

CENTRAL VALLEY WATER BOARD ANNUAL WORK PLANS

June 15, 2015

INTRODUCTION

Central Valley Water Board workload centers on the implementation of 19 different programs which develop policies, address technical issues or implement regulatory requirements in order to address the multiple water quality concerns throughout the region. In addition, there are administrative programs required to support the programs and staff. The resources allocated to the Central Valley Water Board are generally not sufficient to fully address program requirements. Work activities within each program area need to be identified and prioritized to ensure staff are assigned workload tasks that will address the highest priority water quality issues and needs of the Central Valley Water Board. Adequately addressing program needs is difficult, however, given the both the size and complexity of the Central Valley Water Board's jurisdictional area and the fact that staff charged with implementing the various programs are situated within three different offices further complicates the management and control of program development and implementation. Staff located in each of the three offices and reporting to supervisors that do not directly report to a Program Manager has resulted in some program goals not being adequately achieved and/or inconsistent implementation and enforcement of program requirements. Recognizing these issues, in 2006 the Central Valley Water Board embarked on a multi-year effort to improve its management approach, techniques and tools to address the multiple needs and demands on our limited resources and improve program implementation and effectiveness.

In 2006 the Executive Management Group was formed to improve the communication and cooperation between the Executive Officer and its four (4) Assistant Executive Officers within the Region. This group issued a series of management memos to improve consistency and coordination within the Region, including a memo on the Roles and Responsibility of the Program Manager. In early 2007 the Leadership Team was formed to expand the communication and cooperation between the EMG and the Program Managers, supervisors and staff responsible for carrying out the Board's mission. Between 2008 and 2010, Board staff participated in project management training to assist staff in better understanding project management tools, concepts and vocabulary. In 2011, executive management with the Board's approval initiated its Program Management Implementation Strategy that confirms the key role of the Program Manager and establishes a process through Portfolio Management for the development and implementation of annual work plans

Finally, the executive management of the Central Valley Water Board believes it is important that the use and allocation of staff resources be done in a manner that is transparent and accountable to the Board and public. The processes established through Portfolio Management for the development of work plans and the implementation and assessment of work plans will achieve these goals.

PURPOSE OF WORK PLAN

An approved programmatic work plan defines the activities and goals of each program for a fiscal year and establishes a commitment by the management and staff within each program on the activities they

CENTRAL VALLEY WATER BOARD ANNUAL WORK PLANS

June 15, 2015

intend to complete within that fiscal year. The programmatic work plans are an important management tool to be used by all levels of staff throughout the Central Valley Water Board to:

- Ensure priorities of the Board are implemented while accounting for the various constraints on our programs,
- Provide a tool for Program Managers to express and identify their vision of the program and its activities/accomplishments,
- Establish a commitment by the Program Managers on work to be completed and when within the fiscal year,
- Ensure executive management agreement with resource allocation and use within each program, and
- Serve as a communication tool between program staff and management.

GOAL OF THE WORK PLAN

Each work plan serves as a “contract” between the Program Manager and the Board on the activities they are committing to successfully complete within the year¹. Therefore, work plan development requires the serious attention and time commitment of executive management, supervisors and senior level staff to ensure the commitments made within the plan can be achieved. The goals of developing and implementing work plans are to:

- Maximize the use of Board resources,
- Provide managers the tools and responsibility for program implementation,
- Create a more proactive rather than reactive organization,
- Ensure all managers and staff involved in a program understand their roles and responsibilities to successfully achieve work plan commitments,
- Provide staff clarity in how they contribute to the overall goals of the program, and
- Ensure that the priorities of the Board are implemented.

WORKPLAN PROCESS, ACTIVITIES AND TIMELINE

Adequate, timely and regular communication and cooperation between all levels of management and staff are important in order to properly develop annual work plans. Early establishment of priorities and direction to the Program Managers is essential for them to prepare an adequate work plan. The following tasks will be completed each year prior to the Program Managers drafting their work plans:

1. Identify/Establish Board priorities for fiscal year during the last Board meeting of the calendar year during the annual EO report.
2. Define priorities of the Board for the Program Managers at its first meeting of the calendar year in January. EMG will identify the resources allocation needed to meet the priorities and identify resources that could be shifted or used between program areas to achieve priorities.

¹ Work plans are living documents and changes can be made when conditions are warranted and approved

CENTRAL VALLEY WATER BOARD ANNUAL WORK PLANS

June 15, 2015

3. Discuss the EMG proposed priorities with Leadership Team at its January meeting.

In addition to early planning and attention to assist in the initial drafting of work plans, it is important that a proper feedback loop is followed during the development and implementation of work plans to ensure program success:

