



San Mateo County
**Workforce and Succession
Management Program**

September 2008

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Introduction

The County of San Mateo has a long history of dedicated, excellent and innovative service to the public. Not content to rest on its laurels, the County continually looks ahead to establish a vision for the future and proactively address the opportunities and challenges that arise. One such challenge is to plan for a smooth transition in its workforce as the County anticipates significant levels of turnover driven by a labor market-wide retirement wave. This retirement wave is largely a matter of demographics, as members of the sizable baby boom generation approach 55 to 60 years of age and leave the workforce in record numbers. Since the subsequent demographic groups (Generation X and the Millennial Generation) are much smaller, employers face intense competition to recruit and retain replacement talent. This competition can be more difficult for local governments like the County of San Mateo, since they are more reliant on “knowledge workers” which are in even shorter supply and because young people are not necessarily drawn to government service.

The Impact of Retirement at the County of San Mateo

Employees at the County of San Mateo retire on average between the ages of 58 and 59; over 90% retire before age 65. The number and rate of retirements have gone up over the last several years, from 61 retirees (1.22%) in 2002-03 to 176 retirees (3.12%) in 2007-08. The peak retirement year was 2004-05, coinciding with the implementation of enhanced retirement benefits. As the County looks ahead, high retirement rates are expected to continue. In addition, the County will likely face the threat of additional turnover from resignations, as talented employees are lured away by other agencies seeking to replace their retirees.

The potential for retirement is especially significant at the leadership level. As the table below shows, 47% of director level employees and 41% of mid-management level employees are eligible to retire.

August 2008		Employees Over 50 Years of Age		Employees Eligible for Retirement (over 50 w/10 or more yrs of service)	
Level	Number of Filled Positions	Number of Employees	Percent of Employees	Number of Employees	Percent of Employees
Director Level	81	53	65%	38	47%
Mid-Management Level	314	168	54%	128	41%
Other	5355	1708	32%	886	16%
Total	5750	1929	34%	1052	18%

Includes Court employees

The impacts of retirements at the top level and throughout the organization are significant and include: loss of organizational knowledge and experience; increased recruitment and training costs; reduced productivity and, potentially, service quality during any periods of prolonged vacancy and transition. To provide some perspective, 769 County employees have retired over the past five years, taking an estimated total 18,000 years of experience with them. Thus, the need for succession planning is critical if the County is to ensure the continuity and success of County operations and service delivery to the community.

The County's History of Succession Planning

Building on a strong track record in employee development and training, the County Manager and Executive Council approved the County's first Succession Management Report in 2000. In 2005, the County started an organizational review process, a central goal of which was to assess current management development opportunities in light of key retirements. The resulting Organizational Review report was prepared by Management Partners and presented to the Board of Supervisors in March 2006. This report included 30 recommendations related to succession planning and training. Attachment A includes a summary of the status of these recommendations.

In response to the 2006 Organizational Review report, the Executive Council created a Succession Planning Task Force which identified a set of specific actions to further the report's recommendations. The Task Force handed off its work to a Succession Planning Implementation and Evaluation Committee chaired by the Assistant County Manager to work on these actions, with the continued oversight and support of the Executive Council. A chart showing these 31 areas of focus is included as Attachment B. The Committee, which includes representatives from throughout the County organization, was divided into six sub-committees to address a number of key priorities, including:

- Increasing the County's effectiveness in reaching young potential employees and enhancing and coordinating County internships to improve their effectiveness as a recruiting tool (Recruiting Young and Diverse Employees Sub-Committee)
- Implementation of employee development plans to prepare employees to take on higher levels of responsibility and achieve organizational goals (Employee Development Plan Sub-Committee)
- Expansion of the use of multi-media training as a cost-effective means for providing a broad range of development opportunities (Multi-Media Sub-Committee)
- Creation of an academy to develop the skills of first line supervisors (First Line Supervision Sub-Committee)
- Identification of opportunities for hands-on experience building, such as rotational assignments (Rotational and Mentoring Sub-Committee)
- Development of tools and incentives to engage retirees in succession planning to ensure a smooth transition for their positions (Transition Management Sub-Committee)

The proposed programs and corresponding budget implications resulting from the work of the Committee and its sub-committees are described in more detail later in this report. A roster of the members of the Succession Planning Implementation and Evaluation Committee and its six sub-committees is included as Attachment C.

Overview of the County of San Mateo Workforce and Succession Management Program

The work of the Succession Planning Implementation and Evaluation Committee has created great focus and momentum for building and sustaining a qualified workforce to accomplish the community's vision and meet the needs of the people of San Mateo County now and into the future. This work is in the context of a broad framework with a mission statement, goals and performance measures that define the desired end results of the County's succession planning efforts. The programs proposed by the Committee join many long-standing programs as strategies for accomplishing these results. The key elements of the Workforce and Succession Management framework are outlined below.

Vision Alignment: Strategic and Collaborative Community

Mission: Execute a systematic and multi-dimensional workforce management and succession strategy that promotes the County as an employer of choice, supports career growth and development of talent at all levels of the organization and optimizes organizational performance to ensure the continuity and success of County operations and service delivery to the community.

Goals:

- Attract talent to the organization
- Ensure leadership is developed to meet existing and future challenges
- Provide a workplace culture that supports employee engagement and retention
- Optimize knowledge management
- Improve individual and organizational effectiveness

A more inclusive listing of strategies and performance measures associated with each goal is included as Attachment D.

Attract Talent to the Organization

The first goal in building and sustaining a qualified workforce is to maximize the County's ability to attract young and diverse talent to the organization. The County has many assets to draw on in its recruitment efforts, including the appeal of its public service mission, its reputation as an innovative, well-run organization, an attractive benefits package and a highly desirable location. However, there are some challenges, too. Young people are often unaware of, or even negatively predisposed to, government career opportunities. Those who are looking for municipal work may not consider San Mateo County given the high cost of living here and the high cost of commuting from areas with more affordable housing. And all employment sectors are finding that they must understand and respond to the workplace expectations of the younger generations, which differ in significant ways from those of the Baby Boomers. Consequently, the Recruiting Young and Diverse Employees (RYDE) Sub-Committee has recommended that the County develop a marketing plan to establish and promote the County's identity as an employer of choice. In addition, the RYDE Sub-Committee suggests that the County seek to create a workplace culture that responds to the motivators of the younger generations, which include ongoing skill building, work/life balance policies, and opportunities for decision-making and rapid career advancement.

Currently, the County uses a variety of tools to fill specific vacancies, including a well-developed website that provides information about employment opportunities and an online application process. However, since such traditional tools often do not reach people who are not already thinking about the County, other strategies are being explored to introduce the County as a potential employer. The County has recently increased its outreach through high school and college career fairs and is acting as part of a regional network of local governments to promote municipal service. In addition, internship programs provide a particularly promising strategy to reach and attract potential new employees to the honorable field of public service in general and to the County of San Mateo in particular. Currently, there are a number of internship programs offered by different County departments. As described later in this report, the Succession Planning Implementation and Evaluation Committee recommended and the Executive Council endorsed that these internships be strengthened and expanded through a proposed Coordinated County-wide Internship Program.

Ensure Leadership is Developed to Meet Existing and Future Challenges

Once talented employees have been hired, the next goal is to provide them with opportunities to expand their skills and grow into leadership positions within the County. The County is accomplished at delivering a broad curriculum of training courses not only to its own employees, but to local nonprofits, cities and special districts as well. To demonstrate its commitment to employee development, the organization has established a goal that every County employee receives at least 20 hours of training each fiscal year and that supervisors attend a minimum of 8 hours of supervisory training each year.

In addition to individual training courses, the County offers more intensive programs for employees who are interested in advancing in their careers, such as onsite degree programs and a County-run Executive Leadership Academy, the first class of which will graduate in May 2009. (More information about the Executive Leadership Academy can be found in Attachment E.) The overall goal is to provide a variety of development opportunities that are tailored to meet the needs of employees at different levels of the organization, such as first line supervisors, managers and directors. An illustration of the programs available at different organizational levels:



To have a meaningful impact on development at each of these levels, it is important that the scale of the programs offered be sufficient to reach most employees over a reasonable period of time.

A unifying theme throughout the County’s training courses and development programs is the cultivation of core competencies. A set of 17 competencies was developed in 2006 by the

Succession Planning Task Force in order to define the key attributes of high performing employees and then align training resources accordingly. A list of the County's core competencies, including such attributes as customer-focused, results-oriented and ethical, is included as Attachment G along with a grid showing how each course in the most recent training catalog supports the development of these competencies. Another theme in the County's training and development program is the focus on the goals established through the community visioning process. As employees work with their supervisors to set professional development goals they are expected to align them with established program, department, organizational and community vision goals.

As described above, the County's commitment to training and development is very strong. However, there are critical new challenges that must be addressed as a result of the need to: 1) prepare rising talent to replace retiring Baby Boomers; and, 2) respond to the different motivators of Generation X and the Millennial Generation, which include the expectation for continual learning and rapid advancement. In response to these challenges, the Succession Planning Implementation and Evaluation Committee proposes five new programs, developed through the work of four of its sub-committees. These programs, which are described below, include rolling out Employee Development Plans to all employees, creating new multi-media training tools, implementing a First Line Supervision Academy, participating in the Management Talent Exchange Program, and establishing a Core Competency Development Program.

Provide a Workplace Culture that Supports Employee Engagement and Retention

Another critical goal is to create the type of workplace culture that sustains a high level of employee commitment so that talented employees stay with the organization and are motivated to do their best work. The County utilizes a broad range of strategies to help create such a workplace culture, including: development and training programs like the ones discussed above; recognition programs that seek to celebrate employee accomplishments; wellness programs that promote good health and foster a sense of community; and strong internal communication tools so that employees feel informed about the issues that impact them and connected to a broader sense of purpose. In addition to structured programs such as these, research has shown that one of the most important factors in influencing employee commitment and performance is the role played by supervisors. The supervisor has a tremendous impact, either positive or negative, through his or her ability to give meaningful work assignments, encourage development, recognize good performance and give constructive feedback. Consequently, the County is exploring ways to build coaching skills, provide recognition to supervisors who mentor and develop staff and establish talent development as a primary job responsibility. Other County efforts to create a first-rate workplace include expansion of cultural competency and ongoing adaptation of strategies to engage the different generations in the workplace.

Optimize Knowledge Management

Another important goal in an overall workforce and succession management program is to ensure that the organization is well prepared when transitions occur as a result of retirement to minimize the loss of essential job knowledge and institutional memory. The Transition Management Sub-Committee of the Succession Planning Implementation and Evaluation Committee did considerable research through surveys and focus groups with management level employees, those nearing retirement, recent retirees and others. Through this research, the Sub-Committee identified a number of strategies to help manage the transition of critical positions. These strategies include: encouraging advanced knowledge of retirements through candid and confidential discussions during performance evaluations; establishing a procedure for overlapping key positions when possible; implementing a succession planning guide to help retiring managers think through their critical job functions, document important historical information and identify and develop potential successors; expand opportunities for retirees to return to work for the County as appropriate; and maximize the division or department's ability to capture and share knowledge through such methods as documentation of work procedures and cross training.

Improve Individual and Organizational Effectiveness

Perhaps the overarching goal of workforce and succession management is to ensure continued and enhanced levels of individual and organizational effectiveness. Taken together, the goals above – bringing talented people into the organization, engaging them to stay and do their best, developing them to take on higher levels of responsibility and capturing their knowledge when it is time for them to leave – all culminate in a high performing organization. To facilitate this focus on performance and to have a meaningful way to measure it, the County is exploring ways to improve its performance evaluation system to incorporate ongoing supervisory feedback and result measures that are aligned with County goals.

The established process of Management Reviews/Performance Audits provides another strategy for promoting organizational effectiveness. These audits not only result in specific recommendations for operational improvements, revenue generation and/or cost savings, but also help to build internal capacity through the involvement of cross-departmental review teams that become adept at analyzing operations, making recommendations for improvement and debriefing on lessons learned. Workforce Planning Diagnostics are another method for supporting long-term organizational success. The Human Resources Department prepares workforce analyses to inform proactive, strategic discussions at the department level regarding the staffing plans necessary to meet current and future community needs.

Summary of Proposed New Succession Planning Programs

As described above, and outlined in the Workforce and Succession Management Program Overview in Attachment D, the County is pursuing a number of strategies to ensure an effective response to the widespread transitions that will occur in the workplace as a result of the Baby Boom retirement wave. While several of these strategies are well-established, a number of new programs have been developed by the Succession Planning Implementation and Evaluation Committee and its sub-committees. The programs recommended for funding at this time are summarized below and described in more detail in the corresponding attachments.

	<u>Management Talent Exchange Program</u> <i>(Attachment F)</i>	<u>Transition Planning Program</u> <i>(Attachment G)</i>
Proposing Committee	Rotational and Mentoring Sub-Committee	Transition Management Sub-Committee
Participants	Managers at all levels (selected through an application process)	Managers planning retirement, other employees retiring from key positions and their supervisors
# of Participants per year	Five	A baseline of activity and results will be established and tracked
Goal(s)	Build core competencies, prepare for advancement	Ensure that the organization is well-prepared when transitions occur as a result of retirements.
Program Duration	6 months (including program promotion, application, selection and 3-month exchange placement)	Ongoing
Program Description	Participants are placed in a talent pool and matched with positions in other local government agencies in order to gain new experiences, form new working relationships and build competencies. San Mateo County would also receive exchange participants from the pool.	This program includes: early identification of planned retirements during the annual performance evaluation process; a Transition Planning Guide with tips for how employees and departments can prepare for pending retirements; completion of a Succession Plan by each retiring manager; position overlap if possible and expanded opportunities for retirees to return to work for the County if appropriate.
Program Budget	HR Staff \$3,000 Operating costs \$5,000 Total \$8,000	To be determined. Many of the elements of this program will be implemented by existing staff and do not require additional budget resources. The practice of overlapping positions will result in increased salary and benefits costs. If these costs cannot be absorbed within existing departmental budget appropriations, appropriation transfers will be requested as necessary.

	First Line Supervision Academy <i>(Attachment H)</i>	Core Competency Development Program <i>(Attachment I)</i>	Multi Media Training Tools <i>(Attachment J)</i>
Proposing Committee	First Line Supervision Sub-Committee	Rotational and Mentoring Sub-Committee	Multi-Media Subcommittee
Participants	New/Current Supervisors (selected through an application process)	Level 1 Managers (selected through an application process)	All County employees
# of Participants per year	40 total (two sessions of 20 participants each)	15-20	To be determined - A baseline of activity and results will be established and tracked
Goal(s)	Build core competencies, help new supervisors be successful	Build core competencies, prepare for advancement	Develop multi-media instructional presentations to provide cost-effective options for achieving the 20-hour per year training goal for each employee
Program Duration	6 months (including program promotion, application, selection and 3-month academy)	12 months (including program promotion, application, selection and 10-month session)	Ongoing
Program Description	For each three-month academy, 11 training sessions will be delivered over 8.5 days. The curriculum focuses on core competencies in the areas of leading/managing people, leading/managing projects and systems, and succeeding in San Mateo County.	Participants complete an assessment center process, create an Employee Development Plan (EDP), are assigned a mentor and implement the development opportunities in their EDPs, which may include team projects, short-term rotational assignment, cross-departmental internships, etc. This program proposal builds on a successful pilot that was conducted in 2006-07.	Identification of training priorities and development of multi-media training approaches, which may include: web based discussion forums; online workshops; face-to-face workshops that use other media; self –study e-learning guides; computer-based trainings; informational videos; on-line classes; cable broadcasts; and live satellite trainings. The first product of this program is a presentation to assist with the roll-out of the Employee Development Plan.
Program Budget	HR Staff.....\$44,000 Consulting services.....\$47,600 Operating costs\$22,600 Total\$114,200	HR Staff.....\$68,000 Consultant services\$10,000 Operating costs\$7,000 Total\$85,000	Consulting and content services \$25,000 Total:..... \$25,000

	Coordinated Countywide Internship Program <i>(Attachment K)</i>	Employee Development Plan Rollout <i>(Attachment L)</i>
Proposing Committee	Recruiting Young and Diverse Employees (RYDE) Subcommittee	Employee Development Plan Subcommittee
Participants	College Students	All Employees (currently piloted with Executive Leadership Academy and other managers)
# of Participants per year	100	2008-09 – 100 2009-10 – 450
Goal(s)	Coordinate/expand existing internships to improve their effectiveness as a recruiting tool	Build core competencies, meet organizational goals, prepare for advancement
Program Duration	First year: 12 months (including 10 months of program development and a 2-month internship in the Summer; On-going: 5 months (including college outreach, application, selection and 2-month summer internship)	Ongoing
Program Description	The program will utilize former County interns to develop a marketing plan and conduct outreach to improve getting the word out about internships at the County. The program will develop a coordinated intake procedure to streamline the process for interns who are interested in working for multiple departments and will create a website to list all County internship opportunities. The program will augment the summer internship experience by offering: a kick off orientation and social event; career development session with resume writing tips, mock interviews and an overview of career opportunities and the application process at the County; tours of County facilities and a closing feedback session and social event. A tip sheet will be developed for departments on how to make the most of the internship experience.	Participants will complete a 360 degree evaluation process, receive online training on understanding the results of the evaluation, receive online training on creating and EDP, develop their own EDP with the help of their managers/ supervisor and then implement and track the results of their EDP.
Program Budget	HR staff..... \$25,000 Intern Team..... \$13,000 Operating Costs..... \$3,900 Total: \$41,900	HR Staff\$42,400 Consulting Svcs\$25,000 Operating costs\$5,000. Total:\$72,400

Fiscal Impact and Implementation Schedule for Proposed Succession Planning Programs

Total Program costs, which include staff and services:

Annualized Costs					
Description	Staffing	Interns	Consulting	Operating Costs	TOTAL
Coordinated Countywide Internship Program	25,000	13,000		3,900	41,900
Employee Development Plans	42,400		25,000	5,000	72,400
Multi-Media Training			25,000		25,000
First Line Supervision Academy	44,000		47,600	22,600	114,200
Core Competency Development Program	68,000		10,000	7,000	85,000
Management Talent Exchange Program	3,000			5,000	8,000
Total Estimated Annual Cost	182,400	13,000	107,600	43,500	346,500

FY 2008-09 Costs (pro-rated)					
Description	Staffing*	Interns	Consulting	Operating Costs	TOTAL
Coordinated Countywide Internship Program	12,500	13,000		3,900	29,400
Employee Development Plans	21,200		12,500	2,500	36,200
Multi-Media Training			25,000		25,000
First Line Supervision Academy	22,000		23,800	11,300	57,100
Core Competency Development Program	34,000				34,000
Management Talent Exchange Program	1,500			5,000	6,500
Total Estimated FY 2008-09 Costs	91,200	13,000	61,300	22,700	188,200

* beginning January 2009

Implementation Schedule:

The Succession Planning programs are proposed for integration with existing training and development for calendar year 2009 as follows:

2009											
Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec
Executive Leadership Academy <i>Feb 2008 ⇨ ----- ⇨ May 2009</i>											
Employee Development Plan (EDP) Pilot <i>Aug 2008 ⇨ ----- ⇨ May 2009</i>						EDP Evaluation <i>July ⇨ ----- ⇨ Sep 2009t</i>			EDP –All Mgmt <i>Oct ⇨ ----- ⇨ Dec 2009</i>		
			Supervisor Academy <i>April ⇨ ----- ⇨ June 2009</i>					Supervisor Academy <i>Sept ⇨ ----- ⇨ Nov 2009</i>			
Management Development Program <i>Dec 2008 ⇨ ----- ⇨ Oct 2009</i>											
						Core Competency Development Program <i>July ⇨ ----- ⇨ Dec 2009</i>					
	LF <i>Feb</i>			LF <i>May</i>			LF <i>Aug</i>			LF <i>Nov</i>	
								Mgmt Talent Exchange Prog <i>Sept ⇨ ----- ⇨ Dec 2009</i>			
Masters in Public Administration/ Bachelor’s /AA/AS Programs <i>Sept 2007 ⇨ ----- ⇨ Dec 2009</i>											

LF = Leadership Forum

**Attachment A:
Status Report on 2006 Organizational
Review Recommendations**

A. Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS		Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 3: Provide training for managers in methods of engaging employees in evaluating change, continuous improvement processes, and creating implementation plans for new programs or changes. Engaging employees in problem solving and planning for change will strengthen internal effectiveness and relationships.</p>	<p>Organization-Wide Training</p>	<p>Training Plan for Managers/Supervisors</p>	<p>Medium Term 90-270 Days</p>	<p>12/31/2006</p>	<p>Director of Human Resources</p>	<p>COMPLETE - The Developing Effective Project Proposals and Workplans course meets this objective. This course is offered through the Training Catalog.</p>	
<p>Recommendation 8: Appoint a subcommittee of three members of the Executive Council to review the draft program and implementation plan developed in 1999-2000 to identify the elements that remain relevant and to produce a revised program for adoption in 2006. This streamlined subcommittee would identify ways in which to involve other managers and departments in their review and planning efforts. Part of their review efforts would be learning more about successes of other organizations and identify best practices that would strengthen San Mateo County's program.</p>	<p>Organization-Wide Succession Planning</p>	<p>Succession Planning Program - Update of 1999-2000 Succession Planning Program Proposal for adoption in 2006</p>	<p>Short Term 90-120 Days</p>	<p>Ongoing</p>	<p>County Manager</p>	<p>COMPLETE -5/10/06 - memo to Dept Heads to appoint representative to Succession Planning Task Force; 6/19/06 - first meeting of task force held. 9/06 -This item has been integrated into the Succession Planning Task Force.</p>	
<p>Recommendation 9: Assign responsibility for countywide succession planning leadership to the Assistant County Manager and responsibility for departmental leadership to each department head. The importance of this issue to the future of the County demands that succession planning be considered a key assignment for it to be successful. It is a long-term effort, and requires a long-term assignment and focus. While day-to-day activities relating to succession planning will be Human Resources responsibilities, oversight by someone at the level of Assistant County Manager is important.</p>	<p>Organization-Wide Succession Planning</p>	<p>Succession Planning Program -Assignment of countywide responsibility</p>	<p>Short Term 90-120 Days</p>	<p>Ongoing</p>	<p>Assistant County Manager</p>	<p>COMPLETE - John Maltbie will oversee until new Assistant County Manager is hired; HR Director to have significant role in process. New Assistant County Manager currently oversees Countywide Succession Planning Program.</p>	

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 10: Allocate sufficient funds for a comprehensive countywide succession planning program that augments departmental succession planning activities. The budget for FY2006-07 should contain sufficient funds in the Human Resources budget for enhanced training, development and succession planning programs. The specific amounts needed should be identified by Human Resources staff for next fiscal year (for at least one full-time position, initially), with funds for the ongoing program identified in the first quarter of FY2006-07.</p>	Organization-Wide Succession Planning	Succession Planning Program -Allocation of funds in FY 2006-07 Budget	Short Term 90-120 Days	9/30/2006	Deputy County Manager/Admin	IN-PROGRESS - Addition of one Management Analyst and \$100,000 for training included in FY06-07 Recommended Budget; Additional resources for prioritized programs will be submitted for approval in the Succession Planning Report presented to the Board of Supervisors in September 2008.
<p>Recommendation 11: Collect detailed information on all succession planning efforts under way in County departments, including an assessment of the effectiveness of each, and share the information with all executive managers. This information can be useful in the short term as departments create and/or enhance their internal succession planning programs. It also can be helpful in identifying best practices internally, as well as resources needed to foster effective staff development and promotions.</p>	Organization-Wide Succession Planning	Succession Planning Program -Report containing current succession planning efforts in County departments and effectiveness of each	Short Term 90-120 Days	9/30/2006	County Manager	COMPLETE - Information was collected and evaluated by the Succession Planning Task Force and the results were shared with Executive Council.
<p>Recommendation 12: Identify the top management positions in which incumbents are likely to retire within the next one to five years (2006-2010) and develop individual plans to address succession into those positions. The County Manager's Office should have conversations with each person in the "top management" positions to find out his/her plan for retirement and enlist his/her assistance in creating a succession plan for the job. The plan should include elements such as job expectations, alternatives for organizing the work once the incumbent retires, identification of people within the organization who might be candidates for the position, career development and mentoring plans for those individuals, and an overall strategy for transitioning from the incumbent to his/her successor.</p>	Organization-Wide Succession Planning	Succession Planning Program -Report to County Manager identifying incumbents in top management positions who are planning to retire in 1-5 years, and succession plan for each	Medium Term 90-270 Days	Ongoing	Assistant County Manager	ONGOING - Each Department Head to be responsible for assembling and updating information.

