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# Do City of San José Leadership Development Programs Prepare Its Existing Workforce for Future City Management Positions? An Outcome Evaluation Comparing the City of San José's Succession Planning Strategies Compare to Other Local Municipalities.

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**Do City of San José Leadership Development Programs  
Prepare Its Existing Workforce for  
Future City Management Positions?**

***An Outcome Evaluation Comparing the City of San José's  
Succession Planning Strategies  
Compare to Other Local Municipalities.***

by

Ernest Azevedo

A Thesis Quality Research Paper  
Submitted in Partial Fulfillment of the  
Requirements for the Masters Degree in

PUBLIC ADMINISTRATION

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The Graduate School

San José State University

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## **1. INTRODUCTION/RESEARCH QUESTION/PROBLEM STATEMENT**

Throughout the nation, a significant number of public sector retirements will occur within the next few years, creating a skill and knowledge gap for numerous local government agencies (Calo, 2008). Experts have warned that in light of the looming retirements within public sector organizations, many of these positions will remain unfilled, because not enough seasoned and knowledgeable people are in place or qualified to readily fill their positions (Llorens, 2013, pg. 373). In fact, according to the U.S. Office of Personnel Management, the retirement of federal workers is surpassing projections, and they report that this trend is expected to continue, with an estimated 53 percent of full-time federal workers eligible to retire by 2014 (Wenger, 2012). According to research, the public agencies' dilemma is not just about responding to this developing human resources gap, but it is also about considering all the other issues and plans that need to be in place to bridge the gap before it begins to severely impact public sector service performance (Leland, Carman & Swartz, 2012).

Though employee retention is both a national and local problem, this research focuses on how the City of San José's current efforts, programs and initiatives are preparing, developing and maintaining its diverse and talented workforce for future city management positions. In addition, it provides an analysis of other local government succession planning efforts that are focused on leadership and management development programs.

The City of San José has experienced recent departures of senior management staff members. City Manager Debra Figone outlined several reasons for this exodus in a memo to the City Council, entitled *Background on Compensation Reductions*. These include factors such as that a third of the workforce is now eligible for retirement,

promotional opportunities exist in other jurisdictions, personal circumstances change, and reductions in the city's pay and benefit systems encourage early departure (City of San José, 2012a). General Fund shortfalls for ten consecutive years, totaling \$447 million, have resulted in increased staffing reductions, which also contributed to the loss of experienced staff (City of San José, 2011b). San José City Council members inquired about the city's workforce hiring practices, which prompted the City Manager to review the current hiring and recruitment processes for senior management, including any impacts of previous budget decisions on diversity and retention (City of San José, 2011b). The City Manager acknowledged the high level of recent turnover, and cautioned that it may be expected to continue, however, the response to the City Council was a commitment to continue preparing the next generation of management and leadership talent as a priority (City of San José, 2011c, pg. 4).

According to City Auditor Sharon Erickson (City of San José, 2012d), the City of San José's workforce has been significantly diminished by both retirements and ten years of staffing reductions from budget cuts. This was the result of the impacts from General Fund shortfalls between fiscal years 2002/2003 and 2011/2012. City staffing has declined from about 7,500 FTE to 5,400 FTE, a 28-percent decrease over this 10-year span, while the city's population continued to increase (City of San José, 2012d, pg. 4). Moreover, the city's annual turnover rate, which historically had been between 5 to 8 percent, increased to 14 percent in 2011 (City of San José, 2012d, pg. 26). Erickson noted that "37 percent of the remaining full-time permanent workforce of baby boomer age or older – including 11 percent of employees already eligible to retire as of September 2012 and another 13 percent eligible to retire in the next three years" (City of San José, 2012d, pg. 31) can be expected to leave. As a by-product of the City of San José's pension

reform initiatives, many employees opted to retire as soon as possible to ensure that their retirement benefits, including vacation buy-backs and sick leave payouts, did not disappear before they realized them (City of San José, 2012d).

Over the past decade, across the nation, thousands of employees of the “baby boom” generation have begun to retire, leaving their long careers in public service. This loss of human capital has affected public sector organizations as they struggle to remain proactive, strategic, and innovative, while implementing systematic responses to this growing problem in lean budget times. The City of San José has been one of many public agencies addressing the importance of filling the workforce and leadership gap caused by the exodus of knowledgeable and seasoned employees. The city administration and Human Resource management team have committed to improve the work environment for existing employees, and prepare strategies for workforce retention and succession planning, in spite of constrained resources (2011b and Shikada, 2012).

Though a large body of research has focused on the retirements of the aging workforce, public sector organizations, including San José, have also faced a retention problem. The San José Public Safety, Finance and Strategic Services Committee reported to the City Council that retirements were taking place at a faster rate than experienced during the “dot-com boom” era. Currently, employee resignations were on pace to hit nearly 4 percent of budgeted staff in 2012-2013 (City of San José, 2012d, pg. 36). This is up from 2 percent from just two years ago, and the highest point in the last ten years. In recent years, the San José workforce has expressed low morale in employee surveys due to lack of job security, pension reform and the most recent 10% salary reductions approved by the City Council in the 2012-2013 budget (Fairbanks, Maslin, Maulline, Metz & Associates (FM3), 2011). These policy decisions reportedly have had a



great influence on turnover rates in the City of San José. However, as stated in the City Manager's Fiscal Reform Plan (submitted in May 2011 as a Manager's Budget Addenda to the City's Operating Budget):

*It has been said that the City of San José will no longer be a competitive employer when we make changes to retirement benefits. Although the pension crisis and changes to retirement benefits are being discussed at a national level, we are at the forefront of making changes and as such, we must rethink what competitiveness means (City of San José, 2011a, pg. 9).*

Although the administration was in agreement with the need for additional staff resources to perform and implement these recommendations, unfortunately, the City Manager reported in her formal response to the audit that "it has been a challenge to dedicate resources to this specific function while also meeting the demand for basic human resource services. However, the administration will look for opportunities to add and/or redirect resources in the Human Resources Department during the annual budget process" (City of San José, 2012c, pg 4). By early 2013 the fiscal situation appeared to be improving in San José, according to the City Manager's Five-Year Forecast and Revenue projections for the General Fund (City of San José, 2013b). However, the demand for additional resources for workforce planning will still be in competition with other department needs, council priorities, and restoration of community services reduced over the past 10 years such as library hours, community centers and public safety services (City of San José, 2012b; 2013a). Years of successive budget reductions have cut city services to minimal levels (City of San José, 2010a, pg. 41). When considering any additions to the budget, the City of San José has determined guiding principles for restoring city service levels that will guide the budget balancing strategies and decisions (City of San José, 2012a). Moreover, Mayor Chuck Reed's March Budget Message (2013a) acknowledged improvement in the fiscal outlook of the City, but cautioned the

city administration and City Council because the city still faced a number of threats to its fiscal stability, including ongoing litigation over retirement reforms (2013a, pg. 3).

### **1.1 Succession Planning Resources**

Though the City of San José lists numerous succession planning initiatives within departments and city-wide, this study will specifically focus on evaluating the outcome of the Arts and Practice of Public Leadership (APL) program that was created in the early 2000's in response to the City Council's recommendation. Its purpose was to develop the next generation of the organization's leaders from among its existing staff, and to ensure that the City would have a diverse and culturally competent senior management team. Therefore, the study will explore if the City of San José APL program is achieving the City Council's intent.

For comparison, because of looming retirements, the city has initiated collaborative professional development efforts with other cities. One of the current initiatives is the Management Talent Exchange Program, which is a collaborative partnership between the City of San José and other cities within the San Francisco Bay Area. Each city identifies interested mid-level managers, and exchanges their employees with the other city's employees for almost six months. This experience gives the employee an opportunity to learn new skills and get another perspective on government operations (City Manager's Associations of Santa Clara and San Mateo Counties, 2013).

