



# 2016 STRATEGIC PLAN

# MONITORING REPORT

July 2016





# 2016 STRATEGIC PLAN MONITORING REPORT

OFFICE OF STRATEGIC PLANNING, POLICY AND  
RESEARCH (OSPPR)

*OSPPR Strategic Goal #2 - Implement a  
monitoring and reporting program for all DGS  
Strategic Plan goals.*

REPORT DATE – August 12<sup>th</sup> 2016

**REPORTING THROUGH: JULY 2016**



PROGRESS UPDATES – CRITICAL PATH

1. ADM – OBAS:

**Goal #1 - Ensure that 80 Percent of all OBAS Contracts are Executed within Two Months.**

#	Step	Start	Due
1	Service Contract/Order/Amdmt, Process Re-Engineering	3/1/16	3/30/16
2	Service Contract/Order/Amdmt, Formal Training	7/18/16	7/25/16
3	P. Works Contract Re-Engineering	7/1/16	8/10/16
4	P. Works Contract Formal Training	8/1/16	8/31/16
5	A&E Contract Re-Engineering	9/1/16	10/31/16
6	A&E Contract Formal Training	11/1/16	11/30/16

As of 7/30, **Step 2** was completed when two formal training sessions were held for OBAS Service Contract staff. Completion of **Step 3** is delayed to 8/10 (the scheduled re-engineering session), given scheduling conflicts of staff. The remaining steps are on track.

**Goal #3 - Establish and Publish Dashboard for OBAS Contracting Data.**

#	Step	Start	Due
1	Develop Survey (Identify Data that Programs Want to See)	6/1/16	6/30/16
2	Evaluate Survey Information	7/1/16	7/31/16
3	Identify Data that Management Wants to Track	7/1/16	7/31/16
4	With FI\$Cal and ETS, Develop Dashboard Information	9/1/16	9/30/16
5	With FI\$Cal and ETS, Link Dashboard to OBAS' Intranet Site	10/1/16	10/31/16
6	Test Info on Dashboard	10/1/16	10/31/16
7	Advertise Availability of Dashboard	11/1/16	11/30/16

As of 7/31, **Steps 2 and 3** were completed. The dashboard team has evaluated the survey responses and identified the data to be tracked.



2. ADM – OFS:

**Goal #1 – Establish Customer Forums for Best Practices, Policy/Procedure Changes.**

#	Step	Start	Due
<b>Internal Clients:</b>			
1	Hold initial meeting with DGS divisions/offices, discuss FI\$Cal	4/4/16	4/4/16
2	Hold 2nd meeting with DGS divisions/offices	7/1/16	7/1/16
3	Hold 3rd meeting with DGS divisions/offices	10/3/16	10/3/16
<b>External Clients:</b>			
1	Hold Q1 forum with external clients	3/30/16	3/30/16
2	Provide ext. clients with Q1 presentation material	4/4/16	4/4/16
3	Hold Q2 forum with external clients	6/15/16	6/15/16
4	Provide ext. clients with Q2 presentation material	6/15/16	6/22/16
5	Hold Q3 forum with external clients	10/3/16	10/3/16
6	Provide ext. clients with Q3 presentation material	10/3/16	10/3/16
7	Hold Q4 forum with external clients.	12/1/16	12/1/16
8	Provide ext. clients with Q4 presentation material	12/1/16	12/1/16

As of 7/1, for **Internal Clients, Step 2** did not (and will not) occur, given that OFS staff were 1) closing out FY 2015/16 and 2) preparing for the transition to FI\$Cal. However, the third meeting (**Step 3**) is still planned for 10/3.

3. ADM – OHR:

**Goal #1 – Establish Regular Customer Forums for OHR Client Departments to Discuss Best Practices and Policy/Procedure Changes.**

#	Step	Start	Due
1	Solicit Names (External and Internal) for HR Client Workgroup	4/1/16	4/25/16
2	Establish Charter With Roles And Responsibilities	4/25/16	5/18/16
3	Hold Initial Meeting to Discuss Charter	5/31/16	6/10/16
4a	Schedule and Hold Workgroup Meeting #2	7/21/16	7/21/16
4b	Schedule and Hold Workgroup Meeting #3	8/11/16	8/11/16
4c	Schedule and Hold Workgroup Meeting #4	TBD	TBD
5	Draft And Vet Policy/Procedure	TBD	TBD
6	Publicize Policy/Procedure	TBD	TBD

As of 7/21, **Step 4a** was completed when the HR Client Workgroup (DGS divisions and offices) met to discuss the FY 2016/17 Exam Plan. Also, the charter was finalized prior to the 7/21 meeting. Note: The original critical path was altered slightly. The original



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**Step 4** is now subdivided into three separate meetings. **Steps 5-6** are being removed, since these are internal tasks for OHR, not the workgroup.

**Goal #4 – Improve the Pool and Quality of Candidates and Decrease Vacancies by Moving from DGS-Specific Classifications to Statewide Classifications and by Prioritizing OHR Exams.**

#	Step	Start	Due
<b>Classification Conversion</b>			
1	Classifications Identified as DGS-Only	1/4/16	2/1/16
2	Evaluate DGS-Only Classes; Possibly Convert to Generalist Classes	2/1/16	TBD
3	Create Plan to Transition DGS-Only to Generalist	6/2/16	8/1/16
4	Vet Plan with DGS Director	TBD	TBD
5	Implement Plan	TBD	TBD
<b>Exam Prioritization</b>			
1	Hire Recruiter	4/25/16	4/25/16
2	Recruiter, Exams Unit, Programs Identify Necessary Exams	4/26/16	7/1/16
3	Develop Exams Plan	7/2/16	8/1/16
4	Vet Plan with DGS Director	8/2/16	8/8/16
5	Advise Deputy Directors of Yearly Exams Plan	8/15/16	8/15/16
6	Implement Exams Plan	8/15/16	8/15/16

For the **Classification Conversion** phase, **Step 2**, OHR is still waiting for a response from CalHR. As of 7/1, for the **Exam Prioritization** phase, **Step 2** was completed. OHR’s Examinations Unit contacted all DGS programs for the exams they would like to hold during FY 16/17. The Unit and OHR recruiter are now preparing the Exams Plan (**Step 3**).



