

COUNTY OF SAN DIEGO, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject

Proposition 172 and New Program Revenues in the Sheriff's Department,
 Office of the District Attorney and the Probation Department

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PURPOSE

The Board wishes to work collaboratively with the District Attorney, Sheriff and Probation Department to develop an annual plan for the use of Proposition 172 funds and increased program revenues in order to:

1. Insure the taxpayers that the year-to-year growth in Proposition 172 and new program revenues will result in an increase in public protection services for both cities and the unincorporated areas of the county;
2. Encourage joint long range, integrated planning for public protection services;
3. Encourage an entrepreneurial spirit in public protection efforts to increase program revenues from sources unrelated to the general fund or Proposition 172 monies.

Background

Proposition 172, approved by the California voters on November 2, 1993, created a permanent one-half cent sales tax for public safety purposes. It was intended to provide funding resources to qualifying public safety programs.

The immediate effect of Proposition 172 was to provide relief for locally funded public protection programs since counties had been hit with the statewide property tax shift and would have been forced to make cuts in the absence of Proposition 172 revenues. In 1994, AB2788 created a maintenance of effort requirement with regard to the county expenditures for Proposition 172 programs and established 1992-93 as the maintenance of effort base year. This law also required an adjustment to maintenance of effort levels based on the annual change in Proposition 172 revenues.

The program allocation formula for San Diego County was established by the Board on December 14, 1993[1] when the Board approved a formula which allocated Proposition 172 revenue to the Sheriff (72.4%), District Attorney (20.4%), and Probation Department (7.2%). Recognizing the Maintenance of Effort mandates established for Proposition 172, the Board of Supervisors has augmented these departments budgets, as well as acted to reduce their net County costs. County funding for public protection departments was \$32 million above the Maintenance of Effort for 1995-96.

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New Program Revenue

Historically, new program revenues which result from departmental initiative have been used to reduce the net general fund cost of that department. These new program revenues have rarely been used to add or enhance service levels.

Policy

Twenty Percent of each year's Proposition 172 revenue growths will be subject to annual disbursement according to a program plan agreed upon by the participating departments. Of the remaining revenues, seventy percent will be allocated to the Sheriff, twenty percent to the District Attorney, and ten percent to the Probation Department.

All Proposition 172 growth will be used to increase public protection services in San Diego County. An annual plan for the expenditure of the funds will be presented to the Board as part of the budgetary process.

New program revenue will be used to increase appropriations in the department in which it is generated.

It is the intent of this policy that this coordination will result in integrated public safety expenditure plans, as well as increased law enforcement in both the cities and unincorporated areas. It is expected that the cities of San Diego County eligible for Proposition 172 funding will, likewise, share in annual growth revenue to some degree.

Planning Process

It is the intent of the Board of Supervisors to work with the affected departments to plan and budget for these funds.

In January, the Deputy Chief Administrative Officer/Chief Financial Officer (DCAO/CFO) will provide a preliminary projection of Proposition 172 growth for the upcoming fiscal year and will notify the Sheriff, District Attorney and Probation Department of the estimate.

By mid-February, the three public protection agencies will develop plans for the expenditure of the growth in Proposition 172 funds for the next fiscal year. Agencies which have identified new revenue sources will include them in the expenditure plan as well. The public safety plan shall be reviewed to determine its benefit to the public safety

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mission in both the cities and unincorporated areas as part of the budget presentations from the affected departments.

In February, the DCAO/CFO will update estimates and include those estimates in the construction of the Operational Plan.

The Proposition 172 plans will be included in the Proposed Budget.

Additional Proposition 172 revenue growth received later in the year will be added to the Reserve Designation Account for expenditure in future fiscal years unless such newly identified funding is identified early enough for inclusion in the annual change letter.

Definitions

Proposition 172 Growth - Growth means revenue which is above the level in the current year's adopted budget year plus any adjustments (positive or negative) from actual revenues of the prior year. The first year's growth will be measured against the 1996-97 Adopted Budget for Proposition 172 and program revenues.

Sunset date:

This policy will be reviewed for continuance by 12-31-2022.