## 2. METHODOLOGY

This research will be based on an outcome evaluation of the City of San José's APL development program to determine its success in achieving the City Council's goal to prepare current and aspiring leaders for future senior and executive management staff positions. Senior and executive staff is considered the city administration's highest-level classifications, because of the management responsibility and accountability that they hold (City of San José, 2011c, pg. 2). The positions that are designated as senior and executive staff are determined by the City Manager. For the purpose of this study, the data will focus on the employees aspiring to be promoted into the City Manager's designated senior and executive staff positions, comprised of employees in the following classifications: 1) Assistant City Manager; 2) Deputy City Manager; 3) Assistant to the City Manager; 4) Department Director (including Police and Fire Chief); 5) Office Directors; 6) Assistant Department Directors (including public safety equivalent); and 7) Deputy Directors (including public safety equivalent). These classifications are only within Departments under the City Manager's appointing authority and do not include senior level positions with the other appointee or council offices (City of San José, 2011c, pg 3).

The foundation of this methodology is based on a series of articles and case studies written by City Managers affiliated with the International City/County Management Association (Benest, et al., 2007). Benest, et al.'s (2003) earlier "Preparing the Next Generation" was a call to action designed to inspire a collaboration and information sharing on best practices of numerous succession planning programs. Over the past decade, many local agencies affiliated with this network have adopted and implemented cost effective succession planning programs, and continue to share among

other government agencies various best practices on how these agencies could groom leaders within their organizations. Benest, et al. (2003) highlighted key competencies and characteristics needed from the next generation of senior and executive leaders, and Benest, et al. (2007) documented the successful programs implemented by various local California city/county government agencies.

A decade has passed since “Preparing the Next Generation” in 2003, calling to mind the importance of the original intent of the leadership development and succession planning initiatives shared by Benest, et al. in the (2003) and (2007) case studies. For this research, an area of exploration is the state of those programs today. Did they make a difference in the retention and development of key staff, and did they accomplish their objective of developing the next generation of city management leadership?

To undertake this analysis, first, a literature review of research on succession planning and employee development programs, as reported in scholarly journals and through professional associations, has been used to develop an understanding of such programs and their outcomes.

Second, the study will review City of San José Municipal Code and City Council resolutions along with any other policy direction given to the City Manager to determine the legislative intent for the implementation of succession planning in the City San José.

Third, the research will consider how San José’s APL outcomes compare to the other cities’ leadership academies that were used as case studies for the 2007 report. The selected cities will be based on some of the highlighted cities in Benest, et al. (2007) case studies for using successful workforce development strategies. Program descriptions and outcomes were collected through data from Human Resource managers or designees in each of the selected cities. Data collected will include the size of the city workforce, the

gender and age distribution; the percentage of city employees who were involved in the leadership academy each year.

Fourth, the study will review the San Jose APL development program and determine the goals, objectives, functions and program outcomes. The study will incorporate data collected from the Human Resource Managers or designees, selected graduates of the program that have been promoted into Senior and Executive management positions, and a review of program materials.

Finally, the study will review the 10 most recent classes between 2003 to 2013 to determine the impact on the participants that have remained with the City of San José; chart their careers, specifically if they were promoted to Senior and Executive staff positions in the City of San José; and the amount of participants (if any) separated from the City of San José through retirement or resignation.

This analysis will be comparative and analyze whether San José's APL program contribute to the retention and promotion of existing employees for future city management positions.

### **3. LITERATURE REVIEW**

Research about succession planning and leadership development strategies for developing both current and aspiring leaders for public sector organization management positions has been conducted by a variety of public administration and social science scholars. Many studies identify collaborative strategies on workforce and succession planning, particularly between agency managers and human resource departments (Moynihan & Landuyt, 2008). The main points found in most of the articles reviewed provide context for the challenges of the aging workforce (French and Goodman, 2011), employee turnover (Cho and Lewis, 2011), knowledge transfer (Calo, 2008), job satisfaction (Jacobson, 2010), and the role of government agencies in strategically designing succession planning programs (Clerkin and Cogburn, 2012). Other areas of focus include the importance of recruiting, retaining, training and motivating existing talent in each organization in order to build the leadership pipeline (Benest, et al., 2007).

#### **3.1 Local Government Approaches to Succession Planning Amidst an Aging Workforce**

Succession planning is not a new concept, but 2003's *Preparing the Next Generation – A Guide for Current and Future Local Government Managers* (Benest, et al., 2003) called further attention to the 'tsunami of Baby Boomer retirements' and 'talent replacement gaps.' Calo (2008) warned that organizations are facing a rapidly aging workforce and must plan on taking steps to transfer knowledge from those who are leaving to new leadership. An abundance of literature has discussed the importance of knowledge and skills transfer from Baby Boomers to the next generation of talented employees within government agencies (Sadri, 2012; Endres & Alexander, 2006; Hirsch

and Garrow, 2008). Reilly (2008) suggests in his article that workforce reductions should be met with further talent investment and career management especially if employee performance reflects the organization's values. Finally, he further recommends that a good management practice would be to track and evaluate the performance of the programs (2008, pg. 387).

Jarrell and Pewitt (2007) define succession planning as “a plan an organization develops to meet its most critical employment needs to sustain a talented workforce given the impending changes in the workforce” (pg. 297). According to Michelson, “succession planning requires putting the right people on the bus, getting the wrong people off the bus and positioning the right people in the right seats (2006, pg. 298).” Jarrell and Pewitt's (2007) case study analysis of succession planning in medium-sized cities determined that the key components of succession planning are planning, selection and training of staff, sustainability, and the evaluation of the process in practice. The case study highlights how the City of Plano, Texas began the succession planning process with no budget, only the director of Human Services leveraging resources from existing programs. The research acknowledges that city leaders may have other priorities during tough budget times; regardless, the study concludes that if no attention or resources are invested in developing talent in an organization then the failure to plan would be catastrophic (2007).

In 2007, local government leaders contributed their views and experiences in a nationwide survey conducted by the Waters Consulting Group, Inc. a national human resource consulting and executive recruitment firm. The study, titled “A Gathering Storm: Succession Planning in the Public Sector,” provided valuable insights into the opinions and practices of chief administrative officers, city managers, department

directors, and other local government professionals in leadership positions as they relate to succession planning in the public sector. The survey described succession planning as “a process for organizations to ensure that employees are recruited and developed for key roles within an organization” (WCG, 2007 pg. 7). Survey results indicated that the three most important succession planning best practices were:

- The generation of a program to prepare and grow the future leadership management pool;
- Targeted leadership development programs for continued professional growth of future key leaders;
- The development of a clearly defined and communicated career ladder program to not only retain, but also attract, key talent at all levels. (WCG, 2007 pg. 14)

Additionally, the study concludes that younger employees identify coaching and mentoring as a valuable resource to support career advancement. Jacobson’s (2010) research highlights that having a succession plan can increase staff retention, provide leadership opportunities and enhance employees’ commitment to the workplace. These views, definitions and components of succession planning show that the government agencies need to actively prepare short and long term activities, and create comprehensive leadership development opportunities in order to be prepared for the management turnover and a potential workforce crisis. (Jacobson, 2010)

### **3.2 Local Government Responses to Prepare and Retain Current and Future Leaders**

There are significant challenges ahead for government agencies while managing the gaps, vacancies and retirements projected over the next several years. Cho and Lewis, (2011) suggest that government agencies should focus more on retention efforts to help



smooth the knowledge transfer to younger employees. Methods used by agencies to retain employees during retirement waves really matters during lean budget times, according to Cho & Lewis's article about the implications of turnover (2011). While highlighting federal agencies' retention efforts, Cho and Lewis's (2011) research also explored the cost for agencies to replace employees by looking at public and private sector comparisons. They found that "replacement of private sector employees could run from 50 percent to 200 percent of the employee's annual salary depending on the individual's role in the organization" (2011, pg. 15). Therefore, one of the major findings of their research is that focusing on the retention of current employees would provide a significant return on investment.

