answered: 7 Skipped: 1

#	RESPONSES	DATE
1	9	8/8/2022 2:23 PM
2	8	8/4/2022 1:21 PM
3	7	8/3/2022 8:18 AM
4	21	8/2/2022 12:50 PM
5	1,300	7/29/2022 3:40 PM
6	7	7/20/2022 5:28 PM
7	5	7/19/2022 2:58 PM

Santa Clara Response: 20

Q7 Does your county have a chief operating officer in addition to your executive administrator?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	57.14%	4
No	42.86%	3
TOTAL		7

Santa Clara Response: Yes

Q8 Please describe the key roles and responsibilities of your county's chief operating officer.

Answered: 4 Skipped: 4

#	RESPONSES	DATE
1	Oversees the implementation of certain initiatives in specific areas of the organization.	8/8/2022 2:24 PM
2	The County's Deputy CEO functions as a Chief Operating Officer and is responsible for overseeing the operations and performance of the appointed departments. In achieving this function, the COO works alongside the CEO to implement Board directives, assist departments in coordinating inter-county initiatives and special projects, and provide support to department heads in navigating the Board of Supervisors. The COO can make and review policies pertaining to operations of programs and administrative functions within the County. Finally, the COO is responsible for managing the County's Performance Audit program.	8/3/2022 8:18 AM
3	The Assistant County Executive Officer is the primary back-up to the County Executive Officer in the roll of the principal executive official of the county. Responsible for the overall operation of the County Executive Office; Acts for the County Executive Officer in his absence in such matters as attending official meetings of the Board of Supervisors; Manages the basic program areas of Government Affairs, CEO Financial Administration, Community Development; Public Information, Clerk of the Board, Economic Vitality and Service Excellence. Selects, trains, supervises and evaluates subordinate staff. Conducts research, performs studies, and makes investigations designed to determine if greater economy of efficiency may be achieved in conducting the administrative activities of the County and implements modifications which will improve County administrative processes.	8/2/2022 12:50 PM
4	Manage the day-to-day operations of the department, including the departmental operating budget and associated budget units, departmental human resources, contracting, and IT. Direct supervisory authority over the chief budget officer, risk manager, asset manager, chief communications officer, chief legislative advocate, and administrative deputy. Executive responsibility over the emergency manager and chief information officer, among others. Lead implementation/operations of countywide special programs (e.g., COVID vaccine mandate for employees).	7/19/2022 3:58 PM

Santa Clara Response: The County's Chief Operating Officer is responsible for executive leadership and management oversight of County operations. The COO works closely with agency and department heads and other leaders to support the delivery of high-quality County services, execute Board initiatives and programs, ensure effective communication and coordination across departments, implement new policies and systems, and ensure compliance with rules and regulations. The COO also provides departmental leadership for the Office of the County Executive and supports the County Executive and Board of Supervisors in efforts to balance priorities across the county organization.

Q9 How many county staff report directly to your county's chief operating officer?

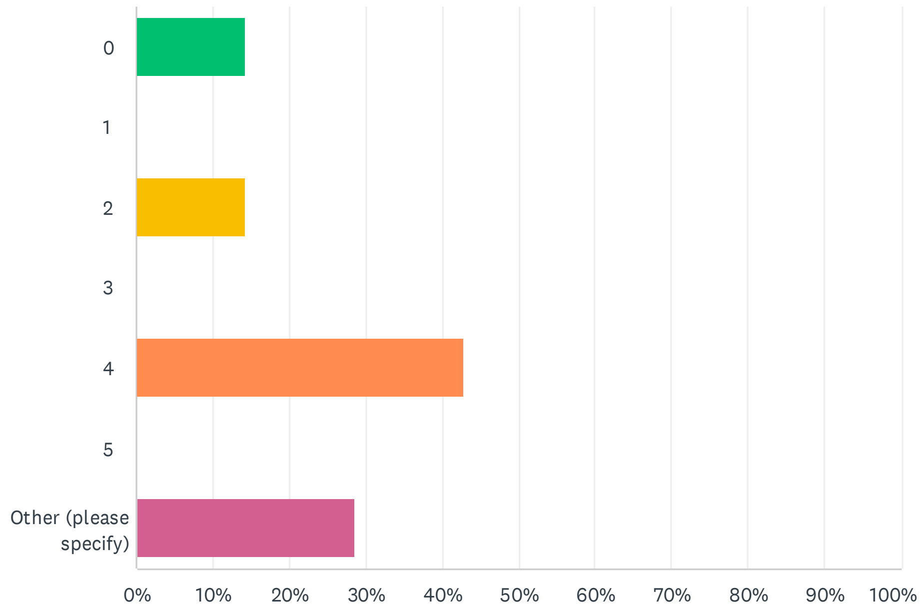
Answered: 4   Skipped: 4

#	RESPONSES	DATE
1	4	8/8/2022 2:24 PM
2	13	8/3/2022 8:20 AM
3	10	8/2/2022 12:50 PM
4	10	7/19/2022 4:03 PM

Santa Clara Response: 15

Q10 How many deputy or assistant executive administrators does your county have (NOT including the chief operating officer)?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
0	14.29%	1
1	0.00%	0
2	14.29%	1
3	0.00%	0
4	42.86%	3
5	0.00%	0
Other (please specify)	28.57%	2
TOTAL		7

#	OTHER (PLEASE SPECIFY)	DATE
1	11 (including 4 specific to Finance functions)	8/8/2022 2:25 PM
2	6.0 "branch managers" consisting of 1.0 senior assistant CEO and 5.0 assistant CEOs.	7/19/2022 4:07 PM

Santa Clara Response: 7

Q11 What are the primary roles and responsibilities of your deputy or assistant county executive administrators?

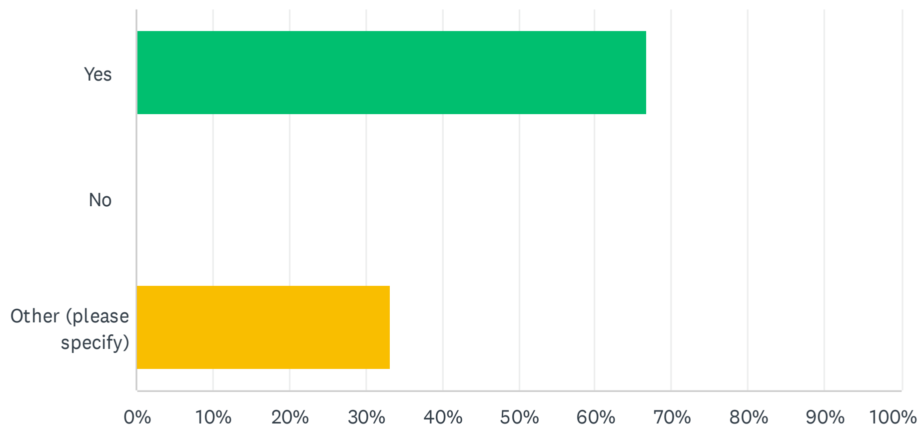
Answered: 6 Skipped: 2

#	RESPONSES	DATE
1	Provide direction and oversight to a group of County departments	8/8/2022 2:26 PM
2	Examples of Duties, Knowledge, and Abilities Duties may include, but are not limited to, the following: • Through department heads, plans, organizes, directs, and monitors the activities of the Agency to achieve efficient operation and meet internal and external organization and service goals. • Through department heads, oversees the development and implementation of programs and projects to enhance services, control costs and resolve problems. • Oversees and participates in the development, implementation, and monitoring of Agency work standards and administrative policies and procedures. • Identifies future needs of the Agency and County, and directs the development of strategies for meeting changing needs, correct problems, achieve priority objectives, and improve service efficiency and effectiveness in a manner that promotes stakeholder and community involvement; establishes long-term goals. • Represents the agency, department(s) or the County before a variety of groups such as elected officials, advisory boards, public and private agencies, the general public and media; meets with the Board of Supervisors, County Executive, and Chief Operations Officer to discuss issues affecting the agency. • Oversees the coordination of the assigned agency's administrative operations with other county agencies, outside agencies, and public and private organizations. • Administers the budget and fiscal process of the Agency; consults with assigned staff to prepare budgets that support the County's objectives and priorities. • Selects, develops, motivates, and evaluates subordinate staff; evaluates department heads assigned to the agency • Other duties and responsibilities as assigned by County Executive or Chief Operations Officer.	8/4/2022 1:23 PM
3	Chief Financial Officer Human Resources Director	8/2/2022 12:51 PM
4	*Oversee programs which are part of their portfolio; *Develop and implement strategies to support core operations and make processes fast, automated, transparent and positioned for long-term continuity; *Actively recruit, mentor, and develop talent from within and to the office; *Model a problem-solving, learning and collaborative office culture; *Use relationships, position, authority to convene stakeholders and build partnerships to improve operations; *Take ownership for the success of those Citywide or cross-departmental initiatives	7/29/2022 3:55 PM
5	Plan, organize and direct either the fiscal or legislative and strategic planning activities of the County including directing the development of the County budget, evaluating fiscal and budgetary procedures and policies and coordinating the fiscal activities of all County departments to assure maximum effectiveness of County resources; directing the development of the County strategic plan and legislative agenda; coordinate activities with departments; and provide highly responsible and complex administrative support to the County Executive Officer. Full job description available here: https://www.governmentjobs.com/careers/sanmateo/classspecs/5616	7/20/2022 5:37 PM
6	Each assistant CEO manages a branch: (1) asset management (real estate, master planning, capital projects); (2) administration (classifications and compensation, emergency management, departmental IT/facilities/budget/HR); (3) budget and operations management (countywide budget, finance, operations, and labor relations); (4) policy alignment and implementation (chief information office, service integration, center for strategic partnerships with philanthropy, women and girls initiative, antiracism, diversity and inclusion initiative); (5) risk management (insurance, privacy, and cybersecurity); and (6) legislative affairs (state and federal advocacy, bill analysis, intergovernmental relations). Each assistant CEO is a direct report to the chief operating officer. The chief communications officer manages the Countywide Communications branch and is a direct report to the chief operating officer, but is at the level of a senior manager (two salary schedules below assistant CEO).	7/19/2022 5:10 PM

Santa Clara Response: In addition to their portfolio of assignments, the DCE's role is to ensure that the department leaders' activities and programs are aligned with the values and vision of the entire County. They ensure that there is a consistent countywide approach between departments that supports those values and vision. It is the responsibility of DCEs to resolve issues between departments, and be an independent and trusted neutral facilitator. The responsibilities also include advising department leaders, and ensuring effective communication and coordination between departments. DCEs ensure that the department leaders are goal oriented when it comes to carrying out Board policies and direction. DCEs are also responsible for coordinating large countywide initiatives that involve multiple departments, including especially challenging issues that need resolution.

Q12 Do your assistant or deputy county executive administrators have specific portfolios of projects, programs, county operating departments, and/or other functions that they oversee?

Answered: 6 Skipped: 2



ANSWER CHOICES	RESPONSES	
Yes	66.67%	4
No	0.00%	0
Other (please specify)	33.33%	2
TOTAL		6

#	OTHER (PLEASE SPECIFY)	DATE
1	The CFO - oversees the development of the County Budget and the budget analyst team that works with assigned departments on budget analysis The HR Director - oversees County Human Resources	8/2/2022 12:51 PM
2	Yes. See response to question 11. Each branch works across county departments. For example, the budget and operations branch works with departments on budget and labor relations issues; the asset management branch works with departments on their leased facilities and department-related capital programs.	7/19/2022 5:11 PM

Santa Clara Response: Yes

Q13 Please summarize the following:1) The composition of these portfolios2) Any major structural differences between portfolios of different deputy county executives, if applicable.

