

ITEM 10

EXECUTIVE DIRECTOR'S REPORT

Workload, Strategic Plan, and Tentative Agenda Items for Next Meeting (info/action)

I. WORKLOAD

A. COMPLETED WORKLOAD SUMMARY

Type of Caseload	Completed in 2011/2012	Completed in 2012/2013 ¹
Test Claims	16	4
Incorrect Reduction Claims	35	12
Parameters & Guidelines	8	4
Parameters and Guidelines Amendments	8	2
Statewide Cost Estimates	6	4
Request to Review Claiming Instructions	1	0

B. COMMISSION WORKLOAD REPORT

Type of Action	Pending on 7/1/2012	Filed Since 7/1/2012	Completed Since 7/1/2012	Pending on 11/1/2012
Test Claim	36	0	4	32 ²
Test Claim Reconsideration	0	0	0	0
Test Claims Reconsideration or Reinstatement Based on Court Action	0	0	0	0
Incorrect Reduction Claims	126	1	13	114
Incorrect Reduction Claims to be Reconsidered Based on Court Action	0	0	0	0
Requests for Redetermination	0	0	0	0
Joint Reasonable Reimbursement Methodologies/Statewide Estimates of Costs	0	0	0	0
Proposed Parameters and Guidelines	11	1 ³	4	8

¹ As of November 1, 2012.

² This includes 12 test claims filed by school districts and 20 filed by local agencies. Ten of the local agency claims are regarding regional water quality control board permits, some of which have been placed on inactive status by the claimants pending the outcome of litigation regarding the extent of the federal clean water mandate.

³ Proposed parameters and guidelines may be submitted by the test claimant or expedited and issued by Commission staff upon the adoption of an approved test claim.

Proposed Parameters and Guidelines Amendments	12	1	2	11
Requests to Review Claiming Instructions	0	0	0	0
Parameters and Guidelines to be Amended, Set Aside, or Reinstated, as Directed by the Legislature or Court Action	0	0	0	0
Statewide Cost Estimates	9	4 ⁴	4	9
Appeals of Executive Director's Decisions	0	0	0	0
Regulatory Actions Pending	0	0	0	0
Pending Requests To Jointly Develop Legislatively Determined Mandates	0	0	0	0
Applications for Findings of Significant Financial Distress Pending	0	0	0	0

II. STRATEGIC PLAN (info/action)

See attached.

Recommendation: Staff recommends that the Commission adopt the proposed Strategic Plan.

III. TENTATIVE AGENDA ITEMS

The tentative agenda items are subject to change based on Commission workload, litigation, requests for extensions of time to file comments on draft staff analyses, hearing postponements, pre-hearing conferences, and the complexity of the statutes and executive orders that are pled.

January or April Meetings

1. TEST CLAIMS

1. *Teacher Credentialing*, 03-TC-09
San Diego County Office of Education, Claimant
2. *Accounting for Local Revenue Realignments*, 05-TC-01
County of Los Angeles, Claimant
3. *Standardized Testing and Reporting (STAR) II*, 05-TC-02 and 05-TC-03
San Diego Unified School District and Grant Joint Union High School District, Claimants and *Standardized Testing and Reporting (STAR) III*, 08-TC-06
Twin Rivers Unified School District, Claimant
4. *County Formation Cost Recovery*, 06-TC-02
County of Santa Barbara, Claimant
5. *Immunization Records-Pertussis*, 11-TC-02
Twin Rivers Unified School District, Claimant

⁴ Statewide cost estimates are not filed, but are issued after claiming instructions have been issued and initial claims have been received.