An example strategy included motivating employees by providing them meaningful work, and enhancing empowerment through participation at higher levels in the organization (Jacobson, 2010). Retention of top-quality employees is also found to preserve institutional memory as revealed by Moynihan and Pandey (2008), therefore, making it easier to achieve organization goals. Additionally, Cho & Lewis (2011) pointed out that creating a positive work culture and learning environment is recognized as an important and cost-effective approach in motivating talented employees to stay in organizations, especially during periods of salary and benefit decreases. Clerkin & Cogburn's (2012) research on Public Service Motivation (PSM) indicates that the values and culture of an organization's workplace greatly influences an organization's ability to recruit and retain top level employees. Employees choose to retire and leave for various reasons, but it is clear that they are also willing to stay when they feel their work matters, and there are opportunities to further develop in their careers (2012, pg. 210). Leadership

at the top to invest in various tools to retain top talent and better manage employee turnover is very critical to the sustainability of these organizations.

Employee departures cost organizations time, money and resources. Investing in strategies that enable human resource professionals to discover why employees should or would want to stay in an organization is major impetus to developing what Allen (2008) calls a “retention management plan.” According to Allen, organizations should focus on long-term strategies versus one-time fixes for retention efforts. For example, attitudinal surveys, one-time bonuses or management training programs are criticized in his analysis as unlikely to have much impact on retention. Overall, Allen’s (2008) research and analysis suggests that retention management plans will help organizations determine how they may approach retaining the right talent in their organizations, especially during increased turnover periods. In his analysis of managing employee turnover, Allen (2008) also summarizes various retention practices, but concludes that providing training and development opportunities generally decreases the desire to leave. However, the only way to determine who are employees leaving organizations and why employees leave an organization to shed light on the turnover problem, is for the organization to actually conduct retention research. The results and findings of this research will lead to the implementation of the strategies and practices that best motivate their employees to remain working in the organization (Allen, 2008).

Government agencies face a significant number of challenges as they continue to lose experienced employees and search for strategies to retain the most talented public employees (French and Goodman, 2011). These challenges include agencies’ stability in a rapidly changing environment that includes an aging workforce, increased competition for employees from the private and non-profit sectors, and loss of positions due to

increased outsourcing of services (Dugan, 2011). In addition, as competition for future leaders increases, public sector agencies will need to explore and discover how they remain attractive (Ritz & Waldner, 2011). For many public sector agencies, the current workforce has been impacted by wage reductions. Taylor & Taylor (2011) examine the relationship between wages and Public Service Motivation (PSM) in determining employees' continued efforts and productivity in the workforce. One of their major findings suggests that focusing on PSM is a more cost-effective way to raise government employees' effort than wages. PSM is defined as "the general, altruistic motivation to serve the interests of a community of people, a state, a nation, or humankind" by Rainey and Steinbauer (as cited in Taylor and Taylor, 2011, p. 68). While Taylor and Taylor (2011, p. 81) found that wages did drive public sector employee effort, their study identified that PSM was the more important driver, particularly for supervisory positions or higher, as compared to those at non-supervisory levels.

Since politicians and citizens are more conservative with public spending, and wage increases are often a "hard pill for anyone in the public to swallow" (Taylor & Taylor, 2011, p. 81) their findings suggest that PSM is a more cost-effective way to raise government employees' effort than wages. Understanding employee PSM attributes may be a more effective approach to address the challenge of retention as managers may be apt to stay in an organization for reasons not related to compensation, but remain motivated by PSM, or the perceived contribution to society or community that their position allows.

Growing evidence also indicates that employees are increasingly factoring future growth opportunities into their turnover decisions, and training and development play an important role in their job satisfaction and decision to remain with the organization.

When looking towards the future, one of the major results of French and Goodman's (2011) study in a self-assessment by human resources managers was that training and development of current and future leaders in local government would be the major focus of their work (French and Goodman, 2011, pg. 286)

The success of an organization will be its ability to assess its perception as an attractive employer and understand the implications employer attractiveness has in the behavior and choices of current and future employees according to Ritz & Waldner, 2011. Furthermore, Ritz and Walden (2011) examine the key question of what potential employees look for in an employer and what implications employer attractiveness has for the behavioral trends of potential employees. Overall, they demonstrate the importance of public sector agencies remaining dedicated to determining ways to retain current employees and compete in the market for new talented employees.

### **3.3 Local Government's Ability to Cultivate Aspiring Management Talent**

Jacobson's (2010) research concluded that having a succession plan could increase staff retention, provide leadership opportunities and enhance employees' commitment to the workplace. However, when conducting a case study of workforce planning of North Carolina municipal governments, surveys revealed that although 63% identified workforce planning as a need, 60 percent also reported that they were not engaged in any type of workforce planning (Jacobson, 2010). The message is that although succession planning is seen as important, government agencies still have concerns with certain barriers, such as the allocation of resources to successfully implement these strategies. Regardless, Garrow and Hirsch's (2008) article suggests that an organization's selection and management must require the careful consideration of

focus and fit. They note that talent management is “investing in your best people, developing and building upon their potential.” Equally important is the ability to engage the whole organization in developing a talent management mind-set (Garrow and Hirsch 2008). When a plan is in place, and talent is identified in an organization, focus and attention can be placed on identifying the right course of talent management (Reilly, 2008). Reilly (2008) believes that aligning talent management efforts to the organization’s overall strategic goals and Human Resources efforts are a precondition to success. With these challenges impacting the workforce, the literature identifies the constant shifting environment and the difficulty in an organization’s ability to apply the proper resources to this effort.

A series of research focuses and highlights the impact to government agencies as retirements continue. Bozman & Feeney’s (2009) research determines that organizations with strong mentoring programs play a significant role in attracting and retaining talent. An ICMA (2007) study of four mentoring programs raised the issue that mentoring programs helped create an asset-based organizational environment in which investing in employees is considered a must. In addition, this study promoted mentoring programs as a way to build future leaders of organizations and provide a support and recognition network to employees. In contrast, Bozemen and Feeney (2009) indicate that not enough research has been conducted to measure the outcomes of mentoring programs to determine their significant role in the public sector. For instance, mentoring has many benefits for an individual, helping him or her presumably connect to higher-level managers and receive advice on the employee’s future career path. Overall, Bozemen and Feeney (2009) indicate that future research will find that mentoring employees in the public sector will determine three important outcomes for the agency: improved portable

human capital, opportunities for increased diversity and enhanced public service motivation.

With the impact from employees leaving government agencies for various reasons, including retirements, researchers have focused on preventing turnover. Moynihan and Landuyt (2008) examine turnover in government and find that it can often be unpredictable despite the amount of planning that goes into addressing it.

Fortunately, despite the unpredictable personal decisions of employees to leave an organization, a major factor managers in government do have most direct control over is employee development and the creation of a flexible work environment (Moynihan and Landuyt, 2008). The practical implications of this study indicate that resources should be invested in training and development opportunities when government agencies look at opportunities and strategies to retain their current and future workforce.

While many government agencies are knowledgeable about succession planning, each also continues to examine the activities and resources that work best in preparing their respective workforce for future leadership and management opportunities. When looking at increasing job satisfaction and performance in U.S. federal agencies, Pitts (2009) examined survey data of federal employees that indicated diversity management was strongly linked to both work group performance and job satisfaction, specifically experienced at a higher rate from employees of color. Pitts believes that diversity management is not just the traditional view of representation, but a critical retention strategy that must be employed and appreciated by managers in government. In addition to the value added to recruitment efforts, diversity management is an effective employee retention approach, in which Pitts highlights the value and its importance to managers: “Multicultural understanding is imperative for managers who oversee the work of diverse

employees, and such understanding is improved through programs aimed at bridging cultural gaps” (Pitts, 2009, pg. 330). Therefore, agencies that create an environment that demonstrates it values diversity through policies and programs will effectively retain employees and maintain talent with diverse backgrounds that could contribute to the organization’s overall goals and mission. Pitt’s article concludes that organizations also have another incentive because another major benefit of diversity management is that it makes them more competitive compared to other organizations during periods of shrinking workforce talent.