4. **ADM – ORIM:**

**Goal #1 – Pilot Online Portal for Reporting Auto Claims.**

#	Step	Start	Due
1	Last Phase of Testing	1/4/16	5/2/16
2	Coordinate w/ OSPPR, Revision and Numbering of Accident Reporting Form	4/15/16	9/30/16
3	Approval from ORIM Chief	5/20/16	5/20/16
4	Demo Portal to CHP, CalTrans (Select Units)	7/15/16	Fall '16
5	Pilot Goes "Live"	7/30/16	Fall '16
6	All CHP, CalTrans Offices Submit Claims Online	2/15/17	2/16/17

Completion of **Step 2** is delayed to 9/30, given that ORIM is waiting for OSPPR to deliver the final PDF version of Form 270. Also, the Risk Management System (SIMS) portal does not support a PDF document. As a result, ORIM has asked the vendor, and is awaiting their response, for a cost-estimate to build this capability into SIMS. This impacts **Steps 4 and 5**, with completion expected sometime in the Fall.

**Goal #2 – Increase State Savings through the Equipment Maintenance Management Insurance Program (EMMP) by 20 Percent (\$700,000) by Enrolling New Equipment and Adding State Departments.**

#	Step	Start	Due
1	Monthly Monitoring (May)	5/1/16	5/31/16
2	Monthly Monitoring (June)	6/1/16	6/30/16
3	Monthly Monitoring (July)	7/1/16	7/30/16
4	Monthly Monitoring (Aug)	8/1/16	8/31/16
5	Monthly Monitoring (Sept)	9/1/16	9/30/16
6	Monthly Monitoring (Oct)	10/1/16	10/31/16
7	Monthly Monitoring (Nov)	11/1/16	11/30/16
8	Monthly Monitoring (Dec)	12/1/16	12/31/16

As of 7/30, **Step 3** was completed. State department maintenance savings were \$60,821.26 from 1/16 – 6/16. Note: 1) July savings will be calculated in August; 2) Significant savings are expected in July 2016 (departments are billed by mid-August), when state departments renew their yearly premiums. Given the program is not mandated, ORIM staff make cold calls to market the EMMP, including service visits to the 29 participating state department clients, with the current focus on lab/medical and IT equipment.



5. **DSA:**

**Goal #3 – Increase Collaboration and Outreach with the Disabled Community.**

#	Step	Start	Due
1	Initial Certified Access Specialist (CAsp) Program Outreach Meeting with Interested Advocates	3/31/16	3/31/16
2	Reconvene a Disability Access Advisory Committee/Task Force/Stakeholder Forum	5/1/16	8/30/16
3	Offer Specialized Code Educ. Class to Disab. Advocates	5/1/16	9/30/16
4	(Ongoing) Expand Access Code Training-Educ Programs to Local Building Departments and Other Interested Parties	5/1/16	12/31/16
5	(Ongoing) Seek Ways to Better Educ. Business, Public; Dispel “Mythologies”	5/1/16	12/31/16
6	(Ongoing) Increase Stakeholder Engagement Earlier in Access Code Process	5/1/16	12/31/16
7	Expand Outreach, Use Existing Orgs. to Educate	7/1/16	7/30/16
8	(Ongoing) Present Proposed Code Amendments More Simply	7/15/16	12/15/16
9	(Ongoing) Use Particip. of Persons w/ Disab. in Access Code Educ. Pgms	9/1/16	12/31/16

As of 7/30, **Step 7** was completed. DSA has scheduled an 8/10/16 teleconference forum, in conjunction with the Department of Rehabilitation, to receive input from people with disabilities and other stakeholders, on potential access code amendments.

6. **FMD:**

**Goal #3 – Strategically Improve the Overall Quality and Consistency of Facility Maintenance and Improvement Projects - *Develop a Comprehensive Project Tracking System for Facility Improvement Projects.***

#	Step	Start	Due
1	Meet With Maximo Consultants, ID Future Integrations, Best Practices	5/1/16	5/12/16
2	Evaluate, Prioritize Maximo Projects (Prev. Approved, Unimplem, or Incomplete)	5/1/16	8/15/16
3	Assemble Project Delivery and Tracking Team	5/13/16	11/1/16
4	Develop, Implement Work Mgmt Business Process	11/2/16	1/15/17

As of 7/29, **Step 2** was completed, after FMD Analyst Thayne Gunter cross-referenced projects in Maximo and closed (“decommissioned”) projects, as needed.



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**Goal #4 – Strategically improve the overall quality and consistency of facility maintenance and improvement projects - *Develop and publish a process to prioritize facility improvement requests and priorities to increase transparency.***

#	Step	Start	Due
1	Identify Key Members Needed to Create Prioritization Factors	5/1/16	5/11/16
2	Set Up Initial Meeting	5/12/16	5/20/16
3	Determine Factors for Prioritizing Improvement Projects	5/21/16	6/10/16
4	Create Form for Prioritizing Improvements	6/11/16	6/30/16
5	Complete PMCM (Consultant) Contract Execution	7/1/16	8/30/16
6	Familiarize PMCM with FMD Facilities, Policies, Procedures	8/1/16	9/30/16
7	PMCM Assist with all Flow Processes; Make Any Needed Changes to the Form (Step 4)	9/1/16	10/30/16

Completion of **Step 5** was delayed to 8/30, given that the contract is being reviewed by OLS. The remaining steps are impacted, with new dates shown above.

