

CEO DEPARTMENT RESPONSE TO KPMG REVIEW AND IMPLEMENTATION TIMEFRAME

#	Recommendation	Department Response	Fiscal/Challenges/ Opportunities	Implementation Timeframe
Enterprise Enablement Recommendations				
1.1	Adopt a structured countywide strategy management process – including establish countywide strategic priorities; develop a rolling process for strategic planning; aligning the strategic plan; test and adapt the strategic plan.	<p>Agree with recommendation. The CEO’s office will work with directors to develop long term outcomes/targets and strategies to meet them; bring to BOS for approval and policy direction.</p> <p>Board of Supervisors will select the goals and indicators. Pending Board approval of concept, CEO’s office will create a framework for the Board’s consideration, in particular, a select number of strategic initiatives with community indicators and measures developed with departments.</p>	<p>This can be done largely through existing staff resources; data may be difficult to obtain from department systems.</p> <p>Provides an opportunity for better focus, alignment and progress on longer term targets.</p>	<p>By fall 2020, gather and work with departments on data to develop indicators/targets, and present to the Board for discussion.</p> <p>By spring 2021, adopt new goals and targets.</p> <p>By 2025, the complete cycle of developing, monitoring</p>
1.2	Establish a structured countywide performance measurement approach – including countywide target outcomes and measures of shared outcomes across departments; structured process to evaluate progress; rewards for incremental progress.	<p>Agree with recommendation. Once Board established outcomes are defined (#1.1), a limited number of critical strategic performance measures will be created for each outcome.</p> <p>Measuring against long term strategic goals will be more meaningful when there are clear, long term goals. Internal-facing, Countywide goals were already given to every department regarding Renew ’22 improvements.</p>	<p>Can be done by staff except that outside expertise may be needed if information is not readily accessible through existing systems.</p>	<p>By spring 2021, in conjunction with #1.1, CEO’s office will develop performance measures with longer term goals and targets.</p> <p>By spring 2021, new measures integrated into budget document.</p> <p>By summer 2021, departments will maintain and update Cascade software with new goals and measures.</p> <p>Ongoing: CEO’s office reviews current performance measures quarterly with departments.</p>
2.1	Develop enhanced budget monitoring capabilities-enhanced budget	<p>Agree with this concept, however, without a robust budget system, this may require more analysts. FIN is an accounting system that is used for budgeting,</p>	<p>In the short term there no additional costs associated with this recommendation, however</p>	<p>Will be evaluated for future implementation.</p>

	<p>management process to better track revenue and expenditure trends on a monthly basis; consider compiling a monthly financial dashboard of department revenues and expenditures to track performance against target and enable proactive monitoring.</p>	<p>and has limits on performing the suggested improvement. Informal monthly reviews are currently conducted and questions raised with departments. A monthly dashboard is not achievable at this time with current level of staffing and systems.</p> <p>The CEO's office meets with departments on a quarterly basis to discuss fiscal performance and year-end projections, and prepares a projection report for the Board of Supervisors which identifies individual department performance. The CEO's Office is continuing to hold departments accountable for their budget projections throughout the year to ensure that the County's resources are managed responsibly and in accordance with Board priorities and policies.</p> <p>The CEO's office will measure and track the reliability of departmental quarterly projections by comparing these estimates with actual year-end results.</p>	<p>the department will evaluate training requirements and staffing levels needed to fully address this recommendation.</p> <p>Ultimately, the implementation of a fully integrated budget development system will require a larger investment of resources.</p>	<p>Underway regarding training departments so data needed for analysis can be easily extracted; done during budget kick-off, in the budget instructions manual, during annual budget and systems trainings, as well as through budget review meetings with departments; implementation of a fully integrated budget development system will be a high priority as the County moves forward to replace our legacy financial and human resources systems</p>
<p>2.2</p>	<p>Establish forecasting and sensitivity analysis capabilities at the department level - departments and fiscal analysts coordinate structured budget scenario working sessions to discuss the scenarios and allow the analysts to make valid extrapolations to integrate into the macro County forecast.</p>	<p>Agree with recommendation. Concept has been operational for some time at the countywide level, but not necessarily at the department level, and will be enhanced moving forward.</p> <p>The Budget & Research team will continue to conduct horizon scanning activities to enhance understanding of the legislative and political landscape, economic indicators, relevant current events, and specific issues that impact County departments.</p> <p>The Budget & Research team will make the five-year forecast more robust by enhancing training</p>	<p>There are no costs associated with implementing these recommendations.</p>	<p>By spring 2020, conduct horizon scanning activities.</p> <p>By fall 2020, in preparation of the next forecast, enhance training opportunities for department for improved forecasting.</p>

