San Diego Water Board Practical Vision

Effective, Efficient Mission Support

This practical vision focuses on conditions sustaining the effectiveness and efficiency of tasks, duties, and projects provided by staff within the Mission Support Services Unit. The ability of those staff members to meet expectations placed upon them is dependent upon factors internal, external, regional, and statewide. Therefore, to produce a clear and targeted practical vision, this chapter implements activities and services central to the core functions of mission support staff at the San Diego Water Board.

Mission Support, for purposes of this chapter, includes all activities assigned to and provided by our Mission Support Services Unit, recognizing that all staff must contribute to effectual support. This chapter proposes several tasks or projects to meet and streamline the fundamental purposes of the Mission Support Services Unit.

Practical Vision Statement

Sufficient business resources, information, and expertise, including employees with appropriate operational knowledge and skills, empower success of the Water Board mission.

Mission Statement

Effective and efficient Mission Support, as provided by our Mission Support Services Unit, is doing the right things right, in the face of limited or dwindling resources, to achieve the greatest good for the greatest number in protecting our region's water quality.

Values Statement

We can only be effective and efficient by being committed to transparency, accountability, empowerment, adaptability, and dedication to our mission.

Where We Are in 2013

The San Diego Water Board requires professional and administrative business services to achieve the water quality mission. Core services provided by the Mission Support Services Unit include human resources, records management, accounting and budgets, procurement, payroll, facility management, and reception. These functions are provided by technicians and analysts who work with regional and state water board staff, vendors, contractors, regulated parties, and interested citizens of California. We face challenges. For instance, increasing volumes of technical and legal information being communicated between program staff and stakeholders is a direct challenge to our values of transparency and accountability.

The Mission Support Services Unit has recently experienced several very lean and challenging years, the lessons of which have been incorporated into this practical vision.

1. First, the water board is a team; business services and regulatory programs are each stronger and more resilient when they are integrated and communicating.

2. Second, because mission support increasingly relies on technology for information management, we must make our Electronic Content Management (ECM) system for records more valuable to staff and the public.

3. Third, business services needs are evolving with trends in technology, service consolidation, and public expectations, so periodic business function assessments will help us position personnel and resources to meet current and future operational needs.

Therefore, a new vision for well-organized mission support is necessary to provide the business and information management foundation for the work of the San Diego Water Board. We must develop a better capacity to adapt to tomorrow's challenges without compromising the foundation necessary to enable our agency to achieve this practical vision and the six others within this document.

Why this Practical Vision is a Priority

This practical vision is a priority because business and information management functions are "mission support" services that provide a foundation to support the water quality program staff and play a lead role in ensuring transparency and accountability with public funds and records. The lynchpin for successfully meeting those critical internal and external functions is having supported and empowered mission support services staff.

Government agencies must adhere to certain business functions and legal obligations. This practical vision will, for instance, support compliance with the California Public Records Act by promoting uncompromised and sustained dedication to our ECM system from all staff.

This practical vision sets forth projects to ensure we can meet 21st century expectations for business and information management. Building business and operations workforce capacity is about assessing employee resources needs for current and future program requirements. This practical vision identifies actions to meet those needs.

This Practical Vision strives to improve our work by providing appropriate resources to the Mission Support Services unit and pointing our effort toward competent mission support. We will align staff to Business Services needs, maximize the commitment to ECM, and strongly advocate for decisions from the State Water Board necessary to improve records management for staff and the public.