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS		Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
Recommendation 13:	Identify mid-management positions in which incumbents are likely to retire within the next one to five years (2006-2010) and develop individual plans for succession into those positions. This is similar to Recommendation 12 above for "top management". Every department director should be provided with a list of likely upcoming retirements in his/her department and take the lead in ensuring that individual plans are developed for succession into those positions.	Organization-Wide Succession Planning	Succession Planning Program -Report to County Manager identifying incumbents in mid-management positions who are planning to retire in 1-5 years, and succession plan for each	Medium Term 90-270 Days	Ongoing	Assistant County Manager	ONGOING - Each Department Head to be responsible for assembling and updating information.
Recommendation 14:	Identify management and supervisory positions in which incumbents are likely to retire in the years 2011-2016 and develop plans to recruit, develop, and/or retain needed leadership. Attention should be placed on this group in the second and third year of the new succession planning program (FY2007-08 and FY2008-09).	Organization-Wide Succession Planning	Succession Planning Program -Report to County Manager identifying incumbents in management and supervisory positions who are planning to retire in 1-5 years, and succession plan for each	Medium Term 90-270 Days	7/1/2008	Assistant County Manager	ONGOING - Each Department Head to be responsible for assembling information.
Recommendation 15:	Identify supervisors and management analysts interested in career development, and create individual development plans for each of them. Responsibility for career development is shared by the employee and the organization.	Organization-Wide Succession Planning	Succession Planning Program -Report identifying supervisors and management analysts interested in career development, and individual development plans for each	Medium Term 90-270 Days	12/30/2008	Assistant County Manager, Director of Human Resources	IN-PROGRESS - The Succession Planning I & E Committee has prepared recommendations for the EDP Pilot Program. Cost estimates will be included in a Succession Planning Report anticipated to be presented to the Board in September 2008.

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 16: Create a menu of options that could be used by executive managers in ensuring smooth transition of individuals into the "mid-level management" positions. Examples of options include (a) appointment of the successor several months to a year prior to the departure of the incumbent for training purposes, and during that time the incumbent would shift out of the direct role into mentoring and knowledge transfer; and, (b) providing candidates for the position with special projects and assignments that would enable them and the County to evaluate their potential and interest in the position.</p>	Organization-Wide Succession Planning	Succession Planning Program - Menu of options for executive managers to use in ensuring smooth transition of individuals into mid-level management positions	Longer Term 1-2 years	7/1/2008	Assistant County Manager, Director of Human Resources	IN-PROGRESS - The Transition Management Subcommittee has prepared a comprehensive report outlining several recommendations and steps needed to ensure smooth transitions as key personnel leave the organization. In addition, the Transition Management subcommittee has also developed "A Transition Planning Guide for SMC Critical Positions."
<p>Recommendation 17: Require all managers and supervisors to include "talent development" as part of their primary job responsibilities, and evaluate them on the basis of their performance on that indicator, among other key performance indicators. All supervisors and managers should have development of staff and preparation for promotion within the County as main responsibilities.</p>	Organization-Wide Succession Planning	Succession Planning Program - Inclusion of talent development in primary job responsibilities and evaluations of management and supervisors	Medium Term 90-270 Days	12/30/2008	Director of Human Resources	ONGOING - Each Department Head to be responsible for assembling information. Employee Development is one of the core competencies and will be incorporated into the new performance planning process
<p>Recommendation 18: Establish a process to provide recognition to managers who actively mentor and develop staff. Mentoring and staff development should become an organizational value in the same way that collaboration is a value. Recognition could come in the form of favorable budget considerations for resources that enable staff to take on special assignments and participate in training; and publicizing success stories in internal newsletters, on the intranet, and by the County Manager and Board of Supervisors.</p>	Organization-Wide Succession Planning	Succession Planning Program - Recognition program for managers who mentor and develop staff	Longer Term 1-2 years	12/31/2007	Assistant County Manager	ONGOING - CCDP Mentors were formally recognized, T&D will formally recognize Internal Trainers at a reception/event/BOS Meeting at the end of 2008.

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 19: Create and implement training for employees in the core competencies for success identified most often across the County. The Executive Council subcommittee should work with County departments to identify the core competencies needed by supervisors and managers. Human Resources staff should then be tasked with the creation and implementation of a related training program to help develop those skills. County staff should be encouraged, and given the time and opportunity to participate in outside training and coaching sessions (such as those sponsored by CAL-ICMA and others) with topics relevant to the County's core competencies.</p>	Organization-Wide Training	Training Plan for Managers/Supervisors	Longer Term 1-2 years	12/30/2007	Director of Human Resources	COMPLETE AND ONGOING - Core Competencies were developed by the Succession Planning Task Force and have been incorporated into the Training Catalog. CAL-ICMA Coaching Panels are advertised in the Training Catalog. SMCO will participate in future "speed coaching" sessions.
<p>Recommendation 20: Identify and implement methods of attracting young people who reflect the diversity of San Mateo County to local government as a key, long-term strategy. The County should work to recruit energetic young people to government service to create a continuous pipeline of new talent, as well as to address the diversity of the County's clients. The County should learn what is important to younger individuals and ethnic minorities, and identify ways in which the County needs to change to be attractive to them. Strategies could include expanded internship opportunities, hiring college students for short-term projects, appointing young people to County staff committees for college credit, and using County employees as ambassadors with culturally diverse groups and colleges.</p>	Organization-Wide Hiring and Promotional Practices	Succession Planning Program -Recruitment program to target young people who reflect the diversity of the County	Longer Term 1-2 years	12/30/2008	Director of Human Resources	IN-PROGRESS - The Succession Planning I & E Committee has prepared recommendations. Costs estimates will be included in a Succession Planning Report anticipated to be presented to the Board in September 2008.

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 21: Identify ways in which jobs can be structured to accommodate newly retired individuals interested in part-time or flexible schedules, while providing the County with their talent and experience. As "baby boomers" retire but wish to remain active and engaged in their professions, the County should find ways to make use of this resource. While the emphasis should be on San Mateo County retirees, it need not be solely restricted to this group if others meet County needs.</p>	<p>Organization-Wide Succession Planning</p>	<p>Succession Planning Program - Part-time and flexible schedules for retirees wishing to remain active and engaged in their professions</p>	<p>Longer Term 1-2 years</p>	<p>12/30/2008</p>	<p>Director of Human Resources</p>	<p>IN-PROGRESS - The Succession Planning I & E Committee has prepared recommendations. Findings and cost estimates will be included in a Succession Planning Report anticipated to be presented to the Board in September 2008.</p>
<p>Recommendation 22: Conduct an analysis of the County's promotional hiring practices to identify what percent of employees are hired from within the department that has an opening, what percent are hired from other County employee ranks, and what percent are hired from outside the County workforce. This measure can be used by the Executive Council Subcommittee as a baseline to see how well the County is able to move current employees into promotional positions. It also can be a point of comparison (and pride) for departments most successful in doing so.</p>	<p>Organization-Wide Hiring and Promotional Practices</p>	<p>Succession Planning Program - Report with analysis of promotional hiring practices by County department</p>	<p>Medium Term 90-270 Days</p>	<p>12/31/2007</p>	<p>Director of Human Resources</p>	<p>COMPLETE - Report presented to Succession Planning I & E Committee. In FY 07-08, there were 99 management vacancies of which 82% were filled by internal candidates (promotions). Of the 888 non-management positions filled during the year, 46% were filled by internal candidates.</p>
<p>Recommendation 23: Initiate a structured process for key personnel to capture and preserve institutional knowledge for their successor's insight and guidance. Each retiring manager should be asked to develop a "cookbook" or reference document for the department. Such documents should be prepared the maximum amount of time prior to the departure of the employee as possible so they can be used as a training tool.</p>	<p>Organization-Wide Succession Planning</p>	<p>Succession Planning Program - "Cookbook" or reference document for each retiring manager that captures and preserves institutional knowledge for the training of successors</p>	<p>Longer Term 1-2 years</p>	<p>7/1/2008</p>	<p>Assistant County Manager</p>	<p>ONGOING - Each Department Head to participate in process</p>

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS		Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
Recommendation 24:	Establish a procedure to overlap positions to the extent possible so that the retiring manager continues his or her employment for at least a week or two, alongside the replacement manager, for training and mentoring purposes. Recruitments to replace outgoing employees should proceed on a schedule that enables the new employee to benefit from the outgoing employee's knowledge.	Organization-Wide Succession Planning	Succession Planning Program -Procedure to allow overlap (double-fill) of positions where a replacement has been hired for a retiring employee	Longer Term 1-2 years	6/30/2007	Director of Human Resources	COMPLETE AND ONGOING
Recommendation 25:	Create a rotational assignment program in the County Manager's Office as part of the Succession Planning Program that incorporates the value of conducting program and departmental reviews, policy analysis, and planning functions. Additional staff will be required to properly implement the reviews and analysis.	Organization-Wide Succession Planning	Succession Planning Program -Rotational Analyst Program in County Manager's Office	Medium Term 90-270 Days	12/31/2006	Assistant County Manager	COMPLETE - Added one Management Analyst in FY 2006-07/2007-08 Recommended Budget (CMO)
Recommendation 26:	Assign the Assistant County Manager the task of managing the project element of the Succession Planning Program and attendant staff, selecting individuals from other County departments to participate in assignments, and provide mentoring for participants.	Organization-Wide Succession Planning	Succession Planning Program -Assignment of countywide responsibility	Short Term 90-120 Days	Ongoing	Assistant County Manager	COMPLETE
Recommendation 27:	Establish a process that creates opportunities to move managers between departments for long-term assignments as a method for developing their County-wide management perspectives. County executive managers are most effective when they understand the entire County organization range of disciplines, and can apply their knowledge to the specific area of their assignment. Creating opportunities for mid-managers to move between departments will assist them in becoming well-rounded executives for the County.	Organization-Wide Succession Planning	Succession Planning Program - Mid-Manager Program to move managers between departments to develop Countywide management perspectives	Longer Term 1-2 years	12/31/2008	Assistant County Manager	IN-PROGRESS - Close coordination with Department Heads required to accomplish task. The Succession Planning I & E Committee has developed a new Core Competency Development Program that will be presented to the Board of Supervisors in September 2008.

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 28: Provide developmental assignments such as staff rotations within departments and interdepartmental staff exchanges. This would provide opportunities for staff to learn new skills, see issues from other vantage points, and learn more about work they may wish to pursue. Additionally, rotations and exchanges provide new perspective on how the work is approached, which can result in improvements on process and outcomes. Further, offering rotations and exchange opportunities demonstrates to staff that their career development is worth an investment by the organization.</p>	Organization-Wide Succession Planning	Succession Planning Program - Staff Rotation/Exchange Program for County employees to explore career development opportunities	Longer Term 1-2 years	12/31/2008	Assistant County Manager	ONGOING - Department Heads to complete task in individual departments. Participation in Regional Management Talent Exchange Program encouraged.
<p>Recommendation 29: Establish processes and a schedule of measuring results and evaluating the Succession Planning Program, and use the information to make improvements in the program. In addition to fostering continuous improvement of the program, measurement suggests to department heads how important planning for the future is for the County's policy makers. If it is being measured, there is a much greater likelihood it will be deemed important to the department head</p>	Organization-Wide Succession Planning	Succession Planning Program -Regular performance reporting for the Succession Planning Program to make continuous improvements	Longer Term 1-2 years	7/1/2008	Assistant County Manager	IN-PROGRESS - Initial evaluation will be conducted in June 2009.
<p>Recommendation 30: Expand the County's Management Development and Mentoring Program to accommodate 20% of the County's management and supervisory employees each year. Given the expected pace of retirements, it is a critical time to invest in this program as one way of preparing individuals for promotion. The Human Resources staff will need more resources to expand the program from 28 to 163 participants per year.</p>	Organization-Wide Succession Planning	Succession Planning Program - Expansion of Management Development and Mentoring Program	Longer Term 1-2 years	12/31/2007	Assistant County Manager	COMPLETE - Session size doubled, there is currently no waiting list.

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS		Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 31: Establish an annual training target for every County employee to receive 20 hours of training per fiscal year, and task Human Resources with tracking the hours. In setting this training objective, County leadership should make it clear that employee development is a priority. While accommodating employee training time requires flexibility on the part of department management, this target will enhance the County's commitment to current employees and further succession planning.</p>	<p>Organization-Wide Training</p>	<p>County Employee Training Plan - provide 20 hours of training each fiscal year for every County employee</p>	<p>Longer Term 1-2 years</p>	<p>12/31/2007</p>	<p>Assistant County Manager</p>	<p>COMPLETE</p>	
<p>Recommendation 32: Require all first-time supervisors (whether external hires or internal promotions) to attend a "New Supervisors Training" class. This should occur within three months of their appointment. The class should review County expectations and policies on supervision and management of employees, development of staff, and organizational culture and values. Human Resources should be charged with tracking compliance with this requirement.</p>	<p>Organization-Wide Training</p>	<p>Training Plan for Managers/Supervisors</p>	<p>Medium Term 90-270 Days</p>	<p>3/30/2009</p>	<p>Department Heads</p>	<p>IN-PROGRESS - The Succession Planning I & E Committee has developed a new supervisory course "Fundamentals of First Line Supervision" scheduled for two sessions in FY 2008-09. Cost estimates have been developed and will be included in a Succession Planning Report which will be presented to the Board in September 2008. Existing Transition to Supervisor workshop offerings have been increased until new course is complete.</p>	
<p>Recommendation 33: Require all supervisors to attend a minimum of eight hours of supervisory training each year. Supervision and management, like technical skills, require ongoing training and review to keep fresh. These eight hours would be included within the 20-hour target suggested in Recommendation 31 above.</p>	<p>Organization-Wide Training</p>	<p>Training Plan for Managers/Supervisors</p>	<p>Medium Term 90-270 Days</p>	<p>6/30/2007</p>	<p>Department Heads</p>	<p>COMPLETE - requirement communicated to Exec Council, Training Catalog, etc.</p>	

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 34: Provide guidance and coaching to department managers so they can give specific feedback to unsuccessful candidates. That way, these employees will be better informed about how to prepare themselves for future promotional opportunities. Feedback is important to learning and career development. Candidates should be given the opportunity to hear their perceived strengths, weaknesses and development opportunities so they may improve their skills and chances for promotion.</p> <p>Recommendation 35: Enhance the information provided by Human Resources to employees about County procedures for hiring, recruitment, promotion, and transfer. Further educating County employees on how the system works will help reduce fears of preferential and unfair treatment. Include information on resources available to employees for furthering their career development. The information should be provided regularly as part of the County's internal communication outreach to employees, as noted in Recommendation 7.</p>	<p>Organization-Wide Hiring and Promotional Practices</p>	<p>Resources to provide guidance and coaching for managers to provide specific feedback to unsuccessful candidates</p>	<p>Medium Term 90-270 Days</p>	<p>12/31/2007</p>	<p>Director of Human Resources</p>	<p>COMPLETE - Report presented to Succession Planning I & E Committee. Based on pilot program with the Courts and Child Support, a "Guide for Managers: Conducting Feedback Sessions After Departmental Interviews" has been prepared.</p>
<p>Recommendation 36: Create a formalized system to be used County-wide for the hiring of Extra Help positions. Departments should conform to some standard requirements as to how Extra Help positions are filled – but these requirements should not result in a delayed hiring process when departments need workloads covered immediately. Having a simple yet standardized system will reduce the appearance of bias or favoritism, as well as ensure a basic level of quality for Extra Help employees across the County.</p>	<p>Organization-Wide Hiring and Promotional Practices</p>	<p>Enhanced communication to County employees about hiring, recruitment, promotion and transfer practices.</p>	<p>Medium Term 90-270 Days</p>	<p>6/30/2007</p>	<p>Director of Human Resources</p>	<p>COMPLETE - A course entitled "Presenting yourself Successfully in a Civil Service Interview" is being offered through the County Training Catalog. This course covers procedures for hiring, recruitment, promotion and transfer as well as providing skills development techniques for interviewing more successfully. Other vehicles for communicating the information to employees will continue to be explored.</p>
<p>Recommendation 36: Create a formalized system to be used County-wide for the hiring of Extra Help positions. Departments should conform to some standard requirements as to how Extra Help positions are filled – but these requirements should not result in a delayed hiring process when departments need workloads covered immediately. Having a simple yet standardized system will reduce the appearance of bias or favoritism, as well as ensure a basic level of quality for Extra Help employees across the County.</p>	<p>Organization-Wide Hiring and Promotional Practices</p>	<p>Formalized system for hiring Extra Help employees</p>	<p>Longer Term 1-2 years</p>	<p>6/30/2007</p>	<p>Director of Human Resources</p>	<p>COMPLETE- A formalized system for hiring Extra Help was completed during the recent Extra Help negotiations process and has been implemented.</p>

Workforce and Succession Management Program

Status Report on 2006 Organizational Review Recommendations

RECOMMENDATIONS	Issue Area	Deliverables	Estimated Task Time	Completion Date	Responsible Manager	Status/Comments
<p>Recommendation 37: Fund and increase the County's recruitment outreach and advertising efforts to diverse populations on the Peninsula. Added resources may be helpful in drawing more applicants representing the diversity of cultures and languages reflected within the county.</p>	<p>Organization-Wide Hiring and Promotional Practices</p>	<p>Proposal to fund and increase recruitment outreach and advertising efforts to diverse populations on Peninsula</p>	<p>Longer Term 1-2 years</p>	<p>7/1/2008</p>	<p>Assistant County Manager, Deputy County Manager, Director of Human Resources</p>	<p>ONGOING - Recruitment outreach has expanded to include job fairs, college fairs and participation on ICMA-Preparing the Next Generation Committee. New Advertising contracts for recruitment services will be submitted to the Board in September for approval, opportunities for expansion of outreach continue to be explored.</p>
<p>Recommendation 38: Modify the County's performance evaluation system to ensure every County employee gets some form of structured feedback on his/her job performance at least once per year. As with other requirements, Human Resources staff should document that this feedback discussion has occurred and the employee should sign a statement that it has occurred.</p>	<p>Organization-Wide Performance Feedback</p>	<p>Performance Evaluation Improvement Plan - modify County performance evaluation system to ensure every employee receives structured feedback annually</p>	<p>Medium Term 90-270 Days</p>	<p>12/30/2009</p>	<p>Assistant County Manager</p>	<p>IN-PROGRESS - The performance management component of the new Learning Management System will be explored to support this recommendation in 2008 as part of a phased process to include EDP's, performance planning and 360 degree feedback</p>
<p>Recommendation 39: Modify the County's performance evaluation processes to factor in employee input as a component of supervisory reviews. This gives managers and supervisors specific feedback on how to further improve their performance, which in turn, increases skills and capabilities for promotion. Additionally, the collaborative nature of the County requires that supervisors and managers work well with their peers and be reliable collaborators. Peer feedback can provide useful information for professional development objectives.</p>	<p>Organization-Wide Performance Feedback</p>	<p>Performance Evaluation Improvement Plan - modify County performance evaluation system to include employee input as part of supervisory reviews</p>	<p>Longer Term 1-2 years</p>	<p>12/30/2009</p>	<p>Director of Human Resources</p>	<p>IN-PROGRESS - The performance management component of the new Learning Management System will be explored to support this recommendation in 2008 as part of a phased process to include EDP's, performance planning and 360 degree feedback</p>

Note: The Succession Planning Implementation & Evaluation (I&E) Committee was previously referred to as the Succession Planning Taskforce

Attachment B:
Chart of Succession Planning
Implementation and Evaluation
Committee Focus Areas

B. Chart of Succession Planning Implementation and Evaluation Committee Focus Areas

SUCCESSION PLANNING OVERSIGHT COMMITTEE
Executive Council

IMPLEMENTATION & EVALUATION COMMITTEE
David Boesch, Reyna Farrales, Mary McMillan, Peggy Jensen, Donna Vaillancourt & Succession Planning Task Force

New Employees	All Employees	Supervisors	Manager /III	Deputy/Assistant /Department Head/Director
<p>Develop a "Marketing Plan" and budget to attract young and diverse people to the County (#19)</p> <p>Expand attendance at high school and college career days (#22)</p> <p>Expand the number of presentation to colleges on the civil service procedures and County job opportunities (#23)</p> <p>Expand the use of paid and unpaid internships (#20)</p> <p>Explore a shadowing program or student day in government for high school students (#21)</p> <p>Explore a certificate program for government services at Junior colleges (#11)</p>	<p>Implement the annual target for every employee to receive 20 hrs of training each fiscal year (#25)</p> <p>Establish tracking of an annual target for every employee to receive 20 hours of training each fiscal year (#26)</p> <p>Expand the frequency of County training programs (#27)</p> <p>Explore expansion of multi-media training (#9)</p> <p>Explore development of countywide and/or inter-agency shadowing, mentoring, rotation, and internship programs (#9)</p> <p>Explore a certificate program for government services at Junior colleges. (#11)</p> <p>Start an on-site Bachelor's degree program when there is sufficient interest (#4)</p> <p>Restart MPA Program (#3)</p>	<p>Explore the use of employee development plans countywide (#10)</p> <p>Integrate core competencies into various programs, activities, and systems (#18)</p> <p>Implement the requirement that each supervisor attend a min of 8 hours of supervisory training (#29)</p> <p>Explore a supervisor relational program within departments (#7)</p> <p>Create an academy entitled "Fundamentals of First Line Supervisor" (#28)</p> <p>Restart the Career Development Assessment Center (#1)</p> <p>Expand the use of overlapping positions (#12)</p> <p>Evaluate the Accelerated Leadership Development Program for Mgmt Analysts and consider expansion to other levels (#31)</p> <p>Create and identify a succession plan for retiring managers (#17)</p>	<p>Restart the Career Development Assessment Center (#1)</p> <p>Restart the rotational analyst program in the CMC (#5)</p> <p>Expand participation in the Management Development/Mentoring Program (#24)</p> <p>Expand the use of overlapping positions (#12)</p> <p>Expand participation in the Management Development/Mentoring Program (#24)</p> <p>Expand the use of overlapping positions (#12)</p> <p>Encourage managers to announce their retirement well in advance (#8)</p> <p>Create an Executive Leadership Academy</p>	<p>Create and identify a succession plan for retiring managers (#17)</p> <p>Expand participation in the Management Development/Mentoring Program (#24)</p> <p>Expand participation in the Management Development/Mentoring Program (#24)</p> <p>Expand the use of overlapping positions (#12)</p> <p>Expand participation in the Management Development/Mentoring Program (#24)</p> <p>Expand the use of overlapping positions (#12)</p> <p>Encourage managers to announce their retirement well in advance (#8)</p> <p>Create an Executive Leadership Academy</p>

= Committee

**Attachment C:
Roster of Committee and Sub-
Committee Membership**

C. Roster of Committee and Sub-Committee Membership

I & E Steering Committee

David Boesch, County Manager’s Office, Chair	Lisa Okada, Human Resources
Donna Vaillancourt, Human Resources	Mary McMillan, County Manager’s Office
Anne Weiss, Human Resources	Nicole McKay, Superior Court
Candi Clarno, Information Services	Paula Cuneo, Assessor/Clerk/Recorder’s
Christy Morrill, Probation Department	Peggy Jensen, County Manager’s Office
Elvia Gonzalez, Human Resources	Reyna Farrales, County Manager’s Office
Gary Lockman, Parks Department	Rocio Kiryczun, Human Resources
Heather Ruiz, San Mateo Medical Center	ST Mayer, Health Department
Ignacio Guerrero, Child Support Services	Teresa Henderson, Human Resources
Joanne Ward, County Manager’s Office	Tom Merson, Sheriff’s Office
John Joy, Human Services Agency	Walter Martone, Public Works Department
Lisa Lopez, San Mateo Medical Center	William Lowell, Department of Housing

Recruiting Young and Diverse Employees Sub-Committee:

Ignacio Guerrero, Co-Chair	Peggy Jensen	Gary Lockman
Lisa Okada, Co-Chair	Dee Williams-Ridley	
	Sara T. Mayer	

Employee Development Plan Sub-Committee:

Donna Vaillancourt, Chair	Teresa Henderson	Anne Weiss
John Joy	Marnita Garcia-Fulle	Elvia Gonzalez
Bill Lowell	Rocio Kiryczun	
Donna Woher	Casey Echarte	

Multi-Media Sub-Committee:

Joanne Ward, Chair	Capt. Mark Hanlon	Noel Coloma
Reyna Farrales	Myra Yapching	William Lent
Candi Clarno	John Joy/HSA Staff	Marney Taylor

First Line Supervision Sub-Committee:

Teresa Henderson, Chair	Karen Devan	Rocio Kiryczun
Anne Weiss	Nicole McKay	

Rotational and Mentoring Sub-Committee:

Joanne Ward, Chair	Besem Obenson	Paula Cuneo
Mary McMillan	Lisa Yapching	Donna Vaillancourt

Transition Management Sub-Committee:

David Boesch, Chair	Lisa Lopez
Anne Weiss	Michael Bolander
Walter Martone	

Attachment D:
Workforce and Succession
Management Program Mission, Goal,
Strategies and Performance Measures

D. Workforce and Succession Management Program Mission, Goal, Strategies and Performance Measures

Vision Alignment: Strategic and Collaborative Community

Mission: Execute a systematic and multi-dimensional workforce management and succession strategy that promotes the county as an employer of choice, supports career growth and development of talent at all levels of the organization and optimizes organizational performance to ensure the continuity and success of county operations and service delivery to the community.

