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July 9, 2004

TO: Supervisor Don Knabe, Chairman
Supervisor Gloria Molina
Supervisor Yvonne B. Burke
Supervisor Zev Yaroslavsky
Supervisor Michael D. Antonovich

FROM: J. Tyler McCauley
Auditor-Controller

SUBJECT: **DEPARTMENT OF COMMUNITY AND SENIOR SERVICES**

Attached is blueCONSULTING's limited management audit report on the Department of Community and Senior Services (DCSS). Because of Board concerns over the management and leadership of DCSS, we hired blueCONSULTING (consultant) to provide an audit of DCSS' mission and organization structure; development and implementation of DCSS' strategic plan and other planning efforts; the Department's performance of key management functions such as human resources and other management and administrative practices; and fiscal and operational policies and procedures. The consultant's audit did not include an evaluation of any programs DCSS administers.

In addition to the management audit, Auditor-Controller staff investigated specific allegations that DCSS has significant unreported program liabilities and has overstated its billings to the Department of Public Social Services.

Summary of Findings

Management Audit Findings

blueCONSULTING based its findings on extensive interviews that included all Board of Supervisors offices, selected County department managers, all DCSS managers and 40 DCSS employees who requested the opportunity to speak with the consulting firm. The consultants also analyzed other relevant documentation and various external audits and studies performed by the Auditor-Controller, the Los Angeles County Grand Jury, the California Department of Aging, and other similar reports.

blueCONSULTING concluded that although the Department has employees that are very committed to their clients, DCSS has lost credibility with the Board of Supervisors, the public, and various stakeholders due to long-term lack of leadership, lack of accountability, poor program management, and problems with program monitoring and funding. The consultants further concluded that given the ingrained culture within most areas of the Department, that only a major restructuring and refined Department focus that is driven by strong leadership will correct the situation.

The consultant further concluded that the management weaknesses have been exacerbated by organizational growth that has brought in functions and programs that lack synergy and over which management has not been able to develop and implement basic management controls. Additionally, based on benchmarking of comparable social service agencies, DCSS is unique in that it combines services for seniors with workforce development services for the general community. This broad, all-inclusive mission has also had a negative impact on the Department's ability to focus on high quality management and delivery of services.

The consultant recommends that the Board of Supervisors transfer to other County departments all programs and services not directly related to meeting the needs of the County's aging population, with the possible exception of domestic violence programs. The consultant believes that the Department needs to focus on this single aspect of its current mission – meeting the needs of vulnerable adults and seniors. The consultant observed that this constituency will only grow in number and need and that a continued separate County department is justified.

blueCONSULTING made numerous recommendations to encourage a "return to basics" as a management philosophy, focusing on a smaller organization. The "return to basics" concept contemplates the Department embarking on an integrated planning process to develop and reinforce a culture of responsibility and accountability in order to drive the required organizational cultural change. The consultant also recommends an emphasis on values such as respect for individual professionalism, effective communication, supervision through oversight and verification, and accountability for grant or taxpayer money. The consultant's overall conclusions and recommendations are listed beginning on page 78 of their report.

Auditor-Controller Findings

The Auditor-Controller investigation findings generally related to employees that are no longer in County service, including the previous Department Director and program managers. We will report under separate cover our review of the allegations regarding the Community Action Board, and a couple of other investigations of alleged improper activities of two staff. The two allegations we have completed investigating were significant and are discussed below.

We investigated the allegation that there were large potential program liabilities that DCSS did not report to the Board, CAO, or Auditor-Controller in accordance with Board policy. We confirmed this allegation was true. In January 2003 the California

Department of Aging (CDA) provided DCSS with audit findings for several years of Area Agency Aging (AAA) grant claims. The findings indicated CDA had questioned millions of dollars of DCSS claims for AAA monies due to lack of documentation that DCSS contract providers provided the contracted services. When DCSS did not correct the deficiencies noted, CDA notified DCSS of potential liabilities of approximately $57 million for Fiscal Years 1997-98 through 2001-02. DCSS hired two CPAs to work with DCSS contractors to obtain the documentation to support the costs related to the questioned claims with the goal of reducing the liabilities.

Upon being notified of the potential liabilities, we met with CDA auditors and arrived at a methodology CDA found acceptable in satisfying their questioned costs. Auditor-Controller staff provided oversight and participated in the effort to obtain the required documentation. The efforts to date have resulted in obtaining acceptable documentation to lower the liability below $300,000 with the possibility of reducing this number further. CDA will be providing written confirmation in the near future that should fully resolve the first two fiscal years and $10 million of liabilities. We will soon present data to the CDA that should lower the liability to less than the $300,000 noted above.

The second allegation we confirmed was that DCSS over billed administrative costs to the GROW program they administered for DPSS. DPSS will have to reduce its claim to the State by approximately $1 million to resolve the over billings. Subsequent allegations indicated this practice occurred in other programs. We are continuing our investigation into this matter. The causes of both the liability problem and over billing are supported by the consultant's finding that the program managers and fiscal staff do not work together to ensure proper grant management.

Proposed Short-Term Action Plan

In view of the consultant's findings and the recommended actions, we believe there is a need for a number of County departments to be directly involved in stabilizing and overseeing DCSS' current operations and providing expertise to assist the Department in resolving immediate problems and in implementing the consultant's recommended corrective actions or alternative actions approved by the Board. We recommend the Board establish an oversight and implementation team of managers, led by the Chief Administrative Office, and including DCSS, the Auditor-Controller, Public Social Services, County Counsel, Human Resources, and the Chief Information Office. In the interim, the Auditor-Controller will continue assisting DCSS in resolving its immediate problems and in establishing a sound fiscal and administrative infrastructure.

Recent Events

The recently issued 2003-04 Los Angeles County Grand Jury report contained a study on the County's management of its Domestic Violence programs. A portion of the study included findings and recommendations for improving DCSS' Domestic Violence Unit. In addition, DCSS began a Department-wide sexual harassment training program.

Department's Response

The Department's response is attached. It recognizes the various weaknesses within the Department and the urgent need for change. It further notes that the Department has begun to take steps to address many of the cited weaknesses and will work to implement corrective actions.

If you or your staff has questions regarding this report, please call me or have your staff contact DeWitt Roberts at (626) 293-1101.

JTM:DR
Attachments
c: David E. Janssen, Chief Administrative Officer
Cynthia Banks, Chief Deputy, DCSS
Bryce Yokomizo, Director, DPSS
Michael J. Henry, Director, DHR
Jon Fullinwider, Chief Information Officer
Raymond G. Fortner, Interim County Counsel
Audit Committee
Social Services Deputies
Public Information Office

CYNTHIA D. BANKS
Chief Deputy Director

COMMUNITY AND SENIOR SERVICES OF LOS ANGELES COUNTY

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"To Enrich Lives Through Effective And Caring Service"

BOARD OF SUPERVISORS

GLORIA MOLINA
YVONNE BRATHWAITE BURKE
ZEV YAROSLAVSKY
DON KNABE
MICHAEL D. ANTONOVICH

July 9, 2004

To: Supervisor Don Knabe, Chairman
Supervisor Gloria Molina
Supervisor Yvonne B. Burke
Supervisor Zev Yaroslavsky
Supervisor Michael D. Antonovich

From: Cynthia D. Banks (Original Signed)
Chief Deputy Director

Subject: **DEPARTMENT OF COMMUNITY AND SENIOR SERVICES MANAGEMENT AUDIT REPORT**

The management audit report prepared by blueCONSULTING, Inc., identifies various weaknesses within the Department of Community and Senior Services (CSS). It also acknowledges the urgent need for change.

CSS programs provide vital services to county residents. It is imperative that the administration of these programs be strengthened to allow for more effective service delivery and improved accountability.

The Department has begun to take steps to address many of the cited weaknesses and will work with your Board to implement corrective actions that will enable the county to better serve its residents.

I am available to discuss this matter at your convenience or you may contact Pat Senette-Holt at (213) 738-2065.

Office of the Auditor-Controller
Management Audit of the
Department of Community & Senior Services

Final Report

submitted July 2, 2004 to

J. Tyler McCauley
Auditor-Controller
County of Los Angeles

blue
CONSULTING a clear perspective

Office of the Auditor-Controller
Management Audit of the
Department of Community & Senior Services
Final Report—Table of Contents

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Due to the volume of data, the appendixes are not attached. However, copies of the appendixes are available upon request.

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Office of the Auditor-Controller
Management Audit of the
Department of Community & Senior Services
Final Report

I. Executive Summary

A. Introduction and Background

The Los Angeles County Department of Community and Senior Services (CSS) has suffered from a number of high visibility problems in the last several years. Several top managers have resigned unexpectedly after having been questioned about fraud or lack of management oversight in some of the programs offered by CSS and after strong criticism from members of the Board of Supervisors. Additionally, several external audits have criticized the Department for a variety of issues ranging from fiscal control to management oversight, and employees have been very vocal about problems within the Department to the Board of Supervisors and the media.

The Auditor-Controller hired blueCONSULTING, INC. (blueCONSULTING) to conduct a limited scope management audit of the Department to assess its management, leadership, strategic planning process and administrative processes. A further desire by the Auditor-Controller is to determine whether the existing programs offered by CSS should continue to be offered or whether there may be opportunities to enhance service delivery by moving some programs to other County departments. This report provides our evaluation of CSS. A listing of all findings and the recommendations that address them are presented in Exhibit 1 at the end of this chapter.

B. Project Scope

The scope of this management audit emphasizes the internal structure of the Department: its mission and organizational structure; development and implementation of the Strategic Plan and other planning efforts; the performance of key functions; and the efficiency and effectiveness of fiscal and operational policies and procedures. *The evaluation of programs and services delivered by the community-based organizations (CBOs) with which CSS contracts is outside the project scope.* For example, blueCONSULTING has not interviewed CBO managers, observed CBO operations, queried County customers (end-users) or otherwise evaluated or appraised the quality or effectiveness of the services received by eligible County residents through the myriad programs provided by more than 250 CBOs.

blueCONSULTING also conducted a limited benchmarking study of other regional social service agencies that are responsible for functions comparable to those performed by CSS.

C. Highlights of Major Findings

The Department is very fortunate to have many (in fact, most) employees who are passionate about the work they perform and the services they render to some of the more vulnerable

residents of the County. These employees work hard and are committed to improving the lives of those they serve, including the elderly, refugees, potentially dislocated workers, and victims of domestic abuse. In spite of this, the Department is dysfunctional, not only because of the lack of synergy among its programs and services, but because the Department's culture, management, and leadership do not support a cohesive, professional, effective, or productive environment. In many cases, CSS has not provided the appropriate level of management support and oversight that employees deserve. Management's job should be to provide a work environment that is supportive of employees' needs, fair and equitable, and protective of employees. Leadership, direction, and oversight, as well as reward and discipline are the cornerstones of a well-run organization. Management (as a whole, not necessarily all individual managers) has not performed these functions effectively. This has led to an organizational culture based on inconsistent implementation of work rules, perceived favoritism in promotions, lack of accountability for program effectiveness and results, and lack of communication between and among the various branches and functions. Management weaknesses have been exacerbated by organizational growth that has brought in functions and programs that lack synergy and over which management has not been able to develop and implement basic management controls.

Furthermore, based on the benchmarking of comparable social service agencies, CSS is unique in that it combines services for seniors with workforce development services for the general community. This broad, all-inclusive mission has also had a negative impact on the Department's ability to focus on high quality management and delivery of services.

The problems facing the Department are not because employees and managers have not tried to do the right thing. On the contrary. Many have tried to do the right thing only to be rejected by management or not supported by management. This has led to unqualified personnel who are trying to improve the organization but, due to lack of background and training, have done so in a disruptive and unproductive manner. These are leadership and management problems… not employee problems. Therefore, the solution to these problems is through effective leadership and increased accountability.

D. Summary of Recommendations

Our audit has revealed and confirmed that CSS has lost credibility with the Board of Supervisors, the public, and various stakeholders due to lack of leadership, lack of accountability, poor program management, and problems with program monitoring and funding. Given the ingrained culture within most areas of the Department, it is our conclusion that only a major restructuring and refined focus driven by strong leadership will correct the situation. blueCONSULTING recommends that the Department focus on a single aspect of its current mission – meeting the needs of vulnerable adults and seniors. We believe that this constituency will only grow in number and needs and that a continued separate County Department is justified. Numerous recommendations are made in this report that will encourage a "return to basics" as a management philosophy focusing on a smaller organization. It is our hope that once the basics are in place, the Department could grow to provide additional services currently offered to

seniors in other County departments, but that the growth will be controlled and that new programs or services will have synergy with the overall mission of serving seniors.

Exhibit 1 provides a listing of all findings and the recommendation that address the findings. There is not a one-to-one correlation between findings and recommendations because the recommendations are more general in nature than the findings. (Please note: The page numbers of each finding and recommendation are in parentheses.)

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Related Recommendation(s)
Mission	
Finding #1: The Department's mission does not reflect a strategic determination of programs and services. (p43)[1] Finding #2: The core mission of the Department has grown over the last ten years, is very broad, and contributes to a loss of focus of the Department. There are numerous opportunities for existing functions to be performed in other County Departments, but whether or not this should occur is dependent on the desired mission of the Department. (p44)	Recommendation #1: The Board of Supervisors should consider divesting itself of all programs and services not directly related to meeting the needs of the County's aging population. (p78) Recommendation #2: Implement a "return to basics" planning process to redefine the Department's mission and develop a culture of responsibility and accountability. (p79)
Culture, Management, and Leadership	
Finding #3: There is a lack of appropriate leadership and accountability at all levels of the organization: (p51) Finding #4: The CSS culture and lack of management action leads to a work environment that is not conducive to highly productive employees. (p51) Finding #5: Organizational silos result in little synergy, communication, or teamwork between Department branches and functions. (p51) Finding #6: Some CSS managers lack a fundamental understanding of budgets, fiduciary responsibility for grant funds, and grants administration. (p52) Finding #7: Lack of comprehensive program management is institutionalized at CSS. (p52)	Recommendation #3: Establish a Code of Professional Work Conduct. (p80) Recommendation #4: Develop and implement basic decision-making and approval protocols to ensure appropriate accountability and delegation of responsibility. (p80) Recommendation #5: Standardize preparation of Board letters to improve quality, consistency, and timeliness. (p80) Recommendation #6: Review the need for, potential overlap and overall effectiveness of the various commission, committees and task forces at work in the Department and ensure that they provide appropriate and specific leadership and advice as mandated by law and as desired by the Board of Supervisors. (p80)

[1] Number in parentheses refers to the page number in this document of each finding or recommendation.

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Related Recommendation(s)
Culture, Management, and Leadership continued	
Finding #8: Staff and management are demoralized by recent management and program problems that are often not fully resolved. (p53) Finding #9: Lack of effective contract monitoring is linked to lack of management and leadership, rather than to a shortcoming in the organizational structure. (p53) Finding #10: Program effectiveness and quality are not Department priorities. (p54) Finding #11: Personnel problems are ignored or tolerated. (p54) Finding #12: The process of preparing Board letters is not understood or followed in the Department. (p55)	
Strategic Planning	
Finding #13: The 2003-2005 Strategic Plan is motivational and visionary versus concrete and directive, and lacks clear accountability for plan implementation. (p55) Finding #14: Planning is used to "buy time" to resolve difficult situations. (p56) Finding #15: The programs and services listed in the Strategic Plan differ from those in the approved budget and other documents reviewed during this audit. (p56) Finding #16: Administrative processes do not link strategies to operations. (p56)	(See Recommendation #2 above)
Organizational Structure	
Finding #17: The Department lacks an accurate organizational chart. (p57) Finding #18: The current division of functions by branch does not effectively reflect programs, services, or target client populations. (p59)	Recommendation #7: Restructure the Department to have branches for administrative services, contract management, and senior services. (p81)

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Recommendations
Management and Staff Qualifications	
Finding #19: Lack of comprehensive training and inappropriate assignments have resulted in unqualified personnel in some positions. (p62) Finding #20: Managers and supervisors throughout the Department lack such "strong manager" attributes as leadership, effective communication and interpersonal skills, appropriate delegation, and accountability. (p62)	(See Culture, Management and Leadership recommendations, above, Human Resources recommendations, below.)
Communication	
Finding #21: General staff meetings are not routinely conducted. (p63) Finding #22: Many do not attend mandatory meetings. (p64) Finding #23: Lack of email for many staff at remote locations thwarts use of the Department intranet for Department-wide communication. (p64) Finding #24: There are numerous commissions and committees that require substantial time and energy from CSS personnel. (p64) Finding #25: Commission and council activities may not contribute meaningfully to CSS operations. (p66)	Recommendation #8: Develop and implement Department-wide communication policies and practices. (p82)
Fiscal and Contract Management	
Finding #26: Inadequate fiscal policies have resulted in ineffective allocation of resources and left the Department vulnerable to perceived or actual abuse. (p66) Finding #27: Monitoring functions are decentralized within the Department, although there has been a recent attempt to centralize certain functions both within branches and the Department. (p68) Finding #28: Ineffective contract monitoring at CSS reflects a lack of accountability and supervision, rather than an inappropriate organizational structure, span of control, or chain of command. (p68)	Recommendation #6: Review the need for, potential overlap and overall effectiveness of the various commission, committees and task forces at work in the Department and ensure that they provide appropriate and specific leadership and advice as mandated by law and as desired by the Board of Supervisors. (p80) Recommendation #9: Review existing recommendations for sound accounting, cost allocation, and other fiscal policies and practices. Establish priorities and develop a timeline for implementation. (p82)

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Recommendations
Fiscal and Contract Management continued	
Finding #29: Recently (January 2004), about five top managers of the Department met to draft a plan for centralizing Contracting and Monitoring into one unit, but that plan has not been fully implemented. (p69) Finding #30: The cost allocation method utilized by the Department is inappropriate and has not been modified, despite audit recommendations. (p70) Finding #31: Some personnel may be inappropriately charged to programs to which they are not assigned. (p70)	Recommendation #10: Define and implement four distinct components of effective contract management: contract development, program management, contract compliance, and contract auditing. (p83)
Information Technology	
Finding #32: Existing technology opportunities are not adequately utilized. (p70) Finding #33: Information technology resources and training are not equitably distributed throughout the Department. (p70) Finding #34: IT projects have not been completed on a timely basis and it is difficult to understand the current status of any attempt at Information Technology enhancements based on information provided in the various Service Requests. (p71) Finding #35: Centralized and decentralized information technology functions are not well integrated. (p73)	Recommendation #11: Evaluate outstanding IT projects, establish priorities, and formalize an IT plan and timeline. (p84)

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Recommendations
Human Resources	
Finding #36: The personnel management processes within the Department are perceived as perhaps the largest problem confronting the Department. (p73) Finding #37: Excessive use of out-of-class and acting nomenclature and the inconsistent payment of out-of-class bonuses indicate an inappropriate and inconsistent application of human resources policies. (p74) Finding #38: The wide spread lack of accountability at CSS as well as poor resolution of personnel problems contributes to perceptions that hiring and promotion decision are based on factors other than qualifications. (p75) Finding #39: A hiring and promotion audit conducted the DHR in 2002 revealed numerous infractions of County hiring policies and procedures. (p75) Finding #40: Training within CSS is decentralized and not consistent, leading to numerous examples of personnel in positions without proper training. (p75) Finding #41: Although most managers are trying hard to perform their functions, many managers have not been provided the proper level of training to effectively perform their jobs. (p76) Finding #42: Training at CSS has been inadequately tracked. (p77) Finding #43: Few CSS employees have completed critical training in such areas as sexual harassment, ethics, and discrimination. (p77) Finding #44: Attendance by too few individuals reduces organizational impact. (p77)	Recommendation #12: Evaluate Human Resources policies to ensure internal equity, fairness, and integrity in hiring, promotions, and salary adjustments. (p85)

E. Report Organization

This report is organized into six chapters and seven appendixes:

I Executive Summary (this chapter)
II Introduction
III Department Profile
IV Comparison with Other Social Service Agencies
V Audit Findings
VI Conclusions and Recommendations

Appendixes (under separate cover)

A Interview Participants
B Abbreviations and Acronyms
C 2003-2005 Strategic Plan
D Councils and Commissions
E Program Funding Matrix
F Audit Reports
G Training

II. Introduction

This report presents the results of a "limited scope" management audit of the County of Los Angeles Department of Community and Senior Services (CSS) on behalf of the County Auditor-Controller.

A. Project Objectives

blueCONSULTING, INC. (blueCONSULTING) performed this audit to achieve the deliverables identified in the project Statement of Work, including:

- Department profile, including the mission, goals, objectives, regulations, business processes and workload targets, indicators, and measures.
- Current organizational chart, including validated reporting relationships, level of assigned personnel, and number of full-time equivalent (FTE) employees.
- Analysis of alternative organizational structures:
  - ⇒ Are organizational units and programs are best placed in CSS or should they be aligned with other County departments?
  - ⇒ Is the placement in the organizational hierarchy appropriate for each function and program?
  - ⇒ Are multiple units performing similar tasks that could be combined to improve effectiveness and efficiency?
  - ⇒ Should some functions be decentralized or distributed among branches to increase accountability or customer service?
- Analysis of Department communication:
  - ⇒ Are communication channels and approaches adequate to promote the understanding of Department-wide purpose, values, and goals?
  - ⇒ Does internal communication foster teamwork?
  - ⇒ Analysis of Department management:
  - ⇒ Do managers have sufficient training and/or experience to perform their jobs?
  - ⇒ Do reporting relationships and spans of control adequate promote effective management control, communication, and accountability?
- Analysis of Department planning:
  - ⇒ Does the Department's Strategic Plan effectively provide a clear vision of the Department's direction?
  - ⇒ Are short-term goals developed and communicated throughout the Department?
  - ⇒ Are strategic and operational goals and objectives feasible?
  - ⇒ Are practices in place to ensure implementation of strategic goals and objectives?
  - ⇒ Is there a system in place to ensure accountability for performance and achievement of strategic and operational goals and objectives that includes measurements, monitoring, independent verification, and reporting to stakeholders?