Answered: 6 Skipped: 2

#	RESPONSES	DATE
1	Human Services, Community Revitalization, Development Services, Community Services, Special Projects- Board agenda and specific areas within Finance	8/8/2022 2:29 PM
2	https://www.saccounty.gov/Government/Documents/CountyOrgChart.pdf Please see link, we have 4 Deputy County Executives: Administrative Services, Public Safety and Justice, Community Services, and Social Services.	8/4/2022 1:25 PM
3	See previous question.	8/2/2022 12:51 PM
4	1) CFO (fiscal, HR, IT, admin) with divisions focused on citywide technology and communications 2) portfolio of divisions connected in contracting, procurement and grants 3) portfolio of primarily public-facing divisions focused on public accessibility, public safety and enforcement 4) portfolio of divisions involved in core public infrastructure planning and maintenance	7/29/2022 3:58 PM
5	As determined by the County Executive Officer, the Assistant County Executive and Deputy County Executives shall be responsible for the oversight of the heads of the departments as well as any divisions of the Office of the County Executive Officer. In the County Manager's discretion, the responsibilities of the Assistant and Deputy County Executives may include oversight of other entities or subject areas including, but not limited to, resource management, the administration of contracts between the County and the Local Agency Formation Commission (LAFCo) and the Library Joint Powers Agency, the County's legislative efforts, strategic planning, and special projects. The County Org Chart can better define which departments they each oversee: https://www.smcgov.org/ceo/county-executives-office-organizational-chart	7/20/2022 5:37 PM
6	See response to question 11.	7/19/2022 5:12 PM

Santa Clara Response:

1) DCEs typically have portfolios that include oversight of specific divisions, (e.g., Office of Supportive Housing) and/or oversight of specific projects, (COVID response; jail replacement).

2) There are no significant structural differences across DCE portfolios.

Q14 Which county directors and operating departments report to the following authorities (please include responses for ALL applicable authorities)?

Answered: 7 Skipped: 1

ANSWER CHOICES	RESPONSES	
Board of Supervisors	85.71%	6
County's executive administrator	85.71%	6
County's chief operating officer	71.43%	5
Deputy or assistant executive administrators	57.14%	4
Other	42.86%	3

#	BOARD OF SUPERVISORS	DATE
1	DA, Sheriff, ATC, ARC, County Counsel, Clerk	8/8/2022 2:32 PM
2	CEO, County Counsel	8/4/2022 1:27 PM
3	County Executive Officer, County Counsel, Clerk of the Board, Internal Audit, OC Ethics Commission, Office of Independent Review	8/3/2022 8:24 AM
4	Air Pollution Control Director, County Counsel	8/2/2022 12:51 PM
5	All non-elected departments roll up to the Board of Supervisors	7/20/2022 5:39 PM
6	All department heads report directly to the Board of Supervisors.	7/19/2022 5:15 PM
#	**COUNTY'S EXECUTIVE ADMINISTRATOR**	**DATE**
1	COO, AEO, DEO, County Communications, County Fire, Hospital Director, Probation, Public Defender	8/8/2022 2:32 PM
2	Budget, Clerk of Board, PIO, Legislative Affairs, all report through the Deputy County Executives	8/4/2022 1:27 PM
3	Deputy CEO, Chief Financial Officer, Chief Real Estate Officer, Chief Human Resources Officer, Chief Information Officer, Director of Government & Community Relations	8/3/2022 8:24 AM
4	Airport, Ag Commissioner, Area Agency on Aging, Animal Services, Child Support Services, Fire Protection District, General Services, Harbor, Health Care Agency, Human Services Agency, Information Technology Services, Library, Medical Examiner, Probation Director, Public Defender, Public Works, Resource Management Agency	8/2/2022 12:51 PM
5	All non-elected departments roll up to the CEO	7/20/2022 5:39 PM
6	N/a	7/19/2022 5:15 PM
#	**COUNTY'S CHIEF OPERATING OFFICER**	**DATE**
1	CEO	8/8/2022 2:32 PM
2	N/A	8/4/2022 1:27 PM
3	Performance Management & Policy (2), Probation, Public Defender, Child Support Services, Health Care Agency, OC Community Resources, Social Services Agency, John Wayne Airport, OC Public Works, OC Waste & Recycling, Registrar of Voters	8/3/2022 8:24 AM
4	NA	7/20/2022 5:39 PM

#		DATE
5	N/a	7/19/2022 5:15 PM
#	**DEPUTY OR ASSISTANT EXECUTIVE ADMINISTRATORS**	**DATE**
1	AEO, COO or CEO	8/8/2022 2:32 PM
2	https://www.saccounty.gov/Government/Documents/CountyOrgChart.pdf	8/4/2022 1:27 PM
3	County Executive Officer	7/20/2022 5:39 PM
4	N/a	7/19/2022 5:15 PM
#	**OTHER**	**DATE**
1	Assessor, Auditor, Clerk Recorder/Elections, Treasurer-Tax Collector, Sheriff, District Attorney are elected by the voters	8/2/2022 12:51 PM
2	unclear on this question, unless you want all 50+ departments listed somewhere above	7/29/2022 3:59 PM
3	N/a	7/19/2022 5:15 PM

Santa Clara Response:

Board of Supervisors - County Executive, County Counsel, Clerk of the Board,Department of Child Support Services, Public Defender,Chief of Correction

County's executive administrator - Chief Operating Officer, ESA, HHS, Deputy County Executives, SSA, County Library, Medical Examiner/Coroner, VHP, OBA, TSS, Finance Agency,Office of Emergency Management

County's chief operating officer - Procurement, CEO, Risk Management, Privacy Office,Information Security Office, Internal Audit, Office of Supportive Housing, Office of Reentry Services, Asset &Economic Development, HHS Compliance

Deputy of assistant executive administrators - Planning, Parks, Roads & Airports, FAF, CEPA, Pretrial Services, County Fire, Probation, County Communications, Custody Health, Public Health, Valley Medical Center Hospitals & Clinics, Behavioral Health,Division of Equity and Social Justice, Vietnamese American Service Center, LAFCO, Office of Sustainability, Integrated Pest Management, Facility Security, Employee Wellness, Office of Mediation & Ombuds Services

Q15 How many distinct offices, divisions, or units are within your county's executive department/office?

Answered: 7 Skipped: 1

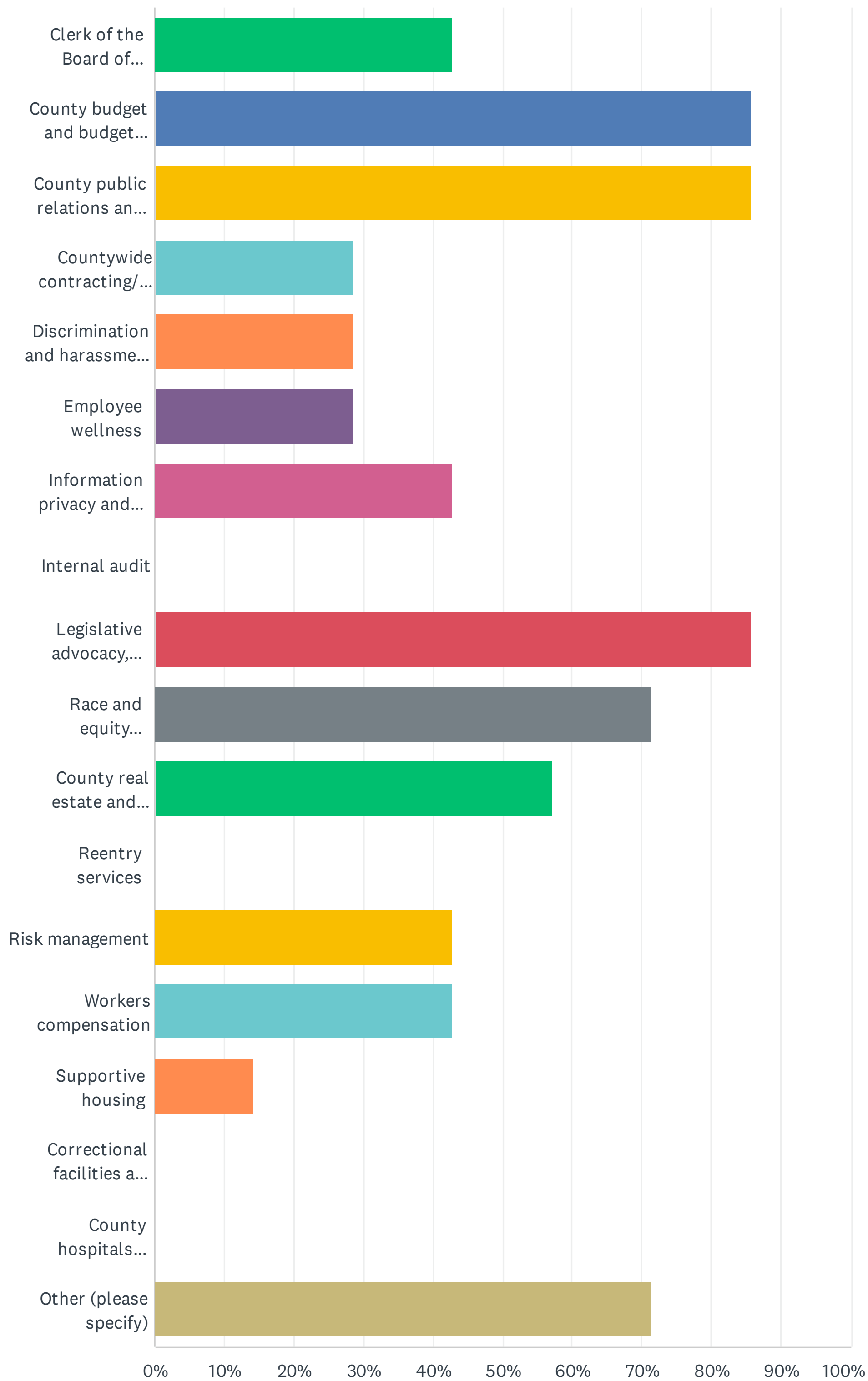
#	RESPONSES	DATE
1	6	8/8/2022 2:32 PM
2	https://www.saccounty.gov/Government/Documents/CountyOrgChart.pdf	8/4/2022 1:27 PM
3	6	8/3/2022 8:24 AM
4	Three Divisions - HR, Budget and Finance, Administration	8/2/2022 12:52 PM
5	26 departments and major programs, not including HR, Accounting, IT, and Budget/Planning divisions	7/29/2022 4:01 PM
6	6	7/20/2022 5:40 PM
7	The CEO's office is divided among seven branches (asset management, budget and operations management, administration, policy integration and alignment, legislative affairs and intergovernmental relations, risk management, and countywide communications) and three standalone initiatives (homeless initiatives, alternatives to incarceration, and jail closure implementation team).	7/19/2022 5:20 PM

Santa Clara Response: 45

Q16 Which of these functions are fulfilled by your county's executive department/office (check ALL that apply)?

Answered: 7 Skipped: 1

CEO Audit Survey



CEO Audit Survey

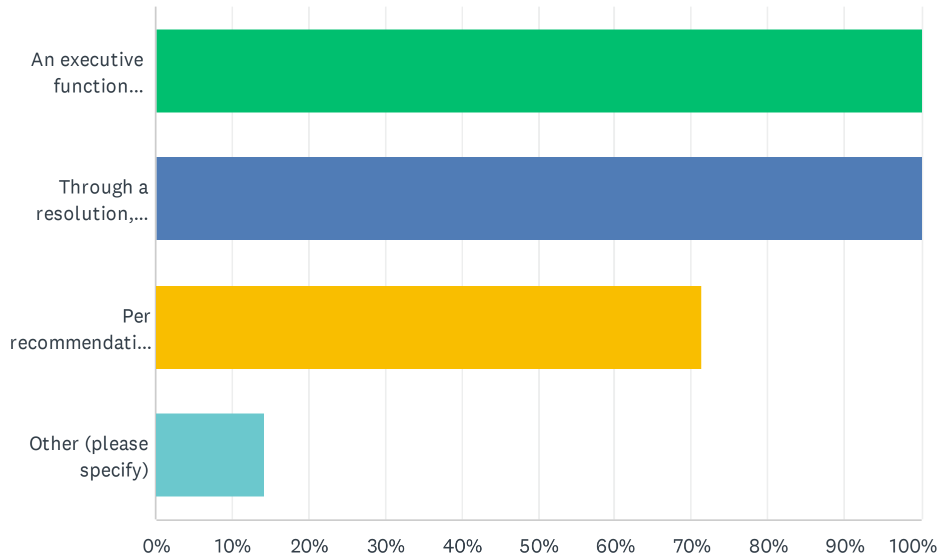
ANSWER CHOICES	RESPONSES	
Clerk of the Board of Supervisors	42.86%	3
County budget and budget analysis	85.71%	6
County public relations and communications	85.71%	6
Countywide contracting/purchasing management	28.57%	2
Discrimination and harassment investigations	28.57%	2
Employee wellness	28.57%	2
Information privacy and security	42.86%	3
Internal audit	0.00%	0
Legislative advocacy, analysis, and intergovernmental relations	85.71%	6
Race and equity strategy, policy, and community services	71.43%	5
County real estate and asset management	57.14%	4
Reentry services	0.00%	0
Risk management	42.86%	3
Workers compensation	42.86%	3
Supportive housing	14.29%	1
Correctional facilities and policies management	0.00%	0
County hospitals and/or mental and behavioral health services management	0.00%	0
Other (please specify)	71.43%	5
Total Respondents: 7		