### **3.4 How Local Governments Manage Succession Planning through Economic Crises**

Over the last decade, government agencies and department heads’ long term planning has been severely impacted by the recession. Calo (2008) cites the crisis for government agencies as a “perfect storm” due to an aging workforce, budget reductions and the loss of knowledge due to retirements. Rather than plan for the future, many organizations and have been consumed with managing the current crisis of revenue and service reductions. For instance, many organizations have reduced training, development and other human resource services (Jacobson, 2010). Calo (2008) was very critical of this approach, and suggested that, if organizations were to focus on simply laying off employees or facilitating early retirements to manage their budgets, this approach would cost them a competitive advantage with other agencies. Likewise, Jacobson’s (2010) examination of succession planning noted that government agencies would fail in their future leaders’ development, and in the quality of community services, if they did not have existing plans to replace the aging workforce. Much of the research and literature

discusses the problems and impact from the retiring workforce and the eventual failure to actively respond.

Most of the concerns that have been expressed regarding the risk of the aging workforce have involved the dilemma of the loss of knowledge and skills of long-term employees. A more distinct and related concern is maintaining the knowledge vested in individuals, especially as organizations have focused on controlling employee costs, including pay raises and benefits, therefore accelerating retirement or job transitioning of senior managers (Bozeman and Feeney, 2008, pg. 136). Concerns over government agency budgets and changes to benefits and pay have been reported as more influential of retirement decisions than originally anticipated by experts (Dugan, 2011; Gomez, 2012).

### **3.5 Literature review summary**

Researchers highlight the duty of public sector organization management teams to prepare for succession planning, and while it is not a new concept, the outcome and impact of succession planning results vary among the agencies studied. Importantly, agency turnover is occurring at an even faster pace than anticipated, and efforts to balance this impact often compete against the efforts to manage through lean budget years. The problem is compounded due to limited resources and competing needs, coupled with public employees rushing to retirement. The fear of losing benefits and the economic impact of pay cuts have also been major triggers reported in the recent wave of employee exits. Therefore, agencies must be creative, innovative and collaborative, focusing on activities that have a positive impact on readying employees for succession into senior and executive management positions. While the City of San José has made major strides in this regard, there are important lessons to be learned from comparable



cities that can be evaluated and incorporated in this analysis. For instance, positive results are reported from such activities as the investment in employee development through training and mentoring.

Additionally, the public sector workforce will become more diverse over the next decade. As a result, it will be beneficial to agencies like the City of San José that hope to remain an “employer of choice” and compete successfully with other agencies to hire the best candidates, to promote diversity through policies and programs. Although research has been conducted on the impact of the aging workforce and the importance of developing talent, more research is needed to determine whether the programs being used are effective in attracting and retaining a diverse talent pool, and preparing future leadership.

In summary, the literature has provided a background on employee retention and leadership development issues. It provides a basis for evaluating the City of San José’s APL program and its contribution to developing current and future leaders for management positions in the city.

#### **4. FINDINGS:**

##### **4.1 How the City of San José is managing through an aging workforce, budget reductions and employee turnover**

The City of San José has faced General Fund budget shortfalls over the last decade, driven by two deep recessions and a structural deficit, as the “perfect storm” for local governments in California has been lowered revenues from property and sales taxes, fewer resources from state and federal government, coupled with increased costs, from healthcare and pensions; and increased demand for services due to growing populations and higher service expectations (City of San José,, 2010a; 2012e, Reed, 2012). In 2010, the San José City Auditor reported to the City Council that rising pension costs threatened the City’s ability to maintain service levels, and the findings also noted that “continuing the trend of layoffs and pay and benefit reductions may make it difficult for the City to provide services and to retain and attract a quality workforce in the future” (City of San José,, 2010a, pg. 37). In fact, Erickson’s 2012 report to the City Council showed that San José, had eliminated 28 percent (2,054) of budgeted positions over the last 10 years (City of San José,, 2012d, pg. 31). Seventy-seven percent of the impact had been over the last three years alone, and the City’s annual turnover rate, which historically had been between 5 to 8 percent, increased to 14 percent in 2011 (2012d, pg. 25). Over the next five years, the City will face an anticipated total shortfall of \$27.9 million, or approximately \$5.6 million annually (City of San José, 2013a).

As fiscal challenges loom for local governments like the City of San José, solutions are often very limited. However, researchers have argued that the pending “workforce crisis” of retirements and vacancies is as significant as the fiscal challenges, especially if cities’ approaches to dealing with the budget crises are to reduce investments

in human capital. In light of the budget shortfalls ahead for San José, the city has been actively preparing a pool of internal candidates to fill vacancies and take on eventual leadership positions in the organization, because salaries and benefits may not be competitive enough to attract external candidates. For example, the San José Police Department has seen an increase in resignations nearly 100 since 2011 (Gomez, 2012). Pension and pay cuts have been reported as major reasons for employees leaving the department, with employees citing the opportunity to make more money in smaller cities or even if required taking a demotion from sergeant positions to return back to patrol (Gomez, 2012). As reported in the City of San José's employee survey in 2011, the city's budget situation has had a significant impact on employee morale. For example, only one in five (18%) expressed confidence in how city officials have handled the city's ongoing budget shortfalls according to Fairbank, Maslin, Maulin, Metz & Associates (FM3, 2011). In fact, one in seven (69%) expressed displeasure with how city officials have handled the situation (FM3, 2011, pg. 14). Therefore, attracting and retaining employees for key leadership positions will be a dual challenge for city administrators to address within their organizations.

#### *City of San José Council Policy Direction on Succession Planning*

The City of San José's APL development program has continued to carry out a series of Council mandates to support succession planning in spite of these budget pressures. To determine its success in achieving the City Council's goal to prepare current and aspiring leaders for future senior and executive management staff position, this section provides a summary of the key findings from the research on the APL program. The APL outcomes data were derived from a variety of sources, such as

program manager files, interviews, and archived data that included a brief survey of the 101 APL alumni who are still currently employed with the City of San José. The complete survey can be found in Appendix D of this research report.

In the 1990's, the City of San José offered a variety of educational opportunities for its mid-level managers to develop the skills needed for promotion. The programs were called "The Leadership Academy" and "Building the Bench." City Managers Les White and Regina Williams created programs for management analysts and police and fire first-level managers to rotate among the departments, gaining knowledge of the city's multiple roles and missions. Senior staff members participated in mentoring programs for management staff members, with a focus on enhancing diversity among the city's professional leadership. Budgetary challenges and the focus on Y2K preparation ended the programs (Edwards, 2013, personal communication).

The APL program dates back to 2004, when the City Council approved the City Manager's report on *Building Capacity to Maintain a Strong Leadership Team for City of San José*. The report responded to a council committee review of the city's hiring practices, and includes findings and recommendations whereby the City Manager summarized the city's hiring efforts and accomplishments, and also identified new strategies to invest in professional development opportunities for employees.

In 2004, the City of San José also began to collaborate with other jurisdictions to study the leadership gap and review strategies for monitoring the management turnover due to the predicted retirements (City of San José, 2004). The City Manager's Fiscal Year 2004-2005 budget proposal to the City Council allocated funding to create the APL program. The first APL program was offered to approximately 25 managers from across each of the City of San José departments. The purpose of the APL program was to train

and develop an existing pool of highly talented employees who would be ready to undertake further responsibility and leadership within the city organization. The program targeted existing managers who provided day-to-day direction, feedback and coaching to employees.

The City of San José maintained the APL program in an effort to retain, invest in and motivate San José's workforce to continue their careers in the organization, and be prepared for the leadership and management positions that would be available in the future. The City of San José APL program featured ten class sessions that focus on a variety of leadership topics. Some of those topics highlighted in the curriculum included:

- Leadership in a public sector environment, specific to San José
- Personal development planning
- Communication and temperament styles
- Team effectiveness strategies
- Collaborative communication and
- Approaches to leading change
- Strategic planning and problem solving tools
- Ethics
- Managing relationships with customers and the community
- Facilitation of a team project of benefit to the City

Participants reviewed case studies and worked on teams to analyze existing city challenges. The classes were designed to help prepare the selected high skill employees to compete successfully for senior and executive leadership positions in the long term, and also help employees improve skills in performing their current jobs in the short term (City of San José, 2004, pg. 7).