- Analysis of Personnel management, policies, and procedures and identification of root causes for personnel problems:
  - ⇒ Are staff qualified to perform the jobs to which they are currently assigned?
  - ⇒ Which functions, if any, are understaffed?
  - ⇒ How effective are practices and procedures for recruitment, training, evaluation, staff allocation, and retention?
  - ⇒ Is there excessive turnover?
  - ⇒ Is there compliance with performance evaluations and MAPP?
  - ⇒ Are MAPP goals and subordinate managers' goals integrated with high level strategic and operational goals and objectives?

Specifically excluded from this management audit was any review of the actual effectiveness or quality of the various programs provided by or managed by the Department, or the level of customer service provided to the various constituencies of the Department.

B. Approach and Methodology

blueCONSULTING's approach to this limited scope management audit included:

- Document request
- Review and analysis of documents
- Interviews with senior management and other selected staff (see Appendix A)
- Interviews with external stakeholders, including Board of Supervisor deputies, other County department personnel, members of commissions, etc.
- Review of letters submitted by additional personnel, some of which were anonymous
- Interviews with additional personnel who requested confidential interviews

A list of commonly used abbreviations and acronyms is presented in Appendix B.

Document Request, Review and Analysis

Our initial document request included organizational charts, budgets, plans, program descriptions, training records, etc.

The blueCONSULTING team read and analyzed the numerous documents provided by CSS management and staff, including additional documents requested during the course of the project. These documents provide the quantitative background for our observations and findings.

Interviews

We conducted confidential interview with more than 50 individuals during the course of this audit, including:

- Managers (Chief Deputy, Assistant Directors, and Program Managers)
- Selected staff, as necessary, to follow up on specific items

- Deputies to the Board of Supervisors
- 1st District Supervisor Gloria Molina
- Representatives of other County departments who interact with CSS, including Department of Public Social Services (DPSS), Department of Mental Health (DMH), Community Development Commission (CDC), Department of Consumer Affairs, and the Chief Administrative Office (CAO)
- CSS-related commission chairs or presidents
- Nineteen employees who requested confidential interviews

Confidential Correspondence

We solicited confidential input from all CSS employees who wanted the opportunity to provide input into the audit. As a result of a memo sent to all employees, we received more than 40 letters, faxes, or emails, about one third of which were anonymous. We contacted all individuals who provided their names and contact information and arranged for in-person or telephone interviews.

III. Department Profile

Excluding the City of Los Angeles, seniors (55 and up) make up about 27% of the County residents, which is projected to increase by over 70% in the next ten years. In addition, 18% of the population and 14% of families are below the poverty line[2] and are eligible for a variety of services. Chapter III presents a profile of the Department whose mission is to meet the needs of these County residents.

A. CSS 2003-2005 Strategic Plan

CSS participates in strategic planning, as mandated by the Board of Supervisors. Working with an external consultant, the CSS 2001-2003 Strategic Plan was most recently updated in June 2003. This section presents information provided in the Department's 2003-2005 Strategic Plan, including the mission, vision, and values and a summary of the Plan's goals and objectives[3]. A copy of the 2003-2005 Strategic Plan is in Appendix C.

Mission, Vision, and Values

It is the mission of CSS to provide comprehensive human services to residents of Los Angeles County in partnership with communities, businesses, and public and private agencies. According to the 2003 Strategic Plan and the Department website, the mission of CSS is to:

- Assist residents in obtaining self sufficiency.
- Strengthen and promote the independence of older persons.
- Provide employment and training for unemployed adults, displaced workers, seniors and young people.
- Protect and assist adult victims of abuse.
- Assist refugees in resettlement and becoming self sufficient.
- Provide safety and security for domestic violence victims.
- Develop services that are needed within local communities.

The Department's vision is stated as follows:

> *We will be an exemplary organization acclaimed for our national reputation, our regional strength, and our community partnerships and collaborations as we provide high quality human services to protect and improve the social and economic well being of the residents of Los Angeles County.*

Furthermore, in a preface to the 2003-2005 Plan, the former Director asserts that:

[2] Source: http://www.fact-index.com/l/lo/los_angeles_county__california.html#Demographics

[3] CSS 2003-2005 Strategic Plan, CSS website

We have sharpened our strategic focus as we move forward with this update to our plan. We will aggressively, creatively and in the collaborative manner that has served us so well thus far, focus our strategic efforts on:

- *Implementing the County's Long Term Care Strategic Plan.*
- *Implementing the newly redesigned Independent Living Program.*
- *Expanding our aggressive efforts in comprehensive program monitoring in collaboration with the Auditor-Controller.*
- *Achieving organizational renewal and revitalization.*
- *Leveraging information technology and existing information technology resources.*
- *Building new and strengthening existing partnerships.*
- *Developing among the staff the skills needed in our challenging future.*
- *Ensuring proactive and comprehensive communication with and among our clients, stakeholders and partners on matters relevant to community and senior services.*

CSS Values

As stated, "*Our values define how we will treat our clients, partners, stakeholders, employees and any organization or individual with whom we have contact.*" The CSS values are presented in Exhibit 2.

Exhibit #2: CSS Values (2003-2005 Strategic Plan)

- A Can-Do Attitude: We will focus on what can rather than what cannot be done.
- A Client Focus: We will always view our services and the way they are provided through the eyes of our clients.
- Accountability: We will take responsibility for all we say and do.
- Collaboration: We will be exemplary in teamwork, cooperation and service integration.
- Commitment: We will do what we say we do, when, and in the way we say we will do it.
- Compassion: We will treat with respect those less fortunate and less able. Everything we do will demonstrate we truly care.
- Integrity: We will be relentless in standing up for what is right.
- Professionalism: Everything we do will be done at the highest possible levels of performance. We will aspire to be a model for other organizations of our kind.
- Respect for Diversity: We value our diverse clients, partners, stakeholders and employees and will create a work environment that is free of prejudice and discrimination.
- Responsiveness: We will be responsive in the way our clients, partners, stakeholders and employees value it.

Strategic Plan Goals and Objectives

The following goals are linked to the County-wide strategic plan.

- **Goal 1: Service Excellence.** Provide the public with easy access to quality information and services that are both beneficial and responsive.
- **Goal 2: Workforce Excellence.** Enhance the quality and productivity of the County workforce.

- **Goal 3: Organizational Effectiveness.** Ensure that service delivery systems are efficient, effective and goal oriented.
- **Goal 4: Fiscal Responsibility.** Strengthen the County's fiscal capacity.
- **Goal 5: Children and families' well being.** Improve the well-being of children and families in Los Angeles County as measured by the achievements in the five outcome areas adopted by the Board: good health; economic well-being; safety and survival; social and emotional well being; and educational/workforce readiness.

B. Legislation and Funding

As shown in Exhibits 3 and 4, CSS programs and services are funded by a variety of federal and State of California sources, and through Memoranda of Understanding (MOUs) with other County departments and agencies (who in turn are funded by federal, state, or other funding sources).

Exhibit #3: Summary of Legislation and Funding Sources

	Federal	State	Program/ Population Served
California Department of Aging Linkages		✓	Seniors with disabilities
California SB 2199		✓	Adult Protective Services
Community Service Block Grant Program	✓		Various programs that expand or enhance already existing community services, including Adult Protective Services
Older Americans Act	✓		State and Area Agency on Aging Senior Centers
Older Californians Act		✓	Alzheimer's Day Care Resource Centers Linkages services Senior Companion Program Brown Bag Respite Program
Refugee Act	✓		Employment social services Refugee Targeted Assistant
Workforce Investment Act	✓		Employment, training, and other workforce readiness programs and services for youth, adults, and dislocated workers

Exhibit #4: Summary of MOUs with Other County Departments

CSS MOUs with Other County Departments	Program/ Population Served
Consumer Affairs Department	Fraud recover and prevention for APS clients
County Public Library	Kiosk system
Department of Children and Family Services (DCFS)	Foster Youth Independent Living Skills Enhancement Program
Department of Health Services (DHS)	Healthcare Workforce Development Medical Intervention Proposition 36 Substance Abuse and Crime Prevention Act

Exhibit #4: Summary of MOUs with Other County Departments

CSS MOUs with Other County Departments	Program/ Population Served
Department of Mental Health (DMH)	Public Guardian Genesis
Department of Public Social Services (DPSS)	CalWORKs[4] Long Term Family Self-Sufficiency CalWORKs Youth Jobs CalWORKs Refugee Immigrant Training and Employment Program (RITE) General Relief Opportunities for Work (GROW)
District Attorney (DA)	Elder Abuse Prosecution Support Program
Internal Services Department (ISD)	Foster Youth Trades and Crafts Apprenticeship Program
Probation Department	Adult and Youth Training Projects
Integration of funding from Older Americans Act, California Department of Aging, California Department of Social Services, and disabled parking violation fees	Integrated Care Management Project

A brief description of federal and state programs is described below.

Federal Legislation

Community Service Block Grant Program (CSBG)

The federal Omnibus Budget Reconciliation Act of 1981 created the CSBG program to help eliminate the causes of poverty. The CSBG program is designed to provide, through its funding stream presented in Exhibit 5, a range of services to assist low-income people in attaining the skills and motivation necessary to achieve self-sufficiency. The program also provides low-income populations life necessities such as food, shelter, and health care. Services are also provided to communities for the revitalization of low-income communities, the reduction of poverty and to help public agencies to build capacity and develop linkages with other community resources. Services provided with CSBG funds must contribute to one or more of the six goals developed by the National CSBG Monitoring and Assessment Task Force:

- Low-income people become more self-sufficient.
- The conditions in which low-income people live are improved.
- Low-income people own a stake in their community.
- Partnerships among supporters and provider of services to low-income people are achieved.
- Agencies increase their capacity to achieve results.

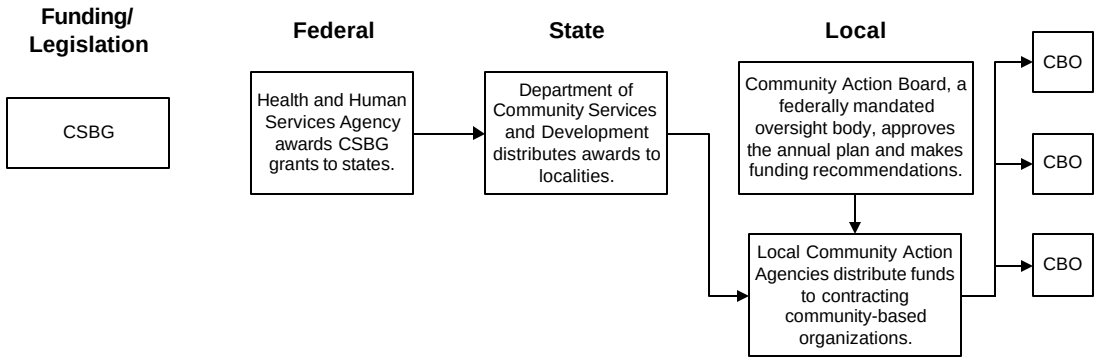
[4] The *CalWORKs* program provides temporary financial assistance and employment focused services to families with minor children who have income and property below State maximum limits for their family size. Most able-bodied aided parents are also required to participate in the CalWORKs L.A. GAIN employment services program. (Source: www.ladpss.org/dpss/calworks/)

- Low-income people achieve their potential by strengthening family and other supportive systems.

CSBG program funds are allocated to the State's existing network of action agencies and other eligible entities. In 2003, the federal Department of Health and Human Services awarded a $57.3 million CSBG Grant to the state Community Services Department, California's state anti-poverty agency. The CSD is the state-level partner that is responsible for distributing the CSBG funds to local Community Action Agencies. Approximately 1.7 million low-income individuals were served, representing about 35.8% of California's low-income population. This is a formula-based grant and is not competitive. Eligible client households must meet 100% of the United States Department of Health and Human Services income poverty guidelines.

The Community Action Board is a federally mandated oversight body, which approves the annual plan and makes funding recommendations for the CSBG agency funding. The CAB is a tripartite body of 15 members: five public sector members appointed by each Board of Supervisor's office, five private sector member organizations, and five poverty sector members.

Exhibit #5: CSBG Funding Stream



Workforce Investment Act (WIA)

The federal Workforce Investment Act of 1998 provides the framework for a national workforce preparation and employment system. This system is intended to be customer-focused, and to help Americans access the tools they need to manage their careers. The system is also intended to help companies find the skilled workers they need to compete and succeed in business. By Executive Order, Governor Gray Davis established the California Workforce Investment Board to advise and assist in planning, coordinating and monitoring the provisions of California's workforce development programs and services. All members of the Board are appointed by the Governor and represent the many facets of workforce development: business, labor, public education, higher education, economic development, youth activities, employment and training, as well as the Legislature.

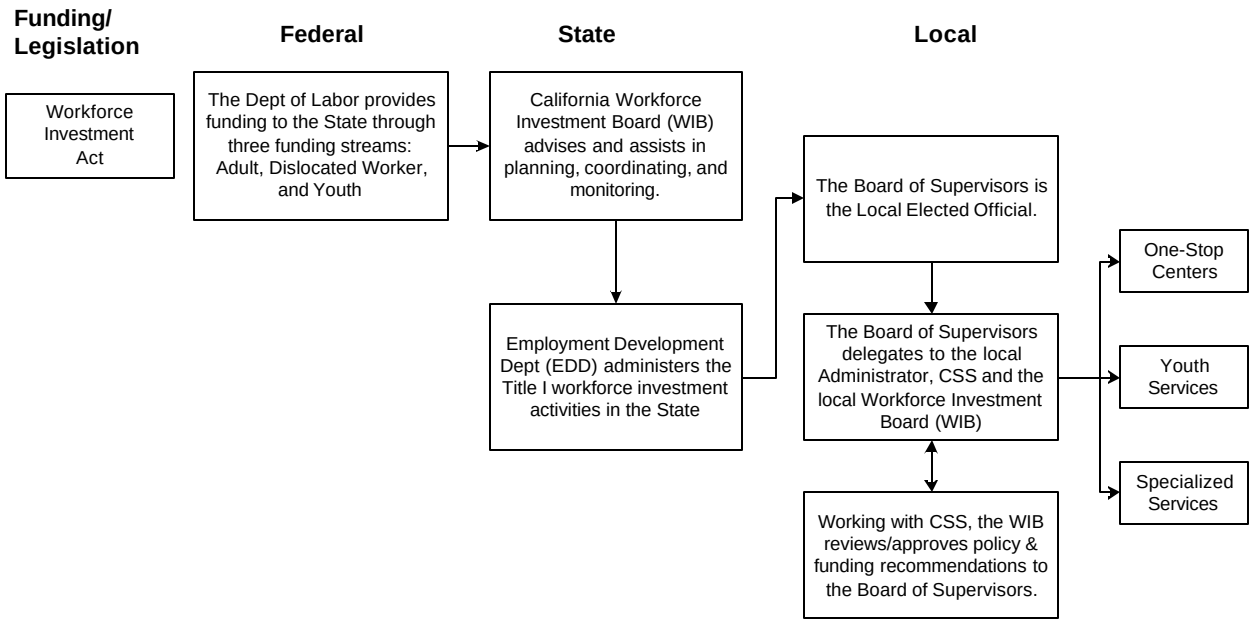
Under the policy guidance of the CWIB, the state Employment Development Department (EDD) administers the Title I workforce investment programs throughout the State. They are

responsible for the State-level daily administration of the WIA funds for adults, displaced workers and youth. EDD works in cooperation with Local Workforce Investment Areas (LWIAs). These local WIAs are comprised of units of local government and are designated by the Governor based on population and commonality of the labor market. Each local WIA is administered by a local Board certified by the State and comprised of representatives from private sector businesses, organized labor, community-based organizations, local government agencies, and local education agencies. Local WIBs designate the One-Stop operators, provide policy guidance, and oversee the job training activities within their local areas.

Title I of WIA authorizes and funds a variety of state employment and training programs. These programs help to prepare Californians to participate in the State's workforce by increasing their employment and earnings potential, improving their educational and occupational skills, and reducing their dependency on welfare in some cases. Workforce investment activities authorized by WIA are provided to serve two primary customer groups: job seekers (including dislocated workers, youth, incumbent workers and new entrants to the workforce) and employers.

As shown in Exhibit 6, the WIA funding stream provides services, WIA services are provided through a one-stop delivery system. One-Stop centers provide a comprehensive range of services, including employment, training and education services for job seekers, and comprehensive employer services, including resources for placing job orders and obtaining referrals, labor market data, information/referral on training resources, and business assistance.

Exhibit #6: WIA Funding Stream



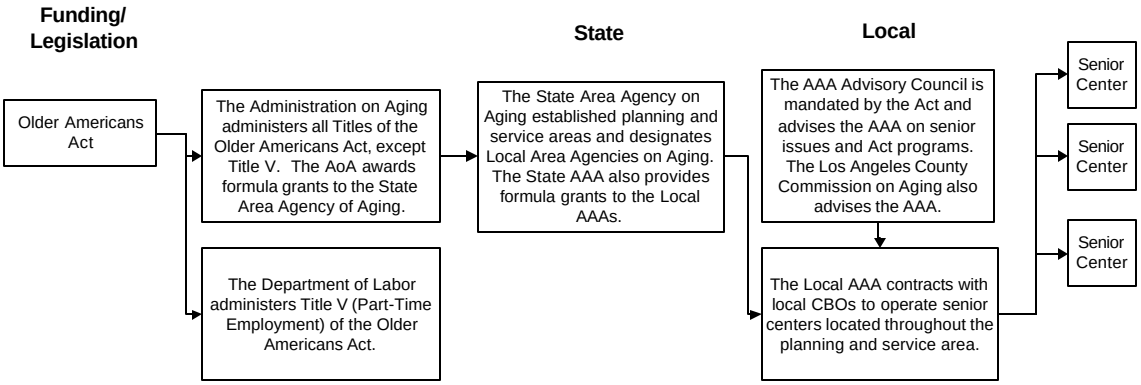
Older Americans Act

The Older Americans Act was originally signed into law by President Lyndon Johnson in 1965. In addition to creating the federal Administration on Aging, it authorized grants to states for community planning and services programs, as well as for research, demonstration and training projects in the field of aging. There were amendments to the Act that added grants to Area Agencies on Aging for local needs identification, planning and funding of services, including nutrition programs in the community and for the homebound elderly; services targeted at low-income minority elders; health promotion and disease prevention activities; in-home services for frail elders; and those services which protect the rights of older persons such as the long term care ombudsman program. The funding stream for the Older Americans Act is provided in Exhibit 7 on the following page.

Public Law 106-501extends the Act's programs through FY 2005. The reauthorized Act contains an important new program, the National Family Caregiver Support Program, which aids family members who are struggling to care for their older loved ones who are ill or who have disabilities. Under this program, state agencies on aging work with local area agencies on aging and community and service provider organizations to provide support services, including information and assistance to caregivers, counseling, support groups and respite and other home and community-based services to families caring for their frail older members.

Title II of the Act established the Administration on Aging within the Department of Health and Human Services. The Administration's duties include serving as an effective and visible advocate for older individuals; collecting and disseminating information related to the problems of the aged and aging; administering grants; conducting program evaluations; providing technical assistance and consultation to states; and stimulating more effective use of existing resources.

Exhibit #7: Older Americans Act Funding Stream



Title III discusses the administration of grants for state and community programs on aging, and is the largest program under the Act. Title III describes the responsibilities and requirements for State and Area Agencies on Aging. It is through the programs and structures established by this title that most of the money is authorized and legislative detail is found. The State Area Agency on Aging is responsible for dividing the State into distinct planning and service areas (PSA) and designating an Area Agency on Aging (AAA) for each area. The State Agency on Aging must also carry out a Long-Term Care Ombudsman program and guidance related to disaster relief. The AAA is responsible for assessing the needs of older persons within their PSA. Each AAA is required to provide assurance that an adequate proportion of funds allocated to the PSA under Title III-B will be expended for the delivery of each of the following categories of services: access, in-home and legal assistance. The AAA must also establish an advisory council consisting of older persons to advise the agency on area plan development, administration and operation. Services included under Title III are: senior centers, supportive services (health, transportation, information and assistance, housing, long-term care, legal assistance, employment services, crime prevention), congregate meal and home delivered nutrition services, disease prevention and health promotion services, and the National Family Caregiver Support Program.

Title IV provides for training, research, and discretionary projects and programs. Title V's purpose is to foster and promote useful part-time opportunities in community service activities for unemployed low-income persons who are 55 years old or older and who have poor employment prospects. Title V is administered by the Department of Labor, not the Administration on Aging. Title VI provides for grants for Native Americans. Title VII protects and enhances the rights and benefits of vulnerable older people through its elder rights activities, which include the ombudsman program: prevention of Elder abuse, neglect and exploitation; and the legal assistance development program.

Refugee Act of 1980

This Act created two sources of federal funding for refugees. These sources of funding consisted of the Refugee Employment Social Services and Refugee Targeted Assistance funds. The funds are to be used for services to refugees who have resided in the United States five years or less.

State Legislation

Older Californians Act

The Older Californians Act is the state companion of the federal Older Americans Act. It provides for the following services:

- **Linkages Case Management Program** provides care and case management services to frail elderly and functionally impaired adults to help prevent or delay placement in nursing facilities.

- **Alzheimer's Day Care Resource Center Program** provides access to specialized day care resource centers for individuals with Alzheimer's disease and other dementia-related disorders and support to their families and caregivers.
- **Senior Companion Program** provides personally meaningful volunteer community service opportunities to low-income older individuals for the benefits of adults who need assistance in their daily living.
- **Brown Bag** provides opportunities for sponsors and volunteers to glean through excess food stuffs that are donated and distribute bags of food to help meet the nutritional needs of low-income older individuals.
- **Respite Program** provides temporary or periodic services for frail elderly of functionally impaired adults to relieve persons who are providing care. Respite purchase of service and respite registry are two components of this program.
- The Older California Act of California also established the **Area Agency on Aging Advisory Council**. The mission of the Advisory Council is to promote communication and collaboration among local advisory councils. It also works to:
  - ⇒ Educate through the exchange of information, ideas, trends, and models of service delivery.
  - ⇒ Advocate on issues of concern in local/state planning processes.
  - ⇒ Strengthen the advocacy effectiveness and leadership skills of local advisory councils.

The Advisory Council is funded primarily through taxpayer contributions to the California Seniors Special Fund (line 52 on most California tax returns for the 2003 tax year). The funds are administered through the California Commission on Aging.

