Attachment D

Leadership Project Surveys

Memorandum

Date: March 17, 2008

To: Michael F. Brown, County Executive Officer

From: Susan Paul, Assistant CEO/Human Resources Director

Subject: Leadership Project – Performance Planning Survey Results

cc: Assistant/Deputy CEOs

As you know, the first full year of experience with Leadership Project concluded at the end of December 2007. At that time most, if not all, of the County's executives and managers had participated in the performance planning process. In order to ensure that the Project is working as intended, is helping the organization more strongly demonstrate its ACE Values of Accountability, Customer-focus, and Efficiency, and is supporting the Board's direction to provide high-quality customer service, CEO/Human Resources (CEO/HR) administered an electronic survey and distributed it to all executives and managers. Approximately 30% of executives and managers responded to the survey, which was designed collaboratively with the Leadership Project Working Group comprised of managers and Assistant Department Heads. The survey focused on all components of the performance planning process including:

- The Trimetrix leadership assessment

- Performance planning discussions including discussion of Leadership Competencies, performance expectations, key departmental business objectives, and developmental strategies

- Goal setting and customer-service goals

- The collaborative process

The survey also assessed overall satisfaction with each component of the performance planning process and requested feedback on components that could be strengthened or improved. Attachment A is a list of all questions that were asked or respondents.

Overall feedback was positive and there were no strong indicators of dissatisfaction from the 96 respondents. In fact:

- 95% reported they had completed Performance Planning;

- 99% reported that the process was collaborative; and

- 92% found the performance management training helpful to extremely helpful with their own performance planning efforts.

Executives and managers were also given opportunities to provide comments on the Leadership Project. Following are some of their comments:

> "This was the first time we went through this process – after I did it with one of my employees – it was a breeze doing it with the rest of them."

> "I really felt this was a great assessment (Trimetrix) and a good starting point for the planning process."

> "Although change is always difficult, it is nice to utilize a tool that looks forward and supports staff and the formation of reasonable goals, rather than looking backward for the evaluation process."

> "The planning process resulted in much greater interaction and collaboration between me and the staff being evaluated. It also gave me greater support and feedback from my evaluator."

> "Great idea for collaboration and mutual goal setting for a department and program."

> "Process is much better; it allows/requires collaboration on the IDP development, good communication, giving clear expectations."

> "This is a useful tool (IDP) with the check in process."

> "This is a valuable process."

> "I found that I got more accomplished in determining strengths and highlighting constructive goal setting in less time than (and in a more definitive fashion) with the old EPR document."

> "An improvement over the old EPRs!"

> "The effect of the collaborative effort was very beneficial in the cooperative planning effort. "

"The collaboration process has enhanced communication which in turn allows for frank accountability discussions."

"The new planning and evaluation process brings greater accountability to both the staff being evaluated and the evaluator to ensure an interactive process and the establishment of developmental goals."

"Process offers two-way accountability."

"The IDP process will be very beneficial for our County – we need to expand it to all our employees in the future."

Each section of the report invited comments from respondents and, for the most part, comments were highly constructive and offered excellent suggestions for improvements to the new system. Even though there were extremely few negative comments made, and generally multiple negative comments were received from the same few respondents, less-than-constructive comments related to:

- The manner in which a specific department/or individual supervisor implemented various aspects of performance management;

- The length of time/effort needed to properly conduct/administer various aspects of the process; and

- The need for improved communication.

Even within these comments lay opportunities for improvement to the new system. Therefore, these comments as well as the other suggestions for improvement will be reviewed with the Leadership Project Working Group and any needed changes will be implemented to ensure a quality performance management system for the County's leadership.

The following report summarizes responses to additional survey questions and is comprised of the following sections:

- Demographics

- Trimetrix Leadership Assessment

- Performance Planning Discussion

- Customer-focused Goal Setting

- Additional Respondent Feedback

- Conclusion

- Attachment A – Survey Questions

- Attachment B – Goals Shared by Respondents

- Attachment C – Respondent Suggestions for Improvements

In addition, at the conclusion of each key section you will find a box that highlights possible opportunities improvement. Based on the feedback received, CEO/HR will resume meeting with the Working Group to make any needed changes or improvements.