**Goal #7 – Strategically Improve the Overall Quality and Consistency of Facility Maintenance and Improvement Projects - *Conduct Robust Recruitments to Reduce Vacancies and to Attract and Retain Well-Qualified Candidates.***

#	Step	Start	Due
1	OHR's New Recruiter Meet With FMD to Discuss Recruitment Needs	5/3/16	5/3/16
2	FMD HR Meet With FMD Managers to Identify Exam Needs	6/30/16	6/30/16
3	Establish a Robust Recruitment Plan	7/30/16	8/1/16
4	Establish Hiring Guidelines	7/30/16	TBD
5	Publish and Distribute Recruitment Plan	8/30/16	TBD
6	FMD HR Meet With FMD Managers to Establish "Best Hiring Practices" (Offer Pilot Course)	6/30/16	Early 2017

This goal was established prior to the creation of an OHR Recruitment Unit, which is now addressing **Steps 3-5** from a department-wide perspective. (See OHR Goal #5 in June report.) Also, with OHR Goal #1, an HR Client Workgroup was established (which includes an FMD representative) that is addressing the DGS recruitment plan. **Step 6**, however, is FMD-specific and being coordinated with DGS University, with course delivery expected in 2017.



7. **ISD – BSC:**

**Goal #1 – Update the California Green Building Standards in Support of Green Initiatives (e.g., ZEV Infrastructure, Water Reduction Mandates for Plumbing and Irrigation, and Reduction of Construction Site Materials Sent to Landfills).**

#	Step	Start	Due
1	Hold First CALGreen Workshop for Regs, Updates	5/31/16	5/31/16
2	Develop Proposed Code Language; Draft Rulemaking Supp. Docs	6/1/16	6/30/16
3	Hold 2nd CALGreen Workshop	7/29/16	9/7/16
4	Cont. Develop Proposed Code Language; Draft Rulemaking Supp. Docs	8/1/16	11/30/16
5	Submit Initial Rulemaking Package to BSC (Start of Intervening Code Cycle)	12/30/16	12/31/16

During July, BSC, with various state agencies and stakeholders, agreed that a second CALGreen Workshop is necessary (**Step 3**) and formally scheduled it for 9/7. Also during July, BSC continued to develop the proposed amendments and necessary support documents and prepare for the 9/7 workshop. The remaining steps are on track.

**Goal #2 – Research, Develop and Propose for Adoption Mandatory Recycled Water Infrastructure Standards for Residential and Nonresidential Properties.**

#	Step	Start	Due
1	Facilitate Four Strategy Meetings With Other State Agencies	3/18/16	3/18/16
2	Hold 1st Workshop With Various State Agencies and Stakeholders	5/31/16	5/31/16
3	Amend Proposed Code Language Based on Stakeholder Input	7/9/16	7/29/16
4	Hold Subcommittee Meetings with Various State Agencies and Stakeholders	7/20/16	7/29/16
5	Amend Proposed Code Language; Develop Rulemaking Support Documents	8/1/16	8/31/16
6	Hold 3rd Workshop With Various State Agencies and Stakeholders	9/30/16	9/30/16
7	Amend Proposed Code Language; Develop Rulemaking Supp. Documents	10/3/16	11/30/16
8	Submit Initial Rulemaking Package to BSC (Start of Intervening Code Cycle)	12/30/16	12/31/16

As of 7/29, **Steps 3 and 4** were completed. During the four subcommittee meetings held with public and private stakeholders on 7/28-7/29, BSC received comments on its



proposed amendments to the 2016 California Plumbing and Green Building Standards Codes. BSC is currently amending its proposed code language (**Step 5**).

8. **ISD – OFAM:**

**Goal #1 – Implement an Interactive Fleet Dashboard that Provides Vehicle Analytics to State Departments.**

#	Step	Start	Due
1	Provide Department of Technology (CDT) With Petroleum Reduction Data	3/21/16	3/21/16
2	Create Flow Chart With Inputs, Calculations and Outputs for Greenhouse Gas (GhG) and MPG	3/22/16	5/20/16
3	Provide FY14/15 Zero Emission Vehicle (ZEV) Purchasing Numbers for Depts Subject to 10% Requirement	3/22/16	5/20/16
4	Establish Criteria for Green Fleet Scorecard	8/1/16	9/16/16
5	Perform User Acceptance Testing (UAT)	9/1/15	9/15/16
6	Give Final Approval for Dashboard	9/16/16	10/1/16

Completion of **Step 4** is delayed to 9/16, given that 1) OFAM staff were redirected to complete ZEV purchasing policy projections for the Governor’s Office. Criteria has been developed, but needs approval from the Green Fleet Scorecard team. Completion of **Step 5** (concurrent with Step 4) is delayed to 9/15 given that the Department of Technology needs more time to build the website. This impacts **Step 6** (now due 10/1).