SB 2199

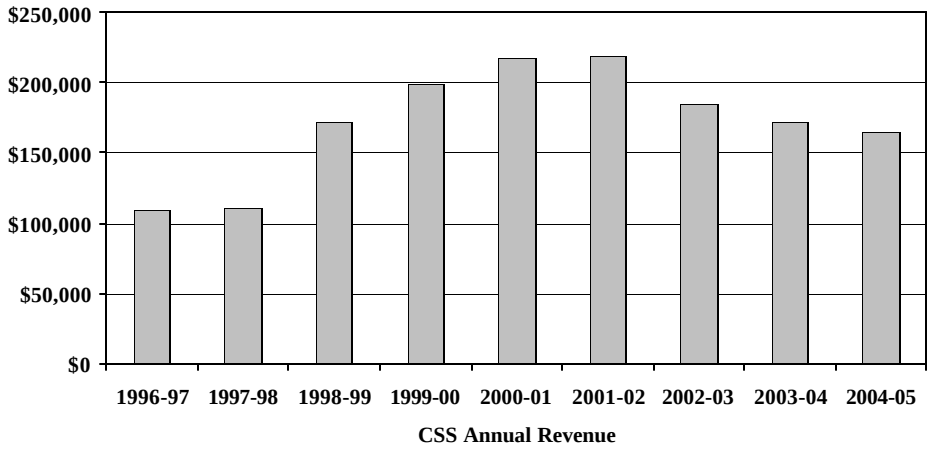
Prior to the implementation of SB 2199 in May 1999, Adult Protective Series (APS) was minimally funded and there were few statewide mandates or standards. SB 2199 created a statewide APS Program with statewide minimum standards. SB 2199 expanded the definition of mandated reporters to include any person who has assumed full or intermittent responsibility for the care or custody of an elder or dependent adults. APS agencies are also required to respond to and investigate all reports of physical abuse, financial abuse, neglect (including self-neglect), abandonment, isolation and abduction. APS agencies are also required to operate a 24-hour emergency response system that provides in-person responses 24 hours a day, seven days a week. The 24-hour system allows counties to provide immediate intake or intervention for new reports involving immediate life-threats and to respond to critical situations in existing cases. APS agencies are also required to provide case management services that include investigation, assessment of individual limitations, strategies for stabilization, linkage to community services, monitoring and reassessment. Prior to SB 2199, counties were not required to conduct case management services.

The APS Program has been funded under the CSBG Program since 1984. APS is currently funded by the APS appropriation provided by SB 2199 and partially by the CSBG appropriation.

C. Department Revenue

The Department is almost entirely dependent on grant funding from the federal and state sources described above. After peaking in fiscal year 2001-2002, with annual revenue of $219.4 million, CSS revenue has begun to decline, with anticipated 2004-05 revenue of $164.7 million. The following exhibit illustrates CSS revenue trends.

Exhibit #8: CSS Revenue Trend 1996-07 through 2004-05



D. CSS Programs and Services

CSS provides some very valuable programs and services to constituents of Los Angeles County who are among the most vulnerable. This section presents a brief description of each program or service provided by CSS[5], either directly, or indirectly through contracts with CBOs. They have been listed in three broad categories:

- Aging and Senior Services
- Community Services for the general community
- Workforce Development for the general community, dislocated workers, refugees, and youth

In fiscal year 2003-04, CSS had approximately 474 contracts with approximately 260 CBOs. Exhibit 9 lists all programs by the population they serve: the general community, dislocated workers, refugees, seniors, and youth.

[5] Source: 2003-2004 Budget, 2003-2005 Strategic Plan, and additional information from confidential interviews

Exhibit #9: Summary of CSS Programs & Services

Branch	Division	Program/Service
		Community
Aging	APS	CalWORKs Supportive Services, Domestic Violence services
Aging	APS	Domestic Violence Program for GROW participants
Aging	APS	Emergency Shelter
Aging	Community Service Centers	Community Service Centers
Aging	Community Service Centers	Family Care Giver Support Program/60+
Aging	CSBG	Community Services programs
Aging	CSBG	Dispute Resolution Program
Aging	CSBG	Traffic Safety
E&T	Indian Commission	LA City/County Native American Indian Commission
E&T	WIA Adult	WtW (discontinued)
E&T	WIA Adult	WIA E&T Adult Program
		Dislocated Workers
E&T	Special Programs	Healthcare Workforce Development
E&T	Special Programs	Private Industry Network Aerospace (PAN) (discontinued)
E&T	Special Programs	Project Phoenix
E&T	Special Programs	Rapid Response & Actors Fund
E&T	WIA Adult	WIA Dislocated Worker
		Refugees
E&T	Refugee	Elderly Refugee Discretionary
E&T	Refugee	Refugee: CalWORKs Rite
E&T	Refugee	General Relief Opportunities for Work (GROW)
E&T	Refugee	Refugee: REP
E&T	Refugee	Supplemental Refugee Services (SRS)
E&T	Refugee	Targeted Assistance
		Seniors
Aging	AAA	Alzheimer's Day Care Resource Center
Aging	AAA	FEMA Foodbasket and Senior Foodnet Programs
Aging	AAA	Elderly Discretionary
Aging	AAA	AAA Support Services
Aging	AAA	AAA/Title III Senior Citizens Programs
Aging	AAA	Ombudsman
Aging	APS	Adult Protective Services
Aging	APS	Elder Abuse Program
Aging	Community Service Centers	Senior Nutrition Program/Congregate Meals
Aging	Community Service Centers	Home Delivered Meals and Effective Nutritional Health

Exhibit #9: Summary of CSS Programs & Services

Branch	Division	Program/Service
Youth		
E&T	WIA Adult	Foster Youth Independent Living Skills Enhancement Program
E&T	WIA Youth	At Risk Youth Services
E&T	WIA Youth	Juvenile Justice Crime Prevention Act (Probation)
E&T	WIA Youth	WIA E&T Youth Program

Aging and Senior Programs and Services

CSS provides a number of programs and services to support the needs of the elderly residents of the County, including Adult Protective Services, nutrition programs, senior centers, etc. In addition, the Department plans for and coordinates current and future service delivery to seniors as the local Area Agency on Aging. This section briefly describes each program or service.

Adult Protective Services (APS)

Adult Protective Services (APS) is a State-mandated program established to provide crisis intervention and case management services to elders and dependent adults who are victims of abuse, neglect, self-neglect or financial or other exploitation, or who are unable to protect their own interests, and to family members on behalf of the victims. APS receives an average of 1,600 new reports each month of suspected dependent adult/elder abuse and self-neglect.

Services include a 24-hour hotline to report suspected abuse, operation of emergency shelters, and relationships with 24 community-based care management agencies that provide follow-up services. APS has interdepartmental MOUs with the District Attorney's Office (DA), Department of Mental Health (DMH), Department of Health Services (DHS), and Consumer Affairs to provide such specialized multi-disciplinary services as court forensic services, in-home mental health assessments, and fraud prevention services.

Area Agency on Aging/Integrated Care Management

On July 1, 1999, the Area Agency on Aging (AAA, referred to as "triple A") implemented a County-wide Integrated Care Management Demonstration (ICM) Project using four sources of funds (Older Americans Act, Linkage AB 2800, Linkage AB 764, APS expansion). This project provides care management and service coordination to functionally impaired adults and older adults to maintain an optimum level of functioning and prevent or delay premature institutionalization of frail older adults and disabled adults. Care Managers assess each client's strengths, support system, and needs to develop a plan to obtain services that promote and maintain independent living and avoid nursing home placement. These are called Care Plan Goals. Although Care Plan Goals are individually tailored for each client, several common Care Plan Goals emerge: stable and affordable housing, transportation services for medical appointments and shopping, nutrition services, help in the home and health care. Successful achievement of Care Plan Goals for housing, transportation, nutrition, in-home services, and health care are measured at the time the client's case is closed.

Senior Nutrition Program-Congregate Meals

Part of Senior Citizens programs, the goal of the Senior Nutrition Program-Congregate Meals Program is to provide nutritious meals to adults aged 60 and over in a social setting. In addition to providing one-third of the recommended daily allowance for protein, calories and important nutrients, the congregate meals service provides opportunities for increased socialization for elders who may live alone, are isolated, or suffer from depression. Social functioning and emotional well-being are tied to quality of life for older adults. Success is measured in terms of improved social functioning and emotional well-being after six months of participation.

In addition, CSS will utilize the national Administration on Aging Social Functioning survey, which measures a client's activity level for visiting and talking on the telephone with friends and neighbors, sending and receiving mail, attending church or other worship services, movies, club meetings, classes or group events, eating out at restaurants, the number of times the client leaves home during the week, and whether physical or mental health has limited social activities. CSS will also utilize the Administration on Aging Emotional Well-Being Survey, which measures a client's self-evaluation of feelings of depression, anxiety, lack of sleep, and feeling healthy and full of energy.

Home Delivered Meals and Effective Nutritional Health Assessment and Networks of Care for the Elderly (ENHANCE)

Federal funding for home-delivered meals has been inadequate for the past several years. In order to ensure that the home-delivered meals service is provided to the most frail and those least able to prepare meals for themselves, CSS social workers must demonstrate that participants of the home-delivered meals service have limited ability for daily living activities (e.g., walking, bathing, dressing) and instrumental activities (e.g., shopping, cooking, managing money).

Participants who have a very high nutritional risk score of nine and above (cannot shop, cook or feed themselves, impacting their ability to obtain adequate nutrition) are referred to the ENHANCE Program. CSS uses the Nutrition Screening Initiative (NSI) Determination Checklist Measure for nutritional risk. The ENHANCE Program provides in-depth nutritional assessment and consultation with a Registered Dietitian to initiate disease prevention/health promotion preventive clinics for seniors 60 years and over with diabetes.

Senior Citizens Program

The Senior Citizens Program delivers human services that promote independent lifestyles for the most vulnerable older individuals in Los Angeles County. The Older Americans Act, its primary funds source for senior programs, identifies the most vulnerable as those who are low income, minority, or aged 75 and older. CSS programs for senior citizens: serve a high percentage of low income elderly; serve a high percentage of minority elders; and serve a high percentage of old elders (aged 75 and older). Services include home-delivered meals and congregate meals, in-home services, respite care, registry services, health insurance counseling, and Alzheimer's day care resource centers.

Family Caregiver Support

The Family Caregiver Support program is a direct result of the National Family Caregiver Support Act (NCFSA) that was enacted by Congress to provide support to family and relative caregivers of frail older adults (aged 60 and over). The Family Caregiver Support program provides information to caregivers about available services, assistance to caregivers in gaining access to the services, caregiver support such as counseling, support groups, and training, and respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities. Under the Family Caregiver Support Program, the caregiver is the client. Two different types of caregivers may be eligible for services: family and relative caregivers.

Home Based Care

The Home Based Care Program (HBC) uses an integrated approach to funding the provision of in-home services such as personal care, homemaking and companionship, as well as registry service, to assist functionally older adults (aged 60 and over) to maintain independent living and to support caregivers in their caregiving role. In addition, the HBC program provides respite for older adults caring for minor children. In general, individuals eligible to receive HBC services include frail and functionally impaired older adults and family and relative caregivers. Registry services are to be made available to anyone residing in the contractor's service area who desires to employ an in-home worker.

Community Services Programs and Services

CSS provides a variety of programs and services that serve a broad segment of the County and are not specifically geared to seniors or workforce development.

Community Based Organization Safety First Project

The Community Based Organization (CBO) Safety First Project provides a variety of bicycle, pedestrian, and traffic safety education programs to poverty level residents in cities throughout Los Angeles County. Special emphasis is placed on specific target areas, designated by the State, with a high concentration of poverty level population and a corresponding high rate of traffic injuries and fatalities.

The specific goals of the Safety First Project are to provide education and increase knowledge of traffic safety. These goals are accomplished by offering a combination of education and dissemination of equipment to eligible clients. The four program categories in which the public will be offered education are pedestrian safety, seat belt safety, bicycle safety, and child restraint safety. The equipment that is available to eligible members of the community includes convertible car restraints (car seats), backless booster child restraints, bicycle helmets and pedestrian flashing lights. This equipment is only issued after the recipient has demonstrated a thorough knowledge of its proper use.

Community Service Centers and Senior Centers

CSS has a network of eleven community service centers and three senior centers at sites throughout Los Angeles County. The centers serve as primary access points to government services by community residents and seniors. CSS also serves as the building supervisor for tenant service agencies.

Each center is unique and reflects the ethnically diverse communities served. CSS centers provide direct services to over 1.9 million individuals and families to meet immediate, critical needs, including 44,000 emergency food baskets, emergency shelter, emergency gas and electric bill payments, and ombudsman assistance for persons in crisis. Other services include immigration counseling, health care, nutrition services, substance abuse counseling, and building supervision for tenant service agencies. In addition to the above services, the service centers are part of the delivery system for the Department's grant programs. Five of these programs operate out of the centers:

- Voluntary Mediation Services to divert court cases.
- State Naturalization Project for legal immigrants.
- Refugee Employment Social Services Public Charge Project for naturalization, outreach and translation services.
- APS outreach to provide support services to APS clients.
- Family Caregiver Project to provide community education, information assistance and outreach services.

The service centers also serve as "service brokers" to tenant agencies and community-based organizations that provide a wide range of services. Examples of some of the services include:

- Child day care
- Congregate meals
- Counseling for the disabled
- Education programs such as English-as-a-second-language
- Family and group counseling
- Handyman services for minor rehabilitation of residences
- Headstart/preschool teaching
- Health care
- Job placements for older or underemployed workers
- Language translation services
- Nutrition services
- Refugee services
- Substance abuse counseling

Community Services Block Grants (CSBG)

The objective of Community Services Block Grants (CSBG) Community Services Programs is to leverage and augment existing programs and services for the County's neediest residents. As such, CSBG funding is integrated with other program dollars including WIA, Domestic Violence, Citizenship programs, the Department's service centers, etc.

CSBG programs assist individuals and families in crisis resulting from substance abuse, domestic violence, homelessness, and other causes. In addition, these programs provide services that assist low-income persons and families to move beyond poverty to self-sufficiency.

Domestic Violence CalWORKs Supportive Services

The Domestic Violence CalWORKs Program provides adult victims of domestic violence assistance to overcome barriers to self-sufficiency by providing them with a safe and stable emotional and physical environment, to access supportive services including information and referrals, education, and work-related activities. In addition to these services, DV CalWORKs provides three-day emergency shelter, hotel vouchers, transportation, counseling, legal representation, food and clothing, and other supportive services to assist victims of domestic violence and their dependents to improve their lives and enter the workforce.

Domestic Violence Emergency Shelter

The Domestic Violence Emergency Shelter program is the first program in Los Angeles County to provide direct funding to emergency crisis shelters. The focus is to serve victims of domestic violence and their children in a safe, undisclosed, confidential location. CSS currently funds 23 shelters County-wide that provide crisis counseling, shelter, food, clothing, transportation, crisis hotline and other needed services 24 hours a day, seven days a week. The maximum stay in an emergency shelter is 30 to 45 days. Also, the Emergency Shelter Program also has an established walk-in center that is accessible within the community to victims that are not in the shelter.

Dispute Resolution Programs Act

The goal of the Dispute Resolution Programs Act (DRPA) is to provide various dispute resolution services as alternatives to more formal court proceedings. Services include mediations, telephone conciliations, group facilitations, and arbitrations. Services are provided through contracts with non-profit organizations and government entities. Contract goals are based on the number of individuals, businesses, and organizations accessing the services and the cost per dispute resolved. Participation in the program is strictly voluntary for the disputing parties.

General Relief Opportunity for Work Domestic Violence Program

The General Relief Opportunity for Work (GROW) Domestic Violence Program offers a case management approach to serving adult victims of domestic violence with no children or

who may be a non-custodial parent. Many of the GROW domestic violence clients have lost custody of their children due to homelessness, substance abuse or mental illness. The services include the development of a needs assessment and service plan for each client; professional and peer counseling; emergency food, clothing and shelter; transitional services; outreach; transportation; legal services; resources and referral; and household establishment and independent living skills. CSS currently funds 19 programs County-wide.

Workforce Development Programs and Services

The objective of the workforce development programs administered by CSS is to increase the self-sufficiency of eligible youth, adults, and refugees. Most CSS programs are funded by the federal Workforce Investment Act and allocated via the State Employment and Development Department (EDD); others are funded by other federal programs or the County[6].

CalWORKS Youth

The goal of the CalWORKs Youth Jobs program is to place CalWORKs-eligible youth in summer jobs and provide workforce readiness training while they are on their summer or off-track break. By serving this hard-to-reach population, CSS anticipates that clients will either remain in school, graduate from secondary education, or find unsubsidized employment. During the 2001-2002 Program Year, the CalWORKs Youth Program provided 4,939 eligible youth with paid summer work experience and work readiness skills. Of the 4,939 clients, 93% have returned to school, graduated from high school or found unsubsidized employment. In the 2002-2003 Program Year, 4,694 youth were served and 94% achieved a positive result.

Foster Youth Independent Living Skills Enhancement Program (ILP)

The new Independent Living Skills Enhancement Program (ILP) will provide services to foster youth aged 16 through 21 who have emancipated or are emancipating from the foster care system. The objective of this program is to provide continuation of services to foster youth as they leave the foster care system and assist them in the transition to independent living, including job readiness.

Eligible foster youth will have access to a continuum of services that are broken down into four domains related to successful independent living: Readiness for Independent Living, Social Relationships and Interpersonal Supports, Vocational Skills and Knowledge of World of Work, and Self-Sufficiency. Services will be provided by contracted Skills Centers who will ensure that their participants have access to WIA WorkSource Centers and WIA Youth Centers for more extensive job preparation and placement services as appropriate.

[6] Program Funding Data Sheet, provided by CSS in response to audit data request

General Relief Opportunity for Work (GROW)

On August 21, 1998, the State of California passed a law allowing counties to continue the current level of funding for General Relief (GR) clients contingent upon the implementation of a mandatory Welfare-to-Work program. On December 15, 1998, the Board of Supervisors passed a motion requesting the Department of Public Social Services (DPSS) to implement the new law in Los Angeles County and requiring the immediate start-up of a mandatory Welfare-to-Work program equivalent to that provided to CalWORKs recipients. To implement the new law in Los Angeles County, DPSS requested that CSS provide employment and training orientation, job skills preparation classes, and placement assistance for GR clients via its network of service providers. CSS operates this program through an MOU with DPSS.

Healthcare Workforce Development Program (WDP)

The Healthcare Workforce Development Program (WDP) trains and retrains the County Department of Health Services (DHS) workforce impacted by the restructuring of DHS and to avert mass layoffs. The WDP will provide comprehensive services that address workforce training and restructuring activities in Los Angeles County's healthcare system. It encompasses ongoing planning and research activities to ensure that training is responsive to the changing needs of DHS. WDP will meet the needs of workers involved in health care delivery system restructuring efforts. WDP training activities include: design and implementation of training programs linked to specific 1115 waiver-mandated initiatives; development and implementation of training programs that address critical labor shortages by training DHS employees to promote into needed occupations; and support DHS restructuring by upgrading work skills through portable skills, bridge programs, and innovative training programs.

Project Phoenix

Project Phoenix, which concluded March 31, 2004, provided services to dislocated workers who were impacted by the economic downturn following the September 11, 2001 terrorist attacks. This program assisted employees whose employers had significant decreases in revenues resulting in lay-offs. The program concluded March 31, 2004.

Refugee Employment Program (REP)

The goal of the Refugee Employment Program (REP) is to provide services to newly arrived non-English/non-Spanish CalWORKs-eligible refugees and their families to further their acculturation to American culture and promote self-sufficiency. These services include pre-employment and vocational training, job placement, and assistance with acculturation and adaptation to the American work culture. All services are rendered in the participants' primary languages. CSS has established performance measures that test the participants' 90-day job retention rate. Performance measures are tracked, analyzed and recorded through the Refugee Information System.

Refugee Immigrant Training and Employment (RITE)

The Refugee Immigrant Training and Employment Program (RITE) provides State-mandated welfare reform employment services to all non-English/non-Spanish speaking Greater Avenues to Independence (GAIN) CalWORKs recipients who have been in the United States more than five years. RITE objectives include improving conditions for all RITE participants and their children and families by providing educational/vocational training and employment placement services in the participants' primary languages. RITE has been operated by CSS through an MOU with DPSS.

Senior Employment Program

This program serves individuals 55 years and older whose annual income is not greater than 125% above the poverty level. The program provides training opportunities for more than 270 individuals through 80 CBOs and coordinates services in partnership with the WIA WorkSource Centers.

Workforce Investment Act (WIA) Programs

Funded through the federal Workforce Investment Act (WIA) via the EDD, CSS operates three employment and training programs for low-income County residents. There are eight local Workforce Investment Areas in Los Angeles County – the County comprises the second largest area, after the City of Los Angeles. In addition to managing contracts for one Workforce Investment Area, CSS also distributes funds to the other seven. Mandated by the government, a Workforce Investment Board (WIB) meets regularly to provide guidance and establish policy for WIA operations. (Note: In July 2000, WIA replaced the Job Training Partnership Act – JTPA – and shifted to an employer focus, versus an employee focus.)

To deliver WIA services, the County launched WorkSource California, a collaborative effort of CSS, DPSS, the City of Los Angeles, CDC, the California EDD, the County Economic Development Corporation, the eight County WIAs, and more than 45 CBOs.

The **WIA Youth Program** serves clients between the ages of 14 and 21. Program objectives are based on outcomes nine months after the program conclusion, including:

- Have or will or have receive a high school diploma.
- Entered college or a vocational training program.
- Enlisted in military service, or
- Begun employment.

WIA Youth provides access to an array of services including tutoring, counseling, mentoring, leadership, alternative education, summer youth employment, internships, and support services. Youths do not exit the program until all planned services are obtained. In the years that the WIA Youth program has been in operation, more than 4,000 youths have been served each year.

The **WIA Adult Program**[7] was established to increase the self-sufficiency of the eligible adult population in Los Angeles County. At *WorkSource Centers* located throughout the County, the program provides customized, intensive job search, training, and placement services to more than 4,200 low-income clients over the age of 18.

