



2016 STRATEGIC PLAN

MONITORING REPORT

August - September 2016





2016 STRATEGIC PLAN MONITORING REPORT

OFFICE OF STRATEGIC PLANNING, POLICY AND
RESEARCH (OSPFR)

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

REPORT DATE – October 8th 2016

REPORTING: AUGUST - SEPTEMBER 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	10/31/16
4	P. Works Contract Formal Training	10/31/16	11/30/16
5	A&E Contract Re-Engineering	11/30/16	12/15/16
6	A&E Contract Formal Training	12/15/16	1/15/17

Completion of **Step 3** is delayed to 10/31, given OBAS' effort spent on implementing FI\$Cal and the availability of OSPPR, which is facilitating the re-engineering sessions for Public Works and 2). The remaining steps are impacted, with new due dates shown above.

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	10/31/16
5	With FI\$Cal and ETS, Link Dashboard to OBAS' Intranet Site	10/31/16	11/30/16
6	Test Info on Dashboard	11/30/16	1/29/17
7	Advertise Availability of Dashboard	1/29/17	2/28/17

Step 4 is delayed, due to staff turnover on the Dashboard team. The remaining steps are impacted, with new due dates shown above.



2. ADM – OHR:

Goal #2– Develop, Publish Metrics for Incoming Requests, Including First Time Through and Processing Times.

#	Step	Start	Due
1	Via Lean Six Sigma, develop objective for “Hiring RPAs”		4/5/16
2	Analyze current data to obtain baseline	4/6/16	8/1/16
3	Research viability of a SharePoint database to publish data. If useful, identify fields to track in database.	7/1/16	8/30/16
4	Set up SharePoint site	9/1/16	10/14/16
5	Train Staff Initiate New RPA Process Pilot (Admin, OAH)	11/15/16	1/31/17
6	Begin data-tracking in SharePoint (Report on Pilot)	2/1/17	2/1/17

As of 7/26, **Step 2** was completed, when the Lean Six Sigma project was presented at the Governor’s Office. Although it has not been started, the control plan and audit plan were finalized. As of 8/30, **Step 3** was completed when OHR and ETS agreed that SharePoint would be the best option to ensure the new data is precise and consistently reliable in lieu of a more expensive solution. ETS began working on the SharePoint site (**Step 4**) and it is currently in development, with a due date as shown above. **Step 5** has been clarified, since not all staff are being trained at once. **Step 6** will involve a report to Executive management regarding the pilot project

Goal #3 – Increase Quality of DGS Services by Providing at Least 10 Additional Training Classes (Online And Regional) to Offsite Staff.

#	Step	Start	Due
1	Develop Survey, Identify Training Topics	1/2/16	1/28/16
2	Distribute Survey	2/1/16	2/1/16
3	Compile Survey Results	2/15/16	2/26/16
4	Identify Topics And SMEs to Develop Training Modules	3/1/16	3/31/16
5	Obtain Concurrence on Topics and Commitment	4/15/16	4/15/16
6	Schedule Meetings to Develop Work Plan	6/1/16	6/24/16
7	(Ongoing) Develop and Post Training Modules	6/1/16	12/30/16

As of 9/30, for **Step 7**, three instructional videos have been completed: Upward Mobility, DGS Overview of Return-to-Work Unit (Reasonable Accommodation, Worker’s Compensation, FMLA/CFRA), and Conducting Interviews for Managers. Staff are in the process of creating a web page on the DGS University website to house the videos.



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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
Classification Conversion			
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	8/5/16
3	Create Plan to Transition DGS-Only to Generalist	6/2/16	8/5/16
4	Vet Plan with DGS Director	TBD	8/5/16
5	Implement Plan	TBD	8/5/16
Exam Prioritization			
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 FY 2016/17 Exams Plan	7/2/16	8/1/16
4	Vet Plan with DGS Director	8/2/16	9/16/16
5	Advise Deputy Directors of Yearly Exams Plan	8/15/16	8/15/16
6	Implement Exams Plan (Post on DGS Intranet)	8/15/16	10/1/16

As of 8/30, for **Exam Prioritization, Steps 3 and 5** were completed, after the Exams Plan was reviewed by the Human Resources Governance Council and Deputy Directors were advised of the plan. As of 9/16, **Step 4** was completed when the HR Governance Council gained approval from the Director. **Step 6** is clarified and has a new due date.