Each year 25 participants were selected through an application process (City of San José, 2004). Participants submitted applications that were approved by their

department managers and screened by the Training and Development division of Human Resources. Staff in the Human Resources department managed the program.

Although staffing transitions had impacted the start of some program years, approximately 169 managers have been reported to have successfully completed the program between 2004 and 2012 (S. Nunes, personal communication, January 2013). According to the Human Resources – Employment Division Manager, Sarah Nunes, funding and staffing remain serious problems to the overall workforce and succession planning strategies of the City and Human Resources department (S.Nunes, personal communication, January 2013). To bridge this gap, previous graduates of the program had volunteered to develop the curriculum for new classes.

#### **4.2 Art and Practice of Leadership Description, Demographics and Results**

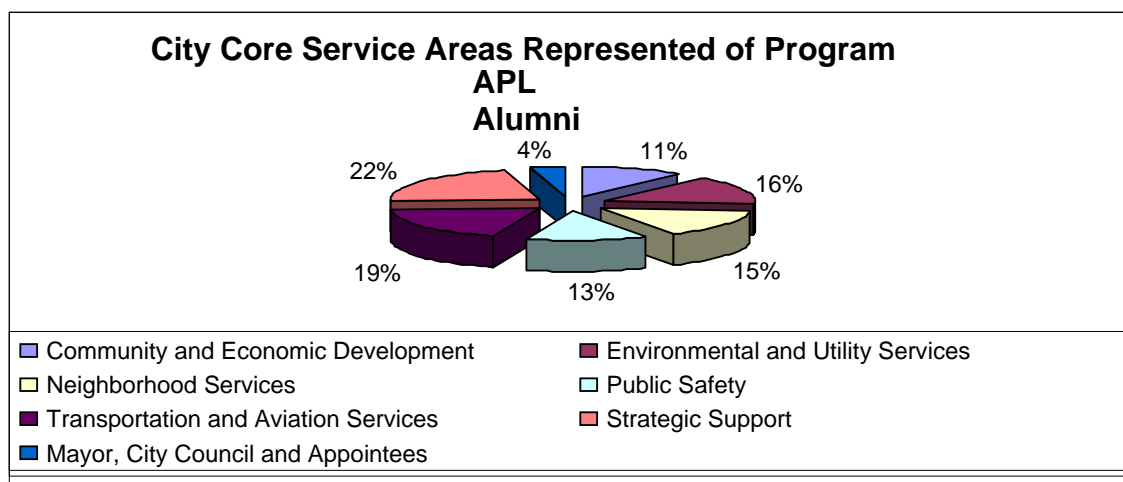
The City of San José service delivery framework is divided into City Service Areas (CSAs) to address the City Council priorities. Departmental participation results information was aggregated into the following CSAs. Individual departments are listed below each CSA (City of San José, 2013a):

1. Community and Economic Development (includes Housing; Economic Development; Fire; Planning, Building and Code Enforcement; and Public Works).
2. Environmental and Utility Services (includes Environmental Services, and Transportation).
3. Neighborhood Services (includes Parks and Recreation; Library; Planning, Building and Code Enforcement; and Public Works).
4. Public Safety (includes Fire, Police Auditor and Police).
5. Transportation and Aviation Services (includes Transportation, Airport and Police).
6. Strategic Support (includes Finance, Public Works, Human Resources, Information Technology and Retirement Services).

7. Mayor, City Council and Appointees (includes City Manager’s Office, City Auditor, City Clerk, City Attorney and Mayor and City Council).

These current CSAs were approved in the City of San José 2013-2014 Operating Budget. (City of San José, 2013a). The following figures were aggregated from data collected about APL graduates from 2004 – 2011. As Figure 1 shows, the APL alumni represent all CSAs. Although 70 out of the 169 APL alumni were either from Strategic Support Services (22%) or Transportation and Aviation Services (19%), representation remained balanced among the other four CSAs: Environmental and Utility Services (16%), Neighborhood Services (15%), Public Safety (13%), and Community and Economic Development (11%). The Mayor, City Council and Appointees division represented 4%, or 6 identified employee participants. This level of representation is generally proportional to the percentage of employees in each of the CSAs except for Public Safety, which is underrepresented.

**Figure 1: Core Service Areas Represented by APL Alumni**



Source of data: City of San José,, 2013a, p. VII-6 and VII-7 and Human Resources, APL, 2013 Appendix A-raw data)

**Table 1: Staffing by CSA and APL Participation**

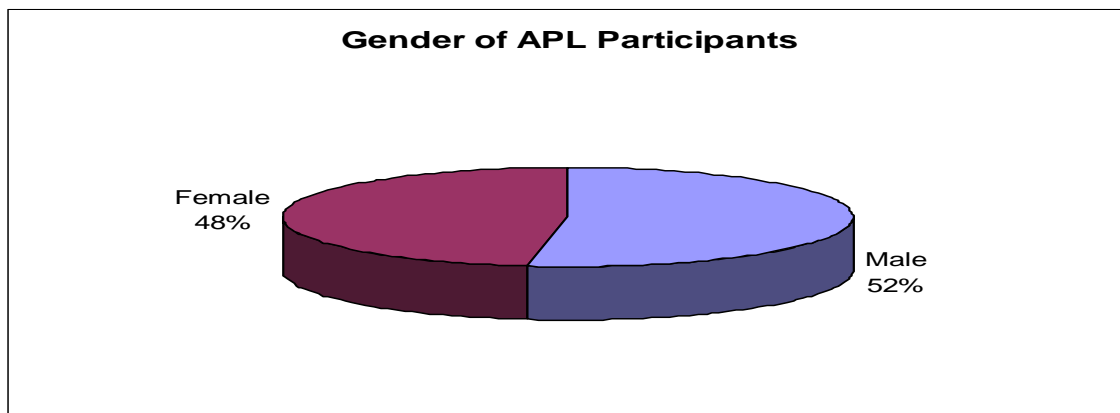
City Service Area	2013-2014 Number of Positions	Participants
Strategic Support	879	38
Transportation and Aviation Services	497	32
Environmental and Utility Services	654	27
Neighborhood Services	948	26
Public Safety	2,285	22
Community and Economic Development	390	18
Mayor, City Council and Appointees	Not in City budget	6

*Source of data: City of San José, 2013a, p. VII-6 and VII-7 and Human Resources, APL, 2013 Appendix A-raw data)*

*Represented Gender Distribution*

As the Figure 2 shows, 88 (52%) of the graduates were male and 81 (48%) were female. The results demonstrate that the program was attracting and including a balanced gender representation.