#	OTHER (PLEASE SPECIFY)	DATE
1	Sustainability	8/4/2022 1:28 PM
2	Office of Care Coordination, Information Technology	8/3/2022 8:26 AM
3	Economic Vitality, Arts & Creative Economy, Service Excellence, Community Liaison, Sustainability, State Water Grants	8/2/2022 12:55 PM
4	Sustainability, Employee Well-Being	7/20/2022 5:41 PM
5	The CEO's office works on developing countywide contract equity and streamlining processes but does not administer countywide purchasing and contracting. These are provided by the Internal Services Department or directly within each department. The CEO's alternatives to incarceration initiative holds contracts that provide some reentry services, but most of these services are provided by departments. The CEO's alternatives to incarceration initiative and jail closure implementation team work on countywide diversion and reentry services and jail depopulation efforts. The CEO's homeless initiative contains an affordable housing unit that administers the County's $100 million annual affordable housing trust fund that funds affordable housing acquisition and operation. The CEO's homeless initiative also administers a voter-approved local tax measure that provides close to $500 million each year for interim and permanent supportive housing; however, departments other than the CEO administer the contracts that provide for the operation of the housing.	7/19/2022 5:26 PM

Santa Clara Response: County budget and budget analysis,County public relations and communications, Countywide contracting/ purchasing management, Discrimination and harassment investigations, Employee wellness, Information privacy and security, Internal audit, Legislative advocacy, analysis, and intergovernmental relations, Race and equity strategy, policy, and community services, County real estate and asset management, Reentry services, Risk management, Workers compensation, Supportive housing

Q17 What was the basis for creating each of the offices, divisions, or units within the county's executive department/office (check ALL that apply)?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
An executive function explicitly outlined in the County Charter, County Ordinance Code, or other local law	100.00%	7
Through a resolution, policy, or other action by the Board of Supervisors	100.00%	7
Per recommendation by the county's executive administrator	71.43%	5
Other (please specify)	14.29%	1
Total Respondents: 7		

#	OTHER (PLEASE SPECIFY)	DATE
1	Board of Supervisors has created certain functions within the CEO's office through budgetary approvals or other administration actions.	8/3/2022 11:46 AM

Santa Clara Response:

An executive function explicitly outlined in the County Charter, County Ordinance Code, or other local law
,
Through a resolution, policy, or other action by the Board of Supervisors
,
Per recommendation by the county's executive administrator

Q18 How many new offices, divisions, or units were created within your county's executive department/office within the last five fiscal years?

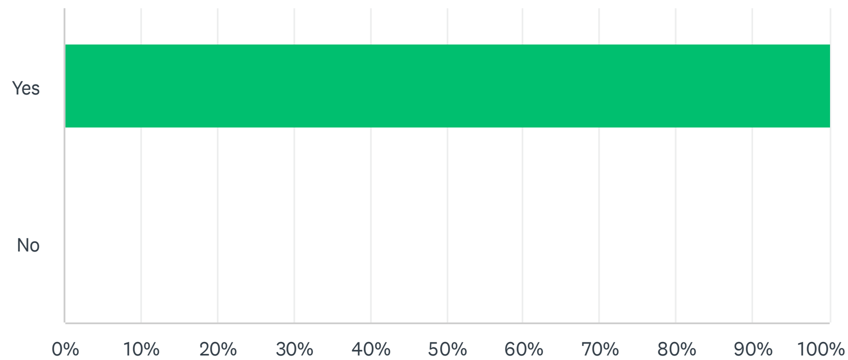
Answered: 7 Skipped: 1

#	RESPONSES	DATE
1	2	8/8/2022 2:34 PM
2	1 - Sustainability	8/4/2022 1:37 PM
3	1	8/3/2022 11:46 AM
4	3 - DEI, Sustainability, Arts & Creative Economy	8/2/2022 12:57 PM
5	0	7/29/2022 4:05 PM
6	1	7/20/2022 5:42 PM
7	About 10, including the chief sustainability office, women and girls initiative, office of cannabis management, alternatives to incarceration initiative, antiracism, diversity and inclusion initiative, jail closure implementation team, office of privacy, office of economic development and affordable housing, center for strategic partnerships, and the poverty alleviation initative.	7/20/2022 10:20 AM

Santa Clara Response: 17

Q19 In the event of turnover, does your county's executive department/office engage in any succession or business continuity planning for executive positions or managers of its offices, divisions, or units?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Santa Clara Response: Yes

Q20 Please describe the nature of this succession or business continuity planning.

Answered: 7 Skipped: 1

#	RESPONSES	DATE
1	Training and Development, Stretch assignments, interim roles.	8/8/2022 2:35 PM
2	The county does not have an official business continuity plan but does provide mentoring, leadership training, and assistant or deputy directors which would fill the role until a new director is appointed. If the opportunity is available, shadowing directors before they leave is leveraged.	8/4/2022 1:45 PM
3	In the event of a department head retirement/resignation/termination, the CEO's office is responsible for appointing an Interim department head while recruitment is initiated. The CEO and Deputy CEO/COO participate in all Executive level recruitments. While succession planning is primarily delegated to the department head, the CEO's office always encourages succession planning, provides executive training in areas such as media training, and meets with each department on a monthly basis in 1:1s to learn more about the department, including succession planning.	8/3/2022 11:47 AM
4	We have a training program (called LEAP) designed to equip future leaders as part of our succession strategy. Additionally our Continuity of Operations Plan (COOP) identifies backup/alternate departmental leaders who are authorized to step in if the department/agency leader or executive is incapacitated during a disaster.	8/2/2022 1:00 PM
5	It varies by program and circumstances. We may recruit for a deputy position with the intention that the person will grow into the program director role when it becomes available. We include a succession planning question as part of an annual review process with programs.	7/29/2022 4:09 PM
6	Pending	7/20/2022 5:52 PM
7	Los Angeles County Human Resources Department evaluates each department's succession planning. This plan forms the foundation to identify staff development opportunities and areas of executive strength/weakness.	7/20/2022 10:22 AM

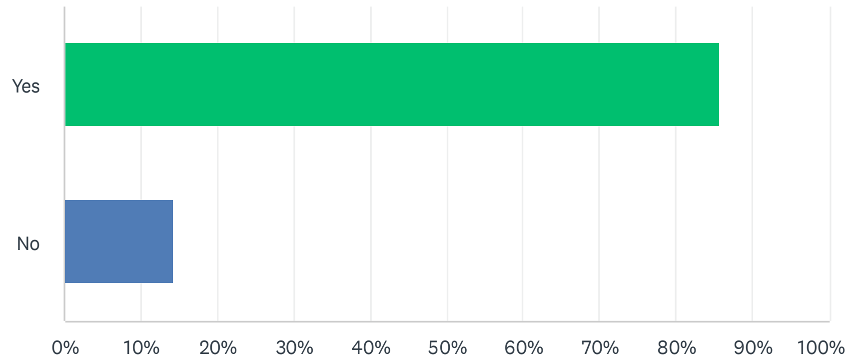
Santa Clara Response: The SCC Continuity of Operations Plan (COOP) is one source of business continuity plan. This document outlines staff and space alternatives in the event of an emergency. In addition, the County maintains executive succession with Board of Supervisors approval.

Note: The respondent that answered "pending" emailed the following additional response to auditors:

Continuity planning has included double filling positions, creating executive leadership training cohorts, rotational assignments to bring staff into the County Executive's Office, promotion of participation in County, ICMA and professional organization leadership and executive coaching programs and providing coaching to senior executives to prepare them for the next step in their career.

Q21 Were any staff from your county's executive department/office temporarily deployed as pandemic-related disaster service workers?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	85.71%	6
No	14.29%	1
TOTAL		7

Santa Clara Response: Yes

Q22 For these deployed staff, were there any re-integration policies, procedures, or processes to guide their return to regular work within the county's executive department/office? If yes, please describe below. If no, write "N/A".

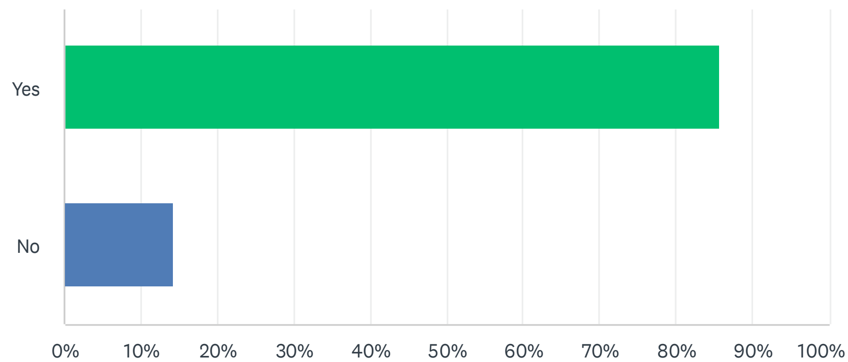
Answered: 6 Skipped: 2

#	RESPONSES	DATE
1	Our DSW role was mainly staffing the Emergency Operations Center. These were additional duties while still holding their positions within County Executive Office	8/4/2022 1:47 PM
2	Departments, including the CEO's office, are responsible for deploying staff to emergency responses efforts such as the COVID-19 response. Departments work with those individuals on assuring coverage and managing reentry after the emergency related response is complete.	8/3/2022 11:47 AM
3	We had a reception for the disaster workers as well as a forum for our disaster workers to share their experiences as they transitioned back to their work in the department.	8/2/2022 1:11 PM
4	N/A	7/29/2022 4:10 PM
5	NA	7/20/2022 5:52 PM
6	N/A	7/20/2022 10:22 AM

Santa Clara Response: Based on the needs of emergency response, OEM recommends DSW deactivation as appropriate. The employee and their supervisor are notified. Appropriate system changes are made (timekeeping, badge access, etc), and employee returns to home assignment.

Q23 Does your county's executive department/office provide written responses to formal requests or questions (i.e., referrals) from the Board of Supervisors?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	85.71%	6
No	14.29%	1
TOTAL		7

Santa Clara Response: Yes

Q24 Please describe the process for receiving and responding to these formal referrals from the Board of Supervisors.

Answered: 6 Skipped: 2

#	RESPONSES	DATE
1	Board Briefings	8/8/2022 2:35 PM
2	Formal Referrals from the Board/County are managed by the Clerk of the Board's office. Questions, follow-ups, etc are managed by the Executive Office and responded to in writing.	8/4/2022 1:59 PM
3	The Clerk of the Board tracks formal Board Directives made as part of the Board of Supervisors meetings. These directives can be made to the CEO or to individual department(s) who are responsible for providing the response and tracking those responses through the Board Directives tracking system.	8/3/2022 11:48 AM
4	We typically do not receive formal requests from Board members, but in the event we receive email correspondence with questions or referrals we do respond to some via email or we meet with the Supervisor's Office regarding the request or referral.	8/2/2022 1:13 PM
5	Depending on the request, the CEO will assign to appropriate Deputy County Executive who will work with appropriate department or individual in obtaining needed information. Depending on request, response could be in the form of a Board Members' memo, full-on report in front of the Board, and/or resolution.	7/20/2022 5:52 PM
6	There are three primary ways the CEO's office receives and responds to Board inquiries/referrals: (1) Board of Supervisors' motions: the Board regularly (i.e., multiple motions each meeting) directs the CEO to report back in writing on an issue. These reports back (deadlines etc.) are monitored by the Clerk of the Board. Written responses are distributed via email to each Board office and posted to the County's publicly accessible Board correspondence site: https://lacounty.gov/government/board-of-supervisors/board-correspondence/?department=OMD&lang=&querytext=&searchTerm=1&Title=1&Content=1&agency=CEO&fromDate=07%2F20%2F2021&toDate=07%2F20%2F2022&rowsPerPage=10. (2) Formal Board referrals: constituent inquiries are sometimes referred to the CEO for evaluation and response. This is done by formal letter from a Supervisor referring an item to the CEO's office. These are tracked as time-sensitive assignments within the CEO's office. The CEO will provide a written response to the constituent and submit a copy of the response under separate cover to the requesting Supervisor. (3) Informal Board requests: sometimes a Supervisor will ask the CEO to analyze or respond to an issue. The CEO may provide a written response, often via email.	7/20/2022 10:28 AM