Goal #5 – Establish Recruitment and Retention Best Practices for Positions that are Difficult to Fill or Have High Turnover (E.G., Custodian, Stationary Engineer, Plumber, Painter, Office Building Manager Series, Electronic Data Processing Specialist Series, Personnel Specialist and Associate Personnel Analyst).

#	Step	Start	Due
1	Hire Recruiter	4/25/16	4/25/16
2	Recruiter, FMD - Discuss Recruitment Needs	5/25/16	5/25/16
3	Recruiter, Other Programs - Discuss Recruitment Needs	6/24/16	6/24/16
4	Recruiter Develops Recruitment Plan for 2016-17	6/27/16	8/1/16
5	Publish and Distribute Recruitment Plan Revise, Complete and Implement Recruitment Plan	8/2/16	12/1/16
6	Establish Hiring Guidelines with FMD Assist FMD in Establishing “Best Hiring Practices”	9/1/16	TBD

As of 9/30, **Steps 5 and 6** have been modified (with new due dates), given that a Recruitment Unit was formed recently.

3. 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

As of 8/23, **Step 2** was completed. The new Accident Reporting Form allows individuals to submit STD. 270 directly to our Claims mailbox. We have asked our vendor to create the exact STD. 270 in a PDF format (now in development), thereby eliminating the potential to have different STD. 270 forms.

Step 4 (demo) is dependent on the form going into production from the portal. However, there are two issues with roll-out. Issue 1: the portal was designed so that customers use their IP addresses, which posed a security issue for Caltrans. We are working with the vendor on Plan B, posting the link on departments’ intranets to limit access to



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outsiders. Issue 2: We are working the vendor to resolve issues when the portal was moved from a QA environment to production.

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	5/1/16	5/31/16
2	Monthly Monitoring	6/1/16	6/30/16
3	Monthly Monitoring	7/1/16	7/30/16
4	Monthly Monitoring	8/1/16	8/31/16
5	Monthly Monitoring	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 9/30, **Step 5** was completed. State department maintenance savings were \$3,016,870 from 1/1/16 – 9/30/16.

4. **DSA:**

Goal #1 – Fully Implement Electronic Back Check as the First Step Toward Total Electronic Review of all Project Plans Submitted to the DSA.

#	Step	Start	Due
1	Install Bluebeam Software	11/30/15	11/30/15
2	Procure Necessary Hardware for Testing	11/30/15	11/30/15
3	Deploy In-House Testing	12/31/15	12/31/15
4	Survey Internal and External Users	12/31/15	12/31/15
5	Develop Electronic Back Check Procedures	12/31/15	12/31/15
6	(Ongoing) Training for DSA Review Staff, Initial Wave 1/2016	1/29/16	12/31/16
7	(Ongoing) Client Training, Initial Wave 1/2016	1/29/16	12/31/16
8	Electronic Back Check Available for Client Use	2/1/16	12/31/16
9	(Weekly) Monitor Client Use of Electronic Back Check	5/1/16	12/31/16
10	50 Percent of Back Checks Conducted Via Electronic Review	6/1/16	8/1/16
11	75 Percent of Back Checks Conducted Via Electronic Review	8/2/16	10/1/16
12	Electronic Back Check Mandatory for All Clients (Qtr 1, 2017)	1/2/17	1/2/17

As of 9/30, for **Steps 6-7**, training is being provided to DSA staff and clients, as requested. In addition, based on staff feedback, DSA is reevaluating the best methods to



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train staff on required software. For **Step 9**, DSA is still working on a valid measurement system to track electronic back checks. The first implementation of a system resulted in gaps that are being addressed.

As of 9/30, for **Step 10**, it is estimated that less than 10 percent of back checks are being conducted via electronic review. (Specifically, California school districts, community colleges, and design professionals are submitting plans for review via DSABOX, a secure, cloud-based, collaborative, online file-sharing website.). All DSA regional offices now have the equipment deemed necessary by staff and the regional managers to adequately conduct electronic back checks.