**Figure 2: Gender of APL Alumni**



*Source of Data: Human Resources APL, 2011*

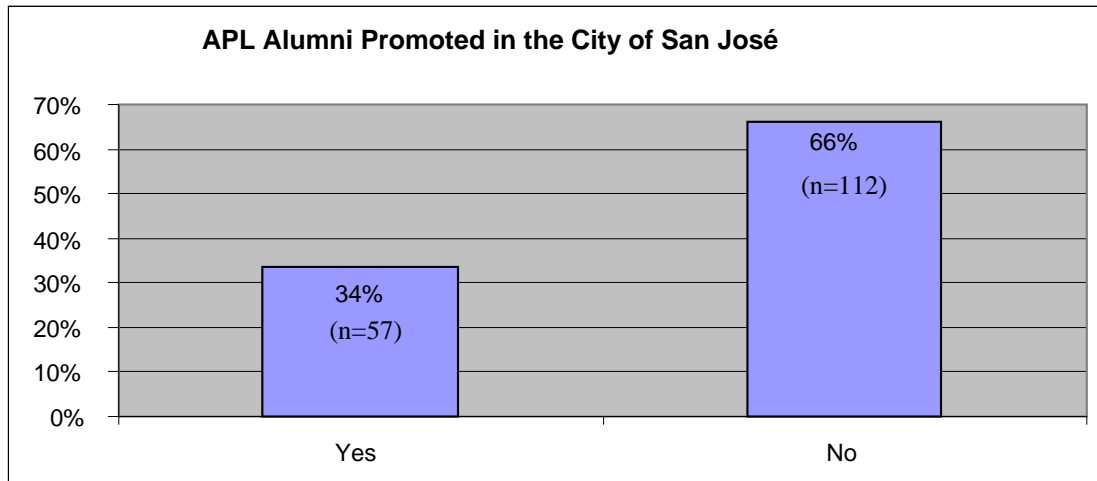
*Success Rate (Promotions)*

As Figure 3 shows, 57 of the APL alumni, or 34 percent, have been promoted inside the City of San José since participating in the program. Notably, 18 out of the 57 or 32 percent of graduates that had received promotions no longer work within the City



of San José. Notably, 12 out of 18 promoted graduates that are no longer with the City of San José were promoted again in another jurisdiction; while four have retired.

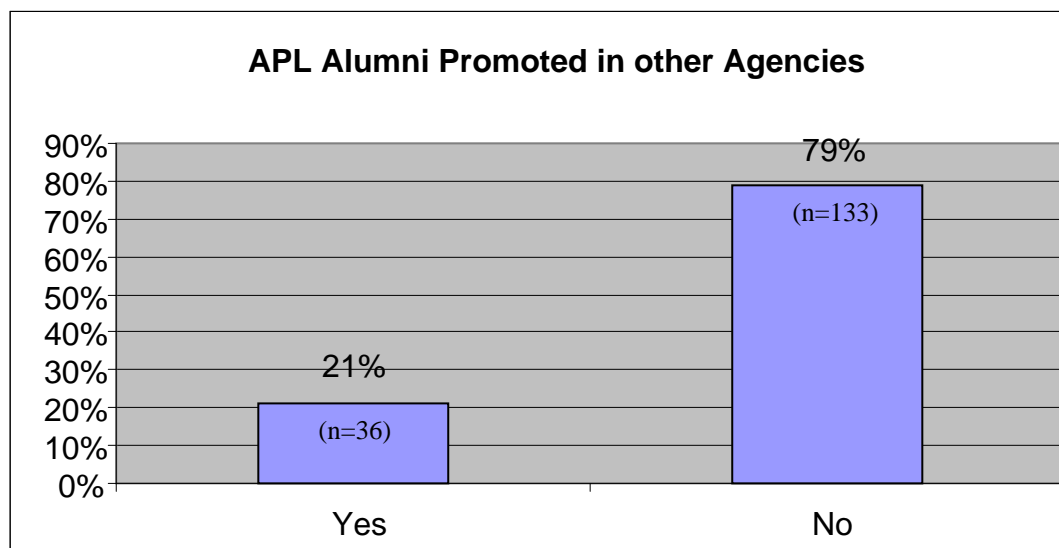
**Figure 3: APL Alumni promoted in the City of San José**



*Source of the data: Human Resources, APL, 2011*

As Figure 4 shows, 36 (or 21%) of the APL graduates have left the City of San José since participating in the program due to promotions offered in other jurisdictions, while 133 (or 79%) remained with the City of San José

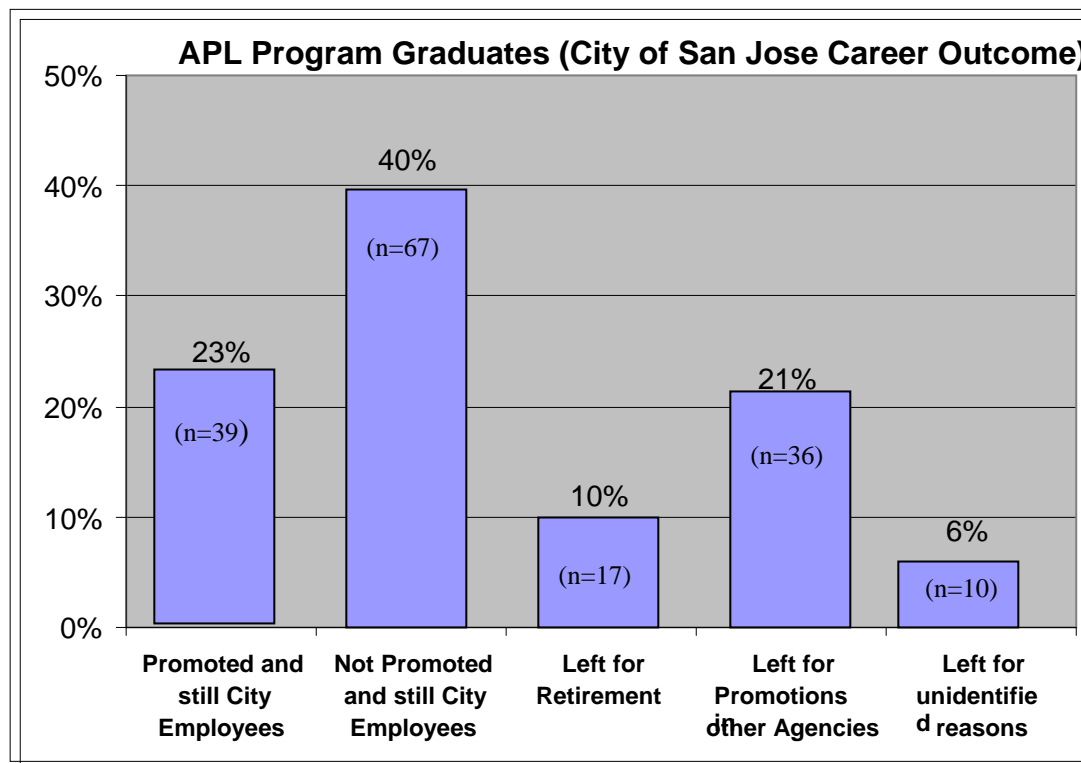
**Figure 4: APL Alumni promoted in other Agencies**



*Source of the data: Human Resources, APL, 2011*

Figure 5 aggregates this information for all graduates, comparing promotions within and outside the city with other career outcomes, such as retirements. For example, 39 (23%) of the graduates were promoted and are still employees for the City of San José, highlighting that 67 (or 40%) of the graduates were not promoted but still have remained with the City of San José. As previously noted in Figure 4, 36 (21%) of the graduates left for promotions in other agencies. Additionally, 17 (or 10%) of the graduates that did not receive promotions left the city due to retirements, and another 10 (or 6%) left the city for unidentified reasons.

