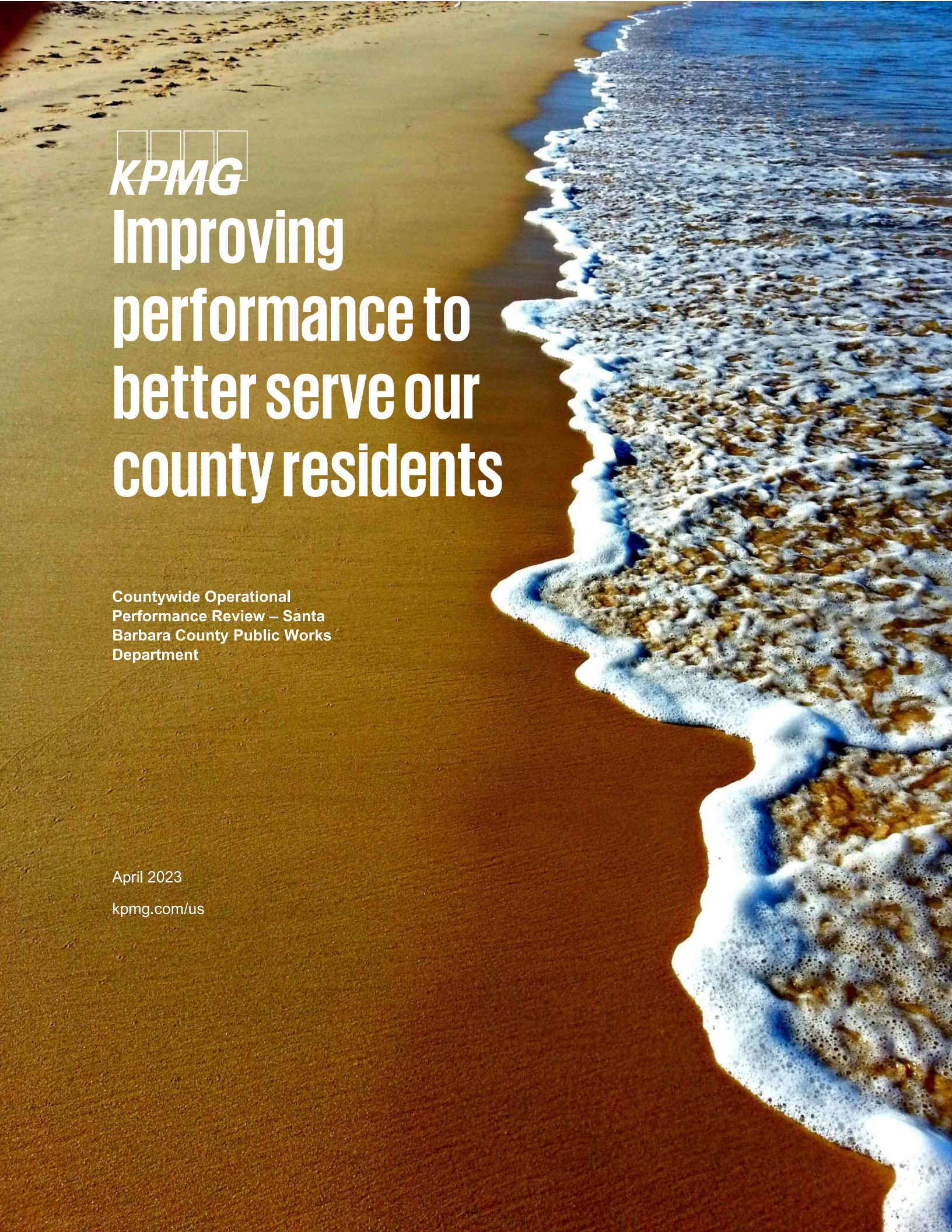

KPMG

Improving performance to better serve our county residents

Countywide Operational Performance Review – Santa Barbara County Public Works Department

April 2023

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Contents

Executive Summary

The County of Santa Barbara (the County) contracted with KPMG LLP (KPMG) in May 2019 to conduct an operational and performance review of all County departments. KPMG conducted a review of the Public Works Department commencing in September 2022. The purpose of this review was to provide a high-level assessment of the Department to identify strengths and opportunities across key focus areas with the goal of enhancing overall operational efficiency, effectiveness, and service delivery provided by the Department.

The following focus areas per division were developed in conjunction with the CEO's Office and the Department to guide the focus of this review.

Department-wide	— Operational review of risk management and assessment processes — Operational efficiency, including customer service — Optimization of technology and data — Cross-departmental coordination and collaboration — Funding structures and allocation of capital
Transportation, Roads, and Facility Management	— Operational review of funding, including strategic planning, prioritization and allocation of capital — Review of staff productivity and performance of outsourced contracts
Surveyor	— Review of staffing and performance measures, including performance against statutory targets
Water Resources	— Operational effectiveness, including strategic planning, collaboration with County departments and inspection process

Figure 1: Source: KPMG

Scope and Methodology

Over a 16-week period, the KPMG Team conducted the following activities:

- Approximately 50 interviews with Department leadership and staff to understand the organizational structure, roles and responsibilities, operations, and processes of the Department.
- Analysis of available data, reports, and policy documents to understand the demands upon and the operations of the Department.
- A benchmarking and leading practice review was also conducted across the eight benchmark counties specified in our contract at the request of the CEO's Office: Monterey, Solano, Sonoma, Tulare, Placer, San Luis Obispo, Marin, and Santa Cruz. Please refer to the Appendix for detailed full-time equivalents (FTE) and budget benchmarking per division.

Figure 2: Source: KPMG

Description

The Public Works Department consists of five Budget Programs: Administration and Support, Transportation, Surveyor, Water Resources, and Resource Recovery & Waste Management. Public Works is responsible for County-maintained roads, traffic engineering, review and permitting of private land development, design engineering and construction management, land surveying and map processing, water supply planning, storm water permitting activities and flood protection, solid waste planning, engineering and management, active and inactive landfill management, wastewater systems management, and special districts.

Mission: Public Works Department employees are committed to efficiently providing, operating and maintaining public works infrastructure, facilities and services to make everyday life as safe and convenient as possible for the public they serve.

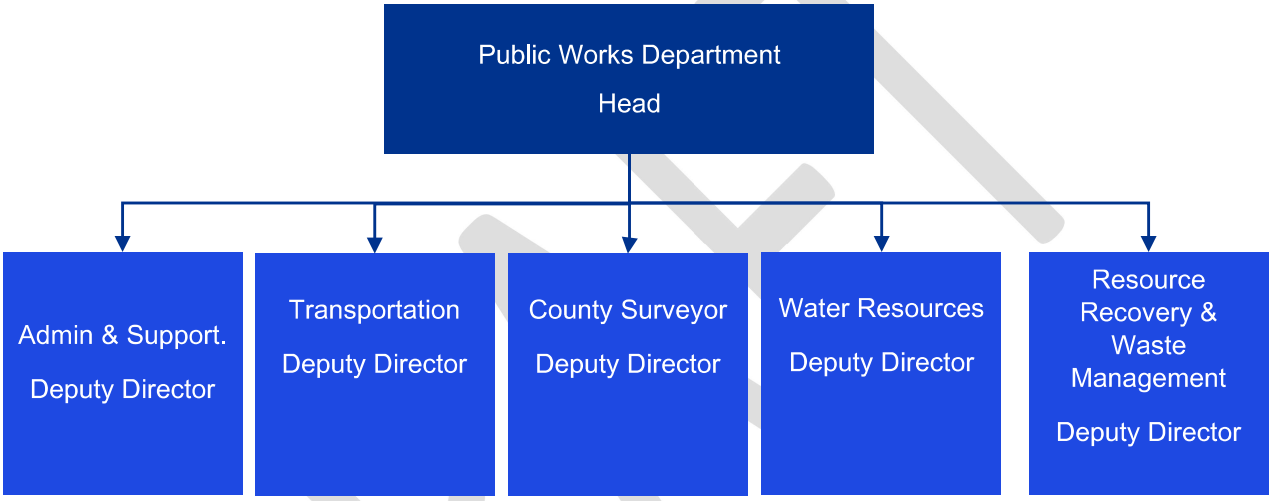

Figure 3: Source: KPMG

Budget Information for Fiscal Year 2021–2022

$166.2 million	$77.8 million	$3.6 million	288
Operating Expenses	Capital Assets	General Fund Contribution	FTEs

Figure 4: Source: KPMG

County Benchmarks

The benchmarks utilized to develop the average FTEs and budget below relate only to those benchmark counties for which program level information was available and comparison was possible. For Transportation, averages include Sonoma and San Luis Obispo. With regard to Surveyor, averages include Placer and San Luis Obispo. Water Resources includes the county of Monterey. Finally, for Administration averages includes Monterey, San Luis Obispo, and Placer. Please refer to the County Benchmarks Appendix for further detail.

		Santa Barbara	Average
Transportation	Division FTE	119	129
	Percent of Enterprise	**3%**	**3%**
	2021 Division Budget ($'000)	69,735	79,139
	Percent of Enterprise	**5%**	**4.5%**
Surveyor	Division FTE	6*	7
	Percent of Enterprise	**0.14%**	**0.25%**
	2021 Division Budget ($'000)	1,540	2,089
	Percent of Enterprise	**0.11%**	**0.19%**
Water Resources	Division FTE	49	43
	Percent of Enterprise	**1.12%**	**0.66%**
	2021 Division Budget ($'000)	25,953	11,153
	Percent of Enterprise	**1.8%**	**0.68%**
Administration	Division FTE	16	14
	Percent of Enterprise	**0.37%**	**0.41%**
	2021 Division Budget ($'000)	5,236	3,734
	Percent of Enterprise	**0.39%**	**0.27%**

**One FTE was budgeted for FY22-23 to provide for succession planning*

Figure 5: Source: KPMG

Commendations

The below commendations were identified during the course of the review and recognize the dedication of the Department to its mission.

Strong commitment to innovation in waste reduction and lowering greenhouse gases emissions

The Department operates the Santa Barbara County's Resource Center, a first-of-its-kind facility in California, that converts commercial and residential waste into resources, generating renewable energy and lowering greenhouse gas emissions. The Resource Center is projected to increase the County's recycling rate to over 85 percent and divert 60 percent of its waste from the landfill, but landfill reduction is just one of the numerous environmental benefits of the self-sufficient project. Other benefits include litter reduction and reducing dependence on petrochemical soil amendments through generating compost.

Partnered with outside consultant to update the Department's safety plan

The Department's Safety, Disability, and Risk Management Unit has recently engaged an outside consultant to revise and update the Department's Injury, Illness, and Prevention Plan. This revision will help ensure that the Department's safety plan is aligned with the facilities, activities, and equipment within the Department's purview that have changed significantly over time. Additionally, the Safety, Disability, and Risk Management Unit is developing updated safety processes and procedures to help ensure that staff is aware of the key safety protocols that should be adopted while working with the Department.

Increased preventive maintenance in the Urban Forestry program

Commendably, the Department's Urban Forestry program has enhanced its processes as it relates to tree preventive maintenance and has created a proactive tree maintenance program. The resulting decrease in community risk was demonstrated through reductions in both incidents and public liability claims against the county over the past number of years.

Strong collaboration with the County's Risk Management and General Services Departments

The Department has developed strong collaborative relationships with both the County's Risk Management Department and the General Services Department. For example, the Department's Safety, Disability, and Risk Management Unit consistently engages with County Risk Management to provide key information on incidents and accidents and to consider leading practices.

Implementation of Smartsheet within the Transportation Division

The Transportation Division has recently implemented Smartsheet to track the progress of various projects and strategic plan goals across the Division. This adoption of this new platform has allowed the Division to consolidate various Excel spreadsheets, schedules, and status reports to create a more centralized system for project and goal tracking. Additionally, it has increased communication among staff members by allowing multiple employees to update project statuses and input various data concurrently as projects progress.

Increased automation within the Surveyor's Office

The Surveyor's Office has recently implemented a Geospatial Information System (GIS) to allow customers to digitally inspect specific properties and access maps and related records. This has resulted in greater ease in accessing information and a reduction in paper processing as customers are no longer required to attend at County Offices to obtain physical copies of the documents required. It has also provided a foundation to enhance data integration across planning, transportation, and disaster risk analysis.

Deep and demonstrated commitment to Department mission

At all levels of the Department, there is a demonstrated commitment to mission. The Department is deeply dedicated to serving the critical needs of the community and efficiently maintaining public works infrastructure, facilities and services. Staff is passionate and committed to serving the Department's mission and demonstrate a high degree of operational resiliency.

Renew ’22 Mapping

The recommendations made within the operational and performance review have been aligned to the Renew ’22 transformation behaviors to help ensure that the recommendations are driving toward the Renew ’22 strategic vision, as seen in the figure below. The colored tiles identify the Renew ’22 transformation behaviors that align to each recommendation.

			Transformation Behaviors				
			Alignment with vision	Data-driven decision-making	Strategic thinking	Risk taking	Collaborative problem-solving
Department-wide	1.1	Reestablish quarterly site inspections to enhance control performance and enable more proactive management of safety, accessibility and risk Department-wide.	■		■		■
	1.2	Leverage technology to streamline project progress tracking, track alignment to strategic goals and enhance the flow of information across the Department.	■	■	■		■
	1.3	Assess department-wide technology needs and develop a technology modernization plan to enhance process automation, reduce paper process, and enhance communication.	■	■	■	■	■
Transportation, Roads, and Facility Management	2.1	Enhance processes to track available data related to road usage service requests, risk management, staffing, and pavement quality to inform maintenance prioritization.	■	■	■		
	2.2	Establish an internal prioritization model to support the implementation of the Active Transportation Plan and better leverage available funding sources.	■	■	■	■	■
	2.3	Enhance collaboration with SBCAG and conduct an assessment of current Measure A distribution formulas to better align funding with community service area need.	■	■	■	■	■
	2.4	Utilize available activity data to develop key performance indicators and utilization targets for maintenance teams to allow for enhanced data-driven decision-making surrounding resource allocation and task assignment.	■	■	■		
	2.5	Conduct a cost-benefit analysis and skills gap analysis to evaluate the effectiveness of the Division’s approach to recruiting outside consultants.	■	■	■	■	

			Transformation Behaviors				
			Alignment with vision	Data-driven decision-making	Strategic thinking	Risk taking	Collaborative problem-solving
Surveyor	3.1	Conduct an activity-based workload analysis and establish additional performance measures to inform decision-making on staffing mix, resource allocation, and task assignment.					
Water Resources Division	4.1	Consider implementing an asset management database for County-managed flood control infrastructure to improve risk visibility.					
	4.2	Identify a core set of additional performance metrics to enhance visibility of performance and progress toward operational goals.					
	4.3	Expand cross-training efforts between Water Resources and Transportation Maintenance Teams across locations to enhance skill sets, increase resiliency, and assist with resource challenges.					
	4.4	Customize Accela workflows to help ensure that workflows consistently align to staff activities allowing the Division to enhance the tracking of case volumes, cycle times, and staff productivity.					
	4.5	Expand cross-departmental outreach on Water Agency program offerings and increase cross-departmental collaboration in identifying key grant funding opportunities.					

Figure 6: Source: KPMG

Prioritized Timeline

The following report consists of 14 recommendations that were developed as part of this review. Proposed high-level timing and prioritization for each recommendation is depicted below. Please refer to the Appendix for a more detailed timeline by month.

			High-level Timeline			
			Months 1–3	Months 4–6	Months 7–9	Months 10–12
Department-wide	1.1	Reestablish quarterly site inspections to enhance control performance and enable more proactive management of safety, accessibility and risk Department-wide.				
	1.2	Leverage technology to streamline project progress tracking, track alignment to strategic goals and enhance the flow of information across the Department.				
	1.3	Assess department-wide technology needs and develop a technology modernization plan to enhance process automation, reduce paper process, and enhance communication.				
Transportation, Roads, and Facility Management	2.1	Enhance processes to track available data related to road usage service requests, risk management, staffing, and pavement quality to inform maintenance prioritization.				
	2.2	Establish an internal prioritization model to support the implementation of the Active Transportation Plan and better leverage available funding sources.				
	2.3	Enhance collaboration with SBCAG and conduct an assessment of current Measure A distribution formulas to better align funding with community service area need.				
	2.4	Utilize available activity data to develop key performance indicators and utilization targets for maintenance teams to allow for enhanced data-driven decision-making surrounding resource allocation and task assignment.				
	2.5	Conduct a cost-benefit analysis and skills gap analysis to evaluate the effectiveness of the Division's approach to recruiting outside consultants.				
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Water Resources Division	4.1	Consider implementing an asset management database for County-managed flood control infrastructure to improve risk visibility.				
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	4.5	Expand cross-departmental outreach on Water Agency program offerings and increase cross-departmental collaboration in identifying key grant funding opportunities				

Figure 7: Source: KPMG

Operating Model Maturity Scale

The figure below summarizes the Department's current-state operating model across four areas of analysis, as well as the target state that can be achieved by implementing the recommendations in the following sections. The purple boxes indicate the Department's capabilities at the time of the review, and the gold boxes illustrate the level of maturity that KPMG believes is attainable through the recommendations in this report. Each operating model layer describes a continuum of maturity related to optimal service delivery. While the highest-priority opportunity areas are detailed in callout boxes in the diagram below, full descriptions of the four design layers can be found in the Appendix.

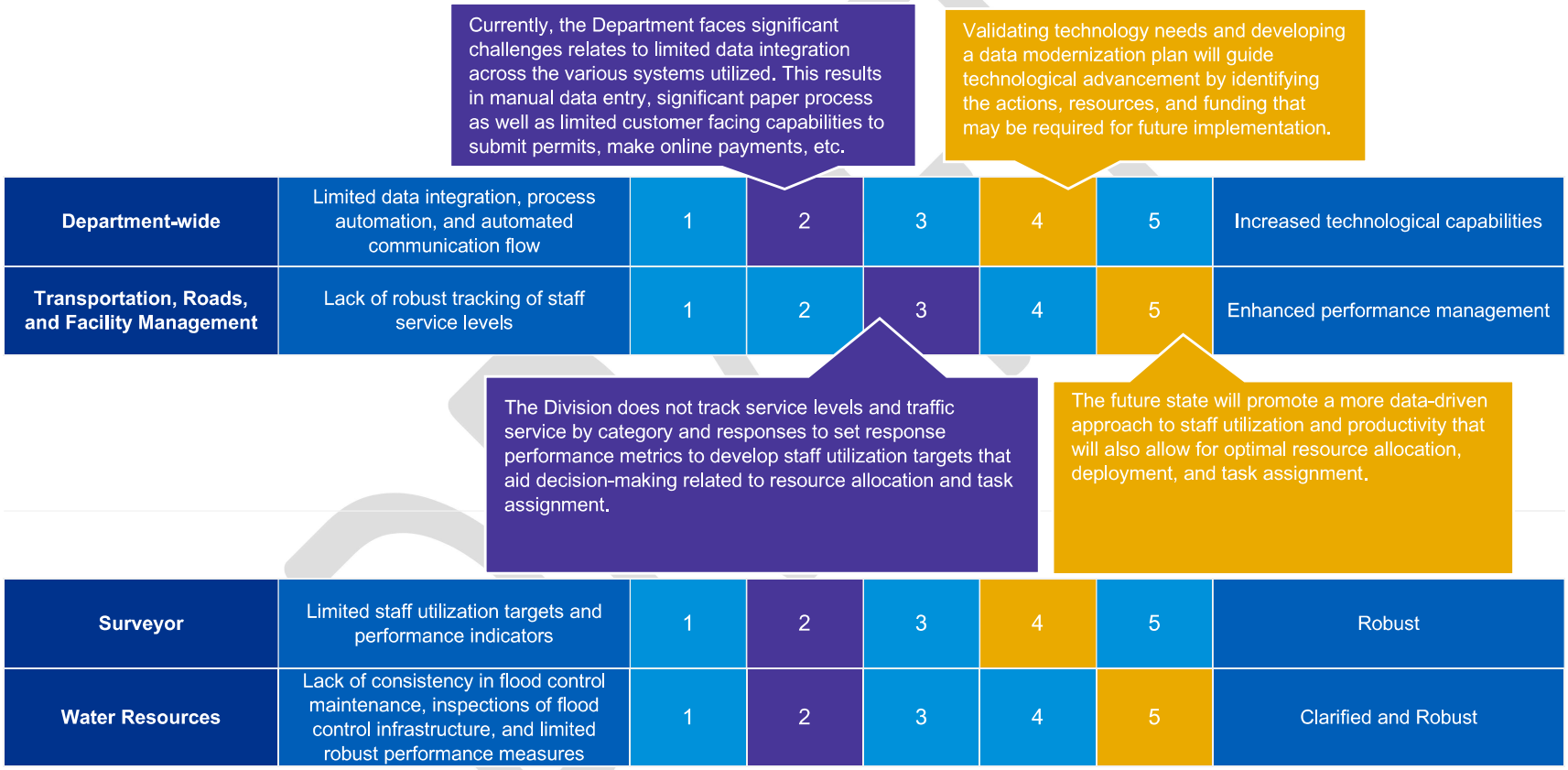


Figure 8: Source: KPMG

Department-wide

The below recommendations are Department-wide recommendations that should be considered for implementation across the Department.

1.1	Reestablish quarterly site inspections to enhance control performance and enable more proactive Department-wide management of safety, accessibility, and risk.

Benefit

Recommencing quarterly inspections conducted by the Department's Safety, Disability, and Risk Unit will provide the following key benefits to the Department:

- It will help ensure that safety issues across jobsites and maintenance yards within the Department's control are being consistently identified, assessed, and appropriately resolved by the site safety officer and safety representatives.
- It will increase accountability by enhancing Department oversight and promote a consistent and proactive approach to risk management across sites, yards, offices, and department staff in general, which may prevent accidents and reduce cost to the County in the future.

Enhancing the utilization and tracking of available claims, incident, and liability costs will result in a number of benefits to the Department:

- It will assist the Department in proactively identifying trends and patterns in accidents and incidents across regions, maintenance yards, and jobsites and enable the Department to develop a more proactive, targeted approach to training across regions, sites, and staff.
- It will provide Department leadership with the tangible data surrounding incident and accident outcomes and costs, which is critical to data-driven decision-making as it relates to the development of safety protocols and is also a key tool in incentivizing continued enhancement of safety practices department-wide.

Current State

In the current state, each maintenance yard, construction site, and office under the Department's purview has an appointed safety representative, site supervisor, or administrative staff member who conducts a monthly Illness and Injury Prevention Plan (IIPP) inspection as required by California Division of Occupational Health and Safety (OSHA). IIPPs are completed monthly and submitted to the Department's Safety, Disability and Risk Unit for filing. The Department is currently in compliance with all requirements under OSHA.

In addition to the completion of IIPPs, prior to the COVID-19 Pandemic, the Department's Safety, Disability and Risk Unit undertook quarterly inspections of each site, yard, and office to conduct site reviews to proactively and independently assess that effective controls were being put in place to address potential risks. These inspections also enabled the Safety, Disability, and Risk Unit to proactively assess any potential trainings required at particular locations based on engagement with staff and review of safety protocols at individual locations. However, due to staff capacity at the Department, these quarterly inspections have not been conducted in approximately two years, being last undertaken prior to the COVID-19 Pandemic.

In addition, while the Department has a training program in place for the Department's safety officer, safety representatives, relevant supervisors, and administrative staff to help ensure that they are

consistently completing IIPPs, this training is not undertaken on an annual basis. In the future state, there is an opportunity for the Department to develop annual refresher training programs for safety representatives, site supervisor, or administrative staff member who conducts a monthly Illness and Injury Prevention Plan (IIPP) inspection to help ensure that they remain informed on leading practices as it relates to addressing hazards and implementing effective safety protocols.

Additionally, the Department cannot easily access data related to cost paid out per claim, cost of incident repairs, liability costs for signage, slip and fall incidents, and reserves per claim. In the current state, the County's Risk Management Department owns information as it relates to workers' compensation, public liability, and certain incident repairs within its PRISMS system. However, to obtain this information, Department staff must engage with varying contacts within the Risk Management Department to obtain this information, depending on the type of claim (workers' compensation, public liability, etc.). Additionally, in instances where an accident/incident results in a repair to a County-owned vehicle, the Department may engage the General Services Department to undertake the repair and subsequently must request cost information from the General Services Department. Reporting data related to claim/incident cost and outcome to Department leadership and staff is a critical strategy to promote consistent approaches to safety, highlighting the importance of safe practices, and driving proactive education. However, the current approach to data sharing with outside departments does not provide Department's Safety, Disability and Risk Unit with the on-demand information needed to assess claim cost and identify trends across incidents or claims by region, yard, site, staff position, etc., which could be utilized to developed targeted and proactive training for staffing aligned to incident and accident occurrences.

Finally, Department's Safety, Disability and Risk Unit, safety officer and safety representatives hold a monthly Safety Commission meeting to discuss incidents that may have occurred in that month. As part of this meeting, staff members discuss the measures that may be put in place to reduce the occurrence of future incidents. While this process is commendable and should continue to occur, there is an opportunity for the Department to present further data related to incident/accident cost to underscore the importance of safety protocols. The addition of this information will be dependent on enhanced data sharing with Risk Management and General Services, as noted above.