		opportunities for team members as well as fiscal staff in County departments, though use of educational materials, best practices research, and training in statistical methods.		
2.3	<p>Develop criteria to assess and prioritize budget expansion requests - including linking criteria to progress against performance measures, population impacted, outcomes expected, service level impact, and alignment to Renew '22 and the County's strategic priorities.</p> <p>For approved expansions, require the departments to provide data on a program's effectiveness on scheduled cycles (i.e., quarterly) and tie the budget to performance and efficiency.</p>	<p>Agree with recommendation. The CEO's office developed an expansion request form for the FY 2019-20 budget development cycle that asked departments to provide the data in support of their requests, as well as related performance measures and Renew '22 initiatives.</p> <p>The agenda for quarterly fiscal and operational review meetings between the CEO's office staff and department staff includes a status update on any expansions granted during the budget process. We will continue to require this information moving forward.</p>	There are no costs associated with implementing these recommendations.	By winter 2020 (for fiscal year 2020-21), update the department expansion request form to place further emphasis on data requirements and alignment with County mission, vision, and values, as well as the County's transformative behaviors.
3.1	Establish a coordination structure between ACEOs and their Functional Group Department Directors – including monthly “all hands” meetings within the functional group; Define/ identify what constitutes a cross departmental strategic initiative; Involve all relevant departments in addressing operational issues that are outside the scope/control of a specific department.	<p>Agree in concept but scheduling “all hands meetings” for functional groups will be considered at a future date; instead, “all hands meetings” regarding strategic initiatives will occur.</p> <p>Efforts have been underway to establish a clear roles for cross-department initiatives and to address issues that arise.</p>	There are no anticipated fiscal or staffing impacts for this item	By summer 2020, clarify what constitutes cross-department strategic initiative and formalize process for department involvement in operational issues outside specific scope/control.

3.2	Embed analysts in coordination structure at the functional group level with ACEOs and Departments.	Agree in concept that analysts and ACEOs need to increase coordination and communication regarding functional groups. Since functional group meetings will not occur for each group, analysts will be embedded in a structured way in strategic initiative level meetings, attend department management meetings with clear expectations and purposes defined.	There are no anticipated fiscal or staffing impacts for this item.	Underway.
4.1	Establish a structured assessment and prioritization process for strategic initiatives – including Intake Process; Assessment and prioritization criteria; strategic Initiative Coordination.	<p>Agree with recommendation. The CEO’s office agrees that a formalized process should be established for the triage and potential intake of projects.</p> <p>KPMG recommended a structured process based on “must do”, “should do” and “could do “or “won’t do” as a mechanism to triage projects. A structured triage and clear referral process will be developed and shared with departments and ultimately standardized organizationally in order to ensure appropriate resources are dedicated to priority projects and issues.</p>	There are no anticipated fiscal or staffing impacts for this item.	By summer 2020, develop a formalized process and communicate to departments.
4.2	Embed strategic initiatives within the County and invest in continuous improvement efforts.	<p>Agree with recommendation. Implementation is underway through Renew ’22 and the PEAK training program for a change management program. The first cadre of PEAK training participants occurred at the end of 2019; more participants will be trained in conjunction with the timing of those departments’ KPMG reports.</p> <p>A “transformation task force” (a cross section of employees from each department) is meeting to also develop easy</p>	The initial PEAK training was approximately \$40,000; a “train the trainer” model was employed. Additional consultant assistance will likely be utilized and is covered in the Renew 22 budget allocation.	Underway.