Goal #2 - Reduce the Inventory of Uncertified Projects by Assisting K-12 Districts and Community Colleges in the Process of Certifying the 1,366 Projects Occupied Without Certification Between January 1, 2011 and May 31, 2013.

#	Step	Start	Due
1	Provide Data to DSA Regional Offices	12/01/15	12/01/15
2	25 Percent of “Transition” Projects Certified	3/31/16	3/31/16
3	50 Percent of “Transition” Projects Certified	6/30/16	6/30/16
4	75 Percent of “Transition” Projects Certified	9/30/16	9/30/16
5	Resolve Uncertified Projects	12/31/16	12/31/16

As of 9/30, for **Step 4**, DSA certified 37 percent of the transition projects. After analysis of the data, DSA is now determining if many of these projects are of a “one-time” nature (e.g. marquees), where certification is not deemed as essential to school districts.



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	11/1/16
3	Assist BSC in Offering Specialized Code Educ. Class to Disab. Advocates	5/1/16	TBD
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 9/30, **Steps 2, 3, 4, 6 and 8** have the following progress. For **Step 2**, DSA is working with the CA State University Sacramento (CSUS) Center for Collaborative Policy to develop the framework and membership of this group, with a meeting on 9/24 to discuss strategies. DSA announced plans to form this group at the 9/21 event referenced below. Implementation/formation of the group is expected in November, with a new due date above.

For **Step 3** (now clarified above), BSC is taking the lead to offer a process training and class available to the public. DSA will assist to provide outreach and possibly tailor these trainings to specific audiences; however, there is no due date set. For **Step 4**, the 2017 schedule of classes was posted on the DSA website.

For **Step 6**, DSA conducted two events -- on 8/1 and 8/31, the latter specifically for the disabled community -- to receive input for the 2016 intervening access code. A public event was also conducted on 9/21 to present an updated list of suggested code amendments to the accessibility provisions of BSC codes and solicit input regarding which of the suggested amendments should be pursued and their relative importance.

For **Step 8**, after discussions with BSC, instead of attempting to change regulatory required display standards, DSA will focus efforts on creating and disseminating fact sheets and informational bulletins that succinctly describe proposed regulatory activities.



5. **FMD:**

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	10/30/16
7	PMCM Assist with all Flow Processes; Make Any Needed Changes to the Form (Step 4)	9/1/16	10/30/16

As of 9/1, **Step 5** was completed. FMD has hired Kitchell Corporation as their Project Management Construction Management (PMCM) consultant to assist with facilities management organization, policy development and project management (deferred project maintenance). **Step 6** is delayed to the new due date above.

6. **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	11/15/16
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

In July, BSC, with various state agencies and stakeholders, agreed that a second CALGreen Workshop was necessary (**Step 3**) and formally scheduled it for 9/7. However, **Step 3** was delayed to November, given the need to coordinate with other state agencies. The remaining steps are on track. BSC has been working closely with stakeholders developing the proposed amendments and making good progress in



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preparation of the second workshop. We do not anticipate major opposition to our proposed code amendments during our second workshop.

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 to the 2016 California Plumbing and Green Building Standards Codes, 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	11/15/16
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 8/30, **Step 5** was completed, when BSC, in coordination with the Department of Housing and Community Development (HCD), held the AB 2282 Recycled Water Stakeholder meeting. Prior to this meeting, BSC and HCD revised their proposed code language and began developing the rulemaking support documents. **Step 6** was delayed to November, given the need to coordinate with state agencies (HCD, Department of Water Resources, and State Water Resources Control Board). The remaining steps are on track.



7. **ISD – OFAM:**

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	7/1/16	10/30/16
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	10/30/16
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 09/16, for **Step 4**, OFAM participated on an Alternative Fuels Panel at the AltCar Expo in Santa Monica, where Management Memo 15-07 (Renewable Diesel mandate) was discussed and promoted. Also for **Step 4**, OFAM processed two new fleet acquisition requests and both met the ZEV purchasing requirements of EO B-16-12. Due dates for **Steps 6 and 8** are moved to 10/30. As of 09/15, for **Step 9**, the ZEV Tracking Sheet has been updated with 2015/16 ZEV purchasing numbers.