2007 LEADERSHIP PROJECT PERFORMANCE PLANNING SURVEY RESULTS

Demographics:

Who Responded?

- **47%** of respondents identified themselves as "a manager or executive who supervises other managers"

- **53%** of respondents identified themselves as "a manager who does not supervise other managers"

Department Representation

Feedback was received from all departments except:

- County Counsel
- District Attorney
- SBCERS

Each of these departments has a small number of employees included in the Leadership Project, and attorneys in the legal offices are in performance-based plans designed specifically for the legal profession.

The largest numbers of responses were received from:
- General Services
- Public Health
- Public Works

Trimetrix Leadership Assessment:

Use of the Trimetrix Leadership Assessment was at the department head's discretion; therefore, only **21%** of respondents indicated they had taken the assessment. Of those who did use the tool for their individual performance planning:

- **100%** found it easy to use

- **94%** found the feedback generally accurate

- **78%** found the written reports useful in performance planning

- **35%** took advantage of the telephone coaching session

- **88%** of those who used the telephone coaching session found it helpful

When supervisors were asked about their satisfaction using the Trimetrix tool in performance planning with their subordinates, the majority was satisfied; however, there was a large percentage that provided a neutral response:

Dissatisfied or Extremely Dissatisfied	Neutral (neither Satisfied or Dissatisfied)	Satisfied or Extremely Satisfied
7%	26%	67%

Opportunities for Improvement
1. When financially feasible for the County, promote the increased use of the Trimetrix leadership assessment
2. Among those who use the tool, increase use of the telephone coaching session
3. Provide training to supervising managers to assist them in using the tool more effectively in performance planning discussions

Performance Planning Discussions:

As shown below, the vast majority of respondents (supervisors and subordinate managers) confirmed that all the key elements of performance planning were discussed during their respective performance planning discussions:

Leadership Competencies	84%
Key Business Objectives	86%
Developmental Strategies	90%
Specific performance expectations	96%
Customer-focused goals	88%
Clear action items for work priorities and competency development	96%

Although respondents confirmed that all key elements were part of the performance planning discussion, there are improvements that can be realized in improving the overall satisfaction level with a number of aspects of the process as highlighted below:

Factor	Dissatisfied to Extremely Dissatisfied	Neutral (neither Satisfied or Dissatisfied)	Satisfied to Extremely Satisfied
Was tailored to my specific job, skill level, and developmental needs	4%	19%	77%
Was helpful in linking competencies to my job and department business objectives	4%	27%	69%
Created an effective Individual Development Plan to help me further develop competencies and additional skills	2%	37%	61%
Clearly outlined performance expectations	3%	17%	80%
Set customer-service goals with measurable or observable results	3%	16%	81%

When those who supervise managers were surveyed regarding their satisfaction with performance planning, however, responses demonstrated higher levels of satisfaction:

Factor	Dissatisfied to Extremely Dissatisfied	Neutral (neither Satisfied or Dissatisfied)	Satisfied to Extremely Satisfied
Overall discussion	3%	16%	81%
Development of IDP	0%	13%	87%
Setting clear performance expectations	0%	14%	86%
Linking competencies to manager's job and business objectives	3%	18%	79%
Quality of goals set	0%	11%	89%
Collaborative process	0%	15%	85%

Opportunities for Improvement
Although the ratings were very high regarding all performance planning elements being discussed, overall satisfaction with the process can be strengthened particularly in the areas of: • Tailoring discussions to the specific individual and his/her job • Linking competencies to the job and department business objectives; and • Creating effective Individual Development Plans.

Customer-focused Goal Setting:

Responses regarding the setting of goals, respondents indicated:

- **98%** had set two or more customer service-oriented goals
- **100%** had set goals that had measurable or observable outcomes
- **98%** set goals that, when achieved, would improve customer service in the department

In addition, 23 respondents provided samples of goals (See Attachment B). CEO/HR is in the process of randomly auditing goals for each department. Once that review is completed, an analysis and recommendations for improvements will be provide and CEO/HR will work with the Leadership Project Working Group to make any needed improvements.

