

**SOCIAL SERVICE DEPARTMENT PLANNING AND RESEARCH:
A PROACTIVE ORIENTATION FOR CHANGE IN THE
SAN FRANCISCO HUMAN SERVICES DEPARTMENT**

Christina Moore Linville*

"The will to succeed is important, but what's even more important is the will to prepare."

Bobby Knight

INTRODUCTION

The planning function has different meanings in different organizations, ranging from formal development of an overall strategic plan to program review and analysis to development of management information systems tools: it can encompass community outreach and interaction, legislative analysis/advocacy and identifying and pursuing external revenue sources.

Planning and research, as assignments, exist to a formal and specific degree in few Bay Area Social Service Departments (notable exceptions: the Alameda County DSS Research Division and the Santa Cruz County Planning Division). The planning function is sometimes misunderstood and often undervalued. The research function requires sophisticated expertise and equipment. Each of these functions is limited by the scarce resources of the era. Last, both the planning and research functions are task-oriented, therefore fitting awkwardly, at best, into the more rigid role-oriented cultures of most social service bureaucracies.

When planning and/or research assignments are institutionalized in county social service departments, they vary in mission, duties and utility according to the needs, structure and capacity of *Bobby, Knight* the agency and, in no small way, to the vision and style of the agency director. One county which has institutionalized the planning and research functions is the City and County of San Francisco Human Services Department.

This paper examines the planning and research functions at San Francisco HSD¹ to determine implications, develop recommendations and outline action steps. Should such functions be expanded in the Contra Costa County Social Service Department. Moreover, this paper examines the potential for a planning and research function to contribute to the evolution of an agency from a role-oriented, bureaucratic system to a task-oriented, more flexible and responsive system, one more adapted to the newly-emerging public social service delivery environment of the 21st century.

As long as you're going to think anyway; think big." — Donald Trump

BACKGROUND

* Christina Moore Linville is a Social Service Division Manager in the Income Maintenance/Gain Bureau of the Contra Costa County Social Services Department

¹ See Attachment A for Internship Outline

Contra Costa County is a medium-to-large-size California county. Its Social Service Department (SSD) is the 12th largest in the state, with approximately 2% of the state's welfare caseload, in a state with about 15% of the nation's welfare caseload. Thus, with its nearly 16,000 AFDC² cases, Contra Costa County's caseload is larger than that of many states. The SSD is staffed by the Director, 3 Assistant Directors and about 975 other employees.

This county has a high degree of automation: AFDC, Food Stamps and Medi-Cal use the Case Data System (CDS-part of a consortium of 19 counties); the GAIN³ program uses the GAIN Information System (GIS); the General Assistance program uses the Pegasys System (a customized product); and the Child Welfare System is in the process of converting from the Social Service Reporting System (SSRS) the Child Welfare Services Case Management System (CW S/CMS). None of the current systems, however, routinely generates reports that could be used for comprehensive management information and organizational system planning.

Contra Costa County SSD has not had a formal planning function for at least 10 years. There has been no formal research function at all in institutional memory. Prior to the term of the current Director, planning in recent years tended to be reactive rather than proactive: in the more turbulent environment of recent years, few initiatives (notable exception: Service Integration Project) have been offered to stay ahead of trends in public social service delivery, test new models or innovate in the areas of structure or function.

Severe budget cuts in 1992-3 depleted management and support staff by almost 50%⁴. Assistant Director positions were cut from 5 to 3 and these positions, which had been decentralized, were removed from local offices. Classifications such as Division Supervisor and Clerical Office Manager were abolished. Span of control for line Supervisors was increased.

Local Program Managers became Division Managers and their responsibilities increased to include:

- direct supervision of up to 14 Income Maintenance Units (previously the responsibility of 2 Division Supervisors);
- the policy responsibilities of local Assistant Directors and assumption of responsibility for clerical and data control Units;
- facilities management assignments which were previously the responsibility of clerical office managers.

Since this time, program policy development has been largely through the recommendations of centralized Program Analysts, in consultation with managers and staff-level Program Committees. Broader policy decisions are developed in weekly Executive Team meetings, consisting of the Director and his direct reports. The Director identified a value in researching

² Aid to Families with Dependent Children

³ Greater Avenues to Independence

⁴ See Attachment B, Contra Costa County organization chart

whether establishing a formal planning and research function, with broader involvement of management staff in policy-making, would benefit the Contra Costa Social Service Department.

"The successful people are the ones who can think up things for the rest of the world to keep busy at."

Don Marquis

DEVELOPMENT OF THE SAN FRANCISCO HUMAN SERVICES PLANNING UNIT

San Francisco County (a county of similar size, overall, to Contra Costa) has an established Planning Unit in the Human Services Department that is part of the Planning and Fiscal Operations section⁵. This section reports up through one of three major divisions, the Administrative Division, which also houses Personnel and Training Services, MIS/Information Technology, Administrative Services, Contracts and Affirmative Action/Civil Rights/ADA.

The function of the Planning Unit is best understood in the context of three essential factors:

- the linkage between the budget process and the policy and values of the agency;
- the inclusive nature of the Department budget cycle;
- the physical proximity of management staff to one another.

Budget, Policy and Values

In San Francisco, the budget is considered to be both the agency's major planning tool and its major policy tool. The budget is considered to be a statement of the agency's primary goals and values.