Goals	Strategies	Measurement of Performance Impact/Results
<p>Attract talent to the organization</p>	<ul style="list-style-type: none"> Develop a County brand and marketing program which establishes the County as an employer of choice Implement a coordinated, countywide internship program Conduct new hire focus groups/surveys, identify and implement improvements Update processes relating to County hiring, recruitment, promotion and transfer 	<ul style="list-style-type: none"> Increase # of qualified applicants Increase % of managers satisfied with new hires Comparison of County workforce to available workforce % of applicants rating hiring process as good or better
<p>Ensure leadership is developed to meet existing and future challenges</p>	<ul style="list-style-type: none"> Establish an Executive Leadership Academy Offer Leadership Forums Establish a Core Competency Development Program Expand Management Development Program Develop and Implement a First Line Supervision Academy Implement an onsite MPA Program Expand the BA/BS Degree program options Offer Coaching services for Aspiring Managers and other interested employees Create a Rotational Analyst Program Conduct an analysis of promotional hiring practices Establish a Countywide Employee Development Plan Program 	<ul style="list-style-type: none"> Increase #/% of internal promotions Increase % of employees exceeding training hour targets % of employees with development/performance plans

Goals	Strategies	Measurement of Performance Impact/Results
<p>Provide a workplace culture that supports employee engagement and retention</p>	<ul style="list-style-type: none"> • Create and implement training for employees on core competencies • Develop and implement exit surveys • Require talent development as part of primary job responsibility for supervisors and managers • Provide recognition to mgrs and sups that mentor and develop staff • Provide guidance and coaching to department managers so they can give specific feedback to unsuccessful candidates • Expand visibility of employee award and recognition programs • Offer innovative, cost-effective benefits and wellness programs • Implement intergenerational strategies • Expand Cultural Competency awareness and education 	<ul style="list-style-type: none"> • Reduce turnover rate • Benchmark and increase average length of service • Benchmark and increase employee engagement level
<p>Optimize knowledge management</p>	<ul style="list-style-type: none"> • Establish a procedure to overlap key positions • Identify ways in which jobs can be structured to accommodate newly retired individuals • Provide transition management training and resources • Expand the number of internal trainers • Establish processes/technology to document both explicit and tacit knowledge, which may include utilization of the County's Learning Management System/Knowledge Management module. 	<ul style="list-style-type: none"> • Increase #/% of employees and retirees providing training • Reduce the number of days key positions are vacant • % of customers/staff reporting minimal organizational disruption due to staff transition
<p>Improve individual and organizational effectiveness</p>	<ul style="list-style-type: none"> • Modify the county's performance evaluation system to ensure every employee gets some form of structured feedback each year • Modify the county's performance evaluation process to factor in employee input as a component of supervisory reviews • Modify the county's performance evaluation process to include results measures that are in alignment with county goals • Establish Management Audits Team (Management Analysts/Managers) to build internal capacity • Offer employee incentives for implemented budget suggestions that reduce costs and/or streamline services • Engage in proactive/strategic Workforce Planning (diagnostics) 	<ul style="list-style-type: none"> • Increase #/% of programs meeting headline performance measure targets • % of workforce receiving performance evaluations

**Attachment E:
Executive Leadership Academy
description**

E. Executive Leadership Academy description

The Executive Leadership Academy was established to prepare high-performing employees to compete for Assistant Director, Deputy Director and Department Head positions over the next five years. The County recognizes the need to develop the talent of its employees to assume executive leadership positions as baby boomers continue to retire. As with any career development program, participation in the Academy does not guarantee advancement or promotion.

The Training and Development Division of the Human Resources Department will manage the Academy. An Oversight Committee composed of the Assistant County Manager, Deputy County Manager, Human Resources Director, and selected Department Heads will oversee, direct, monitor, implement and assist in the evaluation of the Academy.

Academy participants are expected to fully participate in all three components of the Academy. Participants will be expected to devote time outside of the formal classroom setting to complete assignments. They will also be asked to help evaluate the quality and effectiveness of the Academy. An additional expectation is that participants continue employment with the County for three years beyond the Academy graduation.

All successful graduates will receive recognition by the Board of Supervisors and the opportunity to attend an Executive Management Program at U.C. Berkeley, Harvard or another institution.

The Academy will take place over a 15-month period and will consist of three major components:

❖ Component #1:**➤ Skill Assessment**

The purpose of this component is to identify the strengths and areas of development (sometimes known as “gaps”) for each participant and the cohort group as a whole. Participants will undergo an extensive skill assessment process, which will be measured against the County-adopted management competencies. The assessment will consist of a combination of customized and off-the-shelf instruments as follows:

➤ Assessment Center**➤ 360° Evaluation****➤ Department Head Feedback****➤ Self-assessment**

The skill assessment will take approximately three months to complete.

❖ Component #2:**➤ Skill Development**

The purpose of this component is to develop the skills and abilities of each participant based on the results of their skill assessment in order to be better prepared to compete for high level positions. This component is the most intense and will last up to eight months. There are three different elements to this component:

- Training: Based on the skill assessment summary for each participant and the group as a whole, a customized core curriculum based on the five to seven most critical competencies for the group will be developed. Each program in the curriculum will consist of a mix of principles and practices along with real-life scenarios and case studies. The County Manager, Assistant County Manager, Deputy County Managers and Department Heads will participate as trainers or discussion leaders for each program. Subject matter experts will also conduct training.
- Coaching: Each participant will have the opportunity to be coached by a professional Job Coach. The Job Coach will use the results of the skill assessment to provide feedback to participants on their areas of strengths and development.
- Employee Development Plan (EDP): Each participant will have their own Employee Development Plan (EDP) based on their particular developmental areas and career plan. The EDP may include additional training programs and/or coaching, assigned reading/research, peer study, shadowing, exchange program, etc.

❖ **Component #3: Application**

- The purpose of this component is to identify and complete a project that each participant wants to pursue which will improve leadership skills and advance career goals. The project can be completed individually or by a team and might culminate with a presentation to the Board of Supervisors, Executive Council or a Commission. The project may involve developing a proposal to resolve a County or department issue or to enhance revenue. Each project will be evaluated and the participants will get feedback from the County Manager, Assistant County Manager, Deputy County Manager, and a Department Head.

High performers in the organization who have skills, interest and commitment to become Directors, Assistant Directors and Deputy Directors within the next five years will undergo the following selection process:

The Oversight Committee consisting of the Assistant County Manager, Deputy County Manager, Human Resources Director and selected Department Heads will review the quality of the application materials for each applicant. Screening criteria will include the following: education and training, experience, goals and motivation, career aspirations and self-awareness. *Applicants who have done an outstanding job on these materials will proceed to the next step in the selection process.*

The County Manager and the Oversight Committee will interview those applicants who were advanced from the screening process. Recommendation for participation in the Executive Leadership Academy will be made as a result of these interviews. Pending approval by the Board of Supervisors, the top participants may receive a 2% salary differential upon successful graduation from the Academy

**Attachment F:
Rotational and Mentoring Sub-
Committee Report**

F. Rotational and Mentoring Sub-Committee Report**COUNTY OF SAN MATEO
Inter-Departmental Correspondence**

DATE: April 16, 2008
TO: Succession Planning Implementation and Evaluation Task Force
FROM: Rotational and Mentoring Sub-Committee
SUBJECT: Implementation Item # 8 – Proposed Budget
Explore the Development of Countywide and/or inter-agency shadowing, mentoring, rotation, and internship programs

RECOMMENDATION:

- A) Accept attached proposal of costs for FY 2008-09 for Work Plan #1 – Cohort #2 of the Core Competency Development Program
- B) Accept attached proposal of costs for FY 2008-09 for Work Plan #2 – County participation in the Management Talent Exchange Program (MTEP)

VISION ALIGNMENT:

Countywide rotational and mentoring programs will contribute to the commitment of responsive, effective and collaborative government by developing and preparing employees to fill key leadership positions due to retirements and increasing the overall effectiveness of the organization by ensuring that employees are trained to successfully fulfill job requirements.

BACKGROUND:

The Rotational and Mentoring Sub-Committee was convened in June 2007 at the request of the Succession Planning Implementation and Evaluation Task Force. The task of the sub-committee was to explore the feasibility of establishing several countywide programs such as a shadowing program, a mentoring program, a rotational program, and an internship program. After several sub-committee meetings and the completion of a preliminary cost-benefit analysis, the sub-committee unanimously agreed that using existing program infrastructures and building on their successes would be more manageable and cost effective than creating several new programs. Two work plans were presented to the Task Force in 2007. Work Plan #1 recommended using

the successfully piloted Core Competency Development Program as a mechanism for recruiting candidates. The pilot CCDP was launched in October 2006 and culminated in August 2007 with a graduation ceremony for 11 Management Analyst participants. The CCDP is a three-phased program that includes: 1) assessment; 2) short-term mentorship; and 3) long-term career planning through the use of Employee Development Plans. After the next CCDP participants are identified, their individual needs and interests will be determined and customized plans will be developed. Participant plans may include a variety of developmental experiences such as shadowing, mentorship, team projects, short-term rotational assignments, or cross-departmental internships.

The sub-committee also submitted Work Plan #2 provides a framework for County participation in the Management Talent Exchange Program (MTEP), which is a three-month exchange program with other cities and counties in the area. Participants in MTEP would be placed in a talent pool and matched with positions in other local government agencies in order to gain new experiences, form new working relationships, and build competencies.

DISCUSSION:

The Rotational and Mentoring Sub-Committee is currently focused on planning and preparing for the next round of the Core Competency Development Program (CCDP). The sub-committee recommends inviting Manager I level employees to participate in the next cohort, which is tentatively scheduled to begin November 2008. The sub-committee is also exploring the possibility of recruiting candidates for the next MTEP session.

FISCAL IMPACT:

The sub-committee has identified this list of primary costs associated with Work Plan #1:

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
Program Administrator - 0.50 FTE <i>(At least Management Analyst Level)</i>	\$68,000 <i>(Estimated salary plus benefits)</i>	From planning to graduation and evaluation, the program runs for nearly a year requiring varying degrees of oversight. Administrative activities include: chairing the CCDP steering committee, marketing that includes the development of program announcements, informational brochures, graduation program announcements, developing the application and recruitment process, developing assessment tools, organizing the Career Development Assessment Center, arranging orientation sessions, advising and corresponding with key stakeholders on an ongoing basis, developing training sessions and reference materials for program participants, mentors and key stakeholders, planning, coordinating,

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
		and facilitating the graduation, developing program evaluation data collection tools and processes, and assessing program effectiveness, and making recommendations for improvement.
Contract Support	\$10,000	Contract support is needed to provide support for the mentoring phase of the component including: technical guidance for selection of mentors, class instruction for mentor/mentee pairs, facilitating participant check-in meetings, and ongoing technical support for the program administrator.
Meetings, Trainings, and Graduation	\$7,000	This projection includes facility, food, and ancillary costs for the assessment center, trainings, meetings, and other events associated with the program. This also includes the cost of printing (but not designing) announcements, invitations, instructional brochures, training manuals, reference materials, awards, and certificates.
Total Estimated Cost of Key Expenditures	\$85,000	

The sub-committee has identified this list of primary costs associated with Work Plan #2:

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
Program Administrator (40 hours)	<\$3,000	Communicate availability and requirements to Departments, field questions, coordinate with Palo Alto Human Resources, perform program evaluation, and communicate results.
Program Cost	\$3,000-\$8,000	Assumes 3-5 participants - \$1,000 per participant cost.

CCDP Fact Sheet

August 27, 2007



ASSESSMENT ~ MENTORSHIP ~ DEVELOPMENT ~ PARTNERSHIP

Core Competency Development Program

What is the Core Competency Development Program?

- The program was created in August 2006 as a result of recommendations made by the Succession Planning Task Force
- The purpose is to help managers assess their skills, values, interests, and work styles and explore career development options using goal setting, planning, and real life experiences with the guidance and support of other managers in the County
- The program structure consists of three primary phases:
 - Assessing ~ participation in a Career Development Assessment Center including constructive feedback from assessors
 - Career Planning ~ building a development plan with the immediate supervisor
 - Mentoring ~ creating a contract and meeting regularly with a mentor

Who participated in the program?

- Any interested Management Analyst who completed the application process
- Assessors who conducted interviews at the Career Development Assessment Center
- High level managers who applied for participation in the program as mentors

What kinds of things did mentees do?

- Mentor/mentee pairs were matched by a committee that considered the interests and needs of each mentee
- Mentors and mentees completed eight hours of mentor training
- Mentor/mentee pairs completed contracts at the training session
- The mentoring contract contained personalized goals and objectives that each pair worked on over a period of six months
- Typical activities in a mentoring contract included:
 - Attending various classes related to the contract goals
 - Meeting and interacting with a wide range of managers
 - Working with peers and establishing networks
 - Working on projects and assignments of the mentee's choice
 - Shadowing and observing
 - Talking to a trusted mentor in a confidential and supportive environment
- Mentees concurrently worked with his/her immediate supervisor to develop a longer term career plan referred to as an Individual Development Plan (IDP)

When did the program take place?



Applications due	October 25, 2006
Career Development Assessment Center	December 14, 2006
CDAC participants receive feedback by	December 31, 2006
Mentoring orientation	January 31, 2007
Completion of Individual Development Plan	February 20, 2007
Training for mentors and mentees	February 21, 2007
Classroom session on how to build the Mentoring Contract	February 22, 2007
Mentoring phase of the program begins	February 23, 2007
Mid-Point check-in session for mentors and mentees	May 14, 2007
Final check-in session for mentors and mentees	August 14, 2007
Graduation!	August 27, 2007
Program Evaluation	September 2007

What participants said about CCDP:

- This was a wonderful opportunity for managers to interact with other managers
- The program was very customer friendly and organized
- I feel more focused about where I want to go in the County and what I want to do
- I plan to maintain my relationship with my mentor/mentee after the program ends

Will the program be offered again?

- An evaluation committee will meet in September and they will:
 - Review feedback from participants and decide how the program could be improved
 - Determine when the program will be offered again
 - Decide what other manager classifications would benefit by participation in the program



Who should I call if I have questions?

Joanne Ward, CCDP Coordinator
 County Manager's Office
 650-363-4122

**Attachment G:
Transition Management Sub-
Committee Report**

G. Transition Management Sub-Committee Report**COUNTY OF SAN MATEO****Inter-Departmental Correspondence**

DATE: April 16, 2008
TO: Succession Planning Implementation and Evaluation Task Force
FROM: Transition Management Committee
SUBJECT: TRANSITION MANAGEMENT
An Essential Element of Sound Succession Planning

BACKGROUND:

The County of San Mateo created its Succession Planning Implementation and Evaluation (I & E) Committee in early 2007, in order to create the necessary structure to ensure follow-through on the recommendations contained within the Organizational Review prepared by Management Partners. The Management Partners report documented 79 specific recommendations for organizational improvement, 31 of which focused on the issue and importance of effective succession planning. While the County had a proven track record of being innovative and a leader in this arena, the consultants identified a number of specific areas where increased effort would be to its advantage. Ultimately, six highest priority recommendations became the focus of the Committee's work.

The inaugural meeting of the I&E Committee was used as an opportunity to form into subcommittees and brainstorm ideas around each of the six tasks. The I & E Committee presented its recommendations to the County's Executive Council in March 2007 for its concurrence with the proposed priorities and overall work plan. Committee representatives stressed the importance of the organization's leadership making this a high priority, and enlisted their direct support. In addition, the Committee sought the active involvement of each department head in identifying a year or more in advance those managers planning to retire, and creating a succession plan to replace them prior to their last day. Department heads were asked to identify other key positions where retirements may occur and to consider using appropriate measures like providing sufficient overlapping ("double-fill") and preparing Employee Development Plans (EDPs) to guide those who aspire to advance to higher-level positions within the organization.

This report addresses the work done on recommendation # 16 from the Draft Implementation Plan for the Succession Planning Program titled Explore Incentives for Retirees to Assist in Succession Planning or Simply to Delay Retirement. As the I&E Committee began its work with a sharpened focus and made plans for tapping into the experience within the organization and best practices elsewhere, it provided some helpful ideas to each subcommittee to use in getting started. Specifically, that group brainstormed the following in response to the statement *Explore incentives for retirees to assist in succession planning or simply delay retirement*:

Providing compensation for individuals to announce their retirement in advance; create a way to make it safe; allow more time off; provide flexibility; build sabbaticals within the last several years before retirement; link to volunteer opportunities; find out what motivates retirees; double fills; legacy; provide opportunities to contribute in other ways; knowledge capture; and, identifying key positions.

After further review, the Subcommittee members discussed the issues, and became convinced that the charge is not to seek incentives for people to delay retirement per se; but, instead, is to ensure that the organization is well prepared when transitions occur as a result of retirements. Moreover, the group also recognized that the lack of adequate planning and preparation is not only problematic at supervisory and management levels, but can involve other critical positions throughout the ranks of the organization. The group settled on a working definition of its purpose as: **To provide the departments with the incentives, tools, policies, programs, flexibility and other assistance that will enable them to ensure smooth transition of knowledge, institutional memory, information and other pertinent job related skills to subordinates and/or successors.**

DISCUSSION:

Subcommittee Work: Summary

As its starting point, the Subcommittee reviewed the research contained within the Management Partners report, which included information about the number of projected retirements likely to occur in the near-term future. The Review identified that 74% of the County's top managers are over 50 years old, and 28% are between 55 and 60. It also documented that 56% of mid-level managers are over 50, 53% of whom have 15 or more years of service. In the supervisory ranks, another 43% are over 50. The report identified the challenges presented in terms of the potential loss of institutional memory and job knowledge, as well as concerns over the lack of work process documentation.

The Committee also obtained confidential information from Human Resources in order to better understand which departments were particularly susceptible. The information provided included breakdowns by age and years of service, concluding that 350 employees organization wide were 55 or older and had 20 years of experience; and, that in one half of the County's departments, in excess of one-in-five employees are already eligible to retire.

The Subcommittee also conducted research into best practices from elsewhere. What we found is that our County is steps ahead of most. We did discover some interesting ideas, however, and have incorporated those into our recommendations. For example, Washoe County, Nevada provides its retiring employees with an outline of an effective “exit strategy”, whereas Palo Alto has an outline comprised of questions for one to think about in terms of documentation, job shadowing and organizational suggestions. We also learned of examples where some organizations are experimenting with financial incentives as a means of rewarding and reinforcing desired behavior, like Contra Costa County’s 2% bonus to those who announce their retirement early. In the case of the County of Marin, it is in the process of proposing/developing a retiree program where they plan to actively recruit retirees back to the workplace, while the City of Modesto has developed succession plans where they use retirees to mentor, coach and assist with transitions.

The committee began their research efforts by examining the types of benefits the County of San Mateo currently offers their employees. Additionally, the committee met with Paul Hackleman, the Benefits Manager for the County, to learn the issues that are currently facing the County. The Subcommittee interviewed Paul Hackleman to tap into his vast knowledge and experience about the possibilities and limitations within the existing County retirement system structure and the legal implications of providing additional incentives.

The group also participated in a Web cast conference titled “Retiring Retirement”. The upshot of this area of research was a better understanding of and appreciation for the changing workplace, with people from different generations having different needs and interests, and how the successful organizations of the future will be adaptive and flexible. To be successful in retaining employees nearing retirement or those who desire to return in some capacity, it is incumbent on the County to recognize that most people retire for reasons having to do with their desire to reduce work hours, health issues (theirs or another needing care), maximizing retirement benefits, having more leisure time, or occupational reasons (disability). The research implied that the County should evaluate any and all practices that encourage or require retirement, be open to new definitions of “full time”, create opportunities for cyclic and project work and offer lateral career opportunities for those no longer interested in promoting. Lateral opportunities provide the organization the ability to retain experienced people who can continue to produce and contribute.

Another phase of the work involved surveys and focus groups. Management staff was sent questions to answer and department heads were asked to fill-out an on-line survey. The surveys provided a source of information about the experiences within the organization, both favorable “best practices” and not, as well as a way to increase awareness about the importance of planning for retirement-related transitions. The feedback provided the raw material from which many of these recommendations are drawn. A number commented to the effect that the organization is best served when people feel it is safe to announce their plans to retire well in advance, so that there is ample time to prepare and implement plans. Others stressed the importance of having systems in place that capture institutional knowledge, while others emphasized training and developing staff to assume increased responsibility, regardless of the reason necessitating a transition in leadership. After the initial research was completed, the committee developed an e-mail questionnaire that was sent to current management level employees within the County. The survey contained four questions about individual department practices relating to succession planning.

In addition to the internal survey, the committee also developed and administered a survey to outside organizations to gauge the level of succession planning efforts within their organization. The purpose of the survey was to glean what type of incentives the County could offer to those about to retire and recent retirees. The group learned that some organizations were piloting programs that provided those planning to retire with some options, either as they looked to step down into a role less demanding or as they weighed options for reentering the workforce post-retirement.

The final stage of data collection consisted of focus groups of County employees: recently retired department or division heads; newly appointed department or division heads; those likely to retire in the near future; and, current management level employees. Focus group participants recommended beginning the process of transition planning three years in advance, with progressively more emphasis and more specific activity as the actual date approaches. The findings and recommendations have been formatted to reflect the need to begin early. Transition planning is a part of creating an organizational culture that is based around attracting and retaining top talent, nurturing employees and continuous succession planning practices.