		to imbed the principles of Renew 22 and change management into the organization.		
5.1	Renew efforts to implement the Santa Barbara County Strategic Communications Plan - such as performance measures, department Public Information Team (PIT) and master editorial calendar.	Agree with recommendation. The Strategic Communication Plan contains seven objectives. While a couple of objectives have been met, unexpected emergencies and controversial issues have taken precedent.	There are no anticipated fiscal or staffing impacts for this item. Reference 5.2 for efforts beyond specific goals in 5.1 and full implementation of the strategic communications plan.	By fall 2020, implement actions determined feasible and not yet achieved.
5.2	Delineate communication roles, cadence, and channels - consider delineating the PIO role and the Strategic Communications role.	<p>Agree that both roles are necessary; however, additional resources would be needed.</p> <p>Delineation of a strategic communications officer and PIO is not budgeted at this time. Currently, one person is fulfilling these two roles. The comprehensive scope outlined in the Strategic Communication Plan is managed as best as possible. Evaluating how much time in each role is necessary will be reviewed. Interns can assist with the PIO function, as well as PIOs in departments with greater coordination. A Board office has requested that the County invest in a Spanish-speaking outreach communicator, which if funded, could assist in this area.</p>	Fully providing both roles would require additional funding.	<p>By winter 2020, staff will evaluate time spent in each role and if necessary, seek out further resources.</p> <p>By spring 2020, CEO's office will work with HR to recruit an intern.</p>
Office Enablement Recommendations				
6.1	Explore the creation of a strategic integration and coordination position.	Agree that better integration and coordination should occur across functional areas; the ACEOs have begun meeting weekly to partially bridge this gap.	There could be additional resources needed if a new position is created; or could be achieved through existing budget and reorganization of current structure.	Future review and implementation.

		The department will be evaluating this role in the future after other recommendations are implemented.		
6.2	Review ACEO responsibilities and realign activities to enable proactivity and coordination.	Agree with recommendation. A review of the ACEOs role vis a vis departments and strategic priorities will occur. ACEOs will also begin tracking how they are apportioning their time between major assignments, projects, and other reactive activities, to help understand resourcing and alignment to departments.	There are no fiscal or staffing impacts at this time.	By summer 2020, evaluate roles and responsibilities, and review with departments
6.3	Rebalance fiscal, project and performance responsibilities between analysts.	Agree in concept but challenging given the limited number of analysts. However, the office will improve formalizing the allocation of fiscal, project, and special assignments within the department. Further evaluation may be needed to ascertain the appropriate mix of analyst staff and responsibilities. This may be conducted in-house or using an outside firm.	If an outside firm is needed to evaluate analyst need, the department will absorb the expense. Ongoing costs associated with additional staff, if recommended, may require seeking additional funding through the budget process or may be achieved through the existing budget through reorganization of the current structure.	Many specific recommendations are underway. By summer 2020, evaluation of analyst need and mix for fiscal, project and performance responsibilities. By fall 2020, intake for new assignment requests will be established.
7.1	Establish a structured approach to succession planning – including, identifying nonlinear sources of talents or career development and succession planning; documenting core competencies, critical skill sets and abilities needed for critical positions; institute position shadowing process for critical positions.	Agree with recommendation. We recognize that this is a problem throughout the county and not just in the CEO’s Office. Any succession planning effort will require a significant degree of advance planning to identify the affected positions and the non-linear path required to achieve that. No such effort should be undertaken without recognizing the potential ripple effect throughout the wider county government. Position shadowing will begin in spring 2020.	Double-filling positions for position shadowing will have fiscal impact but likely can be absorbed by the department; additional positions may need to be established.	By winter 2020, begin instituting position shadowing where appropriate. By fall 2020, document skills, abilities, needed for succession planning organization wide and specific positions.