Board Action:

9-17-96 (51)
12-09-08 (33)
11-17-15 (26)
10-29-19 (26)

CAO Reference

Deputy Chief Administrative Officer/Chief Financial Officer

**COUNTY OF SAN DIEGO, CALIFORNIA
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Subject

Compliance with the Countywide Records Management Program

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Purpose

In order to meet business and legal requirements, the County of San Diego requires a Records Management Program for managing paper and electronic files and strengthening the system for the creation, maintenance, usage, and disposal of County documents and records, including “official records.”

It is the intent of the Board of Supervisors that a Countywide Records Management Program be established for the purpose of assisting County Departments with managing content, regardless of format or medium.

Background

Records Management is the practice of identifying, classifying, archiving, preserving, and destroying records. It has been formally defined as the “field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.” (International Organization for Standardization 15489:2016)

There are 5 essential elements of an effective records management program. These include:

1. Records inventory and security classification
2. Accessibility and efficiency to retrieve records
3. Retention of records based on its lifecycle and disposition
4. Secure records storage for all electronic and physical records (including vital records)
5. Compliance with applicable California State laws, international standards, and best practices

The County establishes its Records Management Program in compliance with State law.

Policy

It is the policy of the Board of Supervisors that the Chief Administrative Officer shall create and maintain a viable Countywide Records Management Program in compliance with local, state, and federal laws.

The Countywide Records Management Program responsibilities shall include:

1. Guide departments on how to manage their content (either paper or electronic)
2. Maintain Countywide records policies and the global records retention policy schedule
3. Assist departments with development of departmental records retention policies and plans
4. Manage the Countywide annual Records Management audit

As such, the Board of Supervisors directs the following:

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1. All Departments and County Offices will comply with the guidelines and responsibilities established by the Chief Administrative Officer.
2. An annual audit will be conducted to ascertain departmental compliance with the adopted records management policies. The audit will be administered as directed by the Chief of Audits, Office of Audits and Advisory Services.

Responsible Departments

1. Purchasing and Contracting
2. Auditor and Controller
3. Elected Officials, Court Administrators and Department Heads

Sunset Date

This policy will be reviewed for continuance by 12-31-2022.

References**Board Action**

12/16/97 (32)
 03/12/02 (10)
 09/23/03 (10)
 05/13/08 (2)
 12-09-08 (33)
 12/15/15 (21)
 10/30/18 (23)
 10/29/19 (26)

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Risk Management	B-31	1 of 3

Purpose

To outline a risk management program for the County which includes the following:

1. To determine and ascertain that only Workers Compensation and Unemployment Insurance claims for which the County is legally liable and are a proper charge of the County, are paid.
2. To recognize the County's responsibility to expeditiously process payment of and to make accurate determination of the amount of claims for which the County is legally liable.
3. To minimize the net costs to the County of fidelity, property, Workers' Compensation, Unemployment Insurance, and other risk exposures arising from County governmental operations.

Background

As a provider of a broad range of public services, the County of San Diego is exposed to many risks in the area of general liability, fidelity, property loss and Workers' Compensation. The Risk Manager position and function has been supervised by the Fiscal Agency (1973-75), the Auditor and Controller (1975-78), and the Office of Management and Budget beginning in 1978. In July 1982, the total Risk function was moved to the Office of Employee Services (now the Department of Human Resources). In July 1984, the liability claims operation was transferred to County Counsel.

The term risk management as used in the professional literature, encompasses the following functions:

1. The logical, systematic and continuous identification of risks and exposures to loss.
2. Evaluation of the significance of the risks and exposures so identified (frequency, severity, probability).
3. Selection of prudent methods to absorb such risks (insurance transfer, non-insurance transfer, avoidance, retention) consistent with current economic and insurance market conditions.
4. Purposeful loss control action to eliminate losses or minimize their financial impact. Such action encompasses the general areas of safety, security, industrial hygiene, and

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pre-employment as well as selective post employment - physical examinations of County employees.

5. Management of Workers' Compensation losses which do occur so that injured employees are treated fairly and the physical assets and financial resources of the claim recipient (i.e., the County) are preserved as intact as possible. Medical treatment of employees suffering job-related injury or illness is included in this category.

6. Continuous review, evaluation and updating of the foregoing functions to reflect current needs in a constantly changing environment.