Current Practices and Issues

The County of San Mateo offers its employees a comprehensive benefits package that includes core benefits, such as health, vision, dental, and life insurance plans; as well as work/life programs, such as the Employee Assistance Program (EAP), Dependent Care Assistance Program, and catastrophic leave. The County also offers additional incentives including paid holidays, bilingual pay, vacation accrual that increases with years of service, flexible schedules, telecommuting, subsidies to commute by transit or ride-sharing, County-wide training programs, tuition reimbursement, service awards, and degree programs.

Presently, the County is facing the same issues as other public agencies and business sectors regarding succession planning and preparing the next generation of leaders. It appears that more employees are taking advantage of early retirement and, therefore, a longer retirement. The exit of these workers, specifically the baby-boomer generation within the next 8-10 years, and an insufficient replacement supply of workers has the potential of stretching health insurance and pensions systems to their limits.

E-mail Questionnaire

An e-mail questionnaire was sent out to all **management level employees** with the goal of determining what the current succession planning practices are within their specific departments. The survey contained four questions:

Question 1: If you were ready to plan your retirement transition, what needs to be addressed to ensure a smooth transfer of knowledge, institutional memory, information, and other pertinent job related skills to subordinates and/or successors for your position?

The group identified the following areas to be addressed:

- Establish a plan for a possible successor from within the organization; ideally, plan for a one to two-year transition, and work closely with the successor to ensure a smooth transition of knowledge and institutional memory.
- Identify core competencies.
- Provide training to supervisors and leads.
- Develop a list of pending projects/contracts with a ranking of importance and develop a list of funding sources for the division.
- Create a “State of the Division” paper that would ground the incoming manager in the mission critical activities.
- Ensure that sections/units under supervision of the departing staff member are fully staffed and trained.
- Create a manual or handbook to retain institutional memory and other job related information for future reference.
- Have a plan in place to provide information regarding programs/issues that are specific to the County.
- Identify all functional areas within the department.
- Delegate as much as possible to existing managers and provide an opportunity for them to actually perform the tasks, allowing time for the work to be reviewed and questions asked.
- Identify subordinate individuals and place them onto similar career paths where philosophies could be mentored.

Question 2: What would motivate you to delay or return from your retirement to ensure a smooth transition?

The group identified the following motivators:

- Explicit mentoring opportunity that allows some reduction in day-to-day operational activities; not just another duty that must be carried out, but dedicated time to do the mentoring.
- No negative impact on retirement or benefits.
- Percentage bump in pay to announce retirement at least one year in advance.
- Longevity pay to managers.
- Flexible schedule.
- County to offer a Deferred Retirement Option Plan or not require continued payment into the retirement system.
- Allow additional paid time off during the last year before retirement, if retirement is announced one year in advance.
- Provide pay rates for returning employees equivalent to at least current pay rate plus benefits.
- Cover the retiree health premium above what has been earned by the employee.
- Allow returning employees to perform projects that interest them.

Question 3: If you returned to work for San Mateo County post retirement, what role, projects, and/or positions would be of interest to you and why?

The group identified the following areas of interest:

- Role of mentoring/guiding others that enabled the retiree to share learning's at a different pace than the responsibilities of day-to-day division / operational / program leadership.
- Teaching and training opportunities.
- Assist with tasks that did not involve the supervision of others.
- Project specific activities with clear boundaries.
- Role of management consultant working on specific projects that are of significance and provide a fulfilling professional and personal development opportunity.
- Organizational development.
- Projects not directly involved with current areas of responsibilities.
- Represent the department in a countywide, regional, and statewide organization on important projects.

The opportunity to contribute towards a personal legacy within the department or for the County as a whole

Question 4: Please describe any incentives that you believe the County should offer to employees or retirees, which would be beneficial in ensuring a smooth transition for future key positions.

The group identified the following as incentives:

- Establish a compensation rate to pay retirees what would make it worthwhile for them to return; that includes their former pay rate plus a percentage as incentive.
- Make a one-time employer contribution to deferred compensation as an incentive to delay retirement.
- Encourage the use of “double-fills” so that there can be a training period while the incumbent is still working.
- Provide roles like trainer, participant on hiring panels, coaches for employees, corrective action investigators, project advisors, and mediators of workplace conflict.
- Expect professionals to plan and execute transitions without extra incentive.

Survey of Outside Organizations

In addition to the internal survey, the committee developed a second survey that was administered to a selection of public sector agencies. The agencies were selected from an e-mail list that was obtained from the County of San Mateo Human Resources Department. Three separate attempts were made at administering the survey to the selected agencies; two via e-mail and one in-person survey at a regional human resources council meeting. Out of the 34 agencies that were surveyed only five responded. While disappointing, the results confirmed that San Mateo County is ahead of most organizations in its efforts toward succession planning.

Focus Groups

The final stage of the committee’s research consisted of the facilitation of four focus group sessions: Session one consisted of recently retired department or division heads, session two consisted of newly appointed department or division heads, session three consisted of likely near future retirees, and session four consisted of division managers. The smallest group contained five members and the largest group contained eight members. Each focus group lasted approximately one and one-half hours and the committee asked each group a minimum of four questions.

The **recently retired** focus group was asked about their thoughts on the following questions:

Question 1: In terms of your own retirement: How did you prepare the organization?

Questions 2: What did you do with/for your successor? Anything unusual or creative involved? Was the transition successful?

Question 3: What could have been done to make the transition from you to your successor more successful?

Question 4: Are there roles and/or assignments that you would be willing to do for the County? Under what conditions/arrangements?

The participants identified the following major themes:

- Need more mid to upper level management positions to provide support to directors, allow for employee development/advancement, effective cross-training, and to give support to the director to plan effective succession plans and transitions.
- Are these efforts a serious and long lasting commitment by the County Manager's Office (CMO)?
- Succession and transition planning should become part of the County culture.
- Include a specific section on Succession and Transition planning in all departments' Outcome-Based Management (OBM) reports and include Succession Planning performance/expectations in all performance evaluations for supervisors and above.
- All developmental opportunities internally and externally need to be fair and open to everyone
- Leadership development should focus more on work experience opportunities vs. training.
- Succession and transition planning is jeopardized when there is a domino effect. There needs to be support and effective planning when multiple positions are transitioning.
- Coaching and mentoring only a select few needs to be avoided.
- Assess double-fills to determine if authority will be challenged or confusing to others
- Time, resources, and support need to be budgeted, as well as a commitment/ support from the CMO for effective succession and transition planning to be accomplished
- The County needs to demonstrate commitment by ensuring appropriate staffing numbers and levels.
- A retiree skills bank is needed.
- Conduct exit surveys/interviews to determine interest, availability and skills/expertise of retirees and use as a resource list for departments to hire extra help.
- Use of retirees are extremely cost effective (extra help pay) and they are a significant asset due to their knowledge and expertise of the County culture and operations.
- Early retirements are occurring due to heavy workloads. Directors and upper level management employees are drained of their energy due to the high volume of work and understaffing.

- Each transition and succession plan is unique and needs to be customized. One plan does not fit all.

The **newly appointed department or division heads** focus groups shared their thoughts in response to the following questions:

Question 1: What has been your experience with the County's succession planning

Question 2: How were you prepared for your job?

Question 3: What else would have been beneficial from your predecessor before you assumed this job?

Question 4: What opportunities/tools/training/etc. would have improved your ability/confidence/productivity in your new job?

- Begin planning at least three years in advance.
- Assess and plan early if any reorganization of the department is needed prior to retirement.
- Critical to document/capture institutional knowledge as well as policies/procedures.
- Define/educate on the differences between transition and succession planning and determine how to plan and act effectively on both.
- An assessment by the CMO is needed prior to a director leaving to determine the outgoing director's availability and interest to continue to support/advise the new director. In addition, an assessment/dialogue is needed with the new incoming director to determine the level of support/follow up that is desired from the outgoing director.
- During the transition, it is critical that the outgoing director has open dialogue and shares information with the incoming director regarding any promises, deals or secrets.
- Provide cross-training in all areas when preparing someone for a high level position to avoid narrowing their scope of expertise or experience.
- New directors should have a countywide orientation and support plan regarding the various systems. Orientation/support to include but not limited to orientation packets; support network; director retreats to improve the transition.

In sessions with likely **near future retirees** and **division managers**, these focus group participants were asked to share their thoughts about the following questions:

Question 1: What kinds of commitments should the County be making to succession planning?

Question 2: What does a successful transition look like? How would you evaluate success?

Question 3: What specific elements would make succession planning and transitions more successful?

Question 4: Are there roles and/or assignments that you would want retired workers to come back to work on for your Department? Under what conditions/arrangements?

These two groups identified the following major themes:

- Unable to commit or focus on succession and transition due to staffing shortages
- There is a lack of incentive, interest or desire by employees to move up due to poor compensation and heavy workloads of management
- There is no budget or support for the purpose/intent of hiring extra help. Extra help monies are used to temporarily fill permanent vacant positions.
- Need more recruitment strategies especially with hard to fill positions. More work is needed in recruiting
- Focus on improving recruitment processes and strategies
- Identify critical positions, not just upper level positions, and insure these positions are included in the department's succession plan
- Do a job analysis first prior to any succession or transition planning
- EDPs should consider employee goals and performance
- Both County and the employee need to demonstrate commitment

SamCERA Workshops

The subcommittee learned that SamCERA was holding a series of workshops in early 2008 for those planning and preparing for retirement. A set of materials was quickly assembled in order to give those attending information about managing smooth transitions. The attachments to this report have been distributed and can be refined for use by others as suggestions to consider and checklists to utilize as appropriate.

FINDINGS AND RECOMMENDATIONS:

Finding Number One:

The key to ensuring a successful transition is to have advanced knowledge of the retirement plans for staff members in critical positions.

It is more important to have adequate time to do succession planning and effect a smooth transition, than it is to simply delay the inevitable departure of employees. The creation of incentives for individuals in critical positions to delay their departure does no good if the department/division/program continues to find itself without a viable transition plan. It is much more important to ensure that the incumbent develops and implements a plan well in advance of their planned departure.

Recommendations:

Make succession planning and the development of transition plans a component of all managers' performance evaluations.

Ensure that notifications of impending retirements are kept in confidence if that is the desire of the employee. Allow employees to confidentially reveal tentative retirement plans, with the understanding that the ending date can be adjusted.

Investigate further the issue of incentives for employees who provide over one year notice of their planned departure, and who develop and implement clearly laid out transition plans. Incentives could be in the form of additional time off with pay, additional educational and professional opportunities (including conferences, workshops, etc.), sabbaticals, other forms of monetary incentives (deferred retirement contribution, extended benefits coverage, etc), or time set-aside to effectively plan and prepare the Department for his/her retirement.

Avoid any practices that encourage or require retirement.

Finding Number Two:

Succession planning is an important organization-wide commitment and is appropriate for all County Departments, Divisions, and Programs. Transition planning is narrower in focus and needs to be tailored to the situation.

Succession planning prepares individuals for promotion. A structured succession planning program utilizes Employee Development Plans, training and cross training opportunities, job shadowing, job sampling (Work Out of Class), mentoring, on the job training and other activities. Special assignments may be within the employee's own department, or may be in other departments or programs. Succession planning is all about developing the future potential of staff.

Transition Planning is conducted when the incumbent has specific plans to retire and is preparing the department and organization. Transition planning includes preparing, reviewing, revising/updating department policies, procedures and practices to ensure all internal practices are documented/captured and current, in order for a smooth transition for the successor/department. Transition Planning can also occur or continue after the appointment of the successor, and range from several weeks or months up to a year prior to the departure of the incumbent (double fill) for training purposes.

Transition planning is oriented to the preparation of individuals for a designated position. Transition planning can be the most effective form or result of succession planning, particularly when the successor comes from within the organization and has had the opportunity to learn from the incumbent.

Recommendations:

Employee Development Plans should be developed for/offered to all employees for the purposes of preparing employees for lateral opportunities and promotion.

The County should continue to provide a combination of training and on-the-job experiences with special projects and Work Out of Class for employees.

The County should develop and implement a program of managing transitions that includes guidance and training that builds on the use of the attachments included with this Report.

Finding Number Three:

Documentation is one of the most important things that Departments/Divisions/Programs can do to prepare for the smooth transition of leadership.

Institutional knowledge can be lost when long-term employees depart. The capturing of this knowledge is most effectively done prospectively, “in the moment” instead of trying to recall all of the important issues, policies, past practices, commitments, key contacts, etc. after a decision is made to move on and a date has been set. The loss of historical information puts the successor at a disadvantage after assuming their new role. Not only does it increase the time required to “get up to speed,” it can lead to decisions based on imperfect information and could result in costly mistakes in terms of money, time, relationships, and credibility.

Recommendations:

Managers should be required as part of their performance reviews to address and demonstrate that important items that would be useful for someone moving into their position in the future have been adequately documented, using available tools such as Employee Development Plans.

Documentation of past practices and other pertinent institutional knowledge should be required as part of any transition plan.

Finding Number Four:

There currently exist a variety of tools to implement comprehensive succession plans and transition plans.

The County has a number of tools, including double-filling of positions, provisional appointments, rotational appointments, under-filling of classifications, employee development programs, tuition reimbursement, opportunities to attend specialized training, reimbursement for certain certifications and licenses, reimbursement for attending workshops and conferences, mentoring programs, and a wide variety of County sponsored training programs.

Recommendations:

Develop outreach communication about the various tools available.

Create a toolkit for department/divisions/programs to use in creating their own transition plans. For example, drawing from the attachments to this Report.

Provide transition management training for management level staff.

Document case studies of successful transition planning efforts and make this information available to departments as part of the toolkit. Use this information to create a list of “best practices.”

Finding Number Five:

There already exists a number of ways for retired County employees to return to work for the County.

Based on the survey responses and input from the focus group sessions conducted, most retired workers have/had carefully selected their retirement date and have no desire to return to their former position. Many of the retirees who indicated an interest in accepting some type of work assignment from the County after their retirement were adamant that it would have to be “on their terms.” By this it was meant that the type of assignment, working hours, length of assignment, etc. must meet the needs of the individual. The existing methods of compensation (extra help or personal services contract and/or reimbursement for expenses) seemed to be adequate and appropriate. It was noted that the compensation should be commensurate with the assignment. A number of individuals indicated that having the time and flexibility to do what they desired far outweighed any monetary compensation.

Recommendations:

Continue and expand our practices of recruiting retirees to return to County employment for special assignments under extra help or personal services contracts.

Provide guidance to departments on how to value the services to be provided in order to establish appropriate compensation levels.

Establish a skills bank of retirees who are interested in providing services for the County and the types of services they would provide.

Create an exit survey for departments to administer to every employee prior to or immediately following retiring or resigning from the County, in order to capture the reason(s) for leaving and if there are any desires to return to the workplace and in what capacity. Human Resources should review this information and conduct periodic surveys to gather further information when appropriate.

Conduct periodic focus groups of recent retirees to continuously gather information on the successes/short-comings of the County’s succession planning and transition management programs, and to identify those things that are important to the new generations of retirees.

Finding Number Six:

Individuals assuming senior level management positions would benefit from an orientation to how the County does business and opportunities for networking.

New senior level managers who have joined the County from outside do not receive any formal orientation to how the organization operates. For example, a more comprehensive “on-boarding” would include administrative policies, protocols, budgeting, key contacts, procedures and rules, who to go to for what, when an immediate response is critical, etc. Significant time is lost when the manager has to search in order to figure the right way to proceed. Although there are many excellent County manuals and other documentation, it is voluminous and hard for an individual to digest in a short period of time. Depending on the level of the management position, the information may be far more extensive than is really needed. One of the ways that some managers learn important information and how to navigate the system is through informal contact and networking with their peers.

Recommendations:

A reference guide should be developed to let individuals know where to get answers on specific and general topics; including a brief summary of what is contained in important County documents (Charter, Ordinance Code, County Manager’s Memos, etc.), and identifying where documents and other information are located (Intranet – under xyz department listing, etc.).

Opportunities should be created for senior level managers to interact. This could be in the form of periodic retreats and/or informal opportunities where individuals can come together to learn, socialize and make connections.

Finding Number Seven:

In order to implement a comprehensive succession plan, a part of which is effectively managing transitions, departments/divisions/programs need to have resources to take advantage of existing tools/methods/opportunities.

A number of these recommendations have a cost. Allowing an employee to attend training, providing time for job shadowing, double filling a position, etc. creates an added expense, often in the form of an actual payment, backfilling a position while the employee is on assignment, or the creation of a backlog of work. The development and implementation of a transition plan will not become a priority if it creates additional hardships on the individuals involved. Implementing comprehensive planning for all of its critical positions requires that it be made a priority and a commitment of resources.

Recommendations:

Funding should be considered at the Preliminary Budget review stage and made available for departments/divisions/programs that have developed detailed transition plans and can demonstrate that they do not otherwise have the resources in-house to implement the plans.

The County Manager’s Office should require each department to address the issue of pending retirement and transition planning as part of annual Budget Meetings.

FINDING NUMBER ONE:

The key to ensuring a successful transition is to have advanced knowledge of the retirement plans for staff members in critical positions.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE PARTY
Make succession planning and the development of a transition plan a component of the Manger’s performance evaluation	No	Employee, Department, HRD, and CMO
Ensure that notifications if impending retirements are kept in confidence if that is the desire of the employee	No	Employee, Department, SamCERA, and HRD
Investigate further the issue of incentives for employees who provide over one year notice of their planned departure, and who develop and implement clearly laid out transition plans	Yes, mainly in salary and benefits	Department, HRD, and CMO
Avoid any practices that encourage or require retirement	No	Department, HRD, and CMO

FINDING NUMBER TWO:

Succession planning is important organization-wide commitment and is appropriate for all County Departments, Divisions, and Programs. Transition planning is narrower in focus and needs to be tailored to the situation.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE

		PARTY
Employee Development Plans (EDP) should be developed for/offered to all employees for the purposes of preparing employees for lateral opportunities and promotion	No	Employee, Department, and HRD
The County should continue to provide a combination of training and “on the job” experiences with special projects and “Work Out of Class” for employees	Maybe	Employee, Department, and HRD
The County should develop and implement a program of managing transitions that includes guidance and training that builds on the use of the attachments included with this report	No	Employee, Department, and HRD

FINDING NUMBER THREE:

Documentation is one of the most important things that Departments/ Divisions/Programs can do to prepare for the smooth transition of leadership.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE PARTY
Managers should be required, as part of their performance reviews, to address and demonstrate that important items, that would be useful for someone moving into their position in the future, have been adequately documented	None	Employee, Department, CMO, and HRD
Documentation of past practices and other pertinent institutional knowledge should be required as part of any transition plan	None	Employee, Department, CMO, and HRD

FINDING NUMBER FOUR:

There currently exist a variety of tools to implement a comprehensive succession plan and/or transition plan.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE

		PARTY
Develop outreach communication about the various tools available	None	Department, CMO, and HRD
Create a toolkit for departments / divisions / programs to use in creating their own transition plans (see attachments)	None	Department, CMO, and HRD
Provide transition management training for management level staff	No	Department, CMO, and HRD
Document cases studies of successful transition planning efforts and make this information available to departments as part of the toolkit	No	Department, CMO, and HRD

FINDING NUMBER FIVE:

There already exists a number of ways for retired County employees to return to work for the County.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE PARTY
Continue to expand our practices of recruiting retirees to return to County employment for special assignments under extra help or personal service contracts	Yes, in salary	Employee, Department, CMO, and HRD
Provide guidance to departments on how to value the services to be provided in order to establish appropriate compensation levels	None	CMO and HRD
Establish a skills bank of retirees who are interested in providing services for the County and the types of services they would provide	Maybe	Department, CMO, and HRD
Create an exit survey that every employee completes prior to or immediately following retiring or resigning from the County in order to capture the reason(s) for leaving and if there are any desires to return to the workplace and in what capacity	None	Department and HRD

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE PARTY
Conduct periodic focus groups of new retirees and new hires to continuously gather information on the successes/short-comings of the County’s succession planning and transition management programs, and to identify those things that are important to the new generations of retirees and hires	Yes, facility and other logistical costs	Employee, Department, CMO and HRD

FINDING NUMBER SIX:

Individuals assuming senior level management positions would benefit from an orientation to how the County does business and opportunities for networking.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE PARTY
Opportunities should be created for senior level managers to interact. This could be in the form of periodic retreats and/or informal opportunities where individuals can come together to learn, socialize, and make connections	None	Department and CMO
A reference guide should be developed to let individuals know where to get answers on specific and general topics; including a brief summary of what is contained in important County documents (Charter, Ordinance Code, County Manager’s Memos, etc.), and identifying where documents and other information are located (Intranet – under xyz department listing, etc.)	None	Department

FINDING NUMBER SEVEN:

In order to implement a comprehensive succession plan, a part of which is effectively managing transitions, departments/divisions/programs need to have resources to take advantage of existing tools/methods/opportunities.

RECOMMENDATION	COST	SUGGESTED PARTNERS OR RESPONSIBLE PARTY
Funding should be considered at the Preliminary Budget review stage and made available for departments/divisions/programs that have developed detailed transition plans and can demonstrate that they do not otherwise have the resources in-house to implement the plans	Situational	Department and CMO
The County Manager’s Office should require each department to address the issue of pending retirements and transition planning as part of the annual budget meetings	Situational	Department and CMO

Attachments: A Transition Planning Guide for San Mateo County Critical Positions

A TRANSITION PLANNING GUIDE FOR SAN MATEO COUNTY CRITICAL POSITIONS

April 2008

This guide outlines the roles and responsibilities of the County Manager, key management staff, the Human Resources Department and retiring/departing employees who hold critical roles in the County. The intent is to provide strategic, systematic and deliberate activity to ensure San Mateo County's successful transition to future leadership. The process to be followed and information needed to have a smooth transition of senior leadership may be adapted to address additional critical roles within departments.

Retiring/Departing Leader's Perspective. Effective leaders plan to exit in as positive and graceful a manner as they entered. An excellent successor is the ultimate leadership responsibility. A successful transition can be a seamless, productive and unifying experience. Most people will be remembered for just a few words or deeds that made a difference to others. The way leaders choose to say good-bye is likely to be one of the ways they are remembered. Execute your final leadership responsibility with the same care and attention that you gave to the first, and let your departure be an inspiring gift to the County.

San Mateo County Perspective. Each department, working together with the Human Resources Department, deals with identifying critical positions and future vacancies with the intent of ensuring current and future capability. Mission critical functions and positions may be at senior levels or other levels requiring particular technical or specialist capabilities that are crucial to achieving San Mateo County goals. It is the responsibility of the County Manager (for Department Directors), or the appropriate Department Director (for staff members within their department) to work with senior leadership to design their exit strategy in such a way that the leader is honored and the position is filled in a timely manner allowing for a smooth transition. The Human Resources Department provides assistance, training, and tools to accomplish this function.

The following outlines a preferred transition strategy for leaders. It includes time lines, activities, and whom to involve.

1. As you consider planning for retirement, think about the future:

- a. What is the long-term direction of the department? Do you have an effective strategic plan? What key areas require continuity and development of staff resources?
- b. Take stock of those areas where your personality, skills or influence are the key elements in success of the department and begin a program to transfer these attributes to others.
- c. What are your professional objectives? What would you like to see come to fruition prior to your retirement? In what ways can you make it easier for your successor to be successful in your position?
- d. Ensure resolution of outstanding issues within the department and review with your successor.

