

**Central Valley Regional Water Quality Control Board**

**TO:** Program Managers

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**DATE:** 4 October 2013

**SUBJECT: PORTFOLIO MANAGEMENT**

On 4 January 2007 the Executive Management Group (EMG) issued a memorandum, *Program Managers Roles and Responsibilities*. The Memorandum is posted on the Central Valley Water Board's intranet and provides in part, that Program Managers have the following authorities and responsibilities:

1. Have primary authority and responsibility for consistency within their programs region wide,
2. Have authority and responsibility to verify that EMG directives are carried out by staff, and
3. Have authority and responsibility to compile fiscal year work plans and submit them to EMG for management approval, and
4. Have the authority and responsibility to monitor work plan commitments, and provide quarterly updates along with their executive sponsor, to EMG.

From about 2008 to 2010 Central Valley Water Board staff attended project management training to support these endeavors. The training provided staff with a basic understanding of project management tools, concepts, and vocabulary.

On 30 November 2011, EMG approved a Project Management Implementation Strategy<sup>1</sup> (Strategy). This Strategy describes the Leadership Team's recommended approach including an implementation plan for integrating project management tools and principals into our everyday work. The Strategy further provides that, *the program manager will take the lead in overseeing plan implementation for the program and supervisors will be responsible for ensuring their staff is implementing program specific project management procedures.* Through these actions, the EMG and Leadership Team have developed a platform to support a renewed programmatic focus within the Central Valley Water Board. The process outlined below serves as the basic framework of this platform, "Portfolio Management," and will be implemented in each of the following programs:

Program	Program Manager	Executive Sponsor	Office
Basin Planning	Jerrold Bruns	Ken Landau	Rancho Cordova
CV-SALTS	Jeanne Chilcott	Ken Landau	Rancho Cordova
Dairies	Doug Patteson	Clay Rodgers	Fresno
Enforcement	Robert LHeureux	Andrew Altevogt	Rancho Cordova
Forest Activities	Angela Wilson	Clint Snyder	Redding
Irrigated Lands	Joe Karkoski	Ken Landau	Rancho Cordova
Mines	Phil Woodward	Clint Snyder	Redding
Non-Point Source	Jerrold Bruns	Ken Landau	Rancho Cordova
NPDES	Adam Laputz	Ken Landau	Rancho Cordova
Site Cleanup	Duncan Austin	Andrew Altevogt	Rancho Cordova
Storm Water	Bryan Smith	Clint Snyder	Redding
SWAMP	Susan Fregien	Ken Landau	Rancho Cordova
Title 27/Land Disposal	Robert Busby	Andrew Altevogt	Rancho Cordova
TMDL	Jerrold Bruns	Ken Landau	Rancho Cordova
Underground Storage Tanks	Brian Newman	Andrew Altevogt	Rancho Cordova
Water Quality Certifications	Bryan Smith	Clint Snyder	Redding
WDRs	Lonnie Wass	Clay Rodgers	Fresno

## CONSIDERATIONS

The following considerations were made in establishing the process outlined below:

- 1) Program Managers [PMs] are primarily responsible for implementing 17 major programs through the efforts of a varying number of staff that may or may not reside in the PM's office; and
- 2) Each program faces unique technical, financial, resource, and political challenges. A successful platform must provide enough flexibility to accommodate these challenges yet be sufficiently structured to provide PMs the benefits of:

<sup>1</sup> The Project Management Implementation Strategy was prepared by the Project Management Leadership Team: Rick Moss, Joe Karkoski, Diana Messina, Bryan Smith, Rob Busby, Russell Walls, and Patrick Morris.

- a. Consistency, accountability, and commitment from those involved in the program,
  - b. Standards to assess progress in achieving programmatic goals,
  - c. Tools to evaluate a program's strengths and weaknesses,
  - d. Tools that clearly identify any changes that might be necessary.
- 3) Finally, PMs must have support and commitment from their Executive Sponsor and EMG in order to implement their programs effectively and uniformly.