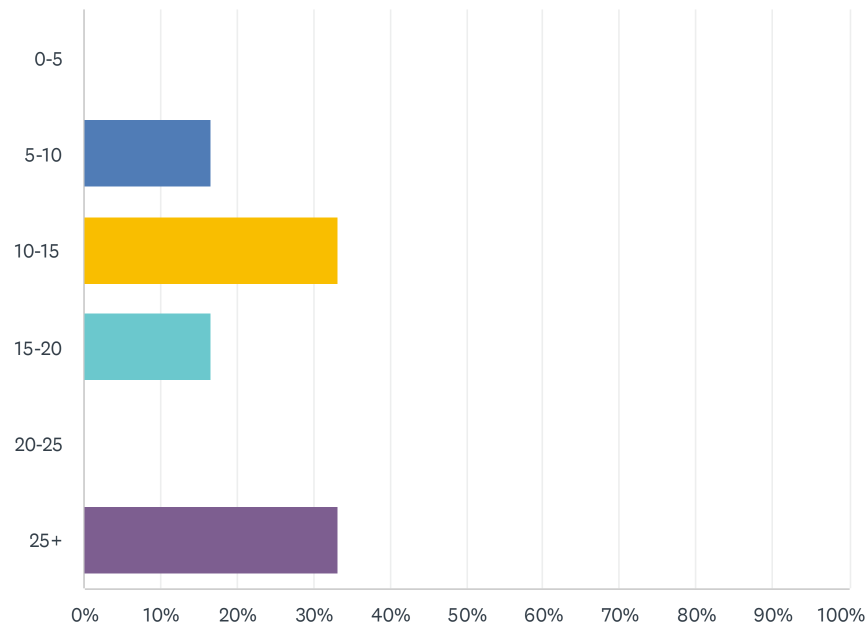
Santa Clara Response: Board agenda management staff from the Office of the County Executive review all Board referrals and coordinate with executive management and relevant program staff to assign referrals to the appropriate department(s) and staff member(s) to coordinate a response. The status of all outstanding responses to Board referrals are monitored and tracked on a biweekly basis by CEO agenda management staff through the BOS referral matrix, in coordination with the Clerk of the Board with regular input and updates from all County departments.

Note: The respondent for answer 5 above emailed the following additional response to auditors:

The County Executive's Office logs all requests from Board members into a database. Depending on the request, the CEO assigns the appropriate Deputy County Executive who works with department staff to obtain the requested information and prepare a response. Depending on request, response could be range from an email to a new program plan and funding request to the Board.

Q25 On average, approximately how many referrals does the county's executive department/office receive per month from the Board of Supervisors?

Answered: 6 Skipped: 2



ANSWER CHOICES	RESPONSES	
0-5	0.00%	0
5-10	16.67%	1
10-15	33.33%	2
15-20	16.67%	1
20-25	0.00%	0
25+	33.33%	2
TOTAL		6

Santa Clara Response: 25+

Note: One of the respondents that answered "10-15" emailed the following additional response to auditors:

5-15

Q26 If not your county's executive department/office, who is responsible for responding to formal referrals from the Board of Supervisors?

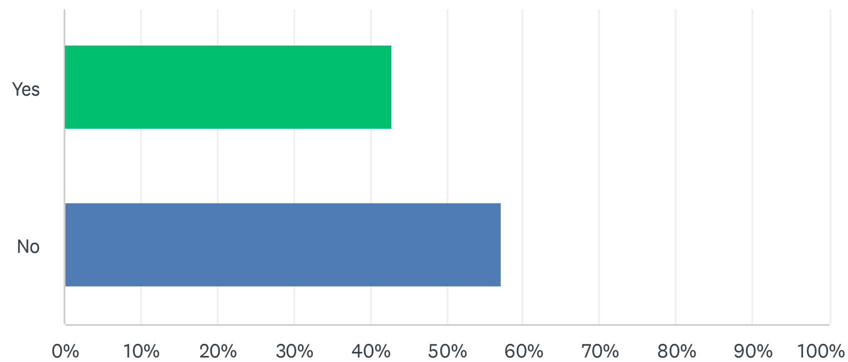
Answered: 1 Skipped: 7

#	RESPONSES	DATE
1	Referrals from the Board of Supervisors typically request attendance at a hearing rather than a written response. Our office would attend the hearing as requested based on the subject matter.	7/29/2022 4:14 PM

Santa Clara Response: Skipped due to conditional formatting of survey.

Q27 Does your county's executive department/office have a centralized contracts management and policy function that is separate from the county's main purchasing and procurement function?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	42.86%	3
No	57.14%	4
TOTAL		7

Santa Clara Response: Yes

Q28 Describe the difference between these two functions.

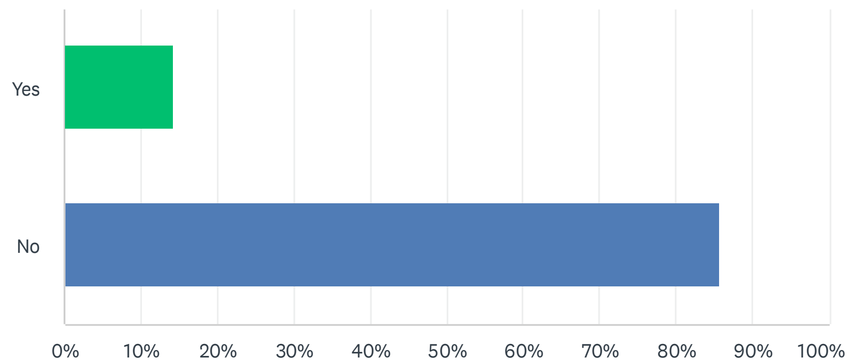
Answered: 3 Skipped: 5

#	RESPONSES	DATE
1	County Policy and proposed Charter Amendments are facilitated through the administrative office. Purchasing is responsible for all other types of contracts for goods and services.	8/8/2022 2:36 PM
2	• County Procurement Office acts as the centralized contracts management and policy function overseeing 22 departments with over 250 Deputy Procurement Agents (DPAs) • The main purchasing and procurement function resides within each of the 22 departments procurement unit/divisions	8/3/2022 11:50 AM
3	The CEO's office helps develop countywide contracting policy. For example, the Board has directed the CEO to lead a contract streamlining/equity in county contracting effort to help CBOs access County opportunities. Contracting is federated in LA County. Each department handles its own contracting, using standard contracting models developed by the CEO and the Internal Services Department. The Internal Services Department handles procurement for smaller departments that do not have a procurement office.	7/20/2022 10:30 AM

Santa Clara Response: The CEO’s office has its own small contracting unit that provides support to program staff within the CEO’s office related to competitive solicitation, contract development, vendor support, and other contracting processes. The CEO’s office also includes the Office of Countywide Contract Management (OCCM), which works closely with the Procurement Department to provide contracting training, resources, system management, and review of proposed exceptions and exemptions to contracting policies. The County’s Procurement Department provides centralized countywide purchasing (particularly for commodities like IT, telecommunications, office technology, facilities, and medical patient care supply chain contracting services). The Procurement Department also provides training, help desk support, vendor outreach, and many other services in support of the County’s decentralized contracting units across the organization.

Q29 Does the county's executive department/office centrally track the performance and evaluations of prior contractors to inform future purchasing activities?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	14.29%	1
No	85.71%	6
TOTAL		7

Santa Clara Response: No

Q30 What software system and process does your county use for this contractor performance tracking?

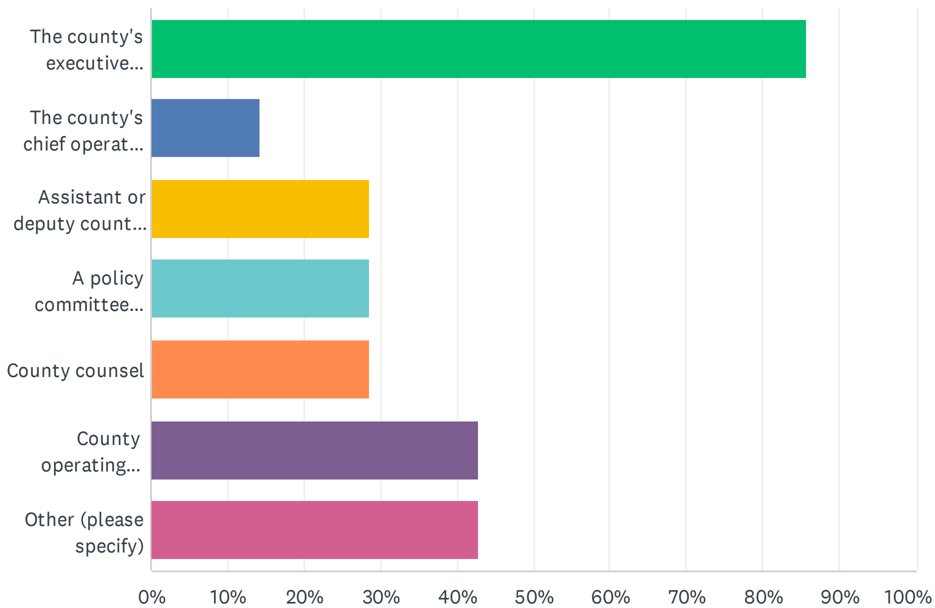
Answered: 1 Skipped: 7

#	RESPONSES	DATE
1	Currently it is a manual process with an evaluation form that is completed by Procurement and Department End User at each renewal term. However, these forms are stored in our automated in-house requisition system (Expediter) and are available for reference Countywide.	8/3/2022 11:50 AM

Santa Clara Response: Skipped due to conditional formatting of survey.

Q31 Within your county, which body is responsible for approving and finalizing countywide *administrative policies (check ALL that apply)? *This refers to policies that are not legally binding, unlike amendments to the County Ordinance Code or Charter, Board resolutions, etc.

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
The county's executive administrator	85.71%	6
The county's chief operating officer	14.29%	1
Assistant or deputy county executive administrators	28.57%	2
A policy committee comprised of Board appointees	28.57%	2
County counsel	28.57%	2
County operating departments	42.86%	3
Other (please specify)	42.86%	3
Total Respondents: 7		

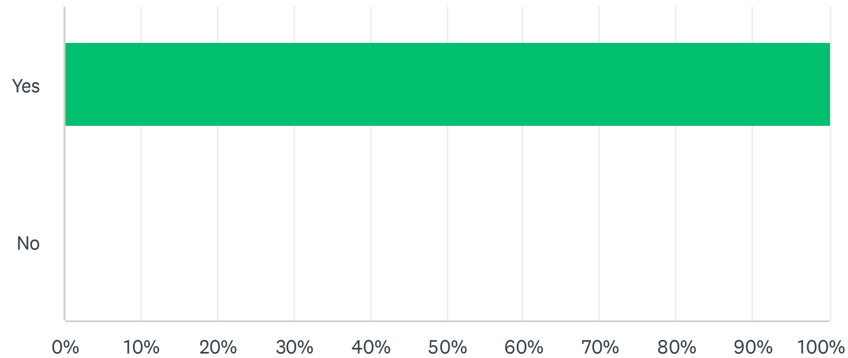
#	OTHER (PLEASE SPECIFY)	DATE
1	Some policies are approved by the CEO, others require CEO and Board Approval, some require only Board Approval, while yet others also require Auditor-Controller approval. Generally all policies are reviewed by County Counsel.	8/2/2022 1:17 PM
2	There are other policy bodies such as the Committee on Information Technology or the Capital Planning Committee (both under the CAO) which finalize countywide administrative policies.	7/29/2022 4:17 PM

3	Depending on the policy, the Board of Supervisors, the Auditor-Controller, the Department of Human Resources, and the Internal Services Department also approve countywide administrative policies.	7/20/2022 10:32 AM

Santa Clara Response: The county's executive administrator, The county's chief operating officer, County counsel

Q32 Does your county have any race and equity initiatives housed within your county's executive department/office?

Answered: 7 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	100.00%	7
No	0.00%	0
TOTAL		7

Santa Clara Response: Yes

Q33 How does this race and equity function coordinate with county operating departments and other entities to implement race and equity goals?