2. **Annually the County Manager and Department Heads will conduct a confidential survey to determine where individuals in key positions are planning retirements.** The attached Process for Creating and Identifying a Succession Plan for Retiring Managers form can be utilized for this purpose.
3. **Discuss your intent to retire with the County Manager, or appropriate Department Director, preferably at least 12 months in advance.** Such advance notice is immensely valuable to planning for your succession and will be handled in **STRICT CONFIDENCE**, as you desire. The attached Leadership Transition Questionnaire can facilitate the discussion and should be completed prior to the meeting. At the meeting, you should minimally cover the following:
 - a. Your expected retirement/departure date.
 - b. The department's vision and major issues the department is likely to face in the next 5 years: Identify the main challenges and the competencies required of the leader; review how the work is changing and what is driving organizational performance; discuss key skills and experience the new person must have to carry out the mission and strategy of the department.
 - c. Identify when you will write your letter of intent to retire and how it will be announced.
 - d. Plan an exit interview.
4. The County Manager/ Department Director forwards notice to the Human Resources Director for further confidential discussion:
 - a. HR Director reviews and discusses options with leader.
 - b. HR Director will review how a leader is appointed, chosen, etc. in compliance with County rules and procedures.
 - c. Decide when to announce retirement/resignation date to allow time for search for replacement (ideally, no less than 6 months.)
 - d. Agree on the skills, knowledge, experience and passion needed to successfully implement critical activities. Deciding which skills are not as important is just as critical.
 - e. Discuss the potential of a reorganization that may impact what type of qualifications will be looked for in a successor, or whether identification of a successor is necessary.
 - f. Decide whether it is important and appropriate for the successor to be appointed while the incumbent is still employed. If yes, decide on how long the overlap should preferably last.
 - g. Assess leadership needs; assess current leader and leadership team's strengths and weaknesses; identify possible internal candidates to succeed; consider external candidate's transition and any emergency succession plans.
 - h. If internal candidates are identified, determine if special training is necessary and available.

5. As part of the recruitment process, you will need to:

- a. Review, update and Identify new competencies, responsibilities, duties, tasks, and essential job functions of the position.
- b. List specific examples of how these competencies, functions, etc. are exhibited in this job.
- c. Develop a clear understanding of the capabilities required for effectiveness and high performance in the role.
- d. Identify the less tangible critical skills:
 1. Ability to motivate and inspire teams.
 2. Intellectual and strategic strength.
 3. Ability to manage complex relationships.
 4. Temperament and strength of character.
 5. Ability to communicate effectively with different audiences.
 6. Appreciation of one's own strengths and weaknesses and those of others.
 7. Business insight.
 8. Reliable judgment.

6. Identify strategies* to build organizational capacity and capture institutional knowledge within your department:

- a. Review and update policy and process manuals and procedural guides.
- b. Identify other potential retirees and undertake the same process.
- c. Conduct staff development sessions delivered by you to senior staff.
- d. Have senior staff undertake project work involving junior staff.
- e. Develop team members to undertake more senior roles.

7. As you get closer to retirement, work with your department HR representative and Payroll Manger to complete internal paperwork including:

- a. Resignation letter.
- b. Retirement papers.
- c. Health and other insurance.

* See handout titled Leadership Transition Management for additional ideas.

Process for Creating and Identifying a Succession Plan for Retiring Managers

Format:

Department Name: _____

Level: All Managers

Criteria: Age 50, with a minimum of 10 years of service

Employee Name	Classification	Years of Service	Year Likely to Retire	Succession Plan

Process:

1. HR annually produces a report, which identifies the employee name, classification, and years of service and sends it to the Department Head.
2. The County Manager will send a memo annually to all identified managers letting them know of the County's strategy to create a succession plan for any manager who plans to retire.
3. The Department Head or Human Resources Director will discuss with each employee on the list his/her possible future retirement date in the effort to determine the appropriate Succession Plan for the position.
4. The Department Head and County Manager will discuss these plans, if relevant.

December 2007

This form and process, which was recommended in the County's Succession Planning Final Report, is a tool which can be used to help start identifying and having a dialogue in your succession and transition planning efforts. Working closely with HR will be important in identifying those eligible for retirement and tips on how to have a dialogue.

LEADERSHIP TRANSITION QUESTIONNAIRE

Succession Planning Items:

1. What are the central functions or activities associated with your position and unit?
2. Who has been cross trained in these areas?
3. What is your plan for cross training?
4. From your experience, what are the Knowledge, Skills and Abilities needed or desired for your position and do you see these changing in the upcoming years?
5. Identify the key plans, materials, written procedures or other documents related to your position, function, or unit (e.g., Sheriff's Office "General Orders", contracts, grants, Health Policies, Emergency Plans).
 - a. What are the specific documents?
 - b. Do you have paper or electronic copies of these documents? If so, where are they kept? Have these documents been updated/revised to meet current practices and procedures? Or, when was the last time these documents were reviewed for accuracy regarding office practices/policies?
 - c. Have you shared these documents and reviewed them with possible successors and/or others? Are there staff that have expertise in these particular areas?
 - d. What type of developmental activities have you offered to prepare your staff for their own developmental goals and leadership for this office/field?

Retirement Discussed or Announced:

1. Before you leave, have you scheduled job shadowing or developmental opportunities with possible successors?
 - a. With whom?
 - b. When is the job shadowing/activity scheduled?
 - c. What are the key issues and training topics to be covered?
2. Are there internal or external training opportunities that would ready possible successors?
 - a. Internal programs?

This form and process, which was recommended in the County's Succession Planning Final Report, is a tool which can be used to help start identifying and having a dialogue in your succession and transition planning efforts. Working closely with HR will be important in identifying those eligible for retirement and tips on how to have a dialogue.

- b. External programs?
3. Are there internal and external work projects or committee work that would help prepare possible successors?
 - a. Internal?
 - b. External/Community?
4. Is any reorganization needed in your unit/department prior to you leaving?
5. To get your job done, who are some critical co-workers or external players (e.g., clients, contractors) who help you achieve your goals or “smooth the way” when you encounter obstacles or challenges?
 - a. Co-workers in your department?
 - b. Co-workers in other departments?
 - c. External players?
6. What are some critical incidents, experiences, “stories”, or historical information that help illuminate the nature of your position and/or the kinds of skills you need to use in order to carry out your duties and responsibilities?
7. What are some upcoming opportunities, challenges, or key issues that your position, unit, or department must confront and address in the next 2-3 years?
 - a. What are the specific opportunities, challenges, or key issues?
 - b. What are some materials regarding these opportunities, challenges, or key issues?
 - c. What is your perspective on these issues?
8. Can you share any advice or lessons learned with your possible successor?
9. Could we videotape a conversation with you about your experiences and the nature of your position?
10. Would you be interested or available to meet with your successor to provide consultation following your retirement?
11. Are you interested in any post-retirement employment opportunities with the County?
12. What haven't we discussed/addressed?

This form and process, which was recommended in the County's Succession Planning Final Report, is a tool which can be used to help start identifying and having a dialogue in your succession and transition planning efforts. Working closely with HR will be important in identifying those eligible for retirement and tips on how to have a dialogue.

**Attachment H:
First Line Supervision Sub-Committee
Report**

H. First Line Supervision Sub-Committee Report



COUNTY OF SAN MATEO
Inter-Departmental Correspondence

DATE: April 16, 2008
TO: Succession Planning Implementation and Evaluation Task Force
FROM: First Line Supervision Sub-Committee
SUBJECT: Implementation Item #28 – Proposed Budget
Explore the Development of Fundamentals of First Line Supervision Academy

RECOMMENDATION:

Accept the attached proposal of costs for FY 2008-09 for The Fundamentals of a First Line Supervisory Academy.

VISION ALIGNMENT:

A Fundamentals of First Line Supervision Academy will contribute to the commitment of responsive, effective and collaborative government and by enhancing new and veteran supervisors skills and effectiveness thereby increasing individual and organizational potential.

BACKGROUND:

The Fundamentals of First Line Supervision sub-committee was formed as a result of Recommendation # 28 in the County's Organizational Study which was generated by Management Partners in 2006. The task of the sub-committee was to develop a curriculum for a supervisory academy that would provide new/current supervisors with tools to make them successful.

The sub-committee solicited representatives from County departments to serve on a focus group charged with identifying what items were relevant and essential to the success of a supervisor in each of the County's core competencies. After several working sessions, the focus group finalized a list of recommended outcomes to drive the curriculum design. The sub-committee took those outcomes and grouped them into three primary categories. They were: Leading/Managing People, Leading/Managing Projects and Systems and Succeeding in San Mateo County. It was recommended that this material be taken to the Succession I & E Task Force for final approval.

DISCUSSION:

The subcommittee proposes that once the curriculum has been approved by the Task Force, a Program Administrator be charged with identifying internal/external instructors to develop and teach the curriculum based on the desired outcomes identified by the focus groups as well as managing all aspects of the Academy. The proposed design of the Academy allows for 8.5 days or 11 sessions of training over a 3-month period. Because many of the outcomes in the curriculum are pertinent to County processes/systems, the limited number of participant slots, cost, and anticipated high interest in the academy, we are recommending the Academy be made available only to supervisors within the County of San Mateo.

At the completion of the Academy, participants will be awarded a Certificate of Completion during a Recognition Ceremony.

FISCAL IMPACT:

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
Program Administrator - 0.10 FTE <i>(Management Analyst)</i>	\$13,600 <i>(Estimated salary plus benefits)</i>	The Academy is proposed to run for a three-month period. Administrative activities include: developing training sessions, selecting consultants and negotiating contracts, planning, coordinating, and facilitating the graduation, program evaluation and recommendations for improvement.
Human Resources Technician .10	\$8,366 <i>(Estimated salary plus benefits)</i>	Coordinate locations, assign, locate and schedule equipment, arrange room set-up, order supplies, work with consultant to identify equipment needs, material needs, set-up etc., obtain master materials to be used and duplicate, prepare CD's, PowerPoint presentations, order assessment instruments when necessary, schedule and purchase food, process invoices.

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
Consultants	\$23,800	External Trainers – Course development and training costs – 8.5 days of training x \$2,800
Facilities, Food & Ancillary Costs	\$11,300	Facility (\$3,300), food (\$3,500), and ancillary costs (\$4,500) for the training sessions. This also includes the cost of printing announcements, invitations, instructional brochures, training manuals, easel pads, binders, reference materials, awards, and certificates and other materials.
Total Estimated Cost of Key Expenditures	\$57,066 per academy (two sessions planned during fiscal year = \$114,132)	

Fundamentals of First Line Supervision Academy

Target Audience:	New or Current Supervisors - County of San Mateo Employee
Maximum Number of Participants:	20
Targeted Roll Out:	Early 2009
Length:	11 Sessions (Total: 8½ days)
Instructors:	Internal/External

~ Purpose & Outcomes ~

Module I: Interpersonally Effective /Teambuilder/Effective Communicator

Duration: 1 day

Purpose:

Understand your own interpersonal communication style and its impact on others in order to establish positive working relationships and a more effective team.

Outcomes:

As a result of this module, you will:

- Understand the strength and “trouble spots” of various communication styles
- Understand how to flex or modify your style in order to be more effective with others and motivate staff
- Understand the importance and impact of good listening skills
- Understand how to communicate to gain trust and respect
- Understand how to communicate more effectively in various situations, including in staff meetings and one-on-one meetings
- Understand the characteristics of an effective team and the behaviors and traits it takes to build one

Module II: Accountable/Results Oriented

Duration: ½ day

Purpose:

Understand how to effectively monitor and evaluate your work performance and that of your employees, including reorganizing and rewarding good performance and addressing deficiencies.

Outcomes:

As a result of this module, you will:

- Understand how to develop and communicate performance expectations

- Learn methods for monitoring and measuring performance
- Understand when it is appropriate and not appropriate to be flexible and to delegate
- Practice techniques for providing performance feedback
- Learn how to deal with situations with your staff that are confrontational, difficult or complex

Module III: Skill & Career Development Coach

Duration: 1 day

Purpose:

Learn how to assess and develop both the strengths and needs of each employee and the team, including developing and preparing staff for promotion.

Outcomes:

As a result of this module, you will:

- Learn how to prepare and give effective and meaningful performance evaluations, including constructive feedback
- Learn active listening techniques
- Understand how to work with employees to develop and implement effective Individual Development Plans (IDP)
- Learn how to encourage growth, provide opportunities and get buy-in from employees
- Learn about various career opportunities and what resources are available to employees

Module IV & X: Technically Knowledgeable

Duration: 1 day (Human Resources)
1 day (Vision 2025/OBM, IT/Legal, etc)

Purpose:

Understand the various policies, procedures and resources for countywide functions, including human resources, purchasing, copy, mail, facilities, fiscal and legal in order to more effectively supervise and manager employees and services.

Outcomes:

As a result of this module, you will:

- Learn effective interviewing and reference checking methods
- Learn and understand the corrective action process
- Understand the basics in EEO, ADA, workers' compensation and safety policies and procedures
- Understand how to access resources related to facility, purchasing, copy or mail services and issues.

- Understand how outcome-based management impacts your job as a supervisor
- Understand how to monitor the most important information technology policies, including the email and internet policies.

Module V: Problem-Solver/Decision-Maker

Duration: 1 day

Purpose:

Understand how to use individual and collaborative problem-solving and decision-making methods to handle complex ideas, problems and situations in a creative manner.

Outcomes:

As a result of this module, you will:

- Understand how to recognize and anticipate problems (and prevent them, when possible)
- Know how to classify the urgency, scope and boundaries of the problem
- Understand how and when to use the steps in the collaborative problem-solving process with your team to reach optional solutions
- Understand how and when to communicate the problem (and proposed solution) to your boss, your staff, and other stakeholders
- Know how to access resources available to you in solving complex problems
- Understand the importance and necessity of being flexible and adaptable in developing solutions to problems

Module VI: Innovator/Initiator/Change Agent

Duration: ½ day

Purpose:

Learn how to continually evaluate and improve existing systems, policies, procedures and practices.

Outcomes:

As a result of this module, you will:

- Understand the need and demand for public sector change
- Learn the risks, pitfalls, minefields and obstacles of planning and implementing change
- Understand the impact of a lack of planning
- Learn strategies for planning and implementing successful change
- Learn how to develop and prepare proposals for change
- Learn when and how to involve other in the change process
- Learn how to overcome/minimize resistance to change

Module VII: Planner and Organizer

Duration: ½ day

Purpose:

Understand the necessity, importance and methodology of effective planning in order to get things done and make improvements in an organized fashion.

Outcomes:

As a result of this module, you will:

- Understand the need and necessity to plan
- Understand the pitfalls, minefields and obstacles of planning
- Understand the impact of a lack of planning
- Understand how to plan and use your time effectively
- Understand what strategies are useful in effective planning
- Understand how to develop, monitor and modify workplans for a smooth and successful implementation

Module VIII: Politically Astute/Strategic Thinker / Resilient / Flexible / Adaptable

Duration: ½ day

Purpose:

Learn the impact, value and use of political astuteness on you and your strategy in achieving optimal program goals and results.

Outcomes:

As a result of this module, you will:

- Understand what political astuteness is and what value it has to you and your programs
- Understand how the culture of the County impacts your behavior and strategy
- Understand how your interpersonal communication style can impact your effectiveness and your strategy
- Learn the importance and impact of developing successful relationships in a political environment
- Develop solutions to various politically-sensitive scenarios with your manager, the Board of Supervisors, community partners, the media, the unions, the public and others

Module IX: Customer-Focused

Duration: 1 day

Purpose:

Understand how to review/establish, monitor, measure and evaluate your unit's customer effectiveness in order to ensure high quality service by the unit and employees.

Outcomes:

As a result of this module, you will:

- Understand how excellent customer service relates to the County and departmental mission
- Understand who your customers are and how to identify their needs
- Understand how to be flexible and adaptable in meeting customer needs
- Understand the importance, necessity, value and benefits of excellent customer service and systems
- Understand how to review/establish, monitor, measure and evaluate customer service systems
- Understand how to integrate your findings into employee feedback, performance evaluations, and outcome-based management

Module XI: Ethical

Duration: ½ day

Purpose:

Provide tools for helping supervisors deal effectively with ethical decisions through a discussion of values and behaviors.

Outcomes:

As a result of this module, you will:

- Learn criteria for helping make good ethical choices
- Understand how good ethics can improve the performance, productivity and morale of your unit
- Understand the impact of bad ethics on an organization
- Identify values and behaviors which will help you resolve ethical dilemmas and issues
- Understand what behaviors are appropriate/not appropriate (right or wrong) in the public sector
- Understand what most influences unethical behavior in a leader and an organization

**Attachment I:
Core Competencies List and Course
Grid**

I. Core Competencies List and Course Grid

COURSE & COMPETENCY GRID FALL 2008 CLASSES		Customer Focus	Technically Knowledgeable	Problem-Solver and Decision-Maker	Effective Communicator	Team Builder	Planner and Organizer	Interpersonally Effective	Initiator / Change Agent	Innovator	Flexible / Adaptable	Accountable	Skill & Career Development Coach	Politically Astute	Resilient	Results-Oriented	Ethical	Strategic Thinker	
CAREER / LIFE PLANNING																			
Career Planning and Development			x	x					x			x			x				x
Coaching for Career Development				x	x			x	x				x			x			
I'm Eligible to Retire: Now What?		x	x	x			x												
Presenting Yourself Effectively in a Civil Service Interview Process			x					x			x				x				
So You Want to Be Green...Now What? - NEW		x	x						x	x									
COMPUTER																			
Access 2003 Intermediate			x																
Access 2003 Introduction			x																
Acrobat Professional 7.0			x																
Crystal Reports Introduction			x																
Excel 2003 Calculations			x																
Excel 2003 Charts			x																
Excel 2003 Intermediate			x																
Excel 2003 Introduction			x																
Excel 2003 Macros			x																
GroupWise (Version 7.0) Intermediate			x																
GroupWise (Version 7.0) Introduction			x																
Integrating Office Applications			x																
Linking Excel and Access			x																
MS Project Introduction			x																
MS Publisher 2003 Introduction			x																
Photoshop Elements 6.0 Introduction			x																
PowerPoint 2003 Intermediate			x																
PowerPoint 2003 Introduction			x																
Word 2003 Intermediate			x																
Word 2003 Introduction			x																
Word 2003 Long Documents			x																
Word 2003 Mail Merge			x																
Word 2003 Templates and Forms			x																

COURSE & COMPETENCY GRID FALL 2008 CLASSES	Customer Focus	Technically Knowledgeable	Problem-Solver and Decision-Maker	Effective Communicator	Team Builder	Planner and Organizer	Interpersonally Effective	Initiator / Change Agent	Innovator	Flexible / Adaptable	Accountable	Skill & Career Development Coach	Politically Astute	Resilient	Results-Oriented	Ethical	Strategic Thinker
	Word 2003 Tips and Tricks		X														
Working with Graphics in Office Applications		X															
CUSTOMER SERVICE																	
Dealing with Difficult People - NEW	X	X	X	X	X								X				
Fundamentals of Conversational Spanish	X	X	X	X	X												
Powerful Telephone Skills	X	X	X	X	X												
Providing Outstanding Customer Service	X	X	X	X	X												X
DIVERSITY																	
Communicating Across Generational Lines	X			X	X		X			X							
Developing Personal and Professional Cultural Competency	X			X	X		X			X							X
Recognizing and Valuing Our Differences	X			X	X		X			X							
FINANCE AND ADMINISTRATION																	
FOTA - BRASS Basics		X															
FOTA - BRASS Reports and Views		X															
FOTA - Budget Development Overview		X		X		X					X				X		X
FOTA - Budget Development Overview for Program Managers		X		X		X					X				X		X
FOTA - Budget Monitoring Best Practices and Mid-Year Budget Status Report		X		X													
FOTA - Fund Balance Policy / Calculation Mini Tutorial		X															
FOTA - Introduction to Position Control		X															
Maneuvering the Automated Vendor Agreement System (AVAS)		X									X						
OHC - Hiring Manager / Approver Training		X															
OHC - HR Liaison Training		X															
Payroll Reports		X															
Processing Payroll		X															
Professional Purchasing Practices		X													X		X
HR MANAGEMENT																	
Avoiding Employment Pitfalls: An Advanced Program for Managers		X	X												X	X	X
Coaching and Counseling Skills - Maintaining Effective Relationships with Staff		X	X	X			X				X	X	X		X	X	X
Corrective Action		X	X														
Discrimination-Free Workplace		X	X				X										
Effective Departmental Interviews and Reference Checking		X	X	X							X	X					
Labor Relations Basics		X	X				X	X			X	X					X
Managing Employees with Medical Conditions																	

COURSE & COMPETENCY GRID FALL 2008 CLASSES	Customer Focus	Technically Knowledgeable	Problem-Solver and Decision-Maker	Effective Communicator	Team Builder	Planner and Organizer	Interpersonally Effective	Initiator / Change Agent	Innovator	Flexible / Adaptable	Accountable	Skill & Career Development Coach	Politically Astute	Resilient	Results-Oriented	Ethical	Strategic Thinker
	Preparing Performance Evaluations	X	X	X	X								X			X	X
Risk Management for the Supervisor / Manager	X	X	X									X				X	
Workers' Compensation	X	X	X									X				X	
LEADERSHIP DEVELOPMENT																	
Advanced People Skills - NEW	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Building Focused Teams - NEW																	
Change Management																	
Delegation: The Art of Delegating Effectively - NEW																	
Essential Leadership Skills																	
Influence Skills - NEW																	
Introduction to Supervision																	
Managing People, Not Personalities - NEW																	
One-on-One Training and Job Performance Coaching	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Political Astuteness / Savvy																	
The Art of Possibility	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
PROFESSIONAL DEVELOPMENT																	
Being an Effective Team Member - NEW																	
Communication Strategies - NEW	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Conflict Resolution Skills: Negotiation Styles	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Creative Problem Solving - NEW																	
Developing Effective Project Proposals & Workplans																	
Effective Communication Skills - NEW	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Effective Public Speaking																	
Facilitating Effective Meetings																	
Grant Writing																	
Managing Your Boss																	
Managing Yourself Effectively - NEW																	
Project Management for the Real World - NEW	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Time Management	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
SAFETY																	
Back Safety / Safe Lifting																	
Emergency Action Plan Development																	
Forklift Operator Training - NEW																	
Injury Illness Prevention Program																	
Office Safety																	
Performing Facility Safety Inspections																	
Supervisor Safety Responsibilities																	
WRITTEN COMMUNICATION SKILLS																	
Better Reading and Writing																	
Effective Business Writing																	
Grammar and Punctuation																	
The Minute Taker's Workshop - NEW																	
Writing for Supervisors																	

Attachment J:
Multi-Media Sub-Committee Report

J. Multi-Media Sub-Committee Report**COUNTY OF SAN MATEO****Inter-Departmental Correspondence**

DATE: April 16, 2008
TO: Succession Planning Implementation and Evaluation Task Force
FROM: Multi Media Sub-Committee
SUBJECT: Implementation Item # 9 – Proposed Work Plan: Explore Expansion of Multi Media Training

RECOMMENDATION:

Accept this update and proposal of costs for the creation of a presentation about the use of Employee Development Plans in San Mateo County.

VISION ALIGNMENT:

Expansion of Countywide multi media training will contribute to the commitment of responsive, effective and collaborative government by providing a wide range of easily accessible training for all levels of staff. Expansion of multi media training options will facilitate meeting the goal of 20 hours of training each year for each County employee.