Recommendation

In the future state, the Department should consider recommencing these quarterly inspections and leverage available data to prioritize their completion. The following chart illustrates trends of increasing claim numbers in certain areas as an example of available data to inform this prioritization.,

Based on this FY21–22 claims data, the SCRTS had the highest number of claims recorded across locations at 5, at a cost of $63,000 and might therefore be prioritized in the scheduling of quarterly inspections. Additionally, it is important that the Department continue to analyze cost data in making decisions surrounding the prioritization of quarterly inspections. For example, in FY21-22, the highest cost claim occurred in Tajiguas at $90,000. Additionally, the Department should continue to review Cal Osha claims form 300A and consider such claims in determining priority locations for the completion of quarterly inspections. For example, the Department had 15 reportable claims in 2021 with four resulting in 248 days away from work. In 2022, the number of claims was reduced to eight; however, six of these claims resulted in 507 days away from work.

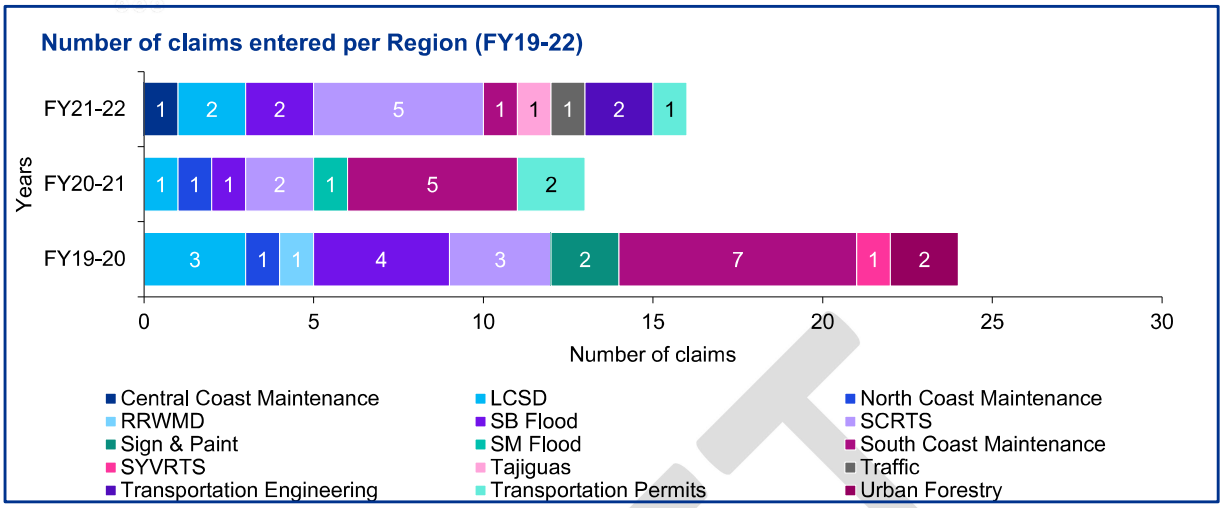


Figure 9: Source: KPMG Review of Department Data

Suggested Action Steps to Implement Recommendation

Action one: Utilize data to efficiently schedule the recommencement of quarterly site inspections at certain in the field jobsites. In the future state, the Department should consider recommencing the completion of quarterly jobsite safety inspections. However, given that staff capacity constraints may prevent the recommencement of quarterly inspections at all jobsites, the Department may prioritize inspections on the basis of data and risk—considering a mix of inherent, historical, and operational factors.

In recommencing quarterly inspections, the Department may:

- Identify a Safety, Disability, and Risk staff member responsible for conducting these quarterly inspections
- Consider whether these inspections will be undertaken in collaboration with County Risk or whether Department staff will undertake these inspections internally
- Utilize available data to consider how quarterly inspections should be targeted and prioritized e.g., reviewing inherent risk versus residual risk to determine if the current risk treatment plan is effective
- Develop a schedule for completion of each site inspection and consider whether safety representatives will be advised of the dates of inspection or whether no advance notice of inspection will be provided.
- Develop a checklist to identify the specific aspects of the site that will be assessed by the inspecting Safety, Disability, and Risk staff member
- Consider how the results of the site inspection will be reported to Department leadership and site safety representatives. (i.e., report, email, verbally).

Action two: Collaborate with Risk Management and General Services with the support of the CEO's Office to increase access to available incident and accident outcomes and cost data. The Department should consider engaging with the Risk Management Department, General Services Department, and County IT with the support of the CEO's Office to create data sharing agreements and a shared dashboard that details information such as liability cost for accidents/incidents, payout per claim, incident/accident repair costs, reserves, and case outcomes. In undertaking this action the

Department may undertake the following key steps:

- With the support of the CEO's Office, establish a working group with representatives from Public Works, Risk Management Department, General Services Department, and County IT to collaboratively consider the key data points and metrics to be included within the shared dashboard.
- Consider the development of data sharing agreements across departments identifying the key data points to be shared as well as the mechanisms for sharing.
- Develop a plan for development of the dashboards. The plan should consider the following key elements at a minimum:
    - Consider the platform utilized for the dashboard (e.g., Power BI, Tableau, Smartsheet) and how information will be visually displayed.
    - Identify the roles and responsibilities of each department as it relates to developing the dashboard.
    - Establish a timeline for completion.
- Develop data sharing agreements across departments outlining the terms, purpose, roles and responsibilities as it relates to data sharing. These data sharing agreements should also consider the privacy and confidentiality of data and appropriate access controls for the dashboard.
- Identify a staff member across the Department who will be responsible for reviewing both current and future data for inclusion in the dashboard to allow for the proactive identification of trends.

If developing a shared dashboard is not the desire of the Departments, the Public Works Department may consider engaging with Risk Management and General Services to develop a service level agreement that would require Risk Management and General Services to provide the required risk data to Public Works on a more regular basis (weekly, monthly, quarterly), etc.

Action three: Utilize available data and quarterly jobsite inspection results recommended for reestablishment to inform targeted, proactive training and education by region. In the future state, the Department should utilize available data and trends related to number of accident, incidents and claims by region, accident/incident type, accident/incident by staff position, outcome, and cost, etc., as well as the results of quarterly jobsite safety inspections results to develop preventive measures. They may also utilize this data to develop targeted, proactive education and trainings to focus on promoting safety and preventing accidents. As part of this process, the Department's safety, disability, and risk staff should review data regularly and identify any key trends in accidents/incidents. The Department's monthly meetings with the safety officer and safety representatives could be utilized to discuss these trends and collaboratively identify where training may be provided to site or yard staff where common categories of incidents continue to occur. This data should also be reported to department leadership monthly to help ensure they are aware of trends in accidents and incidents.

Action four: Develop a formal IIPP training program for the Department's safety representatives. The Department should engage with the Safety Executive Committee to develop a formal training program for the Department's staff who undertake IIPP, which includes annual refresher training. In developing these training programs, the following key steps should be undertaken:

- **Step one:** Hold focus groups and/or issue surveys to the key staff that complete IIPPs across the Department to understand training interests, training methods (virtual or classroom based), and gaps in current training.
- **Step two:** Develop training materials based on feedback and incident trends from focus groups and/or surveys for utilization across safety representatives
- **Step three:** Following commencement of training, ensure that materials are accessible to staff

members on a SharePoint site to allow staff to refresh learnings at any time.

- **Step four:** Reassess training on a regular basis based on incident trends identified in the data, potential updates to OSHA regulations as well as to help ensure continued alignment with leading practices.

1.2	Leverage technology to streamline project progress tracking, track alignment to strategic goals, and enhance the flow of information across the Department.

Benefit

Leveraging technology across the Transportation and Water Resources Division to streamline project progress tracking and tracking alignment toward strategic goals will have the following key benefits:

- It will help ensure that leadership and staff can more holistically view divisional impact in undertaking projects, as well as the alignment and project performance against strategic goals, on a regular and consistent basis.
- It will allow for a more standardized approach to project tracking across divisions; helping to ensure that divisional staff is utilizing consistent technology platforms, applications, and frameworks in tracking both project progress and alignment toward strategic goals, increasing the ease of information sharing and the consistency of project tracking across divisions.
- It will assist Department and Division leadership in proactively identifying any potential challenges to achieving strategic goals and allow for the continued development of timely resolutions to identified challenges and project amendments, where necessary.
- Finally, it may provide increased transparency to the community regarding Public Works investments, particularly where high-level public-facing dashboards are developed, allowing the community to view the critical initiatives the divisions are working toward in providing key services to the community.

Current State

Currently, the Transportation and Water Resources Divisions utilize several planning tools to establish divisional strategic goals and identify key projects that align to these goals. These planning tools include:

- **Capital Improvement Plan (CIP):** The CIP is a countywide, multiyear planning tool utilized to identify and implement short-term and long-term capital needs across divisions. Capital projects included in the CIP largely relate to repairs, rehabilitation and replacement of key County-owned facilities. In addition, the CIP addresses capital improvements and large and small capital construction projects on county roads, bridges, and flood control facilities. Each Division across the Public Works Department collaborates with the General Services Department on an annual basis in developing this plan to help ensure that divisional strategic goals, projects, and initiatives align with countywide goals.
- **Road Maintenance Annual Plan (RdMAP):** The Transportation Division develops the RdMAP to act as a work plan and identify critical corrective maintenance needs as well as capital maintenance projects and other special programs. The projects included within the plan are typically based on five key asset classes including pavements, trees, drains, bridges, and traffic devices. The RdMAP is updated annually and includes input from the community, Board of

Supervisors, and Division staff.

- **Environmental Impact Report (EIR):** The Water Resources Division utilizes the strategic EIR to identify and prioritize maintenance projects within the Flood Control Unit. Progress toward achieving plan and project goals is evaluated via weekly meetings to discuss activities and update project status.
- **National Pollutant Discharge System (NPDES):**The Water Resource Division's Project Clean Water program utilizes the NPDES Permit requirements to develop strategic goals and define and document the methods to accomplish those goals including budget and resources within an internal plan.

Such plans are critical tools for effective planning and forecasting and should continue to be utilized in the future as a framework for identifying strategic goals at both the Division and Department level. However, the processes and tools in place to track plan progress and alignment toward achieving strategic goals and project timelines can be siloed and inconsistent. For example, across interviews, staff across divisions reported utilizing various approaches to project tracking with some staff tracking progress monthly, others tracking progress quarterly or at other varying intervals. Additionally, several staff members across the Transportation Division utilize Smartsheet to track progress; however, staff within the Water Resources Division utilizes various Excel spreadsheets, schedules, and status reports to track strategic plan alignment and project progress. Across interviews, staff members reported that the processes to develop and populate these documents can be time consuming in nature and in certain instances can result in paper processes; for example, staff within the Flood Control Unit attends at capital maintenance sites and documents project progress utilizing a paper approach. This information is then input into a status update report when the staff returns to the office.

Additionally, neither division utilizes dashboards as a tool to disseminate information and visually depict project plan progress and alignment toward strategic goals. While the Department's Public Information Officer (PIO) developed a number of high-level internal dashboards that are focused on tracking the number of projects being undertaken both divisionally and across the Department, they are largely qualitative in nature and do not provide a granular view of performance against goals at the individual project level. The data displayed does not provide Division and Department leadership with information surrounding spend-down rate per project, project-by-project type, project type per region, and funds expended on road maintenance, bridge maintenance, tree maintenance, etc.

Finally, the dashboards currently developed by the Department's PIO are largely internal, nonpublic-facing dashboards. The Department utilizes an interactive map that provides information on road closures to the public; however, there is an opportunity for the Department to expand information provide with regards to the initiatives and projects the divisions are undertaking to provide critical services to the community. Such dashboards could show high-level outputs such as the number of projects selected for completion per region, projects completed per region, maintenance requests received per region, and maintenance requests completed by region. These dashboards could be updated quarterly and would allow County residents to better understand the Department's overall impact on the community.

Recommendation

In the future state, there is an opportunity for both divisions to consistently leverage technological solutions, such as Smartsheet, across divisions to allow for greater standardization in project tracking as well as dashboard solutions, such as Power BI and/or Tableau, to allow for ease of reporting and enhanced data visualization as it relates to tracking project spend and project progress

Leading Practices

Based on leading practices, several other County Transportation Divisions use interactive maps and public-facing dashboards to track progress of their strategic goals. Examples of these counties include:

— **Ventura County, CA** has created an interactive map known as "SB1 RMRS Projects" to geographically illustrate the projects being undertaken across the County that are funded via Road Maintenance and Rehabilitation Account Funds[1]. The interactive map allows users to view the bridge, pavement surfacing, maintenance, bike and pedestrian, and drainage projects being undertaken across various regions of the County. It provides users with an overview of the key activities being undertaken by the County's Public Works Department, helping to increase transparency and awareness into the impact of the Department in helping to ensure that roads, bridges, and other public works assets remain maintained.

— **City of San Luis Obispo, CA** has created a Capital Improvements Project Dashboard to graphically outline the capital improvement projects being undertaken by the City to undertake a range of neighborhood enhancements throughout the City[2]. The dashboard provides information on project timelines, funding and key goals as well as what city residents can expect during construction.

Suggested Action Steps to Implement Recommendation

This recommendation can be implemented as a first step toward enhancing the utilization of technology across the Department and developing a technology modernization plan as identified in recommendation 1.3.

Action one: Consider the implementation of software solutions such as Smartsheet to enhance processes in place related to project tracking. As a first step, the Water Resources Division should consider the implementation of a software solution, such as Smartsheet, to allow for a more standardized approach to project tracking across the Division. Smartsheet has capabilities that allow the staff to work concurrently within the solution. It also has specific functionality related to project management and construction, which allows for the development of project schedules, activity schedules, cost schedules, and Gannt charts. As noted, the Transportation Division has recently adopted Smartsheet, which has allowed the Division to streamline its project management processes. In the future state, there is an opportunity for the Division to engage with the Transportation Division to discuss how the Division has implemented the application and the benefits of application.

Action two: Define the key data points and outputs that will be tracked within the dashboards. As a first step, the Division should consider the key data points and outputs that will be visualized on both the internal, division-level dashboard as well as the public-facing dashboard recommended for development. Given that each dashboard will have a different target audience with differing goals, potential data points and outputs should be considered separately for each dashboard. Examples of data for consideration on each dashboard are included below.

Internal Dashboards

The data points that could be tracked by the internal-facing divisional-level dashboard include, but are not limited to:

— Spend-down versus estimated cost to complete per project

[1] Geocortex Viewer for HTML5 (ventura.org)
[2] Capital Improvement Projects (CIP) | City of San Luis Obispo, CA (slocity.org)

— Project type per region

— Project status

— Types of maintenance projects

Public-facing Dashboards

Examples of data points that the Division may consider tracking within the public-facing dashboard include, but are not limited to:

— Number of Active Transportation projects

— Number of projects undertaken

— Number of maintenance requests received

— Number of maintenance request completed

— Total budgeted funds for project completion

Action three: Engage with the Department's PIO to consider dashboard design. Having identified key dashboard outputs, the Division should engage with the Department's PIO to consider the design of each dashboard. In considering dashboard design, the following should be evaluated at a minimum:

— Consider the platform that will be utilized for the dashboard (e.g., Power BI, Tableau)

— Identify whether any existing dashboards can be upgraded and/or expanded to include the key data points identified above.

— Consider the dashboard display and the type of charts that will be used to visualize each output.

— Determine the frequency within which the dashboards will be updated.

Action four: Identify key Division representative(s) who will collate data for inclusion within each dashboard. To help ensure data integrity and accurate dashboard outputs, the Division should consider identifying a divisional staff member(s) who will be responsible for collating and assessing data for accuracy prior to inclusion within the dashboards. The Department may consider one staff member responsible for collating information related to the internal dashboard and another staff member responsible for collecting information related to the public-facing dashboard, given the different data points that will be collected for each. The frequency within which collation and related analysis should occur will be dependent on the frequency within which dashboards will be updated by the Department; however, this may be monthly or quarterly and should be outlined within a standard policy or procedures as outlined in the action below.

Action five: Develop a standardized policy or procedure to support the implementation and utilization of each dashboard. Additionally, policies and procedures should be created to support dashboard implementation and help ensure that dashboards continue to be effectively operationalized.

Internal Dashboards

Policies and procedures for internal dashboard should identify Department and County staff that may have access to the dashboard, the role and responsibility of the staff member(s) identified within action three as it relates to updating the dashboard, the frequency within which the dashboard will be updated, and the information that that will be disseminated within the dashboard. These policies and procedures should be made available on the Department's SharePoint site to help ensure that it is accessible to Division and Department staff.

Public-facing Dashboards

Policies and procedures for the external dashboard should be made available to the public and should provide an explanation of dashboard purpose as well as a definition of each key data point visualized within the dashboard. This will help ensure that members of the public are effectively informed and educated on dashboard purpose and outputs.

1.3	**Assess department-wide technology needs and develop a technology modernization plan to enhance process automation, reduce paper process, and enhance communication**

Benefit

Assessing technological need and developing a technology modernization plan will provide a number of key benefits:

- It will assist the Department in reflecting upon the technological needs required to achieve operational goals, verify and validate technological gaps, and identify potential technology solutions for future potential implementation.
- It will also assist the Department in prioritizing the implementation of solutions in the short, medium, and long term to enhance automation, increase operational efficiency, and help ensure that the Department consistently has the tools required to make data-driven decisions.
- Further, it may also enhance customer experience by improving the ease of customer engagement with the Department – including through streamlined online payments, permit status tracking, and interactive dashboards detailing Department projects and strategies.
- Finally, the technology modernization plan can act as a roadmap to guide technological advancement by identifying the actions, resources, and funding that may be required for the implementation of future potential technology solutions.

Current State

Across interviews, staff members noted several key technological challenges across the Transportation and Water Resources Divisions, as well as within the Risk, Safety, and Disability Unit. These challenges largely center around manual data entry, limited in-the-field system capabilities, and lack of integration across systems. The specific challenges identified across each division are outlined in the following paragraphs.

Transportation Division:

- **Daily Work Reports:** The Transportation Division utilizes a daily work report system to track in-the-field staff activities and understand how staff members are spending their time. This system is updated by supervisors on a daily basis; however, in certain instances due to the lack of in-the-field technology (iPad/Tablets, etc.), supervisors reported documenting staff activities on paper and returning to the nearest site office to manually input this information into the system for staff across their teams. In addition to activity tracking, staff members are required to input time in Financial Information system (FIN) for time coding and payroll purposes; however, given that these countywide systems do not allow for efficient remote input, the staff and supervisors are required to input time and activity data across two systems, resulting in duplication of effort. As a result of these challenges, interviewees, reported leaving the field up to an hour early to allow time to travel to the site office and undertake manual data input.
- **Permitting:** The Transportation Division issues encroachment permits to customers who plan to

build a structure(s) in close proximity to county-owned transportation infrastructure. Currently, the Division is required to complete encroachment permit plan checks within three weeks of submittal; however, during interviews it was reported that plan checks for such permits can typically take between four and five weeks to complete. Interviewees reported that the extended review timeframes are a result of the current permitting workflows, which are largely manual in nature. For example, in the current process, customers are required to submit permit applications and documents through a central permitting email. Subsequently, staff review the submitted documents and manually input customer data into the Division's permitting database. Commendably, the Division is in the process of implementing a new permitting portal through Accela, which will reduce time spent on manual data entry. However, to date, the Division has not considered the future potential permitting workflows that may be incorporated to help ensure the most effective adoption of all Accela capabilities. However, this exercise may form part of future implementation. In addition, the Department should continue to consider new functionalities such as online payments, electronic document and request submissions that may be brought about as a result of any potential transition to new technology. This Division can subsequently consider how these update functionalities may impact the current process flow as well as the update policies, procedures, and training that may be required to help ensure an effective implementation and transition.

- **GIS**: In the current state, the Division utilizes GIS for asset mapping, research, tracking, planning, and communication. ZWorld is the Division's main GIS platform, with additional specialized functionality provided by separate systems. Due to a lack of data, and lack of integration across these systems, Division staff is currently undertaking duplicative, manual processes to replicate data entry and reports across all three applications – relying wholly on third-party vendors, such as ZWorld, to undertake manual data upload in some cases. These additional processes often result in challenges in undertaking consolidated reporting through dashboards and interactive mapping. In turn, responsible teams receive higher levels of public enquiries and complaints related to limited or dated publicly available information. For example, in order to update ZWorld (the platform) with pavement and tree data, Division staff is required to download data from Street Saver and Tree Tracker, manually upload the data to ZWorld.. It is important to note that the County has recently hired a GIS Technician to implement a countywide GIS system and collaborate with County departments on GIS related activities. In the future state, the Division may consider engaging with the CEO's Office and the GIS Technician to determine how the countywide GIS system could best support the Department's needs.

Safety, Disability, and Risk Unit:

- **Incident and Claims Reporting:** In the current state, incident and injury reports and claims are submitted via email to the Department's Safety, Disability, and Risk Unit by site supervisors who provide screen shots or email injury claims. The incident and claim information is then manually entered into an Excel spreadsheet by administrative staff and submitted to the County's Risk Management Department to help ensure that they are aware of the incident and potential claim due to the fact that there is no Countywide Risk Management reporting system. Across interviews, staff members reported that manual input of each incident and/or claim can take significant time (up to 30 minutes per incident/claim), while site supervisors reported leaving sites up to an hour early to deliver these incident/injury reports, where necessary.

Water Resources Division:

- **Permitting:** The purpose of the Division's Flood Control Unit is to promote flood protection and conserve storm, flood, and surface waters. As part of this mission, the Unit reviews development to ensure that such development does not negatively impact floodplains. In the current state, a large number of proposed developments are submitted to the Unit via the Planning and Development Department (P&D) who screens proposed developments to determine whether a flood control review and related approvals are required. P&D utilizes Accela to track plan reviews and transition

any relevant documentation to the Flood Control Unit via a Box account in instances where a flood control permit is deemed required. The Flood Control Development Review Unit utilizes Accela to track time spent by staff on issuing permits; however, they have not adopted Accela functionalities that would allow customers to pay for permits online or view progress of permit requests with customers being required to make payment via check and contact the Unit directly to determine permit progress. Furthermore, customers who are not referred to the Unit by P&D must provide their document via paper or email with no functionality to electronically upload and these specific cases are tracked manually utilizing an Excel spreadsheet updated by administrative staff and are not uploaded to Accela.

- **Inspection Process:** Currently, the Environmental Group under the Flood Control Unit conducts periodic inspections of capital projects and maintenance projects as required by the California Environmental Quality Act (CEQA) and Nation Environmental Protection Policy (NEPA) requirements. The Flood Control Unit conducts daily or weekly inspections of these projects to help ensure that each site is meeting state and federal environmental regulations and assessing any affected habitats or endangered species. Currently, staff undertakes in-the-field inspections utilizing a paper-based process and subsequently return to the office to manually input this data into an Excel tracker.

Recommendation

There is an opportunity for the Department to conduct an in-depth assessment of technology needs and develop a technology modernization plan and roadmap to resolve technology challenges current faced, enhance process automation, reduce paper process, and enhance overall communication flow across the Department.

Leading Practices

Based on leading practice research, there are a number of technological platforms used by peer Counties that may be of us in Santa Barbara, including:

- **San Mateo County, CA**[3] implemented **Accela** to spearhead a integration of online permitting for their Public Works Department. This system will improve the delivery of permitting services in a number of ways, such as allowing customers to apply for permits online, to pay online, and to track the progress of permits. Additionally, Santa Barbara County's Planning and Development Department utilize Accela extensively, while the County's Environmental Health Division have also transitioned to the software to act as their customer portal.
- **Walker County, GA** implemented **iWorQ**[4] a public works case management system in March 2022. iWorQ enables Public Works Departments to track the condition of assets, manage work orders, identify pavement condition, and track project progress. The system assisted Walker County by enhancing its fleet management, work reports, and asset management.
- **The City of Boston** uses **PlanITGeo**[5] to undertake a citywide tree inventory. PlanITGeo allows customers to manage work orders, track staff activities, streamlining risk assessments, tree management, and visualizing data. The tree data helped the City's urban forest managers proactively manage their operations to ensure a healthy, sustainable urban forest.
- **Cobb County GA,** implemented Cartegraph to act as its operations management system. Prior to the implementation of Cartegraph, the Cobb County utilized a custom database that was not

[3] Accela Citizen Access
[4] iworq | Walker County, GA (walkercountyga.gov)
[5] The TREEbune | PlanIT Geo™

connected with GIS and did not allow for virtual resolution of workorders, timesheets, and tracking of staff time. Rather, maintenance staff recorded work order and activity data via paper and uploaded this data to the system daily. Following implementation, Cartegraph allowed the County to fully integrate GIS data and transition to a more paperless environment. This improved response time to transportation complaints by six minutes. Maintenance staff also utilize iPads with Cartegraph with maintenance requests sent directly to staff in the field and electronically closed out once complete. It also allowed them to integrate pavement condition data, and helped them to better prioritize maintenance need.