Projects for Practical Vision Success

1. **Mission Support Services unit Staffing Project**

   a. **Project Description or Purpose**

   > *Work = (force) x (distance) Success, however, requires work in the right direction. This practical vision chapter provides the direction for effective, efficient mission support.*

   This project focuses on providing adequate staffing to fulfill current operational needs of our organization and taking steps to anticipate and prepare for future needs. Please refer to Project #3 which also requires an evaluation and assessment for effectiveness and efficiency across the Water Board.

   b. **Project Goals**

      i. Provide adequate resources to accomplish all duties, tasks, and projects with the Mission Support Services Unit scope of responsibilities.

      ii. Improve front desk operations by creating and filling a permanent Receptionist position.

      iii. Improve business services by fully integrating information management systems into the Mission Support Services Unit, including creating and filling a permanent Assistant Information Management position.

   c. **Desired Outcomes**

      i. Fill all vacant positions in the Mission Support Services Unit.

      ii. Increase process certainty and reduce errors associated with front desk operations and functions.

      iii. Include information systems staff in the Mission Support Services Unit scope of responsibilities.

      iv. Complete a business needs evaluation and assessment to identify future resource requirements.

   d. **Underlying Contradiction**

      Implementation of this project is challenged by competing demands for human and technical resources. While the agency stresses public transparency, internal and external accountability, and a commitment to the well-being of employees, the agency often underfunds the technician and analyst positions on which it relies to achieve those goals. The specific pressure to protect water quality and regulate discharges leads the agency to prioritize resources to the technical positions that more overtly align with water quality programs.

   e. **Contribution to the Practical Vision**

      Providing adequate human resources is critical for successful mission support. Although the Mission Support Services Unit is incredibly resourceful at

performing critical services while understaffed, being able to provide a full range of tasks and projects is necessary to achieve the agency's mission.

Improvements and enhancements to the Enterprise Content Management (ECM) system (digital record-keeping system) are compromised by persistent staffing shortages and limitations on infrastructure. Additional staff are necessary to realize the full potential of our records management systems, both traditional paper-based and electronic digital-based.

Streamlining functions such as procurement, contracts, records, personnel, and information technology will take advantage of synergies between expertise, skills, and the increasingly IT-driven functions of business services (e.g., records management, timekeeping databases, and web-based applications). It will be efficient and effective to consolidate IT services with other support services.

f. Schedule/Milestones

   i. 3 – 6 Month Milestones: Fill vacant positions.

      a. Fill the Staff Services Analyst position by May 1, 2012. COMPLETED

      b. Fill the Digital Composition Specialist position by July 1, 2012. COMPLETED, converted position to Office Technician.

      c. Fill the Supervisor position by November 1, 2012. COMPLETED

   ii. 6 – 12 Month Milestones:

      a. Create a permanent, vested Receptionist, similar to the duty statement and position vacated in February 2009.

      b. Create a permanent, vested Assistant Information Technology Staff, similar to the duty the duty statement and position vacated in December 2008.

   iii. Beyond 1-year Milestone:

      a. Shift the Information Technology Unit into the Mission Support Services Unit.

      b. Conduct a business evaluation assessment, including exploring re-aligning the Mission Support Services Unit as a separate Branch.

g. Resources Needed

   i. The short-term milestones (3-6 months and 6-12 months) for this project will require effort from the Business Services Supervisor and Executive Management to recruit and hire staff. Approximately 40-80 hours of time will be required to prepare, recruit, and hire each position. Funding is already allocated to support the vacant positions.

   ii. Additionally, the short-term outcomes require existing Mission Support Services staff to prepare for additional hires by establishing an efficient and effective transition. This may take approximately 8-20 hours per position, with ongoing training as needed.

iii. The long-term milestones require time to form a committee or workgroup, consisting of supervisors from each Branch, Executive Management, and the Administrative Officer, in order to gather information, evaluate and implement solutions for advanced operations and business requirements.

h. Tasks that Might Not be Done in Order to do this Project

Implementing the short term tasks will not result in a loss of productivity from current staff. However, implementing a business and operational evaluation within the long-term task may divert staff time away from regular duties. The tasks of the evaluation group will likely involve staff working independently and then discussing findings as a group. This effort is expected to result in minor delays in members' routine tasks, such as returning phone calls and emails, indexing documents, and updating databases. No significant projects will be affected.