BACKGROUND:

In July 2007 the Multi Media Sub-Committee presented its Work Plan to the Succession Planning Implementation and Evaluation task Force. Since then, the sub-committee participated in a survey process that was used to collect information about what multi media instructional presentations would be most beneficial to departments in order to help meet the new goal of 20 hours of training per year for each County employee. The sub-committee included at least the following options for its definition of multi-media approaches: use of web-based seminars; web-based discussion forums; online workshops; face-to-face workshops that use other media; self-study e-learning guides; computer-based trainings; informational videos; online classes; cable broadcasts; and live satellite trainings. Survey responses reflected a strong interest in the development of multi media training in these primary areas: a) informational videos about the

County; b) web-casts about current events within the County or other outside issues that may impact the County; c) how to deal with the Press/Media 101; and d) Call Taker Basics (Customer Service). The Communications Manager in the Intergovernmental Affairs Unit is currently working on projects related to three of the four topic areas and the Multi Media Sub-Committee is acting as an advisory committee on those projects.

DISCUSSION:

In February 2008 the Employee Development Plan Sub-Committee invited the Multi Media Sub-Committee to create a presentation for the Executive Leadership Academy that explains fundamental information about Employee Development Plans. Since then, the Multi Media sub-committee has created the basic outline for the presentation. The storyboard will be completed by late April and will be turned over to a specialist who will work on design, illustrations, and technical issues related to offering the presentation through LMS. The target date for completion is June 24, 2008.

FISCAL IMPACT:

The sub-committee expects to use a design specialist to help complete the Employee Development Plan presentation. The cost of the program is estimated at \$25,000. Cost projections for other presentations will be presented to the Succession Planning Implementation and Evaluation Task Force as specific projects are identified.

**Attachment K:
RYDE Sub-Committee Report**

K. RYDE Sub-Committee Report**COUNTY OF SAN MATEO****Inter-Departmental Correspondence**

DATE: August 25, 2008
TO: Succession Planning and Implementation Committee
FROM: Succession Planning RYDE Workgroup
SUBJECT: Coordinated Countywide Internship Program Proposal

RECOMMENDATION:

The RYDE Workgroup is requesting \$42,000 to fund a Coordinated Countywide Internship Program (CCIP).

VISION ALIGNMENT:

The Coordinated Countywide Internship Program will contribute to the commitment of a responsive, effective and collaborative government.

Goal 20: Government decisions are based on careful consideration of future impact, rather than temporary relief or immediate gain.

BACKGROUND:

Earlier this summer, the RYDE (Recruit Young and Diverse Employees) workgroup developed a report based on Succession Planning Recommendation #19: Develop a “marketing plan” and budget to attract young and diverse people to the County. This report, among other items, identified the need to expand and improve the County’s current internship program.

Based on the recommendations pertaining to the expansion and improvement of the County’s internship programs, a pilot program was initiated by the Deputy County Manager for Community Services and the Human Resources Department.

Four events were held this summer to pilot that were designed to develop more social activities for County interns and learn about the range of career opportunities the County offers. Jeremy Dennis in the County Manager's Office coordinated with the RYDE team to develop and hold these events. The four events, held in July and August, are listed below:

Welcome luncheon to introduce interns to the County, share basic career information, and get their input on additional group activities of interest. This event was held July 1st and 20 interns from throughout the County heard presentations by Assistant County Manager David Boesch, Human Resources Director Donna Vaillancourt, and Human Resources Manager Lisa Okada. The group also suggested additional activities and field trip options for Jeremy and RYDE to consider.

A career development session sponsored by Human Resources. The event was designed to give the interns information about applying for jobs in the County, practice interview skills with recruiters during a "mock" interview, and share best practices from their resumes. Lisa Okada coordinated this event.

Two field trips to County facilities. Jeremy Dennis and ST Mayer developed a list of potential field trip opportunities and allowed the interns to vote on their top choices. Among the four choices (Criminal Justice Tour in Redwood City- the Courts, the 911 Center, and the County Jail; Tour of the South Coast - a visit to a South Coast County Park and Farm Labor Housing; Paul Scannell Drive Tour - the Youth Services Center and the Crime Lab; and a Health Tour - the San Mateo Medical Center, and a mobile health unit), interns chose the Criminal Justice Tour and the Paul Scannell Drive Tour. Thirty interns participated in the two tours that were highly successful in highlighting some of diverse functions of County government, as well as revealing career opportunities to the interns.

A social "bookend"/feedback event. The first half of the event was an ice cream social, where the interns talked and met with staff from the RYDE group. During the second half of the event, interns were asked about their experiences as interns, including the hiring process, the internship itself, the events hosted during the pilot project, and the interns' interest in potential future employment with the County. Where possible, contact will be maintained with the interns after their internship ends so the County can provide internship reference materials to their schools, as well as use them as a program reference for future applicants.

The final feedback event revealed a number of challenges about the current internships offered by the County, as well as successes from the pilot program:

Challenges

Noticing and Intake

Interns found out about the Summer Jobs for Youth program from a variety of sources, but very few indicated they found out through a counselor or career center in their school

Many interns were contacted multiple times by different Departments about interviewing for an internship, as there is no fully functional repository for hired interns to be listed

Few interns knew what the functions of each of the Departments: the application form simply listed the names of the Departments. Many interns simply checked every Department off for an interview, and went to their interviews without knowing the function of the Department

Most interns were told they could only be hired full-time, although none of the promotional materials stated this.

Internship - the internship experience varied for each intern. Many recognized that the work would be the most challenging, but in the case of some interns, the only work offered was general administrative work, filing, and answering phones. Some were disappointed as they felt that the Department that they were hired by didn't fully inform the interns as to the type of work during the interview process.

Reason for interning with the County - the majority of interns chose the County over other opportunities because it paid a relatively high rate. Very few picked the County because they are interested in government service or knew what they were exactly applying for.

Pilot Program Successes

Interns were very pleased to see the many different types of opportunities offered within the County as shown through the field trips and at the HR event. The tour of the YSC was especially popular, and interns stayed after the tour ended to speak with the guide about working in the Probation Department.

Interns were encouraged at every event to contact those Departments they might be interested in pursuing a career in, and many did, on their own initiative, speak with representatives at those Departments.

The interns enjoyed being able to meet their counterparts in other Departments. This allowed for a more social experience, as well as opportunities to work on their resumes together at the HR event.

After they began their internship, some interns recognized within their own peer groups the meaning of working for the County. One intern remarked at the feedback event that they could tell their friends that "they worked for the County" and this was something "to be proud of". Another said that working for the County "increased her confidence".

DISCUSSION:

Based on the pilot project work so far, RYDE has two recommendations to support a Coordinated Countywide Internship Program (CCIP).

Planning Team and Project Coordinator for Summer 2009

RYDE recommends the development of a County Internship Planning Team that is supported by a partial amount of County staff time. We recommend that the 2009 Planning team be a select group of interns who would be provided with a small monthly stipend throughout the school year to help develop and execute an internship marketing plan, conduct outreach and help develop the 2009 coordinated program events. The goal would be to have a diverse planning group in terms of professional interests, backgrounds and educational institutions. The group would coordinate projects through email and would meet in person over school breaks.

The County coordinator would be the project manager for the planning team and would also develop a coordinated intake program. The coordinator's first assignment would be to convene a meeting of all the internship program managers in the county to identify the resources currently devoted to this work, share best practices and develop buy-in for a coordinated county program. Specific goals for 2009 include one countywide website of all 2009 internships being offered and a list of interns, their assignments, schedules and interests.

We estimate that the Project Coordinator will require 15% of a management analyst's time. Depending on availability of staff and workloads, the Coordinator could be located in Human Resources, Human Services or the County Manager's Office. Estimated cost if work not added to work plan of existing staff member: \$25,000

We recommend that the planning committee include four 2008 interns that represent interests in a range of areas – criminal justice, human services, health care and admin/environment. Recommended stipends would be \$12 an hour for 16 hours a month for 10 months. The 10-month cost per planning committee member would be \$1,920 with a total cost for four members being \$7,680.

Total Cost: About \$35,000 including outreach materials.

Coordinated County Internship Program for Summer 2009

Implement the program plan developed by the planning committee for the Coordinated County Internship program in the summer of 2009. Offer one intern a full or part-time assignment as the assistant to the program coordinator to arrange events, coordinate communication among interns and take notes at meetings. RYDE recommends offering this position to a member or members of the Planning Committee, so they would be assured of a position next summer. We also recommend that this position be paid slightly more than the \$12 an hour internship salary. RYDE and intern assistants would conduct an evaluation of the summer 2009 program and develop recommendations for improvement.

Assuming the intern assistant for the program works 10 weeks at 40 hours a week, and minimal hours to assist with programming for the following year's internship program during the rest of the year, making \$13.50 an hour, the total cost would be \$5,400 for the summer. Additional program costs could be covered by the ICME grant if awarded or by a general fund contribution of about \$1,500.

Total Cost: About 7,000.

FISCAL IMPACT:

Pilot Project.....	0
Project Coordinator and Planning Team.....	35,000
Summer 2009 Program	<u>7,000</u>
Total	\$42,000

Recruit Young and Diverse Employees (RYDE) Workgroup Report

I. Overview

The following recommendations were developed by the Recruit Young and Diverse Employees (RYDE) Workgroup and respond to: *Succession Planning Recommendation #19: Develop a “marketing plan” and budget to attract young and diverse people to the County.* This objective stems from Management Partners Organizational Review Report Recommendation #20: Identify and implement methods of attracting you people who reflect the diversity of San Mateo County to local government as a key, long-term strategy. In developing recommendations, the RYDE Workgroup strove to respond to this background objective.

In order to inform the development of recommendations, the RYDE Workgroup conducted research in two areas: 1) Racial/Ethnic and Language Diversity of San Mateo County’s Workforce; and 2) Generational Characteristics and Preferences of the Millennial Generation (defined as the “young”).¹

The workgroup found that recruiting a young and diverse workforce will require long-sustained changes in the way the County markets itself, offers benefits, conducts hiring and recruitments, develops camaraderie among employees, considers promotional opportunity and establishes a “culture.” The County as an employer of the Millennial (born 19xx -19xx) and Generation X (born 19xx- 19xx) workforce will look, feel and operate very differently than the County as an employer of the Baby Boomer and Traditionalist generations. ***Developing a marketing plan to recruit the new workforce doesn’t just entail getting the word out about what the County is and what the County offers – it requires changing the County so that it is an employer that appeals to young people.*** Overarching recommendations for this marketing plan include:

1. **Branding:** All major businesses brand their products and their workforce. The County already has a powerful product – helping people, making a difference, serving others – but it doesn’t have a workforce brand that young workers identify with. A strong brand can bring new workers to the County, contribute to retention, and improve productivity.

¹ The Millennial Generation includes individuals born between 1980-1995 and are about to be the largest generational cohort in the workforce.

2. Creating an Identity: Workers inside and outside of the County workforce don't identify with the County. Current employees often identify with the program or project they work on or the Department in which they are located, but many don't consider themselves a "County employee." Individuals outside of the County have little sense of what the County does, what kinds of jobs exist within the County workforce, or how large the County is. In some cases the County even has an outside reputation as antiquated, an abyss, slow, bureaucratic. Creating an identity allows for constant/ongoing marketing and uses employees as the "sales people."
3. Cultural Change: Many key motivators for younger generations are not a part of the County culture. These motivators include: a fun environment, ongoing skill building and clear professional development opportunities, frequent and effusive recognition, strong policies and an environment that supports a work/life balance including flexible schedules, being empowered and trusted to make key decisions, opportunity for frequent advancement, constant change. In addition, many demotivators for younger generations are seen as ingrained in the County culture, including: "paying your dues," formal business attire, strong seniority systems, giving people too many chances, bureaucracy, status-quo, stagnation.
4. Creating New Pathways: The new workforce want career flexibility. Workers expect to move from position to position and organization to organization. The County will need to create new ways for workers to "get in the door" and will have to provide opportunities to come into the County workforce at early management and other more senior level positions. In addition, the County will need to change its expectation of successful retention – training and staffing for a 3-5 year workforce is very different than a longer-term workforce. Younger workers can give a lot, but they may only give it for a few years before moving on. The County should create a structure, which embraces and benefits from this change.

II. Racial/Ethnic and Language Diversity Assessment

The Workgroup conducted an assessment of the racial/ethnic make-up of the County workforce as compared to the San Mateo County population in order to provide a baseline for assessing recruitment and retention mechanisms for a "diverse workforce." The Workgroup also considered language fluency a useful measure in evaluating the diversity of the County workforce. For example: do we need to increase the racial/ethnic diversity of the County workforce to better reflect the racial and ethnic make-up of the County? Do we need to consciously maintain the current diversity of the County workforce as we hire new employees? Is the racial and ethnic make-up of the County changing over time? Is there a relationship between the race and ethnicity of employees and their generational cohort? Is the language fluency of County employees representative of the residents of San Mateo County, and the clients of direct service programs served by the County? The Workgroup relied on the EEOC reporting analysis where possible.

The Workgroup agreed to an understanding that to be most effective a local government should reflect the make-up of its constituents across many demographic characteristics, including race and ethnicity, and therefore, our target for a "diverse" workforce is the San Mateo County population, and the baseline is the current County workforce (most recent data available for 2005 and 2006 and where possible, the available San Mateo County workforce population).

A. Key Findings:

- Across racial/ethnic categories, applicants for County employment in 2006, and the current County Workforce are relatively representative of the 2000 San Mateo County population.
- A greater proportion of the County workforce is African America and Asian (including Pacific Islander) than the 2000 general population.
- Fewer Caucasian/Whites are employed by the County than the overall population.
- Caucasian/Whites are the only group for whom the percentage in the current workforce is greater than the percentage of recent applicants.
- Each generation younger than the Traditionalists represents a greater proportion of employees of color; the proportion of Latino/Hispanics has grown the most across the generations. However, we don't know if this represents a changing demographic of new hires, or is indicative of those who remain with the County for a long period of employment.
- African Americans are under-represented in the Millennial Generation than other generations.
- Employees of color are underrepresented in three job category areas: officials and administrators, protective services, skilled crafts.
- Employees of color are overrepresented in four job category areas: professionals, technicians, office and clerical, service maintenance.
- We did not assess the tenure of employees by race/ethnicity or language capacity – thus cannot evaluate whether certain racial/ethnic groups stay or leave at different rates.

Figure 1: Current County Workforce Compared with Available Workforce

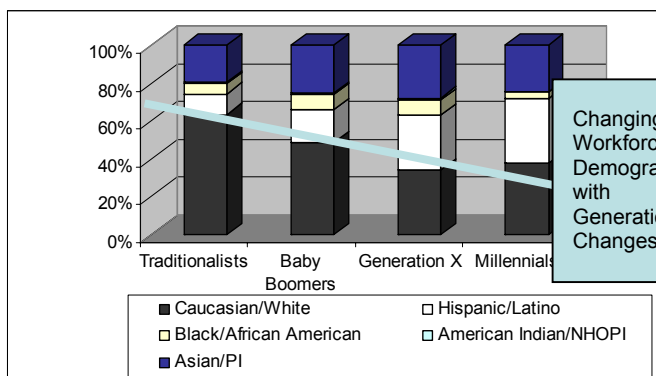


Figure 2: Racial and Ethnic Make-up of Generation Cohorts

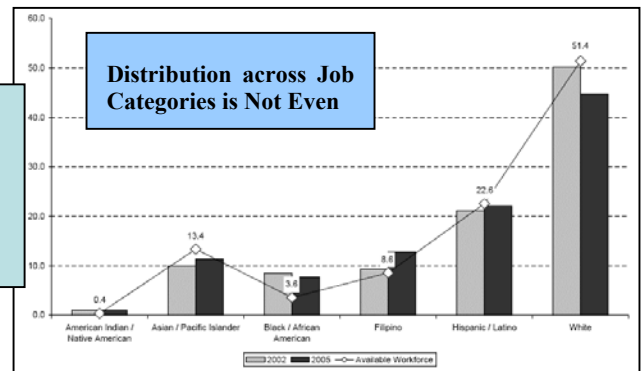


Figure 3: Language Comparison

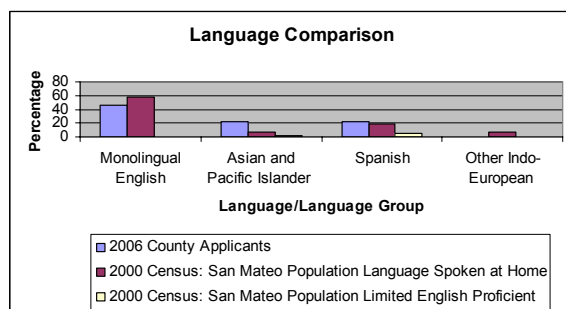
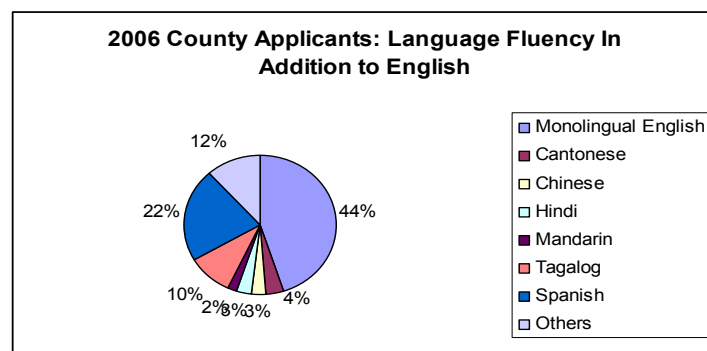


Figure 4: Language Fluency Details



III. Generational Characteristics and Preferences of the New Workforce:

The Management Partners analysis of Baby Boomer retirements highlighted the significant proportion of county employees in this generational cohort. However, the RYDE Workgroup also looked at the workforce age with regards to the younger generations (Generation X and Millennial) in order to determine the opportunities to learn from (survey/focus group) these employees; the presence of Generation X employees, and the role that these employees might play in “marketing” and “recruiting”.

The RYDE Workgroup also worked with two County interns to conduct a survey of other millennial generation interns working across the County for the 2007 summer. This 15 question phone survey was intended to ask interns in the millennial generation about their perception of the County as an employer based on their summer experience, their knowledge of the County as an employer before becoming an intern and their preferences in future job opportunities.

The RYDE Workgroup also conducted two focus groups with recent County hires to learn about their experiences in applying to the County as means of informing recommendations regarding this component of the recruitment process.

San Mateo County is not alone in its efforts to develop succession plans that work for the younger generations. As a result of this widespread effort, there is a significant amount of literature and smart practice case-studies published on the topic. The RYDE Workgroup also reviewed this literature to inform the development of recommendations.

A. Key Findings Based on Current County Intern Study (full report attached):


- Most millennial generation interns learned about the County through a personal contact, and in most cases a family member. But they knew little about what the County actually does or what job opportunities existed before their internship.
- Most millennial generation interns were influenced to view the County positively through meeting County employees, having first-hand experiences with the County and by better understanding what the County does.
- Most millennial generation interns are interested in a short-term job that fit their ideas of good pay, a positive work environment, good hours and a good location, and in a field related their interests. In the long-term they are interested in helping others and in having interesting work.

B. Key Findings Based on Current County Employees Data Analysis:

- The majority of County employees are Baby Boomers and older; however, nearly half are from Generation X and younger. This presents a significant opportunity to learn from and build programs for retention and further recruitment.

- Many of the Baby Boomer vacancies will be filled by current Generation X employees; therefore we need to consider the ripple effect of these promotions with regards to the vacancies available/appropriate for the Millennial generation.

Figure 5: Age and Current County Workforce



Generation	Traditionalist	Baby Boomer	Generation X	Millennial	Total
Number Workforce in	482	3122	2758	149	6511
Percentage Workforce of	7.4%	47.9%	42.4%	2.3%	100%

C. Key Findings Based on New Employee Focus Groups:

- Most new hires came to the County for stability reasons including benefits and salaries. For those coming from Community Based Organizations, salaries were a big factor.
- Many new hires who enter the County workforce immediately following completion of their undergraduate degree were referred by a family member or friend.
- Job seekers want the County to make the application process easy for them. They feel that the County “should want them to work here” and should “sell itself.”
- The County website includes too many clicks to find job opportunities and the search engine is confusing.
- Most new hires knew little about the civil service process, and found this confusing upon first applying. This included the panel interview that didn’t allow for interaction/questions or other information gathering from the applicant stand-point.
- For many new hires, the opportunity to create broad change/help people was key in their decision to apply, but they were also apprehensive that they would become “countrified.”
- Retention is essential: “now that you have hired me, what are you going to do to keep me.”

D. Key Findings Based on Literature and Smart Practice Review:

The Workgroup reviewed what local governments and professional associations are doing to recruit young and diverse employees and manage their succession planning efforts. All sources are located as an appendix for reference.

International City/County Management Association (ICMA) has acknowledged that the government management profession is at a critical crossroads.

- The need for critical succession planning efforts is now, given the fact that baby boomers comprise the majority of local government managers and are approaching retirement at a extremely fast pace.
- A much smaller group of young professionals are in line and must be appropriately developed to fill these positions.
- ICMA and local governments have also developed marketing materials targeted at young and diverse Generation X'ers and Millennials. This included ICMA's promotional material called "Local Government Management: It's the Career for You!" and Cal-ICMA's two page fact sheet called "Why consider a career in local government?" Additionally, Cal-ICMA also developed a two page "Tip Sheet" on pursuing a career in local government, specifically targeted for college students. Finally, ICMA also developed a one page flyer aimed students entitled "Top ten reason students should join ICMA".
- To address this issue, ICMA, in partnership with a number of other organizations, has developed the ICMA Next Generation Initiative. The purpose of the initiative is to develop a series of activities, programs, and workshops to help local governments educate, attract, develop, and retain individuals of all ages (resources attached). Key components of ICMA's Next Generation Initiative include:
 - 1) the NextGen Website (icma.org/nextgen),
 - 2) Conference Activities,
 - 3) a local government management fellowship,
 - 4) Executive Recruiter Summit,
 - 5) a local government management internship,
 - 6) Collegiate public service fairs, and
 - 7) collaboration with the Cal-ICMA California Consortium on their Coaching Initiative.

The Workgroup also reviewed comprehensive reports such as "Building the Leadership Pipeline". The goal of this study was to identify and describe what jurisdictions and agencies at local, state, and federal levels are doing to build their leadership pipeline and ensure appropriate succession planning activities are being implemented to ensure an adequate supply of experienced talent for the future

Two models to building the leadership pipeline have emerged, the Just-in-Time Approach and the Integrated Approach. (The full 104 page report, including case studies, is attached for reference.)

IV. Recommendations

The following recommendations build on the four key areas highlighted above: Branding, Creating an Identity, Culture Change, Creating New Pathways. Furthermore, as a result of the depth of changes required to create a true marketing and recruitment plan, the following recommendations are divided into two sections: 1) Improvements/Changes to Current System (County as Employer); 2) Additional and New Activities (County as Employer).