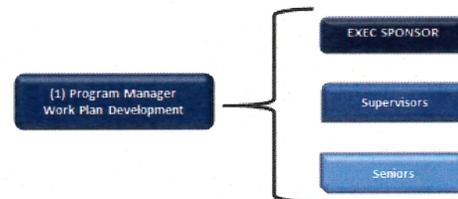
## THE PLATFORM OF PORTFOLIO MANAGEMENT

The procedures described below are arranged to follow the fiscal year life cycle beginning with the development of a Programmatic Work Plan and ending with the IDP/Annual Evaluations. The process will be closely monitored throughout the year in order to measure its effectiveness. To that end, regular discussions will be facilitated through the Leadership Meetings, for the purpose of evaluating proposed changes, which could then be adopted prior to a future year work plan development process. Whenever possible, regularly scheduled meetings would include agenda items to address these efforts. The platform consists of five key components:

1. Work Plan Development
2. EMG Consultation
3. Work Plan Distribution
4. Work Plan Deployment
5. IDP/Annual Evaluations

### 1 Work Plan Development

Program Managers have the primary responsibility of developing annual programmatic work plans, which are then submitted to EMG for review and approval. Taking into account the considerations provided above, it is imperative that PMs seek input from their Executive Sponsor, Supervisors, and Seniors throughout the work plan development process. Through these discussions the PM will obtain valuable information and support from those who share responsibility in implementing the program. This consultation will also provide EMG with assurance that the proposed work plan can be implemented, given the multiple constraints and demands on resources and staff, some of whom may have assignments in multiple programs.



All programmatic work plans should contain the following key elements:

- Clearly articulated goals and objectives (qualitative and quantitative),
- A description of how the PM will monitor and measure the effectiveness of the work plan throughout the fiscal year,
- Basis for assessing whether or not program results are being achieved.

Programmatic work plans should also include both qualitative and quantitative goals and objectives.

Qualitative Goals and Objectives

Qualitative components are those that are difficult, even impossible, to assign a numerical value to for measurement purposes (e.g. developing a new general order, incorporating new legislation, or working through an intense stakeholder process to achieve an end result). In these cases it is important to identify staff assignments with key milestones or benchmarks in the PM’s work plan. Failure to do so could promote ambiguity in the work plan which could result in work plan objectives not being met.

Quantitative Goals and Objectives

Unlike qualitative components, quantitative components can be assigned a numerical value. For example, as a PM one of your goals might be to conduct 20 inspections, therefore your work plan will outline the distribution to each office based on available resources. And at the end of the fiscal year, the inspections can be totaled to determine whether or not 20 were completed.

At minimum, a programmatic work plan should include the following:

<b>Program Resources</b>
Description of all personnel and contract resources allocated to the Program
Total “PY’s” (Identify the # of Technical “PY” and “Support PY” allocations)
Org chart of Program (differentiate between Technical and Support PY)
Strengths and weaknesses of these resources with regard to work plan goals (e.g. anticipated retirements, training of inexperienced new hires, vacancies, etc)
<b>Program Priorities and Goals:</b>
Current Year
Next Year
Key Program Issues for Each Year
<b>Performance Measures</b>
Prior two years and current year: Targets vs. Achieved
Next Year Performance Measures: Targets
<b>Funding Distribution</b>
Current Year Resource Distribution by Funding Source <ul style="list-style-type: none"> <li>▪ Technical Staff</li> <li>▪ Support staff (Seasonal Clerks, Student Assistants, etc.)</li> </ul>
Proposed Next Year Staff and Dollar Resource Distribution by Office <ul style="list-style-type: none"> <li>▪ Technical Staff</li> <li>▪ Support Staff (Seasonal Clerks, Student Assistants, etc.)</li> </ul>
<b>Proposed Staff or Resource Shift Discussion (optional):</b>
Program Managers have initial program discussions with supervisors in each of the three Offices <ul style="list-style-type: none"> <li>▪ Revisit and update distribution methodology if needed</li> <li>▪ Identify all significant program changes or significant challenges</li> <li>▪ Develop resource distribution numbers</li> <li>▪ Prepare draft Program Manager Templates</li> <li>▪ Discuss templates and distribution amounts with supervisors</li> </ul>
Program managers finalize their information and prepare for their presentation to EMG. <ul style="list-style-type: none"> <li>▪ Discuss program priorities, PY’s and funding with your AEO</li> <li>▪ Finalize Program Manager presentation material</li> <li>▪ Send copies to all EMG members two weeks prior to your presentation</li> <li>▪ Present your information to EMG and document any changes</li> </ul>
<ul style="list-style-type: none"> <li>▪ Incorporate EMG comments or changes as needed</li> <li>▪ Discuss changes with appropriate staff in each office</li> <li>▪ Distribute final information to each of the supervisors</li> </ul>
Based on decisions from EMG, make sure that your work plan numbers match State Board numbers

## 2 EMG Consultation

EMG consultation will be completed prior to the start of a new fiscal year. Programmatic work plans should be provided to EMG members at least 5 working days prior to the consultation date. Providing plans prior to the consultation will insure an opportunity for EMG to prepare adequately for the consultation.