8. 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

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 Quarterly Report was 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

For **Step 1**, in-depth closeouts continue 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 Quarterly Report was presented to OPSC Executive Management for review on 9/30.



9. **ISD - OSP:**

Goal #1 – Implement Phase 1 of Establishing OSP as the State's Document Imager by Providing Scanning Services to a Pilot State Department.

#	Step	Start	Due
1	Identify Steps to Gather Information for Planning Phase	2/1/16	2/1/16
2	Research Providers of Similar Services; Identify Statement of Work (SOW)	2/2/16	3/1/16
3	Review Phase 1 at State Records Center and OSP Scanning; Vendor Cost Comparison	3/2/16	4/30/16
4	Prepare Draft on Next Steps and SOW for Contractor	3/2/16	4/30/16
5	Execute Contract; Onboard the Consultant	5/1/16	6/1/16
6	With Consultant, Develop Implementation Plan	6/2/16	10/30/16
7	Begin Implementation Plan; Prepare Acquisition Docs	10/1/16	11/30/16
8	Implement Phase 1 (Set-Up; Employee Training)	11/1/16	1/31/17

As of 9/30, for **Step 6**, the consultant created a draft Implementation Plan, which was reviewed by the project team. The consultant has made the requested revisions and will meet with the team in early Oct to review the document.

Steps 6-8 are impacted, with the new due dates above.

10. **OAH:**

Note: The following two goals will be closed and resumed in 2017, since OAH is changing its approach to analyzing its data and is pursuing a new case management system.

Goal #1 – Implement a Comprehensive Tracking System for Hearing Processes and Establish/Refine Process Time Goals by Step.

Goal #2 – Establish Process/System to Publish Process Times by Step



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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

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.



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.

11. **OAS:**

Goal #1 – Collaboratively develop a robust accreditation/compliance audit process with the Procurement Division 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	TBD	TBD
5	Implement Process With PD Within Accreditation Program	10/1/16	12/31/16

As of 9/30, **Step 4** is delayed. The Procurement Division (PD) has not obtained director approval for an accreditation program, and until a program is approved, OAS’ audit role cannot be defined in a written agreement.



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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	10/28/16
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 10/28, given OAS' higher priority workload. However, the plan is in its final stages and will be submitted for review and approval in the near future.

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	10/31/16
7	Begin Assessment	9/1/16	11/1/16
8	Publish Final Self-Assessment Report	12/1/16	12/31/16

Step 6 is delayed to 10/31. The Audit Chief is updating the Audit Charter and developing and publishing the FY 2016-17 Audit Plan, to be presented to the Director and Chief Deputy Director for approval. Both documents must be up-to-date to facilitate the assessment. Step 7 is impacted, with the new due date above. The main delay



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impacting the performance of the assessment is the availability of DOF to perform its validation work which must be conducted prior to the end of OAS’ fieldwork. For **Step 7**, the OAS assessment will begin by Gregg Gunderson and staff assigned to this project. However, the exact schedule and timeline for the completion of the assessment (**Step 8**) will become clearer after our meeting with DOF scheduled for early November. It is very likely that the completion of this goal will move to the first quarter of 2017.

12. **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	11/15/16
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	11/15/16
4	Develop List of Proposed Modules	11/15/16	12/1/16
5	Determine Training Implementation Plan	12/1/16	12/15/16
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** is delayed to 11/15, given that OLS is continuing to log 2016 “rejected” contracts information. OLS has worked with OSPPR to go over initial data results and helped identify and correct some data errors. Completion of **Step 3** is also delayed to 11/15, although the survey is developed. OLS has worked with OSPPR to format the go-live version and the survey will be released to customers during the week of 10/10/16 with responses due 10/28/16. **Steps 4-5** are impacted, with new due dates above.