Additional Respondent Feedback:

Throughout the survey, respondents were asked to provide comments and feedback for improvements to the Leadership Project. A number of suggestions were made (as shown on Attachment C). For the most part, comments related to simplification and streamlining of:

- The overall process

- The form

- The competencies and their associated attribute statements

- The IDP portion of the process

Comments also recommended strengthening the process, encouraging increased usage of the Trimetrix assessment, and providing increased training. Again, CEO/HR will meet with the Working Group to review the recommendations and implement any needed changes or improvements.

Conclusion:

Significant organizational change is often challenging to achieve, and the Leadership Project has been no exception. Nonetheless, this first-year assessment of the Performance Planning process has yielded:

- Increased direction and coordination regarding the goals and objectives of the departments

- Strong collaboration and alignment of managers with Department business objectives

- Goals aligned with service delivery and ACE

- Sound recommendations for improvements that will strengthen its efficacy and support achievement of the Board's direction

In the coming month, CEO/HR will be distributing another electronic survey. The purpose of this survey will be to assess the performance evaluation and pay decision process. Once responses are received and results are analyzed, an additional report will be prepared summarizing results.

In the meantime, if you have any questions, please give me a call.

SURVEY QUESTIONS

1. Identify yourself as either a manager who does or does not supervise other managers.

2. Identify your department.

3. Have you completed your performance planning?

4. Was the performance planning process collaborative?

5. To what extent did the Performance Management training you attended help you with your own performance planning?

6. Did you take the online Trimetrix assessment prior to performance planning? If you answer no to this question, please skip forward to question 11.

7. If you answered yes to question 6, was the survey easy to access and take?

8. If you answered yes to question 6, did you find the feedback was generally accurate?

9. If you answered yes to question 6, were the written feedback reports useful in performance planning?

10. If you answered yes to question 6, was the telephone contact with the coach helpful?

11. Did your performance planning meeting with your supervisor include a discussion about:

    - The seven Core Leadership Competencies as they related to you and your job?

    - Key business objectives of your department?

    - Developmental activities and strategies for the coming year?

    - Specific performance expectations for the coming year?

    - Customer-focused goals?

12. Did you set two or more service-oriented goals?

13. When accomplished, will your goals demonstrate measurable or observable results?

14. When accomplished, will your goals help improve customer service in your department?

15. In the interest of assisting us in reviewing goals Countywide to ensure they have a customer focus, please use the space below if you would like to list one or more of your goals.

16. Were you able to set clear action items related to work priorities and competency development?

17. Please rate your satisfaction level with various aspects of the performance planning process listed below:

    - Was tailored to my specific job, skill level, and developmental needs

    - Was helpful in linking the Leadership Competencies to my job and key business objectives of my department

    - Created an Individual Development Plan (IDP) that will be an effective tool to help me further develop competencies and additional skills

    - Clearly outlined my performance expectations for the coming rating period

    - Established customer-focused goals with measurable or observable results

18. List three to five of your ideas for improving the performance planning process.

19. Any other comments regarding the Trimetrix Assessment?

20. Any other comment regarding the Goal Setting process?

21. Any other comments regarding the Core Leadership Competencies?

22. Any other comments regarding the Individual Development Plan?

23. Any other comments regarding the overall process?

GOALS SHARED BY RESPONDENTS

1. HCD will implement a streamlined Affordable Housing Application and Income Certification process to facilitate customer-friendly access to HCD housing opportunities.

2. Have the Cuyama Pool project bid out by December 2007.

3. Improve attorney fee collection process.

4. Implement training qualifying for MCLE credits in-house.

5. Development and implementation of a Benefit Services Center (fiscal and facility aspects).

6. Define the scope and role of the future epidemiology unit to support data driven decision making:

    *   Identify Epi unit priorities

    *   Identify information/data that can be accessible outside the Epi Unit

    *   Plan for tasks and functions that can be accomplished outside of the Epi Unit

7. Implement CSE/V2 conversion rollout with specific focus on change management and rollout of local business process updates.

8. Assess the feasibility of changing banking institutions to SBB&T for the Public Administrator, Public Guardian, and Representative Payee Program.

9. Work cooperatively with other departments in streamlining services and reducing costs to our customers.

10. Review and study opportunities to potentially consolidate County fleet management services by Public Works and General Services. Evaluate the strength of each operation including the cost of providing that service.

11. Investigate the consolidation of County Real Property services with General Services and Public Works – develop options to overcome potential roadblocks to consolidation.