(2) Program Manager  
EMG Consultation

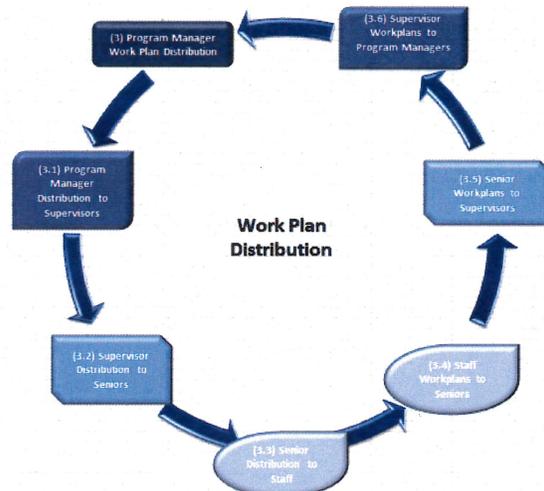
The consultation process provides the PM and the EMG a final opportunity to resolve any remaining concerns and/or provide additional comment. After the consultation, the EMG will either; 1) commit to the proposed work plan as written; or, 2) commit to the proposed work plan with modifications discussed during the consultation.

## 3 Work Plan Distribution and Development

The third component of the platform, Work Plan Distribution, serves the most critical role in relaying the PM's goals and objectives to staff. It is imperative therefore, that distribution follows the chain of command; since it is only through this approach that we can assure commitment at all levels within the organization.

### Distribution

Distribution will begin by allocating specific aspects of the programmatic work plan to Program Supervisors. Supervisors will redistribute these assignments to their Seniors; Seniors to staff (i.e. top-down). Each PM must be mindful that any or all persons working in their program may have assignments in multiple programs. Complications here can be avoided through careful analysis of their program's "Working Organizational Chart". For example, although your program may be allocated 17 PY, it is possible only 13 PY may actually spend time completing tasks in line with your work plan, and two of the PYs could be retiring this year. Nothing can guarantee success in a PM's work plan, but good consultation provides a significant measure of insurance against failure.



### Development

Work Plan Development is completed in the reverse order (i.e., bottom-up). All persons working in the program will be required to prepare a fiscal year work plan. Each work plan will be developed in Microsoft Excel, using a work breakdown structure format; the reasons to use Excel include the following:

- Microsoft Excel is readily accessible on every desktop,
- All staff are or should be proficient in the operation of Excel eliminating the need for specialized training,
- PMs can easily develop program specific work breakdown structure templates for staff,
- Managers can easily copy and paste individual staffs work plans into one Unit work plan, likewise with seniors, supervisors, and PMs.

In developing individual work plans, PMs will also want to consider:

- Multiple program demands
- Priorities
- Anticipated vacation, extended leave, or planned training
- Pertinent contingencies
- IDPs

Work plans will first be developed by Staff, incorporating multi-program demands if appropriate. Work plans developed by staff will be submitted to their Senior for approval and consolidation into the Senior's Unit work plan. Senior Unit work plans are then submitted to their Supervisor for approval and consolidation into the Supervisor's work plan. Supervisors then meet and confer with the PM. At this point each staff working in the program has established their commitment to the PM's goals and objectives as provided in the programmatic work plan.

### **Responsibilities**

Staff: Staff must consult with their respective seniors during individual work plan development,

Seniors: Seniors are responsible for thorough review of individual staff work plans making sure each staff person has familiarity with any templates developed and used by the PM. Additionally, each senior is responsible for ensuring that each individual staff person's work load can be reasonably achieved within their programmatic assignments. Seniors will also be responsible for notifying their Supervisor and PM as they become aware of work plan deviations under their control.

Supervisors: It is the Supervisor's responsibility to confirm that the Senior's Unit work plan is reasonable, given the "Considerations" outlined on page 2 above. Supervisors will also be responsible for notifying their PM as they become aware of work plan deviations under their control. Further consultation may be required to reestablish program priorities or eliminate aspects of the work plan to accommodate unavoidable deviations.

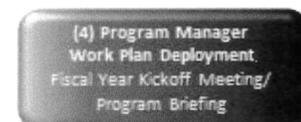
Program Managers: PMs are responsible for compiling quarterly status reports and program briefings. It is recommended that PMs work closely with their Executive Sponsor to assess the progress in achieving their programmatic goals outlined in their individual work plans. As noted above, the PM and Executive Sponsor may want to raise concerns about unavoidable deviations to EMG, in order to reestablish program priorities.

## **4 Work Plan Deployment**

Upon completion of the work plan distribution and development steps, PMs will hold a meeting with program staff. Seniors, Supervisors, and the Executive Sponsor would all attend. The purpose of the meeting would be to review the Programmatic Work Plan in detail and address any remaining concerns staff may have.