Budget Cycle

The San Francisco County DHS budget cycle is an interactive and inclusive process⁶. Budget and Planning staff actively solicit and assimilate the input of management staff down to the level of Section Supervisor (a senior supervisor position similar to the Division Supervisor classification that was abolished in Contra Costa) over a period of several weeks each year, culminating in an annual, inhouse "budget retreat" at which all management staff (Section Supervisor and above) meet to assist in formulating a budget that aligns with the overall vision of the agency and contains initiatives which represent progress toward specific objectives associated with that vision.

Proximity of Staff

Most management staff are housed in one main building. Almost all other management staff are nearby (within 5-10 minutes' walking time). This makes it relatively easy to regularly bring all management staff together (Program Manager and above) to discuss broad agency issues. In San Francisco, executive staff interact directly and often (weekly) with middle/senior managers.

⁵ See Attachment C, San Francisco County organization chart and Attachment D, San Francisco County

⁶ See Attachment E, BASSC Interagency Exchange Memorandum

These managers, as a result, have a good grasp of the overall functioning and interconnectedness of agency programs. It is routine, for example, for Income Maintenance managers to have a good grasp of the working and functions of Child welfare Services, and vice-versa. Such expertise makes managers more adept at proposing budget initiatives that may be, by other Departments' standards, complex. It is in this context that the full value of the Planning and Research function, as it exists in San Francisco, is fully realized.

The Planning Unit was created in 1992, largely out of an identified need for legislative policy analysis. The first positions created in the Unit were in the Senior Administrative Analyst Classification, a journey-level analyst classification with minimum qualifications including a B.A. degree, planning, project management or legislative analysis experience and extensive personal computer experience⁷.

In its first year of operation, the activities of the Unit were largely in the area of legislation and legislative advocacy. Some program initiatives were developed. Then budget cuts in 1993-4 reduced staff resources devoted to planning and research. The Unit was built back to three (manager and two planners) in 1996 and began to operate more fully⁸ just as federal welfare reform was passed and signed by the President. Since that time, much of the resources of the Unit have been focused on planning, research and legislative advocacy as it applies to federal and state welfare reform.

"When you're planning, it looks like you're not doing anything. " — Project Manager

PLANNING AND RESEARCH FUNCTION – KEY ELEMENTS

The current Planning and Budget section functions under the supervision of a Planning and Budget Director, reflecting the close ties among planning, research and the budget cycle, as supported by the philosophy and values of the agency. There are currently 2 Planner/Analysts in the Unit, as well as a Budget Manager.

Director of Planning and Budget:

The Planning and Budget Director's responsibilities include:

- oversight responsibility for the budget process, under the supervision of the Deputy Director for Administration;
- participation as part of, and supervision of, the Planning Unit, which includes the research function;
- legislative advocacy, including the Mayor's lobbyist for welfare reform;
- participation in, and staff support to, the Director and the other Co-Chairs on the Mayors Welfare Reform Task Force.

⁷ See Attachment E Planning Unit Duty Statement

⁸ See Attachment G. Planning Unit duties as of 6/96

All staff interviewed during this internship expressed a high degree of respect and confidence in the incumbent in this position. The Planning and Budget Director seems to function as an "intersect" for many staff as new ideas and initiatives are introduced and processed. She receives some assignments directly from the Executive Director and performs some support duties for him (such as preparing testimony, talking points or background research for his presentations).

Within this position resides a great deal of responsibility for global knowledge and an expectation that the Budget and Planning Director will identify gaps, overlaps and duplication of services. This Director is expected to help Department staff become aware of, and integrate, the influences of external forces into their internal planning; and to build linkages between the Department and the community.

The Budget and Planning Director currently works closely with the Intern who coordinates the Mayor's Welfare Reform Task Force. This is a body made up of 3 Co-Chairs, 9 subcommittees and 180 members (service providers, community advocates, AFDC and other aid program recipients, employers and interested citizens). They have been meeting since November to develop a comprehensive, city- and county-wide response to welfare reform. A significant amount of Planning Unit resources, all agree, has been diverted to this and other welfare reform activities.

Budget Manager

The Budget Manager oversees development of the budget and supervises a budget analyst and a fiscal supervisor. The Budget Manager attends all Planning Unit meetings and also participates on some task forces and ad hoc planning groups. The Budget Manager's work supports the planning function by providing analyses of initiatives, such as the fiscal impact of welfare reform plans. The Budget Manager has primary duties that relate more to budget than to planning, but participates in planning activities as the need arises and as it fits with budget duties.

Planner/Analysts

The Planner/Analysts function as a team; however, each has lead areas of responsibility that align with his/her background, expertise and (to a certain extent) preferences. One has lead responsibility for Family and Children's Services and One, Adult Services (which, in SF includes AFDC). They consider themselves generalists and provide support for each other.

Both P/As cited the project orientation of their positions and the need for flexibility and a global, working knowledge of agency programs and operations. One has significantly more personal computer knowledge than the other and the one with less knowledge more or less trains herself when use of a new software package is introduced. They both routinely use word processing, spreadsheets, database programs and statistical applications. They agree that P/As need to understand data processing and management information system concepts, but not to the level of programmer. These P/As have also developed or assisted in the development, administration and analysis of surveys and focus groups.