The **WIA Dislocated Worker Program** assists residents of Los Angeles County who have been or anticipate being displaced from the workforce find employment that will allow them to continue to be self-sufficient. The programs provide intensive job search, training and placement services to over 2,500 clients who were or anticipate being dislocated from prior employment.

Hotline Operations

As part of its various services, CSS operates five hotlines, including:

- Area Agency on Aging Information Service
- Adult Protective Services Mandated Reporters Hotline
- CIU Domestic Violence Hotline
- Elder Abuse Hotline
- WorkSource Career Seeker

E. Organizational Structure and Staffing

CSS is organized into three branches reporting through the Chief Deputy Director up to the CSS Director. The position of CSS Director is currently vacant, the previous Director having left the Department in March 2004. The Chief Deputy Director is acting as interim Department Director, over three branches.

The Department currently has about 500 employees. Depending on the source and our analysis (see Exhibit 10 below), budgeted, filled full-time equivalent employees (FTEs) ranged from 481 to 488, not including as many as 177 temporary FTEs (student professional workers, student workers, neighborhood workers, and other contract workers).

Exhibit #10: FTE Analysis Sources

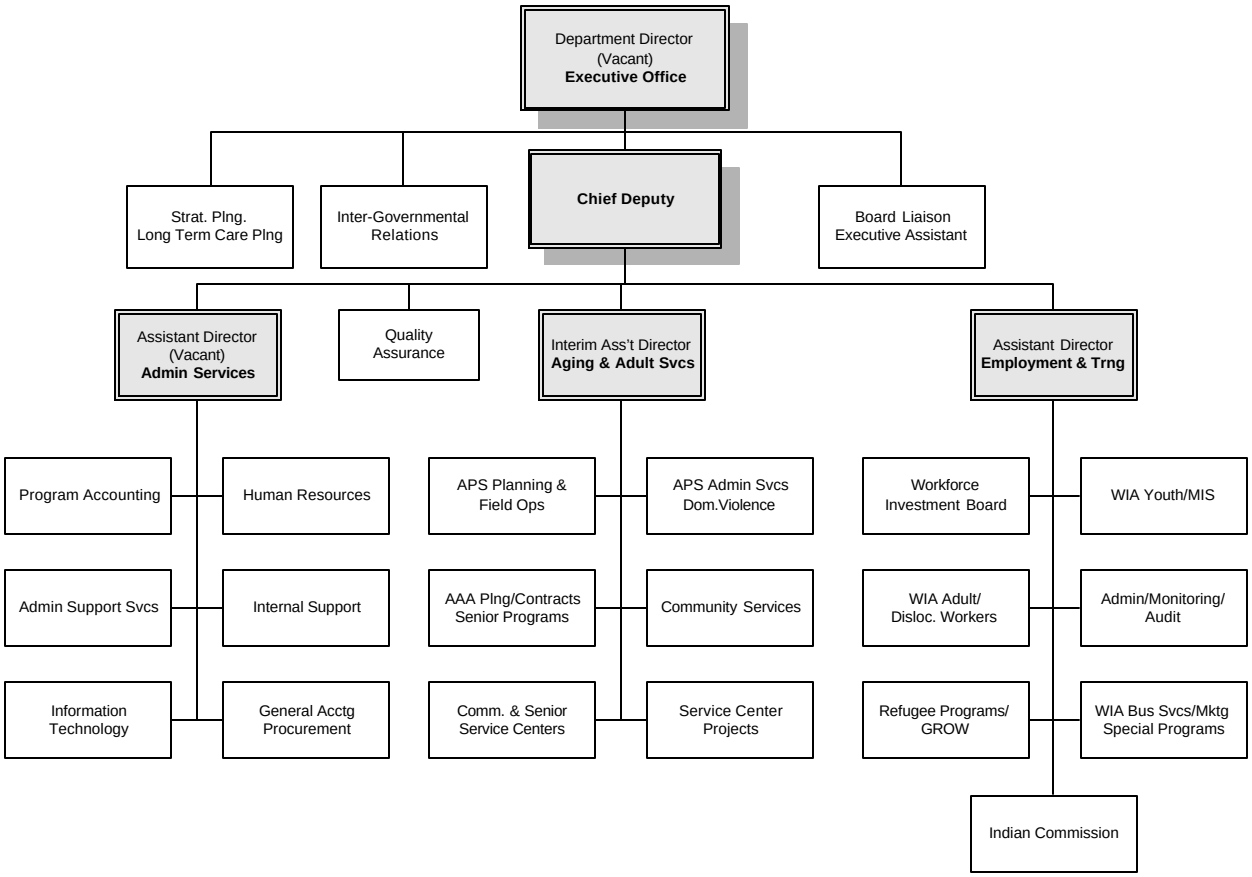
Source	Date	Number of FTE			
		Budgeted	Filled	Temp	Temp
2003-04 Estimated Actual Staff Analysis Summary and Details	3/18/2004	544	501.5**	177	98.1*
CSS Alphabetical Budgeted Position Item Control	4/6/2004	544	481	100.5	48.5
CSS Employee Roster by Pay Location Report	4/19/2004	567*	n/a	n/a	n/a
CSS Employee Roster by Employee Last Name	4/19/2004	564*	n/a	n/a	n/a

* Includes temporary workers and lists by individual, not by FTE.
** Based on blueCONSULTING analysis of this hard copy document

[7] Source for these descriptions: Initial Data Request 1d, 1e.

In general, Program Managers report to the Assistant Directors, and Project Supervisors and Community Service Directors (Is and IIs) report to Program Managers. Staff positions include Community Service Analysts (CSA Is, IIs, and IIIs), Human Services Administrators (HSA Is, IIs, and IIIs), Social Workers, Analysts, Executive Assistants, and various clerical classifications. Exhibit 11 below presents the current organizational structure of CSS.

Exhibit #11: Current CSS Organizational Chart
Source: CSS



The functions and services provided by each branch are described below.

Administrative Services Branch

Managed by an Assistant Director (this position is currently vacant), Administrative Services includes the various functions that provide operational controls and support the Department's activities, including budget, program accounting, human resources and employee relations, information technology, and other support services.

General Accounting/Procurement

Budget/Fiscal Services provides budget and fiscal services, general accounting, procurement and accounts payable, and revenue and accounts receivable.

Program Accounting

The Program Accounting division oversees the budgets for the numerous programs CSS manages and monitors, including the funding sources (state, federal, or MOU with another County department) and allocation of funds to the various CBOs who administer the programs.

Administrative Services Support Division

The manager of this division is currently assigned as Interim Assistant Director over the Aging & Adult Services Branch. As a result, Human Resources is a separate division – previously Human Resources reported through Administrative Services Support. However, these functions continue to be performed in Administrative Services Support: administrative investigations (internal and Fraud Hotline referrals); new hire background checks and investigations; employee relations and contract negotiations; Affirmative Action compliance; and training and tuition reimbursement.

Human Resources

The Human Resources division provides a variety of services to CSS, including recruitment and hiring, promotions and lateral transfers, discipline and grievances, performance evaluation process and monitoring, benefits, and other human resources functions. As noted above, human resources functions are currently split between the Administrative Services Support and Human Resources divisions.

Information Technology

Information Technology supports CSS's networked PC-based computing environment, including hardware and software acquisition, maintenance, and upgrades; help desk; systems and applications development; email, intranet, and internet; and policies and procedures governing the use of computers, the internet, email, etc.

Internal Support Services/Emergency Preparedness Coordination

This division provides a variety of services to support the Department's facilities (two office buildings, 14 Community and Senior Centers, and several APS field units). Functions include inventory, security, and building maintenance. .

Adult and Aging Services Branch

Overseen by an Interim Assistant Director, the Adult and Aging Services Branch provides direct services to County seniors and manages contracts that provide services to the general community.

Adult Protective Services Planning & Field Operations

This division is comprised mostly of social workers who provide crisis intervention and case management services to elders and dependent adults who are victims of neglect, abuse or exploitation, or who are unable to protect their own interests, and to family members on behalf of the victims. They are organized in two regions, each with seven field offices.

Additional work in this division consists of APS Planning, which provides adult support oriented programs and resource development, and monitors legislation. Additionally, there is a Special Operations Unit which is designed to provide support such as resource identification and training for the field operations. Finally, this group has a Special Response Alert (SRA, formerly called VIP) Liaison and Branch Office Support function which is designed to provide special liaison between the field offices and individuals who request special assistance, such as members of the Board of Supervisors or others in government offices.

APS Administrative Services and Domestic Violence

This organization provides additional social workers for 24 hour coverage through the APS Night Rollout Unit, and for coverage at the Civic Center Homeless Project. Social Workers also work in the Centralized Intake Unit which is designed to be a call center for persons referring cases to the APS organization. Another critical function in this unit is the Domestic Violence Council Support and related program personnel. APS Automation and Clerical Operations are also in this unit, designed to support the automation, information and clerical needs of the various field offices and personnel, and

AAA Planning and Contracts/Senior Programs

This division is assigned the responsibility for planning and managing specialized aging programs through numerous contract organizations. A variety of nutritional, transportation and health care related programs are provided. Also provided are support for the Community Action Board, the Los Angeles County Commission on Aging and the AAA Advisory Council, and their various committees, task forces and special events.

Community Services

Community Services Programs, provided primarily through the Community Services Block Grants, assist individuals and families in crisis resulting from substance abuse, domestic violence, homelessness and other causes. In addition, these programs provide services that assist low income persons and families to move beyond poverty to self-sufficiency.

Community and Senior Service Centers

CSS Centers provide direct services to individuals and families to meet immediate, critical needs, including emergency food baskets, emergency shelter, emergency gas and electric bill payments and ombudsman assistance for persons in crisis. Other services included at varying locations include immigration counseling, substance abuse counseling and building supervision for tenant service agencies. Additionally, the service centers are part of the delivery system for the Department's grant programs such as the Voluntary Mediation Services to divert court cases, State naturalization Project to deliver naturalization services to legal immigrants, the Refugee Employment Social Services Public Charge Project for naturalization services to legal immigrants, APS outreach to provide support services to APS clients, and Family Caregiver Project to provide community education, information assistance and outreach services. The service centers also serve as "service brokers" to tenant agencies and community based organizations that provide a wide range of services.

Employment and Training Branch

The Employment and Training Branch (E&T) is primarily responsible for the administration of contracts related to employment, training, and other workforce readiness services. The branch's Assistant Director, assisted by an Executive Assistant and a Secretary, oversees seven divisions, as described below.

Workforce Investment Board

Staff in this unit support the Workforce Investment Board (WIB), the mandated oversight body for agencies that manage programs funded by the Workforce Investment Act (WIA). Functions include:

- Coordination of WIB meetings and agendas
- Research
- Conference and travel arrangements for WIB members
- Filing Statements of Economic Status with the Board of Supervisors
- Preparation and distribution of meeting minutes
- Liaison with congressional staff
- Contact for businesses and job seekers who want information and referrals regarding Job Centers, and the Workforce California system

WIA Youth/MIS

The Program Manager over this division oversees the summer employment and other youth-related employment and workforce readiness programs funded by WIA. The MIS function for all Employment and Training programs also reports to the WIA Youth Program Manager. Programs and functions in this division include:

- **WIA**. This division receives all of the WIA funds for the County and allocates funds to the seven other Workforce Investment areas. WIA funds for all eight areas have decreased from a high of $17 million to $20 million down to $6.5 million.
- **CalWORKS**. This summer jobs program for eligible youth is funded by the State through DPSS. It has been combined with WIA Youth funds to provide more comprehensive work opportunities for eligible youth.
- **On-the-Job Training Program** (funded by the Probation Department's Juvenile Justice Crime Prevention program).
- Staff to the Youth Council that oversees implementation of WIA Youth funds.
- Employment and Training MIS (data entry and report generation).

WIA Adult/WorkSource Center Operations

This division manages the contracts for employment and training programs geared to unemployed and dislocated adult workers through the WIA Adult/Dislocated Worker programs and WorkSource Centers. In addition, this division oversees a new foster youth program and provides staff support, research, and planning for WIB committees.

Administration/Monitoring/Audit

This is a relatively new function within the Employment and Training branch. Prior to its establishment in May, 2002, each Program Manager was responsible for his or her own program monitoring. (Note: The Program Manager over this division previously managed the WorkSource Centers, which were moved to the WIA Adult division at the same time this division was created.). Functions performed by staff in this division include:

- Audit resolution of CBO single audit findings and recommendations.
- Inventory management for property at County sites used by CBOs.
- Completion and processing of supplemental contract documents, such as insurance forms.
- Preparation of incidence reports (reports of any abuse or fraud at a CBO).
- Program monitoring (2003-2004 program monitoring, including fiscal, will be outsourced per a recommendation of the Auditor-Controller).
- Resolution of monitoring findings and reports.

Refugee Programs/GROW

This division oversees contractors who run programs serving non-Spanish speaking refugees in Los Angeles County, including RITE, REP, 60+ (for older refugees), Human Traffic Assistance Program, and Child Care program to train refugees as child care providers. In addition, this division manages contracts for GROW programs. The current acting Program Manager is an Executive Assistant who has been in this position for 15 months.

Special Projects/Healthcare (Business Services/Marketing)

Identified on the organizational chart as Special Programs/Healthcare, this division manages employment and transitional skill training programs for displaced/potentially displaced healthcare workers from the Department of Health Services, actors, and others who may be vulnerable to economic downturns or changes. "Business Services" refers specifically to the need to respond to the shift in employment and training from job seekers to businesses. Division programs and services include:

- Healthcare Workforce Development Program
- Actors Fund
- Rapid Response
- Project Phoenix

Native American Indian Commission

This unit is staffed by a single Executive Assistant. See the next section for a description of the program.

F. Commissions and Councils

CSS is involved in several commissions and boards, a number of which are mandated by the agencies that fund CSS programs or services. Numerous staff are assigned to support these commissions, to conduct research, and provide other information, as required. The major commissions, councils, and committees include:

- **Area Agency on Aging Advisory Council**. The State AAA is charged with dividing the state into distinct planning and service areas (PSA) and designating an AAA for each PSA. The local AAA is responsible for assessing the needs of older persons within its PSA. It is required to provide assurances than an adequate proportion of funds allocated to the PSA under Title III-B will be expended for the delivery of each of the categories of services: access, in-home and legal assistance. The local AAA Advisory Council is federally mandated by the Older Americans Act. The Advisory Council consists of older persons (including older minority individuals) who are participants or who are eligible to participate in OAA programs to advise the agency on area plan development, administration and operation. (Source: http://www.4tacc.org/AboutTACC.htm)
- **Community Action Board** (CAB). The Community Action Agency (CAA) designation was created under Title II of the Federal Economic Opportunity Act of 1964. The Federal law mandates the establishment of a CAB to oversee the activities of the CAA. The CAB's membership is made up of representatives of the economically disadvantaged, the private sector and the public sector. The CAB makes funding recommendations to the LA County Board of Supervisors regarding the allocation of grant funds to private nonprofit and public agencies. (Source: http://dcss.col.a.ca.us/boards/CAB/Caboardtext.htm)
- Los Angeles County **Commission on Aging** (LACCOA). LACCOA is the local commission representing the California Commission on Aging, which serves as "the principal advocate in the state on behalf of older individuals, including, but not limited to, advisory participation in the consideration of all legislation and regulations made by state and federal departments and agencies relating to programs and services that affect older individuals." As such, it is the principal advisory body to the Governor, State Legislature, and State, Federal and local departments and agencies on issues affecting older individuals in order to ensure a quality of life for older Californians so they may live with dignity in their chosen environment. (Source: http://www.calaging.org/history/history.html)
- **Domestic Violence Council**. The Los Angeles County Domestic Violence Council was established by the Board of Supervisors on April 20, 1979, to study the problems of domestic and family violence in Los Angeles and to make recommendations pertaining to coordination, education, public information, training, shelter services, legislation, and the development of programs in these areas. The Domestic Violence Council is the first joint government-private sector domestic violence program in the State of California to launch a comprehensive approach to family violence. The Council's forty members include public sector representatives from both the County and City, as well as community representatives from various domestic violence service agencies. Active committees include: Training, Public Information, Health Issues, Legal Issues, Legislative Issues, Executive Directors (Shelter Programs), Gay and Lesbian Issues (Ad Hoc) Committee, Religion and Domestic

Violence (Ad Hoc) Committee, and the Executive Board. Members of these committees volunteer their time, energy, and creativity to address the issues critical to the needs of domestic violence victims. (Source: http://dcss.co.la.ca.us/DV/DVCounciltext.htm)

- Los Angeles City/County **Native American Indian Commission** (NAIC) and **Self-Governance Board**. This commission promotes programs and funding to serve urban American Indians and American Indian organizations; advocates legislation and policy favorable to the urban American Indian community; coordinates activities of related community groups; and advises the City Council, Mayor, Board of Supervisors, and Los Angeles residents on issues relating to American Indians. Staffed by one program manager at CSS, the commission has 16 members: five each appointed by the Board of Supervisors and the City of Los Angeles, five selected by the Los Angeles Indian Community, and one emeritus commissioner. (Source: http://bos.col.a.ca.us/Rosters/FactSheet/chv-55.htm)
- **Workforce Investment Board** (WIB). The Local WIB is a federally mandated advisory body that is responsible for developing the five-year local workforce investment plan and conducting oversight of the One-Stop system, youth activities and employment and training activities under Title I of WIA in partnership with the chief elected official. The WIB has 40 members, eight standing committees, and (currently) seven ad hoc committees. In addition to the individual tasked with WIB coordination and administration, several employees in the Employment and Training Branch serve as staff to various committees.
- **Youth Council**. The Youth Council is a federally mandated subgroup within the local WIB, whose members include members of the local WIB (educators, special education personnel, employers, representatives of human service agencies who have special interest or expertise in youth policy; representatives of service agencies such as juvenile justice, law enforcement, public housing authorities; representatives of Job Corps). The Youth Council is responsible for coordinating youth activities in the local area; developing portions of the local plan related to eligible youth; recommending eligible youth service providers; conducting oversight with respect to eligible providers of youth activities in the local area subject to the approval of the local WIB; and carrying out other duties as authorized by the chairperson of the local WIB, such as establishing linkages with educational agencies and other youth entities.

A comprehensive list of all commissions, councils, and committees is presented in Appendix D.

IV. Comparison with Other Social Service Agencies

The CSS organization is unique compared to similar agencies within California and elsewhere. *In particular, most counties do not combine services for seniors with the workforce development and employment services that are also provided by CSS*. blueCONSULTING conducted a limited benchmarking study of other regional social service agencies that were responsible for functions comparable to those performed by CSS. The following exhibit lists the agencies that were examined and their respective functions in comparison with CSS, including:

- Alameda County Social Services Agency
- Cook County, Illinois, Suburban Area on Aging
- San Bernardino County Department of Aging and Adult Services
- San Diego County Health and Human Services Agency
- San Francisco Department of Aging and Adult Services

Exhibit #12: Comparison with Other County Agencies

Function	Alameda County	Cook County	San Bernardino County	San Diego County	San Francisco	CSS
Adult Protective Services		✓	✓	✓	✓	✓
Veteran Services	✓			✓	✓	
AAA	✓	✓	✓	✓	✓	✓
Probate/Public Administrator				✓	✓	
Conservatorships				✓	✓	
IHSS	✓		✓	✓		
Long Term Care	✓	✓	✓	✓		✓
Senior Employment		✓	✓	✓		✓
Family Caregiver Support		✓	✓	✓		✓
Health Care Advocacy	✓	✓				✓
Adult Day Care	✓	✓				✓
Nutrition	✓	✓	✓	✓		✓
Children & Family Services	✓			✓		
Public Assistance (AFDC, Food Stamps, Medical Care, General Assistance)	✓			✓		
Health Services	✓*			✓		
Employment Services	n/a	n/a	n/a	n/a	n/a	✓

* for elderly

Source: Agency websites and interviews

None of the organizations above were responsible for employment and training opportunities for non-elderly clients. In addition, the San Bernardino, San Diego, and San Francisco agencies have undergone significant reorganizations in the recent past.

San Bernardino

The San Bernardino Department of Aging and Adult Services was formed in 1992 as a result of merging the Department of Adult Services and the Department of Aging. Benefits of this merger include heightened coordination between aging and adult programs and staff; greater flexibility in resource allocation; and enhanced program planning and policy development

The Department established three regional offices to serve the Desert, East Valley and West Valley portions of San Bernardino County. The regional offices are responsible for providing services to both dependant adults, as well as seniors. They also oversee the daily operations of all district offices within the region to assure that consistent, high quality services are being provided, and they operate the In-Home Supportive Services (IHSS) Program and the Adult Protective Services (APS) Program and coordinate with aging programs. The Regional Offices are mostly aligned to the existing planning regions.

San Diego

San Diego County formerly had five organizations that provided either health or social services to County residents: Department of Health Services, Department of Social Services, Department of Veterans Services, Area Agency on Aging, Commission on Children, and Youth and Family. In late 1996, the San Diego County Board of Supervisors approved the merging of these organizations into one agency: the Health and Human Services Agency. In early 1998, the Public Administrator and Public Guardian organizations were also transferred to Health and Human Services. By bringing these services together, the delivery of health and social services could be streamlined and integrated. The Agency could also be transformed into a more efficient, effective, and client-focused organization.

To better meet the needs of San Diego County's diverse population, six geographic regions were established. Some services are in higher demand in one region than in another, and the regional system allows the Agency to focus services in areas where they are needed to provide maximum efficiency. The Agency has six primary program areas which cover the various aspects of public health and social services.

The Agency is headed by a director and a chief operating officer (COO) who are accountable to the County's Chief Administrative Officer and the Supervisors. An executive team works with the Director and the COO to oversee the programs the Agency provides. Regional General Managers are responsible for planning and managing the delivery of health and social services and engaging community leadership. Public health and mental health workers, social workers and welfare workers serve clients in an integrated fashion, often alongside other public and private service providers, treating families and individuals in need as customers and working across programs to ensure customers' needs are met.

San Francisco

San Francisco's Department of Aging and Adult Services was created three to four years ago, as a result of merging the County's AAA, Veteran Services, APS, Public Guardian/Public Conservator, and Public Administrator. The County's IHSS program is likely to become part of the Department in the near future. There are four major divisions in San Francisco:

- **Office on Aging** manages Older Americans Act programs and senior services.
- **Public Guardian/Public Conservator** oversees personal and probate conservatorships for vulnerable seniors and adults.
- **Public Administrator** oversees estates of San Francisco citizens who die without a will or when appointed by the Superior Court.
- **Adult Protective Services** investigates and intervenes in cases of physical or financial abuse of seniors and dependant adults or in cases of self-neglect.