Suggested Action Steps to Implement Recommendation

Action one: Assess the Department's current technology systems and needs. As a first step, the Department should consider conducting an assessment of the current technology landscape across all divisions to validate key technology needs across its systems. In conducting this assessment, the Department may consider leveraging the support of the County's Chief Information Office and may undertake the following key steps:

- Develop an inventory of all technology systems, applications, and solutions utilized across the Department as well as the purpose of each.
- Issue surveys and hold focus groups with staff members across the Department to identify technological challenges faced from a staff perspective.
- Based on the results and outcome of surveys and focus groups, the Division should develop a matrix outlining the outputs of surveys and focus groups. The following are examples of questions that could be included within these surveys/focus groups:
  - How would you rate the Department's current technological systems?
  - What are the key challenges you currently face as it relates to technology?
  - What are the some of the benefits of current technology systems?
  - Outline any paper processes that you current undertake?
  - What suggestions do you have to enhance technology across he Department?
  - Do you face any challenges in accessing data?
  - What key data would you like to access in the future that is not currently available or reported?
- Having developed a matrix of technology needs and challenges, the Department should evaluate the technological gaps and needs identified in the matrix and categorize needs and challenges by division. Following this process, the Department can identify common themes and challenges across divisions.

Action two: Develop a technology modernization plan. Having identified and validated technological gaps, the Department should develop a technology modernization plan. The following steps should be undertaken in developing this plan:

- **Step one:** Identify short- and long-term goals as the foundation for the modernization plan. Example goals for each Division are detailed below:
  - **Transportation:**
    - **Short-term goal:** Creation of new workflows that incorporate the Accela capabilities most helpful to the Division's permitting process. Additionally, the County has recently hired a GIS Technician to implement a countywide GIS system and collaborate with County departments on GIS related activities. In the future state, the Division may consider

engaging with the CEO's Office and the GIS Technician to determine how the countywide GIS system could best support the Department's needs.

  - **Long-term goal:** Implement a single system that allows maintenance staff to input time and activity data one time, in a single system that incorporates payroll and activity tracking. It is important to note that such an interconnected system may be considered within the future Enterprise Resource Planning (ERP) system being implemented by the County.

- **Risk Management:**
  - **Short-term goal:** Adoption of an electronic approach to incident/claim reporting by developing electronic forms that can be submitted to an application such as Smartsheet, utilizing tablets. This will allow supervisors to create reports in-the-field, automating processes, and reducing the time spent delivering in-person reports.
  - **Long-term goal:** Implementation of a new incident report system with capabilities that allow staff to securely input incident report data electronically, track incidents across the Department, and analyze incident data to identify potential patterns or issues.
- **Water Resource:**
  - **Short-term goal:** Transition to an electronic process for in-the-field inspections eliminate workload burden created as a result of the current paper process.
  - **Medium-term goal:** Expand the Accela capabilities adopted by the Division and Flood Control Development Review Unit to allow customers to pay for and track permits electronically through Accela.

- **Step two:** As a next step, the Department should determine the resources required (staffing, funding, etc.) to potentially implement each short-, medium-, and long-term goal.
- **Step three:** Identify the benefits of the implementation of each goal and prioritize the implementation of short-, medium-, and long-term goals based on the assessment of benefits, resources required, system need, and overall cost. In considering benefits, the Department should consider the following, particularly as it relates to cost:
  - (1) Cost and benefit assumptions, (2) Major categories of cost-benefits and ranges of achievable benefits and (3) Conclusion and estimated payback period
- **Step four:** Include a risk mitigation plan to allow the Division to proactively identify and efficiently mitigate future risks and challenges. Risk may include risk associated with operating dual systems simultaneously, integrating old and new data sources and architectures, ensuring adequate training is provided, etc.
- **Step five:** Develop a future-state roadmap to support modernization activities. The roadmap will outline the timeline within which each goal is expected to be implemented. The roadmap should be assessed regularly and consistently updated to reflect Department progress toward goal implementation.
- **Step six:** Finally, the Plan should include execution considerations and identify staff responsible for monitoring plan progress, identifying challenges in achieving plan goals and reporting progress and challenges to leadership.

Action three: Identify funding to address the Department's technological needs. Once the Department has created a technological modernization plan that identifies prioritized short-, medium-, and long-term goals created by Division, it should consider identifying available funding sources to implement the prioritized tools. The Department could use any available internal funding or collaborate with the CEO's Office to identify other funding sources for implementation of these tools.

Transportation, Roads, and Facility Management

The below recommendations are associated with the Transportation, Roads, and Facility Management Division of the Department.

2.1	**Enhance processes to track available data related to road usage service requests, risk management, staffing, and pavement quality to inform maintenance prioritization.**

Benefit

Enhancing processes in place to track available data coupled with implementing dashboarding will have several key benefits, including the following:

- It will enable a more holistic view of regional transportation needs, allowing the Division to analyze current and historical trends in maintenance needs across roads, pavements, bridges, trees, among others and utilize this data to more proactively plan for future potential maintenance.
- It will allow for a more data-driven approach to project prioritization that utilizes a range of metrics in evaluating potential projects for completion. This will help to ensure that funding and resources are consistently aligned to prioritized projects that achieve the greatest impact.

Current State

The Division develops the RdMap on an annual basis to identify corrective maintenance and capital maintenance projects related to the County's roads, bridges, trees, traffic devices, and drainages. Presently, the Division prioritizes maintenance projects for inclusion within that plan based on Pavement Condition Index (PCI), supervisor experience, third-party inspections, as well as input from the Division's engineers, the Board of Supervisors, and the community at large. In addition, service requests are frequently submitted by the public requesting the completion of maintenance activities such as filling potholes or removing debris from roadways. These requests are prioritized utilizing a safety-first approach, meaning that any request considered to be an immediate safety concern is prioritized and remediated before all other service requests.

While the aforementioned data sources provide an evidence base for prioritization of activities and are the adopted standard for the State, current decision-making processes do not allow for a holistic view of available data. For example, the Division is comprised of seven key units (i.e. Maintenance, Design, Structures and Capital Projects, Traffic and Development Review, Construction and Permits, Alternative Transportation, Administration and Support. Each of these seven units internally utilize a variety of systems to collect and analyze various data points to aid relevant unit-level decision-making (i.e., PCI, service requests, collisions/accident rates etc.) The current process as it relates to data collection and analysis is siloed across various units which leads to data fragmentation and prevents Department leadership from having a holistic view of critical data points that can be utilized to aid decision-making at a department and countywide level. This data fragmentation is largely driven by the variety of data systems that are utilized across units with no one key database that acts as a single source of truth.

Further, leading practice research suggests that PCI can have limitations as an engineering tool for making pavement-management decisions. PCI denotes the general condition of a section of pavement utilizing a numeric index between 0 and 100. Roadway segments with low PCI scores are deemed to have a higher degree of distress and maintenance need than those with higher scores. In addition to

distress, other factors such as traffic index and environmental conditions play major roles in the selection of suitable treatment. However, it is important to note that roadway segments can have similar PCI scores but very different types of distress. Therefore, if only PCI is used, a pavement preservation, rehabilitation or prioritization strategy decision could be made without considering what underlying distress types are present, or their severities and extents. For these cases, continuing to examine the distress types and extents of the distresses and their effect on the pavement structure, along with other available data as outlined in the suggested actions below, could serve as a supplement to the PCI in making project prioritization decisions[6]

Recommendation

In the future state, the Department should consider enhancing the processes in place to track and utilize available data related to road usage service requests, risk management, staffing, and pavement quality by developing a shared database and dashboard. This data should be utilized to identify historical and current trends in maintenance requirements and community need that can be utilized to inform future maintenance prioritization.

Additionally, the Division may consider the implementation of alternative or supplemental pavement condition indicators such as those outlined in the leading practices section of this recommendation.

Leading Practices

Although the PCI is a widely used pavement condition measurement among state and local entities, examples of additional pavement indicators utilized by other transportation departments include:

- **International Roughness Index (IRI)[7]:** The IRI is used by highway professionals throughout the world as a standard to quantify road surface roughness. It is calculated by measuring a continuous profile along a road and analyzing this to summarize qualities of pavement surface deviations that impact vehicle suspension movement. Reported in units of inches per mile, the IRI describes how much total vertical movement a standard passenger vehicle's body would experience if driven over a one-mile segment of the subject pavement at 50 mph. Many state DOTs monitor IRI annually, including Michigan. It is important to note that IRI is typically utilized for high traffic, high speed roads and therefore, may not appropriate for utilization across all roads within Santa Barbara County. However, the relative benefits of the option may be considered by the Department in the future.
- **Automated Pavement Condition Survey (APCS):[8]** APCS is a statewide program that collects pavement surface data via vehicles equipped with inertial profiler, transverse laser systems, and high speed cameras. APCS is utilized by Caltrans and aligned with Caltrans' Linear Referencing System (LRS). The data collected includes the following:
  - Imagery data that shows surface distress data for asphalt and concrete pavements and a various assets along the roadway.
  - Surface Profile data that includes international roughness index (IRI), rutting, fault height, cracking, and Mean Profile Depth (MPD)
- The resulting data can be utilized to identify distresses used for condition rating including, IRI, rutting and cracking for asphalt pavements, and IRI, faulting, and rutting for concrete pavements.

[6] Pavement Condition Index (PCI) (ucdavis.edu)
[7] International Roughness Index (IRI) (michigan.gov)
[8] PowerPoint Presentation (ca.gov)

Suggested Action Steps to Implement Recommendation

Action one: Consider identifying additional data points to enhance prioritization of maintenance activities. As a first step, the Division should identify a range of additional data points to enable a more holistic approach to project planning and enhance prioritization of maintenance projects and activities. Examples of data points that could be utilized to augment the current prioritization process and enhance the alignment to community and regional need include, but are not limited to:

- Number of service requests road/bridge/tree and region annually
- Number of traffic requests per road/bridge and region annually
- Number of external claims per road/bridge/tree and region annually
- Maintenance history/frequency/count
- Traffic Index

The Department may also consider the potential for the implementation of alternate methods to calculate PCI. Examples outlined in the leading practices section of this recommendation include IRI and APCS. Implementing such indicators or programs may require that the Division undertake a cost-benefit analysis. The goal being to help ensure that the cost of implementing APCS, for example, provides data that can promote decision-making on maintenance prioritization that yields cost savings in the longer term.

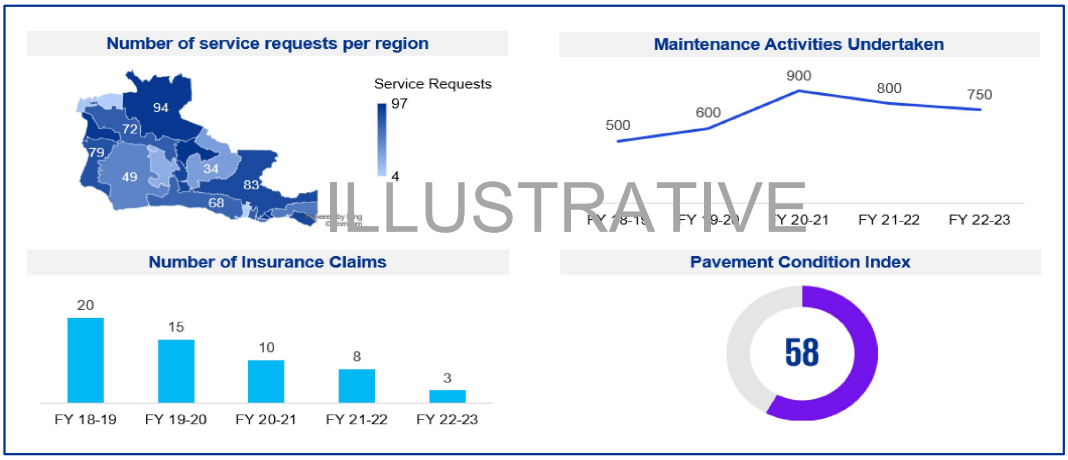


Figure 10: Source: KPMG

Action two: Consider the implementation of a database and supporting dashboard to display enhance processes in place to share available data. In the future state, the Division should consider developing a database and supporting dashboard of the key data points identified under action one above. The dashboard should show both historical and current data trends in data points and should focus on enhancing data sharing and provide a holistic view of key metrics tracked across units including maintenance activities, service requests, traffic requests, PCI etc. These data points may be utilized to assess future potential maintenance and service need by asset and by region. The below is an illustrative example of a dashboard that could be adopted by the Division.

Action three: Conduct regular analysis of key data points to provide a holistic view of maintenance needs across the County. As a next step, the Division should utilize the shared database and dashboard to conduct analysis of the key data points identified under action one to aid decision-making surrounding maintenance planning and prioritization. This analysis may include an

assessment of the level of service requests, traffic request, incident, accident and external claims per asset and per region. The data analysis should be developed and issued to maintenance supervisors, Division leadership, and Department leadership on a quarterly basis at a minimum. This information can be utilized both to inform future maintenance project prioritization but also to consider whether any amendments are required to the current road maintenance plan to help ensure that resources and funding are consistently deployed to achieve the greatest impact and continue to be equitably aligned to community area need. It may also provide the Department with an enhanced understanding of maintenance and project need across the County. This will support the Department in utilizing key to develop a needs-based approach to the equitable distribution of funding across the County. As outlined in recommendation 2.3, applying a needs-based approach to funding allocation is critical to helping to ensure that more projects can be completed within service areas that have the greatest need for transportation related infrastructure and maintenance.

2.2	**Establish an internal prioritization model to support the implementation of the Active Transportation Plan and better leverage available funding sources.**

Benefit

Establishing an internal prioritization model to support the implementation and operationalization of the Active Transportation Plan will have the following benefits:

- It will help ensure that the Division has a formalized framework in place to assess those projects and programs identified in the Active Transportation Plan that should be undertaken as a priority.
- It will allow the Division to prioritize projects utilizing a consistent, formulaic approach, helping to ensure that resources are continually deployed to achieve the greatest impact for the County, its residents and the local economy.
- It will increase multimodal transportation for members of the public, helping to promote physical activity through walk or bike lanes, ultimately increasing health benefits.
- Finally, it will allow the Division and County to better plan for future resource and funding needs helping to ensure that the County can achieve the goals of its Active Transportation Plan, and seek cost-effective financial solutions for major capital projects where necessary.

Current State

The Alternate Transportation Unit within the Transportation Division is responsible for coordinating active transportation programs and developing initiatives to promote and enhance the multimodal transportation network across the County. The Unit has recently begun the development of an Active Transportation Plan, which was adopted by the Board in May 2023. The plan was developed as part of the County's goal to combat climate change and has the following key goals:

- Enhancing the multimodal transportation network for unincorporated county areas
- Engaging directly with the community to understand mobility patterns and how these patterns can be improved for people of all ages and abilities
- Identifying viable infrastructure that improves access, equity, and mobility while reducing collisions and emissions

Additionally, the plan will serve as a roadmap for implementing active transportation improvements in

the County's unincorporated communities. Across interviews, staff members reported that the Plan will include approximately 50 projects and programs for potential future implementation across the County. The Plan, although not yet published will detail the scope, timeline, and implementation activities for each project.

Although the creation of the Active Transportation Plan is commendable, to date, the Division has not identified the funding sources that will be utilized to implement the projects identified as part of the Plan. Further, a formal prioritization model to aid the Division in identifying and selecting projects that should be funded and undertaken as a priority has not been developed.

Presently, funding for active transportation programs, such as the federal alternative transportation grant, is competitive in nature. For example, interviewees reported that in 2022, the federal government funded 90 active transportation projects out of a total of 450. Therefore, developing an internal prioritization model may allow the Department to enhance the targeting grant pursuits and increasing overall competitiveness.

Recommendation

As a priority, the Department should consider establishing an internal prioritization model that utilizes measurable goals to prioritize active transportation projects to help ensure that projects that achieve the highest impact are undertaken as a priority. This may also increase the Division's competitiveness in obtaining grant funding.

Leading Practices

Based on leading practices, there are several internal models that the Division could utilize to prioritize projects based on need, time, resources, and funding. Below are two examples of different allocation models adopted by Contra Costa County and Alameda County:

Contra Costa County, CA developed an Active Transportation Plan in March 2022. In considering priority projects for implementation, the County utilized the following key metrics:

- Killed or Severely Injured (KSI) collision history
- Location within a Contra Costa Transportation Authority (CCTA) Pedestrian Priority Area or along the CCTA Bicycle Backbone Network
- Recommendations from previous regional efforts identified in plans from Contra Costa County, CCTA, and Caltrans
- Feedback from key stakeholders and the community
- Proximity to key destinations such as schools, affordable housing, senior centers, post offices, libraries, parks, and transit stops
- Location within impacted communities
- Ease of constructability of project

Alameda County, CA adopted an Active Transportation Plan in November 2022. They prioritized projects by timelines as follows:

- Near-term: Top priority for implementation between 2023 and 2025
- Medium-term: Implementation between 2026 and 2030
- Ongoing: These efforts are underway and expected to continue into the future.

Suggested Action Steps to Implement Recommendation

Action one: Create an internal prioritization matrix to support the prioritization of projects included within the Active Transportation Plan. In the near term, there is an opportunity for the Division to create a project prioritization matrix for those projects and programs included within the Active Transportation Plan. To achieve this, the Division may consider undertaking the following key steps:

- **Step one:** Identify a number of factors and/or metrics to evaluate and prioritize the projects detailed in the Active Transportation Plan. Possible factors for prioritization may include, but are not limited to:
  - Population density
  - Collision history
  - Impact to disadvantaged communities
  - Community feedback
  - Proximity to key destination.
- **Step two:** Once the Division has established these prioritization factors, projects should be analyzed and considered for completion based on these factors. This will enable the Division to prioritize resources and funding utilizing a consistent and formulaic approach helping to ensure that projects that have the highest impact or best align with community need are undertaken as a priority.
- **Step three:** Finally, the Division should consider those projects that can be undertaken in the short term (1–2 years), medium-term (2–5 years), and long term (5+ years).

Action two: Engage with the CEOs office, SBCAG, and the Board of Supervisors to identify potential funding sources for prioritized active transportation projects. Once the Division has utilized the prioritization model under action one to prioritize the development and implementation of active transportation projects and identified short-term, medium-term, and long-term projects, the Division should consider available funding sources and identify any related funding gaps. The Division should subsequently engage with the CEO's Office, SBCAG, and the Board of Supervisors to present its prioritization model and short-term, medium-term, and long-term projects for validation and collaboratively consider any funding sources that can be utilized to implement active transportation projects in instances where funding gaps exist.

2.3	Enhance collaboration with SBCAG and assess current Measure A distribution formulas to better align funding with community service area need.

Benefit

Enhancing collaboration with Santa Barbara County Association of Governments (SBCAG) and conducting an assessment of current Measure A fund distribution formulas will have the following key benefits:

- It will help ensure that SBCAG and the Division has a consistent understanding of the project types and expenditures eligible for funding under Measure A. This may allow the Department to potentially enhance the mechanisms in place to utilize Measure A funding for a varying number of

activities while remaining in compliance with SBCAG ordinances.

- It may allow the Division to better align regional fund distribution formulas with community service area need, helping to ensure that more projects can be completed within service areas that have the greatest need for transportation related infrastructure and maintenance. Furthermore, it may reduce the reliance on general fund dollars to undertake or support projects, allowing such funding to be redirected to other areas. It will also help to ensure that Measure A funding is consistently utilized to the greatest impact.
- Finally, it may allow for greater flexibility in utilizing and aligning funds across regions, allowing for excess funding in one region to be redirected to another region where necessary, helping to ensure that available funding can be consistently utilized in the most effective way.

Current State

In the current state, the Transportation Division manages revenue in four separate funds, Fund 15, Fund 16, Fund 17, and Fund 18. As illustrated in the graphic below, Funds 16 and 17 are largely financed through grants and general fund dollars and are primarily focused on funding deferred maintenance and capital improvement projects respectively, while Fund 18 relates to a Measure A holding account that transfers revenues to the other funds to pay for operations, programs, and projects. Fund 15 is the primary funding source for corrective maintenance and day-to-day operations and accounted for approximately $20 million (30%) of Division funding in FY22. It has a more complex revenue structure than the other funding sources with three key revenue streams as follows:

- **Measure A:** A one-half percent sales tax dedicated to transportation improvement projects and programs that is administered by the SBCAG. SBCAG is the local transportation authority responsible for distributing local, state, and federal transportation funds and acts as a forum for addressing regional and multijurisdictional issues. Measure A represents 30 percent of total Fund 15 revenue.
- **Highway Users Tax Account (HUTA):** State transportation funding that is funded through state gas excise tax. HUTA represents 60 percent of total Fund 15 revenue.
- **General Fund:** County funded general fund dollars. General Fund represents 10 percent of total Fund 15 revenue.

	Fund 0015	Fund 0016	Fund 0017	Fund 0018
Funding Sources	**Operations/ Corrective Maintenance**	**Deferred Maintenance**	**Capital Projects**	**Transportation Improvement Account**
Measure A 3096-3099	$6,222,000	$1,264,000	$300,000	Fund 18 is a SBCAG mandated account which holds Measure A funding. SBCAG disburses Measure A funds monthly to the County Auditor-Controller. The Auditor-Controller then disburses the funds to Department through the Fund 18 holding account.
Gen Fund 5910		$6,300,000	$9,924,000 ($7.5M loan)	
Gen Fund Maint of Effort for Ops 5913	$1,907,000			
State SB-1 RMRA 3515		$9,062,000		
State HUTA 3511-3514	$12,012,000			
Grants, TIP, TDA, other Obj Level 25, 26 & 27		$636,000	$17,729,000	
TOTAL	$20,141,000	$17,262,000	$27,953,000	

Figure 11: Source: KPMG

During interviews, Division staff reported that in leveraging Fund 15 dollars, particularly Measure A,

they are governed by key ordinance and policy developed by SBCAG and the Santa Barbara County Board of Supervisors, respectively, and as follows:

SBCAG Ordinance

SBCAG Distribution Measure A funding: As noted, SBCAG is the entity responsible for distributing Measure A funding to the County and its eight cities. Currently, funding is distributed by jurisdiction (i.e. North County, South County) utilizing the following two-step population-based methodology as required by the Measure A Investment Plan:

- Each jurisdiction receives a $100,000 annual base allocation amount.
- Subsequently, funding is allocated based on each jurisdiction's proportionate share of the population.

Eligible usage of Measure A funding:

Based on review, SBCAG ordinance details three key provisions related to the utilization of Measure A including:

- Funding should be utilized for the specific activities detailed within the ordinance. A full list of these activities is included in the Appendix; however, largely relate to repair and improvement of county transportation infrastructure.
- Ten percent of funds must be spent on alternative transportation and split between North and South County.
- Revenues from Measure A must be kept in a separate fund where it accrues interest. The Division's Fund 18 is utilized for this purpose. Fund 18 acts as a holding account for Measure A funds, and as the Division requires funds, they are transferred from Fund 18 to Fund 15 to prevent any double counting of revenues.

Across interviews with SBCAG, staff confirmed the allocating principles detailed in the ordinance as it relates to the utilization of Measure A funding, including the approved list of eligible uses, the alternative transportation requirement, and the creation of Fund 18 as reported by the Division and outlined in the SBCAG ordinance section above. However, SBCAG interviewees also reported that the list of eligible uses are broad, and that all agencies supported by SBCAG utilize Measure A funding for a myriad of differing uses—including activities related to staffing and development of grant proposals. As such, from SBCAG's perspective, Measure A funding can be considered a flexible funding source.

Board Policy

Across interviews, Division staff reported that the Santa Barbara County Board of Supervisors policy requires that $6 million of Measure A funding be utilized for eligible maintenance expenses and distributed evenly across North County and South County. The remaining funds should be distributed by district using the formulas outlined below and can be utilized for activities related to transit, traffic safety, active transportation, grant matches, and capital projects.

- North County: 100% by lane miles per district
- South County: 50% by population and 50% by lane miles

Each year, the Department brings the Measure A Program of Projects to the Board, approving the planned allocations for the upcoming fiscal year. Typically, the Department would recommend that approximately $6 million of Measure A be allocated to Fund 15. When Measure A revenues came in higher than anticipated in the adopted budget, the Department would add this excess revenue to fund balances in Fund 18 for future use on capital projects in Funds 16 and 17. Holding Measure A to $6 million in Fund 15 resulted in ongoing budgetary gaps related to revenues not keeping pace with rising costs to maintain the existing levels of services, which also resulted in the gradual depletion of fund balance.

It is important to note that in March 2023, the County Executive Office issued a board letter to the Board of Supervisors recommending a number of future actions, which they unanimously approved. These recommended actions included:

- The establishment of a budget policy related to Measure A funding. The policy would require that Measure A funding be budgeted at fully anticipated amounts, primarily in Fund 15. The purpose being to help ensure maintenance operations are balanced and to eliminate the current structural imbalance while continuing to maintain programs, grant funding and capital project matches.
- Increasing General Fund Contribution by $1 million in the FY23-24 Recommended Budget to cover liability insurance rate increases driven by market factors outside department control from recent years.

Returning to the Board for consideration of permit fee increases, which are projected to increase Fund 15 revenues by $450,000.