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

#	Step	Start	Due
Phase 1 – IP Database			
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 IP Database	9/19/16	9/29/16
5	Launch IP Database; Populate w/ Data	10/15/16	10/31/16
Phase 2 – IP Training Program			
1	Draft IP Training Program Script	4/29/16	4/29/16
2	Select Consultant to Web-Enable the IP Training Script	5/16/16	6/30/16
3	OLS and ETS Discuss Business Rules	7/25/16	7/25/16
4	ETS Post PowerPoint (PPT) Training on DGS Website	9/16/16	10/31/16
5	Enhance PPT File with Narration and Log-On Credentials	2017	2017

As of 9/29, for **Phase 1, Step 4** was completed, when the database was successfully tested and the design was approved by OLS. For **Phase 2, Step 4**, ETS now has the final PowerPoint file and will formally post it as a part of the database link when the database goes live on 10/31.

Note: In August, the following significant changes were made to the above critical path: The original **Phase 1, Step 4** is now divided into two parts: **Step 4** (Test) and **Step 5** (Launch), as shown above. Original due dates also were revised, since initially an outside vendor was expected to participate in this goal. ETS is now building the database and the new due dates are above.



13. OPA:

Goal #1 – Modernize the DGS External Website to Increase Access to Information.

#	Step	Start	Due
1	Statement of Work Complete	4/1/16	4/1/16
2	Release RFI	5/16/16	5/16/16
3	Release RFO	5/17/16	11/31/16
4	Vendor Under Contract and Beginning Work	8/1/16	12/31/16
5	Vendor Begin Site Build Out	8/4/16	3/3/17
6	Sandbox Site Complete, Webmasters Begin Migrating Content	9/16/16	5/1/17
7	Begin Testing	10/4/16	6/15/17
8	Cutover	12/2/16	7/1/17

Completion of **Steps 3-8** are delayed to the new dates shown above. Timelines have been pushed back due to the complexities of the procurement of the site and associated webhosting and managed services.

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

For **Step 2**, OPA featured three August events and four September events on the *DGS Newswire Blog* for customers (state agencies/departments and the media). Note: **Step 3** is being eliminated, since the new DGS website will be implemented in 2017.



14. **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	10/31/16
5	Propose Updated Bi-Annual Survey Schedule for DGS to Exec Team	8/23/16	10/31/16
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

As of 9/1, **Step 3** was completed, when OSPFR reviewed previous departmental survey efforts. **Step 4** is delayed to 10/31 -- OSPFR needs to design a survey and analyze its resulting data, which addresses users’ input regarding the biennial customer survey program. This, in turn, delays **Step 5** to 10/31, at which time, OSPFR will propose an updated biennial survey to the executive team.

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

#	Step	Start	Due
Phase 1			
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
Phase 1b			
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



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For **Phase 1, Steps 3 and 4** were completed on time. Departmental SAM authors updated their sections of SAM or rescinded sections, where applicable. As of 9/15, **Phase 1b, Step 1**, was completed. In October, OSPPR is convening a small focus group of external SAM users who will discuss how they use SAM and ways in which SAM can be improved (**Step 2**).

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
Phase 1 – Inventory for Forms			
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
Phase 2 – Update Inventory for Forms			
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 Issue Mgmt Memo for New Method for Collecting Statewide Inventory	6/16/16	11/15
Stock Forms Elimination			
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 9/30, for **Step 5**, OSPPR is re-evaluating the list that identifies agencies with delinquent forms. **Step 6** is completed. For **Step 7**, OSPPR is initiating a new method of collecting forms and has updated the task and due date, as shown above. **Step 12** is also completed.



15. PD:

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

#	Step	Start	Due
1	Policy Development & Approval	3/1/16	12/15/16
2	Develop Purch. Authority Review (PAR) Procedures, Processes, and Tools	3/1/16	11/30/16
3	Develop CalPCA Certifications (Basic, Intermediate, and Advanced)	3/1/16	11/30/16
4	Implement Policy Changes	8/30/16	12/30/16
5	Roll Out PARs	3/11/16	12/30/16

Step 1 is delayed to 12/15. Accreditation Process and Guide are being revised and updated to address stakeholder (Director, OLS) questions, concerns, and recommendations. **Step 2** is delayed to 11/30 -- PAR tools and processes are being updated based on lessons learned from a pilot PAR review with OBAS. More updates are anticipated once PD completes the second pilot PAR review. **Step 4**, dependent on completion of Step 1, is delayed to 12/30. The policy will be implemented by updating the State Contracting Manuals (2, 3, and F).