Answered: 7 Skipped: 1

#	RESPONSES	DATE
1	in progress	8/8/2022 2:37 PM
2	This is a recent initiative, we are close to rolling it out.	8/4/2022 2:29 PM
3	The County of Orange Equal Employment Opportunity (EEO) Access office (within the HRS/CEO group) develops and adheres to an EEO Plan that it submits to the federal government every two years. Within that plan, the EEO office analyzes areas where improvements can be made and creates objectives and steps to achieve higher levels of diversity in each job category as needed. The EEO office partners with the recruitment team to implement new and better ways to source, recruit, and select candidates that will lead to a more diverse workforce.	8/3/2022 11:51 AM
4	We have a DEI office within the County Executive Office. The DEI office is headed by the DEI Officer who reports to the CEO. The DEI Officer chairs our DEI Council that is comprised of department and agency leaders. Our DEI Officer also attends our Executive Committee Meeting comprised of all department/agency heads. The DEI work is coordinated through the work with the Executive Committee, DEI Council representatives and the CEO's communication with the agency/department leaders.	8/2/2022 1:19 PM
5	All city departments have Racial Equity Action plans which are coordinated through the Human Rights Commission. The CAO is not the lead for the initiative.	7/29/2022 4:19 PM
6	The Office of the Chief Equity Officer located within the County Executive Office manages/oversees/coordinates all DEI efforts with community partners and operating departments.	7/20/2022 5:55 PM
7	The CEO's antiracism, diversity and inclusion initiative (ARDI, https://ceo.lacounty.gov/ardi/) leads countywide policy development on antiracism and equity. ARDI provides both leadership and support on countywide efforts. ARDI leads by convening departments, establishing equity metrics, and tracking data from departmental programs.	7/20/2022 10:38 AM

Santa Clara Response:

In 2021, the Board of Supervisors approves a proposal for a new Office of Diversity, Equity & Belonging led by the first ever Chief Equity Officer. In early 2022, this new Office is launched. The goal of the office is to strengthen County and departmental programs, services, and policies to advance equity in government. The office does this by providing a matrix of services to the County organization, including:

- **Technical assistance**
- **Training**
- **Policy, practice and procedure review**
- **Coaching for departmental racial equity leads**
- **Facilitates a community of practice and peer network of practitioners**
- **Consultation**
- **Support system of accountability**
- **Monitoring and evaluation**
- **Coordination of the County's membership in GARE (Government Alliance on Racial Equity) network**
- **Data**

These services are further being implemented through the following"

- **Strategic plan and comms plan for the Office (this will be on the yet to be developed website.. but its coming)**
- **Participates on the equity in contracting process – diversity study of contracting led by procurement**
- **The development of a learning and training program**
- **Support and TA to Office of Budget and Analysis as it launches a Countywide Budget Equity Tool for budget FY 23/24 . This office will be a partner to OBA in providing TA, workshops, training**

Q34 Please describe any effective process, personnel, or restructuring improvements the county's executive department/office has made within the last five fiscal years. If none, write "N/A."

Answered: 7 Skipped: 1

#	RESPONSES	DATE
1	n/a	8/8/2022 2:38 PM
2	Need to research and gather the data, which we will provide in an email.	8/4/2022 2:31 PM
3	- As of July 2020, the CEO's office created a Deputy CEO position which oversees all appointed County departments, the Office of Care Coordination, and the Performance Management and Policy initiatives of the CEO's office. - In January 2022, the County Executive Office added a Language Access Coordinator position to the CEO Communications team to coordinate countywide language access efforts and translations. - Effective July 1, 2022, the County's Office of Care Coordination has returned to the County Executive Office to allow for greater coordination and collaboration with all impacted County Departments.	8/3/2022 11:52 AM
4	Over the last five years we have re-centralized much of the HR function, established a Sustainability Officer and team focused on climate action and sustainability efforts, established a DEI Council and a new creative arts/economy position and expanded our Community Liaison function to increase our outreach and engagement with the community. We recently established an ADA/DAFN position that works closely with our Office of Emergency Services to enhance emergency and disaster response for individuals having disability, access and/or functional needs. This new position also serves as our ADA officer. This effort is helping us to expand our capability and inclusivity across many of our service areas.	8/2/2022 1:24 PM
5	The portfolio breakout listed for the deputy city administrators was a restructuring improvement made in 2021. A new Government Operations initiative focused on procurement and HR and including the CAO, DHR, Controller and City Attorney was just started as part of the FY23 budget.	7/29/2022 4:21 PM
6	NA	7/20/2022 5:55 PM
7	Over the last five fiscal years, the CEO's office has established "initiatives" to respond to the County's greatest needs - homelessness, economic development, gender equity, antiracism, antipoverty, sustainability, among others. These initiatives are incubated in the CEO's office to establish countywide policies and align departmental operations with new goals. These initiatives are then transferred to an operating department where it continues its work.	7/20/2022 10:40 AM

Santa Clara Response:

***The creation/transfer of several offices to the Office of the County Executive in recent years has been effective in providing countywide perspective and coordination in some key areas (such as Employee Wellness, Information Security, and Risk Management).**
*** The recent creation of over 250 mostly classified positions to support ongoing needs related to the COVID-19 pandemic and future emergency response has proven to be a highly effective strategy which allowed Disaster Service Workers to return to their regular jobs while allow the County to provide a continuing robust pandemic response (e.g. continuing to run several mass vaccination clinics and testing sites, etc.).**

Q35 If you have any other comments about the above questions or your county's executive department/office, please discuss below.

Answered: 1 Skipped: 7

#	RESPONSES	DATE
1	LA County CEO may be unique in that no department formally reports to the CEO's office. In around 2015, the Board of Supervisors decided that all departments must report directly to the Board. This has created operational issues insomuch as the Supervisors are unable to effectively monitor the massive LA County operations. The CEO therefore acts as the de facto day-to-day oversight entity.	7/20/2022 10:42 AM

Santa Clara Response: Skipped.

County of Santa Clara
Office of the County Executive

County Government Center, East Wing
70 West Hedding Street
San Jose, California 95110
(408) 299-5105

DATE: July 11, 2023

TO: Board of Supervisors Management Audit Division

FROM: James R. Williams, County Executive
Greta S. Hansen, Chief Operating Officer

SUBJECT: Responses to Management Audit of the County of Santa Clara Office of the County Executive

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The Office of the County Executive (CEO) appreciates the opportunity to respond to your management audit, which contains many insightful findings and recommendations. As discussed below in our written response to the finalized audit report, CEO agrees or partially agrees with all of the Management Audit Division's findings. Our responses to the recommendations follow:

Section 1: Aligning the Office of the County Executive with its Mission

Recommendation 1.1

To bring the focus of the Office of the County Executive (CEO) back to its mission of overseeing Countywide services, develop and present to the Board of Supervisors a proposal to restructure the CEO to best reflect its core mission and performance of the County Executive's chartered duties. This proposal may include recommendations to shift the provision of direct services and associated CEO personnel to current or new County departments.

Response to Recommendation 1.1 – Agree

A high priority of new County Executive and Chief Operating Officer will be appraising the structure, function, and organizational placement of the divisions and programs that currently operate under the CEO umbrella. This assessment may result in administrative reorganization or restructuring of certain functions and divisions, as well as potential recommendations for actions by the Board of Supervisors to bring the Office of the County Executive into better alignment with its core mission.

Section 2: Streamlining, Prioritizing, and Tracking Board Referrals

Recommendation 2.4

Develop a universal referral matrix that includes referrals made through both the full Board of Supervisors and through the Board's Policy Committees. The matrix should also archive completed referrals from both sources and be updated with referral extensions and other changes.

Response to Recommendation 2.4 –Agree

CEO agrees with the development of a universal referral matrix, inclusive of activity in the Board's policy committees. Administration intends to initiate an iterative process to refine and update the referral matrix consistent with prior conversations with the Board.

Recommendation 2.5

Track the topic of each referral within the Board Referral Matrix in order to collect information on similarly requested topics to help inform County staff, the Board, and the public on which referral topics are currently being addressed and the topics that have been addressed over time.

Response to Recommendation 2.5 – Agree

As referenced above, CEO is in the process of re-evaluating the format and function of the referral matrix and will plan to track the topic area of referrals per the Management Auditor's recommendation.

Recommendation 3.1

Require divisions throughout the Office of the County Executive to record annual objectives and report their corresponding performance through the Measures of Success template. The Administration Division should maintain a record of these documents, and the Office should require division heads to discuss them annually with the Chief Operating Officer or the Chief Operating Officer's designee.

Response to Recommendation 3.1 – Partially Agree

CEO agrees with the recommendation to record and discuss annual performance objectives but disagrees with the Measures of Success template as the best tool. The Measures of Success framework is best suited for longer term goals (e.g., comparing projections with actuals, or metrics), and less suited for discrete tasks, objectives, and accomplishments. When meeting with division heads, the Chief Operating Officer or her designee will discuss appropriate performance measures to track, and the preceding year's results.

Recommendation 3.2

Direct the Administration Division to develop an onboarding manual for new Office employees describing standard Office procedures. This document can leave room for divisions within the Office of the County Executive to add their own addendums with division-specific information.

Response to Recommendation 3.2 – Agree

The Administration Division agrees with this recommendation and has been adding orientation, procedural, and departmental policy resources to the CEO Administration Intranet site over time. Further, the Administration Division has begun to build the framework for a more robust onboarding manual for new CEO employees that will leave room for divisions to add their own division-specific information.

Recommendation 3.3

Create centralized channels for its divisions to report social media accounts, contracts, and other recordkeeping materials the Office is responsible for to the central Administration Division, such as through a monthly check-in email.

Response to Recommendation 3.3 – Agree

CEO agrees with the recommendation to enhance centralized reporting and tracking across the department. The Administration Division intends to build a more comprehensive tracking list of all contracts, grants, and memoranda of understanding, as further discussed in the response to Recommendation 4.1. Among the records the Administration Division currently maintains include mandated trainings, Form 700, outside employment/incompatible activities, and other reporting. CEO agrees with the recommendation to centrally track social media accounts and is evaluating the most appropriate place within CEO for this to occur.

Recommendation 3.4

Develop a written protocol for reintegrating employees following temporary work assignments, such as activation as a Disaster Service Worker, and maintain a change log for the Office of the County Executive's Continuity of Operations Plan.

Response to Recommendation 3.4 – Partially Agree

Conceptually, a written protocol for reintegrating employees following temporary work assignments has merit, but such a document would need to cover many employee or role specific issues to be useful, making it difficult to create a generic protocol. These factors include length of assignment; type of assignment; the employee's service time; and the extent of changes in the division, Office, and County since the assignment began. CEO agrees that managers should assess these factors and consider whether a specific employee (e.g., one newer to the County) would benefit from some level of re-onboarding upon their return from a temporary work assignment. This discussion would take place as part of a review of workload and assignments (e.g., whether the work has changed due to evolving priorities). CEO Administration will provide guidance for managers to consider when reintegrating an employee who is returning from Disaster Service Worker (DSW) activation. In terms of its Continuity of Operations Plan (COOP), CEO agrees it should update its existing COOP, including initiating a change log.

Recommendation 4.1

To prevent future retroactive agreements or potential service lapses, direct its Administration Division to develop a documented method of identifying expiring contracts and auditing their end dates and amendments. This procedure should describe the frequency and methodology of these audits, including how different SAP reports should be reconciled to reduce the possibility of omitted agreements. The procedure should also designate a position within the Administration Division to be the central point of contact for all SAP contract notifications.

Response to Recommendation 4.1 – Agree

The Administration Division intends to build a more comprehensive tracking list of all contracts, grants, and memoranda of understanding, and distribute the list on a regular basis (perhaps by way of a monthly check-in email, as suggested in the audit) to ensure all key information is accurate and current, including contract end dates and contact information for receipt of contract expiration warnings. CEO expects this tracking and communication tool will assist contract managers in planning for amendments, while helping to prevent retroactive agreements.

Recommendation 4.2

Direct all Office division managers to develop formal evaluation protocols for County contractors. These protocols should include intermittent evaluation processes and a final evaluation that succinctly measures contractor performance against specific standards as part of the contract close-out process.

Response to Recommendation 4.2 – Agree

CEO agrees that formal evaluation protocols for County contractors can improve performance monitoring. These protocols would also standardize evaluation intervals across the Office, helping set expectations for contract management. To that end, the Administration Division has been exploring the use of a contract monitoring template for division managers to use on a quarterly basis to monitor contract performance and identify any issues that might impact overall performance. A special emphasis will be placed on the contract's final evaluation, in accordance with Board Policy Section 5.4.5.5, to inform future solicitations.

Recommendation 4.3

If Recommendation 4.1 is adopted, work with the Procurement Department to deliver targeted trainings to CEO divisions exhibiting recurring issues with erroneously inputted contract dates or incomplete documents uploaded into SAP.