Thus, risk management is a specialized discipline intended to provide decision making authorities with data pertinent to the identification, analysis, evaluation and recommendation of alternatives for treatment of potential losses (risks) for ongoing as well as new County programs.

This Board policy provides guidelines for implementing a sound comprehensive risk management program for the County of San Diego.

Policy

It is the policy of the Board of Supervisors that:

1. County Officer Responsibility

Each department head and County officer is charged with the responsibility for:

- a. Identifying and evaluating the potential financial impact of any exposure to liability, fidelity, property or Workers' Compensation loss which may reasonably be expected to result from any governmental action proposed by, or conducted within the scope of authority of such officer;
- b. Taking appropriate action to avoid or minimize the risk of loss resulting from such exposures; and
- c. Including in the discussion of a Board letter for any action hereafter proposed by such an officer a summary of the loss exposure(s) inherent in the action, and actions taken or proposed to mitigate potential negative impacts. The fiscal impact statement should reflect the cost of these recommendations, if any.

2. Chief Administrative Officer Responsibility

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The Chief Administrative Officer through the Risk Division of the Department of Human Resources is charged with responsibility for:

- a. Coordinating County-wide the identification and analysis of the County's potential liability, fidelity, property or Workers' Compensation loss.
- b. Developing of policies and procedures for a comprehensive County-wide loss control/prevention program.
- c. Coordinating County-wide the development of financial mechanisms to provide for risk-related expenditures.
- d. Providing of technical advice and assistance to department heads related to their risk management responsibilities.
- e. Exploring with other public entities where appropriate mutual absorption or transfer of risk on a pooled basis and/or cooperative provision of accessory services.

Sunset Date

This policy will be reviewed for continuance by 12-31-22.

Board Action

1-24-78 (59)
 11-6-84 (11)
 8-8-89 (34)
 4-4-95 (28)
 6-15-04 (25)
 12/9/2008 (33)
 11/17/15 (26)

CAO Reference

1. County Counsel

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Competitive Determination of Optimum Service Delivery Method	B-63	1 of 2

Purpose

To establish a Board of Supervisors' Policy that the County's goals in providing a service, whatever the method of delivery, are quality, economy and productivity.

Policy

It is the policy of the Board of Supervisors that:

1. The County's goals in providing a service, whatever the method of service delivery, are quality, economy and productivity.
2. During the budget development process for each fiscal year, selected departments may be asked to analyze services, either County operated or contracted, to determine if the quality, economy and productivity are equal to that of an alternative delivery method, including other government agencies, and to determine how the revenues can be maximized so the highest level or volume of services can be provided. Government functions, functions inherently governmental in nature and not in competition with the private sector, and services which the County is legally and specifically prohibited from contracting, will not be considered for analysis.
3. Services to be analyzed must involve a minimum of five (5) staff years and \$500,000 direct cost.
4. All new services, services not currently provided by the County, will first be considered for contracting, the minimums in paragraph 3 not being applicable.
5. Whenever a service is considered for contracting, the General Managers and department heads concerned may consider whether managed competition is feasible given the scope of operations involved with providing the particular service.
6. In the case of County operated services contracted as a result of the foregoing analysis, some of the actual cost savings resulting from contracting may be allocated for use in other high priority areas as determined by the Chief Administrative Officer.
7. If contracted services are changed to County operated as a result of any analysis, the savings will be handled in the same manner as described in paragraph 6 above.
8. The impact of contracting on County employees will be minimized by:
 - Requiring contractors, to the extent permitted by law and the particular circumstances of the service, to give first preference in hiring to displaced County employees.

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-Departments' use of attrition where contracting is anticipated by holding positions vacant or filling them with temporary employees until a function can be contracted.

-Departments' use of transfers or reassignment within the department or to another department.

-Strict compliance with the County's layoff policy.

9. The Chief Administrative Officer will provide the necessary detailed guidance to ensure compliance with the foregoing.

Sunset Date

This policy will be reviewed for continuance by 12-31-22.

Board Action

7-28-87 (110)

12-12-89 (49)

6-5-90 (43)

10-23-90 (45)

2-26-91 (24)

4-30-91 (32)

7-30-91 (35)

03-14-06 (11)

12-09-08 (33)

09-15-09 (16)

11-17-15 (26)

CAO Reference

Chief Administrative Office