The P/As see their primary duties as being support staff to management and line staff. by looking at (even ferreting out) management or program problems, analyzing programs. doing research and evaluating operations or procedures. Their goals are to assist in the development of new programs, policies or procedures that increase the agency's efficiency and effectiveness.

Both P/As sit on, and provide staff support for. subcommittees of the Mayor's Welfare Reform Task Force. A Presidential Management Intern from the federal Department of Health and Human Services serves as the Coordinator of the Mayor's Task Force. This Intern sits in the Planning Unit and supervises 4 locally-hired Interns. Their purpose is to support the Mayor's Task Force.

Both P/As participate in legislative advocacy activities, with the bigger share of this responsibility currently resting with the P/A with lead responsibility for Adult Services. The Adult Services P/A sits on the CWDA⁹ Legislative Committee, tracks bills and helps develop county positions on legislation. All Planning Unit members have been participating in State Legislative Special Conference Committee on Welfare Reform work group meetings in Sacramento, as well as attending, and preparing testimony for the Director and/or City/County Supervisors to deliver at, state legislative hearings.

The P/A for Family and Children's Services spends some time researching and writing letters of support for grant proposals. This P/A also represented the Department on the City-wide Collaborative Planning Commission for Children, Youth and Families and researched and help develop a Staff Morale Survey for the Family and Children's Services Division.

When Program Managers identify improvements needed in their programs, P/As work with them to provide background data, budget implications and information about indirect impact on other programs or department initiatives. Sometimes P/As approach Program Managers. instead of vice-versa. with ideas for improving programs. The P/As feel they have good relationships with Program Managers and that their (P/As) work is seen as valuable to program staff.

"The world is moving so fast these days that the man who says it can't be done is generally interrupted by someone doing it." — Harry Emerson Fosdick

SUCCESSSES AND CHALLENGES ASSOCIATED WITH THE PLANNING AND RESEARCH FUNCTION

Most who were interviewed expressed knowledge of the workings of the Planning Unit (with the exception of some Program staff interviewed¹⁰) as well as an understanding of the value of its activities. While notable successes have been achieved, there appear to be some challenges which are inherent to the function and other challenges relating to the circumstances of the times.

Successes

⁹ California Welfare Directors Association ' See "Challenges" section

¹⁰ See "Challenges" section

Successful initiatives of the Unit. in addition to the accomplishments cited in the preceding sections, include:

- publishing a Briefing Book on welfare reform (a large binder containing demographic and other extensive department information for other agencies, elected officials and the press);
- assisting in development, administration and evaluation of a survey of AFDC recipients to determine their background, skills, education, job history and service needs to become work-ready;
- assisting in a process of focus groups of AFDC recipients and GAIN participants, to help determine system and organizational culture changes that will be needed to function effectively in the welfare reform environment;
- helping to plan a restructuring of services from program focus to client focus;
- developing and conducting a Longitudinal General Assistance Characteristics Survey that currently spans 5 years and will be continued into future years;
- producing the Department of Human Services Annual Report;
- producing an Emergency Response Service Expansion Cost Analysis for the Family and Children's Services Division.

Challenges

- Many interviewed, including Planning Unit staff. agreed that there is some awkwardness in the organizational position of the Unit. Should it be related to. or separate from. Program? Should planning and research report to the Executive Director? There are good reasons, pro and con, relating to both questions.
- Planning Unit staff enjoy the flexibility of their assignments; however. they recognize a consequence of this is an ongoing need to identify, and work to, eliminate duplication of effort. Roles are sometimes unclear and responsibilities can overlap.
- There is some strain between the Planning Unit and other sections that appears to be inherent in the function of planning and research. As one who was interviewed put it, "Any time the Planning Unit is involved, that means change is involved-and change causes discomfort."
- Another potential source of stress between the Planning Unit and program sections is related to primary authority. Sometimes the Planning Unit staff are **given assignments that** may be perceived as intrusive by program staff. Some may even feel threatened by Planning Unit projects.

Planning staff noted that they usually have no formal authority or control when pursuing internal projects and agreed that good working relationships are essential to success. Some of those interviewed felt there needs to be a clear charge from the Executive Director regarding the activities of Planning Unit; and that it would be helpful for the Executive Director, program and planning staff to sit down at the beginning of some assignments. so there is understanding about the assignment and clear lines of authority and responsibility are established.

- It is important to regularly communicate Planning Unit activities, department-wide. This helps line and program staff understand the value of devoting resources to activities that can reduce work. make work more meaningful, improve client service and conserve scarce resources.
- Planning is sometimes thwarted by scarce resources. as evidenced by reductions in the SF Planning Unit during lean budget times. Other times, "planning" takes second place to "doing", as when change of the scope of federal and state welfare reform diverts planning resources to immediate and critical projects. Planning staff cited projects such as developing a long-term, strategic plan for the agency, and expanding capacity to include grant-writing, as activities put "on hold" by welfare reform needs.

At the same time, many interviewed stated that it was only with the onset of welfare reform that a more full awareness and appreciation of the activities of the Planning Unit was realized. The task-orientation of the Unit, its responsiveness and ability to quickly deliver varied and complex products (such as testimony, analysis of legislation, critical survey and demographic data, overview of the implications of program and regulatory change) proved well-suited to the needs of the welfare reform environment.