Divisional Challenges

While the Department has been engaging with the CEO's Office and Board of Supervisors with regard to Fund 15, Division interviewees reported several key challenges with leveraging Fund 15. For example:

- The population-based methodology utilized by SBCAG to distribute Measure A funding to the County and the cities can create challenges in aligning funding to service area need and applying a regional approach to deferred transportation maintenance. For example, interviewees noted that it can often result in large, deferred maintenance backlogs in certain service areas that cannot be reduced due to lack of funding.
- Similarly, the distribution formulas governed by board policy result in an inability to effectively align funding with the maintenance and infrastructure need of each service area. For example, there is an inability to undertake critical projects in one service area due to a lack of funding. Another service area may have excess funding; however, that funding cannot be redistributed to another service area, but must be utilized for future projects in the designated service area.
- Current ordinance and policy can create challenges in prioritizing projects countywide. Given that the Department is constrained by the amount of funding that can be utilized per service area, projects are prioritized on a regional basis as opposed to a more holistic approach to take account of overall project impact on county residents.
- The perceived lack of flexibility in funding use brought about by SBCAG ordinance as well as board policy can often result in an increased reliance on general fund dollars to support projects and deferred maintenance need.
- Finally, the rising costs of materials, labor, and public liability insurance can create challenges in aligning to project budget and having the funding available to undertake all projects. The Division also noted that they do not have control over public liability insurance changes.

Key Takeaways

As outlined, from SBCAG's perspective, Measure A is a flexible funding source; however, the Division understands based on its interpretation of Measure A Ordinance, that funding is inflexible and can only be utilized for very specific purposes related to maintenance and safety improvements, transit services, and traffic management.

Additionally, the population-based formula stipulated by the Measure A investment plan and applied by SBCAG can result in challenges in aligning funding to service area need. Interviewees reported that it can result in deferred maintenance backlogs in certain service areas that cannot be reduced due to insufficient funding. This can reduce gaps in PCI scores, road and bridge condition across the cities and the County

The budgetary policy recommended and approved for implementation in March 2023 may resolve some of the challenges experienced by the Department. However, the requirement for an equal portion of Measure A funds to be distributed among all districts, regardless of community need can create additional challenges. Further, if funds are not fully utilized by one district there is no ability to reallocate underutilized funds to another district and funds must remain in the district to which they were allocated.

As a result of the above, the Department faces key challenges in effectively aligning funding with maintenance and transportation infrastructure need across service areas, holistically prioritizing projects based on community impact as well as increased reliance of general fund dollars.

Recommendation

In the future state, there is an opportunity for the division to collaborate with SBCAG to discuss the current funding distribution formula and confirm and clarify uses of Measure A funding. Further the Division should consider engaging with the Board of Supervisors, with the support of the CEO's Office, to confirm the existence of the board policy governing the district distribution formulas, evaluate these formulas and propose updates to those formulas to adopt mechanisms that help ensure that funding can be allocated to best align with community service area need.

Suggested Action Steps to Implement Recommendation

Action one: Continue to engage with SBCAG to discuss current method of fund distribution and help ensure both parties have a consistent understanding of Measure A eligibility activities. As a first step, the Division should consider increasing its collaboration with SBCAG. This can be achieved by holding quarterly meetings where SBCAG and Division leadership can discuss various projects and assess if Measure A funding could be utilized. The Division may also consider utilizing these meetings to consider the possibility of SBCAG transitioning to a more needs-based approach for the distribution of Measure A funding. A future formula for consideration may take into account population, lane miles, vehicle registration, similar to that adopted by the State of California for fund distribution.

Action two: Continue to engage with the Board of Supervisors, with the support of the CEO's Office, to conduct an in-depth assessment of funding distribution formulas and support the development of a board policy. In the future state, the Division should continue to partner with the CEO's Office to implement the budgetary policy recommended and approved for adoption in March 2023. They may also consider conducting an in-depth assessment of community need and project completion history to propose the transition to more optimal distribution formulas that align to community service area need. Having considered the optimal distribution formula, the Department should subsequently support the development of a board policy related to these formulas with the support of the CEO's Office. In conducting this action, the Division should undertake following key steps:

- **Step one:** As a step toward developing optimal Measure A fund distribution formulas to allow for funding to be allocated utilizing a formula that allows the Division to best align funding to community service area need, the Division should consider conducing a community needs assessment. This assessment can publish in the Department's website and should allow act as a survey for members of the public to convey the key transportation needs in their community. The following are examples of key questions that may be included in the needs assessment:
  - What is the key mode of transport you currently utilize?
  - What is your perception of the state of transportation infrastructure in your community?
  - What is the key transportation need in your community?

Following completion the needs assessment should be reviewed and results compiled and evaluated on a regional basis.

- **Step two: Conduct an analysis of available data to consider service area need and develop a key understanding of transportation infrastructure regionally support by data.** As a next step, the Division should conduct an in-depth assessment of available data to develop a data-driven understanding of service area need and consider this in the future development of district distribution formulas. In undertaking this assessment, the following key data points at a minimum should be evaluated per region over the prior three- to five-year period or for a project life cycle, where relevant :
  - Number of projects undertaken per region
  - Project spend per region
  - Number of projects with over/underspend
  - Average under/over spend per region
  - Regional population
  - Number of lane miles
  - Number of registered vehicles per region (unincorporated areas)
  - Average regional PCI
- **Step three: Utilizing the results of the needs assessment and data analysis undertaken above, develop update regional distribution formulas for the consideration of the Board of Supervisors.** As a next step, the Division should compile the results of the needs assessment and data analysis to allow for a thorough understanding of transportation infrastructure and maintenance need as well as historic trends in projects undertaken and project spent and overspend utilizing this combined data, the Division should develop update regional distribution formulas for the consideration of the Board.
- **Step four:** Following the development of the updated regional distribution formulas for Measure A, the Division with the support of the CEO's office, should present the formulas to the Board of Supervisors for consideration along with the methodology developed to create these formulas as well as the benefits of adopting the updated formulas.
- **Step five:** Finally, the Department should engage with the CEO's Office to support the development of a board policy related to the optimal distribution formula.

Action three: Update procedures for developing project plans and budget aligned to capital improvement plans, road maintenance and annual plans. In the future state, the Division should consider updating processes in place to develop individual project plans aligned to capital improvement plans, road maintenance, and other annual plans. Each project plan should build in a specific contingency percentage based on project type to account for potential future increases in labor and material price cost, particularly for multiyear projects. In implementing project plan/budget contingency percentages, the Division leadership should consider the following:

- The year-over-year increase in material cost and labor expenses over a three- to five-year period to consider average annual percentage increase
- Industry standards for construction contingencies (Based on leading practices, construction type projects typically account for between 3 and 10 percent contingency)
- The percentage of any overspend on similar type project
- The type of work being undertaken and the potential for unforeseen costs based on engineer,

contractor, and project manager experience

- Implementing this action will help ensure that the Department accounts for the potential increases in labor and/or material costs and other potential contingencies that may occur, allowing the Division to more accurately plan for and have the necessary funding to alleviate challenges related to potentially uncontrollable cost increases, reducing the likelihood of going over budget, and reducing the frequency of requests for additional budget.

2.4	**Utilize available activity data to develop key performance indicators and utilization targets for maintenance teams to allow for enhanced data-driven decision-making surrounding resource allocation and task assignment**

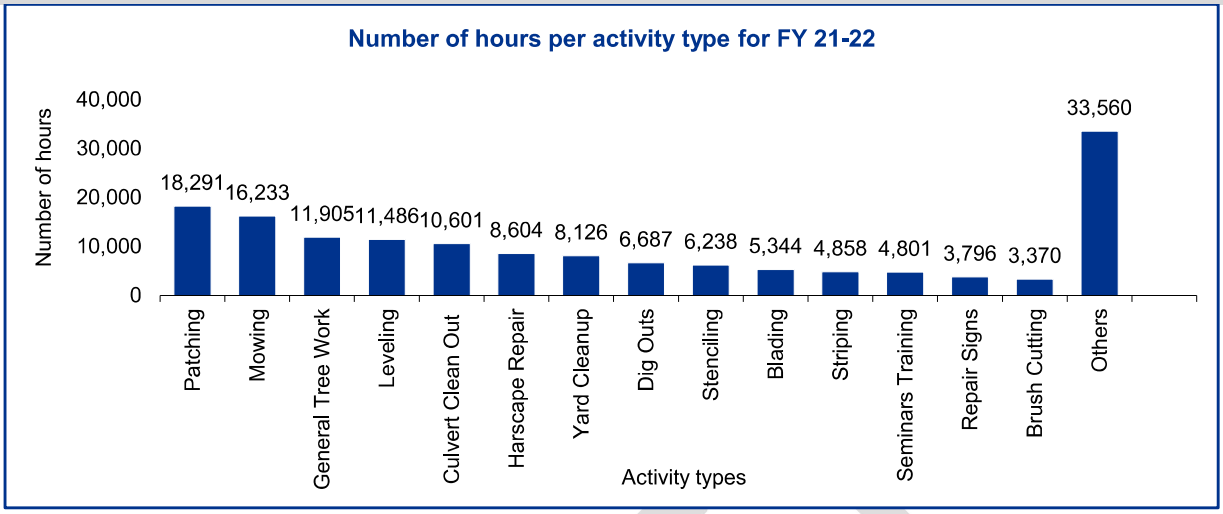
Benefit

Utilizing available activity data to develop key performance indicators and utilization targets may result in the following key benefits:

- It will allow the Transportation Division to help enhance the tracking of service levels and enhance its understanding of staff capacity, allowing for optimal resource allocation, deployment, and task assignment.
- Additionally, these additional metrics and targets will enable effective performance management by allowing Division and Department leadership to identify and manage below par performance in a standardized and proactive manner, helping to ensure that staff members are consistently performing at a high level.
- More frequent tracking of such key metrics would also enable managers to more proactively identify and address improvement opportunities with teams and individuals.

Current State

In the current state, the activities undertaken by maintenance staff are tracked through daily work reports that include data related to activity type, equipment and materials used, project type, location, as well as number of hours incurred per activity. Maintenance staff typically submits work reports to supervisors (via a paper process) on a daily basis for review and approval. Supervisors subsequently utilize data from these daily work reports to track staff activities and align staffing to demand, where possible. In addition, activity tracking allows supervisors and the Division at large to understand the activities that take the greatest portion of time as well as the most prevalent activities required for completion by maintenance crews. For example, as outlined in the chart below, in FY21–22, staff spends the highest proportion of time on activities such as patching, mowing, and leveling at 11 percent, 8 percent, and 7 percent, respectively.



*Others relate to those activities which represent approximately 21 percent of overall activity hours

Figure 12 Source: KPMG Review of Department Data

Although activity tracking is commendable, currently, there is limited tracked of service levels, comparison of completion time and/or service level by staff member and team. This results in limited ability to develop staff utilization targets at a crew or individual level to incentivize and target staff with achieving a certain level of performance and efficiency in undertaking these activities and tasks. For example, the Division tracks the following four key performance measures at a system level:

- Average PCI for the County Maintained Road System
- Transportation percentage of service requests responded to within 48 hours
- Percentage of design and construction administration costs for completed pavement preservation project costs
- Percentage of school zone traffic control pavement markings refreshed annually

While important, these performance measures are largely focused on Division-level performance and do not target crews or staff members with undertaking activities within a certain frame or time period or to a certain level, for example, which would allow supervisors and Division leadership to understand service levels and resource allocation at a more granular level.

The Division reports utilizing annual performance reviews to monitor staff activity, for example, these reviews are typically high-level in nature, do not include any specific service levels, and are undertaken annually as opposed to monthly or quarterly. Further, tracking data related to service levels and comparison of completion time and/or service level by staff member and team is critical to aligning staffing levels to activity and demand levels, and helping to ensure optimal resource deployment, task assignment, and realignment.

Recommendation

The Department should consider utilizing the activity data collected to track service levels, comparison of completion time and/or service level by staff member and team. This will allow the Department to develop key performance indicators and utilization targets to allow for enhanced data-driven decision-making surrounding resource allocation and task assignment.

Case Study Spotlight

Riverside County, CA has developed a number of key utilization targets and service levels to assess performance of the maintenance staff within the Transportation Division. These services levels and utilization targets are based on the distinct activities undertaken by the Riverside County Transportation Division[9]. The County regularly reviews alignment with these service levels to identify optimum staffing levels and help ensure staff members are working most efficiently. The utilization targets adopted by Riverside County as well as a selection of service level standards are as follows:

- Percent of hazardous road repair complaints responded to within in 24 hours
- Number of square feet of deteriorated pavement replaced
- Number of square feet of deteriorated pavement for removal
- Number of square feet of pavement skinned/repaired
- Number of linear feet crack filled
- Number of access ramps installed
- Number of sidewalk grinds
- Number of sidewalk inspections related to trees
- Number of curb/gutters flow lines ground down
- Amount of sprayed herbicide
- Current Roughness Index
- Current Network Surface Distress Index

Suggested Action Steps to Implement Recommendation

]Action one: Conduct an in-depth analysis of existing data to enhance understanding of time spent on key activities. Secondly, the Division should undertake an in-depth analysis of existing activity data to identify the timeframe within which the most prevalent activities are undertaken by staff in the current state. Given that the activity data tracks a range of diverse activities, the Division may focus the development of initial utilization targets and service levels on the top 10 to 15 activities currently being undertaken by staff. In time, once these service levels and utilization targets have been effectively operationalized, the Division can consider adopting additional targets. This will involve undertaking the following key steps:

- **Step one:** Analyze available data over a three-year period to help ensure that a sufficient time period is evaluated.
- **Step two:** Analyze the data to identify the top 10 to 15 activities undertaken by staff over the three-year period based on the number of total hours expended on activity by activity type.
- **Step three:** Analyze the data to identify the shortest and longest period of time as well as the average length of time a particular activity has taken over the three-year period across employees.

Action two: Create new service levels and utilization targets to evaluate staff performance and

[9] https://riversideca.gov/sites/default/files/Internal_Audit/2019/Public%20Works%20_FinalReport.pdf

productivity. Once the Division has undertaken the analysis outlined in action one and two, leadership should create baseline service levels and utilization targets. In developing utilization targets, Division leadership may consider using the median timeframe or average timeframe as a starting point. It is important to note that these targets should be analyzed each year to promote an environment of continuous improvement. These metrics will help ensure that the Division's staff is consistently performing activities aligned to their role and give leadership additional insight into overall division and staff performance. Below are a number of service levels and utilization targets the Division may consider implementing for its maintenance crews to enhance tracking of staff performance based on leading practices:

— Percent of road repair complaints responded to within 24 hours per staff member and crew

— Number of square feet of pavement skinned/repaired per staff member and crew

— Number of square feet of deteriorated pavement replaced grind/cap per staff member and crew

Action three: Formalize and operationalize the new service levels and utilization targets. Once the Division has created utilization targets, Division leadership should create policies and procedures to formalize the implementation of these new metrics to help ensure they are effectively operationalized. The policies and procedures should include information, such as:

— The frequency of reporting (monthly, quarterly, etc.)

— Division staff responsible for collating, analyzing and reporting on utilization

— The processes in place to track and monitor utilization by maintenance supervisors, for example, frequency of reporting to maintenance staff on performance, processes to be undertaken when below baseline performance is exhibited.

— Training required by staff to discuss the purpose of implementing these utilization targets.

Additionally, the Division may consider creating a dashboard that tracks staff progress toward achieving the new service levels and utilization targets to allow for greater ease of utilization tracking across the Division.

2.5	Enhance existing procedures and guidance for contractor and consultant usage to optimize value-for-money across the Department and Division.

Benefit

Enhancing existing procedures and guidance for contractor and consultant usage will optimize value-for-money in outsourced activities by:

— Allowing the Department and Division to quickly and easily determine whether the recruitment of outside consultants and/or contractors is the most cost-efficient and effective solution for the completion of a project.

— Improving understanding of tradeoffs between internal skills, capability and capacity investment when procuring external support.

Current State

Currently, the Division engages outside contractors and/or consultants in the following instances:

— In circumstances where specialist expertise is required for project completion that is not currently

employed by the Division

— In the event that the Division's staff does not have capacity to undertake the activities required under a project as a result of inability to recruit and/or retain specialized positions.

It is important to note that contractors and consultants are inherently different and ultimately provide differing services to the Division. For example:

— Consultants usually relate to architectural and engineering (A&E) professionals that provide design and engineering-related services to the Division for specific projects.

— Contractors are typically engaged for construction projects and are responsible for the day-to-day oversight of the construction site, including the management and vendors within their control.

Presently, the Division engages consultants on 16 percent of its projects with between 50 and 60 percent of the required A&E services being completed by consultants on these projects. In addition, the Division engages contractors for the majority of its capital maintenance and capital improvement projects. The County performs approximately $2 million in capital maintenance paving each year; however, the remaining $10 million is typically contracted out.

Expenditure on External Contractors and Consultants

The Division has spent an average of approximately $20 million on consultants and contractors year-over-year between FY19–20 and FY21–22. This amount has been steadily increasing over the past three years with a total of $25.5 million incurred in engaging outside contractors and approximately $2 million incurred in engaging outside consultants in FY21–22, which represents 16 percent of the Department's total budget. Across interviews, staff members reported that the increasing reliance on outside contractors and consultants results in a higher cost to the Department and can often result in the loss of internal expertise as staff members with specialist expertise can often be replaced by consultants/contactors.

Further, in the current state, the Division does not undertake a skill-gap analysis or project-level cost-benefit analysis to assess the cost effectiveness of engaging outside consultants and contractors and the potential benefit and feasibility of internally recruiting for such positions.

External Contractors and Consultant Performance Management

The Division utilizes differing approaches to manage the performance of contractors and consultants, for example:

— Consultants providing specialized expertise, such as architectural and engineering services, are managed based on the project schedule detailed in the Request for Proposal (RFP) and the project proposal submitted by the selected consultant. The RFP typically lists target dates for task completion while the consultant's proposal typically includes a matrix of the tasks, hours, and staff needed to complete the requested work. The Division designates a project manager to oversee each consultant, and they are responsible for helping to ensure that the consultant undertakes the tasks aligned within the RFP on time and within the require budget.

— Construction Contracts performed by external contractors are managed through the Division's Construction Unit. The Unit's engineer monitors the construction schedule and contractor payment through preconstruction meetings, daily reports, progress payments and other documentation for materials submittals in compliance with the Caltrans standard methodology for contract and construction management.

The current performance frameworks employed by the Division are useful in assessing contractors' and consultants' ability to complete projects based on schedule and within budget. However there is limited ability to undertake more robust tracking and evaluation of contractor and consultant work quality. Understanding the effectiveness and ability of a contractor and consultant to complete projects

in line with the Department's standard is critical to assessing contractor performance and proactively identifying and resolving any quality-related issues at an early stage. In turn, this helps to ensure that projects are consistently completed on time and within budget, and are consistently undertaken in line with Department expectations.

Recommendation

It is important to note that the Division, given its nature, will always require a certain level of engagement with external contractors and consultants. However, there is an opportunity to enhance guidance on external contractor and/or consultant procurement to ensure use is focused on activities where:

- There is a lack of capacity, expertise, or specialist resources (e.g., tools, data, or machinery) within the Department
- The need is unlikely to be ongoing/permanent
- There is an appropriate business/strategic justification for the Department to not maintain the capability or capacity internally (e.g., due to volatile internal demand; an intent to incentivize additional capacity growth across local businesses operating within the sector; or where a material cost efficiency or quality advantage is held within the private sector).

To inform such assessments, the Division may undertake an internally focused capability analysis and cost-benefit analysis. These analyses should aim to improve understanding of where and how the Department and Division may achieve financial, strategic, quality, or other benefits through contractor and consultant use; and where their use may be most detrimental.

Furthermore, the Division should consider updating its current performance management framework to include an assessment of work quality for activities undertaken by consultants and contractors.

Suggested Action Steps to Implement Recommendation

Action one: Enhance the performance monitoring reporting framework utilized to evaluate outside contractors and/or consultant performance. As a first step, the Department should consider enhancing its current performance management reporting framework for tracking and reporting on outside contractor and/or consultant performance. Although the current framework tracks contractor performance as it relates to contract completion within the required timeframe and on budget, there is an opportunity for the Division to enhance the tracking of consultant and contractor performance as it relates to quality. For example, the framework could rate contractors' performance across three categories: needs improvement, successful performance, and exceptional performance. The framework should evaluate the following key assessment areas:

- Compliance with state and federal regulations as well as compliance with contract specifications
- Number of problems with work quality requiring corrective action by the contractor
- Number of quality issues that caused project delays
- Number of latent defects
- Number of times equipment or materials were improperly used

Action two: Conduct an internal capability analysis. The Division should consider undertaking an in-depth capability analysis, including assessments of skills, resources and capacity, to identify where the Division is unable to fulfill its most regular and/or enduring commitments. The Division may

consider undertaking the following key steps in undertaking this capability analysis:

- **Step one:** Identify and assess the existing capabilities within the Division. The Division may undertake this by completing staff surveys, focus groups, and skill assessments for example.
- **Step two:** Identify the tasks for which contractors and consultants are most frequently engaged.
- **Step three:** Evaluate the Division's current and future projects and identify the capabilities required to complete those projects.
- **Step four:** Analyze the data collected as result of actions one through three and develop a capability matrix that identifies the key skills and resources that exist within the Division, as well as any potential gaps.

Action three: Undertake a cost-benefit analysis. In conjunction with the capability analysis, the Division should consider undertaking a cost-benefit analysis to consider where financial, strategic, quality, or other benefits through contractor and consultant use are likely to be achieved; and where their use may be most detrimental. In undertaking this comparison, the Division should consider the current state, internal investment to develop the capability or capacity required, and engaging a contractor or consultant to support the project(s).

This cost-benefit analysis can be done on a project-by-project basis or across a range of similar project types. Alternatively, the Division may consider undertaking this analysis for those project types where outside contractors and/or consultants are typically engaged at a consistently high rate. In undertaking a cost-benefit analysis, the Department may consider undertaking the following key steps:

- **Step one:** Identify the cost of engaging a consultant and/or contractor in undertaking the specific project.
- **Step two:** Consider the number of staff hours to be incurred by staff level on the project if it were to be undertaken internally.
- **Step three:** Calculate the cost of undertaking the project internally, utilizing number of staff hours by staff level and hourly rate; and an estimated incremental cost of other necessary resources for the project (i.e., costs for resources in addition to those already held by the Department).
- **Step four:** Consider the number of project currently being undertaken at a Department level and the capacity of current staff to take on additional project. In considering this step, the Division should consider the potential for overtime as well as the impact on staff morale.
- **Step five:** As a next step, the Division should consider the benefits of each approach (i.e., engaging consultants versus utilizing Division staff). Benefits considered under each approach may relate to financial, strategic, quality, efficiency, and completion time advantages. Benefits should be weighted by importance and scored in considering cost-benefits.
- **Step six:** As a final step, the results of step one through five should be compiled to consider the optimal approach in the future state.

Furthermore, closely analyzing year-on-year expenditure related to usage of outside contractors and consultants may assist in the budget planning process and enhance decision-making regarding future budget projections. This may be undertaken by conducting an in-depth annual review that identifies the following:

- Percentage of projects under which a consultant/contractor was engaged
- Annual Spend on contractor/ consultant
- Year-on-year increases in contractor/consultant spend
- Average impact of inflation on contractor/consultant expenditure

Action four: Revise guidance for contractor and consultant usage. Utilizing the outcomes of Actions One to Three, revise current guidance for contractor and consultant usage to clarify when and how they should be used. This guidance should be supported by easy-to-use tools for assessing the relative merits of internal investment (e.g., temporary staff engagement, new hiring, new equipment procurement, or new capability establishment) against outsourcing project activities to contractors and consultants; for example, a rapid cost-benefit analysis tool as well as tools to (qualitatively) assess risks and opportunities of outsourcing over the mid to long term.

The intent of these tools should be to improve the accessibility and use of evidence in related decision-making; improve the consistency of outsourcing decisions—providing predictability to the market (vendors); and to minimize the potential for bias in outsourcing decisions. An ancillary goal may be to improve the transparency of the decision-making process and outcomes among staff, the market, and the community.

Surveyor

The below recommendation is associated with the Surveyor Division of the Department.

3.1	**Conduct an activity-based workload analysis and establish additional performance measures to inform decision-making on staffing mix, resource allocation, and task assignment.**

Benefit

Conducting a thorough activity-based workload analysis including an assessment of current and historical trends in demand will provide a number of key benefits to the Division:

- It will assist the Division in developing a sustainable, efficient staffing model that is more aligned to demand, optimizes review timelines and client service delivery, and helps ensure staff members consistently undertake activities most aligned to their role.
- It will also allow the Division to identify optimal resource allocation and staffing mix to help ensure that performance targets are met to the greatest degree possible.
- It will also enable effective performance management by assisting the Division to better understand staff activities and develop appropriate utilization targets to promote an environment focused on efficiency and continuous improvement, which can better inform staffing needs.

Further, adopting additional performance measures related to staff productivity, and reviewing timelines and customer service, will allow the Division to enhance the tracking of staff capacity, productivity, customer satisfaction, and overall operational performance. This information will provide leadership with the data needed to make informed decisions surrounding operations and more proactively identify opportunities for process efficiencies and enhancements, where necessary.