Response to Recommendation 4.3 – Agree

The Office of Countywide Contracting Management and the Procurement Department are currently developing a set of Countywide training videos relating to contract management, with an emphasis on data entry quality in SAP. The training is expected to be available Countywide in 2023. CEO agrees with this recommendation and expects all CEO staff engaged in contracting to complete these trainings.

Recommendation 4.4

Direct Office division managers to track the number of contracts monitored by each staff member to ensure assignments are equitably distributed.

Response to Recommendation 4.4 – Partially Agree

CEO agrees with the value in notifying division managers with contracts in their portfolio about the number of contracts monitored by each staff member on their respective teams. An equal distribution of contracts among staff members may or may not be appropriate; such assignments often depend on the skills and experience of the contract manager(s) and/or specific aspects of the division's work. A monthly contracts check-in email, as suggested by the audit and to be explored as part of the response to Recommendation 4.1, could inform managers' decision making about the appropriate allocation of staff resources related to contract monitoring.

Recommendation 4.5

Direct the Office for Countywide Contracting Management (OCCM) to work with County information technology staff to find ways to upload contractor evaluations into Santa Clara County's purchasing systems for future reference. If successful, OCCM should integrate uploading evaluations into the countywide contract close-out process and add this step to the County Procurement Administrative Guidelines.

Response to Recommendation 4.5 – Agree

CEO agrees that a readily accessible repository of past vendor evaluations would be a useful tool for helping inform future contracting decisions. With this and other issues in mind, OCCM is engaged in a broader, longer-term effort to establish systems to manage contractor performance programs by industry (e.g., human services, construction, justice, etc.). Industry-specific vendor performance management programs would yield a more consistent experience for shared vendors and provide standardized metrics for effective County analysis. Final evaluations as part of contract close-out are envisioned to be a central function of this program. A Countywide vendor performance management solution, developed or procured in collaboration with County IT staff and other stakeholders, would be leveraged as part of this program to house and share relevant vendor performance information. In the meantime, OCCM will evaluate what interim steps may be possible to more comprehensively provide past vendor evaluations to relevant contracting staff.

Recommendation 5.1

Work with the Employee Services Agency (ESA) to develop written succession plans and knowledge transfer policies for all executive leadership classifications and evaluate the need for plans within CEO programs and offices with fewer than five full-time equivalent staff.

Response to Recommendation 5.1 – Agree

As discussed during the June 22, 2023 Finance and Government Operations Committee meeting, succession planning will be a significant focus of the County's Chief Operating Officer in the coming months and years. CEO is already forecasting key retirements and intends to scale up professional development and investment in the growth of up-and-coming leaders to support robust succession planning across key areas of county operations, including within the Office of the County Executive.

Recommendation 6.1

Develop an explicit categorization system for Deputy County Executive (DCE) portfolios that informs the assignments in each portfolio (e.g., by policy or County operational area). To clarify DCEs' span of control, the Office of the County Executive should denote the scope of the DCE's role for each assignment (e.g., direct management or coordination/support) and limit any dual direct supervision assignments.

Response to Recommendation 6.1 – Partially Agree

CEO agrees that DCE assignments and responsibilities could be more clearly defined. The new County Executive, in collaboration with the Chief Operating Officer, plans to review current DCE portfolios and assignments to provide further clarity and to ensure appropriate span of control and alignment of executive leadership resources with organizational priorities. While the categorization of DCE assignments by County policy or operational area, however, would bring advantages in terms of simplicity, delegation of work in this way may or may not match the overall policy and operational needs of the organization or the skill sets of the DCEs at a given time. As the audit acknowledges, the needs of the County organization change over time (sometimes rapidly and dramatically, as has been the case in recent years). Because of this constant change and the fact that so much of the County's work cuts across policy areas, DCE assignments will need to be somewhat flexible and may not always clearly adhere to categorization by policy or operational area.

Recommendation 6.2

If Recommendation 1.1 is adopted, conduct an evaluation to determine whether additional DCEs are necessary to manage the restructured Office if direct service programs are transferred to existing or new County departments.

Response to Recommendation 6.2 – Agree

The ongoing evaluation of organizational fit of the divisions and programs that operate under CEO, as described in the response to Recommendation 1.1, will require an assessment of the appropriate DCE staffing and assignments.

Recommendation 6.3

If Recommendations 6.1 and 6.2 are adopted, the Office of the County Executive should consolidate this information into a single organization chart that shows the entirety of DCE portfolios and integrate a high-level version into the County's public organization chart for transparency.

Response to Recommendation 6.3 –Agree

CEO agrees for purposes of transparency and clarity that a high-level version of the CEO organization chart would be of value.

Recommendation 6.4

Revisit DCE portfolios and assess their respective workloads on at least an annual basis to ensure that assignments are balanced.

Response to Recommendation 6.4 – Agree

CEO agrees with the recommendation to revisit DCE portfolios and assess respective workloads on an annual basis. This can be done as part of the annual performance evaluation process for executive leaders.

Recommendation 7.1

To develop an accurate record of pending administrative policies as part of an overall process improvement, create and continuously maintain a log of pending administrative policy proposals that includes the names of proposed policies, their *originating departments, submission dates, and their status (i.e., the work that has been completed on these policies thus far).*

Response to Recommendation 7.1 – Agree

CEO agrees with the recommendation to develop a complete record of pending administrative policies. This record would include the recommended names of proposed policies, originating departments, submission dates, and status. The resource would be a living document and updated continuously.

Recommendation 7.2

Work with the Office of the County Counsel to develop target timelines and prioritization criteria for reviewing and finalizing policies.

Response to Recommendation 7.2 – Agree

CEO agrees to work with the Office of the County Counsel to develop target timelines and prioritization criteria for reviewing and finalizing policies.

Recommendation 7.3

Create a regular meeting schedule for the Administrative Policy Committee and evaluate the existing administrative policy structure and associated County policy around this process to ensure all policy needs are met.

Response to Recommendation 7.3 – Agree

Assuming the Administrative Policy Committee is determined to remain the best vehicle for evaluating the existing administrative policy structure and associated County policy, CEO agrees that a regular meeting cadence would be essential to reinvigorate the overall process and ensure all policy needs are met.

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OFFICE OF THE COUNTY COUNSEL
COUNTY OF SANTA CLARA

County Government Center
70 West Hedding Street
East Wing, 9th Floor
San José, California 95110-1770

(408) 299-5900
(408) 292-7240 (FAX)

James R. Williams
COUNTY COUNSEL

Tony LoPresti
CHIEF ASSISTANT COUNTY COUNSEL

Robert M. Coelho
Michaela L. Lewis
Steve Mitra
Kavita Narayan
Elizabeth G. Pianca
Douglas M. Press
Gita C. Suraj
ASSISTANT COUNTY COUNSEL

Kim Forrester
LEGAL AND COMPLIANCE OFFICER

June 29, 2023

Cheryl Solov, Management Audit Manager
Santa Clara County Board of Supervisors, Management Audit Division
70 West Hedding Street
East Wing, 9th Floor
San José, CA 95110

Re: Management Audit of the Office of the County Executive – Response from the Office of the County Counsel

Dear Ms. Solov:

The Office of the County Counsel reviewed the final draft report of the Management Audit of the Office of the County Executive.

I am writing with respect to Recommendation 7.4—the only recommendation in the audit report directed to the Office of the County Counsel.

Recommendation 7.4 provides that if Recommendation 7.1 is adopted, the Office of the County Counsel should "review and augment the record of pending policies, making changes as necessary." Recommendation 7.1 is for the Office of the County Executive "[t]o develop an accurate record of pending administrative policies as part of an overall process improvement, create and continuously maintain a log of pending administrative policy proposals that includes the names of proposed policies, their originating departments, submission dates, and their status (i.e., the work that has been completed on these policies thus far)."

The Office of the County Counsel agrees with Recommendation 7.4 and the underlying Recommendation 7.1. We have been in communication with the Office of the County Executive to compile a list of pending policies as contemplated in Recommendation 7.1, and to work together to maintain it on an ongoing basis.

We appreciate the management audit team's work and recommendations relating to Countywide Administrative Policies. We look forward to working closely with the Office of the County Executive to implement Recommendations 7.1 and 7.4.

Very truly yours,

JAMES R. WILLIAMS
County Counsel

County of Santa Clara
Employee Services Agency
Agency Administration
County Government Center, East Wing
70 West Hedding Street, 8th Floor
San Jose, California 95110-1705

DATE: June 13, 2023

TO: Board of Supervisors' Management Audit Division

FROM: John P. Mills, Director, Employee Services Agency

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SUBJECT: Management Audit of the Office of the County Executive

This memorandum is a response to the report of the Management Audit of the Office of the County Executive, prepared by the Board of Supervisors' Management Audit Division. The Employee Services Agency appreciates the opportunity to provide responses to the recommendations directed to it.

SECTION 5: Improving Succession Planning Practices

The Employee Services Agency should:

5.2 Per recommendations of auditor's 2019 hiring audit, retain an actuary to estimate the likely retirements and vacancies based on employee ages, estimated retirement timeframes, and recruitment timelines for the Office. (Priority 2)

Employee Services Agency Response: Agree
The County already retains an actuary to conduct analyses to inform funding policies and budget recommendations for obligations and liabilities associated with the County's pension and other post-employment benefits (OPEB), such as the retiree health benefit. The Employee Services Agency will request that the actuary add the analysis recommended by the Management Audit Division to their workplan.

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County of Santa Clara
Office of the County Executive

County Government Center, East Wing
70 West Hedding Street
San Jose, California 95110
(408) 299-5105

DATE: July 11, 2023

TO: Board of Supervisors Management Audit Division

FROM: James R. Williams, County Executive
Greta S. Hansen, Chief Operating Officer

SUBJECT: Recent Accomplishments of the Office of the County Executive

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The Office of the County Executive (CEO) appreciates the opportunity to share recent accomplishments as a supplement to the Management Audit.

CEO is responsible for the administration of County government under the policy direction of the Board of Supervisors, directly supervising most County agencies and departments, and coordinating work in all departments, both elective and appointive. The Office also directly operates 41 different programmatic units. Below is a sampling of some of the recent accomplishments of the department. Most of the following achievements were realized in strong partnership with other County agencies/departments and/or community partners.

Supportive Housing

- Helped house 9,645 people through the Supportive Housing System, nearly half of the 2020-2025 Community Plan to End Homelessness goal of housing 20,000 (2020-2022).
- Served 14,005 individuals from 5,041 households since inception of the Homelessness Prevention System (HPS) in 2017, with 808 households served in Fiscal Year (FY) 2022-23. While receiving prevention services from HPS, 97% of families remain stably housed, and only 7% of families become unhoused within two years of receiving assistance.
- Homelessness in Santa Clara County, as measured through a biennial point-in-time count, decreased for the first time in eight years, with 9,903 reported unhoused people in 2023 compared with 10,028 in the prior count.

- Established the Here4You Call Center with Bill Wilson Center in October 2021, providing unhoused people a single point of entry to most of the temporary housing beds throughout Santa Clara County. In FY 2022-23, this call center handled 94,640 calls for shelter placement and resource information, enrolling 10,209 households in services and the shelter queue.
- Decreased average processing time from approximately two months to about two weeks for unhoused people to apply for supportive housing programs by updating workflow for the Client Engagement Team that assists in collection of necessary application documents.
- Expanded the housing grants and contracts team, resulting in significantly improved consistency and allowing system and service managers to focus more on program implementation than contract administration.
- Recommended nine developments the Board approved for the 2016 Measure A Affordable Housing Bond (Housing Bond) funding, bringing the total number of Housing Bond projects to 51, representing 5,290 new or rehabilitated units and the potential to house approximately 15,361 people (FY 2022-23). With Housing Bond investments totaling more than $800 million, developers were able to leverage more than $3.4 billion from other funding sources.
- Since Housing Bond implementation, opened 1,724 supportive and affordable housing units and started construction on an additional 1,254.

Safety Net Services

- Coordinated a significant expansion in Behavioral Health Services and related supports, adding outpatient services, expanding treatment bed capacity and related support, accelerating facility construction, and ensuring coordination between many County departments and service providers.
- Assisted thousands of residents through the Vietnamese American Service Center (since its Grand Opening in 2022), offering a senior nutrition program, wellness activities and classes, Behavioral Health support and navigation, medical services, benefits application assistance, and rental assistance.
- Hired the County's first Chief Children's Officer to lead the Office of Children and Families Policy (OCFP), producing an annual Workplan that promotes an equity-forward and data-driven agenda identifying the most critical needs of local children and families.
- OCFP collaborated with County and external partners to address issues impacting the community including children's mental and physical health,

early childcare and education, access to housing, and prevention services; and assumed oversight of the County's Youth Task Force.