" When issues are misunderstood, the Wrong plans are devised. When the wrong plans are devised, wrong commands are given. When wrong commands are given, the wrong work is performed. When the wrong work is performed, organizations fail. When organizations fail, people suffer. The first thing is to achieve proper understanding." — Confucius

THE PLANNING AND RESEARCH FUNCTIONS: IMPLICATIONS FOR CONTRA COSTA COUNTY; RECOMMENDATIONS AND ACTION STEPS

Good planning is at the heart of most successful initiatives. Some counties have more informal planning processes; some limit planning responsibilities to executive staff. The management style and vision of the Director are key aspects of the agency's organization with regard to planning. Other key factors are staff resources, size of the organization and the extent to which there is a will to involve staff and the community in planning efforts.

Contra Costa County Social Service Department established a welfare reform planning assignment in early 1997. This assignment grew out of a redesign project for the Income Maintenance/GAIN Bureau and is more limited in its scope than the planning function as it exists in San Francisco. The Redesign process involved staff from all levels of the organization. As implementation of the redesign plan proceeds, staff at all levels are being called upon to participate in what is, essentially, the development of welfare reform policy.

In addition, Division Managers were called upon to more actively participate in developing the Department budget for the coming state fiscal year (SFY 97-8). The stage appears to be set, and the time ripe, for formalizing a planning function that more fully involves staff than in previous times.

This evolution seems to be supported by the evolution of the public social service delivery environment under federal and state welfare reform. Welfare reform service delivery will be time-limited and outcome-oriented. There is a great impetus to move from a role orientation toward a task orientation. There is less emphasis on organization by program or process under block grants and simplified, streamlined ways of delivering services. Research (data collection, surveys, tracking) is critical to quickly developing initiatives or making course corrections.

It seems clear that Contra Costa could benefit from a more formalized planning and research function. Planners can assist executive staff in developing long-term, strategic plans by analyzing and forecasting in current programs as well as by legislative tracking and advocacy. In an environment with a fuller involvement of middle managers in planning and policy development, planners can support the analysis of programs, formulation of local initiatives (with implications for the department) and evaluation of policy choices. The duties in a planning unit could include:

- forecasting and research, including analytical and administrative support, that would support the development of long-term, strategic planning initiatives by executive staff;
- identifying and coordinating projects that involve cross-division, inter- or intra-agency activities;
- legislative analysis, tracking and advocacy to advance the county's position in what is sure to be a multi-year evolution in state welfare reform legislation, including analyzing the impact of state and federal legislation and court challenges;
- participating in the legislative process, including formulation of legislation that specifies department participation in demonstration projects, pilot projects or allows Contra Costa County to conduct department activities not addressed in current law;
- activities that expand the department capacity to capture revenue for projects and department activities, including federal, state and local grants and foundation funding;
- conducting community information, education and outreach efforts to provide community-input into the planning and policy process;
- assisting local office staff to develop, carry out and evaluate initiatives that fit local program participant needs, including gathering and analyzing data, evaluating and monitoring program outcomes and developing policy recommendations;
- producing complex products that serve as planning tools and assist managers and executive staff in educating and informing the public.

Integrating the newly-established welfare reform planning function into existing department roles and processes has produced some of the same difficulties as San Francisco has experienced. Some of these seem inherent to the function. Some can be minimized by consistent efforts to keep lines of communication open between planning and other staff and regular revisiting of the purpose and scope of the planning effort as it relates to the duties, roles and responsibilities of other agency staff. Regular and clear direction from executive staff helps to keep projects on track. Consistent efforts must be made to identify and minimize or eliminate duplication of effort and gaps in implementing initiatives.

Implications and Recommended Action Steps

Contra Costa has differences of geography and management resources that inhibit the development of a planning function in exactly the way San Francisco has done. However, some of the excellent aspects of San Francisco's planning and research function could be transferred to Contra Costa. Other planning activities should be determined based on internal Contra Costa Social Service Department activities and needs. Steps toward realigning activities and formalizing the planning and research function include:

- Changes in the current organization structure, such as moving away from a primary organization around programs, and toward a primary organization around functions, with consideration for geographic and technological constraints, should be considered. Such changes would better support the development of planning initiatives that fit the welfare reform environment.
- Conducting a needs assessment and analysis of current department operations that would result in a duty statement for the planning and function:
- Changes in the scope of Division Manager responsibilities should be considered. For middle managers to be more fully involved in policy-making, some consideration for the large scope of their duties should be made.
- Managers can be more closely involved in the budget process. In future budget years, a continuation of this year's initial involvement could include: training on fiscal and budget issues; development of a formal process for solicitation of budget initiatives; and an annual "budget retreat" involving all management staff.
- As difficult as it may seem, given the constraints of duties and geography, regular (at least biweekly) meetings of executive staff with middle managers are needed to more fully inform managers about the overall workings of the department. As funding streams merge and local agencies gain more freedom to design programs, knowledge about other divisions' initiatives is critical to quality planning and policy development. Expanding this working knowledge is key to increasing the input of middle managers in the area of policy.