2. PARAMETERS AND GUIDELINES AND REQUESTS TO AMEND PARAMETERS AND GUIDELINES

1. *Behavioral Intervention Plans (BIPs)*, 4464
San Diego Unified School District, Claimant
2. *Interagency Child Abuse and Neglect (ICAN) Investigation Reports*, 00-TC-22
County of Los Angeles, Claimant
3. *California Public Records Act*, 02-TC-10, 02-TC-51
County of Los Angeles and Riverside Unified School District, Claimants
4. *Minimum Conditions for State Aid*, 02-TC-25, 02-TC-31
Los Rios and Santa Monica Community College Districts
5. *Uniform Complaint Procedures (K-12)*, 03-TC-02
Solana Beach School District, Claimant
6. *Crime Statistics Report for the Department of Justice*, 12-PGA-01
State Controller's Office, Requestor

3. STATEWIDE COST ESTIMATES

1. *Pupil Suspensions, Expulsions & Appeals*, 96-358-03
San Juan Unified School District and Kern County Office of Education, Claimants
2. *Voter Identification Procedures*, 03-TC-23
County of San Bernardino, Claimant
3. *Developer Fees*, 02-TC-42
Clovis Unified School District

4. INCORRECT REDUCTION CLAIMS

1. *Open Meetings Act*, 04-4257-I-367
County of Santa Clara, Claimant

ADOPTION OF STRATEGIC PLAN

Executive Summary

On May 27, 2010 the Commission on State Mandates (Commission) adopted its strategic plan for January 2010-December 2012. Commission staff has developed an updated proposed strategic plan for January 2013-December 2015 which is proposed for adoption at the December 7, 2012 Commission meeting.

Background

In early 2010, the Chair of the Senate Budget Subcommittee No. 4 requested that the state agencies subject to Subcommittee No 4 hearings; including the Commission, submit the following information:

- Mission Statement
- Strategic Plan
- Summary of enabling legislation
- Brief summary of who you serve and how many you serve for each of your major programs
- Description of measurements and outcomes you use to define success for each of your major programs

At the time, the Commission had not adopted or updated its strategic plan for several years. To respond, the Commission adopted an interim strategic plan on March 26, 2010, and submitted it to Subcommittee No. 4. The Commission then adopted a final strategic plan, which expires in December 2012, on May 27, 2010.¹

The Commission's strategic plan expires December 2012. Additionally, many of the goals have been met or require updating. Therefore, Commission staff have worked to expand upon and to update the strategic plan proposed for adoption by the Commission.

Staff Recommendation

Staff recommends the Commission adopt the attached Proposed Strategic Plan.

¹ Exhibit A.



Commission on State Mandates Proposed Strategic Plan

January 2013 – December 2015

Vision

The Commission on State Mandates timely renders sound decisions, in compliance with article XIII B, section 6 of the California Constitution, to resolve disputes regarding reimbursement for state-mandated local programs and to relieve unnecessary congestion of the courts.

Mission

To fairly and impartially:

- Hear and determine matters filed by state and local government;
- Resolve complex legal questions in a deliberative and timely manner; and,
- Produce well-reasoned and lawful decisions.

Values

We act with professionalism, integrity, objectivity, and efficiency in making determinations.
We value:

- Parties. We treat all parties with courtesy and respect and we consider their views with objectivity.
- Quality. We produce sound, well-reasoned decisions, in a timely manner, using innovative tools and techniques to improve our efficiency.
- Integrity. We demonstrate fair, honest, and ethical behavior.
- Safety. We provide a safe and healthy work environment to promote the physical and mental well-being of staff.
- Teamwork. We encourage cooperation and collaboration, and support personal and professional development.
- Sustainability. We ensure that our practices are protective of the environment and human health and are energy and resource efficient.