Current State

The Surveyor Division maintains accurate land records within the County of Santa Barbara. The Division is primarily responsible for reviewing subdivision maps, records of survey, lot line adjustments, corner records, voluntary mergers, and certificates of compliance for compliance with state and local laws and ordinances. Division staff index and file all corner records, final maps, parcel maps, and records of survey following recording and are also responsible for all jurisdictional and special district boundary mapping within the County.

Staff Productivity and Cycle Times

In the current state, the Division tracks three key performance measures largely focused on record and project review timelines. Each performance measure has a specific target, and performance against target is evaluated and reported on an annual basis. The specific performance measures and related targets set by the Division for FY 2021–2022 are outlined in the table below.

FY 2021–2022 Performance Against Target			
Performance Metric	**Target**	**Actual**	**Met/Not Met**
Percentage of Records of Survey/Corner Records reviewed in 20 days	100%	49%	Not Met
Average number of days to complete development project	30 days	30 days	Met

reviews			
Average number of days to publish recorded maps on the County website	25 days	25 days	Met

As outlined in the table above, the Division is meeting its own internally set targets for completing development project reviews and publishing recorded maps on the County website.

However, in FY20–21 and previous years reviewed, the Division has not met California Business and Profession Code targets to finalize corner record and record of surveyor reviews within 20 days of submission. As outlined in the chart below, in FY21–22, only 59 percent of corner records and 66 percent of records of survey reviews were completed within the 20-day timeline, falling by an average of 28 percent in FY20–21 when 94 percent and 79 percent of corner record and record of survey reviews, respectively, were completed within 20 days.

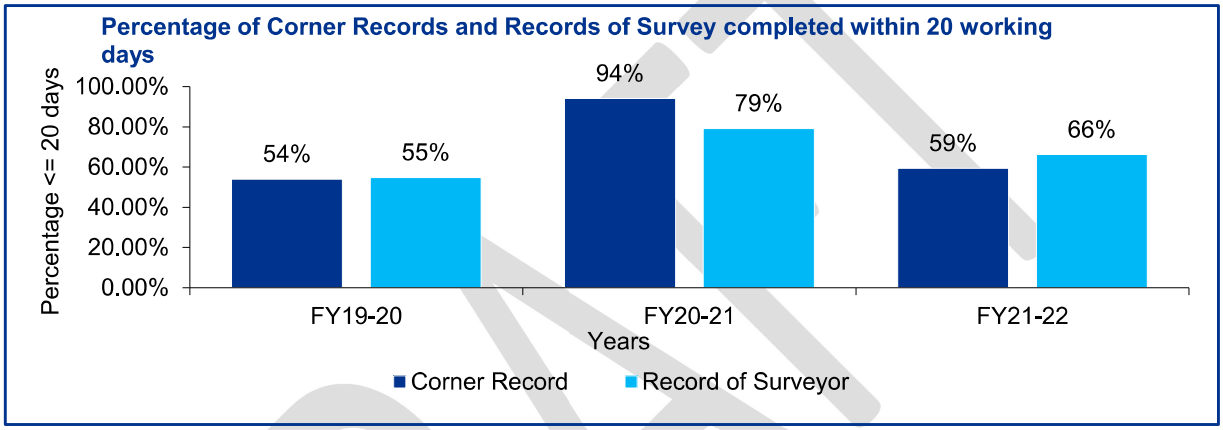


Figure 13 : Source: KPMG Review of Department Data

In addition to the State target review timelines for corner records and records of survey, the Division has an internal target of reviewing 100 percent of voluntary mergers, lot line adjustments, certificates of compliance, and parcel maps within an average of 30 working days of receipt. However, the Division has not consistently met this target (i.e., lot line adjustments, certificates of compliance and parcel maps), as outlined in the chart below. Between FY20–21 and FY21–22, the average percentage of reviews completed for these four review types within the 30-working day target fell from an average of 65 percent to 63 percent.

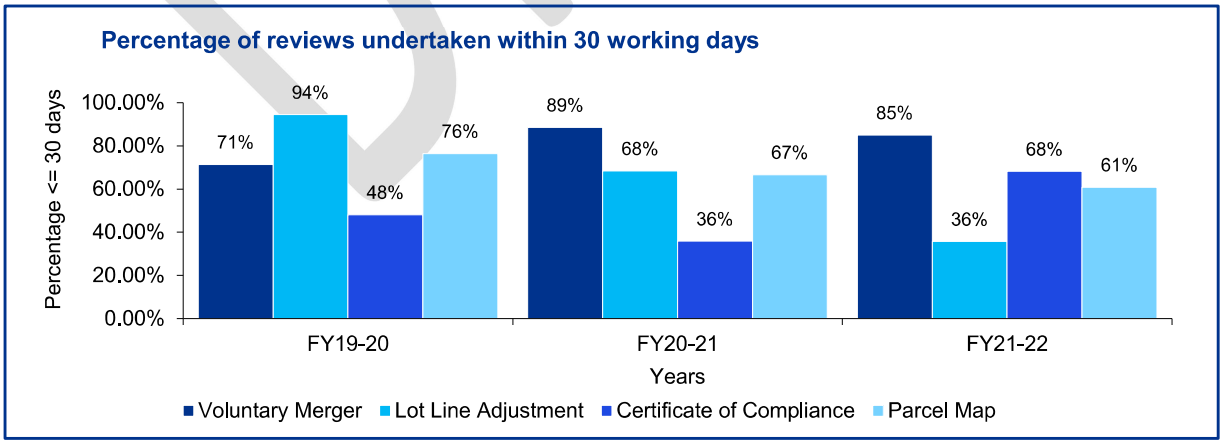


Figure 14: Source: KPMG Review of Department Data

Across interviews, staff members reported that inconsistency in the on-time performance of the Division was caused by staff capacity shortages across the Division.

Staff members also reported that capacity constraints were compounded by additional other responsibilities absorbed by survey specialists and management following the reassignment of a portion of customer service staff to GIS operations, following the implementation of GIS software. This software allows members of the public to view maps and request submittals online. Interviewees reported spending approximately two hours a day undertaking activities such as answering queries from the public, other departments, or the Board of Supervisor staff, listening to voicemails, scanning documents, and other administrative-like activities such as project intake and management. Their utilization in completing these tasks has eroded available capacity for record reviews, extending review timelines.

Performance Metrics

As noted, the Division currently tracks three key performance measures largely focused on record and project review timelines. However, these performance measures are largely based on state requirements and do not provide the Division with a holistic view of operational performance, particularly as it relates to customer satisfaction, finances, and internal processes. Measuring customer satisfaction, in particular, is critical to assessing the degree to which needs are met and customers are satisfied. For example, across interviews, staff members reported that in certain circumstances, customers may submit complaints to the County; however, there are limited metrics in place to track the number of complaints as well as evaluate potential reasons behind complaints to inform future process improvements. These metrics may form part of customer satisfaction metrics.

Commendably, the Division tracks staff activities by individual project level utilizing its Land Registry Database (LDRB) on a daily basis. The Division also has mandated targets surrounding review completion timeframes, staff activities and review cycle times at a team level. However, there are limited defined targets for common tasks or mechanisms to benchmark staff productivity at an individual level. As such, management may have reduced visibility of the true resource demands and performance.

While each review requires a varying level of effort depending on a number of factors, including record type, number of lots, age of record, and legal complexity, among other areas, the Division has not defined:

- Measures to evaluate the complexity of each review type based on these factors (e.g., deposit amount divided by hourly rate)
- Methods or tools to proactively estimate and track workload associated with key tasks
- Processes to assign reviews to staff members based on their level of capacity, competency/experience, and task complexity taking the relevant size of the Division into consideration
- Mechanisms to manage exceptions, where reviews may require additional work or time investment beyond the forecast needs.

Resultantly, there is a risk that the distribution of workload across staff may be uneven at times; completion timeframes for similar tasks may vary, and extremes in staff productivity and performance (high and low) may not be visible to management. In turn, leaders and supervisors may have low visibility of emerging issues and problems—preventing their proactive or timely correction.

Supervisors have already taken some steps to improve upon this process, implementing “check-ins” with staff after eight hours of effort committed to any single case. These meetings are used to evaluate reasons for the lengthy review, and to collaboratively consider how any impediments may be resolved. This practice is considered a useful first step; however, staff reported that such check-ins should be undertaken earlier in order to adapt workload distribution (i.e., redistribute backlog created where possible), and proactively address emerging problems and issues before they occur (such as through

providing proactive updates to stakeholders). However, Department leadership note that they are undertaking check-ins as early as considered possible given Division size and activity level.

Further, although each review must be approved by a supervisor before finalization, in the absence of time budgets and completion targets, staff members were unclear on specific expectations for task completion As such, the level of review detail and the productivity of staff across the team may be variable.

Recommendation

In the future state, the Division should consider utilizing available LRDB staff activity data to develop formal utilization targets related to review timeline, cycle times, and staff activities to help ensure optimal resource alignment and task assignment in the future state.

Furthermore, the Division may consider developing performance measures that provide a holistic view of operational performance, particularly as it relates to customer satisfaction, finances, and internal processes. Examples of performance measures that may be adopted across customer satisfaction, finances, learning and growth, and internal processes, are as follows:

- Customer Satisfaction: Percentage of clients satisfied with service, number of complaints receive and resolved. This can be achieved via periodic customer satisfaction surveys and the tracking of customer complaints received versus resolved
- Finances: Dollar investment per project review, caseload per staff member
- Internal process: Percentage of client records completed accurately and timely

Leading Practices

Based on leading practices, there are a number of additional performance metrics being tracked by other counties to enhance operational decision-making. Below are a list of counties and additional metrics, including:

San Luis Obispo County, CA:[10]

- Annual number of survey map reviews per FTE employee
- Response Time for Map Processing In Weeks

Nevada County, CA:[11]

- Accomplish completeness review on all submissions within twenty (20) working days

Multnomah County, Oregon:[12]

- Number of public land corner visits performed
- Number of recorded plats that required “affidavits of correction” (errors)
- Annual number of plats received for review and approval
- Number of New Public Land Corner reports filed

[10] *SLO Budget Book.book (ca.gov)*
[11] *0228ProgramOfferReportContextual (multco-web7-psh-files-usw2.s3-us-west-2.amazonaws.com)*
[12] *91012.pdf (multco.us)*

Suggested Action Steps to Implement Recommendation

Action one: Evaluate LRDB staff activity data to identify optimum review timeframes by case type, accounting for case complexities. The Division should consider analyzing LDRB staff activity data to consider current workload based on demand, identify average median timeframes within which case reviews are typically completed, and evaluate common case characteristics that result in increased complexity of review and workload. Undertaking this action may involve the following key steps:

- **Step one:** Evaluate the results of the LDRB staff activity analysis to identify the range, median, and maximum processing time for each type of case review.
- **Step two:** Analyze maximum processing times by case type and identify those commonalities that result in increased processing times. Interviewees reports, such commonalities may include:
    - Record type
    - Number of lots
    - Age of record
    - Legal complexity (i.e., number of prior owners, legal issues, rights of way).
- **Step three:** Conduct focus groups with those staff members to validate the timeframes and case complexity characteristics identified under steps one and two above, and identify opportunities to enhance efficiencies.
- **Step four:** Based on the time and workload analysis detailed in action one and the analysis conducted in the steps above, the Division should develop a data-driven target range for each form of case review.

Action two: Conduct a staffing analysis to assess opportunities to reallocate duties and determine optimal staffing mix. The Division should utilize the results of the analysis on staff activity and assessment of administrative duties under actions one above to conduct a staffing analysis. The staffing analysis will allow the Division to utilize data to assess opportunities to reallocate duties, determine optimal staffing mix, and evaluate additional administrative and surveyor staff need, if any. The Division should undertake the following steps to undertake this analysis:

- **Step one:** Evaluate the results of the LRDB analysis of staff time to determine the key tasks being undertaken by Division staff as well as related workload.
- **Step two:** Utilize the target timeframes developed under Action one above as well as the average number of reviews by review type received over the period of the time study to identify total available time (in hours) to undertake reviews over the analysis period.
- **Step three:** Evaluate the total available time (in hours) available to the Division based on the LRDB analysis period. This should account for vacation, holiday, average leave, etc.
- **Step four:** Assess the level of administrative tasks being undertaken by the Division's case review staff such as answering phones, scanning documents, responding to emails etc. as well as other non-project related activities, such as responding to inquiries from various individuals and entities (County departments, professional surveyors, property owners, Board of Supervisors) etc. This will allow the Division to consider the right staffing mix (i.e., whether more review staff or more administrative staff is required, if any).
- **Step five:** Utilize the results of steps three and four to understand opportunities to reallocate duties across staff members, identify optimal staff mix and/or determine whether additional resources are needed.

Action three: Engage with the CEO's Office to discuss any update to staffing needs based on the

staffing analysis. The Division should engage with the CEO's Office to discuss the results of the staffing analysis, develop a business case for any additional staffing, and consider potential funding sources for such staffing.

Action four: Identify a core set of key performance indicators. The Division should consider establishing an additional set of operational and financial performance measures in addition to the State-mandated measures. These measures will provide the Division with a more comprehensive view of operational performance, particularly as it relates to customer satisfaction, finances, and internal processes, helping to ensure that Division leadership has the information necessary to identify process enhancements and efficiencies and promoting and environment focused on continuous improvement. Examples of the potential performance measures that could be adopted across divisions, based on leading practices, are outlined in the Current State section of this recommendation on page 43.

Water Resources

The below recommendation is associated with the Water Resources Division of the Department.

4.1	**Consider implementing an asset management database for County-managed flood control infrastructure to improve risk visibility.**

Benefit

Implementing an asset management database to document and share details on the location, condition, and maintenance etc. of flood control infrastructure within the County's purview will provide Department and Division leadership with more holistic visibility of County-owned flood control infrastructure status across the County, allowing for proactive maintenance, mitigating the risk of failure or compromise.

Current State

The Water Resources Division has three units which include Flood Control, Project Clean Water (PCW), and the Water Agency. Flood Control has responsibility for administration of flood control infrastructure, including drainage. Flood Control Infrastructure includes drainage facilities, flood control facilities, such as, flood control basins, and debris basins, and county-owned storm sewer systems. PCW has responsibilities related to the National Pollutant Discharge Elimination System (NPDES) permits. The Water Agency is responsible for supporting sustainable water management in the County, with no maintenance responsibilities. The primary maintenance responsibilities of Flood Control and PCW are outlined below:

- **Flood Control Unit – Environmental Section:** Each year, environmental staff working under the direction of Maintenance and Design units develop priorities for maintenance of creeks, channels, drainage facilities, and flood control basins to determine maintenance need and consider prioritization. The group also completes routine inspections for construction projects that require environmental permits.
- **Flood Control Unit – Design, Development Review, Hydrology:** These sections inspect flood control facilities, in coordination with the Maintenance and Environmental Sections, to help ensure these facilities are meeting local, state and federal standards. Examples of these facilities include the Santa Monica Debris Basin and the Santa Maria River Levee, both of which require periodic inspections. This Unit also inspects and maintains all Countywide gauge sites at least annually. These sections are also responsible for private property development review; and design and construction of capital improvement Flood Control projects throughout the County. The purpose being to help ensure that all new projects are aligned to floodplain management standards, policies, and guidelines. New flood control projects are inspected to help ensure that they are constructed in conformance with contract documents.
- **Project Clean Water (PCW):** Project Clean Water is responsible for undertaking various inspections in accordance with the NPDES Municipal General Permit to evaluate storm water and non-storm water discharges from County-owned storm sewer systems. These inspections include undertaking annual creek walks, stormwater sampling, and inspections at specified locations, as well as inspections at privately owned business premises to monitor effectiveness of best practices and/or structures that treat and manage storm water.

As outlined, the Division has a variety of responsibilities as it relates to managing and maintaining key flood control infrastructure within the County's purview. However, across interviews, staff reported that the tools and mechanisms in place to collect key data related to location, age, condition, and

maintenance history as it relates to flood control infrastructure can be siloed. This can result in data fragmentation and information sharing challenges. In turn, this may create challenges for Division and Department leadership to obtain a holistic view of flood control infrastructure to aid with key decision-making and portfolio level prioritization, as well as planning and financing of long-term capital works for flood control infrastructure.

Recommendation

In the future state, there is an opportunity for the Division to consider implementing an asset management database for flood control infrastructure within the County's purview. The database will provide a holistic view of the location, maintenance history, and age and condition of the flood control infrastructure within the County's purview.

It is important to note that the Department has also commendably recruited for a staff member who will be responsible for the management of activities related to key flood control infrastructure. The development of a shared database will be a key tool for this new staff member to manage and track key data points for flood control infrastructure for the purposes of asset management.

Suggested Action Steps to Implement Recommendation

Action one: Consider the implementation of a shared asset management database for flood control infrastructure. In the future state, the Division may consider the development of a shared asset management database. The purpose of the database will be to act as a single source of truth for key data related to location, age, condition, and maintenance history as it relates to flood control infrastructure. The database can be utilized by leadership and key department staff to make more holistic, data-driven decisions in assessing future potential maintenance, inspection need and track overall condition. The Department has recently recruited a dedicated staff member to focus on asset management and this position can lead the development of the recommended database. There are a three mechanisms that can be utilized to database an organization's assets. These include:

— Manual Spreadsheets (i.e. Excel, Google sheets, Smartsheet)

— Digital Asset Management (DAM): Purpose built software for asset management

— Asset management tools provided within existing applications or ERP system

In considering, the best mechanism to meet the Division's need, Division leadership may consider a number of factors including flood control infrastructure volume, complexity, and value as well as staff capabilities, implementation timelines, and cost of solution. Department and Division leadership may engage with the CEO's Office to consider whether the ongoing ERP project will provide an appropriate asset management capability.

4.2	**Identify a core set of additional performance metrics to enhance visibility of performance and progress toward operational goals.**

Benefit

Improving visibility of performance and progress toward key operational goals will provide the Department with the following benefits:

— It will provide management with visibility of operational events, trends enabling data-driven

responses to problems, and the proactive pursuit of opportunities for improvement.

- It will provide management with visibility of the Division's resource alignment with key strategic and operational goals for the full breadth of the Division's functions, and opportunities for resource redistribution where necessary.

Current State

In the current state, the Division tracks and reports the following four key performance metrics that are largely focused on the number of projects completed, inquiry response times, and the percentage of plan checks submittals completed:

- Percentage of planned flood control maintenance projects completed
- Percentage of water quality inquiries responded to within 24 hours
- Percentage of flood control maintenance requests responded with 48 hours
- Percentage of first plan check of discretionary project submittals completed within 30 calendar days and 14 days for subsequent submittals.

These metrics are important and should continue to be evaluated; however, they are largely focused on the Division's Flood Control Unit and do not provide a holistic review of operational performance, specifically as it relates to internal processes (e.g., inspection and permit cycle times), customer satisfaction, and fiscal sustainability.

For example, the Division is responsible for undertaking a variety of inspections and permits related to floodplain management, environmental assessments, flood control facilities, storm water, and much more. However, presently, the Division has limited performance metrics in place that measure the timeframe between inspection submission request and the completion of the inspection and/or permit. As such, measures of efficiency and effectiveness in undertaking these inspections are not currently captured.

Understanding these inspection cycle times are critical to evaluating opportunities to enhance internal processes and in helping to ensure that inspections are being completed in a timely manner. Additionally, there are limited performance metrics in place to track customer satisfaction to allow leadership to identify opportunities to improve future customer service. Finally, the Water Resources Division's Flood Control Unit undertakes specific capital improvement projects as they relate to flood control facilities, drainage, and flood-plain mitigation. While project budgets are managed at the individual project level, there are limited performance measures in place that track the overall fiscal impact of these projects—including grant and/or fund spend-down rates and project budget under/over spends.

Recommendation

The Division should consider developing a core set of performance metrics that provide a holistic view of operational performance, specifically as it relates to internal processes (e.g., inspection and permit cycle times), customer satisfaction, and fiscal sustainability. Examples of performance metrics to be adopted across categories including customer service, timeliness, maintenance, and finance are identified in action two below.

Suggested Action Steps to Implement Recommendation

Action one: Develop an internal work group across the Division to consider the adoption of additional performance metrics. The Division is made up of a three key units, each of which undertake a diverse range of activities as it relates to water and water management and flood control infrastructure. As a first step, the Division should establish a work group with representation from each unit as well as divisional leadership. This work group should be responsible for evaluating the future performance metrics that should be adopted by the Division and are representative of the varying activities undertaken by the Division.

Action two: Identify a key set of additional performance measure for adoption across the Division. In identifying additional performance metrics for adoption, the work group should consider the key categories of performance that should be measured, examples include, but are not limited to customer service, internal processes, maintenance, and finance. Examples of performance measures that could be adopted across these areas, while not exhaustive include:

- **Customer Service:** Percent of customers rating their satisfaction with the agency's customer service as "good" or "excellent," and number of customer complaints
- **Timeliness:** Inspection cycle times (i.e., average timeframe between inspection request submission and inspection completion)
- **Maintenance:** Percentage of flood control facilities evaluated for maintenance need annually
- **Finance:** Fund spend-down rates, grant spend-down rates, percent of projects over budget

Once performance measures are adopted, the Division may consider developing baseline targets for each of these performance measure and assess performance against baseline targets on a quarterly or monthly basis. This will allow the Division leadership to more proactively identify and implement performance improvement initiatives, where necessary, helping to ensuring an environment of continuous improvement.

Action three: Train staff on performance measures adopted. Once the performance measures have been developed, the Division should train staff on the purpose and objective of the performance measures. The Division should also develop data definitions to help ensure staff is aware of how data is identified and metrics calculated. This is critical to help ensure that staff understand the metric and how they can contribute to system improvement. This training can be facilitated via focus groups and should be supplemented with a written training document identifying the purpose and objective of performance measures as well the definition and calculation associated with each metric.

Action four: Develop a quarterly dashboard of performance. Finally, the Division should collaborate with Department IT to implement Power BI, which can be utilized to develop a quarterly dashboard to monitor performance against metrics. However, in advance of any upload to Power BI for visualization, data should be analyzed and checked for data quality. The Division may need to consider the staff member best placed to compile the data and undertake analysis for subsequent issuance to executive leadership and other key stakeholders.

4.3	Expand cross-training efforts between Water Resources and Transportation Maintenance Teams across locations to enhance skill sets, increase resiliency, and assist with resource challenges.

Benefit

Expanding cross-training efforts between the Water Resources and Transportation maintenance teams may have the following key benefits:

- It will allow staff to increase skills and expand knowledge and experience and work across divisional maintenance teams in periods of high demand. This, in turn, will enhance the community and customer experience, helping to ensure that even in periods of high demand, the community continues to receive effective, consistent, and timely service.
- It will also increase divisional and departmental resiliency and may help in alleviating or reducing any staffing challenges faced due to vacancies or leave as well as reduce any related overtime costs as a result of staffing challenges.

Current State

Across both the Water Resources Division and the Transportation Division, maintenance crews are employed to maintain and repair County infrastructure within the Department's purview. Each Division's maintenance crew have specific roles and responsibilities; however, often times, the type of work undertaken can be similar in nature. The key responsibilities of each crew are outlined below.

Water Resources Maintenance Crew

The Water Resources Division's *flood control maintenance crews* typically undertake three primary forms of maintenance:

- **Heavy equipment:** County flood control facilities can be subject to damage and loss of capacity through sedimentation, vegetation growth, bank erosion, and other obstructions. Maintenance crews utilize heavy equipment to remove sediment, clear obstructive vegetation, and correct erosion problems.
- **Hand clearing:** Throughout the County, obstructive vegetation is removed by hand crews utilizing chain saws and various other hand tools.
- **Herbicide application:** Additionally, maintenance crews often use herbicides to inhibit the growth of obstructive vegetation and control weed growth across County-owned sites.

Transportation Maintenance Crew

The Transportation Division engages road maintenance crews, who are responsible for undertaking various maintenance type projects across six key areas:

- **Surface preparation and repair:** This includes repair and maintenance of existing pavement surfaces through activities such as skin patching, crack sealing, and pothole patching.
- **Leveling operations:** This relates to correcting failed and distressed areas of a roadway.
- **Road shoulder maintenance and repair:** This includes regarding the County's roadway shoulders.
- **Vegetation management:** This involves clearing brush, mowing, tree trimming of roadsides, and weed and litter abatement.
- **Culvert and drainage maintenance:** Key tasks include cleaning and reshaping drainage ditches,

culvert inlet and outlet cleaning, headwall repair, and culvert installation and replacement.

— **Traffic control and traffic safety:** This relates to striping, stenciling, curb painting, sign maintenance, traffic signal maintenance, and guardrail maintenance.

The core skills and activities undertaken across both the flood control and road maintenance crews can often be similar, particularly those related to vegetation management, utilization of heavy equipment, and drainage maintenance. Recognizing these similarities, maintenance supervisors across the flood control and road maintenance crews have informally begun cross-training staff with the goal of increasing overall Department resiliency, particularly in periods of high demand or reduced staffing levels. As part of this cross-training, supervisors identified two maintenance staff members interested in participating in cross-training and subsequently cross-trained them on an alternate maintenance team (i.e., water or transportation). Across interviews, staff members reported that these cross-training efforts have been largely successful; however, such cross-training activities are currently limited to the South County Maintenance Yard and have not been adopted across all regions.