"There is nothing more difficult to plan, more doubtful of success nor more dangerous to manage than the creation of a new system; for the initiator has the enmity of all who would profit

by preservation of the old system and merely lukewarm defenders in those who would gain by the new one. " — Machiavelli

CONCLUSION

For over sixty years, the welfare system consisted of federal entitlements, complex federal regulations and strong federal oversight. At least in the AFDC, GAIN and child care programs, that mold has been smashed. It is now up to states (and in states such as California, with county-administered social service systems, up to counties) to plan for the future, develop and implement policy and achieve outcomes.

There is both risk and opportunity in this shift of responsibility to the local level. Agencies lacking the vision and/or the capacity are in danger of failing individuals and families in an environment where there may be less margin for error than ever in the past. With a vision and the organizational capacity to achieve it, public social service agencies have the potential to strengthen families and improve the quality of life for low-income citizens (and thus, for all) in ways that were not possible before welfare reform. Utilizing a formal planning and research function, to move in organized and consistent ways toward the agency's vision, can result in positive outcomes for both the agency and the public it serves.

Attachment A

BASSC Internship, 2-3/97: Outline

Host County: City and County of San Francisco Department of Human Services Planning and Research Function

Internship Dates:

- 1/21, 2/3, 2/18, 2/20, 2/24, 2/28, 3/3-6, 3/17-19

Internship Activities:

Read:

- FY 98 Proposed Budget Package (SF)-baseline, above baseline. Welfare Reform)
- Responses to budget initiatives requests (SF)
- Budget initiatives (CC)
- briefing book (SF)

Interview:

- | | |
|--|--|
| • Judy Bley | Director. Budget and Planning Division |
| • Hope Kamimoto | Planner/Analyst |
| • Trent Rhorer | Planner/Analyst |
| • Sally Kipper ¹¹ | Deputy Director, Administration |
| • Will Lightbourne | Executive Director |
| • Julie Murray Brenman | Budget and Fiscal Operations Manager |
| • Delores Heaven | Program Manager, AFDC |
| • Allison Logic ¹² | Coordinator, Mayor's Welfare Reform Task Force |
| • Dina Austin/Beatrice Fountain/Maria Arsedo | AFDC Eligibility 'Workers |
| • Stephanie Bornstein | Planning Intern |

Research/Interview Topics:

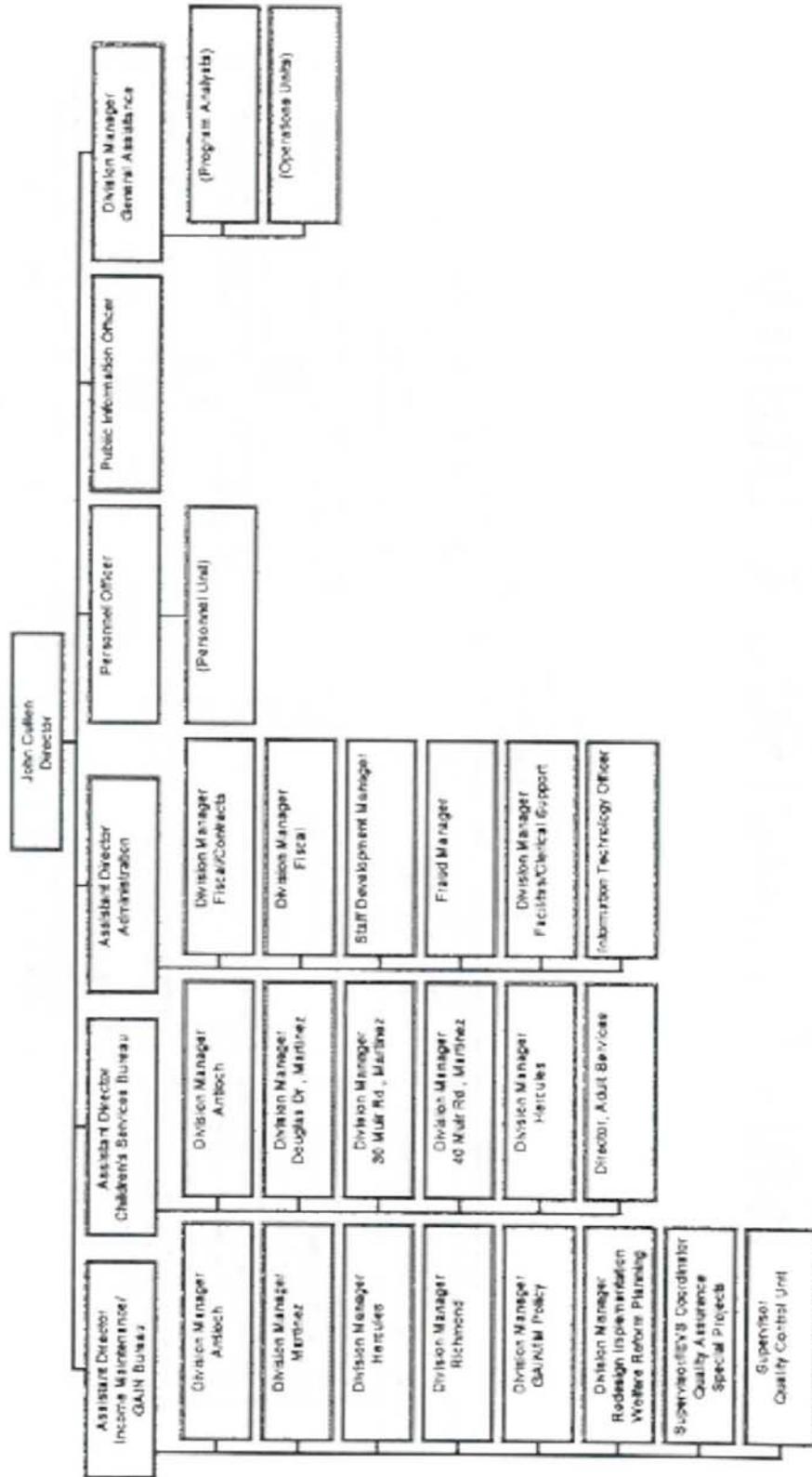
- the Planning function (including specific projects)
- the Research function (including specific projects)
- the Budget cycle/process (SF and CC)
- internal relationships-Planners with the rest of the Department
- external relationships-how Planners fit with the relationships the Department has with the Human Services Commission, Mayor's Office, other Departments/Agencies, the community
- internal and external equipment and support (software, consultants, etc.)
- other counties' Planning/Research function (Santa Cruz)
- welfare reform and its impact on the Planning/Research function