Recommendation	Estimate of Return and Cost (high, medium, low)	Timeframe for Completion	Suggested Partners or Responsible Party
A. Improvements/Changes to Current System			
<p>1. <i>Direct Contact with Future Employers is Important to Young People.</i> Expand programs that allow for post-high school and college age students to gain hands-on access and experience with the County. These programs should provide for meaningful exposure such as internships, informational interviews, shadowing opportunities and exposure to current employees.</p>			
<ul style="list-style-type: none"> • Establish Relationships with Local Colleges and other Schools <ul style="list-style-type: none"> - Universities, Junior colleges, High Schools -Encourage Department Heads to be guest speakers -Establish relationships with professors and career counselors - Participate in job fairs and service days 	Low-Cost High-Return	Short term	Human Resources / Departments
<ul style="list-style-type: none"> • Expand and Improve Current County Internship Program <ul style="list-style-type: none"> -Internship programs should be coordinated across the departments - The Health Policy and Planning Unit and Human Services Agency have established a successful internship program as “pipeline” project, this may serve as an example - Create a social atmosphere for interns so they feel connected and “have fun” - Provide an opportunity to contribute to a meaningful project that demonstrates how San Mateo County “helps people” 	Medium- Cost High-Return	June 2008	Human Resources / Department

<ul style="list-style-type: none"> • Use Current Employees as Ambassadors. Employees should be encouraged to retain relationships with their alma maters, previous jobs and connections and provided work hours to use these networks to promote the County as employer 	<p>Low-Cost Low-Return</p>	<p>Ongoing</p>	<p>All</p>
<ul style="list-style-type: none"> • Expand Relationships with Young People Accessing the County through awards and honors such as the Commission on the Status of Women awards -Maintain contact; use these connections 	<p>Low-Cost Low-Return</p>		<p>Commission on the Status of Women / Departments</p>
<ul style="list-style-type: none"> • Create More Part Time Positions and Establish Associated Mentorship for Students from Local Schools -Hire part time students from schools to work on projects and rotate to different departments 	<p>Medium-Cost Medium-Return</p>	<p>June 2008 to implement for Fall 2008.</p>	<p>Human Resources / Department</p>
<p>2. <i>Many employer recruit young people through a pipeline.</i> Create a direct pipeline for entry-level managers/supervisors and master's trained professionals.</p>			
<ul style="list-style-type: none"> • Expand the School Certification Programs - The Human Services Agency and Deputy Court Clerk have successful programs that may serve as models 			<p>Human Resources / Departments</p>
<ul style="list-style-type: none"> • Work closely with Masters Programs to Establish Prestigious Internship or Project Based Programs/Fellowship - The Management Analyst I unclassified position could be used for this purpose. 	<p>Medium-Cost High-Return</p>		<p>Human Resources</p>
<ul style="list-style-type: none"> • Create MA I tracks with rotational experiences to develop management skills 			<p>Human Resources / County Manager's Office</p>
<ul style="list-style-type: none"> • Review MA/Supervisor salary relationships to create general manager type tracks 			<p>Human Resources</p>
<p>B. Additional and New Activities</p>			

<p>3. Young People Expect Personal Contact and Quick Results in a Job Application. Young People who Intern with the County Expect an Expedited Process. The County is Competing Against Employers who Can Turn Around an Offer in a Few Days. Revamp Job Advertisement and Application Process to Increase “direct touch” and Reduce the Timeframe</p>			
<ul style="list-style-type: none"> Establish a Universal Recruitment Approach -Skill based recruitment 	<p>Medium-Cost Unknown Return</p>	<p>Long-Term</p>	<p>Human Resources</p>
<ul style="list-style-type: none"> Develop Social Marketing / Branding which establishes the County as an employer of choice. - Messages that include “How you can help people and What you can do for residents” and “Make a difference and help children” are effective with the younger generations. - Messages will need to be delivered in a technology savvy way; use Website, Job Bulletins 	<p>High-Cost High-Return</p>	<p>Short Term -pilot w/ HPPP and Child Support</p>	<p>Human Resources</p>
<ul style="list-style-type: none"> Rewrite recruitment literature and announcements about positions - Make positions sound challenging and intrigue people who are interested in helping others - Make positions sound unique - Make positions feel more personal – use video clips to allow County employees to tell their story 	<p>Low-Cost High-Return</p>		<p>Directors, Managers, any employee w/ a story they would like to share.</p>
<ul style="list-style-type: none"> Improve and Update the Human Resources Website to be more “splashy” and to “sell” the County as employer; include buttons that simplify the following: -How to Apply (available) -How to Prepare for an Interview -Things you should know ie. Explanation of hiring process 	<p>Low-Cost High-Return</p>		<p>Human Resources</p>

<ul style="list-style-type: none"> • Reduce Timeframe of recruitments and allow for significant increase in personal contact and “romancing” during the application process – applicants should feel wanted; should have a sense of the County and who they will work with throughout the process 	<p>Low-Cost High-Return</p>		<p>Human Resources</p>
<ul style="list-style-type: none"> • Expand the places where jobs are posted to create an set of regular places; emphasize websites - Sites may include: Facebook, Craigslist, My Space, Idealist, Wiki, Youtube (ie: Fairfax County, Virginia) 	<p>Low-Cost High-Return</p>		<p>Human Resources / Departments</p>
<ul style="list-style-type: none"> • Establish a protocol to allow for Pre-qualification of candidates before they graduate from their Masters / Undergrad programs if they have interned with the County or submit resumes/writing samples/interview before they leave the County 	<p>Low-Cost High-Return</p>		<p>Human Resources</p>
<ul style="list-style-type: none"> • More performance based interviews -example: Call Center had candidate document a call as their interview. 	<p>Low-Cost High-Return</p>		<p>Human Resources</p>
<ul style="list-style-type: none"> • Expedite and make the civil service process more personal, educate candidates about the process so that they understand the formality 	<p>Low-Cost High-Return</p>		<p>Human Resources</p>
<ul style="list-style-type: none"> • Work with managers so that they feel equipped to conduct a successful hiring and recruitment process - Conduct Department Hiring Manager trainings – by department or countywide (share best practices w/ across the departments) 	<p>Medium-Cost High-Return</p>		<p>Human Resources</p>
<p>4. <i>The current County benefits structure doesn't reflect the contemporary transient workforce. Update and Build in Flexibility for Benefits and Scheduling</i></p>			
<ul style="list-style-type: none"> • Highlight the current flexible schedule policies 	<p>Low-Cost High-Return</p>		<p>County Manager's Office / Departments</p>

<ul style="list-style-type: none"> • Market Benefits that are important to Youth – development opportunities, training, tuition reimbursement, health and fitness, and home buyer assistance, transportation/commuter assistance - Research options for adjusting benefits such as Pension Plan 	<p>Medium-Cost Medium-Return</p>		<p>Human Resources</p>
<p>5. <i>Young employees want to feel a part of something, a culture of “fun”, work should feel part social. Update County culture to reward innovation, individual initiative/hard-work, atmosphere of camaraderie and common goals.</i></p>			
<ul style="list-style-type: none"> • Work with Management to update their approach and practice in training new employees and hiring young employees to reduce stigma and align with the new “County as employer” image -Training for managers - Organizational Behavior Change - Coaching concept – constant feedback for employees -Importance of first day at work, getting employees off to a good start - Change culture of hiring for skills and prior experience to hiring for attitude and potential 	<p>Low-Cost High-Return</p>		<p>CMO - Directors</p>
<ul style="list-style-type: none"> • Create networking opportunities for young staff at various levels -Deputy Director and Assistant Director Council -managers breakfast -supervisor breakfast - new employee social -promote concept of employer of opportunity; an opportunity to build skills and explore a variety of jobs within one organization (DCSS to Sheriff example) 	<p>Medium-Cost High-Return</p>	<p>Example: Executive Council but for younger/ junior management</p>	<p>All Departments with leadership from County Manager’s Office</p>
<ul style="list-style-type: none"> • Implement a 360 degree employee performance review process so that employees receive regular and comprehensive feedback 	<p>Medium-Cost Medium-Return</p>	<p>In Progress</p>	<p>Human Resources</p>

<ul style="list-style-type: none"> • Create mechanisms for team incentives and individual incentives <p>-DCSS Call Center bonus program is a successful example that might be replicated</p>	<p>High-Cost High-Return</p>		<p>Departmental</p>
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V. Areas for Additional Research/Implementation Questions

Continue New Hire Focus Groups

Focus on Retention and Share Promising Practice around Probation Period Feedback

Work with Unions to Create Approved Incentive Programs/ Expedited Promotional Practices

Establish a Regular Exit Interview Process

Promotional Practices/Processes

**Attachment L:
Employee Development Plan Sub-
Committee Report**

L. Employee Development Plan Sub-Committee Report

COUNTY OF SAN MATEO
Inter-Departmental Correspondence

DATE: August 20, 2008
TO: Succession Planning & Implementation Committee
FROM: Employee Development Plan Subcommittee
SUBJECT: Employee Development Plans - Status Report and Proposed Budget

RECOMMENDATION

Accept the Employee Development Plan (“EDP”) Subcommittee status report and recommended program costs.

VISION ALIGNMENT

The County’s use of Employee Development Plans will contribute to the commitment of responsive, effective and collaborative government given that these action plans focus on continuous learning by enhancing and developing competencies to meet organizational and individual goals.

BACKGROUND

In 2006 a Countywide Organizational Review Report was published that included recommendations pertaining to the development and implementation of a robust succession planning program. Shortly thereafter, a Succession Planning Committee was formed to identify existing succession planning efforts, review the Countywide Organizational Review recommendations and make any new recommendations in light of findings. A Succession Planning Implementation and Evaluation (I&E) Committee was then charged with implementing the recommendations.

The Succession Planning I&E Committee identified six subcommittees assigned with developing workplans and implementing recommendations. The EDP “Subcommittee” was tasked with **exploring the use of Employee Development Plans Countywide.**

DISCUSSION

Employee Development Plans (“EDPs”), also referred to as Individual Development Plans, are commonly used by organizations to assist employees in meeting their career goals. While it is recognized that these action plans serve as a “road map” to meet career goals, the Subcommittee also believes that they can be used to assist employees in meeting goals for their existing position. Given this, the Subcommittee has defined EDPs as follows: **Employee action plan to enhance skills and abilities to maximize current performance, meet organizational goals and/or meet long-term career goals.**

During the last year, the Subcommittee has accomplished several items, including:

Conducted a survey to identify the number of department’s currently utilizing EDPs and found that only 35% of departments are utilizing them and less than 10% of their employees have EDPs. The major reasons identified for not using EDPs were lack of resources and unfamiliarity with this instrument. Based on findings, the Subcommittee identified communication/marketing and training as key components to a successful EDP Program. In addition, the Subcommittee identified Human Services Agency as a “best practice” department given that they began a successful EDP Program in September 2006. The Human Services Agency developed an EDP form, directory, information on conducting informational interviews, identified courses of interest to employees, and developed a career values form. In June 2007, the Human Services Agency also conducted a survey to identify the number of employees with EDPs. Overall, of the 142 employees that responded 11% indicated that they had an EDP.

Identified roles and responsibilities in the EDP process that outlines the responsibility of employees, managers/supervisors and executive team (refer to Attachment).

Developed an EDP tool using the County’s Learning Management System (refer to Attachment). The following information is included in an EDP:

Alignment with County’s Shared Vision/Mission and departmental goals

Developmental Goals/Objectives (high-level goals)

Outcome Measures (measurement of success)

Action Steps/Training (what will be done to meet goals/objectives)

Target Dates (start and completion dates)

Resources Needed (what is needed to be successful)

Competencies (areas of development that will be enhanced, e.g., customer-focused, innovator, political astuteness)

Developed a 360 degree evaluation process using the County's LMS to assist employees in assessing their competencies as well as obtaining feedback from manager/supervisors, peers and direct reports on strengths and areas of development.

Participated in a Leadership Forum presenting information pertaining to EDPs

Assisted the Multi-Media Subcommittee in the **development of an online EDP presentation** available on the County's LMS (refer to Attachment)

Rolled out EDPs to Executive Leadership Academy participants

Clustered the number of Core Competencies from 21 to 10 based on feedback received from ELA participants and raters participating in 360 degree evaluation process (refer to Attachment)

Designed an EDP Pilot Program for managers from various departments including the Human Services Agency, Public Works, Health, Human Resources, Probation and Planning & Building

Pilot Program

On July 29, 2008, the EDP Subcommittee held an informational session for managers invited to participate in the EDP Pilot Program. These individuals, who all applied for the Executive Leadership Academy, were notified that if they were not selected for the ELA (due to the limited number of slots available), they would have the opportunity to participate in an EDP Pilot Program. Of the 33 individuals invited to participate, 12 have agreed to participate in the Pilot Program.

During the Pilot Program, participants will:

Participate in a multi-media training defining EDPs for participants and managers/supervisors

Participate in a training defining 360 degree evaluations

Complete 360 degree evaluation process

Participate in a training (online) that helps participants to understand the results of their 360 degree evaluation

Participate in a training (online) that provides instruction on how to develop an EDP

Develop EDP with manager/supervisor

Participate in Evaluation Session

Once the pilot program has been completed, an assessment/evaluation will be conducted and a determination will be made whether to roll out EDPs Countywide or begin with management staff. The resources needed to rollout EDPs either Countywide or to a limited number of individuals will require the following: career development training for employees; training for supervisors and managers; coaching resources; developmental activities; assessment tools; multi-media resources/website; costs associated with Learning Management System, e.g., online guides and customizations. In addition, staff resources will be required to implement, monitor and evaluate program.

FISCAL IMPACT

The annual costs associated with the implementation of a Countywide EDP Program is as follows:

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
Program Administrator - 0.25 FTE <i>(Management Analyst)</i>	\$34,000 <i>(Estimated salary plus benefits)</i>	The rollout of EDPs will require staff time to: Develop and manage EDP program Market EDP Program Countywide Offer training on development of EDPs (including roles/responsibilities and available resources) Provide career development training Set up/Configure system and generate reports Provide demos on 360 degree instrument and how to use EDP within LMS Debrief or assign online 360 degree training Develop guides and online content Develop guides (web-based) on the entire process Develop and track performance outcomes (e.g. % of employees with EDPs, Promotion Rate) Monitor and evaluate program (obtaining feedback from managers/supervisors and employees)

ANTICIPATED REQUIREMENT	ESTIMATED COST	EXPLANATION
Human Resources Technician .10	\$8,366 <i>(Estimated salary plus benefits)</i>	Coordinate training, assign, locate and schedule equipment, arrange room set-up, order supplies, work with HR staff to identify equipment needs, material needs, set-up etc., obtain master materials to be used and duplicate, prepare powerpoint presentations, order assessment instruments, assign EDP Multi-Media Training, monitor participants completing EDPs and provide technical assistance for problems with EDP/360 within LMS.
Multi-Media/Online Training/Assessment Tools	\$15,000 (one-time) \$10,000 (ongoing)	Costs include: Expanded multi-media training, Assessment Tools, e.g., Myers-Briggs, LMS licensing/contractor costs and software programs.
<i>Printing & Ancillary Costs</i>	\$5,000	Costs include printing announcements, invitations, instructional brochures, resources list, printing of debrief/feedback information, training manuals, easel pads, binders, reference materials, awards, and certificates and other materials.
Special Projects/ Assignments and External Training	---	Costs associated with external training, work-out-of class assignments, special projects, double-fills have not been identified. These costs (once identified) will need to be built into departmental budgets.
Total Estimated Cost of Key Expenditures	\$57,366 ongoing <u>\$15,000 one-time</u> \$72,366 Total	

M. Employee Development Plan (EDP)

Employee Development Plan (EDP) “Your future begins with you”

The EDP is a written action plan of training and development activities you have chosen, agreed upon by both you and your supervisor to build the competencies necessary to meet both short-term needs for maximizing current performance and meeting organizational needs as well as long term career objectives. Your EDP is developed to establish structure, maintain focus and track progress of the activities you’ve outlined to aid you in your professional effectiveness, development and achievement of career goals.

Alignment of Goals to Department/ County Mission				
<i>This is how my objective aligns with the department/county priorities:</i>				
Developmental Goals/Objectives	Measurement	Action Steps/Training	Target Dates	Comments/Notes
<i>My goals (result I want) for the next year:</i>	<i>This is how I will measure my success:</i>	<i>I will pursue the following developmental activities:</i>	<i>My target dates for start and completion are:</i>	

Employee Development Plan ~ Continued

Resources Needed		
<i>I will need the following support and resources:</i>		
Competencies		
<i>My goals involve developing the following competencies:</i>		
<i>Employee Signature</i>	<i>Date</i>	<i>Supervisor Signature</i>
	<i>Date</i>	<i>Date</i>

N. Employee Development Plan (EDP) Process


Step	Action	Key Questions	Resources
<p>Step 1</p> <p>Survey opportunities</p>	<ul style="list-style-type: none"> Identify areas of development for your current position Identify career opportunities and select those that interest you Identify developmental needs by comparing current competencies with those needed for your career choice 	<ul style="list-style-type: none"> What competencies are important for increasing or maintaining the quality of my performance in my present assignments? Will there be new skills or expertise required in my current position? What are the organization's changing needs regarding the workforce and what new expertise or skills will be required or desirable? What new projects in my organization appeal to me? What career opportunities interest me and how do my skills match up? 	<ul style="list-style-type: none"> Human Resources Website: <ul style="list-style-type: none"> http://www.co.sanmateo.ca.us/hr/ Other Potential websites: <ul style="list-style-type: none"> http://www.pathfinderscareerdesi.gn.com/ http://mapping-your-future.org/ http://jobstar.org/tools/career/spe-c-car.php www.bls.gov/oco (occupational outlook) Informational Interviews Job Shadowing
<p>Step 2</p> <p>Conduct a self - assessment</p>	<ul style="list-style-type: none"> Assess your skills, strengths (competencies), interests and areas which need development 	<ul style="list-style-type: none"> What are my skills? What is important to me? Of the new and recent developments in my organization, what interests me most? Are there tasks I beg to do and others I force myself to do? Of all the things I've done in the last 5 years, what specific activities and functions have energized me the most? 	<ul style="list-style-type: none"> Potential Assessments 360 Degree feedback, self appraisal, Myers Briggs Type Indicator, DISC Assessment, Personalitytype.com Kiersey.com (temperament sorter and theory) SMCO Competencies

Step	Action	Key Questions	Resources
<p>Step 3</p> <p>Choose your Goals and Prepare a Draft EDP</p>	<ul style="list-style-type: none"> Select your Career/developmental goals Prioritize and discuss with your supervisor Define programs and other activities to obtain the needed competencies and set target dates Determine measures and/or outcomes as a result of your reaching your objectives. 	<ul style="list-style-type: none"> What competencies do I need to develop to reach my goals? What resources are available to help me meet my goals? What barriers or obstacles exist that might prevent me from accomplishing the goals and what can I do to overcome these barriers? How will I know my development activities are effective? 	<ul style="list-style-type: none"> HR Training and Development (LMS weblink) Formal training activities: Pursue a degree or certificate program Attend seminars/conferences Self-paced learning (books, Videos, computer based instruction) Other Learning Experiences: New assignments in your current position Rotation to a different job Seek a mentor Volunteer for a task force/committee Conduct informational interviews
<p>Step 4</p> <p>Finalize and Implement the plan</p>	<ul style="list-style-type: none"> Discuss and finalize your EDP with your supervisor Put your plan into action! 	<ul style="list-style-type: none"> How do my goals align with the Department/County organizational goals? 	
<p>Step 5</p> <p>Monitor and revise as necessary</p>	<ul style="list-style-type: none"> Monitor the plan with your supervisor regularly. Revise and modify the plan as necessary 	<ul style="list-style-type: none"> Am I making progress as expected? Have circumstances changed that require me to revise my goals/targets? 	

References: *Human Services Agency – “Ready, Set, Grow – A Directory For Your Development”, Donna Wocher*
Federation of American Societies for Experimental Biology Science Committee
Washoe County Human Resources
National Fish and Wildlife – “Creating an IDP”

O. *Employee Development Plan (EDP) Slide Show*





An Employee Development Plan is a road map that provides you with the most direct route to your destination.

You can probably get where you want to go without a map but it's easier and faster with a plan.


What is an Employee Development Plan (EDP)?

An EDP is developed by you in partnership with your supervisor and it focuses on:

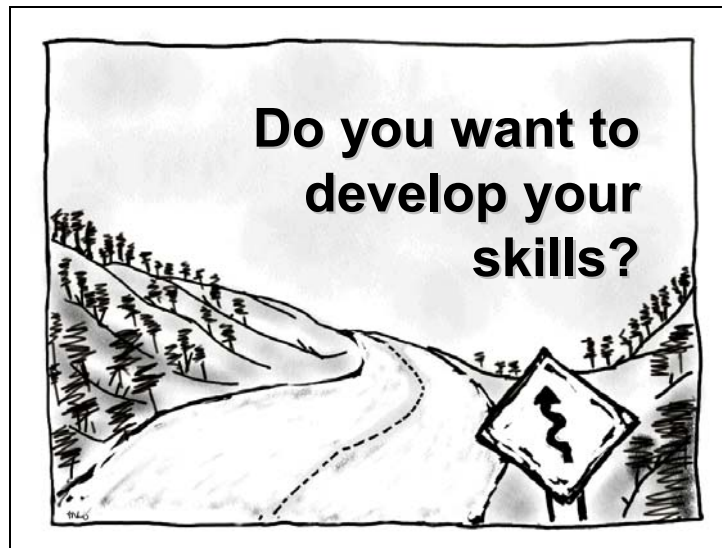
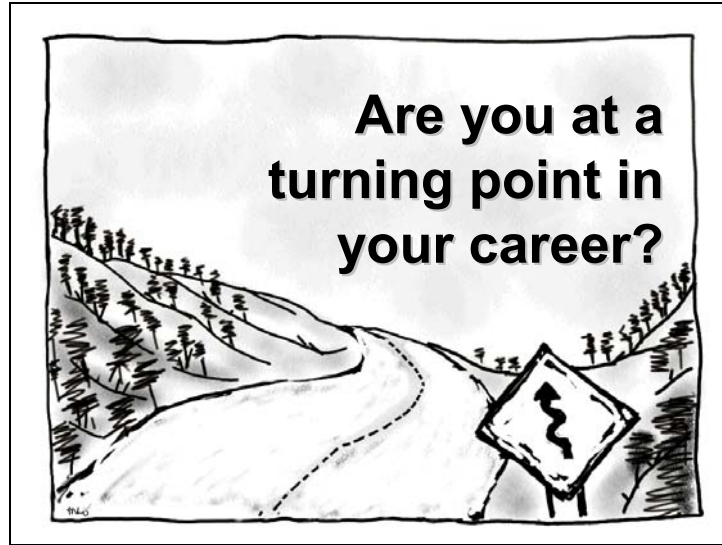


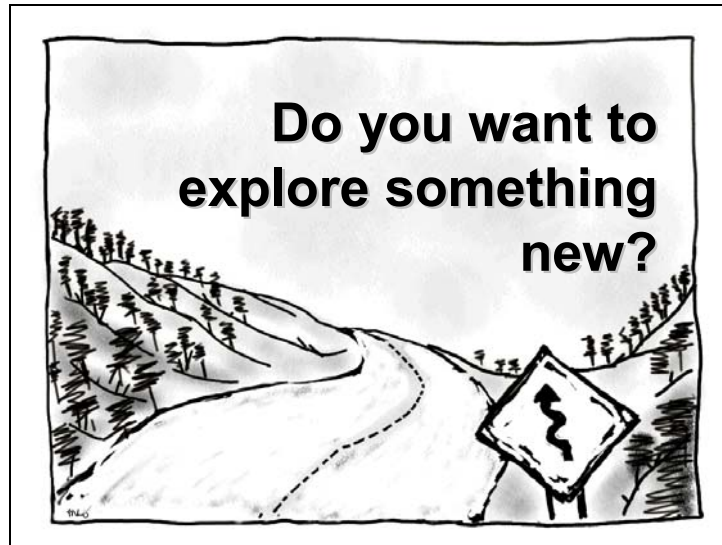
- ➔ Developing skills to help achieve career objectives (long-term goals)
- ➔ Enhancing current performance (short-term goals)

What are the benefits of an EDP?



- Provides a written action plan for achieving professional goals
- Helps maintain focus on career goals
- Tracks progress and success
- Explores resources needed to accomplish your goals
- Identifies current strengths and offers insight for areas of development





Do you want to try something new?

An EDP isn't only about preparing for a promotional opportunity—it also can be used to:

- Explore lateral transfers
- Learn new skills
- Develop other staff
- Investigate growth opportunities
- Strengthen existing skills
- Consider other program areas/departments

Are you happy where you are?

Development does not necessarily mean moving up or moving on.

An EDP can focus on growth in your current job. It can be a plan for fine tuning your current skills, sharing your knowledge and abilities with others, and developing new talents that apply to your current position.