Recommendation

In the future state, there is an opportunity for the Water Resources and Transportation Divisions to collaboratively implement a coordinated cross-training program, allowing maintenance staff to increase skills, knowledge, and experience by working across maintenance teams, and as a result, enhancing overall Department resiliency.

Suggested Action Steps to Implement Recommendation

Action one: Identify a maintenance supervisor in both Divisions to create a formalized cross-training program. As a first step, each Division should identify a maintenance supervisor to lead the cross-training efforts across regions. The identified maintenance supervisors should undertake the following key tasks to implement a more formal cross-training program:

— Evaluate the different roles and responsibilities of maintenance staff in each Division to identify the varying skills of each maintenance crew member as well as key areas of training need across divisional maintenance staff to help ensure targeted and effective cross-training.

— Identify a maintenance expert or experts in each Division across maintenance yard locations to facilitate cross-training and lead job shadowing efforts.

— Survey maintenance crew staff to determine how many individuals are interested in participating in the cross-training program.

— In collaboration with the identified maintenance experts, develop a cross-training plan and supporting schedule to outline the frequency under which cross-training will occur (i.e., monthly, bimonthly). It is important to note that no more than one or two staff members across teams should be undertaking cross-training at any one time to help ensure maintenance crews have the necessary skill and capacity to effectively and efficiently undertake activities in line with their roles.

— Pilot the program for a three- to six-month period and collect feedback from staff participating in the cross-training program as well those facilitating cross-training to identify any enhancements and improvements.

— Hold monthly or quarterly maintenance crew meetings with both divisions to monitor and discuss progress on cross-training efforts.

Action two: Help ensure that tasks are effectively rotated across staff. To help ensure that the training is effectively operationalized, supervisors should help ensure that tasks and activities are effectively rotated across staff undertaking cross-training. To achieve this, supervisors should be

tasked with conducting a detailed review of the activity data weekly or biweekly to help ensure that cross-program tasks are being allocated across the staff during instances of cross-training. This is essential to help ensure that each staff member being cross-trained is receiving the hands-on experience needed to effectively operationalize training.

Action three: Develop a cross-divisional process for task allocation, resource requests, and if necessary, financial attribution. As a next step, the Division should collaboratively engage with the Transportation Division to collaboratively develop a process for task allocation, resource request and in certain circumstances, financial attribution. This is critical for effective task and workload management, helping to ensure that staff capacity and task allocation is effectively and efficiently organized utilizing a standardized approach.

Action four: Assess the cross-training pilot after a six month period to evaluate effectiveness. Having piloted the cross-training program for a six-month period, Division leadership across Transportation and Water Resources should conduct an assessment of the pilot to evaluate effectiveness and determine whether the program should be fully implemented. This evaluation may involve undertaking the following key activities:

- Analyzing the number of staff members that successfully participated in cross-trainings as well as the number of staff members interested in the program.
- Conduct staff surveys for those staff members who participated in the cross-training program to understand any challenges as well as key program benefits. Examples of survey questions include, but are not limited to the following:
  - What were the key benefits of participating in the cross-training program, in your opinion?
  - What key skills do you learn during the program?
  - Would you recommend this program to your peers?
  - Did you face any key challenges in participating in the program? If so, what were they?
  - What was the most difficult aspect of participating in the program?
  - What suggestions do you have to improve the program?
- Assess the productivity and performance of staff undertaking cross-training as compared to their peers and evaluate whether productivity continues to increase over time and learning curve reduces over time.

Having conducted these key activities, Division leadership should assess survey responses and related analysis and make an informed decision on whether the program should be fully implemented and if so, what enhancements (if any) can be made to the program in the future.

4.4	**Customize Accela workflows to help ensure that workflows consistently align to staff activities allowing the Division to enhance the tracking of case volumes, cycle times, and staff productivity.**

Benefit

Customizing Accela workflows for floodplain plan check reviews undertaken by staff within the Development Review and Floodplain Management Unit (the Unit) will have the following key benefits:

- It will help ensure that Accela workflows align to the floodplain plan check review activities undertaken by the Unit, allowing staff to more accurately and effectively close out completed

cases. This will enhance Division and Department leadership's understanding of active case volume, which may provide a more complete and accurate representation of service demand and allow for staffing levels to be consistently aligned to demand.

— Furthermore, it will allow for enhanced tracking of staff productivity and inspection cycle times, enabling Division leadership to consistently analyze staff performance and more proactively identify and resolve process inefficiencies that may result in prolonged cycle times.

Current State

The Development Review and Floodplain Management Unit provides development and floodplain plan check reviews for the unincorporated areas of Santa Barbara County and, when requested, for the Cities of Santa Maria, Lompoc, Buellton, Solvang, Guadalupe, and Carpinteria. These reviews help to ensure that projects under construction are consistently aligned to the County's Standard Condition Requirement, conform with the Floodplain Management Ordinances, and have adequate drainage plans. The reviews are intended to reduce future flood risk and eliminate the need for the potential construction of future flood control facilities.

The County's Planning and Development Department provides review and approval of development projects, and includes other departmental reviews during that process, including Public Works, prior to approval. Planning and Development screens each application to determine whether a Flood Control development review or Project Clean Water review is required, and where necessary, refer the case to Development Review and Floodplain Management Unit.

Currently, both the Planning and Development Department and the Unit utilize the same Accela platform to track reviews for completion and related workflow. Accela workflows include preidentified activities that must be completed by staff to bring a case to eventual close. The primary purpose being to track activity and time spent on review to help ensure that the overall cost of undertaking reviews is tracked appropriately. For plan checks, the staff time cost is deducted from the deposit submitted by the client using this information. However, currently, interviewees reported a key technical challenge related to Accela. The preidentified workflow activities defined in Accela do not correspond to the activities that Unit staff are required to undertake to complete floodplain reviews.

During interviews, staff members reported that updating Accela workflows for activities that do not align to their work can take an average of approximately 10 minutes per case and report reviewing an average of 10 cases per week, which equates to annual workload of almost 2 hours per week per staff member. As a result of the significant workload associated with updating these workflows, the Division has directed staff to leave the nonapplicable workflows uncompleted. While this reduces workload burden for staff, it results in closed cases being flagged as active within Accela. This creates significant challenges as it does not allow the Division to accurately understand the total number of active cases at any one time nor does it allow Division leadership to determine staff caseload and capacity as well as productivity.

Recommendation

Understanding this data is critical to helping ensure workload is consistently aligned to demand and staff across the Division continue to have accurate and balanced caseloads. In the future, the Department should customize Accela workflows to help ensure that they consistently align to the activities being undertaken by staff.

Suggested Action Steps to Implement Recommendation

Action one: Align current Development Review workflows to Accela. As a first step, the Division should identify which workflows align to the current tasks undertaken by Development Review staff

when undertaking plan check reviews. This may be undertaken by holding focus groups with key unit staff to validate the specific workflows that should be included within Accela as it relates to floodplain plan checks. These focus groups should include representation from the Department's Administration Division to help ensure that they have the necessary information to enter plan check deposits and help ensure customer billing is accurate. However, during interviews, Unit staff suggested that there may be potential to simplify workflows to include three key areas:

— Application submittal/Application started

— Application in review

— Application closed

Interviewees reported that these workflows would allow Unit staff to continue to enter time and activities undertaken in each review, help ensure closed cases are accurately reported, and allow the Division's accounting staff to continue to understand the time spent and ultimate cost of each review.

Action two: Collaborate with the Administration Division, IT, and the vendor to amend current workflows within Accela to align to Unit activities. After floodplain plan check workflows have been verified and validated, Division leadership should engage with the Department's Administration Division, IT, and the vendor to request, pilot, and test the new workflows within Accela. In engaging with the vendor, the Division may consider involving line staff to help ensure that workflows are being updated as required and will result in accurate caseload tracking. These workflows should enable staff to accurately denote the activities being undertaken as well as allow the Division to consistently understand the cost of each plan review to the County.

Action three: Create standardized reports and reporting structures to identify caseload volume, caseload mix, and cycle times. Once the new workflows are implemented within Accela, Division leadership should begin tracking information related to caseload volume, caseload mix, and cycle times. This will allow Division leadership to better understand overall service demand as well as efficiency in undertaking floodplain plan reviews. These reports should be tracked monthly and may include tracking of performance related to the following key metrics:

— Number of actives cases received in the period reviewed

— Total number of active cases

— Number of cases closed in the period reviewed

— Number of cases allocated to each staff member in the period review

— Number of active cases per staff member

— Number of cases closed in the period of review per staff member

— Review cycle time (i.e., average length of time from case referral to review completion)

These reports will allow the Division to better understand demand, staff caseloads, and cycle times, allowing for increased tracking of unit performance and identification of potential inefficiencies that can be proactively resolved. This will promote more data-driven decision-making surrounding Division resourcing and overall operational efficiency.

4.5	Expand cross-departmental outreach on Water Agency program offerings and increase collaboration in identifying key grant funding opportunities.

Benefit

The Water Agency has programs and resources available to help implement water efficiency improvements. Enhancing and expanding approaches to conducting outreach to county departments as it relates to providing information on these programs and increasing cross-departmental collaboration related to grant funding opportunities may result in a number of benefits for both the Department and the County at large:

- It may position the Agency as a supportive partner in assisting other County departments' sustainability efforts and resource efficiency improvements. This may help reduce cost to the County in the future, given that research suggests enhancing water conservation practices can reduce utility costs by approximately 20 percent.[13]
- It may also enhance overall cross-departmental collaboration, particularly with agencies, such as General Services and Community Services (Parks), that may have potential for water use efficiency improvements.

Current State

The Water Agency is a dependent special district within the Water Resources Division and is responsible for supporting sustainable water management in the County. The Agency has significant expertise as it relates to water conservation practices and collaborates with up to 18 local water providers across the County to administer regional water conservation programs and projects through the Regional Water Efficiency Program (RWEP).

In the current state, the Water Agency is participating in the development of the 2030 Climate Action Plan, which is led by the Sustainability Division of the Community Services Department (CSD). Participation in the development of this plan requires the Water Agency to attend bi-weekly meetings led by the Sustainability Committee and includes representation from department leadership across county departments. The goal of the Action Plan is to identify key projects to reduce pollution and greenhouse gas (GHG) emissions in the County in the future. While water use is not the primary contributor to pollution and GHG emissions, the Agency is partnering with the Sustainability Division to monitor regional public water system water use and energy intensity. This is to help gain understanding of regional water-energy nexus with potential for program developments and cost-sharing opportunities.

Additionally, the Agency offers several programs that provide education and training as it relates to commercial landscaping and water usage. These programs include the Green Gardener and Mobile Irrigation Lab for Landscape Evaluation. The Agency communicates existence of these programs during sustainability committee meetings and also conducts outreach to county department leadership. However, sustainability committee meetings are typically attended by department leadership and do not include representation from line staff that may benefit from more proactive education as it relates to water usage. As such, there may be low program uptake among line staff across county departments that have the potential for high water usage due to lack of awareness. For example, the Parks Division of CSD manages all County-owned parks and is responsible for maintenance activities that include landscaping, mowing, irrigation, etc. and may benefit from participation in programs provided by the Water Agency.

[13] Conservation Programs Save Water, Lower Customer Bills - Cal Water

Finally, there is an opportunity for the Agency to expand collaboration with certain county departments on grant funding. For example, the General Services Department is responsible for managing all County facilities, and therefore, may be interested in collaborating to incorporate more high efficiency fixtures for County facilities. Increasing coordination with the General Services Department on grant funding efforts, may allow both departments to collaboratively identify and develop facility water use efficiency improvements and related grant funding opportunities for improved water savings.

Recommendation

In the future state, there is an opportunity for the Water Agency to expand its outreach efforts as it relates to the key programs it offers to help ensure that line staff across county departments including leadership are aware of these programs as well as the advantages of such training and education. The Agency may also enhance collaboration with other county departments to seek shared grant funding opportunities, where possible.

Suggested Action Steps to Implement Recommendation

Action one: Expand cross-departmental outreach efforts to continue to promote Agency programs and trainings. In the future state, there is an opportunity for the Water Agency to expand outreach efforts as it relates to the key trainings and education that the Agency currently offers. Expanding such outreach efforts may include undertaking the following actions:

- Issuing blast emails to key county departments on a monthly/quarterly basis to advise of trainings
- Including information on key programs offered including overview, purpose, and advantages of participation on the County's intranet
- Consider developing quarterly/bi-annual newsletters to provide information on Agency programs, initiatives, and accomplishments

Action two: Collaborate with other county department to seek grant funding. There is also an opportunity for the Water Agency to more proactively engage County departments in identifying and pursuing grant funding opportunities pertaining to water efficiency for County maintained facilities. The Agency may assist in identifying collaborative grant funding opportunities and engage with other departments to collectively pursue such funding. In implementing this action, the Agency may collaborate with interested departments to consider identifying key staff who will be responsible for reviewing potential grant opportunities monthly or quarterly and develop a coordinated work plan to complete the grant application process, where a grant pursuit is identified. The following is an example of a potential grant opportunity that the Parks Division of CSD and the Water Agency could collaboratively pursue in the future.

Appendix

Department Recommendation Table

Department recommendations relate to the systems and processes needed for the Department to more efficiently manage its operations and provide services to County residents. The following table outlines the recommendations and related actions for each division including (1) Department-wide, (2) Transportation, Roads, and Facility Management. (3) Surveyor, and (4) Water Resources.

#	Department Recommendations
Department-wide	
1.1	Reestablish quarterly site inspections to enhance control performance and enable more proactive management of safety, accessibility and risk Department-wide. — **Action one:** Utilize data to efficiently schedule the recommencement of quarterly site inspections at certain in the field jobsites. — **Action two:** Collaborate with Risk Management and General Services to increase access to available data surrounding incident and accident outcomes and cost. — **Action three:** Utilize available data and quarterly site inspection results to inform targeted proactive training and education by region. — **Action four:** Develop a formal IIPP training program for the Department's safety representatives.
1.2	Leverage technology to streamline project progress tracking, track alignment to strategic goals and enhance the flow of information across the Department. — **Action one:** Consider the implementation of software solutions, such as Smartsheet, to enhance processes in place relate to project tracking. — **Action two:** Identify additional data points to enhance data-driven prioritization of maintenance projects and activities. — **Action three:** Develop regular analysis of key data points such as service requests, traffic requests, incidents, accidents, and external claim data. — **Action four:** Consider the implementation of a predictive analytics tool.
1.3	Assess department-wide technology needs and develop a technology modernization plan to enhance process automation, reduce paper process, and enhance communication. — **Action one:** Assess the Department's current technology systems and needs. — **Action two:** Create short and long-term goals as the foundation for the modernization plan. — **Action three:** Identify available funding sources to address the Department's technological needs.

Transportation, Roads, and Facility Management	
2.1	Enhance processes to track available data related to road usage service requests, risk management, staffing, and pavement quality to inform maintenance prioritization. — **Action one:** Consider identifying additional data points to enhance prioritization of maintenance activities. — **Action two:** Consider the implementation of a database and supporting dashboard to display enhance processes in place to share available data. — **Action three:** Conduct regular analysis of key data points to provide a holistic view of maintenance needs across the County.
2.2	Establish an internal prioritization model to support the implementation of the Active Transportation Plan and better leverage available funding sources. — **Action one:** Create an internal prioritization matrix to support the prioritization of projects included within the Active Transportation Plan. — **Action two:** Engage with the CEOs office, SBCAG, and the Board of Supervisors to identify potential funding sources for prioritized active transportation projects.
2.3	Enhance collaboration with SBCAG and conduct an assessment of current Measure A distribution formulas to better align funding with community service area need. — **Action one:** Engage with SBCAG to discuss current method of fund distribution and help ensure both parties have a consistent understanding of Measure A eligibility activities — **Action two:** Continue to engage with the Board of Supervisors, with the support of the CEO's Office, to conduct an in-depth assessment of funding distribution formulas and support the development of a board policy. — **Action three:** Conduct an analysis of available data to consider service area need and develop a key understanding of transportation infrastructure regionally supported by data.
2.4	Utilize available activity data to develop key performance indicators and utilization targets for maintenance teams to allow for enhanced data-driven decision-making surrounding resource allocation and task assignment. — **Action one:** Conduct an in-depth analysis of existing data to enhance understanding of time spent on key activities. — **Action two:** Create new service levels and utilization targets to evaluate staff performance and productivity. — **Action three:** Formalize and operationalize the new service levels and utilization targets.
2.5	Conduct a cost-benefit analysis and skills-gap analysis to evaluate the effectiveness of the Division's approach to recruiting outside consultants. — **Action one:** Enhance the performance monitoring reporting framework utilized to evaluate outside contractors and/or consultant performance.

	— **Action two:** Conduct an internal skills gap analysis. — **Action three:** Undertake a cost-benefit analysis.
Surveyor	
3.1	Conduct an activity-based workload analysis and establish additional performance measures to inform decision-making on staffing mix, resource allocation, and task assignment. — **Action one:** Conduct a low-barrier time study to track record/case review timelines. — **Action two:** Evaluate the results of the time study to identify optimum review timeframes by case type, accounting for case complexities. — **Action three:** Conduct a staffing analysis to assess opportunities to reallocate duties and determine optimal staffing mix. — **Action four:** Engage with the CEO's Office to discuss any update to staffing needs based on the staffing analysis. — **Action five:** Identify a core set of key performance outcomes.
Water Resources	
4.1	Consider implementing an asset management database for County-managed flood control infrastructure to improve risk visibility. — **Action one:** Consider the implementation of a shared asset management database for flood control infrastructure.
4.2	Identify a core set of additional performance metrics to enhance visibility of performance and progress toward operational goals. — **Action one:** Develop an internal work group across the Division to consider the adoption of additional performance metrics. — **Action two:** Identify a key set of additional performance measure for adoption across the Division. — **Action three:** Train staff on performance measures adopted. — **Action four:** Develop a quarterly dashboard of performance.
4.3	Expand cross-training efforts between Water Resources and Transportation Maintenance Teams across locations to enhance skill sets, increase resiliency, and assist with resource challenges. — **Action one:** Identify a maintenance supervisor in both Divisions to create a formalized cross-training program. — **Action two:** Help ensure that tasks are effectively rotated across staff. — **Action three:** Develop a cross-divisional process for task allocation, resource requests, and if necessary, financial attribution.

	— **Action four:** Assess the cross-training pilot after a six month period to evaluate effectiveness.
4.4	Customize Accela workflows to help ensure that workflows consistently align to staff activities allowing the Division to enhance the tracking of case volumes, cycle times, and staff productivity. — **Action one:** Align current Development Review workflows to Accela. — **Action two:** Collaborate with the Administration Division, IT, and the vendor to amend current workflows within Accela to align to Unit activities. — **Action three:** Create standardize reports and reporting structures to identify caseload volume, caseload mix, and cycle times.
4.5	Expand cross-departmental outreach on Water Agency program offerings and increase collaboration in identifying key grant funding opportunities — **Action one:** Expand cross-departmental outreach efforts to continue to promote Agency programs and trainings. — **Action two:** Collaborate with other county department to seek grant funding.

County Benchmarks

Transportation

The Transportation Division operates with less budget and staff as compared to other benchmark counties. It should be noted that benchmark comparisons for the Transportation Division across other counties were generally unavailable as many counties, including Solano, Marin, Santa Cruz, Tulare, Placer, and Monterey do not have a similar scope of services or do not provide program-level breakdowns.

		Budgets '000	Santa Barbara	Average	San Luis Obispo	Sonoma
Transportation	FY 2022–2023 (Recommended)	Division FTE	119	129	122	135
		% Of Enterprise	3%	3%	n/a	3%
		Division Budget	77,088	79,139	32,104	126,174
		% Of Enterprise	5%	4.5%	4%	5%
	FY 2021–2022 (Adopted)	Division FTE	119	132	n/a	132
		% Of Enterprise	3%	3%	n/a	3%
		Division Budget	69,735	66,130	32,951	99,308
		% Of Enterprise	5%	5%	5%	0.47%
	FY 2020–2021 (Actual)	Division FTE	108.88	132	n/a	132
		% Of Enterprise	3%	3%	n/a	3%
		Division Budget	55,290	55,118	31,347	78,889
		% of Enterprise	4%	4%	4%	0.41%

Figure 15: Source: KPMG

Surveyor

The Surveyor Division operates with less staff as compared to other benchmark counties. However, it should be noted that Placer County's Surveyor Division includes engineering staff, which leads to a higher number of overall staff members within that Division. Benchmark comparisons for surveyor divisions across other counties were unavailable as many counties, including Solano, Tulare, Marin, Santa Cruz, Monterey, and Sonoma do not provide program-level breakdowns.

		Budgets '000	Santa Barbara	Average	Placer	San Luis Obispo
Surveyor	FY 2022–2023 (Recommended)	Division FTE	6	7	6	8.49
		% Of Enterprise	0.13%	0.25%	0.21%	0.29%
		Division Budget	1,504	2,089	2,281	1,896
		% Of Enterprise	0.11%	0.19%	0.12%	0.25%
	FY 2021–2022 (Adopted)	Division FTE	6	7	5	9.02
		% Of Enterprise	0.14%	0.25%	0.18%	0.32%
		Division Budget	1,540	2,008	2,006	2,010
		% Of Enterprise	0.11%	0.24%	0.20%	0.27%
	FY 2020–2021 (Actual)	Division FTE	5.46	5	5	n/a
		% Of Enterprise	0.14%	0.19%	0.19%	n/a
		Division Budget	1,538	2,173	2,173	n/a
		% Of Enterprise	0.12%	0.21%	0.21%	n/a

Figure 16: Source: KPMG

Water Resources

The Water Resources Division operates with a larger budget and staff than Monterey County. It should be noted that benchmark comparisons for the Water Resources Division across other counties were generally unavailable as many counties, including Placer, Solano, San Luis Obispo, Tulare, Sonoma, and Santa Cruz, do not have a similar scope of services or do not provide program-level breakdowns.

		Budgets '000	Santa Barbara	Average	Monterey
Water resources/ Flood Control	FY 2022–2023 (Recommended)	Division FTE	50	43	43
		% Of Enterprise	1.12%	0.66%	0.66%
		Division Budget	24,215	11,319	11,319
		% Of Enterprise	1.7%	0.71%	0.71%
	FY 2021–2022 (Adopted)	Division FTE	49	38	38
		% Of Enterprise	1.12%	0.63%	0.63%
		Division Budget	25,954	11,153	11,153
		% Of Enterprise	1.8%	0.68%	0.68%
	FY 2020–2021 (Actual)	Division FTE	42.81	38	38
		% Of Enterprise	1.03%	0.59%	0.59%
		Division Budget	16,575	n/a	n/a
		% Of Enterprise	1.58%	n/a	n/a

Figure 177: Source: KPMG

Administration

The Administration Division operates with a similar level of staff as compared to Placer, and San Luis Obispo Counties. It should be noted that benchmark comparisons for the Administration Division across other counties were generally unavailable as many counties, including Santa Cruz, Solano, Sonoma, Marin, and Tulare do not have a similar scope of services or do not provide program-level breakdowns.

		Budgets in '000	Santa Barbara	Average	Monterey	Placer	San Luis Obispo
Admin & Support	FY 2022–2023 (Recommended)	Division FTE	17	14	10	12	18
		% Of Enterprise	0.38%	0.41%	0.17%	0.43%	0.64%
		Division Budget	5,458	3,734	4,037	3,431	n/a
		% Of Enterprise	0.39%	0.27%	0.22%	0.31%	n/a
	FY 2021–2022 (Adopted)	Division FTE	16	13	11	14	n/a
		% Of Enterprise	0.37%	0.36%	0.2%	0.52%	n/a
		Division Budget	5,236	3,704	4,235	3,174	n/a
		% Of Enterprise	0.39%	0.24%	0.25%	0.22%	n/a
	FY 2020–2021 (Actual)	Division FTE	15.73	14	n/a	14	n/a
		% Of Enterprise	0.4%	0.53%	n/a	0.53%	n/a
		Division Budget	4,537	3,038	n/a	3,038	n/a
		% Of Enterprise	0.35%	0.21%	n/a	0.21%	n/a

Figure 18: Source: KPMG

Interview Schedule

This section provides detail on the meetings held with the Public Works Department during the review. Throughout the review period, the KPMG Team held almost 50 interviews with Department staff and providers to understand the organizational structure, roles and responsibilities, operations, and processes of the Department.