¹¹ not interviewed

¹² discussions but no formal interview (Ms. Logaie is an Intern from the Department of Health and Human Services, Washington, D.C.)

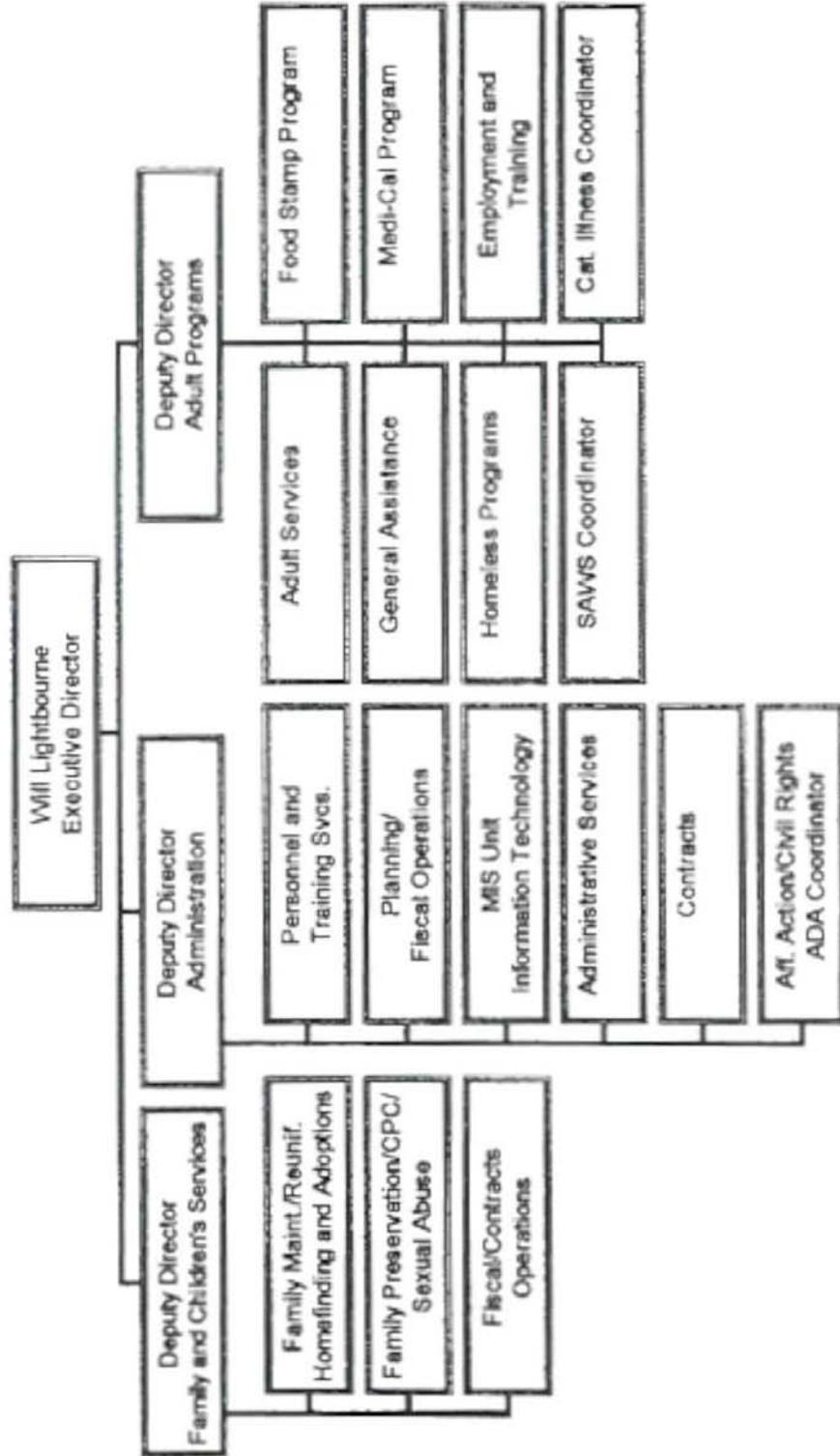
Contra Costa County

Attachment B



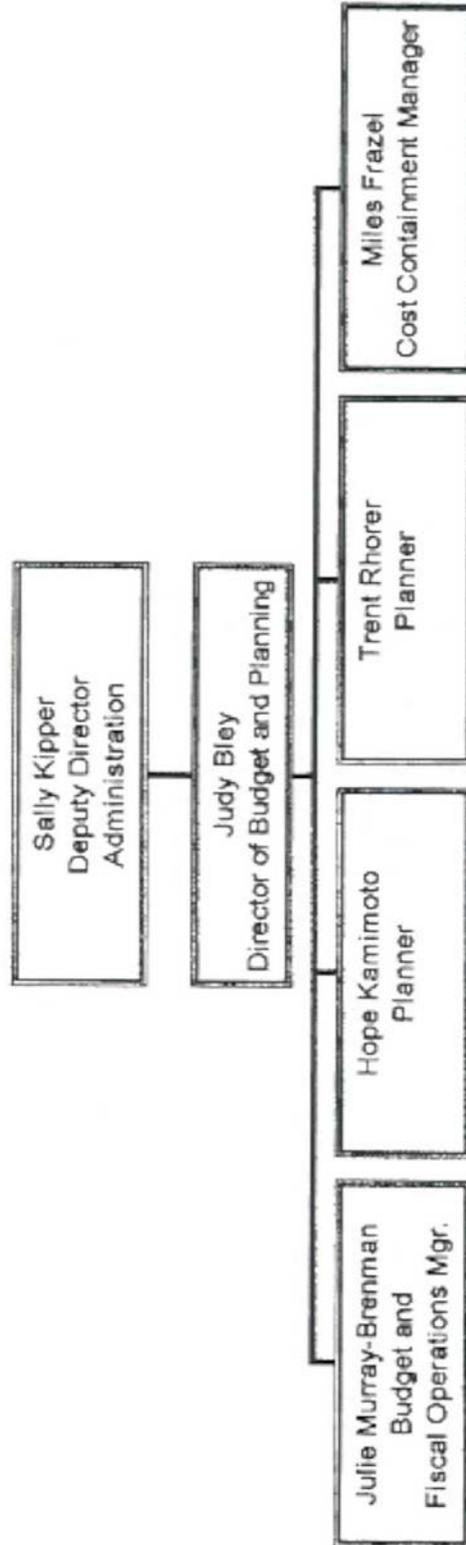
San Francisco County

Attachment C



San Francisco County-- Budget & Planning Unit

Attachment D



Attachment E

DATE: December 1, 1996

T0: John Cullen

FROM: Christina Moore Linville

SUBJ: BASSC Interagency Exchange — San Francisco County, Planning and Budget

Julie Murray Brenman, Budget and Fiscal Operations Manager for the San Francisco County Department of Social Services, hosted an interagency exchange on November 5, 1996 which gave us (John Tran from Alameda County and myself) the opportunity to get first-hand information about planning and about a budget process that is open, inclusive and performance-linked.

Overall: The most significant thing I learned was that there is a philosophy in San Francisco County. from both the planning and budget perspectives, that the budget is the expression of the agency's values and policies, not just a compilation of numbers. The Planning Manager called the budget the department's "major planning tool", while the Budget Manager called it the department's "major policy tool". Both the budget and planning processes involve staff down to the Senior Supervisor level (our now-abolished Division Supervisor class would be equivalent). Managers and Senior Supervisors are expected to participate directly in shaping policy through the budget process.

Planning: The planning function was established about seven years ago, when then-General Manager Julia Lopez identified a need for the department to impact state legislation in order to shape the future at the local level. The Planning Unit's central question is, "What do we need to make things better?" and its central mission is to then shape legislation to meet those needs. The original Planning Unit was staffed at four positions; the current function is staffed at two, plus one Intern.