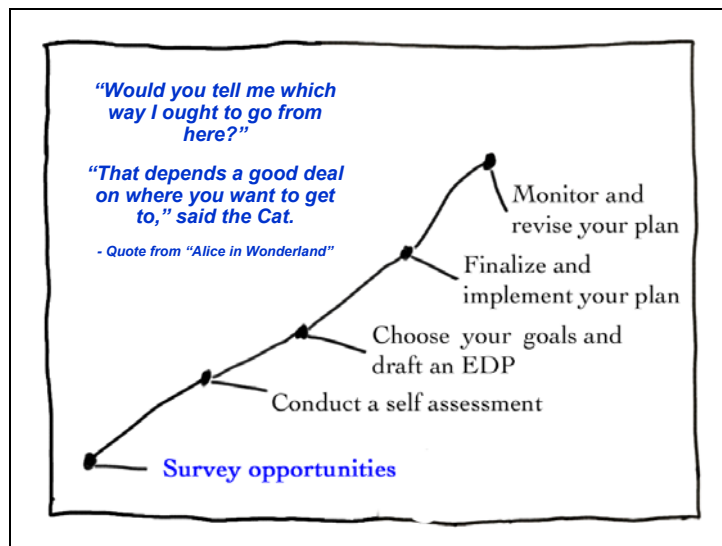
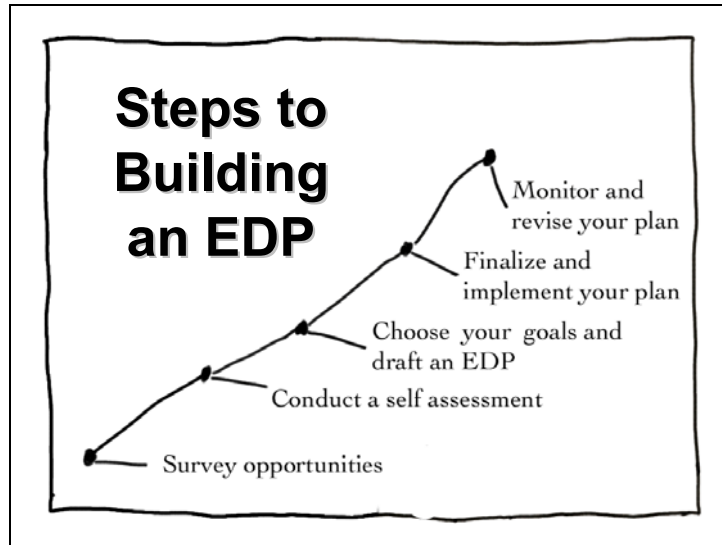
How you develop is entirely up to you.

Regardless of where you are in life – starting your career, re-entering the workforce, striving for promotion, considering your next career move, considering volunteering, or planning for retirement – you are in a state of career development.



How do I get started?





Survey Opportunities

Questions to ask yourself...


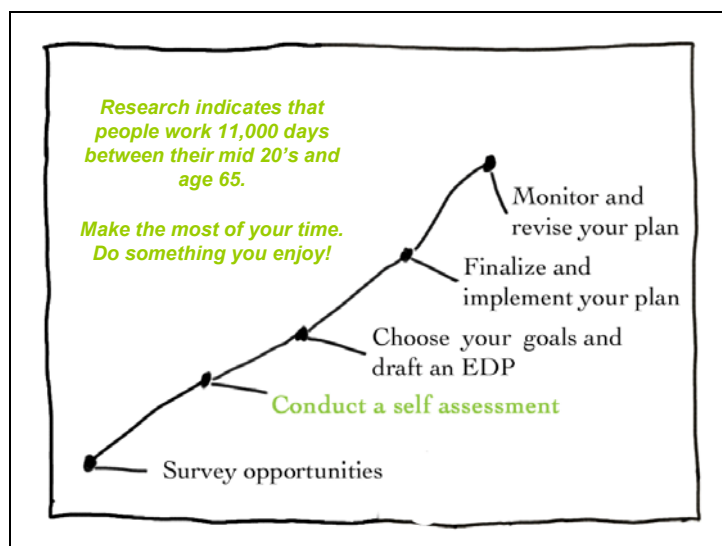
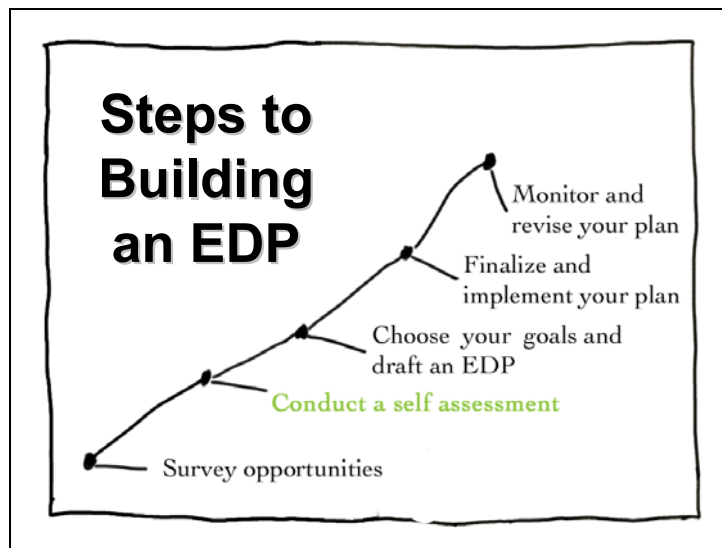
- ➔ What career opportunities interest me?
- ➔ How do my knowledge, skills and abilities match those career opportunities?
- ➔ Which of my competencies need to be strengthened in order for me to be successful?
- ➔ How do my interests align with the direction of my department and the County?

The character is a simple line drawing of a person wearing a wide-brimmed hat and a long-sleeved shirt. They are holding a large, round object, possibly a drum or a large bowl, in front of their chest.

Survey Opportunities

Here's what you do...


- ➔ Explore career possibilities that align your interests and the direction of your organization
- ➔ Research positions, departments, projects and/or initiatives that interest you
- ➔ Learn about current events affecting your areas of interest
- ➔ Connect with mentors and conduct informational interviews and/or job shadowing
- ➔ Match your skills and interests to career options

Conduct a Self Assessment

Questions to ask yourself...

- What is important to me?
- What are my skills and abilities?
- What areas or projects within the organization interest me?




- What things do I like to do and what things do I not like as much?
- What have I liked doing in the past?

Conduct a Self Assessment


Here's what you do...

A self assessment can aid in broadening your choices by identifying your career values, interests, and aptitudes.

- Learn about your personality type (Myers Briggs, Kiersey Temperament, etc.)
- Examine what you enjoy doing and how you can make that into a career
- Identify your [core competencies](#)



What is a Core Competency?

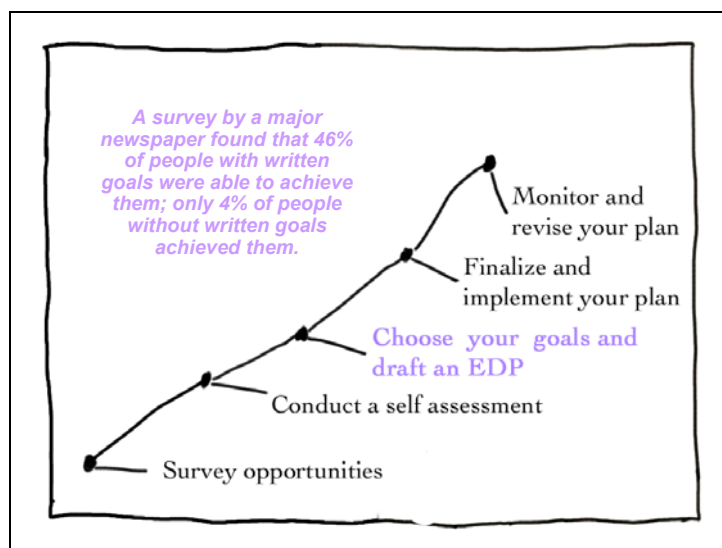
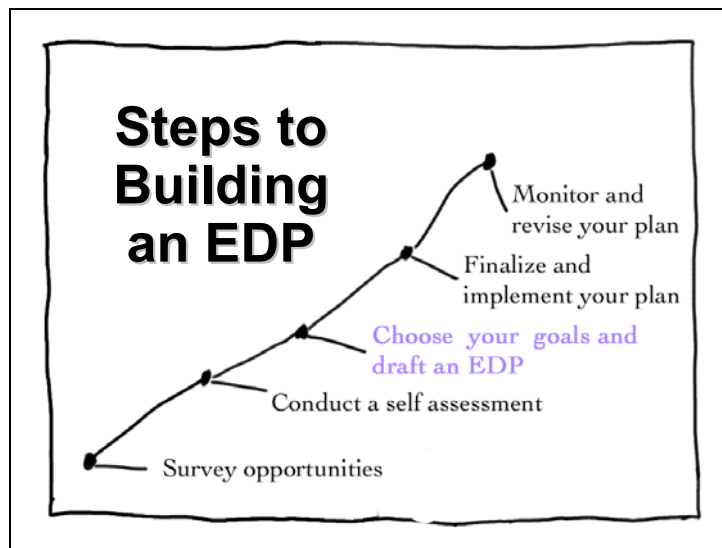


A core competency is a knowledge, skill or ability that contributes to the successful completion of a task on the job. All employees use multiple competencies to perform their job.

(Definition provided by the Countywide Succession Planning Task Force)

San Mateo County's Core Competencies


<ul style="list-style-type: none"> → Customer Focused → Technically Knowledgeable → Problem-solver and Decision-maker → Planner and Organizer → Interpersonally Effective → Effective Communicator → Teambuilder → Initiator/Change Agent 	<ul style="list-style-type: none"> → Innovator → Flexible/Adaptable → Accountable → Skill and Career Development Coach → Politically Astute → Resilient → Results-oriented → Ethical → Strategic Thinker
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Choose Your Goals and Draft Your Plan

Questions to ask yourself...

- What needs to happen first? Next?
- What is my timeline?
- What resources are available to assist me?



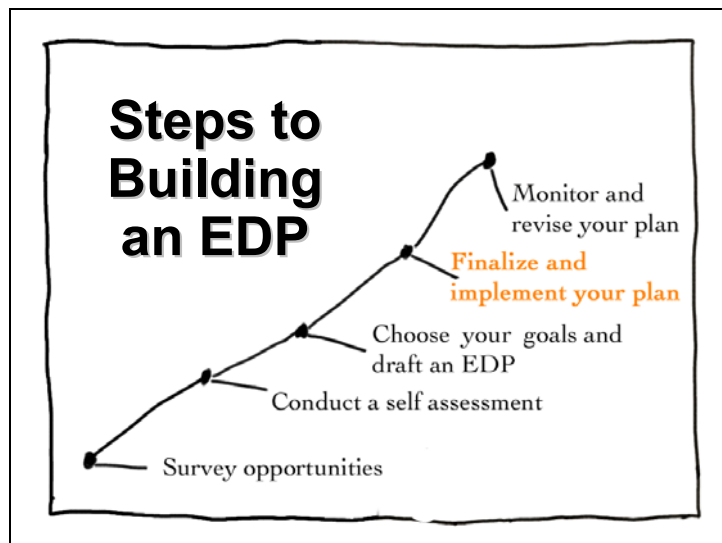
- How will I measure my success?
- How will I overcome challenges?

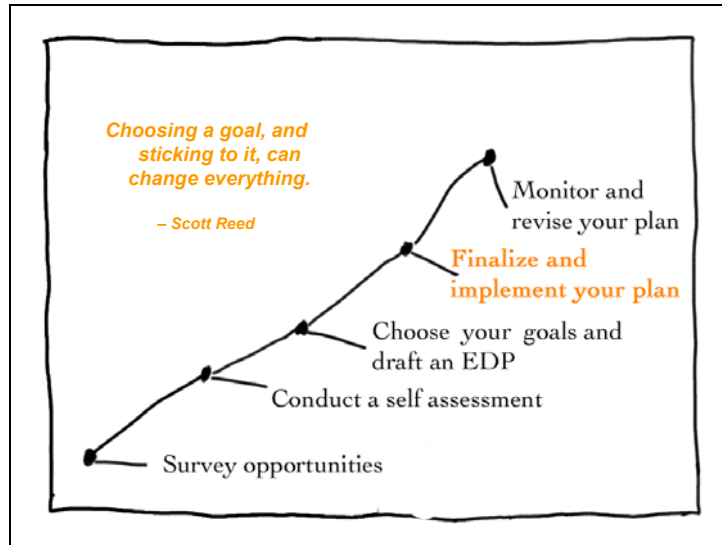
Choose Your Goals and Draft Your Plan

Here's what you do...

When you have evaluated your options and you are ready to make some decisions...

- Prioritize your goals
- Consider how your goals align with your department/County mission and goals
- Identify your strengths and core competencies that need development
- Write an action plan and identify objectives
- Seek resources and support
- Establish ways to measure your objectives and success
- Set a target for the start and completion of each objective



Finalize and Implement Your Plan

Questions to ask yourself...

→ Are my goals **SMART**?
Specific
Measurable
Attainable
Results oriented
Time framed

→ Do my goals align with my values and priorities?

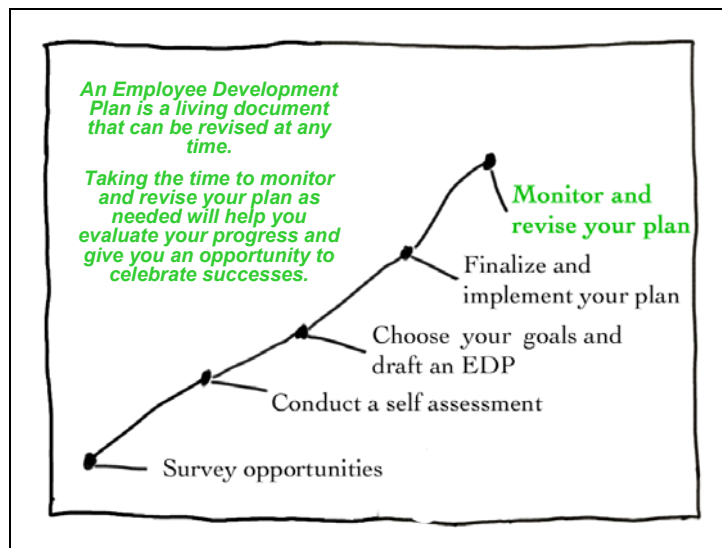
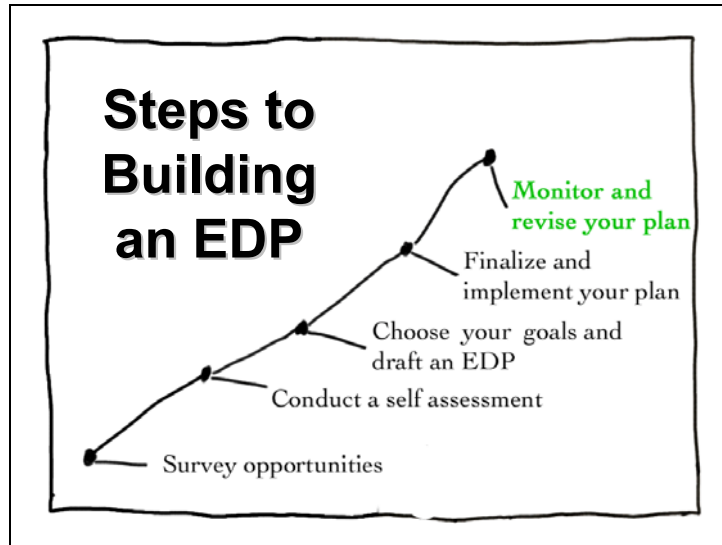
→ Do I have the support and resources I need to achieve my goals?

Finalize and Implement Your Plan

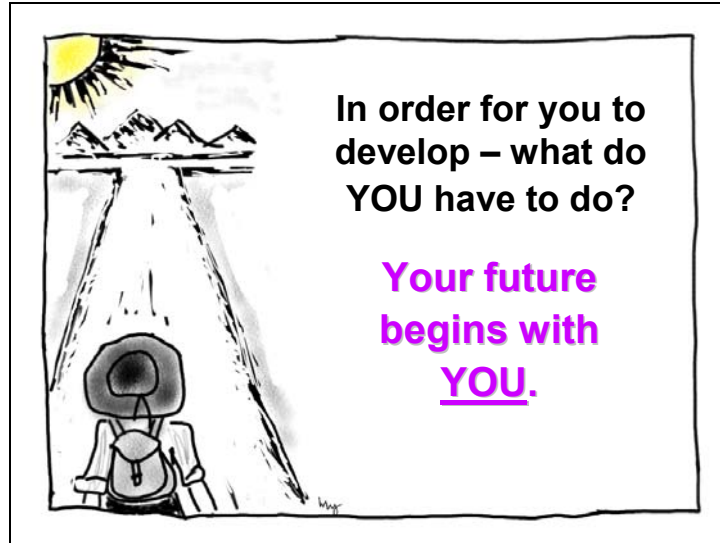
Here's what you do...

Once you know what you want, make your plan real:

- Take action
- Review your progress
- Prepare for your next step



- ### Tips for Creating a Successful Plan
- ➔ Review your plan regularly (weekly)
 - ➔ Determine what steps you will take each week to accomplish your goals
 - ➔ Don't be discouraged if you feel like you are not progressing as quickly as you would like
 - ➔ Revise, revisit and modify your plan to meet your changing needs
 - ➔ Take a break if you need one
 - ➔ Develop a buddy/support system



Glossary

Core Competency: knowledge, skill or ability that contributes to the successful completion of a task on the job. All employees use multiple competencies to perform their job.

Employee Development Plan: a plan that is jointly developed by employee and supervisor that indicates the career development goals of the employee and the specific activities or experiences that will advance the individual toward those goals.

Goals, Objectives, and Priorities:

Goal – a desired end state such as, "end world hunger," or, "improve patient care."

Objective – an action step required to achieve a goal. Objectives are things that can be done that will move you toward a goal. Objectives should be **SMART** – Specific, Measurable, Agreed upon, Relevant, and Time framed.
Example: "I will walk 20 minutes twice a week on the beach for the next six weeks."

Glossary

Goals, Objectives, and Priorities (continued):

Goals vs. Objectives:

- Goals are broad; objectives are narrow.
- Goals are general intentions; objectives are precise.
- Goals are intangible; objectives are tangible.
- Goals are abstract; objectives are concrete.
- Goals can't be validated as is; objectives can be validated.

Priority – a ranking of objectives based on urgency and importance.

Lateral transfer: a long-term staffing option that allows for the movement of an employee from one position to another with the same maximum compensation.

Glossary

Shared Vision: San Mateo County's 10-year comprehensive strategic work plan, Shared Vision 2010, The Promise of the Peninsula, defines what our community can achieve over the next decade with government and citizens working together. Most importantly, it is a plan that seeks to avoid crisis-driven policies, remove irrelevant boundaries and barriers, in favor of comprehensive and coordinated community-wide planning. Developed through a civic engagement process, the 10 commitments and 25 measurable goals set an ambitious and accountable 10-year course of action. The County is currently in the process of updating its plan through the year 2025.

Succession Planning: the Succession Planning Task Force defines succession planning as a systematic and multi-dimensional strategy that will ensure the continuity and success of County operations and service delivery to the community by promoting career growth and development of leadership talent at all levels of the organization.

Glossary

Succession Planning Task Force: a task force that was created as a result of several recommendations related to succession planning identified in the San Mateo County Organizational Review completed in April 2006. The County Manager formed this task force with departmental representatives charged with developing a succession planning program for the County. The committee created a program, which was approved by Executive Council and the Board of Supervisors in March 2007.

Succession Planning Implementation and Evaluation Steering Committee (SPI&E): a committee that was created in April 2007 to begin the implementation process of the County's new succession planning program. Several sub-committees were formed to help implement the new program. The Multi-Media team is one of several sub-committees of the SPI&E. The team is charged with creating multi-media presentations to facilitate meeting the goal of 20 hours of training each year for each County employee.

Resources

Survey Opportunities

Human Resources Website
www.co.sanmateo.ca.us/hr

Other Websites of Interest

www.pathfinderscareerdesign.com

www.mapping-your-future.org

www.jobstar.org/tools/career/spec-car.php

www.bls.gov/oco (occupational outlook)

Informational Interviews

Job Shadowing

Resources

Conduct a Self-Assessment

Potential Assessments
360 Degree feedback
Self appraisal
Myers Briggs Type Indicator
DISC Assessment
www.personality.com
www.keirsey.com (temperament sorter and theory)

Resources

Choose your Goals and Prepare a Draft EDP

Human Resources Training and Development

Formal Training Activities
Pursue a degree or certificate program
Attend seminars/conferences
Self-paced learning (books, videos, computer based instruction)

Other Learning Experiences
New assignments in your current position
Rotation to a different job
Seek a mentor
Volunteer for a task force/committee
Conduct informational interviews

Acknowledgements


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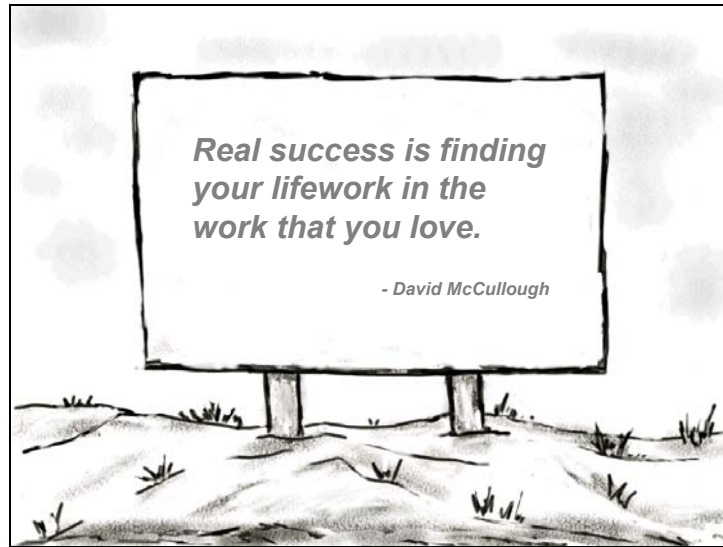
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*P. Employee Development Plan (EDP) Pilot
– Cluster competencies for self assessment and 360 degree evaluation*

Interpersonally Effective/Effective Communicator/Teambuilder

Understands their own interpersonal communication style and its impact on others in order to establish positive working relationships and a more effective team.

Accountable/Results Oriented

Understands how to effectively monitor and evaluate their work performance and that of their employees, including reorganizing and rewarding good performance and addressing deficiencies.

Skill & Career Development Coach

Understands how to assess and develop both the strengths and needs of each employee and the team, including developing and preparing staff for promotion.

Technically Knowledgeable

Understands the principles, tools, methods and techniques relating to their profession. Demonstrates technical knowledge well advanced of that expected with the required training and experience. Has developed a specialty within their profession and continues to develop and improve their knowledge.

Problem-Solver, Decision-Maker

Understands how to use individual and collaborative problem solving and decision-making methods to handle complex ideas, problems and situations in a creative manner.

Innovator/Initiator/Change Agent

Understands how to continually evaluate and improve existing systems, policies, procedures and practices.

Planner and Organizer

Understands the necessity, importance and methodology of effective planning in order to get things done and make improvements in an organized fashion.

Politically Astute/Strategic Thinker/Flexible/Adaptable/Resilient

Understands the impact, value and use of political astuteness and the strategy in achieving optimal program goals and results.

Customer-Focused

Understands how to review/establish, monitor, measure and evaluate their unit's customer effectiveness in order to ensure high quality service by the unit and employees.

Ethical

Deals effectively with ethical decisions through a discussion of values and behaviors.