Meeting Name	KPMG Attendees	Client Attendees	Date
KPMG & Public Works – Data Request	Caleb Schafer, Lauren Coble, Olivia Rabbitte	Scott McGolpin, Julie Hagen	August 24, 2022
KPMG Review of Public Works: Interview with Shannon Barcelona	Caleb Schafer, Olivia Rabbitte	Shannon Barcelona	September 27, 2022
KPMG Review of Public Works: Interview with Aleksandar Jevremovic	Caleb Schafer, Olivia Rabbitte	Aleksandar Jevremovic	September 27, 2022
KPMG Review of Public Works: Interview with Walter Rubalcava	Caleb Schafer, Olivia Rabbitte	Walter Rubalcava	September 28, 2022
KPMG Review of Public Works: Interview with Chris Sneddon	Caleb Schafer, Olivia Rabbitte	Chris Sneddon	September 29, 2022
Public Works & KPMG Kick-Off	Caleb Schafer, Lauren Coble, Olivia Rabbitte, Caoimhe Thornton	Scott McGolpin, Julie Hagen, Heather Fletcher, Chris Sneddon, Walter Rubalcava, Aleksandar Jevremovic	September 30, 2022
Interview with Walter Rubalcava and KPMG	Caleb Schafer, Lauren Coble, Olivia Rabbitte	Walter Rubalcava	October 7, 2022
Interview with Scott McGolpin and KPMG	Caleb Schafer, Lauren Coble, Olivia Rabbitte	Scott McGolpin	October 10, 2022
Interview with Scott Aleksandar Jevremovic and KPMG	Caleb Schafer, Olivia Rabbitte	Aleksandar Jevremovic	October 10, 2022
KPMG Public Works Department Review: Interview with Matt Griffin	Caleb Schafer, Olivia Rabbitte	Matt Griffin	October 11, 2022
KPMG Public Works Department Review: Interview with Connie Adams	Caleb Schafer, Olivia Rabbitte	Connie Adams	October 11, 2022
KPMG Public Works Department Review: Interview with Tenell Matlovsky	Caleb Schafer, Olivia Rabbitte	Tenell Matlovsky	October 12, 2022

Meeting Name	KPMG Attendees	Client Attendees	Date
Follow-up Interview with Walter Rubalcava	Caleb Schafer, Lauren Coble, Olivia Rabbitte	Walter Rubalcava	October 12, 2022
Interview with Chris Sneddon and KPMG	Caleb Schafer, Lauren Coble, Olivia Rabbitte	Chris Sneddon	October 12, 2022
KPMG Public Works Department Review: Focus Group 5	Caleb Schafer, Olivia Rabbitte	Hansel Corsa, Karen Sullivan	October 12, 2022
KPMG Public Works Department Review: Interview with Alan Lemke	Caleb Schafer, Olivia Rabbitte	Alan Lemke	October 13, 2022
KPMG Public Works Department Review: Focus Group 7	Caleb Schafer, Olivia Rabbitte	Matthew Young, Andrew Raaf, Cathleen Garnand	October 19, 2022
KPMG Public Works Department Review: Focus Group 6	Caleb Schafer, Olivia Rabbitte	Floyd Holmes, Glenn Sweany	October 19, 2022
KPMG Public Works Department Review: Focus Group 2	Caleb Schafer, Olivia Rabbitte	Andrew O'Brien, Udy Loza, Richard Navarro	October 20, 2022
Interview with Julie Hagen and KPMG – Public Works Dept Review	Caleb Schafer, Olivia Rabbitte	Julie Hagen	October 21, 2022
KPMG Public Works Department Review: Focus Group 3	Caleb Schafer, Olivia Rabbitte	Robert Claborn, Dave Edens, Mario Gonzalez	October 24, 2022
KPMG Public Works Department Review: Focus Group 4	Caleb Schafer, Olivia Rabbitte	Mark Gonzales, Sean Schmidt, Vincent Torres	October 24, 2022
Interview with Scott McGolpin and KPMG – Public Works Dept Review	Caleb Schafer, Olivia Rabbitte, Lauren Coble	Scott McGolpin	October 25, 2022
KPMG Public Works Department Review: Focus Group 1	Caleb Schafer, Olivia Rabbitte	Kurt Klucker, Diana Estorga, Philip Gaston, Eric Pearson	October 26, 2022
KPMG Public Works Department Review: Interview with Shannon Barcelona	Caleb Schafer, Olivia Rabbitte	Shannon Barcelona	October 26, 2022
KPMG Public Works Department Review: Interview with Bill Ortega	Caleb Schafer, Olivia Rabbitte	Bill Ortega	October 27, 2022

Meeting Name	KPMG Attendees	Client Attendees	Date
KPMG Public Works Department Review: Interview with Marika Ruh	Caleb Schafer, Olivia Rabbitte	Marika Ruh	October 28, 2022
KPMG Public Works Department Review: Interview with Dalia Khan	Caleb Schafer, Olivia Rabbitte	Dalia Khan	October 28, 2022
Project Clean Water Follow-Up	Caleb Schafer, Olivia Rabbitte	Cathleen Garnand	October 28, 2022
KPMG Public Works Review: Interview with Lael Wageneck	Caleb Schafer, Olivia Rabbitte	Lael Wageneck	November 3, 2022
KPMG Public Works Review (Focus Group 9)	Caleb Schafer, Olivia Rabbitte	Kalani Durham and Seth Shank	November 4, 2022
KPMG Review of Public Works Department: Interview with Patrick Zuroske	Caleb Schafer, Olivia Rabbitte	Patrick Zuroske	November 4, 2022
KPMG Public Works Review: Interview with Bill Ortega	Caleb Schafer, Olivia Rabbitte	Bill Ortega	November 4, 2022
KPMG Public Work Review: Interview with Walter Rubalcava	Caleb Schafer, Olivia Rabbitte	Walter Rubalcava	November 4, 2022
KPMG Review of Public Works Department: Interview with Mark Friedlander (Alternate Transportation)	Caleb Schafer, Olivia Rabbitte	Mark Friedlander	November 7, 2022
KPMG Public Works Department Review: Interview with Larry Lowman	Caleb Schafer, Olivia Rabbitte	Larry Lowman	November 8, 2022
KPMG Review of Public Works Department: Interview with Seth	Caleb Schafer, Olivia Rabbitte	Seth Shank	November 9, 2022
KPMG Review of Public Works Department: Follow-Up with Bill Ortega	Caleb Schafer, Olivia Rabbitte	Bill Ortega	November 9, 2022
KPMG Public Works Review: Follow-Up with Chris Sneddon	Caleb Schafer, Olivia Rabbitte	Chris Sneddon	November 10, 2022
KPMG Public Works Review: Interview with Julie, Kimberly, and Marika	Caleb Schafer, Olivia Rabbitte, Lauren Coble	Julie Hagen, Marika Ruh, Chris Sneddon	November 14, 2022

Meeting Name	KPMG Attendees	Client Attendees	Date
KPMG Review of Public Health: Interview with Raul, Garrett, and Robert	Caleb Schafer, Olivia Rabbitte	Raul Yescas, Garrett Fanning, Robert Cooper	November 17, 2022
KPMG Review of Public Works Department: Interview with Aurora Zemjanis and Mark Bandurraga	Caleb Schafer, Olivia Rabbitte	Aurora Zemjanis, Mark Bandurraga	November 18, 2022
KPMG Follow-Up Meeting	Caleb Schafer, Olivia Rabbitte	Shannon Barcelona	November 21, 2022
KPMG Review Public Works Department: Interview with Samantha Francis	Caleb Schafer, Olivia Rabbitte	Samantha Francis	November 22, 2022
Flood Control Permitting Follow-Up	Caleb Schafer, Olivia Rabbitte	Aurora Zemjanis, Mark Bandurraga	November 22, 2022
KPMG Review of Public Works Follow-Up	Caleb Schafer, Olivia Rabbitte	Walter Rubalcava	December 6, 2022
KPMG Follow-Up Interview with Matt Young	Caleb Schafer, Olivia Rabbitte	Matthew Young	December 9, 2022
KPMG & Public Works Mid-Point Meeting	Caleb Schafer, Olivia Rabbitte, Lauren Coble, Caoimhe Thornton	Scott McGolpin, Walter Rubalcava, Julie Hagen, Chris Sneddon, Aleksandar Jevremovic	December 12, 2022
KPMG & Public Works Mid-Point Meeting (Water Resources)	Caleb Schafer, Olivia Rabbitte, Lauren Coble, Caoimhe Thornton	Scott McGolpin, Walter Rubalcava, Julie Hagen, Chris Sneddon, Aleksandar Jevremovic	December 21, 2022

Figure 19: Source: KPMG

Data Inventory

The below chart outlines the data received from the Department to complete the Departmental Review.

File Name	Description
Baron Ranch Public Trail – KPMG	Baron Ranch Public Trail – Challenges with Coordinating with Other Departments
CMM Cross Departmental Collaboration	CMM Cross-Departmental Collaboration with External Entities
Countywide Information Technology Governance – Home	Countywide IT Governance – Description, Mission, Vision, Goals
Executive Information Technology Council Charter	Executive Information Technology Council Charter Document Version Information
Laguna County Sanitation District Collaboration with Parks	Laguna County Sanitation District Collaboration with Parks/Community Services on Recycled Water at Waller Park
LCSD Cross Departmental Collaboration	Summaries of collaboration with other departments or agencies
PW and EITC structure 4 cross-departmental coordination	PW and ETIC structure 4 cross-departmental coordination
WR KMPG Cross Departmental Writeup 8.12.22	Public Works Department – Water Resources Division Cross-Departmental Collaboration
Department Time Allocation Breakdown	Department Time Allocation Breakdown
FY 2022-23 Departmental Org Charts (1)	FY 2022–2023 Department Org Chart
FY 2022-23 Departmental Org Charts	FY 2022–2023 Department Org Chart
Final Admin (2)	County of Santa Barbara Enterprise Risk Assessment Audit Plan: 2018–2019
Final Admin	County of Santa Barbara Enterprise Risk Assessment Audit Plan: 2018–2019
Final Flood (2)	County of Santa Barbara Enterprise Risk Assessment Audit Plan: 2018–2019
Final Flood	County of Santa Barbara Enterprise Risk Assessment Audit Plan: 2018–2019
Final RRWM (2)	County of Santa Barbara Enterprise Risk Assessment
Final RRWM	County of Santa Barbara Enterprise Risk Assessment
FinalSurveyor_2018riskAssessmentReport_Waj-ETMedits2022-08-22 (2)	Risk Assessment Report Audit Plan: 2018–2019
FinalSurveyor_2018riskAssessmentReport_Waj-ETMedits2022-08-22	Risk Assessment Report Audit Plan: 2018–2019
Risk Assessment – Roads v.5cs (002)	Public Works Risk Assessment Audit Plan Year: 2022–2023
Risk Assessment – Roads v.5cs (2)	Public Works Risk Assessment Audit Plan Year: 2022–2023
Admin Training record (2)	Admin Training Record
Admin Training record	Admin Training Record

File Name	Description
RRWM Training record (2)	RRWM Trainings
RRWM Training record	RRWM Trainings
Surveyor Training record (2)	Surveyor Training Record
Surveyor Training record	Surveyor Training Record
Transportation Training record (2)	Transportation Training Record
Transportation Training record	Transportation Training Record
Water Resources Training Record (2)	Water Resources Training Record
Water Resources Training Record	Water Resources Training Record
3 yr WC loss runs names and incidents removed	Three-Year WC Loss Runs Names and Incidents Removed
GL Loss Run for Shannon	GL Loss Run for Shannon
IIPP Inspection Checklist Form – Blank Template (2)	County of Santa Barbara Public Works IIPP Inspection Checklist
IIPP Inspection Checklist Form – Blank Template	County of Santa Barbara Public Works IIPP Inspection Checklist
Property Loss Run for Shannon	Property Loss Run for Shannon
Risk Mitigation list	Risk Mitigation List
Sample Job Analysis Flood Control	Sample Job Analysis Flood Control Main Job Functions, Physical Requirements
SB PW ESC	Santa Barbara County Public Works Executive Safety Committee Outline of Program
LCSD – PLANT FINAL O&M (020904)	Plant Operation and Maintenance Manual, Laguna County Sanitation District, Santa Barbara County
LCSD – 2019 SEWER COLLECTION SYSTEM MASTER PLAN_FINAL	Laguna County Sanitation District, Sewer Collection System Master Plan (February 2019)
LCSD – Cash Handling Manual – CashHandlingGuidelines_Final	Cash Handling Guidelines – LCSD
LCSD – Cash Handling Manual – Laguna San Procedures Final	Laguna Sanitation District, Revenue Processing Procedures
LCSD – Customer Service Surveys – Grand Jury Report	Laguna County Sanitation District Prudent Planning
LCSD – Final Habitat Conservation Plan_February2017	Final Habitat Conservation Plan Laguna County Sanitation District Facilities Construction, Operation, and Maintenance
LCSD – fiscal proforma – (confidential) – 2870 PROFORMA FY 23 24 rate review NFI zero as of 8.2.2022	Laguna County Sanitation District Financial Projections for Revenue Bonds
LCSD – Hazmat Business Plan – Laguna WWTP ARP-RMP Update Final – 12.17.21	Laguna County Sanitation District Accidental Release Prevention (ARP) and Risk Management Plan (MRP)
LCSD – Phase I Upgrade Final May 2015	Laguna County Sanitation District Please I Plant Upgrade Project Development Report

File Name	Description
LCSD – Reports – Annual 2021 SMR	Self-Monitoring Report Laguna County Sanitation District
LCSD – Reports – FY20-21 SSMP Audit Laguna-final	Laguna County Sanitation District Sewer System Management Plan Audit Report: 2020–2021
LCSD – Reports – HCP Annual Report_2021_010522	Laguna County Sanitation District Habitat Conservation Plan & Conservation Easement Management Plan Annual Report – 2021
LCSD – Reports – Industrial Storm Water Pollution Prevention Plan – Annual Report	Annual Report for Storm Water Discharges Associated with Industrial Activities – Laguna County Sanitation District
LCSD – Reports – Storm Water Pollution Prevention Plan – Recycled Water Distribution to Waller Park – Annual Report	Annual Report for Storm Water Discharges Associated with Linear Utility Project (LUP) Construction Activities – Laguna County Sanitation District
LCSD – Safety – Plant Perimeter Flood Berm and Wall and Safety Fence – FLDPRO – PLANS – AS-BUILTS	Laguna County Sanitation District Flood Wall and Berm
LCSD – Sewer System Management Plan (SSMP) Updated 2017 with appendix	County of Santa Barbara Minute Order SSMP – Third, Fourth, and Fifth Supervisorial Districts
LCSD – Sewer Utility Rate and Connection Charge Study	December 2019 Sewer Utility Rate and Connection Charge Study Laguna County Sanitation District
LCSD – Spill Plan – Industrial Storm Water Pollution Prevention Plan – Appendix A	LCSD Industrial Storm Water Pollution Prevention Plan Appendix
LCSD – Spill Plan – Industrial Storm Water Pollution Prevention Plan	Industrial Activities Stormwater Pollution Prevention Plan for Laguna County Sanitation District
LCSD – Spill Plan – Phase 1 Plant Upgrade	Water Pollution Control Pan for Laguna County Sanitation District Phase I Plant Upgrade Project
LCSD – Spill Plan – Reservoir Access Road Maintenance	Spill Prevention and Response Plan for Laguna County Sanitation District
LCSD – Spill Plan – Stockpile Removal	Spill Prevention and response Plan for Laguna County Sanitation District
LCSD – Spill Plan – Storm Water Pollution Prevention Plan – Recycled Water Distribution to Waller Park	Stormwater Pollution Prevention Plan for Linear Underground Project for County of Santa Barbara Recycled Water Distribution to Waller Park
LCSD – Wastewater Reclamation Plan Facilities and Financial Master Plan	Laguna County Sanitation District Wastewater Reclamation Plan Facilities and Financial Master Plan
LCSD Permits and Orders – updated	Ongoing Regulatory Orders and Permits for Laguna County Sanitation District
Basic Computer Troubleshooting (1)	Basic Computer Troubleshooting Guidelines and Steps
Build – Purchase Write up	Build – Purchase Workflow Write-up
PWIT KPMG Read Me for procedure documents	PWIT KPMG Read Me for procedure documents
Soft-Pak	Soft-Pak install
2017 SYVRTS TPR	Santa Ynez Valley Recycling and Transfer Station Transfer/Processing Report
2020 SCRTS RSI	County of Santa Barbara Department of Public Works Resource Recovery and Waste Management Division
2020.12.29 ReSource Center CUPA HMBP – CERS ID 10847560	California Environmental Reporting System (CERS)
2021.10.21 Final Tajiguas Landfill SPCC Plan	Spill Prevention, Control, and Countermeasure (SPCC) Plan Tajiguas Landfill, California

File Name	Description
2021.12.23 Tetra Tech Memo – SCRTS – SPCC Plan Not Req	Site Visit for South Coast Recycling and Transfer Station (SCRTS)
2021.12.27 Santa Ynez Valley Recycling and Transfer Station SPCC Plan	Spill Prevention, Control, and Countermeasure (SPCC) Plan Santa Ynez Valley Recycling and Transfer Station
2022.02.08 BCCL APCD Annual Report 2021	2021 Annual Report Ballard Canyon Closed Landfill Permit Exemption E-11566-03, FID 10301, SSID 10183
2022.02.17 ReSource Center MRF & ADF SPCC Plan	ReSource Center Tier 1 Qualified Facility SPCC Plan
2022.02.26 JTD for the TSL and RC – PART 1	Joint Technical Document for the Tajiguas Sanitary Landfill and Resource Center by County of Santa Barbara Public Works Department
2022.02.26 JTD for the TSL and RC – PART 2	Drainage Study Overview – Hydrology and Hydraulic Analysis Report by County of Santa Barbara Public Works Department
2022.02.26 JTD for the TSL and RC – PART 3	Phases 2 and 3 Partial Final Closure and Post-Closure Maintenance Plan and Phase 4 Preliminary Closure and Post-closure Maintenance Plan
2022.03.01 FCCL 2021 Annual Rpt- APCD PTO-9822-R7	2021 Annual Compliance Report Foxen Canyon Closed Landfill Facility Identification No. 03706
2022.03.01 Tajiguas 2021 Annual Compliance Report – APCD Permit P7R 09788-R4	2021 Annual Compliance Report – County of Santa Barbara – Tajiguas Landfill
2022.04.05 SCRTS CUPA HMBP Update – CERS ID 10211506	California Environmental Reporting System (CERS) Submittal Summary – SBCO – Public Works – SCRTS
2022.06.30 RRWMD FY21-22 Compliance Tracking Sheet	FY 2021–22 Compliance Tracking Sheet
2022.07.25 NCTS CUPA HMBP Update – CERS ID 10211518	California Environmental Reporting System (CERS) Business Owner Report – SBCO New Cuyama Transfer Station
2022.07.25 SYVRTS CUPA HMBP Update – CERS ID 10211533	California Environmental Reporting System (CERS) Business Owner Report – SBCO SY Valley recycling & Transfer
2022.08.02 TJ CUPA HMBP Update – CERS ID 10211536	California Environmental Reporting System (CERS) Business Owner Report – SBCO Tajiguas Landfill
45- 2022.07.13 Solid Waste Permits for COSB RRWMD	Summary of Solid Waste Facility Permits Resource Recovery and Waste Management Division – County of Santa Barbara
2021.11.17 Annual Report FY 2020-21 FINAL PROOF V1	Annual Report 2020/2021 Solid Waste Management Services – Santa Barbara County
CMM Franchise Procurement and Performance Metrics Summary	Solid Waste Collection Services Franchise Agreements
Copy of B-1 PROFRMA1930 FY 22-23 Rate Review v2 03-25-22 – AC Edits	Financial Projections for Revenue Bonds
FY 20-21 HHW Program Annual Report	Santa Barbara County household and Business Hazardous Waste Collection Programs
ReSource Center Operational Procedures – Amended Feb 2022	ReSource Center Operational Procedures
Resource Recovery & Laguna Sanitation Initiatives	KPMG Info from Resource Recovery and Waste Management Division
Resource Recovery summary info	Resource Recovery and Waste Management Division Overview
Transfer Station Cashiering Procedures Manual Working Doc June 2022	Transfer Station Cashiering Procedures Manual June 2022
A EAP Drill Agenda	Emergency Action Plan Drill for South County Administration Building

File Name	Description
Aa EAP EMERGECNY EVACUATION DOCUMENTS	Public Works South County Administration Building Emergency Action Plan (EAP)
Ab EAP Cover Sheet	County of Santa Barbara Emergency Action Plan for Santa Barbara County Administration
B Model – Index Appendix (2)	Santa Barbara County Administration Emergency Action Plan
C Model – Sections 1-7 (2)	Policies, Roles and Responsibilities, Procedures, Call to Evacuate, Education, Recordkeeping, Facility Specific Elements
D App I Cover (2)	Appendix I
E App I-A Emergency Procedures (2)	Appendix I Section A
Emergency Medical Plan phone list	Anapamu Street to Call For Help in an Emergency
F App I-B Cover (2)	Appendix I Section B
Fa App I-B Assembly AreaTally Sheet (3)	Assembly Area Tally
Fb App I-B Current Employee List	Public Works Department Administration Building Employees
Fc App I-B Emergency Action Fact Log	Emergency Action Fact Log
Fd App I-B Emergency Action Evaluation (2)	Emergency Action Evaluation
G App I-C Cover	Appendix I Section C
Ga PW Emergency Response Employee Record	Emergency Response Employee Record
Gb Transportation Accounting	Emergency Response Employee Record
Gb Transportation	Emergency Response Employee Record
Gc Julie Hagen	Emergency Response Employee Record
Gc Marika Ruh	Emergency Response Employee Record
Gc Connie Adams	Emergency Response Employee Record
Gc Lael Wageneck Emer Resp Rec	Emergency Response Employee Record
Gc Michelle Spraggins	Emergency Response Employee Record
H App I-D Cover (2)	Appendix I Section D
Ha PW staff EAP acknld	Emergency Action Plan Acknowledgment
I App I-E Cover (2)	Appendix I Section E
Ia App I-E Checklist For Responsibe Supervisors	Checklist for Responsible Supervisors Emergency Event

File Name	Description
Ib App I-E Checklist When An Earthquake Strikes (2)	When an Earthquake Strikes Checklist
Ic App I-E Checklist Bomb Threat Call (2)	Bomb Threat Call Checklist
Id App I-E Cheklist Handicapped Employee Emergency Evacuation	Handicapped Employee Emergency Evacuation Checklist
J App II Cover	Appendix II
K App II-A Cover	Appendix II Section A
Ka App II-A Emergency Action Plan Assignments	Emergency Action Plan Assignments for Santa Barbara public Works Engineering Building
L App II-B Cover	Appendix II Section B
La App II-B Emergency Telephone Numbers NC	PWD Santa County Administration Buildings Telephone Numbers
M App II-C Cover	Appendix II Section C
Ma App II-C First Aid & CPR Trained Responders	First Aid and CPR trained Responders
N App II-D Cover Floor Diagrams	Appendix II Section D
Na First Floor and Basement Layout	Fire Alarm Plan
Nb 2nd Floor Layout	Engineering Building
O App II-E Cover Emergency Escape Route & Assembly Area	Appendix II Section E
Oa Assembly Area Maps	Emergency Exit Route
Ob Assembly Area Locations	Primary Meeting Location
P App II-F Cover Facility Specific Elements	Appendix II Section F
Pa Emergency Evacuation Procedures and Flow Chart (2)	Emergency Evacuation Procedures for Santa Barbara County Administration
Pb Assembly Area Tally Sheet and employee listdoc	Public Works Department Assembly Area Tally
Pc Admin Employee List	Employee List
Pe Fire Incident Procedures	Fire Incident Procedures
Pf Hazardous Materials Emergencies (1)	Hazardous Materials Emergencies
Q App II-F Assembly Area Tally	Appendix II Section G
Qa Assembly Area Tallydoc	Assembly Area Tally – County of Santa Barbara
C-Hazardous Spill Response Procedures Flowchart	Hazardous Spill Response Procedures

File Name	Description
D-LEPC I Release Reporting Fact Sheet	Hazardous Materials Release Reporting Requirements
2020 Flood Control Project Clean Water	Employer Procedures for Heat Illness Prevention
2020 Flood Control Victoria Office	Employer Procedures for Heat Illness Prevention 2020
Heat Illness Prevention Plan 2018 – Tajiguas landfill	Employer Procedures for Heat Illness Prevention 2018
A-INTRODUCTION NEW EMPLOYEE SAFETY ORIENTATION	New Employee Safety Orientation
B-NEW EMPLOYEE SAFETY ORIENTATION AGENDA	New Employee Safety Orientation – County of Santa Barbara
C-HANDOUT COVER SHEET	Handouts
D-HANDOUT INJURY & ILLNESS PREVENTION PROGRAM	Injury and Illness Prevention Program
E-HANDOUT BLOODBORNE PATHOGENS	Bloodborne Pathogens Handout
F-HANDOUT ERGONMOMICS	Ergonomics
G-TEMPORARY TRAFFIC CONTROL FLAGGER TRAINING	Temporary Traffic Control Flagger Training
Acceptance Form for Hepatitis B Vaccine	Acceptance Form for Hepatitis B Vaccine
Declination form for Hepatitis B Vaccine	Declination Form for Hepatitis B Vaccine
Hep A & B Information Sheet	Hepatitis A In-Short, Hepatitis B In-Short
Hep A & B Information Sheet	Hepatitis A In-Short, Hepatitis B In-Short
Hepatitis A, B, and C Learn the Differences	Hepatitis A, B, and C: Learn the Differences
Employee – New Employee Safety Orientation	New Employee Safety Orientation – County of Santa Barbara
IIPP – ACKNOWLEDGEMENT OF RECEIPT	Acknowledgment of Receipt and Review of Injury and Illness Prevention Program
IIPP – ACKNOWLEDGEMENT OF RECEIPT	Acknowledgment of Receipt and Review of Injury and Illness Prevention Program
IIPP	Injury and Illness Prevention Program
Instructor – New Employee Safety Orientation	Handouts – Injury and Illness Prevention Program – County of Santa Barbara
PW COVID-19 Prevention Plan (2021.07.14 revision)	Public Works COVID-19-19 Prevention Plan IIPP Addendum
6_2022 PWD-Policies and Procedures	County of Santa Barbara PWD Policy and Procedure Handbook
PW Agency Fund Audit Final Report 10-29-21	Internal Controls Review of the Public Works Department's Agency Funds
KPMGSystemData	KPMG System Data