This is the PM's opportunity to inform all staff of the programs goals, in person, and explain why the goals were established, and detail the important contributions staff make in achieving these goals. The following should be discussed during the meeting:

- Review the work plan development and deployment process, what worked, what didn't
- Anticipated fiscal year challenges
- Key bench marks
- Key deadlines
- Evaluation procedures



- Procedures for requesting adjustments or modifying assignments

Program managers will provide quarterly updates in subsequent months, at regularly scheduled meetings with the PM. These updates will coincide with previously scheduled quarterly program meetings.

#### 4.1 Program Manager's First Quarterly Status Report & Program Briefing

The first quarterly status report marks the end of the first quarter of the fiscal year. Arguably there may not be sufficient information to conduct a thorough evaluation at this point, but you should have enough information to assess whether or not your program is on track to meet its year end commitments. During your first quarter status report and program briefing consider the following:

(4.1) Program Manager  
Quarterly  
Status Report/Program  
Briefing

- Are you experiencing challenges you hadn't anticipated?
- Are you deploying any measures to better facilitate this new process?
- Do you as the PM foresee any changes or priority shifts that may impact your end results?
- Based on the information available do you anticipate meeting the goals and objectives outlined in your programmatic work plan?

#### 4.2 Program Manager's Second Quarterly Status Report & Program Briefing

The second quarterly status report marks a key benchmark; the half-way point. At this time 50 percent of the fiscal year has passed and 50 percent remains offering an ideal time to evaluate your staffs' progress in achieve work plan commitments. PMs should therefore be prepared to provide a thorough discussion regarding progress made to date. Consider the following:

(4.2) Program Manager  
Quarterly  
Status Report/Program  
Briefing

- Have you completed 50 percent of your work plan commitments? Can you estimate your progress based on staffs work plans compared to those qualitative/quantitative goals and objectives established in your programmatic work plan (e.g. 40% complete, 60% complete)?
- Pertinent deviations from the work plan,
- Anticipated deviations,
- Anticipated challenges during the remainder of the fiscal year,
- Resource limitations,
- Programmatic needs (e.g. additional training, communication strategies)
- What's working? What's not?

#### 4.3 Program Manager's Third Quarterly Status Report & Program Briefing

You and your staff are on the home stretch! The third quarterly status report marks a significant milestone with one quarter remaining to button up any loose ends. At this point, you'll have enough information to conduct a thorough evaluation of your program's progress in meeting its goals and objectives. You and your staff have worked hard and although we're not quite to the

(4.3) Program Manager  
Quarterly  
Status Report/Program  
Briefing

finish line, we're excited to hear about your staffs accomplishments. Some things to consider for the third quarterly status report include:

- Are you where you want to be? With 75 percent of the year behind you, do you have 75 percent of the work plan commitments behind you?
- Detailed discussion of progress made in achieving key qualitative/quantitative goals and objectives, any early completions?
- Pertinent deviations from the work plan,
- Anticipated deviations,
- Anticipated challenges during the last quarter and proposed modifications to address those challenges;
- Resource limitations,
- Programmatic needs (e.g. additional training, communication strategies)
- What's working? What's not?

#### **4.4 Final Assessments (Program Manager's Fourth and Last Quarterly Report)**

July, you and your staff have reached the finished line. It's time to turn around, reflect on the year, and celebrate a year of hard work with your staff.

Reflection should be initiated by Seniors, Supervisors, and PM conducting a thorough evaluation of individual and Unit work plans and comparing them to programmatic work plan goals and objectives. The point of this exercise is to:

(4.4) July  
Final Assessments

- Identify your programs strengths and weaknesses, take into account the "Considerations" outlined on page 2.
- Did you meet your qualitative and quantitative goals and objectives? Were you overly optimistic? Were there external factors that affected your program? Staff?
- Is there anything you weren't able to tackle? Why? Can you modify next year's plan to accommodate these factors?
- Do you need to shift resources, or are they sufficiently allocated?
- Communication strategies, proposed changes?
- What changes if any would you implement next year?
- Staffs suggestions?

Plan some time to celebrate with those staff that made it all possible!

#### **5 IDP/Annual Evaluations**

Finally, whether you're staff, senior, supervisor, or PM take some time to provide pertinent feedback in the IDP/Annual Evaluations process. The goal is build stronger, more efficient and effective programs. Your input matters.

(5) IDP/Annual  
Evaluations

**GENERAL PROCESS FLOW**  
Fiscal Year Basis