APS Caseloads

The average caseload (new cases per social worker per month) in San Bernardino is 18-38 cases. This wide range is due to heightened times of the year when services are in more demand. There are no specific guidelines regarding social worker caseloads. San Bernardino managers are strongly opposed to any agreement with social workers that would limit caseloads.

In December 2003, 134 new case referrals were assigned during the month in Alameda County. APS intake has had to triage cases as a result of budget reductions and a hiring freeze from January 2003 that was still effective as of December 2003. According to the Alameda County Social Services Agency, the State has allowed certain APS cases to be evaluated and not investigated. As a result, the active APS caseload has declined.

The average caseload in San Francisco is 25 new cases per social worker per month, but the current caseload is 40 new cases. San Francisco mainly attributes this large caseload to seven unfilled social worker positions that have been frozen by the County due to budget cuts. Even though there has been discussion of guidelines regarding caseload, currently there are no restrictions or limitations on social worker caseloads.

The caseloads for CSS are similar for other counties and APS does a good job of managing the average actual new caseloads per social worker. Shown below in Exhibit 13 are the "official" and "actual" number of new cases per month over the last three years. "Official" caseloads are the average number of new cases per month if all employees were available to take cases, while the "actual" caseloads are the average number of new cases per actual employee working during the period (not on leave or training, etc.).

Exhibit #13: Average New APS Caseload Trend
Calendar Year 2001-Year-to-Date (April 2004)

	2001 Caseload		2002 Caseload		2003 Caseload		Year-to-Date (4/04) Caseload	
CSS APS Office	**Official**	**Actual**	**Official**	**Actual**	**Official**	**Actual**	**Official**	**Actual**
Burbank	16.5	21.6	13.7	25.2	12.6	24.7	10.2	15.5
East Los Angeles	22.6	24.9	20.9	24.8	15.4	22.4	18.7	20.4
Florence-Firestone	19.4	24.1	19.7	25.0	17.8	23.3	15.8	21.3
Glendale[1]	--	--	--	--	6.5	8.1	14.7	23.1
Glendora[2]	19.5	22.4	17.2	25.0	17.7	22.9	18.6	22.5
Hawthorne[3]	--	--	--	--	9.5	13.3	13.9	14.8
Lancaster	22.0	25.9	24.1	30.5	26.8	29.3	8.6	10.1
Lawndale	22.5	23.9	18.4	23.8	15.8	19.7	15.1	18.2
Metro	19.7	24.3	18.1	23.5	19.5	23.7	17.6	21.5

Exhibit #13: Average New APS Caseload Trend
Calendar Year 2001-Year-to-Date (April 2004)

	2001 Caseload		2002 Caseload		2003 Caseload		Year-to-Date (4/04) Caseload	
CSS APS Office	**Official**	**Actual**	**Official**	**Actual**	**Official**	**Actual**	**Official**	**Actual**
Mid-Wilshire	24.1	28.1	18.4	22.8	14.5	21.0	10.9	18.8
Pasadena	13.9	22.6	17.2	23.6	16.9	21.0	16.7	20.4
South	18.3	24.4	18.0	24.4	18.5	24.4	14.9	18.4
Van Nuys	14.2	21.5	16.1	23.5	12.1	23.5	14.4	26.1
Westside	17.6	23.0	17.2	20.8	15.4	23.1	14.1	17.2
County Totals	**19.1**	**23.9**	**18.3**	**24.4**	**16.9**	**23.0**	**14.7**	**19.4**

(1) Opened in September 2003
(2) Pomona office until 2002
(3) Opened in May 2003

Contracting with Community Based Organizations

San Bernardino currently has numerous contracts with social service agencies that provide Multi-Senior Service Programs (agencies provide more intensive case management than IHSS case management); nutrition, both congregate and home delivered; legal; brown bag (nutrition program); and respite.

Senior centers are subsidized by local communities. The centers are managed by San Bernardino municipalities and senior clubs, which are non-profit organizations with boards of directors that fundraise to meet operating costs.

In Cook County, Illinois, the Suburban Area on Aging distributes funds to more than 35 local CBOs to provide services such as senior nutrition programs, transportation, and housekeeping assistance to older persons in suburban Cook County. Services are supported by the Older Americans Act, Illinois General Revenue Funds, local funds, charitable foundations, grants and individual contributions. The Cook County AAA, with its network of senior service agencies, is a prime source for information regarding senior services in the suburban area surrounding Chicago.

San Francisco contracts with 45 local community agencies, a public hospital and a para-transit company. The following services are contracted through these agencies and organizations:

- Nutrition services (congregate and home-delivered meals)
- Senior centers and resource centers
- Advocacy and training
- Case management
- Senior empowerment advocacy
- Legal and naturalization services
- Housing counseling
- Senior companion (escorts for elders to appointments)
- Adult day care
- Elder abuse prevention

V. Audit Findings: Department Management

This chapter details blueCONSULTING's audit findings – the results of interviews with staff and management, review of documents, observations, and interviews with external stakeholders. Findings are organized from the broadest aspects of the Department – mission, organizational structure, and culture – to more specific functional and process-related findings, such as budget, monitoring, and human resources.

A. CSS Strengths

The strengths of CSS include:

- Commitment and passion of staff who have a strong belief in the Department's mission and in serving the needs of the County's neediest residents.
- Flexibility to respond to the needs of County residents as different grants, programs, and funding sources become available.
- Knowledge and expertise of long-term employees.
- Passion among many employees to serve the County's most vulnerable residents.

B. CSS Mission

According to the 2003 Strategic Plan and the Department website, the mission of CSS is to provide comprehensive human services to residents of Los Angeles County in partnership with communities, businesses and public and private agencies, as well as to:

- Assist residents in obtaining self sufficiency.
- Strengthen and promote the independence of older persons.
- Provide employment and training for unemployed adults, displaced workers, seniors and young people.
- Protect and assist adult victims of abuse.
- Assist refugees in resettlement and becoming self sufficient.
- Provide safety and security for domestic violence victims.
- Develop services that are needed within local communities.

Finding #1: The Department's mission does not reflect a strategic determination of programs and services.

The Department mission is very broad, resulting in a lack of clear focus for Department operations. It appears to be a catch-all reflecting all the services that happen to be provided versus a strategic determination of what the Department can best provide, given its resources and those of other County departments. For example, there is little synergy between the Aging and Adult Services Branch and the Employment and Training Branch, which is reflected in their lack of communication and teamwork.

Finding #2: The core mission of the Department has grown over the last ten years, is very broad, and contributes to a loss of focus of the Department.

The Department has evolved over the years as a result of department mergers, picking up programs not performed effectively in other departments, and bringing in new programs as a source of revenue for the Department. At the same time, the programs in this department have been compartmentalized into silos due to their differences rather than unified based on their similarities.

There are numerous opportunities for existing functions to be performed in other County Departments, but whether or not this should occur is dependent on the desired mission of the Department. The mission may be too broad in terms of the definition of community, given the other County departments that also serve many of the same stakeholders, including the Department of Public Social Services (DPSS), Consumer Affairs, Department of Children and Family Services (DCFS), Mental Health Department, the Sheriff's Department (and other local law enforcement agencies), Probation, and the Community Development Corporation (CDC).

For example, should the Department:

- Be defined as a contract administration organization that manages and monitors any community-related programs that are outsourced to CBOs?
- Provide any direct services, such as those currently provided by Adult Protective Services (APS), the community and senior service centers, and nutrition programs?
- Only provide direct services, including those currently contracted out?
- Provide services to any and all segments of the community whose needs are not met by other County departments, even if other departments may have either the expertise or capacity? One interview participant described this mission as "shoring up the community, being responsive to our ever-changing society." Included in this group are:
  - ⇒ Seniors
  - ⇒ Refugees
  - ⇒ Foster youth (over 18 years of age, or over 16 and emancipated/emancipating)
  - ⇒ Native Americans
- Should the Department (continue to) provide services to segments of the community also served by other departments?
  - ⇒ Unemployed youth and adults
  - ⇒ At-risk youth (foster youth, youth on probation, youth living in poverty)
  - ⇒ Fraud victims
- Should the Department provide services to County employees whose own departments have the capability of providing the services – could displaced healthcare employees be served directly by DHS human resources)?

- Should the Department have an overriding criterion for service eligibility, inclusive of those criteria set by federal agencies (e.g., Department of Labor or Department of Health), the State of California, DPSS, or DCFS?

Exhibit 14[8], beginning on the next page, provides a list of programs within CSS, along with their funding source, annual funding, staff (County or Contracted), service area, and advisory board. The exhibit also identifies other County departments that may be appropriate candidates for managing the programs and a very brief explanation of why there may be greater synergy in program transfers to other departments. (See recommendation xx for our recommended organizational structure and alignment of programs and services.)

One of the issues to consider when reviewing County department reorganization is any potential savings that may result. The Program Funding Matrix presented in Appendix E lists each grant and program within the Department and the amount of administrative cost per program.

[8] Source: Provided by the Auditor-Controller. FY 2003-04 annual award figures updated by information provided by CSS during the course of this study.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area[9]	Advisory Board	Rationale for Transfer to Other County Department
Employment and Training						
Workforce Investment Act (WIA) provides employment services through a network of WorkSource Centers to unemployed and disadvantaged adults in the County Workforce Investment Area. Includes WIA Adult and Dislocated Workers, Rapid Response, Healthcare Grant, WIA Youth, and Welfare-to-Work	Federal Workforce Investment Act and State Employment Development Department (EDD) via MOU with DPSS and CDC	$60.8 M	Contracted	local Workforce Investment Area: Primarily San Gabriel Valley and Antelope Valley	Workforce Investment Board (WIB)	**DPSS** administers the CalWORKs and GROW programs. DPSS has longstanding service and funding partnerships with education and training providers across the County, including all eight local Workforce Investment Areas. **CDC** works with local businesses to encourage job creation and retention in unincorporated areas of the County. CDC provides employment referrals and education classes for public housing residents at Family Learning Centers.

[9] Service area typically refers to those unincorporated areas of the County not served by local city governments, including the City of Los Angeles.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area[9]	Advisory Board	Rationale for Transfer to Other County Department
CalWORKs Youth Jobs provides work-based learning opportunities, career planning and job placement for CalWORKs youths.	State EDD via MOU with DPSS	$9.8 M	Contracted	Countywide	None	**DPSS** currently funds this program through an MOU with CSS. DPSS has service and funding partnerships with education and training providers across the County, including all seven local Workforce Investment Areas which currently administer (as CSS subcontractors) the Youth Jobs Program. **LACOE** currently provides education and training services for adult CalWORKs participants through an MOU with DPSS. LACOE administers public education programs for 1.7 million children and youth from kindergarten through 12th grade.
General Relief Opportunities for Work (GROW) provides employment and training services, including orientation, job club, job placement assistance, and supportive services for General Relief participants.	State EDD via MOU with DPSS	$13.6 M	Contracted	Countywide	None	**DPSS** currently funds this program through an MOU with CSS. DPSS is already responsible for administering the General Relief Program and those aspects of the GROW program not administered by CSS.
Refugee Training and Employment Program (RITE) provides GAIN services to non-English/non-Spanish speaking CalWORKs participants	State CalWORKs via MOU with DPSS	$9.0 M	Contracted	Countywide	None	**DPSS** currently funds this program through an MOU with CSS.
Refugee Employment Programs (REP) provides employment training and support services to refugees residing in the country for less than 60 months. Includes **Targeted Assistance Discretionary** and **Elder Discretionary** programs	Federal DCS and State CalWORKs via MOU with DPSS	$13.8 M	Contracted	Countywide	None	**DPSS** administers the CalWORKs program. Most REP participants already receive CalWORKs, food stamps, and Medi-Cal from DPSS.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area[9]	Advisory Board	Rationale for Transfer to Other County Department
Other Community Services						
CalWORKs Domestic Violence Support Services provide crisis intervention, short-term shelter, and various residential and walk-in supportive services, such as counseling and legal assistance to domestic violence victims.	State CalWORKs via MOU with DPSS	$13.2 M	Contracted	Countywide	Domestic Violence Council	**DMH** develops and coordinates community-based mental health services, including crisis intervention and emergency programs that are available to victims of domestic violence. **DPSS** currently funds this program through an MOU with CSS. DPSS works closely with the dozens of Domestic Violence shelters subcontracted with CSS to deliver these services across the County.
Domestic Violence Emergency Shelter Program provides crisis intervention, short-term shelter, and various support services such as counseling and legal assistance to domestic violence victims. **Domestic Violence GROW** provides services to GROW participants who are victims of domestic violence	CSS and State GROW via MOU with DPSS	$2.3 M	Contracted	Countywide	None	**DMH** has experience working with mental health and other service providers throughout the County to provide access to treatment for low-income families and children, including victims of domestic violence. **DPSS** has experience with Domestic Violence shelters across the County to deliver CalWORKs Domestic Violence Support Services, which are virtually identical to the services provided through this program.
Alternative Dispute Resolution Program provides voluntary alternatives to formal legal proceedings for a variety of conflicts through 17 private, non-profit and public agencies.	CSS	$3.8 M	Contracted	Countywide	None	**Consumer Affairs** already provides dispute settlement services (mediation) as a free alternative to going through the court system.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area[9]	Advisory Board	Rationale for Transfer to Other County Department
Community Services Block Grant (CSBG) (includes LA City/County Native American Indian Commission, Traffic Safety, and Citizenship Assistance) Assists low—income individuals and families in their efforts to move beyond poverty to self-sufficiency.	Federal Department of Labor	$14.3 M	Contracted (except for Indian Commission)	Countywide	Community Action Board (CAB)	CDC administers the Community Development Block Grant program which provides services to low- and moderate-income people in unincorporated areas of the County. DPSS has experience administering both the CalWORKs and General Relief programs. DPSS has experience working closely with community-based and public organizations to implement strategies aimed at the underlying causes of poverty and barriers to self-sufficiency (e.g., the Long-Term Family Self-Sufficiency Plan, the CalWORKs Funding Recommendations Stakeholders Process).
Senior Services						
Adult Protective Services (APS) provides protective services to elders and dependent adults who are victims of abuse, neglect, self-neglect, or financial exploitation	CSBG and SB 2199 via MOU with DPSS	$25.8 M	County and Contracted	Countywide	None	**DPSS** currently funds this program through MOU with CSS. **DPSS** administered this program prior to 1990.
Older Americans Act Programs (Area Agency on Aging/AAA) includes home delivered meals, congregate meals, in-home services, respite care, registry services, legal assistance, case management, Alzheimer's Day Care, and senior employment training	Federal Older Americans Act	$20.8 M	Contracted	Countywide, except for City of L.A.	Commission on Aging (CAB) and AAA	**DHS** administers a variety of public health, nutrition, and case management services that promote the well-being of the County's senior citizens. **DPSS** has experience working with community-based and public organizations

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area[9]	Advisory Board	Rationale for Transfer to Other County Department
California Department of Aging Programs provide additional support for many AAA programs, health insurance counseling, Linkages case management for frail and functionally-impaired adults, senior companion services.	State Older Californians Act	$5.5 M	Contracted	Countywide, except for City of L.A.	Commission on Aging (CAB) and AAA	Same as above
Community and Senior Service Centers include 14 community centers and 3 senior centers that provide food baskets, emergency shelter, emergency gas and electric bill payments, health programs, ombudsman assistance, nutrition services.	Federal Older Americans Act and State Older Californians Act	$4.7 M	County	Countywide	None	**DPSS** has experience delivering a variety of benefits and services to the public through dozens of offices across the County, including services provided through co-located CBOs and other public agencies. **Consumer Affairs** provides a variety of community services designed to protect the needs of County consumers.

C. Culture, Management, and Leadership

As described by CSS employees and managers in confidential interviews and letters, the CSS organizational culture is characterized by a pervasive lack of accountability for individual and Department actions and practices, a desire and willingness to ignore unpleasant information, and alignment with or allegiance to narrowly defined functional silos. Furthermore, the culture has engendered considerable cynicism and bitterness among employees who observe that long-term problems go unresolved, see unqualified or less qualified employees promoted over more qualified colleagues, and work for inadequate or unethical supervisors and managers who are not held accountable for poor or negligent performance, all the while remaining silent for fear of retaliation.

Finding #3: There is a lack of appropriate leadership and accountability at all levels of the organization.

- The recently retired Director has been characterized as being all about image and vision, avoiding problems, providing little direct leadership or action.
- Assistant Directors are perceived to lack expertise in their current assignments and are not held accountable for problems in their respective areas.
- Program Managers have uneven management skills, and are likewise not held accountable for problems in their respective areas.
- Even some managers who are clearly capable of offering leadership, sometimes do it in a belittling and demeaning way.

Finding #4: The CSS culture and lack of management action leads to a work environment that is not conducive to highly productive employees.

Many individuals reported an environment in which managers and supervisors retaliate, are punitive in their work assignments, publicly humiliate employees, and otherwise create a difficult work environment. For example, employees have reported:

- Managers who do not lead by example by not respecting work hours or rules themselves.
- Observing public humiliation (yelling, name-calling, and using foul language) of other employees (or being the target of such behavior).
- Not being allowed to attend training sessions or, in contradiction, not holding employees accountable for not attending training when it was mandatory.
- Not being allowed to or being discouraged from making internal lateral transfers.
- The transfer of poor performers and repeat perpetrators of alleged sexual harassment to other positions or locations, instead of being appropriately disciplined.

Finding #5: Organizational silos result in little synergy, communication, or teamwork between Department branches and functions.

Aging and Adult Services and Employment and Training embody the primary organizational and operational silos at the Department, despite some overlaps in functions. For example, CSS administers contracts in both branches, with the same requirements for RFP development and contract monitoring, and has employees with the same classifications (e.g.,

CSAs) in both branches. Nevertheless, there are few shared services, such as contract management or information systems, that serve both. In addition, expertise is considered to be program-specific, with little recognition that CSAs may have a body of knowledge and experience that can be transferred between programs.

In general, the Administrative Services branch does not have a customer service orientation towards other Department functions and personnel. Such functions as Human Resources, Finance, and IT are not evaluated in terms of how they meet the needs of program personnel and consequently get mixed reviews from personnel in the other branches.

Although there have been numerous attempts at effective communication, they have not bridged the organization silos that exist within the Department and have not contributed to a climate that fosters teamwork.

Finding #6: Some CSS managers lack a fundamental understanding of budgets, fiduciary responsibility for grant funds, and grants administration.

The Department is responsible for administering millions of dollars of grant money on behalf of several federal and state agencies, including the Department of Labor, the Older Americans Act, the State Employment Development Department, among others. Compliance with the policies and regulations (e.g., allocation of personnel, reporting requirements, etc.) of the governing authority is fundamental to the responsible administration of grant dollars. Because CSS management has not developed or implemented consistently sound budgeting, accounting, or monitoring practices, the Department is potentially misusing grant funds.

For example, the AAA program submits an annual budget to the California Department of Aging detailing its plan for expenditures for the year. This budget includes details of personnel costs down to the actual staff performing the function identified by payroll item. However, CSS reportedly does not base its own departmental budgeting for the use of AAA funding based on this program budget. This means that CSS charges persons who have not been authorized by the funding source to the AAA grant and in addition, there are cases where staff are directly charged to the grant and also charged via indirect costs, a situation that DPSS has recently discovered in the GROW program.

Finding #7: Lack of comprehensive program management is institutionalized at CSS.

Although Department leadership has been consistently interested in providing effective services to clients, they did so in an environment that did not pay sufficient attention to the "other side" of program management – development and implementation of appropriate policies and procedures that encourage compliance with rules and regulations, provide guidance to staff, and ensure consistent approaches across branches and programs. Instead, managers may be complacent, have not been held accountable for poor management practices or decisions, or decline to address Department problems, including poor program monitoring and budget management, the potential misuse of grant funds, and unqualified staff at various levels of the organization.

- There is a lack of knowledge and understanding of grants management and fiscal responsibility. For example, the definition of program income is not commonly understood within the Department, and OMB Circulars, which provide the appropriate definition, are not commonly used reference elements.
- The lack of leadership and accountability for contract development and monitoring has continued to occur despite being brought to management's attention by Department employees, whistle-blowing to the Board of Supervisors, and external audit findings (Grand Jury and Auditor-Controller). Although investigations into some of these allegations did not necessarily confirm whistle-blowers' specific concerns, the Department has been slow to make significant changes in program management practices. In other words, while the Department has recognized the importance of program monitoring and compliance, management has not taken sufficient steps to ensure adequate oversight.
- There is a general disregard for program regulations that has weakened Department morale. One result is that the AAA has been rated as a high-risk agency according to the California Department of Aging.
- The majority of funds received by this Department are federal and state grants, often via MOUs with other County departments. This lack of direct responsibility has developed into a culture that has led to poor management and ultimately a weakening of the programs administered.

Finding #8: Staff and management are demoralized by recent management and program problems that are often not fully resolved.

The Department has sustained several internal and external problems in the last few years, many of which are never fully publicly resolved, including the early retirement of the former Assistant Director of the Adult and Aging Services branch; the early retirement of the former Department Director; the sudden administrative leave of the Assistant Director of the Administrative Services branch; settlements related to employee discrimination grievances; and fraud and embezzlement committed by CBOs with CSS contracts. Due in part to issues of confidentiality and in part to poor internal communication, the lack of public resolution of these events contributes to low employee morale and the perception that many at the management level are involved in, or at the least aware of and doing nothing, inappropriate or illegal fiscal or personnel management.

Finding #9: Lack of effective contract monitoring is linked to lack of management and leadership, rather than to a shortcoming in the organizational structure.

The lack of effective contract monitoring in the Department is pervasive, and is not limited to a specific branch, division, program, or individual manager. Problems in one area have not necessarily served as opportunities for investigation or examination of similar functions in other divisions or programs. As a result, contract monitoring (until very recently) has not been addressed comprehensively. Even today, a task force organized to develop a centralized monitoring function is rejected by those from other organizational silos or with other management allegiances(as well as by the Auditor-Controller).