File Name	Description
KPMG_powerbi_smartsheet	KPMG Microsoft Power BI and Smartsheet
Orcutt Utility Map	Utility Maps
Orcutt Utility Maps	Orcutt Utility Maps
Vision 5.0 – Review and Update	Vision 5.0 – Review and Update
Vision 5.1_Final	Final Vision 5.1
Vision5_1_PowerBI_01	Vision 5.1
Vision5_1_PowerBI_02	Vision 5.1
County_Surveyor_LAFCO_GIS_2014_FlowChart	County Surveyors Role in the Boundary Change and Update Process
Subdivision Process Flowchart 2018	SB County Subdivision Process
SurveyorsOfficeAsDeputyRecorderGovernmentCode_CARE_statement_of_Commitment	County Clerk, Recorder and Assessor
RS-CR_ProcessingTimeQueryForIReviewsALL_2019-07-01thru2022-06-30_sorted	Processing Time Query for Reviews
T-P_ProcessingTimeQueryForIReviewsALL_2019-07-01thru2022-06-30_sorted	Processing Time Query for Reviews
VM-LA-CC_ProcessingTimeQueryForIReviewsALL_2019-07-01thru2022-06-30_sorted	Processing Time Query for Reviews
Biweekly Staffing Report – PP 2019-14 – Surveyor	Biweekly Staffing – County of Santa Barbara 2019
Biweekly Staffing Report – PP 2020-14 – Surveyor	Biweekly Staffing – County of Santa Barbara 2020
Biweekly Staffing Report – PP 2021-14 – Surveyor	Biweekly Staffing – County of Santa Barbara 2021
Biweekly Staffing Report – PP 2022-17 – Surveyor	Biweekly Staffing – County of Santa Barbara 2022
KPMG Additional Data Request (Item 29)- PW Surveyor – 2022-09-12	PWD Additional Data Request – For Discussion
KPMG Additional Data Request (Item 32)- PW Surveyor – 2022-09-12	PWD Additional Data Request – For Discussion
KPMG Initial Data Request – PW Surveyor – Due by 2022-08-12 (1)	PWD Initial Data Request – For Discussion
KPMG Initial Data Request – PW Surveyor – Due by 2022-08-12	PWD Initial Data Request – For Discussion
303(d) Impaired waterbodies list	Appendix A: Recommended 2020–2022 303(d) List
AP 22-23 creek walk schedule-priority	2022/23 Annual Plan Creek Walk Schedule
Mitigation Tables	Audit Mitigation Table
PCW 303(d)MonitoringPlan	Urban Storm Water Monitoring Plan 2015–2018

File Name	Description
PCW Inspection form TMDL	Food Service Establishment – Inspection Form
PCW summary	Project Clean Water Summary
PCW TMDL plan	TMDL Wasteload Allocation Attainment Plan for the Santa Maria River Watershed
Permit Reporting 2022	Permit Reporting 2022
Permit Spreadsheet	Permit Spreadsheet
ARPB	Basin Photo
CSDB 1	Basin Photo
CSDB 2	Basin Photo
CSDB 3	Basin Photo
CSDB 4	Basin Photo
CSDB 5	Basin Photo
CSDB 6	Basin Photo
CSDB 7	Basin Photo
ETCB 1	Basin Photo
ETCB 2	Basin Photo
ETCB 2022	Basin Photo
ETCB 3	Basin Photo
FRKB 2022	Basin Photo
GODB 2022	Basin Photo
HOG 2022	Basin Photo
LWTB 2022	Basin Photo
MISB	Basin Photo
MONT 1	Basin Photo
MONT 2	Basin Photo
MONT 3	Basin Photo

File Name	Description
MONT 4	Basin Photo
MONT 5	Basin Photo
RATB 1	Basin Photo
RATB 2	Basin Photo
RATB 3	Basin Photo
ROMO 1	Basin Photo
ROMO 2	Basin Photo
SADB	Basin Photo
SMDB 2022	Basin Photo
SRDB 1	Basin Photo
SRDB 2	Basin Photo
SRDB 3	Basin Photo
SYDB	Basin Photo
TCLW 1	Basin Photo
TCLW 2	Basin Photo
TCLW 3	Basin Photo
TCLW 4	Basin Photo
TCWS 2022	Basin Photo
Thumbs	Basin Photo
UWTB 1	Basin Photo
UWTB 2	Basin Photo
annual plan 21-22_xls	Annual Plan 21–22 Mail
AP Schedule	AP Schedule Mail
Debris Basin upcoming maintenance	Debris Basin Upcoming Maintenance Mail
exempt channels that want to work in this year	Exempt Channels that want to Work in this Year Mail

File Name	Description
RE Basin's maintenance schedule	Basin's Maintenance Schedule Mail
RE_ Annual Plan exempt sites	Annual Plan Exempt Sites Mail
RE_ AP Time estimates	AP Time Estimates Mail
AP 22-23 creek walk schedule-priority	2022/23 Annual Plan Creek Walk Schedule
County Basins 2020	Basins of Santa Barbara County 2020
County Basins 2021-draft	Basins of Santa Barbara County 2021
Debris Basin – Inspection Tracking	Debris Basin – Inspection Tracking
FC Engr Attachment 1.Flood Control CIP Project Detail Sheets 22-23	Arroyo Paredon Creek Debris Basin Modification
FC Engr Attachment 10.CA Santa Barbara County 060331 CRS 2020 Cycle Visit Letter (002)	Insurance Services Office, Santa Barbara County
FC Engr Attachment 11.Hydrology Data Processing Procedures Flow Diagram	Hydrology Data Processing Procedures Flow Diagram
FC Engr Attachment 12.Hydrology Gauge Site Maintenance Procedures	Gauge Annual Maintenance Field Checklist
FC Engr Attachment 13.Hydrology Gauge Site Maintenance Progress Summary (2020)	Annual Gauge Maintenance 2020 (Flood Control District)
FC Engr Attachment 14.Hydrology Gauge Summary & Maintenance Form (Sample 1 of 111)	Field Station Summary and Maintenance Form
FC Engr Attachment 2.CIP 3 Year Cost Projection	Three-Year Cost Projection
FC Engr Attachment 3.CIP 3 year schedule	Santa Barbara County Flood Control District 5-Year Capital Improvement Plan
FC Engr Attachment 4.Development Review Section_Strategic Project Tracking	Flood Control District – Development Review Section
FC Engr Attachment 5.SMDB_DSOD_Insp2020	Inspection of Dam and Reservoir in Certified Status
FC Engr Attachment 6.SMDB_DSOD_Insp2019	Inspection of Dam and Reservoir in Certified Status
FC Engr Attachment 7.SMR3_Levee System_(BC_Reach)_PI_Report_No1_M_20150819	Santa Maria River 3 Levee System (Bradley Canyon Reach)
FC Engr Attachment 8.semi – annual South Levee improvement reach 1,2,3 inspection 11-2020-05-2021	Appendix A – Sample Reporting Forms and Inspection Checklist
FC Engr Attachment 9.Santa Barbara County CA 2022 Recert Packet	CRS Community Certifications
FC Enve Attachment 1 – Routine Maintenance EIR	Updated Routine Maintenance Program, November 2001
FC Enve Attachment 10. Permit Renewal Spreadsheet	Permit Renewal Spreadsheet
FC Enve Attachment 11. Airport CIP Status Report Example	Santa Maria Airport Ditch Reconstruction Project
FC Enve Attachment 2. Post Project Report	Maintenance and Revegetation Report 2021/22 Maintenance Season

File Name	Description
FC Enve Attachment 3. Project Task Spreadsheet	Project Task Spreadsheet
FC Enve Attachment 4. Mitigation Tables	Audit and Update – Mitigation Table
FC Enve Attachment 5. LCMB Annual Restoration Report	Los Carneros Mitigation Bank Progress Report
FC Enve Attachment 6. Creek Priority List	2022/2023 Annual Plan Creek Walk Schedule
FC Enve Attachment 7. South Coast Creek Schedule	Annual Plan South Coast
FC Enve Attachment 8. Annual Plan Intro and Flow Chart	Annual Routine Maintenance Plan 2022–23
FC Enve Attachment 9. Permit Reporting Spreadsheet	Permit Reporting Spreadsheet
PCW Attachment 1. Orcutt PEAIP	Stormwater Program Effectiveness Assessment and Improvement Plan
PCW Attachment 2. Santa Ynez PEAIP	Stormwater Program Effectiveness Assessment and Improvement Plan
PCW Attachment 3. Santa Barbara South County PEAIP	Stormwater Program Effectiveness Assessment and Improvement Plan
Public Works Department – Data Request	Initial Data Request – For Discussion
WR KPMG Writeup July 2022	Public Works Department – Water Resources Division
WR KPMG Writeup DRAFT 7.25.22	Public Works Department – Water Resources Division
2021 Emergency Response – Transportation Division Plan	Emergency Response Division Operation Plan
Daily Extra Work Report	Daily Extra Work Report
Daily Inspection Report Contractor	Daily Inspection Report Contractor
Daily Inspection Report County	Daily Inspection Report County
Emergency Task Order	Emergency Work Task Order
Memo-Outsourced Contractor Performance_Emergency Contracts	Outsourced Contractor Performance and Productivity – Emergency Contracts
Truck Tickets (Referenced in Invoice)	Single Payment Claim
Maint Ops Org Chart 7-11-22	Road Maintenance Operations
20210821_Floradale Schedule_PDG Comments	Floradale Ave, Santa Barbara County – CPM Update
20210821_R1_FLORADALE CPM-AAN	Narrative Report
ATT A – Signed Contract 820773	Contract for Constellation Road Pavement Rehabilitation
ATTACH A – Fully Executed Contract EMDr. Bridge 864048	Contract for East Mountain Dr. Bridge at San Ysidro Creek

File Name	Description
Attach A – Contract No. 862339	Contract for Foothill Road Low Water Crossing Replacement
Attachment A – 820330 Contract Beador EXECUTED	Contract for Fernald Point Lane Bridge Replacement
Attachment A 862414 Cntctr Executed Contract_	Contract for Storm Damage Repairs
Contract Performance Manage Example-CON	Contract Performance Tracking
Docketed Board Letter – BC20262 NV5 West	Foothill Road Low Water Crossing Replacement over the Curyama River
Floradale 20210621_CPM_WBS-PDG	Floradale Ave, Santa Barbara County – CPM Update
Floradale CPM Update 001 – June 2021 WBS Rev 01-PDG review_AAN	Floradale Ave, Santa Barbara County – CPM Update
Floradale CPM Update 002 – July 2021 WBS_RR	Floradale Ave, Santa Barbara County – CPM Update
Floradale CPM Update 004 – Sept 2021 WBS PDG comments	Floradale Ave, Santa Barbara County – CPM Update
Floradale Submittal 17.5 – Baseline Schedule_AUTH AS NOTED	Floradale Ave, Santa Barbara County – Baseline R4
Full Executed Floradale Signed Contract_	Contract for Floradale Ave Bridge No. 51C-0370
IDIQ BDL_DOCKETED_BC19361 MNS	Construction Engineering Services Contract
Performance Measures_Transportation_FY22_23 updated	Transportation Performance Measures
862382 RFP	Requests for Proposals for Professional Environmental Services
Memo-Outsourced Contractor Performance_Professional Services	Outsourced Contractor Performance and Productivity – Professional Services
Pavement Engineering Inc – 34 – CN1887 05.27.22 service contract annual roadway inspection rpt -on-call 100,000.00 REVISED by Ri	Order CN1887
Rincon Invoice #24332_July2020	Preliminary Engineering – Environmental Services
Rincon REV Proposal – Hollister Ave-State St Improvements Project 2020-01-07	Proposal Submittal for Hollister Avenue – State Street improvements Project
SR All Transpo 3-yrs	Transportation Requests
SR All Transpo 3-yrs	All transportation requests
SR summary 7-1-19 – 6-30-22	SR summary
18-19 810550	Budget Financial Status
19-20 810551	Budget Financial Status
20-21 810552	Budget Financial Status
21-22 810553	Budget Financial Status (Real-Time)

File Name	Description
22-23 810554	Budget Financial Status (Real-Time)
Q1) Roads Funds 3Yr Financial Status	Financial Status
Q2) Roads Funds 3Yr Revenue Status	Revenue Status
CPM Baseline example	Road Repairs for Thomas Fire and Debris Flow Disaster – CPM Baseline Schedule
Fehr&Peers Proposal See pages 23 and 24	Proposal for Santa Barbara County Active Transportation Plan
2019 to 2020 Road Maintenance Annual Plan (PDF)	RoadMap County of Santa Barbara 2019–2020
2020 to 2021 Road Maintenance Annual Plan (PDF)	RoadMap County of Santa Barbara 2020–2021
2021 to 2022 Road Maintenance Annual Plan (PDF)	RoadMap County of Santa Barbara 2021–2022
2022 to 2023 Road Maintenance Annual Plan (PDF)	RoadMap County of Santa Barbara 2022–2023
22-23 RDMAP – BOS approved 5.31.22	RoadMap County of Santa Barbara 2022–2023
Docketed BL – RMRA List of Projects	State Road Maintenance and Rehabilitation Account List of Projects
DOCKETED_	Measure A Program of Projects for 2022–2023
final_2021_ftip	2021 Federal Transportation Improvement Program for Santa Barbara County
SBCO FY 2022-23 through FY 2026-27 Capital Improvement Program	Attachment 1 – FY23–FY27 Capital Improvement Program
Vision 5.1 Transportation strategic plan 5-24-22	Transportation Strategic Plan
vision_5pointzero_onepage_FINAL	Vision 5.0 Public Works Renew 22 Implementation Plan
2021-08-12	Bridge Inspection Report Routine Inspection
20210825_FINAL SUBMITTED	2021–2026 Highway Bridge Program
2022-1-26 Bridge Backlog	2022-26 Bridge Backlog
51C-0200	Bridge Inspection Report Routine Inspection
600703_Plan Set	2020–21 Bridge Preventive Maintenance Project
BPMP Master List 2022	BPMP Master List
MEMO BPMP 2022	Santa Barbara County Bridge Preventive Maintenance Program
SBCo. 2021 PMS Update Report_Final	2021 Annual PMS Update Final Report
PEI 2021 Inspection & PMS Final Report	2021 Annual PMS Update Final Report

File Name	Description
PEI 2021 Inspection Contract CN24552	Purchasing Detail for Record CN24552
PEI 2021 Inspection Final Invoice	Invoice for Pavement Engineering Inc.
PEI 2021 Professional Services Fee Schedule	PEI Professional Fee Schedule
PEI 2021 Proposal MP21-138	2021 Annual PMS Update – Yearly Streets and Central Maintenance Area
PEI 2021 SBCo. Yearly Road Segments	List of Yearly Reviewed Roads
PEI 2021 Section Description Inventory_Yearly_030921	Section Description Inventory
PEI 21-22 Contract CN24552 – signed	County of Santa Barbara Contract
PEI 21-22 Req and Proposal	Purchasing Requisition
StreetSaver snapshot 06.30.2019	County of Santa Barbara Street Saver Snapshot
StreetSaver snapshot 06.30.2020	County of Santa Barbara Street Saver Snapshot
StreetSaver snapshot 06.30.2021	County of Santa Barbara Street Saver Snapshot
StreetSaver snapshot 06.30.2022	County of Santa Barbara Street Saver Snapshot
2120_0017	Report – Financial Status
820739S – South County Rehab Schedule	Smartsheet 820739S
862032 Floridale BRLSDZ(060) Working	Invoice
862032_payment package est 17	Progress Payment Voucher
Floradale Cash Flow thru 6.30.2022	Floradale Bridge Cash Flow
Floradale CEM-2601	Floradale Construction progress Chart
Floradale CPM Update 015 – August 2022 WBS_AAN	Floradale Ave, CPM Update August 2022
Foothill Cash Flow thru 6.30.2022	Foothill Bridge Cash Flow
Fund 0016 0017 Financial Status	Financial Status
Memo-Project Tracking	Project Tracking
Q1) 0016 0017 Financial Status by Project	Financial Status
DWR blank paper sample	Daily Work Report
DWR Daily 3-yrs	Daily Work Report for 3 years

File Name	Description
DWR summary	Road Maintenance Operations Daily Report
DWR Time 3-yrs	Daily Work Report for 3 years
County of Santa Barbara Weekly Events List_2022-08-22	Event Lists
EMPLOYEE PERFORMANCE REPORT _SAMPLE NAME REDACTED	Employee Performance Report
Memo-Employee Productivity and Performance	Employee Performance and Productivity
Permits tracker	Permit Tracker
Sample Work Plan	Work Plan 2019
Transportation Division – Permit & 86onstruction Audit Doc	Road Encroachment Permits and Construction
21-22 820770 DWR school zones	School Zones
21-22 820770	Budget Financial Status (Real-Time)
List of Schools	List of Schools
Funding 1 pagers – KPMG (2)	Measure A Sales Tax – Distribution Formula
In House work vs consultants and contracts (1)	In Housework, Consulting and Contracting
Public Works Department – Data Request Roads 8-23-22	PWD – Transportation Division Data Request
Q4-5) Transportation Project Prioritization_2022_Simple_June Edit	Transportation Project Prioritization
TransServiceRequests 7.1.19-6.30.22	All transportation requests
Public Works Data Request Tracker September 2022	Data Requests for PWD

Figure 20: Source: KPMG

Operating Model Maturity Scale

The figure below describes a continuum of maturity related to optimal service delivery across six areas of analysis. The purple boxes indicate the Department's capabilities at the time of the review, and the gold boxes illustrate the level of maturity that KPMG believe is attainable through the recommendations in this report.

Department-wide	Limited data integration, process automation, and automated communication flow	1	Limited data integration across the various systems utilized. This results in manual data entry, significant paper process as well as limited customer facing capabilities to submit permits, make online payments, etc.	3	Validating technology needs and developing a data modernization plan will guide technological advancement by identifying the actions, resources, and funding that may be required for future implementation	5	Increased technological capabilities
Transportation, Roads, and Facility Management	Lack of robust tracking of staff service levels	1	2	The Division does not track service levels and traffic service by category to set response performance metrics to develop staff utilization targets that aid	The future state will promote a more data-driven approach to staff utilization and productivity that will also allow for optimal resource allocation, deployment, and task assignment.	5	Enhanced performance management
Surveyor	Limited staff utilization targets and performance indicators	1	Limited utilization targets to assess staff performance and limited performance measures related to customer satisfaction, finance, and internal process	3	4	Formal utilization targets for review staff and robust performance measures to provide a holistic view of Department performance	Robust
Water Resources	Lack of clarity on inspections processes for water infrastructure, limited robust performance measures	1	Limited clarity among staff on roles and responsibilities for staff as it relates to inspections for water infrastructure and lack of robust operational performance metrics	3	4	Formally delineated roles and responsibilities supported by a risk assessment framework for county water infrastructure and robust performance measures	Clarified and Robust

Figure 21: Source: KPMG

Operating Model Framework

This section describes the operating model framework that was developed to articulate how a function should be designed, structured, and operated to improve operational efficiency, effectiveness, and service delivery. It consists of six interacting layers that need to be considered in conjunction with each other to determine how to optimally deliver services to the public

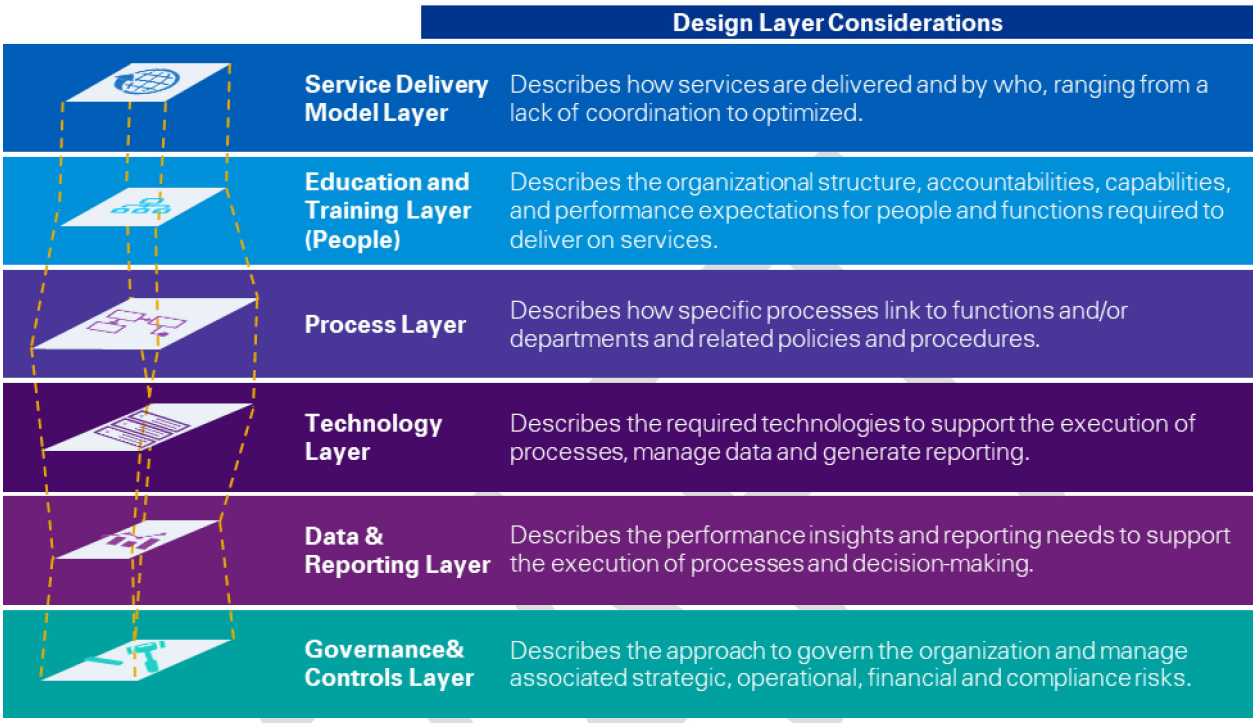


Figure 22: Source: KPMG

Prioritized Timeline

The following report consists of 14 recommendations between the three divisions within the Public Works Department. Proposed timing and prioritization for each recommendation is depicted below.

			High-level Timeline											
			Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12
Department-wide	1.1	Reestablish quarterly site inspections to enhance control performance and enable more proactive management of safety, accessibility and risk Department-wide.			■	■	■	■						
	1.2	Leverage technology to streamline project progress tracking, track alignment to strategic goals and enhance the flow of information across the Department.				■	■							
	1.3	Assess department-wide technology needs and develop a technology modernization plan to enhance process automation, reduce paper process, and enhance communication.			■	■	■	■	■	■				
Transportation, Roads, and Facility Management	2.1	Enhance processes to track available data related to road usage service requests, risk management, staffing, and pavement quality to inform maintenance prioritization.		■	■	■	■							
	2.2	Establish an internal prioritization model to support the implementation of the Active Transportation Plan and better leverage available funding sources.				■	■							
	2.3	Enhance collaboration with SBCAG and conduct an assessment of current Measure A distribution formulas to better align funding with community service area need.	■	■	■	■	■	■	■					
	2.4	Utilize available activity data to develop key performance indicators and utilization targets for maintenance teams to allow for enhanced data-driven decision-making surrounding resource allocation and task assignment.			■	■	■							

	2.5	Conduct a cost-benefit analysis and skills gap analysis to evaluate the effectiveness of the Division's approach to recruiting outside consultants	
Surveyor	3.1	Conduct an activity-based workload analysis and establish additional performance measures to inform decision-making on staffing mix, resource allocation, and task assignment.	
Water Resources	4.1	Consider implementing an asset management database for County-managed flood control infrastructure to improve risk visibility.	
	4.2	Identify a core set of additional performance metrics to enhance visibility of performance and progress toward operational goals.	
	4.3	Expand cross-training efforts between Water Resources and Transportation Maintenance Teams across locations to enhance skill sets, increase resiliency, and assist with resource challenges	
	4.4	Customize Accela workflows to help ensure that workflows consistently align to staff activities allowing the Division to enhance the tracking of case volumes, cycle times, and staff productivity	
	4.5	Expand cross-departmental outreach on Water Agency program offerings and increase cross-departmental collaboration in identifying key grant funding opportunities	

Figure 23: Source: KPMG

Contact Us

William Zizic
Partner
+1 312-259-2869
wzizic@kpmg.com

Alexander Rothman
Director
+1 310 897-5337
alexanderrothman@kpmg.com

www.kpmg.com