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**Goal #2 – Reduce 2016 Statewide Petroleum Consumption by More Than 5 Percent (Over 1.5 Million Gallons) from 2014 Baseline.**

#	Step	Start	Due
1	Establish Bulk Renewable Diesel Purchasing Mandate	12/9/15	12/9/15
2	Establish Procedure to Cross Check Approvals w/ Actual Zero Emission Vehicles (ZEV) Purchases	3/31/16	3/31/16
3	(Ongoing) Promote Statewide Renewable Diesel Contract (Events, Forums)	5/1/16	12/31/16
4	(Ongoing) Monitor Fleet Acquisition Plans; Ensure Compliance w/ Executive Order (EO) B-16-12 (See OFAM Goal #3, Step 3)	5/1/16	12/31/16
5	Finalize Draft of a Hybrid Vehicle Purchasing Mandate	5/31/16	6/15/16
6	Receive DOF Support for Hybrid Vehicle Purchasing Mandate (See OFAM Goal #3, Step 4)	7/1/16	8/19/16
7	[Qtrly] Monitor Renew. Diesel Usage; Track Purch., Ensure Compliance	6/30/16	12/1/16
8	Issue Approved Mgmt Memo and Corresponding SAM Update	8/1/16	8/1/16
9	Update ZEV Tracking Mechanism (to Report on EO B-16-12 Compliance) (See OFAM Goal #3, Step 7)	8/30/16	8/30/16

As of 7/29, for **Step 3**, OFAM staff participated in the Municipal Equipment Maintenance Association’s Fleet Expo where Management Memo 15-07 (Renewable Diesel mandate) and the contract were discussed and promoted. As of 7/30, for **Step 4**, OFAM processed one new fleet acquisition request; however, it wasn’t subject to the Executive Order.

**Goal #3 – Reduce Petroleum Consumption by Over 20 Percent (More Than 500,000 Gallons) in DGS Leased Fleet from 2014 Baseline.**

#	Step	Start	Due
1	Establish Procedure to Cross Check Approvals w/ Actual ZEV Purchases Mandate	3/31/16	3/31/16
2	Finalize Draft of a Hybrid Vehicle Purchasing Mandate	4/1/16	5/31/16
3	(Ongoing) Monitor Fleet Acquisition Plans; Ensure Compliance w/ EO B-16-12 (See OFAM Goal #2, Step 4)	5/1/16	12/31/16
4	Receive DOF Support for Hybrid Vehicle Purchasing Mandate (See OFAM Goal #2, Step 6)	07/01/16	8/19/16
5	Promote ZEVs and Hybrids via Fleet Acquis. Planning Process	6/1/16	6/30/16
6	Issue Approved Mgmt Memo and Corresponding SAM Update	7/1/16	9/30/16
7	Update ZEV Tracking Mechanism (to Report on EO B-16-12 Compliance) (See OFAM Goal #2, Step 9)	8/1/16	8/30/16

For **Step 3**, see status reported earlier. Completion of **Step 6** is delayed to 9/30, given that policy revisions were made to incorporate expanded zero emission purchasing

requirements into the mandate requiring hybrid vehicle purchasing. These revisions require additional vetting time for the DGS Executive staff, Agency and the Governor’s Office.

**9. ISD – OPSC:**

***Goal #1 – Establish Best Practices for Various Types of Closeout Reviews to Increase Efficiencies.***

#	Step	Start	Due
1	Identify QC Team Members	10/1/15	10/1/15
2	(Ongoing) Establish, Update QC Review Procedures and Checklist	5/1/16	12/31/16
3	(Monthly) Identify and Present Best Practices at Monthly Meeting	5/30/16	12/31/16
4	(Monthly) Share QC Review Results at Monthly Meeting	5/30/16	12/31/16
5	(Qtrly) Present Report of QC Review Results to Management	6/30/16	12/31/16

As of 7/31, for **Step 2**, modifications to the QC Procedures are being made as needed. For **Steps 3 and 4**, information continues to be shared at the monthly auditor meetings. For **Step 5**, the next Quarterly Report will be presented to OPSC Executive Management for review on 9/30.

***Goal #2 – Increase the Number of In-Depth Closeout Reviews by 38 Percent (from 88 to 121).***

#	Step	Start	Due
1	(Weekly) Track In-Depth Closeouts to Ensure 121 Projects Are Closed	5/1/16	12/31/16
2	(Monthly) Ensure In-Depth Reviews Are Meeting Milestones	5/30/16	12/31/16
3	(Qtrly) Present Qtrly Report of In-Depth Closeouts to Mgmt	6/30/16	12/1/16

As of 7/31, for **Step 1**, in-depth closeouts are continuing to be tracked on a weekly basis. For **Step 2**, operations managers and supervisors are tracking milestones for in-depth reviews. For **Step 3**, the next Quarterly Report will be presented to OPSC Executive Management for review on 9/30.

**Goal #3 – Develop a System to Collect Review Times Based Upon the Type of Project, Which Will Be Used to Establish a Comprehensive Baseline of Budgeted Hours by Type.**

#	Step	Start	Due
1	ETS Resolve 3 Requests for Current System (School Facility Program “Project Closeout” Database)	4/15/16	4/25/16
2	User Acceptance Testing (UAT), Bug Fixes, Data Cleansing, and Deployment	4/15/16	5/5/16
3	ETS Resolve 4th Request for Current System	5/5/16	6/24/16
4	UAT, Bug Fixes, and Deployment	6/27/16	8/12/16
5	Time-Tracking Report Development	7/1/16	8/12/16
6	Report Validation / User Accept. Testing, Bug Fixes, and Deployment of Database (to OPSC Staff)	7/4/16	8/12/16

As of 7/31, for **Steps 4-6**, some programming changes have been deployed and are operational. However, completion of **Steps 4-6** is delayed to 8/12, given the complexity of the requested programming and ETS’ competing priorities.

10. **ISD – OSP:**

**Goal #2 – Establish a Collaborative Working Group with OSP Customers to Improve Business Functions.**

#	Step	Start	Due
1	Prepare Outreach Contact List for Invitation to Join Group	6/30/16	8/23/16
2	Prepare Planned Agenda and Reach Out to Potential Attendees	7/11/16	9/1/16
3	Hold First Meeting With Stakeholders At OSP / Tours	9/14/16	9/14/16
4	Evaluate First Meeting; Schedule Second Qtr Meeting; Prepare Agenda	9/21/16	9/26/16
5	Hold Second Meeting, Identify Response from First Meeting	1/25/17	1/25/17
6	(Qtrly) Ongoing Continuance of Collaboration Meetings	1/25/17	Ongoing

Completion of **Step 1** is delayed to 8/23, when the ISD Deputy Director and State Printer meet to identify stakeholder attendees. The remaining steps are on track.