Judy Bley, Director of Planning and Budget, works closely with Julie Murray Brenman and her staff to ensure that the budget reflects planning issues. The Planning Unit duties include: read and track legislation; develop agency positions on legislation; work directly with the county lobbyist, accompany him/her to Sacramento and testify on legislative issues; get city resolutions on bills the department supports; and author legislation. During the legislative season, Planning staff send bills to Program Managers (our Division Manager class) and above and ask for feedback and estimates of impact. They also keep department staff informed about the status of pertinent legislation.

This Unit works with the City Attorney and County Counsel (sending them legislation for review) in the areas of advising, dependency matters, overpayments and claims and other issues. This Unit and County Counsel each work with the county lobbyist directly and on an equal footing. The Unit also oversees grants and responses to RFPs (there's a city-wide group that works on this, and the Unit represents DSS) and represents the department at Board of

Supervisors meetings (both full Board and subcommittee levels). Unit staff write position and impact papers on budget issues, coordinate collaborative and regional efforts with other agencies, organizations and counties, attend executive staff meetings, respond to requests for information/data and respond to media requests.

They do less long-term strategic planning than they'd like because of limited staffing. Planners participate on the internal TANF Task Force, a city-wide Welfare Reform Task Force (headed by an Intern assigned out of the Planning Unit) and an in-house GA work group. Unit staff developed a Welfare Reform Briefing Book last year with the headings "Mayor's Task Force", "Reform Overview". "Impacts to SF", "Current AFDC Trends", "SF Demographics", "Research", "State Waivers", and "Community Questions".