8.1	Enhance structured communication and information sharing between ACEOs - create more tightly scoped meetings scheduled multiple times to ensure management of work and cooperation around ACEO decision making.	Agree with recommendation. Changes already begun implementing changes to improve communication sharing between ACEOS, and between ACEOS and analysts.	There are no anticipated fiscal or staffing impacts for this item.	Underway.
8.2	Establish structured communication and information sharing between ACEOs and analysts - ACEOs should have analysts attend their meetings when appropriate; conduct quick meetings with the analysts to share updates; implement formal communication platforms.	Agree with recommendation. Changes already begun implementing changes to improve communication sharing between ACEOS, and between ACEOS and analysts.	There are no anticipated fiscal or staffing impacts for this item.	Underway.
9.1	Identify and embed collaboration tools and document management process enablers.	Agree with recommendation. Collaboration tools and document management/sharing, have has been attempted in the past but not completed due to resource challenges or turnover (in the last six years, there have been four different office/business managers in the CEO).	There may be fiscal impacts for this item depending on solutions selected.	By spring 2020, document management efforts will resume.
9.2	Reduce manual administrative workload by implementing a paperless office.	<p>Agree with recommendation. The CEO's office continues to make process in reducing volumes of paper being produced.</p> <p>The County Executive Office eliminated use of the Board agenda binder for herself and relies on I-Legislate.</p> <p>The Clerk of the Board is prepared to begin paperless Board Letter processing efforts in spring 2020 approval routing will be ready to begin in winter 2020.</p>	There are no anticipated fiscal or staffing impacts to maximize existing systems. Establishment of new software systems may require additional funding.	<p>Underway for web-based cannabis applications and electronic approval routing.</p> <p>By summer 2020, paperless Board letter processing with departments is scheduled to begin through COB.</p> <p>Other paperless methods are currently being explored for the CEO office.</p>

10.1	Ensure the right level of ACEO involvement and rigor is applied to managing projects.	<p>Agree with recommendation. The CEO’s office agrees that a formalized process to ensure the right level of ACEO involvement and rigor is applied to managing projects.</p> <p>KPMG noted that in certain instances it is not clear who is responsible for what. Roles need to be clearly communicated externally. In addition, at times an ACEO may need to take on a project management role for strategic initiatives with a countywide impact, while simultaneously serving in an oversight role for operational initiatives. Project charters including the RACI model will be reintroduced to ensure project management.</p>	There are no anticipated fiscal or staffing impacts for this item.	<p>By winter 2020, project charter will be reviewed, re-designed if necessary, and communicated, including the RACI model.</p> <p>By spring 2020, all strategic initiatives will have approved project charters. By spring 2020, all project charters are incorporated into review of department work plans.</p>
Program Recommendations`				
Clerk of the Board				
COB-1	Provide additional structure to the implementation and adoption of technology.	<p>Agree with recommendation that an additional structured implementation plan for technological advancements within the Clerk of the Board’s office are needed.</p> <p>Continue testing phase and transition into implementation phase of the Approval tracking System within the General Services Department (Pilot Department).</p> <p>Create and implement a routing sheet template to aid in Board Letter routing within Departments to create efficiency.</p> <p>COB has transitioned 4 Supervisors to paperless BOS meeting day binders, as well as the CEO. The COB will implement a paperless binder system by January 2021 for</p>	This can be done largely through existing staff resources.	<p>By spring 2020, implement Approval Tracking System</p> <p>By winter 2021, implement 100% Paperless Binder System.</p> <p>Ongoing quarterly evaluations of workload will occur as technology enhancements are implemented.</p>

		<p>all Supervisors and South County Public Bucket.</p> <p>COB will continue to make the binder documents available online to the BOS, CEO and the public. COB will work with the CEO to perform quarterly evaluations of possible technological advancements within the office.</p>		
COB-2	Identify process improvement based on data.	<p>Agree with recommendation that in order to identify process improvement within the office, data must be documented and tracked over a period of time.</p> <p>COB processes to track: Volume of Board Letters compiled on a meeting by meeting basis, Annual number of BOS meetings, Annual number of AAB meetings, Annual Volume of Assessment Appeals, Annual volume of Payments processed & for what, Annual volume of research requests, Annual volume of notices submitted, Annual volume of claims filed, Annual volume of Boards & Commission Appointments/Reappointments, Ethics Training, Planning & Development/Surveyor Appeals, and Processing of monument bonds deposits.</p> <p>COB to track as necessary using a system already in place within the COB, Legistar.</p> <p>COB to come up with new fee structure for research projects.</p>	<p>There are no anticipated fiscal or staffing impacts for this item.</p> <p>Staff will evaluate if there is an opportunity for the COB to recover costs associated with significant research projects. No other additional anticipated challenges associated with these recommendations.</p>	By summer 2020, tracking mechanisms for metrics will be established.
COB-3	Accelerate cross-training and succession planning.	Agree in part with recommendation. The COB will continue to cross train all staff on general office procedures and individual job	This can be done largely through existing staff and budget resources.	Underway regarding cross training.