2. Regional ECM/Records Improvements Project

a. Project Description or Purpose

A priority has been to keep the ECM system operational, despite obstacles of inadequate network infrastructure, software, and staffing levels. The ECM system is designed to vastly improve information management, content and access, which uniquely enhances our probability of mission success. It allows us to accomplish records management tasks and legal compliance with greater effectiveness, which in turn drives improvements in transparency, public access to files, collaboration, and effectiveness through sharing content directly at our fingertips.

Significant effort is proposed to address current obstacles to ECM implementation. We focus on the ECM system's objectives and strategies in order to achieve one of the most important legal obligations of the agency: records management. The ECM's ability to deliver legal and business objectives depends on many factors including staffing requirements, training, and technical support such as infrastructure, hardware, troubleshooting, and customization.

Records management is an ongoing process between information content and technology. Our challenge is to effectively integrate legal compliance with business operations and functions. The benefit of the ECM system over paper-based document storage is the ability to manage thousands of records and retrieve a specific document or file in mere seconds. However, it takes time, commitment, and resources to plan and implement ECM to achieve success and meet user expectations.

The ECM is a robust and scalable digital records and content management system through which business and technical units, each with its own procedures, processes, and demands, can search, retrieve, and share information. Comprised of strategies, methods and tools used to capture, manage, store, preserve, and deliver content and documents, the ECM encompasses changing regulations, evolving best practices, and a growing body of knowledge.

This project will enhance staff ability to use the ECM system by focusing on the standardization of business rules and implementation of advanced functionalities and components. Additionally, the project will advocate for necessary software and network updates and hardware purchases for email integration and internet based public access.

b. Project Goals

    i. Methods for working more efficiently by maximizing the benefits of the ECM system through usability and knowledge. Properly trained staff with the understanding of and attention to the ECM benefits.

    ii. Improvements to information management and evaluation of infrastructure, hardware and software.

> **ECM Statistics**
>
> Electronic storage of our documents from May 2007 through 2012 is approximately 440 GB of memory.
>
> 440 GB = 8,800,000 pages of paper
> 1,000 GB = 50,000 trees
> 17 trees = 1 ton of paper
> 1 ton of copy paper = 200,000 sheets
> 1 ton of copy paper = 19,000 gallons of wastewater

c. Desired Outcomes

    i. Information and content that is created, managed, and delivered *consistently* to achieve the agency's water quality mission.

- Improved infrastructure by identifying speeds and sizes of bandwidth at specifically test times due to other competing web-based applications such as CIWQS, GeoTracker, Outlook, and CEDEN.

- Improved hardware such as larger screen monitors for ease of viewing documents.

- Seamless integration with Outlook email system.

    ii. Facilitate the ability to successfully use the functions and components of a robust ECM system through standardized business rules, training, and instructions.

    iii. Improved ability to meet business and efficiency requirements such as creating an internet portal for document submission and an internet site for public file reviews.

- A separate web-portal for document submission and upload ensures that all incoming documents are "electronically filed" and routed to properly assigned staff. This also alleviates the time spent providing data entry by both the Mission Support Services Unit and the technical staff because the uploading party would be required to provide the metadata.

- There are several public file review stations *in the office* which access the ECM system via web-based *intra*net. The public would greatly benefit from conducting file reviews and document submission via web-based *inter*net access without having to come into the office.

d. **Underlying Contradictions**

The use of the ECM system has been hindered by insufficient support for training and maintenance, misaligned expectations of staff, and inefficiencies resulting from centralized management. For instance, ECM support staff cannot simultaneously fill-in for vacant receptionist positions and train staff on ECM functions. Similarly, staff faced with increased permitting workloads (e.g., due to furloughs) find it difficult to make time to learn ECM features. Furthermore, statewide ECM-system updates intended to standardize protocol across the water boards often have unintended consequences that adversely affect our region-specific work.

e. **Contribution to the Practical Vision**

The Mission Support Services Unit ensures that all records are properly managed so that content and documents are located and retrieved seamlessly. The ECM system has traditionally operated in a dynamic environment, and we have allowed variations within the process framework. However, enhancing consistency in those variations ensures valuable and predictable results through standardized business rules, user-training, and improvements to the hardware and network. Additionally, when appropriate infrastructure improvements are made, and necessary policies and rules are enforced, staff will realize significant time savings.