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	10/21/16
5	Increase Offerings by Traveling to Different Parts of the State	7/2/16	12/31/16

As of 9/1, **Step 1** was completed. As of 9/26, **Step 4** was partially completed, when the survey was designed in collaboration with CalPCA and PAMS and subsequently distributed. Results are expected 10/21.



16. **RESD:**

Goal #1 – Increase Charging Infrastructure in State-Owned Parking Facilities by Installing Approximately 100 Level 2 Electric Vehicle Charging Stations and Approximately 1,000 120v Outlets.

Note: In August, this goal was transferred to the new Office of Sustainability.

17. **Sustainability:**

Goal #1 – Increase Charging Infrastructure in State-Owned Parking Facilities by Installing Approximately 100 Level 2 Electric Vehicle Charging Stations and Approximately 1,000 120v Outlets.

#	Step	Start	Due
	Level 1 Receptacle Program (Approx. 800 Receptacles)	10/31/15	3/30/17
1	Develop Statewide Prioritized Scope and Budget	10/31/15	10/31/15
2	Secure Funding for Assessment and Design Phases	12/31/15	12/31/15
3	Assessment Phase	1/2/16	4/30/16
4	Design Phase, State Fire Marshall (SFM) and DSA Reviews	5/1/16	10/31/16
5	Secure Funding for Construction	11/30/16	11/30/16
6	Bidding Phase (planned Finish date 3/30/17)	12/1/16	3/30/17
7	Construction (planned Finish date 8/30/17)	2017	2017
	Level 2 Program (Approx. 100 Charging Stations)	9/30/16	12/31/16
1	Design Phase, State Fire Marshal & DSA Reviews; Bid Phase Complete	9/30/16	TBD
2	Construction	10/1/16	12/31/16

As of 9/30, for **Level 2 Program, Step 1**, DSA has completed reviews of most (but not all) designs, and SFM has completed 50% of the reviews. At this time, there is no estimated date for bid release or the bid selection (due date is now TBD).



DEBRIEF – COMPLETED GOALS

1. ADM – OHR:

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

OHR staff successfully completed this goal in August 2016. Success was determined by the creation of a team and holding three meetings. Through this team, OHR was hoping to achieve better engagement with DGS programs and active, sustained participation. To ensure this, OHR tasked the team with preparing DGS' annual examination plan for FY 2016/17, which allowed the team to experience the complicated decisions with which OHR is tasked.

Completion of this goal included drafting a concise charter and soliciting nominees for the committee from the chief of each division and office. OHR received nominees from eight DGS offices/divisions and now has representation from the Office of Public School Construction, Facilities Management Division, Office of Legal Services, Office of the State Printer, Procurement Division, Office of Strategic Planning, Policy, and Research, Executive Office, and the Office of Administrative Hearings. The team is extremely multi-faceted and was able to look at the criteria for developing the examination plan and provided helpful input. DGS programs now have a new understanding of how OHR operates and the difficulties it faces in an extremely complex environment

Special thanks go to OHR staff Lisa York, Eagen Patterson and Estela Gonzales for completing this goal.

2. OPSC:

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.

For this goal, the Criteria for Success was the deployment of a system that will provide accurate and reliable project information to establish a comprehensive baseline of budgeted hours by project type. The system can be used as a tool to evaluate the progress of project reviews in terms of timeliness of completion. It is anticipated that data will be collected for the remainder of the calendar year to help determine budgeted hours by type. However, staff, supervisors, and managers are already using project-specific data to determine how much time has been allocated for a review.

Implementation Details included OPSC staff identifying the changes (over two phases) that were needed to the "Project Closeout" database and submitting them to ETS. After changes were complete, OPSC conducted User Acceptance Testing (UAT), had ETS



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make further updates, conducted final UAT and deployed the database to its internal staff. The people selected to represent OPSC and ETS on this assignment are considered to be the most knowledgeable in terms of OPSC's Review (Audit) process and data systems. The deployment of the system was delayed due to the complexity of the programming needed and competing priorities for OPSC and ETS.

OPSC wishes to recognize ETS (Kevin Kho, Trustin Chou, and Mike Dao) and OPSC (Jason Hernandez, Janet Mizushima, Eric Guzman, and Ying Yu) for their efforts.