		<p>duties to mitigate the risk of having a single point of knowledge within a position. COB will create a formal succession plan.</p> <p>COB will revise outdated office procedures manual and create a formal training log for all new and future staff.</p> <p>Job rotation program - The COB agrees in concept but challenging given the limited number of staff and varying levels of technical expertise needed for different functions.</p>	Rotation may entail greater equalization of positions.	By summer 2020, additional review of formalized rotation system will occur.
COB-4	Understand the cost/benefit of current civic duty efforts (broadcast communication to the public) – determine if CSBTV is an effective tool for civic outreach compared to digital and social media alternatives.	Agree in concept. A staffing analysis was conducted several years ago on maximizing CSBTV's resources. No changes were made to date. Further review is needed.	Further review is needed to determine if any fiscal impacts.	By summer 2020, revisit former analysis and determine ways to maximize effectiveness.
Budget & Research				
B&R-1	Embed budget forecasting and horizon scanning into the budget process.	See #2.2		
B&R-2	Explore feasibility of financial system integration.	Agree with recommendation. The Budget & Research team uses financial, budgeting, and other systems every day and is and has worked with the Auditor-Controller's Office to make improvements to the existing systems to increase efficiency and ability for information sharing. The CEO's Office has discussed for some time the need to move to an integrated system better able to serve the diverse business needs of County departments	Some improvements to existing systems may be able to be done at little to no cost, but a wholesale move to an ERP system would likely cost more than \$10 million. This has been included in the Five-Year Forecast and Significant Fiscal Recommendations report presented to the Board on November 19, 2019, and will continue to be evaluated.	Underway.

		Implementation of this recommendation has already begun as part of the County's larger needs assessment process and will likely require several fiscal years to completely implement.		
B&R-3	Increase department coordination and accountability in the budget forecasting process.	See #2.1		
Office of Emergency Management				
OEM-1	Define and implement first, second and third circle responder support.	Agree with recommendation. Staff supporting the Whole Community (County departments, Operational Area partner agencies, non-profit and for-profit groups, and volunteer organizations) approach to ensure engaged and trained first, second and tertiary level of staffing are available and coordinated for major incidents.	There are no fiscal or staffing impacts at this time.	Underway.
OEM-2	Implement an end-to-end planning lifecycle.	<p>Agree with recommendation. OEM assessing its strategic needs for planning, training, staffing and budget to address any gaps in readiness. Including, identification of the Operational Area's core planning needs and tertiary planning needs based on previous mandates, new laws and best practices.</p> <p>Due to multiple activations and a change in staffing OEM is behind in some of its planning efforts. Staff will develop a recommendation for CEO winter 2020 on how contracted support can be utilized to bring priority programs up to date. Consultant costs are unknown until the OEM Planning and Training Schedule is finished.</p>	OEM plans to develop a recommendation for CEO (winter 2020) on how contract support can be utilized to bring the program up to date. Costs are unknown until the OEM Planning and Training Schedule is finished.	<p>Underway.</p> <p>Completed re: integrated GIS position.</p>

		Once all planning concepts are identified, staff will work to create a training and exercise cycle that compliments the planning cycle to ensure the testing and exercising of new plans, processes and policies.		
OEM -3	Realign OEM from the CEO to enhance operational coordination and integration with departments.	<p>Agree with recommendation. CEO's office agrees that improvements to organizational structure, coordination and collaboration within OEM and amongst all County Departments needs improvement.</p> <p>KPMG research stated that 54% of medium-size county OEM's report to County Administrator/County Executives. However, to maximize the overall County's resiliency, it may be better placed with a larger organization, such as Fire, focused on "all hazards" response and emergency operations, with community outreach already in place, particularly in steady state operations.</p> <p>The County Code designates the CEO as the Emergency Services Director in times of disaster to ensure countywide resources are deployed, which would continue.</p>	None at this time.	<p>Future implementation regarding restructure.</p> <p>Improvements in staffing, processes and collaboration are underway with new OEM staffing and leadership.</p> <p>Other recommendations are under review or underway.</p>
OEM -4	Establish a framework for community communications – including for consistent and targeted communications and community engagement before and after incidents.	<p>Agree that overall communications capacity and capabilities can be improved for all phases of emergency planning.</p> <p>The current effort to expand the EOC to include a larger Joint Information Center and Call Center reflect the County's commitment to improving its</p>	None identified at this time. The EOC Joint Information Center and Call Center expansion are part of the proposed Dispatch center project.	<p>Underway regarding improving communications capacity by working in conjunction with community and public safety partners.</p> <p>Future implementation regarding <i>Joint Community</i></p>