Accountability for contract monitoring is not enforced at the supervisor, Program Manager, or Assistant Director level. At CSS, the entire chain of command is broken or the problems that have arisen would have been discovered within the Department or, at least, when found in one area, would have been reviewed in other areas.

Finding #10: Program effectiveness and quality are not Department priorities.

Most individuals interviewed judged program effectiveness in terms of the program manager over the program, instead of objective information regarding program outcomes and quality. Despite implementation of Performance Counts! performance measures, there are no stakeholder surveys to understand perceptions of program effectiveness from the clients' perspective. For example, there is no survey or outreach of cities involved in the WIB process to determine perceived effectiveness.

Finding #11: Personnel problems are ignored or tolerated.

Management has demonstrated more interest in placating problem employees and not providing discipline when necessary to ensure appropriate behavior. Although some senior managers may believe that ignoring existing County policies and procedures on personnel management issues will lead to a high level of morale, the opposite is true. Good employees are more interested in consistency and appropriate discipline than in expending effort in trying to win favor with current management. A lack of discipline in monitoring and ensuring compliance with work hours or work load, only leads to bitterness among other employees and a lack of respect for the managers who allow it.

Participants in confidential interviews reported that poor performance and inappropriate behavior (e.g., sexual harassment) are tolerated or ignored. While performance evaluations and MAPP plans are routinely completed, they are not used to manage personnel effectively. Some employees reported that if they are outspoken or question the status quo, they may be retaliated against. For example, individuals reported being:

- Passed over for promotion (for example, one person has been assigned an "acting" title four different times without ever having the opportunity to perform the function permanently.)
- Denied requests for transfers
- Given punitive assignments
- Denied required resources (e.g., training)
- Being blamed for actions for which they were not responsible

The lack of effective problem resolution and performance management are indicative of the lack of leadership and management within the organization.

Finding #12: The process of preparing Board letters is not understood or followed in the Department.

Board letters are a primary means of communication, program and funding approval, and accountability between County departments and the Board of Supervisors. Nevertheless, CSS staff are not held accountable for appropriate and timely preparation of Board letters, despite previous training on methodology and access to previously approved Board letters to serve as templates. Board letters continue to be written in a manner that is not acceptable to the CAO. The impression is that each Board letter is a reinvention of the process and because they are not prepared in the approved format, they either get rejected or the CAO analyst has to rewrite them for the Department. The Department requested additional training of Board letter preparation from the CAO and County Counsel, only to have to cancel the training because only two CSS managers indicated that they would attend by the required deadline. (To be fair, another seven said they wanted the training but after the deadline had passed. The issue is not so much that people did not request the training, the issue is why the training was not mandatory, considering that the CAO analyst and others continue to have concerns about the quality of Board letters submitted.)

D. Strategic Planning

The 2003-2005 Strategic Plan is a high level, motivational document that is not strongly linked to day-to-day operations of the Department. In other words, it is not a "living" document that is actively used to guide decisions or operations. In general, planning within the Department is not the concern, the concern is what happens to the implementation of the plans.

Finding #13: The 2003-2005 Strategic Plan is motivational and visionary versus concrete and directive, and lacks clear accountability for plan implementation.

The 2003-2005 Strategic Plan, updated in June 2003 from the 2001-2003 Strategic Plan, is the result of a top-down planning process. Despite input from employees throughout the organization and several off-site planning sessions, the document is more motivational and visionary than clear, directive, or results-oriented. As such, strategic planning efforts have been wasted because management does not know how to bring about change.

While the Department's goals are linked upwards to Countywide goals, there are no action plans or individual accountability for achievement of specific goals. The Strategic Plan is not a driving force within the Department management or work force. Furthermore, the Department has not developed effective practices to ensure that goals and objective are implemented effectively and efficiently. Furthermore, while assigned job duties may not be in conflict with strategic goals and priorities, no one interviewed mentioned the impact of the Strategic Plan on their jobs, or how their jobs contributed to achievement of the Strategic Plan.

For example, Goal 3.1.4A: *The effectiveness and efficiency of internal operations will be assessed* neither indicates how operations effectiveness and efficiency will be assessed nor identifies who is responsible for completing the assessment.

Finding #14: Planning is used to "buy time" to resolve difficult situations.

While CSS has demonstrated abilities in planning, actual change resulting from planning is insufficient. It appears that management develops plans to buy time to get out of bad situations or trouble with the Board of Supervisors or other regulators. Implementation is problematic, however, because:

- Plans are over-ambitious and not realistic.
- There is no coordination with other existing plans that might be trying to achieve the same goal.
- Plans are usually managed by someone who has no direct contact with affected programs.

Finding #15: The programs and services listed in the Strategic Plan differ from those in the approved budget and other documents reviewed during this audit.

The thirty programs and services listed in the Strategic Plan do not match those listed in other documents provided during the course of the audit, reflecting the difficulty this Department has in knowing the specifics of its day-to-day operations. (To be fair, sometimes this is simply a matter of calling the same program by different names, or by listing sub-programs instead of the overall program.)

Finding #16: Administrative processes do not link strategies to operations.

The Department has not developed effective practices to ensure it carries out goals and objectives effectively and efficiently. Although planning is done for most issues, the breakdown occurs because of the cultural lack of accountability when it is time for implementation. For example:

- Despite establishing numerous performance outcomes as a Performance Counts! pilot, feedback and performance management are insufficient to link processes to measurements.
- The contract management process, from RFP solicitation through monthly performance measurement and reporting of contract requirements, is ineffective.
- Monitoring is viewed as an organizational responsibility, rather than an individual supervisory accountability. This leads to a lack of effective monitoring within the Department at all levels.
- Management, for the most part, has delegated accountability to levels in the organization that are inappropriate – staff may have responsibility but lack authority or expertise – resulting in a lack of ownership and accountability for program performance.

E. Organizational Structure

The Department's current organizational structure has several problems that hamper the ability to serve eligible County residents effectively.

Finding #17: The Department lacks an accurate organizational chart.

The Department does not have a comprehensive, up-to-date, accurate organizational chart or count of Full Time Equivalent (FTE) employees. The most current organization chart, dated March 31, 2004, does not accurately reflect the reporting relationships, number of FTE, or current vacancies:

- The numbers of FTEs on organizational charts of branches and divisions provided during the study do not match the rosters of employees provided. (Exhibit 15)
- Names of division and sections within branches on organizational charts do not match division and section names on employee rosters. (Exhibit 16)

Exhibit #15: Comparison of FTE Data Sources

	(a) 2/11/04 Org Chart	(b) 3/18/04 Staff Analysis	(c) 4/5/04 Budgeted Position Item Control	(d) Branch/Division Org Chart
Administrative Services Branch				
General Accounting/Procurement	25.0 FTE	14.0 FTE 4.5 temp FTE	AMS2: 37.0 FTE	20 FTE
Program Accounting	21.0 FTE	7.7 FTE 1.0 temp FTE		21 FTE
Internal Support Services	7.0 FTE	10.0 FTE	AMS5: 9.0 FTE	7.0 FTE
Aging and Adult Services Branch				
Community Services	20.0 FTE	23.05	ET08: 21.0 FTE	22.0 FTE
Grants Coordination Office	5.0 FTE	2.0 FTE	CSS1:1.0 FTE	n/a
Employment and Training Branch				
WIB Support	3.0 FTE	2.0 FTE 1.0 temp FTE	ETAD: 2.0 FTE	2.0
WIA Youth/MIS	12.0 FTE	11.15 FTE	ET04: 12.0 FTE	18.0 FTE
Refugee/GROW	19.0 FTE	11.6 FTE 7.1 temp FTE	ET05: 11.5 FTE	18.0 FTE and 12.0 FTE 2.0 temp FTE*

Legend

- Column (a): CSS 2/11/04 Organizational Chart
- Column (b): 3/18/04 2003-04 Est. Actual Staff Analysis Summary and Details
- Column (c): CSS Alphabetical Budgeted Position Item Control, count by Pay Location, dated 4/5/04
- Column (d): Branch/division org charts provided in response to Information Document Request #2
- * From email sent in response to request for current staffing level

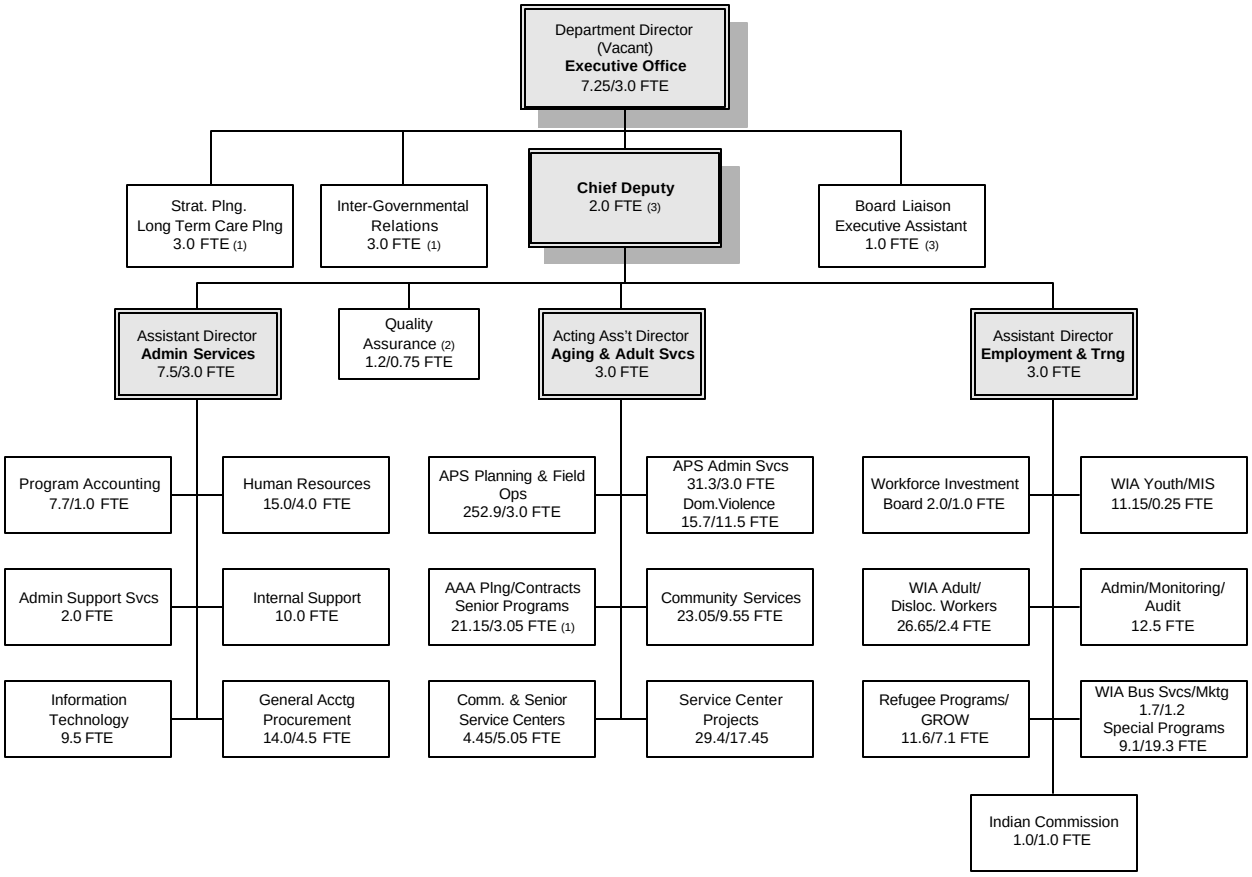
Exhibit #16: Differences in Program/Function Names and Listings

3/18/04 2003-04 Est. Actual Staff Analysis Summary and Details	Branch/Division Org Chart
Aging & Adult Services /APS	**Aging & Adult Services/APS**
▪ APS Administrative ▪ APS ICM Contracts ▪ APS ICM Planning ▪ APS Information & Assistance ▪ APS Program	▪ APS Protective Services ▪ APS Planning and Resource Development/Monitoring Legislation Media Campaign ▪ Special Operations Unit ▪ APS Field Operations ▪ North County Field Operations ▪ South County Field Operations
Administrative Services/Human Resources	**Administrative Services/Human Resources**
▪ Human Resources (includes Training which reports directly to the Ass't Director on the branch org chart)	▪ Human Resources ▪ Employee Relations ▪ Exams/Recruitment ▪ Operations/Benefits

A relatively accurate[10] organization chart, based on information collected during the interview process, is presented in Exhibit 17 on the next page.

[10] blueCONSULTING's count of employees and assignments may still be inaccurate due to the conflicting information provided.

Exhibit #17: CSS Organizational Chart
Source: 2003-04 Estimated Actual Staff Analysis Summary and Details, 3/18/04



501.5 budgeted filled FTE/98.1 temp FTE

(1) Charged to Exec Office
(2) Charged to different functions, including WIA Adult, Refugee/GROW, Senior Programs, Community Services, and Quality Assurance
(3) Included in Exec Office

Finding #18: The current division of functions by branch does not effectively reflect programs, services, or target client populations.

The historical division of functions by branch (adult- and senior-related versus employment and training programs and services) does not accurately reflect programs and services actually provided. For example, programs funded by Community Services Block Grants (CSBG) are managed by the Community Services division in Adult and Aging Services, while another CSBG program, the Native American Indian Commission, is a one-person division in Employment and Training.

- Contract monitoring is staffed differently in each branch, resulting in a lack of consistent monitoring practices and procedures.
- Direct services and contracted services are not separated by branch, each of which requires a different kind of management focus and expertise.
- Human resources functions are divided between two divisions in the Administrative Services branch to accommodate the temporary placement of the program manager over the Aging and Adult Services branch. While the majority of human resources functions are directed by the Personnel Officer II in the Human Resources division, employee relations and training are under a CSA III who is the acting Division Chief over Administrative Support Services.
- Information Technology is both centralized and decentralized, without appropriate matrix reporting relationships to integrate and coordinate data.
- The individual responsible for all Employment and Training data reporting and branch information technology reports to a program manager over WIA Youth programs.

Readiness for Future Department Needs

Two indicators of readiness for future Department operations are the rate and reasons for employee turnover and the loss of institutional knowledge and expertise due to expected retirements. While 149 employees have left CSS over the last three years, and 62 individuals can be expected to retire soon due to more than 30 years in County service, neither of these factors present a significant impact on the Department's future operations.

Exhibit #18: Turnover January 2001 through March 2004

Position	Number	Percent of Total Turnover
Management/Supervisory		
Social Services Supervisor	2	1%
Information Systems Supervisor I	1	1%
Supervising Administrative Assistant III	1	1%
Human Services Administrator I	1	1%
Human Services Administrator III	1	1%
Community Center Director I	2	1%
Community Center Director II	1	1%
Project Supervisor	5	3%
Program Manager	4	3%
Assistant Director	2	1%
Director	1	1%
Professional/Technical		
Student Professional Worker (temporary worker)	22	15%
Student Worker (temporary worker)	24	16%
Social Worker Trainee	4	3%
Social Worker	25	17%
Accountant III	1	1%
Community Center Specialist I	1	1%
Community Services Analyst Aide	2	1%

Exhibit #18: Turnover January 2001 through March 2004

Position	Number	Percent of Total Turnover
Community Services Analyst I	5	3%
Community Services Analyst II	10	7%
Community Services Analyst III	10	7%
Member, Commission on Aging	5	3%
Neighborhood Worker, Sr Citizens, NC	2	1%
Accounting Technical II	2	1%
Accounting Clerk II	1	1%
Clerical/Administrative		
Computer System Operator	1	1%
Intermediate Clerk	1	1%
Senior Clerk	2	1%
Intermediate Typist Clerk	5	3%
Senior Secretary II	1	1%
Special Services Assistant I	1	1%
Management Secretary II	1	1%
Management Secretary III	2	1%
Total	**149**	**100%**

Exhibit #19: Expected Retirements

Position	Number	Percent of Total
Management/Supervisory		
Social Services Supervisor	1	2%
Project Supervisor	8	13%
Human Services Administrator I	4	6%
Human Services Administrator II	1	2%
Human Services Administrator III	1	2%
Community Center Director I	3	5%
Community Center Director II	2	3%
Program Manager	5	8%
Assistant Director	2	3%
Professional/Technical Positions		
Social Worker	4	6%
Community Services Analyst II	15	24%
Community Services Analyst III	1	2%
Community Center Specialist II	1	2%
Information Systems Support Analyst I	1	2%
Information Systems Supervisor II	1	2%
Senior Departmental Personnel Technician	1	2%
Accountant III	1	2%
Accounting Officer II	2	3%
Clerical/Administrative Positions		
Intermediate Typist Clerk	1	2%
Supervising Typist Clerk	1	2%
Secretary II	1	2%
Senior Secretary II	1	2%
Procurement Assistant II	1	2%

Exhibit #19: Expected Retirements

Position	Number	Percent of Total
Management Secretary III	1	2%
Executive Secretary III	1	2%
Supervising Administrative Assistant II	1	2%
Total	**62**	**100%**

F. Management and Staff Qualifications

The Department is staffed predominantly by long-term employees, with a number of relatively new hires in management positions. Findings in this section are based on Information Document Request-5, the results of confidential interviews, and CWTAPPS and other records provided by the Department. Many trained and qualified staff work at CSS and perform their assigned duties. A number of individuals, however, may lack the expertise or experience to perform the jobs to which they are currently assigned.

Finding #19: Lack of comprehensive training and inappropriate assignments have resulted in unqualified personnel in some positions.

Many long term staff who started out in clerical positions have transitioned into more professional and administrative positions without the proper background (educational, experience, training and knowledge) to perform at the higher level. CSS management has rewarded people for being excellent clerks, assistants, and secretaries with promotions to positions that require technical, analytic, and management and supervisory skills they do not have. Additionally, the Department has not required additional training to assist these people in their functions. Ultimately, management has lowered the standards and expectations of higher level positions based on how people perform and not on what the job requires.

Interview participants reported having to cope with both long-term employees and more recent hires who lack basic job skills.

- Numerous staff have poor written communication skills
- Program monitoring staff lack the ability to interpret or manage their program budgets
- New and recently hired social workers lack the ability to write cohesive field reports
- Mid-level analysts do not have a formal understanding of their roles and responsibilities

Finding #20: Managers and supervisors throughout the Department lack such "strong manager" attributes as leadership, effective communication and interpersonal skills, appropriate delegation, and accountability.

A review of resumes and confidential interview notes reveals that while most individuals in management positions at CSS have adequate technical background and expertise (with a few exceptions) to perform as managers in their current positions, many are not perceived as good managers:

- Several individuals in management are considered to be poor managers because they do one or more of the following:

- ⇒ Humiliate their staff
- ⇒ Make unreasonable demands
- ⇒ Impede effective communication
- ⇒ Take no action when problems are reported
- ⇒ Commit fraud or permit fraud to be committed

- Distrust of hiring and promotion practices contributes to employees' perceptions that the "right" people are not in management and supervisory positions.
- One Assistant Director has no expertise in the assigned position.
- One Assistant Director has limited expertise in several critical functions that is not compensated for by expertise in other areas.
- One Program Manager had no management or supervisory experience prior to being promoted to the current position and had no program-specific expertise.

The lack of recent direct experience is exacerbated by the lack of communication and teamwork between different areas of expertise – Aging versus Employment and Training, for example. Although individuals at the level of Assistant Director should have the management depth and experience to make lateral moves from one branch to another, especially after many years in the County and with the same Department, the impact of branch silos effectively undermines confidence in managers' abilities throughout the organization.

G. Communication

blueCONSULTING reviewed communication at CSS from two perspectives:

Internal Communication

The office of the Chief Deputy has recently initiated an ongoing Executive Summary of issues that is regularly updated and distributed to Department managers. A preliminary draft of an Internal Communication Plan, prepared in the last quarter of 2003, describes the steps required to develop a formal Internal Communication Plan, including an employee survey and implementation of a completed plan, but stops short of describing a proposed schedule of meetings, attendance requirements, etc. There is no indication in the document provided if action steps have been completed by the target dates (ranging from September 2003 through August 2004).

Although these are positive steps toward improving communication at CSS, they have not bridged the organization silos that exist within the Department and have not yet contributed to a climate that fosters teamwork.

Finding #21: General staff meetings are not routinely conducted.

With some recent exceptions, managers do not meet with their staff on a routine basis. Some managers have claimed to conduct routine staff meetings, but these accounts have been contradicted by employees in subsequent confidential interviews. Additionally, there are few

opportunities for cross-branch interaction among similar functions, such as program managers or monitors.

Finding #22: Many do not attend mandatory meetings.

Interview participants reported that a number of employees and managers are routinely absent from mandatory meetings and that there are no consequences for missing a mandatory meeting.

Finding #23: Lack of email for many staff at remote locations thwarts use of the Department intranet for Department-wide communication.

Because many staff do not have access to the intranet or internet at their workstations at field offices and service centers, they cannot easily communicate with each other or receive broadcast email regarding Department-wide issues (e.g., meeting announcements, new policies, etc.).

Participation in External Meetings

In response to our information data request[11], we received several lists describing formal and informal communications at CSS. CSS staff participate in numerous meetings, as Department representatives on multi-department committees and task forces, as staff to councils, commissions, and related committees, and at periodic conferences. Altogether, CSS managers reported they or their staff participate in more than 90 meetings. (Note: Each manager reported their data in a somewhat different format, so there may be some overlap).

Finding #24: There are numerous commissions and committees that require substantial time and energy from CSS personnel.

Because many of these assignments do not necessarily have clear objectives linked to the Department's mission, time spent preparing for and attending meetings may detract from time spent on assigned job duties. These commissions include the Los Angeles County Commission on Aging (LACCOA), Area Agency on Aging Council, Community Action Board, Los Angeles City/County Native American Indian Commission, Self Governance Board, Workforce Investment Board, and Domestic Violence Council. Appendix D describes the purpose of the major committees and councils and discusses their accomplishments within the last twelve months, identifies the Program Manager and Support Personnel for each, identifies the work performed by support staff, estimates the amount of time spent on each per month and provides the additional costs for each committee, if any. Assistant Directors and program managers estimated the number of hours their staff contribute to committees and task forces each year. The hours and FTE (number of hours divided by 2,080 hours per year) are identified below.