f. **Schedule/Milestones**

Our intent is to bridge the gap between the current organization and storage of documents with the expectations of Google-like searches by:

i. 3– 6 Month Milestones:

a. Develop uniform protocols business rules targeting certain activities for improvements to search results such as re-indexing metadata within each program.

b. Identify network, hardware and software improvements such as providing Adobe Professional on all desktops.

      ii.   6 – 9 Month Milestones:

          a. Monitor performance by developing audit analysis and reports such as determining the number of documents residing in individual workflow queues or inboxes.

          b. Provide instructions for any new features such as the use of ECM Folders or ECM Briefcases.

      iii.   1 Year Milestones:

          a. Develop an "ECM Library" for staff availability and access to training materials, policies, rules, etc.
          b. Plan for hardware / software upgrades including developing budgets for hardware and software upgrades such a larger monitor screens and faster internet access.

      iv.   Beyond 1 Year Milestones:

          a. Purchase tablets for staff use when away from the desktop.

          b. Upgrade and support new hardware and software including budgeting, installing, developing, and training.

g. Resources Needed

This project requires the office to fill the positions identified in Project #1 in order to fulfill any ECM Project #2 obligations. Management, IT staff, and Mission Support Services staff will be required to explore and identify hardware and software deficiencies. They will also need to evaluate infrastructure requirements including inventory and testing current capabilities, budgeting, coordination, and providing any additional rules, policies, and training.

h. Tasks That Might Not Be Done In Order To Do This Project

Records management is a legal obligation of the Water Board; and the ECM system is an environment which requires software and hardware troubleshooting, customization, change management (building different habits), issue management, and user-training. Maintaining QA/QC controls and legal protocols and resolving daily functionality issues top priorities. Provided Project No. 1 (staffing) is completed, no other essential or core business tasks will be suspended to implement this Project. Management and IT staff assistance will be required for coordinating, budgeting, and other operational related tasks in order to implement hardware and software enhancements.

> *A Success Story…*
> *Saving Paper with ECM*
>
> Receiving documents electronically or directly to ECM will save paper and energy. In September 2013, we recycled the paper documents that were received by our office and uploaded to ECM from 2007-2012. This included 433 full boxes of paper. Each box contained approximately 3,000 – 4,000 sheets of paper. So, we recycled between 1,299,000 and 1,732,000 sheets of paper. Converting to electronic submission will save at least that much paper over the next five years.

3. Realign Technical Positions Project

a. Project Description or Purpose

The purpose of this project is to increase productivity and position the agency to address emerging challenges. This would be done by evaluating and realigning as necessary positions throughout the office. The professional Mission Support Services staff (e.g., technology, analysts, technicians) allow the water-quality staff (e.g., scientists, engineers, geologists) to perform better technical work. They leverage technical skills, thereby improving efficiency across the office.

Examples of skills that may be needed include GIS, data analysis, data entry, communication, etc. The project will begin by conducting a needs assessment, evaluating alternatives, and then developing human resource recommendations. For instance, the project may add information technology staff to the Mission Support Services Unit or convert technical positions to analyst positions throughout the office.

b. Project Goals

   i. Ensure the office has the skills and capacity to sustain high levels of performance from the technical staff.

   ii. Streamline functions such as editing correspondence and system maintenance to take advantage of synergies between business services expertise and the increasingly IT-driven functions of water-quality staff (e.g., databases)

c. Desired Outcomes

   i. Increased efficiency for ECM re-indexing and other databases which require accurate data entry;

   ii. Increased efficiency for meeting management, appointments, etc.

d. Underlying Contradictions

Records management requires accurate data to define documents and content, and this metadata is critical to the agency's mission. However, in order to meet program objectives, water quality staff often considers data entry a low priority. Further, although we may need additional analysts and specialists, the regional boards face challenges to rebalance skill sets when doing so involves reclassifying technical positions.