- Initiated program design and received Board approval to fund the second cohort of the Guaranteed Basic Income Pilot for transition-age foster youth.

Budget and Economic Development

- Published the Children's Budget and developed and deployed the Budget Equity Tool, in addition to producing the comprehensive Midyear Budget Review and FY 2023-24 Recommended Budget.
- Developed and presented a Comprehensive Capital Improvement Program Update.
- Received the Government Finance Officers Association Distinguished Budget Presentation Award.
- Implemented a plan to reduce/waive permit fees charged to small businesses in Santa Clara County in the wake of COVID-19.
- Supported over 700 community workers and businesses seeking information or assistance with labor standards compliance or workplace issues through the Office of Labor Standards Enforcement's free attorney staff Advice Line, and partnered with the California Labor Commissioner's Office to collect over $80,000 in unpaid outstanding judgments (FY 2022-23).

Equity and Social Justice

- Developed and issued, through the Office of Diversity, Equity, and Belonging, the first Countywide Employee Equity Survey to capture baseline data to inform, track, and monitor equity efforts across the County, yielding 6,548 County employee responses.
- Directed the Equity Survey results toward development of Countywide Equity Strategic Roadmap to anchor departmental and cross-system equity efforts to advance equity in government, in alignment with the County Mission, Core Values, and Operational Priorities.
- Released three research studies, through the Office of LGBTQ Affairs, to inform policy and program development for transgender and gender non-conforming community members on the topics of employment, transgender community needs, and LGBTQ+ youth wellbeing.
- Established the Language Access Unit with a staff of 11 to provide in-house translation and interpretation services in the County's threshold languages,

enabling effective communication and engagement with individuals who require language support.

- Welcomed the 7th Cohort of the New American Fellowship—the most diverse cohort in the program's history including representation from Pakistan, Congo, Myanmar, Venezuela, and Mexico—facilitating a richer dialogue around the immense contributions that immigrants continue to make in Santa Clara County.

Public Safety and Justice

- Expanded the Strangulation Response Pilot to include all law enforcement agencies and ambulatory services within Santa Clara County and embedded how strangulation is handled into protocols used for serving survivors of gender-based violence.
- Launched the Trauma Recovery Center—the first of its kind nationally—to coordinate and streamline countywide trauma recovery and response in the wake of critical incidents like natural disasters and mass victimization.
- Led a multidisciplinary team of public safety and justice partners, including the Superior Court, to address a significant COVID-related felony trial backlog, successfully facilitating the staffing and opening of additional criminal court rooms and redirecting resources to ensure timely adjudication of cases.
- Leveraged underutilized State grant funding to drive data and technical improvements between the Court and County, including development of an electronic minute order to foster data sharing, quality assurance, and most importantly timely releases from carceral facilities.
- Celebrated the San José Reentry Resource Center's (RRC's) 10-year and South County RRC's 5-year anniversaries.
- Carried out Second Chance Campaign events, workshops, and video recordings.
- Finalized Women In-Custody workplan and held the first Gender Responsive Women In-Custody Workgroup Retreat.
- Launched the small business and social enterprise program, the Reentry Small Business Incubator Program, and Reentry Social Enterprise Program.
- Incorporated the Faith Based Collaborative fully into the Office of Diversion and Reentry Services' array of services.
- Oversaw collaboration with partners to enable creation and display of "Rising," a mural giving voice to incarcerated men at the Elmwood Correctional Facility, supporting compassion, healing, and rehabilitation.

Communications, Data and Professional Development

- More than doubled the County's capacity to create high-quality video content presenting the work of the County, expanding the team of highly qualified writers and videographers.
- Expanded content generation capacity through web pages and written articles for various County departments, including Inspectors who protect Santa Clara County shoppers and the Community College Collaborative for justice-involved students.
- Built the County's first team of Multimedia Communications Officers to produce professional, visually compelling content about County services and programs like affordable housing, road maintenance workers' efforts after severe winter storms, and the Vector Control District's use of drones in mosquito abatement.
- Gold Winner for the Audio/Film (Government) category in the 2022 MarCom Awards for the Office of Communications and Public Affairs' (OCPA's) production of "California Green Business Network Santa Clara County;" Honorable Mention for the Pro Bono category for OCPA's production of "2022 Fatherhood/High Promise Families Conference."
- Launched a Digital Governance, Risk and Compliance (GRC) Platform for Data Privacy Program Management at the County, generating cost savings, enhanced reporting features, and improved business operations.
- Facilitated partner agencies' transfer of homelessness and supportive housing data from their data systems to ours, reducing the need for duplicate data entry.
- Designed and developed an internal Employee Engagement and Well-Being (EEWB) SharePoint site to serve as hub for EEWB data dashboards, employee support resources, and departmental spotlights, yielding nearly 7,000 unique visits since its inception in 2022.
- Hosted four Meeting at The Bridge events for County employees featuring County leadership and special guests, attracting over 8,300 unique viewers.
- Delivered the first Mid-Level Managers Summit—*The Power of Synergy*—with nearly 150 mid-level managers from 17 departments participating in the learning and leadership building workshop. Topics included Psychological Safety, Leading Internal Change, Overcoming Overwhelm, Workplace Conflict Tools and Techniques, Mental Health First Aid, and The Power of Subtraction.

- Returned the annual Center for Leadership and Transformation summer program on site in partnership with the Stanford Center for Professional Development.

Sustainability and Emergency Management

- Led the process to establish a new Santa Clara County Sustainability Commission to advise on policy, programmatic, and community engagement aspects of the County Sustainability Master Plan.
- Launched the Climate Collaborative website and Climate Resilience Tool with step-by-step guidance for incorporating nature-based approaches into policy and infrastructure for climate resilience.
- Formed the Heat and Air Quality Resilience Workgroup to advance equitable solutions to the impacts of extreme heat and poor air quality, and the Sea Level Rise and Flooding Workgroup to address the impacts of riverine flooding and sea level rise throughout Santa Clara County.
- Launched the Silicon Valley 2.0 (SV 2.0) Climate Change Preparedness Tool encompassing recent climate data, a social vulnerability index, and fact sheets highlighting climate impacts on communities and infrastructure.
- Developed the Draft Community Climate Action Roadmap for the unincorporated County and prioritized regional strategies for coordinated action on shared countywide sustainability goals.
- Prepared a draft Carbon Neutrality by 2030 Roadmap for County Operations for potential Board adoption in fall 2023.
- Completed a Community Energy Resilience and Equity Study, in partnership with Silicon Valley Clean Energy, for the unincorporated county with recommendations for advancing building electrification and energy resilience of existing residential and commercial building stock.
- Oversaw Our City Forest's planting of nearly 3,000 trees in County priority areas through support from the County Board of Supervisors.
- Worked with partners to plant 1,000 trees at school campuses in high-need neighborhoods, and 150 trees in Penitencia Creek County Park to mitigate urban heat for Independence High School students and the greater community.
- Certified 139 Green Businesses between 2021 and 2022, saving nearly 67,000 lbs. of CO_2 or the equivalent of planting 87 acres of urban trees.
- Upgraded 1,331 homes with energy improvements and distributed more than $2.8 million in rebates to Santa Clara County residents and property owners in 2022 through the Bay Area Regional Energy Network program.

- Continued applying reduced-risk pesticides across more than 600 County structures; applied no pesticides in maintenance of urban turf and landscapes around County facilities and 52,140 acres of County-managed regional parks.
- Awarded over $3 million in State and Federal grants for a Youth Climate Initiative (with major support from Senator Cortese), expanded community-based organization membership to the County Climate Collaborative, and to develop a Regional Urban Forestry Master Plan.
- Supported substantial ongoing pandemic response activities, including onboarding, assisting, and transitioning hundreds of unclassified staff to support the County's vaccination and testing programs; continuing a robust, multilingual outreach and education campaign; and coordinating demobilization and after-action activities.
- Coordinated highly effective emergency response efforts to protect community residents during several disasters throughout the year, including numerous damaging winter storm events requiring substantial resource coordination and Emergency Operations Center (EOC) activation.
- Organized recovery action planning efforts, working with FEMA and CalOES to confirm Santa Clara County's inclusion in federal emergency declarations and ensure residents and public agencies were eligible for reimbursement for damage suffered from the winter storms.

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City of San José, California

COUNCIL POLICY

TITLE REQUESTS FOR POLICY ANALYSIS (COUNCIL REFERRALS)	PAGE 1 of 4	POLICY NUMBER 0-12
EFFECTIVE DATE April 22, 1980	**REVISED DATE** June 26, 2001	
APPROVED BY COUNCIL ACTION	4/22/80, Item 9f; 4/2/91, Item 7b(6); 6/26/01, Item 2.70c	

BACKGROUND

In the past, requests for information and/or research from the City Council to the City Administration have been processed without formal guidelines. In some cases this has resulted in duplication of effort, inadequate responses, or excessive effort expended by City Departments and Council Appointee Offices in complying with such requests. Effective and timely responses are best provided through a uniform procedure and tracking system.

PURPOSE

It is the purpose of this Policy Statement to establish uniform procedures that will provide for prompt and effective responses to policy referrals and/or major studies made by the City Council to the City Administration and other Council Appointees so that:

1. Council information needs are effectively met; and
2. City Service Area and Council Appointee Business Plans and budgeted workloads are not severely disrupted by the volume of such requests.

Council, at any time, may make requests for information through the Rules Committee, Council Meetings, or informally.

DEFINITIONS

1. **Council Referral** — A policy referral or a major study of an item of a legislative, service delivery, policy and/or investment nature that may require:
   - Fiscal resources;
   - Complex policy analysis;
   - Changes/adjustments to performance measures results;
   - Over 40 hours of staff work, exception is in the event of a hiring freeze, which would trigger a Department-by Department basis dependent upon the impact of the freeze on a particular Department;
   - Addition to a CSA One-Year Action Plan; and,
   - Potential amendments to the municipal code and/or Council action.

   The initiator of the referral is to follow up his/her request in writing and forward the request to the Rules Committee for action. A referral will not be considered formal until the Rules Committee has taken action on it.
2. **Requests For Information** — A formal or informal request from a Councilmember to a Council Appointee for existing information (i.e., brief verbal information or copies of reports already prepared and ready for distribution, or written information that requires minor staff time that is consistent with the

City Service Area Business Plan) or some other request that does not fall into the category of Council Referral. When a request for information is made to the City Manager or other Council Appointee, it is the responsibility of the Manager and his/her staff, or other Council Appointee and their respective staffs, to determine the scope of the request and to advise the Council through the Rules Committee if a Council Referral will be required.

3. **Summary Of Outstanding Council Referrals** — A quarterly report, issued to the Rules Committee by the Council Liaison, listing items previously referred by the Council to the City Administration or other Council Appointee for which responses or actions requested by the Council have not yet been provided.
4. **Assign** — A recommendation to Assign a Council Referral means that staff is formally instructed to begin work on the policy.
5. **Drop** — A recommendation to Drop a Council Referral means that no further action will be taken on the referral by the Rules Committee and staff.
6. **Defer** — A recommendation to Defer a Council Referral means that action by the Rules Committee is being delayed until the date designated/specified. The Rules Committee may defer a Council Referral to a specific date or to the annual October Policy Priority Session.
7. **Workload Assessment Report** — A report from staff that outlines the policy issues, workload impacts, cost implications and other pertinent information associated with completing/addressing the Council Referral. The Rules Committee may request this report prior to taking formal action on whether to assign, drop or defer a Council Referral.

POLICY/COUNCIL REFERRAL PROCEDURES

It is the policy of the City Council that all Council Referrals directed to Council Appointees by the City Council, individual Council Members, or by private citizens or citizen groups or organizations, approved by the Rules Committee, adhere to the following provisions:

Below is a step-by-step outline of the Council Referral Process:

1. The Council Referral initiator submits the Council Referral in writing to the City Clerk's Office.
2. The Council Referral is to be placed on the next available Rules Committee agenda by the City Clerk under "Council Referrals for Assignment to Appropriate Committee, Administration or Council Appointee." Council Referrals may be made at any time during the year.
3. At the Rules Committee meeting, the Committee decides whether to Drop or Defer the Council Referral or request an Administrative Workload Assessment. If the Committee decides to Drop the referral request, no further action is taken on behalf of staff. If the item is Deferred, staff tracks the item and the Clerk's Office presents the referral request to the Rules Committee on the date that it was deferred to. Note: A new feature of this process will be to defer items to the annual October Policy Priority Session.
4. If the Committee requests an Administrative Workload Assessment, staff generally has two weeks to respond with the following information:
   - Amount of staff time required to complete request/study or if additional staff is needed;
   - Non-salary or unbudgeted costs to complete request/study;
   - Impact to department's work plan and performance measure results;
   - Description of the scope of study;
   - Realistic timeline; and,
   - Other considerations related to the specific referral.