[11] Information Data Request-3

Exhibit #20: Staff Time Dedicated to Committees and Task Forces

Committee/Task Force	Hours per Year	FTE
Workforce Investment Board	**5,789-5.909**	**2.78-2.84**
▪ Business Services Marketing Committee	1,500	0.72
▪ Certification/Recertification Committee	960-1,080	0.46-0.52
▪ Executive Committee	360	0.17
▪ Fast Track Approval Committee	360	0.17
▪ Legislative Action Committee	384	0.18
▪ Mature Worker Council	700	0.34
▪ Financing and Quality Improvement Committee	860	0.41
▪ Financing and Quality Improvement Committee—Workforce Development Task Force	650	0.31
▪ Financing and Quality Improvement Committee—Asian Pacific Islander Task Force	15	0.01
Youth Council	**3,360**	**1.62**
AAA Advisory Council and **Los Angeles County Commission on Aging (LACCOA)**	**1,168-2,212**	**0.56-1.06**
▪ Annual Meeting of the AAA Council	120-160	0.06-0.08
▪ Communication and Intergenerational Task Force	48-96	0.02-0.05
▪ Elder Abuse and Fraud Committee (APS, AAA Council and LACCOA)	24-36	0.01-0.02
▪ Employment Transportation Committee	48-96	0.02-0.05
▪ Housing Committee	60-168	0.030.08
▪ Legislative and Advocacy Committee	48-96	0.02-0.05
▪ Membership Outreach Committee	48-96	0.02-0.05
▪ AAA Council Nominating Committee	120-160	0.06-0.08
▪ Older Woman's Issues Committee	160-256	0.08-0.12
▪ Speakers Bureau (AAA Council and LACCOA)	48-96	0.02-0.05
▪ LACCOA Annual Meeting	120-160	0.06-0.08
▪ Finance Committee	96-192	0.05-0.09
▪ Geriatrics Task Force	12-48	0.01-0.02
▪ Link Newsletter and Website	96-192	0.05-0.09
▪ Transportation Committee	48-96	0.02-0.05
▪ Health and Long-Term Care Committee	48-72	0.02-0.03
Domestic Violence Council and Community Services Resources Corporation	**4,248**	**2.04**
▪ L.A. County Domestic Violence Council	4,080	1.96
▪ Community Services Resource Corporation	168	0.08
▪ APS Commissions, Councils, and Inter-Departmental Task Forces (e.g., Residential Care Safety Task Force, Financial Abuse Specialist Team)	**2,664**	**1.28**

Finding #25: Commission and council activities may not contribute meaningfully to CSS operations.

As discussed above, CSS staff spend a substantial time attending commission and council meetings, conducting research, and providing support to committees. However, a number of commission and council members believe that, the quantity of CSS staff time notwithstanding, the commissions and councils actually contribute very little in terms of decision-making, policy development, or making an impact on aging or other issues. With the exception of WIB and CAB members, who actually determine funding allocations, other members feel they may be satisfying legislative mandates but doing little else to contribute.

H. Fiscal and Contract Management

There is inadequate fiscal management at CSS at several levels.

Finding #26: Inadequate fiscal policies have resulted in ineffective allocation of resources and left the Department vulnerable to perceived or actual abuse.

The Department has inadequate fiscal practices, policies, and procedures that result in ineffective allocation of resources, difficulty in managing budgets, and the lack of fiscal monitoring of CSS-administered contracts. Furthermore, there is actual and anecdotal evidence that funds have not been appropriately allocated or accounted for. Fiscal mismanagement has occurred over a long period of time and reflects:

- **Lack of management oversight**. Combined with a cultural bias for "looking the other way," this has contributed to poor record-keeping as well as fiscal abuses. Several interview participants reported that past or current managers would ignore or not follow up on reports of fiscal mismanagement.
- **Lack of leadership and accountability for fiscal management**. No one at the Department, from the Director through Program Managers, has been held accountable for appropriate budget management and oversight. This has tended to promote the Department-wide perception that neither fiscal program monitoring nor budget management are high priorities. In fact, although responsibility for fiscal issues is clearly stated in the job requirements, most program managers and supervisors have not had adequate communication with the fiscal section to determine fiscal status or projections.
- **Lack of expertise**. It is possible that Department managers lack the fiscal management expertise and experience to manage their budgets or exercise appropriate fiscal control over their areas.
- **Fiscal problems**. The Department retained an outside accounting firm, KOG, Inc., to evaluate specific types of fiscal practices in WIA, the budgeting and accounting section, and the Employment and Training fiscal accounting and budgeting accounting section. The Department neither informed the Auditor-Controller of these audits, nor shared the three resulting reports (presented in Appendix F).

The summary of recommendations from the first audit[12] listed below illustrates the extent of fiscal and program monitoring policies and procedures.

Exhibit #21: Summary of February 2003 Audit Recommendations

- Establish a single accounting system, which provides data allowing monitors and program administrators to make informed decisions
- Develop a flowchart of a process for receipt, review, approval and payment of invoices
- Develop obligation, expenditure and cash control registers
- Establish a tracking system and procedure for treatment of carryover funds
- Develop a procedure for reviewing costs to ensure proper classification (of costs)
- Establish procedures and policies for disbursement of cash that assures proper internal controls
- Establish internal controls for processing of all refunds
- Develop a reporting handbook for required reports
- Establish a process for review and approval of vendor and subcontractor invoices including a checklist
- Establish a process for determining the expenditure of funds on a first-in-first-out (FIFO) basis
- Establish a process for periodic reconciliation of expenditures claimed by service providers to the amount paid as well as a reconciliation of total agency costs with the Department's accounting systems to CAPS
- Develop a process for identifying contractors who will no longer be funded and procedures for closing out contracts
- Establish a consistent and timely oversight process of all program activities to comply with State and regulatory requirements and ensure that programs are being operated in compliance with laws, regulations and policies
- Develop procedures for writing monitoring reports and resolution of findings
- Establish a tracking system to identify contractor audit requirements and resolution
- Establish a system for debt collection that assures the proper disposition (reprogramming or refund to State) of disallowed costs
- Provide staff training in such areas as proper classification of costs, internal accounting processes and procedures, fiscal policies, oversight, audit determination and resolution of debts, fraud and abuse

The summary of audit findings from the second audit[13] presented below demonstrates the Department's lack of appropriate budgeting policies, procedures, and practices.

Exhibit #22: Summary of July 2003 Audit Findings

- The budget is not used to promote study, research and a focus on the future
- The budget does not appear to provide a basis for evaluating performance
- The budget does not appear to be a source of motivation
- Budgeting does not appear to be a means for coordinating grant activities
- Budgeting is not a means of communicating plans and instructions
- The annual budget does not reflect program objectives
- Departmental indirect costs are not constructed in an allowable manner
- The Department's administrative costs are not distributed in accordance with an allowable methodology
- The organization of the One-Stop System may cause the CSSD to misclassify administrative and program costs reported to the State of California

The follow-up audit conducted in March 2004 reports on the status of implementation of the two previous audit recommendations. CSS prepared a response to the findings in this audit.

[12] KOG Associated Final Report on Evaluation of the Current WIA Fiscal System (February 27, 2003)
[13] KOG Associates Inc. Final Report on Evaluation of Budgeting Accounting Section (July 24, 2003)

Please note: blueCONSULTING did not review each audit finding to determine the extent to which recommended changes were implemented.

Copies of these audits, and the CSS response to the third audit, are presented in Appendix F.

Finding #27: Monitoring functions are decentralized within the Department, although there has been a recent attempt to centralize certain functions both within branches and the Department.

- The monitoring/audit function for Employment and Training has recently been centralized under one Program Manager and numerous staff provided to conduct Employment and Training program monitoring.
- Monitoring for the APS program is provided in the Domestic Violence Programs/Council Unit under the management of a CSA III acting as a Project Supervisor.
- Monitoring for the AAA function is under the AAA Planning and Contracts section, which has about ten direct reports. This group processes contracts for approximately 50 contract agencies that provide such services as nutrition, home delivered meals, legal services, etc.
- The Department recently established a Quality Assurance Section reporting to the Chief Deputy. The purpose of this group is to provide some consistency among the various monitoring functions and to establish protocols for ensuring that monitoring is, in fact, performed within the various sections. This section also prepared a Contract Compliance Book to provide generic standards of operation of the various monitoring sections.

Finding #28: Ineffective contract monitoring at CSS reflects a lack of accountability and supervision, rather than an inappropriate organizational structure, span of control, or chain of command.

Although it has always been the direct responsibility of the program managers and the monitors in their division, it was only recently that invoices had to be approved by program personnel before payments could be processed. Before this recent change, invoices were paid without review of whether the work had actually been performed.

- Recent directives from Program Accounting (December 2003 and March 2004) have advised the E&T and APS/AAA Assistant Directors about invoice processing procedures. As stated in the March fiscal policy, *"Part of the Department's current practice requires program staff to forward a copy of the Board-approved signed contracts and supporting exhibits, i.e. budgets worksheets, to Program Accounting (PA). This documentation is required prior to processing any vendor Requests for Cash. However, the standard terms and conditions require agencies to submit all relevant/required documents, such as insurance and certifications, etc. to the E&T Contracts Unit or the Aging Branch. Any failure to submit required documents does not constitute a fully executed and complete contract… This policy/procedure achieves the goals of ensuring that for administrative and audit purposes, verification that the contract is fully and completely executed and serves as notification to Accounting staff that payments are authorized."*

- Attached to that policy was a Required Documents Checklist to be signed by the Program Manager. On that checklist were several required documents including Certifications such as Drug Free Workplace, Lobbying, Vendor's EEO Certification, Debarment and Jury Service Certification. Also included are required insurance documents and endorsements such as general liability certificate, automotive liability certificate, crime certificate, additional insured policy endorsement page, workers' compensation, professional liability, and property insurance certificate.

The primary issue is who should be responsible for ensuring that these contract documents are requested, accumulated and audited. This responsibility is better accomplished in a centralized function that is tied in with the Program Accounting function, leaving the program management function to the responsible program managers.

Finding #29: Recently (January 2004), three program managers and two project supervisors met to draft a plan for centralizing Contracting and Monitoring into one unit, but that plan has not been fully implemented.

The suggestion of the managers was to immediately implement a Centralized Contract Compliance Branch. The following functions were recommended to be included in the new branch:

- **Contracts/MOUs** including standard terms and conditions, negotiation, statement of work, budgets, cost allocation plans, supplemental documents, annual close out, recovery of funds, and training.
- **Monitoring** including on-site fiscal and program monitoring, fiscal risk assessment, line item review, comparison of budget to cost allocation—budget to actual, quality of service assessment, desk reviews of performance data to invoices, invoice to services rendered to participant file comparison, participant calls to verify services rendered, outcome and performance measurement, resolution of questioned costs, recovery of disallowed costs, and corrective action plans.
- **Audit** including single audit receipt and resolution, program audit based on moderate/high risk assessment, quarterly validation contractor costs—review to general ledger, reconciliation of expenditures/assets (inventory)—audit to grant budget, program income, resolution of questioned costs, recovery of disallowed costs.
- **Incident Reporting** including initial reporting to appropriate and governmental parties, follow-up on allegations, status updates to appropriate parties, assisting authorities in investigation, and final resolution of incident report.
- **Probation/Suspension/Termination/Waivers** including probation and sanctions, suspension based on non-compliance, termination of contractor across programs/grants, assistance in transition of program to other contractors, and seizure of grant assets (i.e. equipment, bank accounts).

Additionally, the group recommended that the recommendations included in the evaluation conducted by an external firm (KOG, Inc.) on the WIA Fiscal System, dated February, 2003 (and attached to this report as Appendix F), be immediately implemented Department-wide. This evaluation identified the internal control weaknesses in the administration of

Department grant funds, (i.e. accounting systems, cost allocation methodologies, internal controls, direct and indirect charging, and budget).

Finding #30: The cost allocation method utilized by the Department was inappropriate and has only recently been modified.

As discussed in the KOG, Inc. audit (see Appendix F), CSS continues to utilize an inappropriate method allocating administrative costs to CSS programs. Typically, administrative costs are charged to programs or organizational units based on the payroll or other measure of the program or unit size. In contrast, CSS allocates 50% of administrative costs based on size, and the other 50% based on actual monthly program expenditures. In this way, a relatively small program or unit can be charged significantly more than a larger program or unit simply by having more expenditures in a given month. This causes an unfair burden on smaller programs and units, while unfairly benefiting programs or units with minimal expenditures.

Finding #31: Some personnel may be inappropriately charged to programs to which they are not assigned.

As described in Finding #6 above, a number of interview participants believe that various employees are charged to programs to which they are not assigned or do not contribute. From a fiscal perspective, this makes it difficult to ascertain true program costs and may indicate an inappropriate or disallowed use of program funds (e.g., for non-program personnel) to support other programs.

I. Information Technology

Finding #32: Existing technology opportunities are not adequately utilized.

The IT staff have not worked well with other IT functional staff (such as APS personnel) to accomplish various goals, and the lack of automation within the Department causes an overall inefficiency in operations. In spite of recent attempts to correct the deficiency, APS employees are still hand-writing reports. Automation of the APS forms began several years ago but is just now entering the testing phase. Although they are trying hard and are committed to the project, personnel who have been assigned the responsibility for automation are not sufficiently trained or have the correct background to accomplish the automation in a cost effective manner. This is not the employees' failure but a failure of management.

Finding #33: Information technology resources and training are not equitably distributed throughout the Department.

- Some groups of employees have laptop computers, but have not received training on how to use them to increase their productivity.
- Many employees do not have access to either the CSS intranet nor the internet.

Once resources are more equitably distributed, training on how best to use the systems to allow employees to do their jobs more effectively and efficiently, and training on the proper and approved usage of the internet will be essential.

Finding #34: IT projects for AAA and APS have not been completed on a timely basis and it is difficult to understand the current status of any attempt at IT enhancements based on information provided in the various service requests.

Previously identified projects are not completed on a timely basis. For example, according to the Grand Jury Investigation in 2002:

"*CSS has contracted with the County's Information Technology Service (ITS) in the Internal Services Department (ISD) to develop a comprehensive (IT) System. The system is in its early design stages and is expected to be implemented by 2004. According to CSS, the new system will be updated daily, web-based, Windows application, CSS-LAN connected, Internet available, user-friendly, centralized, and comprehensive; it will track:*

- *CSS clients by programs so CSS can identify what services clients are receiving at any given time*
- *Data for the generation of reports, including performance measurements and outcomes,*
- *Contractor expenditures as CBOs submit performance data.*

An added benefit is that the system will link the CSS branches into one automated system (currently APS and AAA have different computer systems)."

Although these are appropriate goals, to date, there is no integrated case information management system within APS and all of the above desired goals have yet to be realized. This deficiency results in having to enter the same data over and over again through all the required forms. There is no retrieval capacity and no assistance in entering new data. There is constant talk from management about adopting a computerized information database system, but after years of effort and large expense, no system is operational. Substantial dollars have been authorized for Internal Services Department and outside vendors to assist in the various automation programs within APS/AAA over the last several years. Progress on these expenditures is not clear and the focus needs to be reconsidered. As shown in Exhibit 23, there have been at least eight service requests for various IT projects since September 2002 for a total of more than $1.6 million. It is difficult to determine the exact purpose of some of these expenditures based on the description of work required.

Furthermore, the computers provided to APS field staff are not useful for case data entry and storage. Personnel are not connected to the internet and County intranet. Internet access is a desirable element of social work services, including professional research, continuing education, and professional development. Email is also an essential element of effective APS social work practice, but most social workers do not have access, although there are long standing plans to increase access. Existing computers are stand-alone and disconnected. Even where forms are available for use, social workers are not required to use the on-line forms. Several people mentioned that the provision of lap tops for social workers has not been an effective expenditure.

For example, the process of assigning a social worker to a case from the VIP section includes the following steps:

- The work request is faxed to the field social worker
- The social worker sees the client and prepares an initial report, usually hand-written.
- The social worker calls the VIP section and leaves a voice message about the status of the case
- The social worker faxes the handwritten report to the VIP section.
- A clerk in the VIP section transcribe the voice mail and puts it in the client file.

This process could be simplified, shortened, and be less subject to error if the social worker had completed a on-line case report form and emailed the results to the VIP section.

Exhibit #23: Expenditures for ISD Assistance for APS Automation
September 2002-December 2003

Fiscal Year	Date of Request	Job	Description of Work Requested	Authorized Amount
2002/2003	9/12/02	Area Agency on Aging Program Automation (AAAPA)-Hardware and Software Procurement	Request that ISD/ITS provide AAAPA System Hardware and Software required for the implementation of the AAA application as specified on the submitted Project Control Document for CSS' AAAPA project.	$104,206.52
2002/2003	9/16/02	AAA—Technical Support & Maintenance of Existing AAA System	Request that ISD/ITS provide on-going technical support and maintenance for the existing AAA (PC Focus) System during the implementation of the new AAAPA application as specified on the submitted Project Control Document for CSS's AAA project.	$126,336.00
2002/2003	9/17/02	AAA System Development	Request ISD/ITS provide System Development services required for the implementation of the AAA application as specified on the submitted Project Control Document for CSS's AAAPA project.	$391,600.00
2002/2003	4/7/03	AAA System Development	Request ISD/ITS provide system development services required for the implementation of the AAA application as specified on the submitted Project Control Document for CSS's AAAPA project.	$180,120.00
2002/2003	4/7/03	AAAPA-Hardware and Software	Requesting an increase of $81,824.55 for development hardware.	$81,824.55
2003/2004	12/18/03	AAA Technical Support and Maintenance of Existing AAA System	Request that ISD/ITS provide on-going technical support and maintenance for the existing AAA (PC Focus) System during the implementation of the new AAAPA application.	$154,860.00

Exhibit #23: Expenditures for ISD Assistance for APS Automation
September 2002-December 2003

Fiscal Year	Date of Request	Job	Description of Work Requested	Authorized Amount
2003/2004	12/18/03	AAAPA-hardware and Software	Provide AAAPA System hardware and software required for the implementation of the AAA application for AAAPA.	$75,000.00
2003/2004	12/18/03	AAAPA/System Development	Provide System Development services required fro the implementation of the AAA application for the AAAPA project.	$508,080.00

Finding #35: Centralized and decentralized information technology functions are not well integrated.

Because there is not a Department-wide IT strategy, technology resources and expertise may not be optimally allocated.

- WIA MIS reports to a Program Manager with no technology expertise.
- The individual responsible for IT in APS has virtually no interaction with the IT division in the Administrative Services branch.

J. Human Resources Policies and Procedures

Human resources practices, policies, and procedures have been inconsistently communicated and implemented at the Department. Many individuals at all organizational levels have reported inappropriate implementation of out-of-class bonus payments, promotion, transfer, or disciplinary policies.

Finding #36: The personnel management processes are perceived as perhaps the largest problem confronting the Department.

This organization is, hopefully, one of the last within the County family to understand that individual performance is more important than interpersonal relationships when considering personnel for promotions and performance reviews. There were numerous allegations of "you scratch my back and I will scratch yours" in the promotion process, rather than reviewing an individual's background and qualifications. There were even allegations of changing test answers to ensure that specific individuals received promotions. This has led to a situation where some managers in positions of authority are ill prepared for their promotions and, unfortunately, even those who are appropriately promoted and who deserve the promotions, are viewed skeptically.

- There are numerous and substantial concerns that management has promoted personnel based on personal relationships and not based on objective evaluation of personal performance and needs of the organization. This, in turn, has lead to low morale within most levels of the organization.
- Perception that management uses the "acting" title to ensure that preferred personnel obtain future promotions.

- Poor performance is not dealt with and good performance is not rewarded. In fact, the good performers are given more and more work to do while poor performers are left alone. In the long run this will lead to even greater morale and work performance issues.
- Management is not consistent in applying discipline for routine issues such as showing up for work on time or attending mandatory meetings. Again, the lack of discipline leads to a feeling of "why should I follow the rules if no one else does and they get away with it?"

Staffing and Span of Control

Finding #37: Excessive use of out-of-class and acting nomenclature and the inconsistent payment of out-of-class bonuses indicate an inappropriate and inconsistent application of human resources policies.

It is difficult to evaluate the actual number of organizational levels and spans of control because the Department excessively uses "out-of-class" and 'acting" nomenclature. For example, one individual who is a CSA II is being paid out-of-class as a CSA III but is also acting as a Project Supervisor. Spans of control vary from very small (one or two people) to seven or more people. Number of levels is also difficult to evaluate due to overlapping responsibilities of job titles such as CSA I, CSA II, CSA III, and Project Supervisor. This entire area would benefit from a more in-depth review.

According to a report generated by CSS Human Resources on April 5, 2004 from the CWTAPPS system, CSS has 647.5 budgeted FTEs, of which 530.5 or 82% are currently filled (553 individuals, including temporary and part-time employees).

Based on the April 5, 2004 report:

- 395.5 FTE (75%) are filled by individuals in budgeted positions
- 120.5 FTE (23%) are filled by individuals at lower levels working out of class
- Only 49 FTE (41%) of those working out of class receive the out-of-class bonus, including:
  - ⇒ 100% of social workers
  - ⇒ Two of 24 (8%) CSA IIs
  - ⇒ Six of 12 (50%) in fiscal and accounting positions
  - ⇒ One of four (25%) in information technology positions
- All individuals reporting to an Assistant Director are called Program Managers (who are not necessarily actually managing a program), whether they have similar levels of expertise, responsibilities, or scope of work or are working out of class:
  - ⇒ Personnel Officer II
  - ⇒ Information Systems Manager I
  - ⇒ Fiscal Officer I
  - ⇒ Project Supervisor
  - ⇒ Executive Assistant

Hiring and Promotions

Individuals at all organizational levels reported problems with hiring and promotion practices at CSS.

Finding #38: The wide spread lack of accountability at CSS as well as poor resolution of personnel problems contributes to perceptions that hiring and promotion decision are based on factors other than qualifications.

In confidential interviews and letters, some employees stated that they were not promoted due to racism or favoritism. Others feel that employees complain about racism and favoritism because they believe their longevity entitles them to promotion regardless of their (lack of) skill, experience, or expertise. In other words, available data do not indicate whether promotions are based on racial or other factors, but the perception of racism and favoritism is created by unskilled managers who do not communicate adequately or realistically to their staff regarding promotion opportunities and who may continue to give good performance evaluations.