12. Review staffing levels within the project Cleanwater budget as well as the Surveyors office for possible general fund reductions.

13. Oversee the implementation of an evidence-based assessment tool for adult offenders to enhance the most effective deployment of Adult Supervision resources and to best assure community protection and the success of the offender.

14. Establish the use of debit/credit cards in various program areas to improve customer service and revenue collection.

15. Implement a Development Services Coordinator for enhanced Public Service on Development issues.

16. Establish Public Computer Access in the Santa Barbara Downtown Engineering Building and the Santa Maria Public Works Services center.

17. Establish FP Site for customer access to information 24/7 without having to come to the County office.

18. Bring Solvang into the Fire District.

19. Make a recommendation to the Board to create a benefit assessment district.

20. Implement Phase II of Document Imaging for DSS and create a measurable advantage to the "Paperless Initiative."

21. Assist in evaluating, recommending, and implementing a new Human Resources Information System to enable the effective management of County resources (select winner by summer 2007, identify resources and build implementation plan by fall 2007).

22. Reposition (elevate) the status of technology within the County – July 2008.

23. Maximize delivery by redirecting management resources to technical activities – July 2007 to March 2008.

24. Implement improvement to EMS system to strengthen services, accountability and efficiency through the following: Update EMS strategic plan; develop an EMS system report to be shared with the community leaders and system participants.

25. Conduct customer satisfaction surveys quarterly and develop improved methods of gathering customer feedback on interactions with our department.

26. Improve the way fees are assessed; provide system for fees to be appealed.

27. Implement and continuously assess the Field Nursing Unit Model for ACE principles:

- Develop a cohesive FNU team as demonstrated by regular managerial collaboration as well as supervisor and staff collaboration

- Identify strengths and weaknesses of the current FNU model and implement changes as needed

- In collaboration with the DC Program Manager, create opportunities for cross-training of FNU staff

28. Ensure that the contractual requirements of MCAH are maintained as well as the effectiveness and outcomes are monitored:

- Evaluate existing medical and psychosocial services, in collaboration with the Epi Unit to start the process of the Community Assessment. By the end of 2008, develop and plan for 2009 assessment.

- Standardize program operations in categorical programs as related to job juties, data gathering and unit work objectives.

- Evaluate staff productivity and staff-client ratios for greater effectiveness. Maximize position roles and develop proposals for operational systems-change within MCAH program.

- Enhance current technology systems in the PHN database for effective documentation.

- Initiate and develop proposals to decrease expenditures in the MCAH program.

29. Conduct audit of franchised solid waste collector to ensure compliance with performance standards (they interface directly with the public on a weekly basis).

Respondent Suggestions for Improvements

- Department approached it in a group process, which overlooked the importance of the individual performance planning process – stress a more collaborative process with each individual as a more effective approach

- Multiple comments regarding making improvements on the form (simplify it, improve the functionality, and/or fully automate it)

- Multiple comments regarding streamlining/simplifying the overall process:

  o Integrating competencies with each goal is cumbersome and overkill

  o Focus on a few competencies rather than all for planning purposes

  o Reduce the number of competencies and/or attribute statements

  o Simplify competencies

  o Simplify the completion of the IDP and strategic actions

  o Encourage departments to outline department goals in writing prior to performance planning

  o Require some performance check ins

  o Eliminate redundancies in competencies

  o Clarify how competencies relate to goals

  o Improve linkage between performance expectations, competencies, and department business objectives

  o Encourage use of the telephone coaching session for those using the Trimetrix tool

  o Broaden the pay-for-performance parameters to be more meaningful

  o Streamline the system

  o Shorten the evaluation

- Provide consistent guidance between the CEO's office and County HR

- Include high-level demanding technical and analytic skills in the competencies

- Assess the value of the Trimetrix tool

- Apply to professional levels in the organization (Cost Analysts and Accountants, etc.)