Budget: The budget process involves all management staff and managers are encouraged to solicit input from line and senior supervisors at every stage. Julie Murray Brenman gives managers and above a time line for budget development each year and talks with managers about the process and the department's expectations.

The budget cycle is as follows: September-budget planning starts; October/November-a questionnaire for a different area of the budget is given to managers each week for six weeks to complete and return. Julie compiles all the comments and requests in preparation for the annual budget retreat; December-a oneday, on-site "retreat" for Division Managers and above takes place to discuss the priorities and needs that have been identified; January-first draft of the budget goes to the commission that oversees the Department; February-revised budget goes to the Mayor's office; February through June-DSS staff work closely with the Mayor's budget analysts to refine the document; June 1-Mayor's Office presents the Budget to the Board; July 31--deadline for budget to be adopted; August-rest; September-anew budget cycle begins.

We interviewed Mike Martin, the Mayor's Budget Manager. The Mayor's office has seven budget analysts for 65 departments. Each November, the Mayor's Office issues department budget instructions, which include a statement of the Mayor's policies and priorities as well as technical instructions. The Mayor's Office has mandated a mission-driven budget format which combines the annual department performance report with the budget, utilizing text and numbers to express the purpose of programs, values and priorities, set goals, report on achievement of goals (three-year performance measures, tying outcomes to expenditures) and outline objectives for the coming budget year. A traditional line-item budget is also prepared for internal use and for accounting purposes.

The Mayor's Office defends budget decisions to the Controller and Board of Supervisors. Mayor's staff must also ensure that the Mayor's global responsibility (a balanced budget) is met and that his priorities are kept at the forefront. Thus, the department budget must respond to, and is a reflection of, internal, mayoral and supervisory pressures.

Cost Containment: Our session included a presentation by Miles Frazel, Resource Manager. We learned about the breakdown of allocations (administrative and payment) and ways of computing costs (caseload projection, time studies, running a simulated claim all year long). We also learned about the significance of the annual allocation letter and January reallocation letter; and

that revenues must be budgeted according to accruals, not how much money is in the budget at any given time.

Summary: The planning and budgeting functions are closely tied. The budget process is open and inclusive. The budget is considered a planning and policy document. Staff at the Division-Manager- and-above levels play an active role in planning and in the budget process. The planning function includes internal and external coordination of efforts, direct and active participation in the legislative process and public information duties.

Attachment F
City and County of San Francisco
Department of Human Services
Planning Unit Duty Statement

The planner/analyst's primary purpose is to provide the management staff with analytical and administrative support so that programs are administered by the Department of Social Services¹³ in a humane and efficient manner.

- If assigned to Planning, assist program managers and staff to develop, coordinate and implement policies, systems and procedures in response to current organizational problems and provide policy recommendations based on research and analysis of programs in other counties in California and other states
- Monitor new DSS programs by gathering and analyzing data, evaluating progress and recommending policy modifications as appropriate
- Evaluate program effectiveness; develop and analyze data on department programs, clients and staff, write background pieces and make policy recommendations based on that data
- If assigned to Budget, assist with the developing, monitoring and preparation of the departmental budget by providing financial analysis and research, budget reports and recommendations and justifications related to the budget
- Improve data and information systems within the department to enhance management's decision-making process and to improve the department's base of knowledge
- Prepare information for, and make presentations to, the Social Services Commission; edit and prepare publications for use both within and outside the department
- Represent the department at community meetings and other functions outside the department
- Research and write grant proposals; identify ways to increase federal and state reimbursement for DSS programs
- Analyze the impact of legislation and court cases on the department and its clients, work with other staff and the city lobbyist on preparation of legislation and lobbying

¹³ Since renamed the Department of Human Services

Attachment G
City and County of San Francisco
Department of Human Services
Planning Unit

The Planning Unit has been providing support for the administration and programs of the Department by:

- completing complex statistical and financial analyses and doing evaluation of programs and projects
- developing policies and suggesting procedures
- completing and disseminating position statements and various reports
- developing, tracking, analyzing impact of legislation at the state and federal levels and working directly with our lobbyist and the city's Director of Intergovernmental Affairs
- acting as the agency's "gatekeeper" for requests from the other city agencies. CBOs. collaboratives and various groups seeking collatec)ration, partnering and funding
- receiving and reviewing grant opportunities (i.e., Federal Register) and detail on pending, approved and chaptered federal legislation from the city's program staff and providing feedback on our agency's interest and position
- representing the department in various collaborative efforts, task forces, planning groups and committees
- supporting the budget process by performing various analyses, statistical reports and providing other supports as needed
- representing the Executive Director at various interagency meetings (e.g., Human Service Cluster) and at public forums as a speaker and participant (e.g.. conferences, task forces, panels)
- performing other tasks as assigned by the General Manager and Assistant General Managers

In-house examples of these activities include:

- DSS Restructuring (program-driven to client-driven)
- GA/Food Stamp Merger
- GA Characteristics Survey (random sample has a 5-year cohort. with new group added each year)
- Human Services Department Annual Report
- Family and Children's Services (FCS) Statistics and Reports
- FCS Morale Survey
- FCS Emergency Response Service Expansion Cost Analysis