Finding #39: A hiring and promotion audit[14] conducted the DHR in 2002 revealed numerous infractions of County hiring policies and procedures.

Audit findings indicated many cases in which information was missing, incorrectly stated, or not appropriately filed. While these problems may have had a minimal impact on actual hiring and promotion decisions, the nature of the problems demonstrates lack of oversight and quality control, and inattention to detail.

A copy of the audit is presented in Appendix F.

Training

Finding #40: Training within CSS is decentralized and not consistent, leading to numerous examples of personnel in positions without proper training.

Training within CSS varies by area and is lacking in a number of important functions. APS provides ample training for social workers, including a multi-day four module core curriculum, covering such topics as abuse, self-neglect, case assessment, legal issues, criminal justice, mental illness, etc. General employment and management training, however, has not been sufficient and has not occurred in the appropriate areas of Departmental responsibility. For example, sexual harassment training is currently being scheduled for managers and supervisors. But all employees need to receive this training and know that the County has no tolerance for inappropriate behavior. (Additional training on sexual harassment will be scheduled for all employees).

The four sources of data[15] on training range from September 1987 through April 2004 and include:

[14] Source: Department of Community and Senior Services Delegated Examination Program Review Report, November 2001

- APS Branch Training, January 2003-March 2004 and Other CSS Training, July 2003-April 2004. (Source: Electronic file, "training records.xls" provided electronically by CSS, May 12, 2004).
- APS Branch Training, June 1997-July 2003. (Source: Printout "APS Training", 57 page spreadsheet document, printed March 4, 2003).
- Other CSS Training, July 2003-April 2004. (Source: Electronic file, "training records.xls" provided electronically by CSS, May 12, 2004).
- Other CSS Training, September 1987-April 2004. (Source: CSS Training Course Attendees, Report Date: May 3, 2004).
- Administrative Services Branch, September 1999-January 2004. (*Source: Undated print-out for Administrative Services Branch).*

Much of the completed training appears to be technical, social work related training, dealing with such topics as elder abuse, medication misuse or abuse in older adults, working with the disabled, death and dying, etc. Other courses are in general work environment-related topics, such as written and verbal communication, management and supervision, and time management.

Training highlights from available data for Administrative Service, APS, and other CSS employees are presented in the following exhibit. A table listing all the training programs is presented in Appendix G.

Exhibit #24: Training Highlights from Available Data

- 240 different courses attended
- 574 attended "Consumer Service Enhancement" or "Customer Service"
- 169 attended "Diversity"
- 161 attended "Ethics Training"
- 123 attended "Balancing Priorities & Time Management
- 110 attended "New Forms"
- 92 attended "Auditor-Controller Fraud Awareness"
- 55 attended "Discrimination Prevention"
- 33 attended "Sexual Harassment"

Finding #41: Although most managers are trying hard to perform their functions, many managers have not been provided the proper level of training to effectively perform their jobs.

There are few written desk procedures or job specifications outside the general county classification specifications that detail the areas of knowledge, education or background required to do specific functions. There are few orientation or training programs for staff when they are hired, promoted or transferred to new assignments. It is not uncommon to have two persons with the same job function yet one has a high school education and the other has a Master's degree. With this wide gap in knowledge and ability, there are bound to be inconsistent work habits and products. Management has not terminated, demoted or transferred persons who do not perform according to job expectations. They do, however, on occasion promote them to higher positions.

[15]Information Data Request-5

Finding #42: Training at CSS has been inadequately tracked.

Training coordination is centralized for most employees by the Departmental Training Coordinator in the Administration Services branch, but training for APS employees is coordinated by the Special Operations Unit in that division. Prior to 2002, Human Resources did not maintain Department-wide records of employee training. APS has maintained its own comprehensive training records. These are now being integrated with other branch records.

blueCONSULTING requested and received several documents and electronic files related to training, none of which covered the same time period or groups of employees. Therefore, it is not possible to summarize training attendance for the entire Department. As a result, although many may have participated in either mandatory or voluntary training, there are no comprehensive Department-wide records to indicate if training was completed. The lack of comprehensive records of training attendance means that many individuals may not have accurate records of training in their personnel files. It also makes it virtually impossible to conduct an accurate training needs assessment.

Finding #43: Few CSS employees have completed critical training in such areas as sexual harassment, ethics, and discrimination.

Given the types of personnel problems at CSS, more employees should have enrolled in sexual harassment, ethics, and discrimination prevention courses. For example, in comparison to 574 employees who have attended Customer Service or Consumer Service Enhancement training, only 33 had attended Sexual Harassment training when this audit began (according to available data).

Finding #44: Attendance by too few individuals reduces organizational impact.

As the table in Appendix G indicates, the majority of courses have been attended by a single or just a few individuals, limiting the relevance of the training. While some of these may address targeted needs of specific employees (e.g., business writing), work-related training that introduces or reinforces key concepts and skills should be broadly attended to raise the overall level of expertise.

VI. Conclusions and Recommendations

In the recent past, CSS management has been the subject of several studies – from Grand Jury investigations to audits by external firms, the Auditor-Controller (including this one), and the California Department of Aging. These studies have resulted in many recommendations for improvement, the number and magnitude of which has been overwhelming. Given all of the external assistance, input, and direction, management knows *what* to do, but is not sure *how* to do it or how to assign the *right people* to make it happen. Furthermore, the Department has agreed to do more that it can realistically accomplish, has had difficulty establishing priorities, and has been too easily distracted. *Therefore, the primary recommendation of this limited scope management audit is to focus on providing a finite number of programs and services to a narrowly defined customer base and to get this right.*

Our audit has revealed and confirmed that CSS has lost credibility with the Board of Supervisors, the public, and various stakeholders due to long-term lack of leadership, lack of accountability, and funding and program scandals. Given the ingrained culture within most areas of the Department, it is our conclusion that only a major restructuring and refined focus driven by strong leadership will correct the situation. After our evaluation of CSS's management, operations, and organizational structure, and CSS's ability to serve the needs of its customers and stakeholders, blueCONSULTING recommends that the Department focus on a single aspect of its current mission – meeting the needs of vulnerable adults and seniors. We believe that because this constituency will only grow in number and needs, that a continued separate County department dedicated to seniors is justified. It is our hope that, with strong leadership and emphasis on the basics of program and Department management, other related functions from other County Departments could slowly be added to this Department's mission.

This chapter presents this and other recommendations required to address the findings presented in the preceding chapter. The recommendations, mirroring the of the findings in the previous chapter, are presented in the following major subject areas:

- Mission
- Culture, Management and Leadership
- Communication
- Organizational Structure
- Fiscal and Contract Management
- Information Technology
- Human Resources Policies and Procedures

A. Mission

Recommendation #1: ***The Board of Supervisors should consider divesting itself of all programs and services not directly related to meeting the needs of the County's aging population.***

All programs not directly related to serving County seniors, with the potential exception of domestic violence programs, should be transferred to appropriate County departments. While

additional discussion and analysis may be warranted, we offer the following suggestions on programs to keep within the Department:

- Adult Protective Services.
- All programs presented earlier in Exhibit 9 (page 21) under the category of "Seniors," with the possible exception of Senior employment which may be more synergistic in an employment based service department.
- Community and Senior Service Centers as a methodology for distributing and presenting programs to seniors.
- Family Care Giver Support Program/60+.

Furthermore, CSS should retain two additional program areas: domestic violence and the services provided by CSBG. These two programs serve some of the most vulnerable County residents and families who require very basic and focused types of assistance (versus employment and training).The Department therefore has an opportunity to increase the synergy with APS and with service providers in the Community and Senior Service Centers, utilize the skills of CSAs, and apply the enhanced contract monitoring policies and procedures described in Recommendations 4 and 10 below.

All other programs under Community, Dislocated Workers, Refugees, and Youth should be considered as potentials for transfer to other county Departments, as discussed earlier.

Recommendation #2: ***Implement a "return to basics" planning process to redefine the Department's mission and develop a culture of responsibility and accountability.***

The Department should embark on an integrated planning process to develop and reinforce a culture of responsibility and accountability. While we are hesitant to recommend an additional "planning exercise," given our previous comments on strategic planning and implementation, we believe that an initial blueprint must be developed to drive the required organizational and cultural change.

The mission should reflect the newly refined organization's passion – caring for the County's vulnerable aging population. Values – which should be applied internally as well as externally to customers should emphasize such characteristics as respect for the individual, professionalism, effective communication, team effort but individual accountability, supervision through oversight and verification, and accountability for grant or taxpayer dollars. This process should focus more on the internal aspects of departmental management and accountability and less on the vision of what the Department could do in an ideal world. A "return to basics" mentality is crucial at this point to develop the framework for effectively and efficiently providing services to seniors in a manner that makes all employees proud.

B. Culture, Management and Leadership

Recommendation #3: ***Establish a Code of Professional Work Conduct.***

Establish a "code of professional work conduct" and distribute to all employees. Include in the code such common and basic courtesies as: returning phone calls within 24 hours, zero tolerance for degrading or demeaning comments to personnel, respect for diversity, the concept of "trust but verify" as a managerial discipline, commitment for meeting deadlines, zero tolerance for unethical or illegal activity, etc.

Recommendation #4: ***Develop and implement basic decision-making and approval protocols to ensure appropriate accountability and delegation of responsibility.***

Clarify and implement decision-making protocols, including required levels of review and approval authority. All employees should understand the kinds of decisions and actions over which they have authority and for which they will be held accountable. Managers and supervisors may not delegate their level-specific authority and will be held accountable for any inappropriate substitutions by lower level employees. Lower level managers and supervisors should understand that if they approve a given item beyond their level-specific authority, they will be held accountable for understanding and agreeing to whatever they have signed.

Recommendation #5: ***Standardize preparation of Board letters to improve quality, consistency, and timeliness.***

Mandate that every Program Manager or other essential personnel in the Department who are responsible for preparing Board letters attend a training session provided by the CAO analyst and County Counsel. Assistant Directors should also attend and ensure that no Board letter is submitted for review and approval until the proper format and content are achieved.

Recommendation #6: ***Review the need for, potential overlap and overall effectiveness of the various commission, committees and task forces at work in the Department and ensure that they provide appropriate and specific leadership and advice as mandated by law and as desired by the Board of Supervisors.***

As stated earlier, there is a great deal of time and energy spent by CSS employees in supporting the various commissions and their committees, etc. While we are not passing judgment on the value of these organizations, we do believe that an assessment of their overall contribution and effectiveness is warranted.

C. Organizational Structure

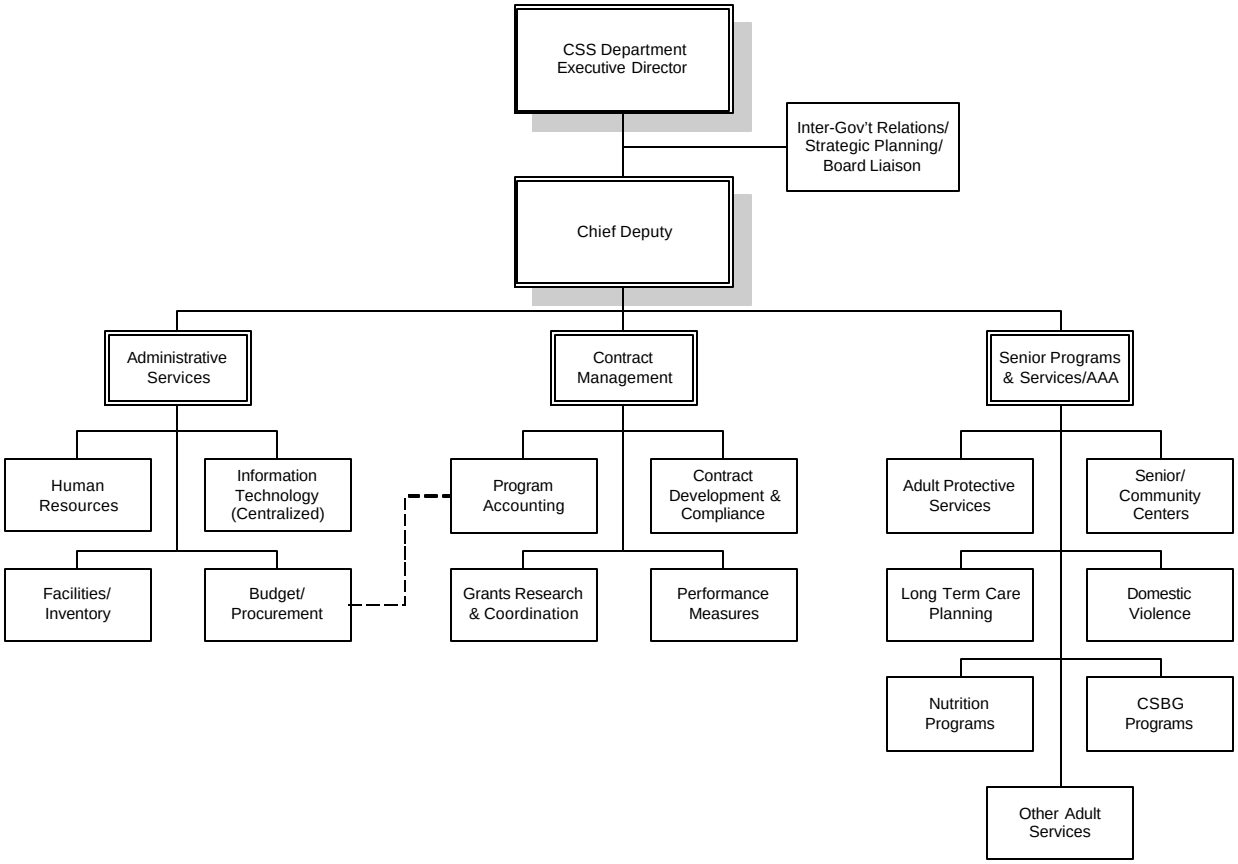
The organizational structure must be adjusted to meet the requirements of the smaller, more focused CSS.

Recommendation #7: ***Restructure the Department to have branches for administrative services, contract management, and senior services.***

The smaller Department should include Administrative Services and Senior Programs and Services, and create a new Contract Management branch to ensure strong fiscal and program oversight. Exhibit 25 on the next page presents the recommended organizational structure.

- The **Executive Office** should include the Director and Chief Deputy, as well as the strategic planning, intergovernmental relations, and Board liaison functions.
- **Administrative Services** should be restructured to include Budget and Procurement, Human Resources, Information Technology, and Facilities and Inventory Management. Administrative Support Services should be combined with Human Resources. Program Accounting will shift to the new Contract Management branch, but have a close "dotted line" relationship with Budget and Procurement.
- **Senior Programs and Services/AAA** should include APS, Senior and Community Centers, Long Term Care Planning, Nutrition, Domestic Violence, CSBG programs, and other services for seniors and vulnerable adults. AAA planning should be conducted at the Assistant Director level, because the funding from the Older Americans Act is so integral to all senior programs. While most staff will be involved in direct services through APS, this branch will still have contracts with CBOs to deliver such services as nutrition, domestic violence, CSBG programs, etc.
- **Contract Management** (discussed in more detail in Recommendation 10 below) should include Program Accounting, Grants Research and Coordination, Contract Development and Compliance, and Performance Measures. Staff in this branch will work closely with program managers in Senior Programs and Services to standardize and manage development of RFPs, review contracts, and ensure objective audits of contract compliance and overall program effectiveness. The Grants Research and Coordination function will focus on obtaining new funding sources for senior services. The Performance Measures unit act as a liaison between Department strategic planning and program outcomes, working with program managers and program monitors to develop and implement effective measurements of program success.

Exhibit #25: Proposed Organizational Structure



D. Communication

Recommendation #8: ***Develop and implement Department-wide communication policies and practices.***

With input at all levels, CSS should develop and implement policies regarding internal communication, including frequency of meetings (Department-wide, branch, division, etc.) and access to and use of internet and intranet

E. Fiscal and Contract Management

Recommendation #9: ***Review existing recommendations for sound accounting, cost allocation, and other fiscal policies and practices. Establish priorities and develop a timeline for implementation.***

Working with the Auditor-Controller, managers over budget, procurement, and program accounting should establish a timeline for implementing existing recommendations regarding fiscal policies and procedures.

Recommendation #10: ***Define and implement four distinct components of effective contract management: contract development, program management, contract compliance, and contract auditing.***

In general, contract development, contract compliance and contract auditing should be centralized within the Department. CSS may benefit from centralizing some of the RFP solicitation and administrative and financial aspects of contract management. Administrative and financial aspects include ensuring that all documentation is adequate to support invoices, required insurances are current, independent financial audits meet requirements and are conducted annually, and similar contract obligations.

It is our opinion, however, that the program services provided within the Department are too varied to centralize any programmatic aspects of management or monitoring. From dispute resolution to youth training to domestic violence, the missions and required monitoring should be unique and program-specific. In addition, federal and state regulations pertaining to each program's operations differ. Some specialized program knowledge is needed for effective and accountable program and contract management.

Furthermore, there needs to be a balance between centralized contract management and program management: the centralized functions should not shift primary program responsibility away from program managers. It is essential that the recommended centralized contract management function not minimize primary program responsibility by shifting responsibility away from program managers (in the Senior Programs and Services branch) to monitors and auditors (in the Contract Management branch).

In terms of overall program management responsibility, one individual, with appropriate staff support, should be held accountable for program implementation and results. That individual should ensure that the program is functioning as described in the contract and Board letter and that the budget-expenditure relationship is sound. To provide the appropriate checks and balances, however, staff in the centralized Contract Management branch will conduct periodic audits, verify monitoring practices, identify program issues and problems, and make recommendations for improvement. Program managers, however, will continue to be held accountable for effective program management, sound relationships with CBOs, and successful program outcomes. In other words, while fiscal and other program information may come from the centralized contract development branch, it should be "owned" by program management. The division of responsibilities and tasks is illustrated in Exhibit 26 on the following page.

Exhibit #26: Program and Contract Management Functions

Centralized Contract Management	Program Management
▪ Manage the RFP solicitation process: development of RFP package, requirements for insurance, and other County requirements ▪ Develop and review contracts ▪ Monitor contract compliance ▪ Conduct periodic audits of all Department contracts ▪ Ensure compliance with contract and funding source requirements	▪ Develop program work scope for RFP ▪ Prepare program timeline (RFP through Board letter) ▪ Draft Board letters for review by the Assistant Director and the Board liaison ▪ Manage relationships with CBOs ▪ Observe program operations ▪ Manage the fiscal relationships with CBOs, including review and approval of submitted invoices ▪ Work closely with centralized Program Accounting to ensure compliance with fiscal requirements ▪ Prepare a monthly financial summary of percent of allocation expended by CBO, remaining funding, invoices submitted, etc. ▪ Prepare a monthly status report on program progress, issues, and milestones for the Assistant Director and Chief Deputy ▪ Ensure successful program outcomes

F. Information Technology

Recommendation #11: ***Evaluate outstanding IT projects, establish priorities, and formalize an IT plan and timeline.***

Under the direction of the County Chief Information Officer (CIO) or the Internal Services Department (ISD), CSS should review the various attempts at automation in the Department and to facilitate and develop a plan for completion of the various projects. At the same time, the CIO or ISD should oversee the establishment of a high level information technology task force consisting of various program managers and others currently involved in the automation aspects within the Department. Verify that the existing approach and focus of ongoing efforts is, in fact, the proper approach and that each project has established due dates, budgets, etc. Prioritize each project and ensure that the most important projects are accomplished in a timely manner. This task force should be under the direction of the Chief Deputy, who should be responsible for assuring integration with other County efforts and obtaining input from the County CIO and ISD.

No vendor should be terminated or hired until a complete review of where each project is, sunk costs, etc. is known. A representative of the CIO or ISD should act as an interim Director of IT on an until a qualified, full-time person can be hired.

G. Human Resources

Recommendation #12: ***Evaluate Human Resources policies to ensure internal equity, fairness, and integrity in hiring, promotions, and salary adjustments.***

The County Department of Human Resources (DHR) should assist CSS in evaluating the policies and procedures listed below to ensure objectivity, compliance with County Human Resources policies, development of priorities, and the systematic implementation of the recommended changes.

- **Out-of-class and bilingual bonuses**. Eliminate all out-of-class and bilingual bonuses that are currently being paid. Criteria for a position receiving either bonus should be developed and employees should reapply based on that criteria. A committee consisting of a program manager, Human Resources personnel, and a union representative should recommend who is eligible for either out-of-class or bilingual bonuses and draft recommendations outlining their rationale. Each recommended bonus must be reviewed and approved by the Assistant Director and the Chief Deputy or Director.
- **Promotional examinations**. Work with the County Department of Human Resources (DHR) to ensure an open and competitive bid process and compliance with all policies and procedures regarding promotional exams. All interview forms and personnel tests should be completed in ink and signed and dated by the individual. There should never be an opportunity for exam answers to be changed to have a specific individual be offered a promotion. Communicate the review and revision of Department promotional policies to ensure that all employees know that the promotional process has been reviewed and will be objective and fair in the future. Consult with union leaders, as appropriate, to ensure implementation of recommended changes to the promotional process.
- **Acting/interim positions**. Reevaluate the use of acting positions within the department. No additional "acting" positions should be granted until a more objective process can be developed and approved. A testing process for internal promotions should be considered. It is essential that the current perception of unfair promotional practices that is pervasive throughout the Department be stopped, and that individuals who are qualified obtain the opportunity for promotion. Ensure that personnel who are in acting positions meet the minimum requirements of the position in terms of time in grade, degrees, etc. If a list for promotion exists, no person should be given the "acting" title who is not on that list, without written justification and approval of senior management. Establish a time limit (such as 9 months) for staff "sitting" on acting positions without promotion.
- **Training**. Develop a list of mandatory training and verify whether employees have received the training. For example, central records should indicate that an individual has received County-required sexual harassment or ethics training and the employees' signature should be shown on a sign in sheet. If current records do not exist, provide the training again. Working with program managers and employees, each Assistant Director should develop a training program for their areas of responsibility and ensure that staff are adequately trained to perform their jobs.
- **Job Classifications**. Conduct a Job Classification study to determine the potential duplication and need for Project Supervisors, CSA I, CSA II and CSA III positions.