e. Contribution to the Practical Vision

Including technical staff within each branch ensures that staff in each program has access to the technicians, analysts, programmers or other staff with the skills needed to help each program operate most effectively. This will leverage the resources of the office to focus on optimal mission-critical internal and external services.

f. Schedule/Milestones

    i. 3 – 6 Month Milestones:

        a. Survey the Program Units for operational needs that may be suited to non-scientist/engineer classifications.

    ii. 6 – 9 Month Milestones:

        a. Identify civil service classifications that could meet operational needs identified by Program Units.

    iii. 1 Year Milestones:

        a. Develop conceptual staffing goals to fill operational needs

        b. Develop recommendations, if any, for realigning positions.

    iv. Beyond 1 Year Milestones:

        a. Secure or redirect funding to implement recommendations.

g. Resources Needed

Approximately 120 staff hours will be necessary to survey and assess operational needs and identify appropriate civil service classifications. Additional assistance from the State Water Board may be necessary. Another 120 hours of staff time, with State Water Board assistance, will be necessary to develop conceptual goals and draft recommendations. Securing and/or redirecting resources to implement the recommendations could take another 80-120 hours of staff time.

h. Tasks that Might Not be Done in Order to do this Project

To accomplish these surveys and assessments, staff will likely forgo some weekly or monthly reporting to the State Water Board and in the Executive Officer reports that are related to low-priority issues.

Accomplishments as of September 2013

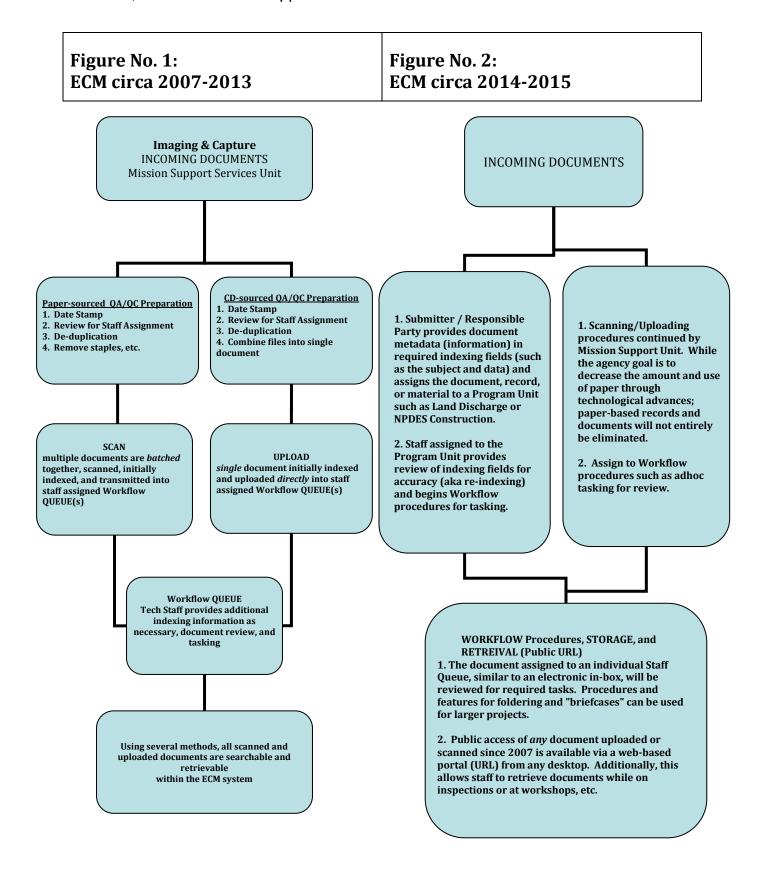| Project	Task	Description
Staffing	Fill Staff Services Analyst (SSA) Vacancy	The SSA position was filled in April 2012.
Staffing	Fill Digital Composition Specialist (DCS) Vacancy	The DCS position was converted to an Office Technician and was filled in June 2012.
Staffing	Fill Staff Services Manager Vacancy	The SSM position was converted to an Administrative Officer position and filled in January 2013.
Staffing	Create Receptionist Position and Reassign Students	Partially completed: A temporary, part-time receptionist position was created and filled in December 2012.
Staffing	Shift Information Systems Staff into Support Unit	Partially completed: An Information Systems Technician position was created, assigned to the Mission Support unit and filled in January 2013.
ECM	Identify Hardware and Software Deficiencies	This task is ongoing.