**Figure 5: APL Program Graduates (City of San Jose Career Outcome)**



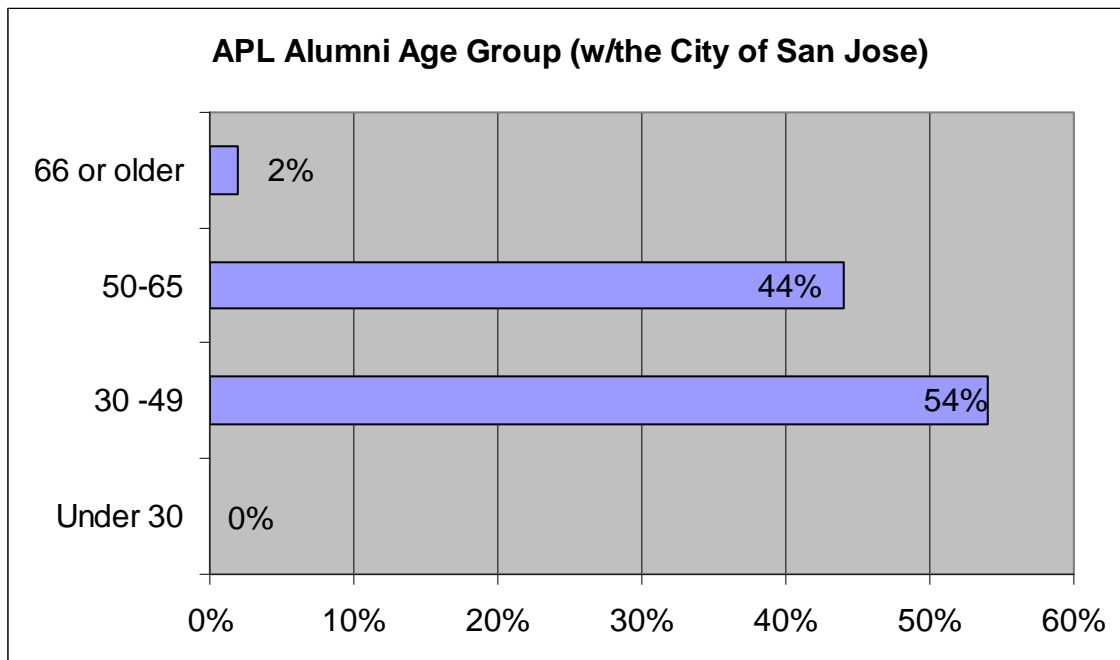
Source of the data: Human Resources, APL, 2011

*Sample Representation of Age Group Distribution*

Information related to age and years of service were not available from the Human Resources data set since that is confidential and contained in employee personnel records. Since data were not available, supplementary information was extracted from voluntary participant surveys conducted in 2013. The survey was conducted over five days and received 61 out of the 101 possible participant surveys, which represented the number of APL alumni still with the city. Since these responses were derived from current City employees, it provides a representative sample of demographic information, duration of service and program satisfaction.

The first question posed in the voluntary survey was “What is your Age Group?” The options provided were split into four age group distributions. As Figure 6 shows, 54% of the respondents were between the ages of 30 to 49. Another 44% were those between the ages of 50 to 65. There was only one response representing those 66 years of age or older.

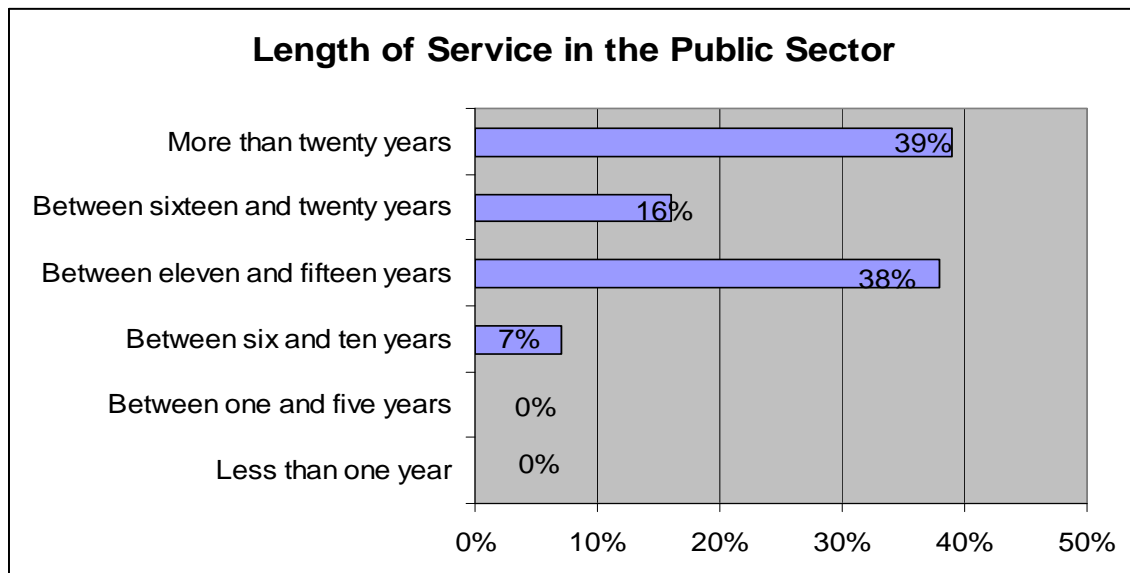
Notably, there were no respondents from the under-30 age group. Some explanatory factors could be that respondents from this age group did not complete the survey, or that those respondents still with the city may have advanced to a different age bracket since their participation in APL program.

**Figure 6: APL Alumni Survey Responses to Age Group**

*Source: Azevedo, 2013.*

#### *Sample Representation for Length of Service*

The second survey question posed was “How long have you worked in local government/the public sector?” As Figure 7 shows, 24 out of 61, or 39% of respondents, have more than twenty years of service, and 23 out of 61 (38%) have between eleven and fifteen years of service. Another notable group is the alumni that have between sixteen and twenty years of service at 10 respondents (16%). Significantly, the City of San José collectively has 57 (or 94%) of responding APL graduates with more than 10 years of service in the public sector. A significant gap is respondents with less than ten years of service (less than 10%). Although the survey shows that there are seasoned alumni working at high levels in the organization, it also demonstrated that the pool of emerging talent is possibly shrinking, with most participants having served long enough to be mid-level managers.

**Figure 7: APL Alumni Survey Responses to Length of Service in the Public Sector**

Source: Azevedo, 2013.

**Table 2: APL Alumni Survey Responses to Length of Service in the Public Sector**

Time of Service	Percent	Responses
Less than one year	0%	0
Between one and five years	0%	0
Between six and ten years	7%	4
Between eleven and fifteen years	38%	23
Between sixteen and twenty years	16%	10
More than twenty years	39%	24

Source: Azevedo, 2013.

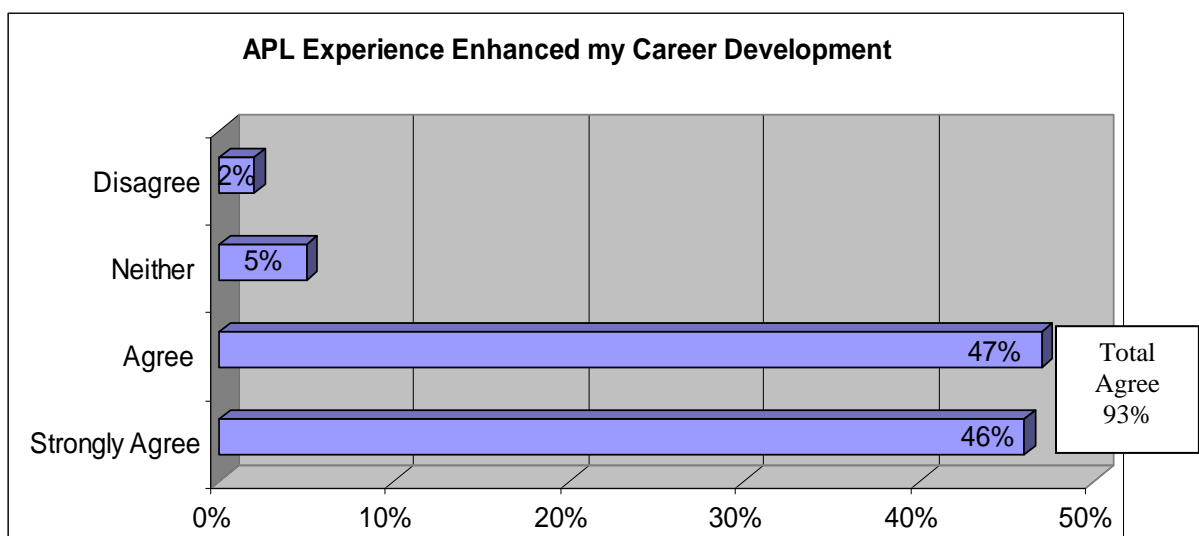
### 4.3 Sample APL Respondents on Program Satisfaction

The next set of survey questions posed to the APL alumni were related to program satisfaction. Overall, the data suggests that the program had a significant impact on the career development and leadership skills of the participants in the program. In one of these questions, participants were asked if the experience enhanced their career development, or if they would recommend the program to their colleagues. Virtually all of the respondents (93% and 96%, respectively) agreed or strongly agreed to both of

these questions. This level of consensus is rare and clearly demonstrates that participants perceived that they received a benefit from the APL. Since the APL program was eliminated after 2011, an additional survey question was posed related to whether the City of San José should reinvest in training and development programs similar to APL, and 59 out of 61 (96%) agreed or strongly agreed to this statement, again confirming its perceived value.