11. OAH:

**Goal #3 – Issue Decisions On-Time in 90 Percent of Cases for the General Jurisdiction Division.**

#	Step	Start	Due
1	(Monthly) Track Decision Due Date and Decision Issuance Data	5/1/16	12/31/16
2	(Monthly) Run Pract. Mgr. Report Capturing % of On-Time Decisions	5/1/16	12/31/16
3	(Monthly) Circulate Report to Management	5/1/16	12/31/16
4	(Ongoing) Eval. Cause(s) of Failure to Maintain Goal. Take Corrective Action.	5/1/16	12/31/16
5	Dev. Best Practices Rept. of Issues Causing Late Decisions/Solutions	6/1/16	6/30/16
6	(Qtrly) Discuss Results With Staff/Mgmt at Meetings	6/30/16	12/1/16

As of 7/31, on a monthly basis OAH has consistently reached its target of issuing decisions on-time for 90 percent of GJ cases.

**Goal #4 – Issue Late Decisions within 15 Calendar Days of the Due Date in 90 Percent of Cases for the General Jurisdiction Division.**

#	Step	Start	Due
1	(Monthly) Track Decision Due Dates and Date of Decision Issuance	5/1/16	12/31/16
2	(Monthly) Run Pract. Mgr. Report Capturing % of Late Decisions	5/1/16	12/31/16
3	(Monthly) Circulate Report to Management	5/1/16	12/31/16
4	(Monthly) Evaluate Causes of Failure to Maintain Goal. Take Correc. Action	5/1/16	12/31/16
5	Dev. Best Practices Rept. of Issues Causing Late Decisions/Solutions	6/1/16	6/30/16
6	(Qtrly) Discuss Results With Staff/Mgmt at Meetings.	6/30/16	12/1/16

As part of OAH's monthly monitoring of decision process times, the General Jurisdiction division is trending to meet its respective target timeframes.



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**Goal #5 – Issue Decisions On-Time in 98 Percent of Cases for the Special Education Division.**

#	Step	Start	Due
1	(Weekly) Identify Decision Due Date	5/1/16	12/31/16
2	(Weekly) Audit Decision Issuance Date With Decision Due Date	5/1/16	12/31/16
3	(Ongoing) Eval. Cause(s) of Failure to Maintain Goal. Take Corrective Action.	5/1/16	12/31/16
4	Dev. Best Practices Rept. of Issues Causing Late Decisions/Solutions	6/1/16	6/30/16
5	(Qtrly) Discuss Results With Staff/Mgmt at Meetings.	6/30/16	12/1/16

As part of OAH’s monthly monitoring of decision process times, the Special Education division is trending to meet its respective target timeframes.

12. **OAS:**

**Goal #1 – Collaboratively develop a robust accreditation/compliance audit process with the Procurement Division (PD) for the delegated purchasing authority program.**

#	Step	Start	Due
1	Review PD's Proposed Policy for Accreditation Program	4/1/16	4/4/16
2	Discuss Policy With OAS Manager	4/4/16	4/4/16
3	Provide Feedback to PD on OAS’ Proposed Role	4/7/16	4/7/16
4	Develop Written Agreement w/ PD That Defines OAS’ Role	9/1/16	9/15/16
5	Implement Process With PD Within Accreditation Program	10/1/16	12/31/16

The Start and Due dates for **Step 4** are delayed to September, as shown above (rough estimates). PD has not obtained director approval for an accreditation program, and until a program is approved, OAS’ role cannot be defined in a written agreement. In August, PD expects to deliver a proposal for an accreditation program to the Director. If approved, OAS will work with PD to develop a written agreement defining OAS’ role. Completion of **Step 5** remains on track.



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**Goal #2 - Develop a comprehensive listing of audits and associated budgeted hours and conduct no less than 80 percent of audits within budgeted hours in 2016**

#	Step	Start	Due
1	Analyze Audit History	12/31/15	12/31/15
2	Determine the 40 Depts Comprising the Audit Universe	12/31/15	12/31/15
3	Develop Listing of Planned Audits and Budgeted Hours	12/31/15	12/31/15
4	Implement Tracking Process	12/31/15	12/31/15
5	Obtain Approval from Director and Chief Deputy Director	3/31/16	3/31/16
6	Publish FY 16/17 Audit Plan	4/1/16	9/15/16
7	(Qtrly) Report to Exec on % of Audits w/in Budgeted Hours (for 80% Goal)	9/30/16	12/1/16

Completion of **Step 6** is delayed to 9/15, given OAS' higher priority workload. In August, OAS will prepare the Audit Plan; Executive Management's approval and adoption is expected 9/15. **Step 7** remains on track.