5. The City Clerk's Office schedules the Administrative Workload Assessment on a future Rules Committee agenda. (For example, a Councilmember makes a referral request on April 4, 2001 and if the Rules Committee requests an Administrative Workload Assessment, staff would return to the Rules Committee with an assessment on April 18, 2001.)
6. The Workload Assessment is discussed at the Rules Committee, and a recommendation to the full Council, as to the appropriate handling of the item, is made. At the time that the Administrative Workload Assessment is presented, the Committee may still Drop or Defer the referral.
7. At the Council meeting, the Rules Committee Chair reviews the Rules Committee report and reviews the actions taken on Council Referrals. If the full Council is not in agreement with the Committee's action, a formal motion can change the Rules Committee recommendation (which may include Assign, Drop or Defer the referral).
8. Once the full Council takes action, the Council Referral is or is not issued.

At his/her discretion, the City Manager or other Council Appointee may at any time indicate to the Council that outstanding Council Referrals and/or requests assigned to a specific Department or Departments or Council Appointees represent a workload sufficiently large enough to disrupt the on-going, planned work, for which the Department is responsible. In this case, the City Manager or other Council Appointee will propose to the Council through the Rules Committee a priority order of outstanding referrals and indicate those for which responses would have to be deferred in order to alleviate the Department's work load burden. Quarterly the Council Liaison will present the Rules Committee with a summary of outstanding Council Referrals by City Service Area. The Rules Committee will determine whether:

1. Re-prioritizing of referrals is required;
2. Any referrals need to be deleted from the list;
3. The referral necessitates a change in scope; and/or
4. There should be a new completion date for referrals.

REQUESTS FOR INFORMATION

At any time, formally or informally, Councilmembers may request information from Council Appointees. When a request for information is made to the City Manager or other Council Appointee, it is the responsibility of the Manager and his/her staff, or other Council Appointee and their respective staffs, to determine the scope of the request and to advise the Council through the Rules Committee if a Council Referral will be required.

All requests of City Departments (not other Council Appointees) by the Council for brief reports or information items that will take longer than four or five hours and must be written and compiled, should be directed to the City Manager in order that staff work may be properly coordinated. A request for brief verbal information or for copies of reports already prepared and ready for distribution may be made directly to the appropriate staff member. This does not prevent an individual Council Member from calling a Department Head for written information that may require minor staff time or is already consistent with a Department's work program or normal work process. This allows the City Manager's Office to ensure timely response.

Citizen Information Request: A Request for Information made by a private citizen to City Administration or Council Appointee shall be satisfied promptly whenever such requests can be readily satisfied. Requests directed to Council Members shall be referred, when appropriate, to the City Administration. The Administration or Council Appointee will provide responses directly to the citizen for all requests which are operational or administrative in nature, including complaints, and will prioritize and respond to all requests in the order received or as the City Manager or Council Appointee directs.

TITLE	REQUESTS FOR POLICY ANALYSIS (COUNCIL REFERRALS)	PAGE 4 of 4	POLICY NUMBER 0-12

REQUESTS FOR MAJOR STUDY

A Request for Major Study by an individual Council Member must be placed on the agenda of a Rules Committee meeting. If approved by a majority of the Rules Committee, the guidelines for the study shall be stated. Requests for Major Study will be processed exactly like Council Referrals and the Rules Committee will have the same options of whether to assign, drop, defer or request a workload assessment report of staff. Evaluation of the request shall take place at the Rules Committee meeting using the following criteria:

1. The informational value of the study,
2. The parameters of the study,
3. The staff time to be involved in completing the study,
4. The estimated cost of the study, and
5. The general feasibility of the study.

If a Request for Information made to the City Administration or Council Appointee by an individual Council Member falls under the category of a Request for Major Study, the request shall be referred to the Rules Committee by the City Manager or Council Appointee. At the Rules Committee, the City Manager or Council Appointee will recommend courses of action which consider performance measure results, budgeted workloads, and City Service Area Business Plans as well as evaluative criteria cited in the foregoing paragraph.

OFFICE OF THE COUNTY EXECUTIVE

CONTACT PERSON	**Jennifer Roth and Susana Hernandez-Perez**						
DEPARTMENT	OFFICE OF THE COUNTY EXECUTIVE: **OFFICE OF SUPPORTIVE HOUSING**						
BUDGET UNIT	168						
MEASURE 1 TITLE	**Reduction in the number of sheltered and unsheltered persons enumerated at a point-in-time.**						
STATUS	Continue						
DESCRIPTION	The Office of Supportive Housing (OSH) intends to reduce the number of sheltered and unsheltered homeless persons on a given night (mid-January) in Santa Clara County. The OSH coordinates the community's point-in-time counts. Each year, the community uses the Homeless Management Information System (and reports from some agencies) to report on the number of sheltered homeless persons on a given night in Santa Clara County. Every other year, the community augments the "sheltered count" with an unsheltered count and a survey of homeless persons. The biannual count is known as the Biennial Homeless Census and Survey, and often referred to simply as the "Point-in-Time (PIT) Count." It provides one indicator of the County's effort to reduce homelessness in our community by measuring the number of individuals experiencing homelessness at a given point-in-time.						
FREQUENCY OF DATA COLLECTION	Annually						
REPORTING PERIOD	Point-In-Time: January 2017-January 2023						
OUTCOME/RESULTS	Total number of sheltered and unsheltered persons increased by 29%. Sheltered homeless decreased by 13% and unsheltered homeless increased by 45%.						
	January 2017 Actual	**January 2018 Actual**	**January 2019 Actual**	**January 2020 Actual**	**January 2021 Actual**	**January 2022 Actual**	**January 2023 Projected**
Number of sheltered and unsheltered persons enumerated at a point-in-time	7,394 (1,946 Sheltered + 5,448 Unsheltered)	7,303 (1,855 Sheltered + 5,448 Unsheltered)	9,706 (1,784 Sheltered + 7,922 Unsheltered)	9,605 (1,683 Sheltered + 7,922 Unsheltered)	N/A*	9,500 (2,200 Sheltered + 7,500 Unsheltered)	9,500 (2,200 Sheltered + 7,000 Unsheltered)
Note	*The 2021 unsheltered PIT count was not conducted due to the pandemic, so estimates are based on the previous years.						

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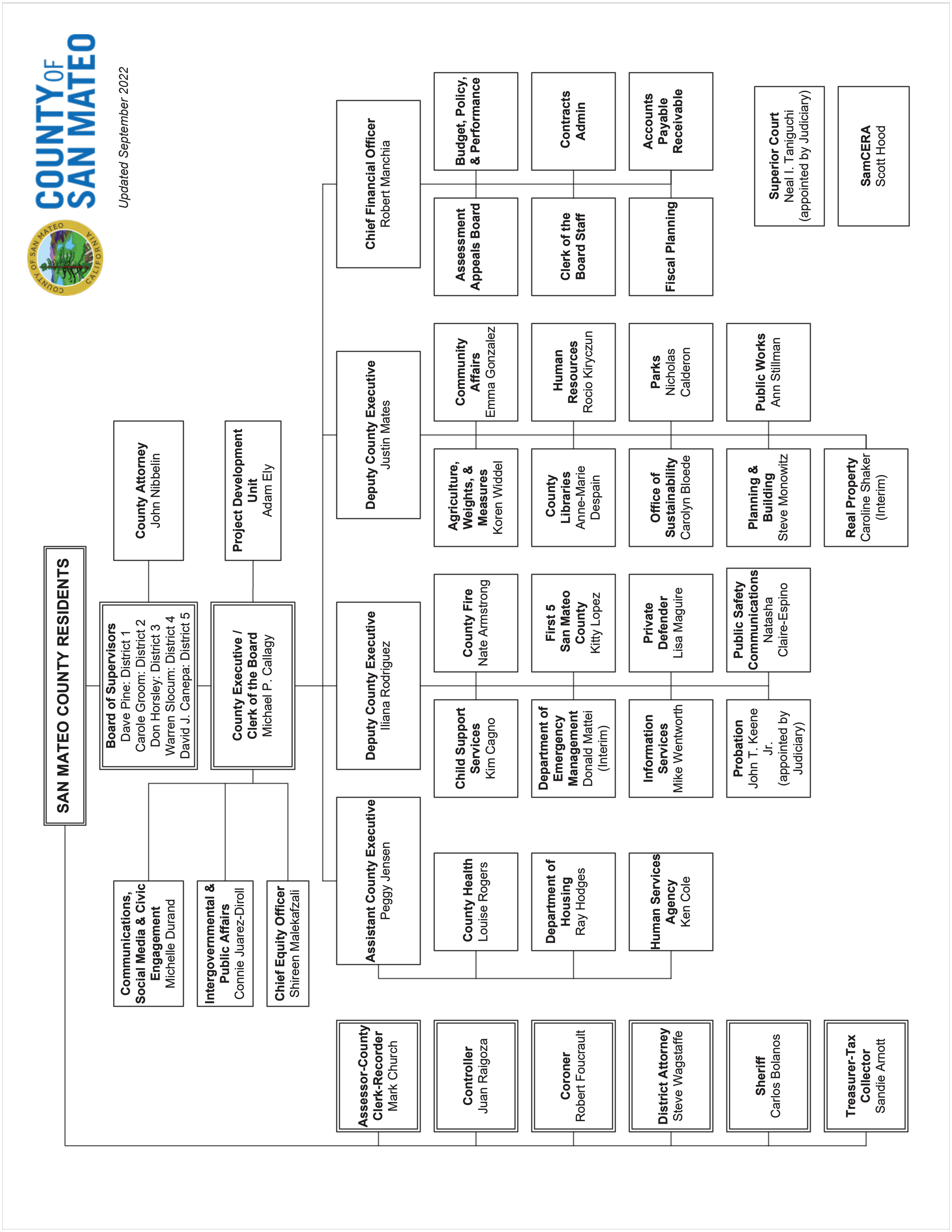
COUNTY OF SAN MATEO
Updated September 2022
SAN MATEO COUNTY RESIDENTS
Board of Supervisors
Dave Pine: District 1
Carole Groom: District 2
Don Horsley: District 3
Warren Slocum: District 4
David J. Canepa: District 5
County Attorney
John Nibbelin
County Executive / Clerk of the Board
Michael P. Callagy
Project Development Unit
Adam Ely
Communications, Social Media & Civic Engagement
Michelle Durand
Intergovernmental & Public Affairs
Connie Juarez-Diroll
Chief Equity Officer
Shireen Malekafzali
Assistant County Executive
Peggy Jensen
County Health
Louise Rogers
Department of Housing
Ray Hodges
Human Services Agency
Ken Cole
Deputy County Executive
Iliana Rodriguez
Child Support Services
Kim Cagno
County Fire
Nate Armstrong
Department of Emergency Management
Donald Mattei
(Interim)
First 5 San Mateo County
Kitty Lopez
Information Services
Mike Wentworth
Private Defender
Lisa Maguire
Probation
John T. Keene Jr.
(appointed by Judiciary)
Public Safety Communications
Natasha Claire-Espino
Deputy County Executive
Justin Mates
Agriculture, Weights, & Measures
Koren Widdel
Community Affairs
Emma Gonzalez
County Libraries
Anne-Marie Despain
Human Resources
Rocio Kiryczun
Office of Sustainability
Carolyn Bloede
Parks
Nicholas Calderon
Planning & Building
Steve Monowitz
Public Works
Ann Stillman
Real Property
Caroline Shaker
(Interim)
Chief Financial Officer
Robert Manchia
Assessment Appeals Board
Budget, Policy, & Performance
Clerk of the Board Staff
Contracts Admin
Fiscal Planning
Accounts Payable Receivable
Superior Court
Neal I. Taniguchi
(appointed by Judiciary)
SamCERA
Scott Hood
Assessor-County Clerk-Recorder
Mark Church
Controller
Juan Raigoza
Coroner
Robert Foucrault
District Attorney
Steve Wagstaffe
Sheriff
Carlos Bolanos
Treasurer-Tax Collector
Sandie Arnott

Ventura County Executive Organization Chart