Task	Month	Responsible Party
Establish Board priorities at Annual EO Report	December	Board, EO, AEO
EMG define priorities for Leadership Group and resource allocation to meet priorities	January	EMG
EMG to meet with leadership Team on priorities	January	Leadership Team
Pre-plan development meetings between Executive Sponsors and Program Managers and meetings with Budget AEO on resources	January	AEO, PMs
Executive Sponsor and PM consult on outline of Work Plan	February	AEO, PM
PM to meet with supervisors and seniors responsible for work plan implementation	February	PM, Sups and Seniors
Draft Work plan	March	PM
Exec Sponsor consult to review proposed draft workplan	Late March	AEO, PM
EMG consult to seek approval of proposed work plan	April-May	EMG, PM
Provide Quarterly updates/status on workplan to EMG	Oct, January, April, July	EMG, PM
Annual feedback with Leadership Group on Portfolio Management	May/June	Leadership Team

HOW TO MEASURE SUCCESS OF PORTFOLIO MANAGEMENT

Portfolio Management is a tool the Executive Management and Board has chosen to pursue in order to improve the management and success of our organization. Portfolio Management represents a shift in how the Board has traditionally managed its programs and as such, it will require some time to institutionalize these management plans. It is important that a feedback loops between management and staff be employed to help guide and direct the Board as we move forward with implementing this effort to ensure its success. Key questions identified by the EMG to determine that Portfolio Management has been successful include:

1. Have we met our work plan commitments? or
2. Has the process effectively addressed priority diversions? and
3. Has our organization changed as a result:
 - a. Are our staff and leadership more empowered and engaged?

CENTRAL VALLEY WATER BOARD ANNUAL WORK PLANS

June 15, 2015

- b. Are our resources being directed to Board priorities?
- 4. Are the work plans resulting in improvements in efficiency and productivity?

The EMG and Leadership Team will address these questions as we move forward with Portfolio Management through quarterly discussions at the EMG, regular meetings between Executive Sponsors and Program Managers and updates and revisions to work plans as needed.

EMG is concerned that a baselines related to the above questions to receive and judge feedback have not been properly established. EMG intends to work toward developing proper baselines over the next 6 months, in order for program managers and the EMG to better understand the impacts of Portfolio Management.

CENTRAL VALLEY WATER BOARD ANNUAL WORK PLANS

June 15, 2015

WORK PLAN TEMPLATE

- I. Background – A brief description of the history of the program. This section can be short but should provide new staff and others not familiar with the program with a basic understanding of the program.

- II. Introduction – Brief discussion of the current status of the program. This should include recent accomplishments and challenges. There should also be a short description of the core activities of the program and of the priority projects for the coming year (these will both be expanded upon in later sections). Any proposed changes from the prior year work plan should also be noted.
 - a. A recap of the previous year performance targets and any reasons for not meeting or greatly exceeding performance targets should be included.

- III. Program Resources
 - a. Include a brief description of program resources, including number of staff, PYs assigned to the program and other resources (contracts money etc.) This description does not need to address the particulars of PCA codes assignments, but it should describe any restrictions associated with PCA codes used by the program as they effect distribution of staff among core activities and priority programs.
 - b. Provide an organizational chart for the program that lists the PYs associated with each person in the program (also include PY assignments for management and support staff.)

- IV. Core Activities
 - a. List all core program activities. These are the day to day activities of the program categorized as:
 - i. **Permitting** (anything relating to the issuing of a permit, including permit writing, report review, inspections, meetings etc)
 - ii. **Compliance and Enforcement** (definition to be developed by Rob and Andrew)
 - iii. **Outreach**
 - iv. **Basin Planning**
 - v. **Data Collection and Analysis** (Not associated with a permitting or compliance action, such as in the SWAMP program)
 - vi. **Personnel and Contracting** (contracting not associated with particular permitting or compliance activities in a program, eg. office or region-wide contracting or personnel work)
 - b. Describe each of these core activities as they apply to the program,
 - c. Enumerate the staff time associated with each category for the coming year, broken out by office.

CENTRAL VALLEY WATER BOARD ANNUAL WORK PLANS

June 15, 2015

- V. Priority Projects
- a. List all priority projects in the programs for the coming year. List the projects in order of importance.
 - b. Include a brief description of the project, estimated staff time needed to complete the project, and a short rationale for choosing the project.
 - c. For each project list the people who will be assigned to it and estimated time assigned to each staff.
- VI. Program Resources Allocation
- a.
 - b. Provide a spreadsheet summarizing the PY needs for each core area and each priority program, broken out by office.
 - c. Include, as an addendum to the work plan, a spreadsheet with a breakdown of tasks and associated staff time allocated for each person in the program. This should be prepared in conjunction with the supervisors and seniors in the program, who should present it to staff for comment and consultation. Totals time allocated should be calculated for each person and each office.
- VII. Performance Targets
- a. In a tabular format list performance targets for the program for both the upcoming year and the past 3 years (as available). This should include both "State Board" targets and Region 5 specific targets
 - b. Describe the rationale for any changes in targets from prior years.
 - c. Enumerate the staff time that will be spent to meet the each target.
 - d. Include a discussion as why the existing performance targets are appropriate or why they should be changed, if necessary.
- VIII. Key Program Issues
- a. Describe any challenges facing the program or needs of the program that should be addressed in the coming year (or beyond). Categorize these in terms of things that can be addressed internally (within Region 5 or with by State Board) or externally (involving other agencies, other branches of government or outside stakeholders). (Some may have both internal and external aspects).