Goals and Implementing Objectives

1. Eliminate Caseload Backlog
 - a. Continue to implement the Commission's backlog reduction plan with a goal of completing claims within 12-18 months beginning in fiscal year 2015-2016.
 - b. Hear and decide all test claims filed through 2009 by the end of fiscal year 2013-2014. Hear and decide all test claims filed through 2012, which are not stayed due to litigation, by December 2015.
 - c. Continue to encourage the informal resolution of incorrect reduction claims by focusing on hearing and deciding claims with recurring legal issues.
 - d. Work to increase automation of repetitive administrative functions and eliminate duplication of efforts to ensure the efficient completion of workload.
2. Provide Superior Customer Service
 - a. Implement an interactive, user-friendly web based system for uploading and retrieving mandate-related documents and matter information by July 1, 2013.
 - b. Provide a user-friendly e-filing system to reduce the burden of service and filing requirements.
 - c. Meet with parties to gather input on Commission processes.
3. Promote Staff Development
 - a. Take appropriate steps to recruit and retain high quality staff.
 - b. Provide career development and training opportunities to enhance the skills and performance of staff and to prepare staff for promotion.
 - c. Adopt a succession plan by April 2013 to maintain essential functions and to ensure continuity of leadership for Commission staff in the event of extended absence or departure of a staff member.
4. Organize Business Processes
 - a. Update duty statements by June 2013 to reflect the goals and objectives stated in this strategic plan.
 - b. Revise Commission regulations by December 2013, to make the mandates process more user-friendly.
 - c. Update, and ensure staff annually reviews, all Commission policies and procedures.
5. Promote Sustainability
 - a. Continue to reduce paper usage through e-filing and e-service and reduction of printing.
 - b. Continue to look for new ways to exceed requirements for eco-sensitive procurement.
 - c. Encourage staff to individually reduce energy consumption and environmental impact throughout the workday.



Commission on State Mandates

Strategic Plan

January 2010 – December 2012

(Adopted on May 27, 2010)

Mission

The Commission on State Mandates' mission is as follows:

To fairly and impartially hear and determine if local agencies and school districts are entitled to reimbursement for increased costs mandated by the state.

Vision

The Commission on State Mandates' vision statement is as follows:

The Commission on State Mandates implements the most effective and expeditious services and processes to resolve disputes over state-mandated local programs.

Values

As an organization, the Commission on State Mandates adopts the following Statement of Core Values:

We act with professionalism, integrity, objectivity, and efficiency in making determinations. We value:

- Parties before the Commission on State Mandates. We consider the views of all parties with objectivity, courtesy, and respect.
- Excellence. We strive to make sound and well-reasoned decisions in a timely manner. We produce our work using innovative tools and techniques to improve our efficiency.
- Ethical Behavior. We demonstrate fair, honest, and ethical behavior.

- A safe and healthy work environment. We believe that physical and mental health is important.
- Teamwork. We, the Commission, urge our staff to function as a team. Staff members are encouraged to develop personally and professionally and to contribute their greatest potential.

Goals and Objectives

1. Caseload

Goal 1.1

Eliminate the test claim and incorrect reduction claim backlog.

Goal 1.2

Complete the caseload within the statutorily-required timeframes.

Goal 1.3

Increase the adoption of reasonable reimbursement methodologies by assisting claimants, Department of Finance, and the State Controller's Office in the development process.

2. Customer Service

Goal 2.1

Implement a new website system for retrieving mandates-related documents via the Commission's website by July 1, 2010.

Goal 2.2

Reduce paper usage by implementing procedures to allow claimants and state agencies to e-file documents by December 31, 2010.

Goal 2.3

Continue conducting annual meetings with claimants and affected state agencies to seek their input on ways to improve the Commission's processes.

3. Learning and Growth

Goal 3.1

Review current staff retention practices and identify and implement improvements that will result in retaining the high quality personnel currently staffing the Commission.

Goal 3.2

Focus on employee development and training by adding and/or updating courses in the Commission's training program.

4. Internal Business Processes**Goal 4.1**

Prioritize pending workload and consolidate claims to the extent possible so that workload is completed as soon as possible.

Goal 4.2

Review current division of administrative workload, and if necessary, reassign duties, so that the workload is more evenly distributed.

Goal 4.3

Update, and ensure that staff annually review, all Commission policies and procedures.

Goal 4.4

Annually review and update Commission's regulations to make the mandates process more efficient.

Goal 4.5

Actively promote sustainability in the Commission's policies and procedures to ensure that our practices are protective of the environment and human health and are energy and resource efficient.