- More training/ongoing training

Memorandum

Date: January 9, 2006

To: All Executives and Managers

From: Susan Paul, Assistant CEO, Director of
Human Resources

Subject: Leadership Project Focus Group Summary

As part of CEO/Human Resources ongoing initiative to create an improved classification and compensation system and revamp and create business systems to support these changes, focus groups were conducted with randomly selected executives and managers throughout the County. During November and December 2005, six focus groups were held with approximately 19% of the County's managers to obtain their ideas and suggestions in the following areas:

- County values and mission

- Improvements to the current management classification and compensation structure

- Important components of a performance management system for managers

Throughout each focus group session, HR staff recorded and tracked responses, and subsequently prepared a summary of the gathered input. In an effort to keep the County's leadership team apprised of the progress being made, attached you will find a summary of the input collected from your colleagues who participated in the focus groups.

As we progress over the next couple of months, we will continue to send you updates and status reports. In the meantime, if you have any questions, please contact Jeri Muth at 568-2816.

Summary of Leadership Competencies Focus Groups

Human Resources staff facilitated six focus groups with County executives and managers during November and December 2005. Over 30% of the County's managers were invited to attend a focus group; and 63 individuals (or 19%) actually participated (19 Executives; 44 managers).
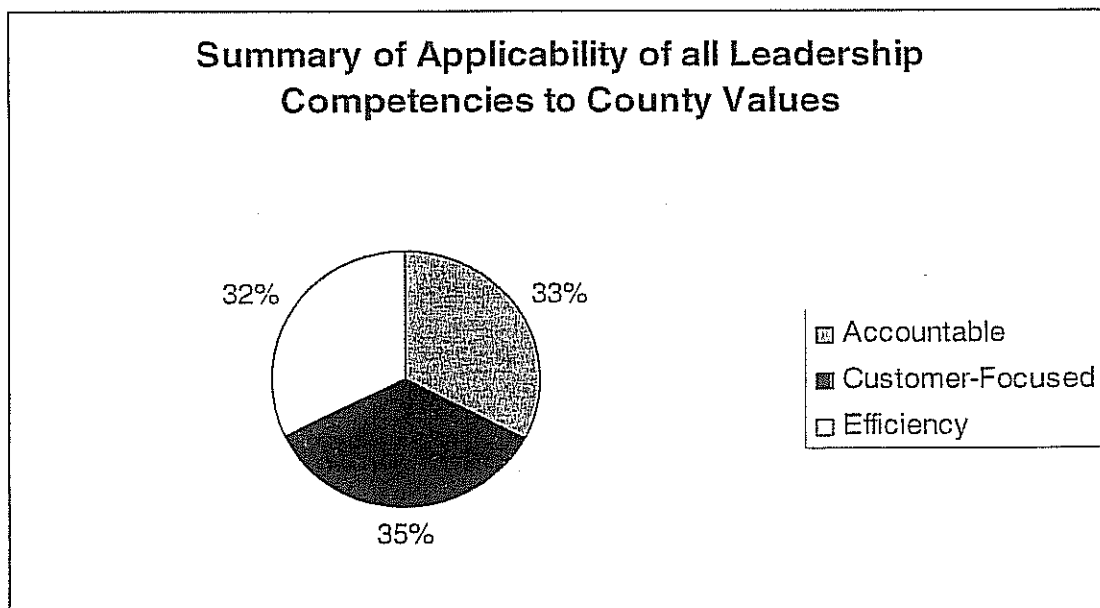
The focus groups were divided into four key components:
- Linking leadership competencies to County values
- Drafting a Mission Statement
- Potential improvements to the current Classification and Compensation structure for County management
- Components for a new performance management system for managers

Following is a summary of the input received in each of the areas discussed.

I   **Validation of the Leadership Competencies Relevance to County Values**

The focus groups were asked to match each of the seven leadership competencies (Intensity, Ethical, Influential, Committed, Interpersonal, Resilient, and Craftsman-Like) to one of the core County values (Accountability, Customer-Focus, and Efficiency). Although many of the competencies were found to relate to more than one value, the results of a forced selection process showed a fairly even distribution of competency-relevance among each of the values (i.e., 33% of the competencies were linked to Accountability; 35% were linked to Customer-Focus; and 32% were linked with Efficiency). See chart below.