Figure No. 1: ECM circa 2007-2013	Figure No. 2: ECM circa 2014-2015

Imaging & Capture
INCOMING DOCUMENTS
Mission Support Services Unit

INCOMING DOCUMENTS

Paper-sourced QA/QC Preparation
1. Date Stamp
2. Review for Staff Assignment
3. De-duplication
4. Remove staples, etc.

CD-sourced QA/QC Preparation
1. Date Stamp
2. Review for Staff Assignment
3. De-duplication
4. Combine files into single document

1. Submitter / Responsible Party provides document metadata (information) in required indexing fields (such as the subject and data) and assigns the document, record, or material to a Program Unit such as Land Discharge or NPDES Construction.

2. Staff assigned to the Program Unit provides review of indexing fields for accuracy (aka re-indexing) and begins Workflow procedures for tasking.

1. Scanning/Uploading procedures continued by Mission Support Unit. While the agency goal is to decrease the amount and use of paper through technological advances; paper-based records and documents will not entirely be eliminated.

2. Assign to Workflow procedures such as adhoc tasking for review.

SCAN
multiple documents are *batched* together, scanned, initially indexed, and transmitted into staff assigned Workflow QUEUE(s)

UPLOAD
single document initially indexed and uploaded *directly* into staff assigned Workflow QUEUE(s)

Workflow QUEUE
Tech Staff provides additional indexing information as necessary, document review, and tasking

WORKFLOW Procedures, STORAGE, and RETREIVAL (Public URL)
1. The document assigned to an individual Staff Queue, similar to an electronic in-box, will be reviewed for required tasks. Procedures and features for foldering and "briefcases" can be used for larger projects.

2. Public access of *any* document uploaded or scanned since 2007 is available via a web-based portal (URL) from any desktop. Additionally, this allows staff to retrieve documents while on inspections or at workshops, etc.

Using several methods, all scanned and uploaded documents are searchable and retrievable
within the ECM system

Figure No. 3 – Task Schedule and Prioritization

ESTIMATED PROJECT SCHEDULE	3-6 months	6-9 months	9-12 months	1-2 years	beyond 2 years	Rank
A. Staffing Business Services Support						
To ensure that adequate staff are assigned to business support services.						
Fill SSA Vacancy	COMPLETED					
Fill DCS Vacancy	COMPLETED					
Fill SSM Vacancy	COMPLETED					1
Shift Information Systems Staff into Support Unit		partially completed				6
Conduct Business Services Needs Assessment						6
Create Receptionist Position & Reassign students						4
B. ECM Support						
To improve ability to realize improvements in effectiveness and efficiency from ECM.						
Complete Business Rules						3
Identify Hardware and Software Deficiencies	ongoing					2
Implement Audit Functions and Data Analysis			Ongoing			8
Develop ECM Instructional Library				Ongoing		11
Prepare Plans and Budget Resource Needs						5
Install Updated ECM Hardware / Software					Ongoing	10
Secure Tablets for Field-Based ECM Access						18
C. Realign Technical Positions						
To increase productivity and position the agency to address emerging challenges.						
Survey Programs for non-Scientific/Engineering Operational Needs						9
Identify Classifications to Meet Survey Responses						12
Develop Staffing Goals						14
Develop Recommendations to Realignment						16
Secure Funding to Implement Recommedations						17
Recruit and Fill Realignied Positions						17
D. Aspirational Goals						
To use web-based portals for receiving documents and providing public records access.						
Electronic Document Submission and Indexing by Parties					Ongoing	13
Web Interface for Public Access to ECM and File Reviews					Ongoing	14