		communication infrastructure during disasters. Overall, efforts have started to enhance partnerships, systems and processes that support targeted communications and community engagement. JIC and EMMA plans are being updated.		<i>Liaison Unit</i> , will be based on lessons learned and inform the JIC plan and EMMA plan development.
Risk Management				
RM-1	Confirm the vision and scope of the Risk Management (RM) function.	<p>Agree with recommendation. Risk Management will develop strategies for greater inclusion in annual planning process. Risk Management will identify and present our current understanding of Risk Management role, purpose, and priorities. This will be presented to BOS/CEO for concurrence and identification of significant “gap” areas.</p> <p>This recommendation, identification of emerging risks, has been initiated but greater emphasis will be placed on communicating the results and outcomes.</p>	There are no anticipated fiscal or staffing impacts for this item.	By summer 2020, conduct reviews as noted in recommendations.
RM-2	Assess the right level of RM involvement between management vs. oversight.	<p>Agree with recommendation.</p> <p>Risk Management is currently developing a methodology to evaluate each department in the following areas: Workers’ Comp, General Liability, Contract Review, Safety, and Disability Management. This tool will be used to identify department structural and processes strength and weakness.</p>	There are no fiscal or staffing impacts associated with implementation of this recommendation.	By summer 2020, implement recommended changes.

RM-3	Identify RM capability gaps that can be fulfilled by other departments and/or contractors.	<p>Agree with recommendation. Risk Management currently uses a variety of external resources to assist with risk management activities. These have included CSAC-EIA programs, ergonomic review, job hazard analysis, and Target Solutions online training. We will continue to assess which risks warrant outside resource consideration (ongoing).</p> <p>Risk Management will review CSAC-EIA risk control services and partner programs to determine which programs and which departments will benefit. Programs will then be implemented in accordance with risk and department resource availability. As part of rebranding effort outside programs and resources will be promoted and communicated.</p>	The area of safety training may require additional services. This may take the form of hiring outside consultants/experts to deliver training or, after further evaluation, the hiring of additional FTE. Annual financial impact should be less than \$100k.	<p>Ongoing regarding assessing outside resources.</p> <p>By summer 2020, determine programs that might be of benefit.</p> <p>By fall 2020, promote and communicate outside programs.</p>
RM-4	Implement a system to monitor department activities for completion and outcomes.	<p>Agree with recommendation. In conjunction with 2b. results of methodology will identify reporting structure to communicate said results.</p> <p>As part of FY 2020-21 rate development, the consequences of results and accountability will be discussed with RMET and other senior leadership members.</p>	There are no fiscal or staffing impacts associated with implementation of this recommendation.	By fall 2020, communicate new system for monitoring activities and discuss with RMET.
RM-5	Realign information security to ICT and establish a baseline information security framework.	<p>Agree with recommendation but for future implementation.</p> <p>The recommendation is premature and any final decision regarding this recommendation should be assessed subsequent to input from other County Departments and the results of the PCMG audit recommendation.</p>	There are no anticipated fiscal or staffing impacts associated with implementation of this recommendation at this time.	<p>Future implementation regarding organizational placement.</p> <p>Underway regarding IT security audit (to be completed by summer 2020).</p>

		<p>Risk Management recommends that an alternative option be considered as follows: The role of the CISO should remain within the office of the CEO as supported by CoSB feedback for the need to place network governance outside the direct oversight of ICT (within GS). These findings and countywide security alignment will be placed in further focus upon completion of the CoSB IT Security Audit currently underway with PCMG (summer 2020).</p>		
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