**Goal #3 – Perform a Self-Assessment Review of the Office of Audit Services (OAS) to Determine Compliance with Standards, Appraise the Quality of OAS' Operations, and Provide Recommendations for Improving OAS' Compliance with the Standards.**

#	Step	Start	Due
1	Order Most Up-To-Date Quality Assessment Manual	4/5/16	4/5/16
2	Research Self-Assessment Requirements	5/23/16	6/1/16
3	Obtain Briefing from Staff on Current Self-Assessment Requirements	6/1/16	6/1/16
4	Contact DOF to Conduct Independent Validation of Self-Assessment	6/15/16	7/1/16
5	Obtain Budget Allocation to Pay for DOF's (or Another Party's) Review	11/15/16	11/30/16
6	Complete Preparatory Work for Assessment	7/11/16	8/8/16
7	Begin Assessment	9/1/16	9/1/16
8	Publish Final Self-Assessment Report	12/1/16	12/31/16

As of 6/24, **Step 4** was completed when OAS' Audit Supervisor Gregg Gunderson met with DOF's Office of State Audits and Evaluations (OSAE) about their performing an independent validation of OAS. (OSAE agreed to conduct the validation; yet they cannot start until 12/1, with completion in 2017. In early November, OAS and OSAE will meet to discuss the process and expected completion date.) The Start and Due dates for **Step 5** are delayed to November, as shown above, until OAS has further discussions with



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OSAE. Tentatively, OSAE has indicated a cost of around \$25,000 to perform the independent validation of OAS activities, a cost which may be funded from OAS' existing resources.

13. **OLS:**

**Goal #1: Develop targeted training modules (e.g., statutory requirements for consulting services, documenting contract justifications, etc.) to address common contracting issues and reasons for contract rejection.**

#	Step	Start	Due
1	Review Contract Return Memos to Gather Info Regarding Rejections	4/29/16	9/15/16
2	Interview Attorneys for Supplemental Info Re: Rejections, Training Needs	6/1/16	7/30/16
3	Survey Departments (Agencies) Regarding Training Needs/Topics	8/22/16	9/22/16
4	Develop List of Proposed Modules	10/3/16	10/31/16
5	Determine Training Implementation Plan	11/1/16	11/18/16
6	Develop Training Materials (Slides, Handouts)	11/21/16	3/31/17
7	Roll Out Training (2017)	4/1/17	Ongoing

Completion of **Step 1** was delayed to 9/15, given attorney workload and the time-consuming nature of reviewing and logging three years of data related to why contracts were returned to departments. This impacts **Steps 3-7**, with new dates shown above. As of 7/30, **Step 2** was completed, when OLS Senior Staff Counsel Laurie Giberson held one-on-one interviews with OLS attorneys for additional ideas on training needed in departments.



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**Goal #2 – Establish a Robust Training Program and Tracking Database to Document and Protect State-Created Intellectual Property (IP).**

#	Step	Start	Due
<b>Phase 1 – IP Database</b>			
1	Develop Timeline for Database	3/28/16	3/28/16
2	Prepare Draft Statement of Work	3/28/16	3/28/16
3	Schedule Meeting w/ ETS on Database Design	4/8/16	4/8/16
4	Test/Implement/Launch IP Database	8/1/16	8/15/16
<b>Phase 2 – IP Training Program</b>			
5	Draft IP Training Program Script	4/29/16	4/29/16
6	Select Consultant to Web-Enable the IP Training Script	5/16/16	6/30/16
<del>7</del>	<del>Web Consultant Submit Detailed Work Plan for Web-Enabled Training Program</del>	<del>7/1/16</del>	<del>7/15/16</del>
<del>8</del>	<del>Consultant Submit Draft Proposal w/ Business Case and Rules to OLS and ETS for Review</del>	<del>7/16/16</del>	<del>7/29/16</del>
<del>9</del>	<del>Develop/Test Web-Enabled Training Program</del>	<del>8/1/16</del>	<del>8/15/16</del>
7	OLS and ETS Discuss Business Rules	7/25/16	7/25/16
8	ETS Post PowerPoint (PPT) Training on DGS Website	9/16/16	9/16/16
9	Enhance PPT File with Narration and Log-On Credentials	2017	2017

As of 7/25, **Step 7** was completed, which included OLS providing ETS with a completed training script (PowerPoint file) for posting to the DGS website. Note: In July, the original critical path was modified, with the original **Steps 7-9** being removed. The Interagency Agreement with California State University, Sacramento could not be finalized due to their summer break, at which point ETS took over the tasks.



14. **OPA:**

**Goal #3 – Relaunch the DGS News Blog to Better Highlight Services and Changes for Customers.**

#	Step	Start	Due
1	Add New User/Friendly “Skin” to Blog	1/15/16	1/15/16
2	(Ongoing) Post to Blog More Regularly, At Least One Per Week	5/1/16	12/31/16
3	Better Incorporate Blog with New DGS Website	12/31/16	12/31/16

As of 7/31, for **Step 2**, OPA featured four events during July on the *DGS Newswire Blog* for customers (state agencies/departments and the media).

15. **OSPFR:**

**Goal #3 – Redesign the DGS Survey Program to Target Specific, Objective Performance Data for Each Major DGS Program.**

#	Step	Start	Due
1	Release External Customer Survey Divisional Data	4/15/16	4/15/16
2	Capture the “Universe” of All DGS Surveys	4/16/16	6/24/16
3	Review Survey Listing (ID Overlap, Trends, “Survey Fatigue”)	6/25/16	9/1/16
4	Review Effectiveness of DGS “Historical” Surveys with Customers	7/9/16	8/22/16
5	Propose Updated Bi-Annual Survey Schedule for DGS to Exec Team	8/23/16	9/22/16
6	ID Performance Criteria for Major Programs	9/23/16	11/22/16
7	Update DGS Surveys to Include Performance Questions	11/23/16	12/31/16
8	Execute Bi-Annual Survey Plan	1/1/17	1/1/17

Completion of **Step 3** is delayed to 9/1, given staff’s competing projects. However, as of 7/8, OSPFR had compiled and analyzed the survey data. The remaining steps are on track.