Summary of Applicability of all Leadership Competencies to County Values

32%   33%

- ▥ Accountable
- ▧ Customer-Focused
- ☐ Efficiency

35%

In addition, the focus group exercise showed the primary (shown in red), secondary, and tertiary relevance of each competency to County values as shown below:

Competency	Accountability	Customer-Focus	Efficiency
Intense	23%	15%	**62%**
Ethical	**74%**	21%	5%
Influential	10%	31%	**60%**
Committed	5%	**85%**	10%
Interpersonal	11%	**68%**	21%
Resilient	**48%**	6%	46%
Craftsman-Like	**54%**	22%	24%

II   Mission Statement

The focus groups were asked to draft County Mission Statements in the context of the County's values. The key themes that emerged from this exercise were:

- Anticipate and respond to community needs
- Be accountable, customer-focused, and efficient in the delivery of services
- Maintain the high quality of life for citizens of the County
- Maintain the natural beauty and resources of the County

See Attachment A for a list of all the Mission Statements drafted by focus groups.

III   Classification and Compensation

Participants were asked to identify improvements to the current management classification and compensation structure. Following are the key and recurrent suggestions that emerged:

- Increased flexibility

- Reducing the number of classifications

- Improved clarity:
  - Job specifications
  - Competencies as related to the specific job
  - Differences between classifications

- Demystify/streamline classification process (reduce the amount of time taken)

- Revised salary structure (i.e., increasing ranges, broadbanding of salaries and classifications, etc.)

- Compensation connected to management duties and the scope of authority and responsibility of managers

- Address compaction between non-management and management classifications

- Consistent application of salary decisions across departments (issues related to "cash-rich" vs. "cash-strapped" departments, and size of departments)

- Compensation/incentives/rewards

- Non-monetary rewards

IV   Performance Management System

Focus group participants were asked to identify the necessary components of a new countywide performance management system for managers. Following are the key and recurring concepts that surfaced:

- Consistency and fairness in ratings and compensation levels within departments and throughout the County (relates to issue of "cash-rich" vs. "cash-poor" departments)

- Increased flexibility (and ability to tailor to individual departments/jobs)

- Planning for future performance and career development

- Establish clear goals, meaningful and measurable objectives, customized to the individual

- Tie performance goals to County and department mission and values

- Collaboration between employees and managers in setting performance objectives and goals

- Meaningful and measurable performance measures

- Provide frequent feedback on performance (formal and informal)

- Different types of rewards/incentives

- 360 degree review process

- Reflect and reward overall performance (i.e., daily performance, unanticipated accomplishments, response to crises, goal achievement, effectiveness of leadership style, etc.)

- Improved training of managers in the performance management system

- Address span of control issues

- Mentoring and career development component

Mission Statements

Following are the draft Mission Statements created by small working teams in the six focus groups held in November and December 2005.

The mission of SBC is to be an accountable, customer-focused, and efficient organization able to anticipate community needs.

Our mission is to ensure the safety and wellbeing of the county, its residents, employees and natural resources and to consider adjacent neighboring areas by being efficient and responsible.

The mission of SBC is to anticipate and respond effectively to community needs by providing services that are accountable, customer-focused and efficient to promote the quality of life and natural resources for the residents of the county.

SBC government's mission is to be the steward of the natural resources and quality of life for the people of SBC.

The mission of SBC is to improve the quality of life for the residents of the county and conserve its natural and physical resources.

SBC is an accountable, customer-focused and efficient organization able to anticipate and respond effectively to community needs and goals

The mission of SBC is to be the stewards of our natural resources and ensure the quality of life for our residents. We will be accountable, customer focused and efficient organization able to partner and respond effectively to community needs within our resources.

The mission of SBC is to provide value added services to the residents of the county

The mission of the county of SB is to provide services that preserve and enhance the quality of the life by responding effectively to community needs in a customer-focused efficient and accountable manner.

The mission of SBC is to maintain and improve the quality of life for the residents of the county. We are accountable, customer-focused and efficient organization able to anticipate and respond effectively to community needs.

SBC actively promotes the quality of life for its residents and its natural resources through accountable, customer-focused, and efficient practices anticipating and effectively responding to community needs.

SBC government provides services that enable residents to obtain/maintain a high quality of life.

The mission of SBC is to ensure a high quality of life for county residents by providing necessary services and anticipating and responding to community needs

The mission of SBC is to anticipate and respond effectively to community needs with an accountable, customer-focused and efficient organization.

The mission of SBC is to respect and promote the quality of life for all residents and visitors of the County by being an accountable, customer-focused and efficient organization, able to anticipate and respond effectively to the community.