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**Goal #4 – Complete Phase 1 of 2 of the Comprehensive Update of the State Administrative Manual (SAM).**

#	Step	Start	Due
<b>Phase 1</b>			
1	Create SAM “Point in Time” Documents	1/1/16	1/1/16
2	Streamline SAM Storing and Electronic Update Process	5/1/16	6/3/16
3	Review Management Memos (MM) for Inclusion in SAM	6/4/16	8/8/16
4	Update SAM with MMs and Remove from Active Status	7/1/16	9/30/16
<b>Phase 1b</b>			
1	Identify and Prioritize SAM Sections for Focus Group Review	9/2/16	9/15/16
2	Conduct Focus Group Reviews of SAM Based Upon Prioritization	9/16/16	12/1/16
3	Submit Phase 1b Proposed SAM Changes to Authoring Agencies	12/1/16	12/31/16
4	Implement Phase 1b Changes to SAM	12/31/16	Ongoing

Completion of **Step 3** is slightly delayed to 8/8, given staff workload. The remaining steps are on track.



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**Goal #5 – Establish a Comprehensive, Online Repository of State Forms and Eliminate all Stock Standard Forms that can be Downloaded and Printed.**

#	Step	Start	Due
1	Create Online Database/Webpage for State Forms	12/31/15	12/31/15
<b>Phase 1 – Inventory for Forms</b>			
2	Initiate Inventory of Public Use State Forms	1/1/16	1/1/16
3	Submit Collected Inventory to ETS for Posting	4/1/16	4/1/16
<b>Phase 2 – Update Inventory for Forms</b>			
4	Identify Departments Failing to Submit Forms	4/2/16	6/23/16
5	(Ongoing) Initiate Collection of Delinquent Forms	6/9/16	12/31/16
6	Review Quality of Forms Database	5/19/16	8/7/16
7	Submit Collected Forms to ETS for Posting	6/16/16	8/1/16
<b>Stock Forms Elimination</b>			
8	Identify Std. Stock Forms to be Fully Electronic	5/1/16	5/6/16
9	Set a Termination Point for OSP for Printing Stock Forms	5/16/16	5/16/16
10	Develop Issue Paper	5/17/16	7/10/16
11	Present Plan to General Services Workgroup (GSW)	7/13/16	7/13/16
12	Incorporate Feedback, Vet with ISD/OSP, Present to Directorate	6/11/16	9/30/16
13	Eliminate the Stock Forms Program and Cease Billing the Pro-Rata	12/30/16	12/31/16

As of 7/13, for **Step 5**, the Forms Management Center (FMC) emailed reminders to agency Forms Management Representatives (FMR) to submit their statewide forms for inclusion on the state forms webpage. Note: This will be an ongoing step, given that agencies periodically create new forms. By 7/11, **Steps 10 and 11** were completed, when GSW met and received the draft plan (Issue Paper) for stock forms elimination. Completion of **Step 12** is delayed to 9/30, so that all feedback from GSW (currently being received) and OSP (via vetting) can be considered, before presentation to the Directorate.



16. PD:

**Goal #3 – Implement an Accreditation Process for Departments Granted Purchasing Authority.**

#	Step	Start	Due
1	Policy Development & Approval	3/1/16	9/30/16
2	Develop Purch. Authority Review (PAR) Procedures, Processes, and Tools	3/1/16	9/30/16
3	Develop CalPCA Certifications (Basic, Intermediate, and Advanced)	3/1/16	10/31/16
4	Implement Policy Changes	8/30/16	9/30/16
5	Roll Out PARs	3/11/16	3/28/16

Completion of **Step 1** is delayed to 9/30, given the need for Acquisition Program staff to review the Issue Paper to ensure a comprehensive policy is developed. This impacts **Step 4** (now due 9/30). **Steps 2 and 3** remain on-track.

**Goal #4 – Increase Use of California Procurement and Contracting Academy (CalPCA) Training for State Employees with a Role in Procurement by Developing Hybrid and Other Online / Web-Based Delivery Models.**

#	Step	Start	Due
1	Purchase Learning Management System (LMS)		9/1/16
2	Review Calendar to Ensure Course Offerings Meet Student Demand	3/14/16	5/30/16
3	(Ongoing) Determine Course Delivery Method (On-Line, In-Class, Etc.)	5/1/16	12/31/16
4	Survey Buyers to Ensure Class Offerings and Travel Align With Needs	7/1/16	8/15/16
5	Increase Offerings by Traveling to Different Parts of the State	7/2/16	12/31/16

In July, **Step 1** encountered delays in contract solicitation; however, completion of this step is expected 9/1, with LMS to be implemented in phases and full use expected by Summer 2017. This step does not impact the remaining steps. For **Step 3**, PD continues to define best delivery methods of coursework (in August, PD will conduct three 5-day “beta” sessions for Basic Acquisition Certificate topics.) Completion of **Step 4** is deferred to 8/15, given a delay in identifying the targeted agency buyer audience. Survey feedback and evaluation of results is expected 9/16, with results potentially impacting Steps 3 and 5. **Step 5** remains on track.

## DEBRIEF – COMPLETED GOALS

### 1. ADM – Overall:

#### **Goal #1 – Successfully Implement the 2016 Release of the Financial Information System of California (FI\$Cal) Project at DGS.**

FI\$Cal, designed to enable the State to combine accounting, budget, cash management, and procurement operations into a single financial management system, was successfully implemented on time (8/1/16) within DGS. DGS' financial (accounting and budgeting) transactions and reporting activities were successfully moved into FI\$Cal from the Activity Based Management System. In addition, the DGS Project Accounting and Leave system was redesigned to interface with FI\$Cal.

Spearheaded by Deputy Director of Administration Miles Burnett, the following groups spent countless hours on system design, development, and testing of FI\$Cal: DGS staff from Budgets, Accounting, ETS, OBAS, Human Resources, RESD, DSA, OFAM, and other offices; FI\$Cal project staff; and partnering vendors. Individual kudos were given to many DGS employees (see credits in [video message](#)). DGS staff will continue to perform testing in a production-like environment to identify bugs and defects and other needed changes, to ensure a smooth transition to FI\$Cal. Staff from the FI\$Cal Project (now the Department of FI\$Cal) will continue to provide ongoing customer service and support to DGS.

### 2. ADM – OBAS:

#### **Goal #2 - Consolidate Contracts Tracking into SharePoint.**

The idea of creating the SharePoint Contracts Log was aimed at improving services to DGS employees by: 1) allowing them to obtain contract status information on-demand, which enabled OBAS staff to focus on processing workload and 2) having OBAS acquisition analysts and managers cross-trained in more uniform processes for all contract types (Services, Public Works and Architecture and Engineering). This focus supports DGS' vision of being more agile, marring accountability and self-service, and "greening" government.

Implementation of the Contracts Log involved collaboration between OBAS and ETS to format data fields and transfer contract information from the former Microsoft Excel contract log to the SharePoint Contracts Log. There was a tremendous amount of workload in the area of IT commodities due to fiscal year-end close and some delays due to the availability of ETS staff. However, OBAS' Dennis Sorge (IT commodity buyer) offered extensive knowledge and expertise in contracts and SharePoint, thus ensuring the goal was completed on time. Perhaps the greatest challenge to OBAS was working under an aggressive timeline, particularly during fiscal year-end, while implementing the new financial system, FI\$Cal.



With the recent completion of this goal, it is too early to determine if DGS employees are using the Contract Log extensively and contacting OBAS less. For employees who search the Contracts Log themselves, they may see this as better customer service, and for those employees who prefer to contact OBAS directly, they can be easily assisted by any OBAS analyst or manager. In the meantime, OBAS staff and DGS employees are learning the new FI\$Cal system, which, when fully implemented, may make the Contract Log obsolete, since contract information should be retrievable from FI\$Cal.

### 3. OSPPR:

#### ***Goal #1 – Establish an Advisory Council to Provide Feedback to the Director on DGS Policy and Program Changes.***

The goal to establish an Advisory Council was considered complete after the second meeting was held and quarterly meetings were calendared for the next 12 months. The Advisory Council, called the General Services Workgroup (GSW), has already provided benefit both to DGS and other state agencies. Members of the council are able to understand the logic, rationale or intention of DGS policies and procedures and provide input into both their development and implementation. For DGS, while going through the GSW may add another step in the process, their inclusion ultimately provides better input into and adoption of DGS policies and procedures. Council members are optimistic about the value of this group and appreciative of being included.

There are 10 agencies that are represented on the council, which meets on at least a quarterly basis. To begin with, the GSW has already weighed in on policies such as the Exemption for Safety Performance Vehicles, the process to update the State Administrative Manual (SAM), and the updates to space allocations in the SAM. Additionally, the GSW has identified their top ten areas that they would like to focus their attention on.

Jason Kenney established the group and did a fantastic job recruiting the right people to be on the council. He also established an effective framework to get the group off and running in the right direction.

#### ***Goal #2 – Implement a Monitoring and Reporting Program for all DGS Strategic Plan Goals.***

This goal was designed to create a process for providing yearly direction and focus for DGS divisions and offices. In early 2016, 19 DGS divisions and offices developed 63 goals with over 400 critical path steps. At that point, the Executive Office (OSPPR) began the monitoring and reporting process, with the first monthly report published in April.

The goal has been successful, given that DGS divisions and offices regularly report on the progress of their goals (including successes and challenges), with the data being



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published monthly on the DGS internet. Perhaps the greatest challenge is the magnitude and monthly frequency of the data being monitored and reported, which can create additional workload on the divisions and offices. As the calendar year moves forward, it is OSPPR's intention to scale back monitoring and reporting to a bi-monthly basis.

#### 4. PD:

***Goal #2 – Collaborate with Departments to Identify Barriers to Small Business/Disabled Veteran Business Enterprise (SB/DVBE) Participation and Provide Targeted Training.***

Staff from PD's Communication and Outreach (C&O) Section of the Office of Small Business (SB) and Disabled Veteran Business Enterprise (DVBE) Services successfully completed this goal in March 2016, ahead of the 6/30 due date.

A total of 10 state departments were identified as failing to meet one or both of the following statewide contracting goals: participation by 25% SBs and 3% DVBEs. C&O staff met with department advocates, branch chiefs, deputy directors, first line managers, and a representative from the California Department of Veterans Affairs (CalVet). Discussion covered numerous topics including: best practices for SB/DBVE outreach, accessing DGS resources, contracting pitfalls, contract reporting challenges, and statutory limitations that impede SB/DVBE participation. C&O continues to follow-up, via email and phone, with each department's SB/DVBE advocate(s) who need assistance.

Viewed as successful, the meetings provided an opportunity for open dialogue, education, and discussion of strategies for goal attainment. Outcomes included DGS gaining an understanding of the unique needs and challenges of each department, as well as commitments from departments to: 1) add resources to their webpages for SB/DVBE vendors, 2) adopt an SB/DVBE-first policy, and 3) complete the required annual Plan of Improvement to address factors that hinder goal attainment. Further success will be measured by SD/DBVE participation percentages in PD's *Consolidated Annual Report* available at the end of each fiscal year.

A special thanks go to: C&O staff Catrina Blair and Tonia Burgess, both project leads, who created the project plan, prepared correspondence, scheduled meetings, provided training and completed reports for each of the visits; C&O staff, Tasha Nomura-Stewart, who designed the new "Plan of Improvement" reporting template; and CalVet staff, Roberto Herrera and Gloria Anderson, who attended four of the 10 meetings and provided input, as needed.