Respondents were also provided an opportunity to share additional comments that elaborated on the impact of the program. Some key themes that emerged from the comments specifically related to the survey question that asked, “Even if you were not promoted, did the APL experience enhance your career development? If so, in what ways?” The following analysis summarizes the themes common to the responses. The verbatim comments are included in Appendix B. Figure 8 shows that 57 of 61 respondents either agreed or strongly agreed with the statement that APL enhanced their career development.

**Figure 8: APL Alumni Survey Responses to Whether the Program Enhanced Their Career Development**



Source: Azevedo, 2013.

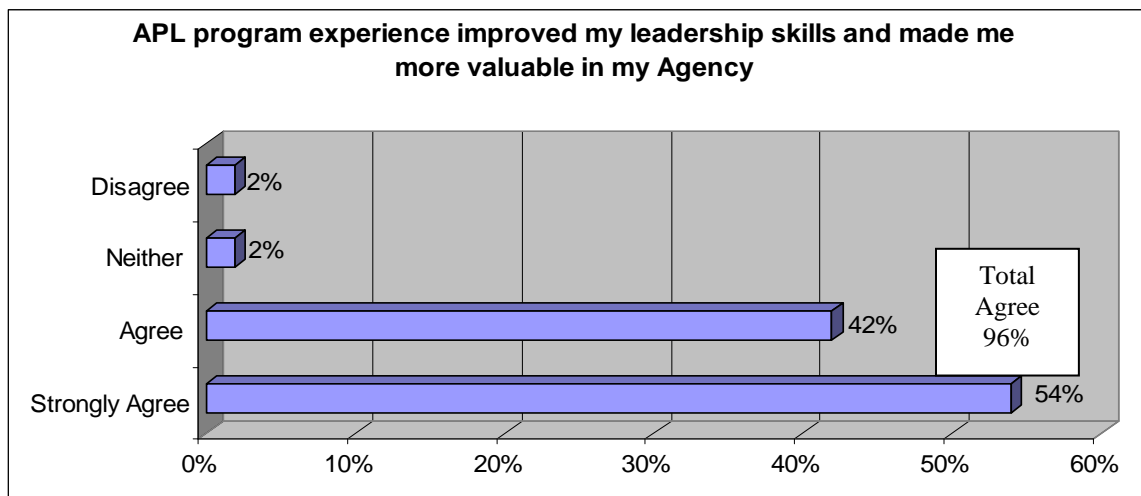
**Table 3: APL Alumni Survey Responses Whether the Program Enhanced Their Career Development**

Program Enhanced Career Development	Percent	Responses
Strongly Agree	46%	28
Agree	47%	29
Neither	5%	3
Disagree	2%	1

Source: Azevedo, 2013.

The next question posed was “Whether you were promoted or not, did the APL experience fulfill its principal training objective of improving your leadership skills and making you more valuable in your agency?” As Figure 9 shows, 96% of participants agreed or strongly agreed that the experience has made them more valuable in their departments.

**Figure 9: APL Alumni Survey Responses to Whether the Program Experience Improved Their Leadership Skills**



Source: Azevedo, 2013.

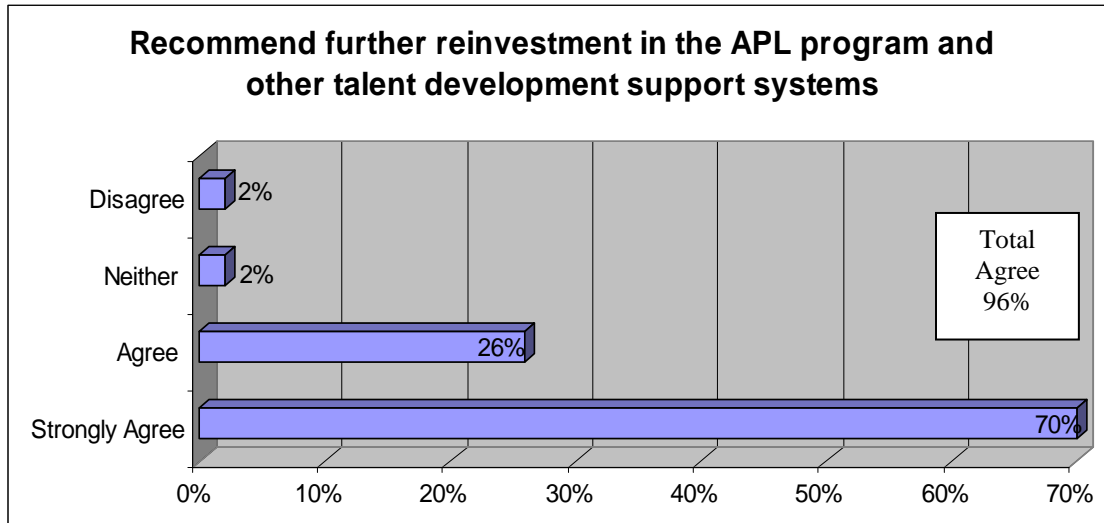
**Table 4: APL Alumni Survey Responses to Whether the Program Experience Improved Their Leadership Skills**

Fulfilled Principal Training Objective	Percent	Responses
Strongly Agree	54%	33
Agree	42%	26
Neither	2%	1
Disagree	2%	1

Source: Azevedo, 2013.

An additional survey question posed was “I would recommend exploring the options of further reinvestment in the APL program and other talent development support systems,” and participants were asked for levels of agreement with that statement. Again the responses were strongly positive.

**Figure 10: APL Alumni Survey Responses to Whether to Recommend Further Reinvestment in the APL Program**



Source: Azevedo, 2013.



#### **4.4 Multi-Agency Collaboration on Succession Planning: County of Alameda and Santa Clara Leadership Academy Description, Demographics & Results**

In 2010, local governments in Santa Clara County formed a cooperative partnership to offer a Leadership Academy for emerging leaders. In 2011, Alameda County City/County Management Association jointly planned and funded a Leadership Academy for city and county agency employees. This section provides a summary of the key findings collected through a voluntary online survey of alumni from both the Alameda and Santa Clara County Leadership Academy Programs. A copy of the survey questionnaire is included as Appendix C of this research report.

##### *Leadership Academy Program Description*

Overall, the goal of the Leadership Academies is to accelerate the development of emerging leaders by promoting communication and leadership skills (as opposed to technical or management skills). The target participant groups are first-line supervisors, mid-level managers, division managers and other professionals who desire career advancement. The program consists of seven all-day sessions, and then one session per month. It is offered once a year in both Santa Clara and Alameda Counties. Upon completion of the seven-month program, participants receive a certificate signed by the chief executive of their respective jurisdictions. The goals of the Leadership Academy include the following:

- To create a cost-effective talent development program for the participating jurisdictions
- To enhance the leadership skills of the participants
- To assist the participating local governments in their succession planning efforts
- To offer employees positive development opportunities and motivating experiences in tough times (Benest, 2011).

The Academy is led by Dr. Frank Benest, the former city manager of Palo Alto. Additionally, the Academy is organized and overseen by a committee of professionals from the participating local governments. Committee members include several city managers and assistant city managers, county administrators, human resource representatives, and emerging leaders. Dr. Benest develops the curriculum with the organizing committee, identifies instructors, assists in the development of case studies from the participating jurisdictions, and secures other resources for the Academy. Dr. Benest also serves as the primary instructor. Applications are submitted to the Committee, and the Committee selects the participants, based on recommendations and level of work experience.

#### *Leadership Academy Program Results*

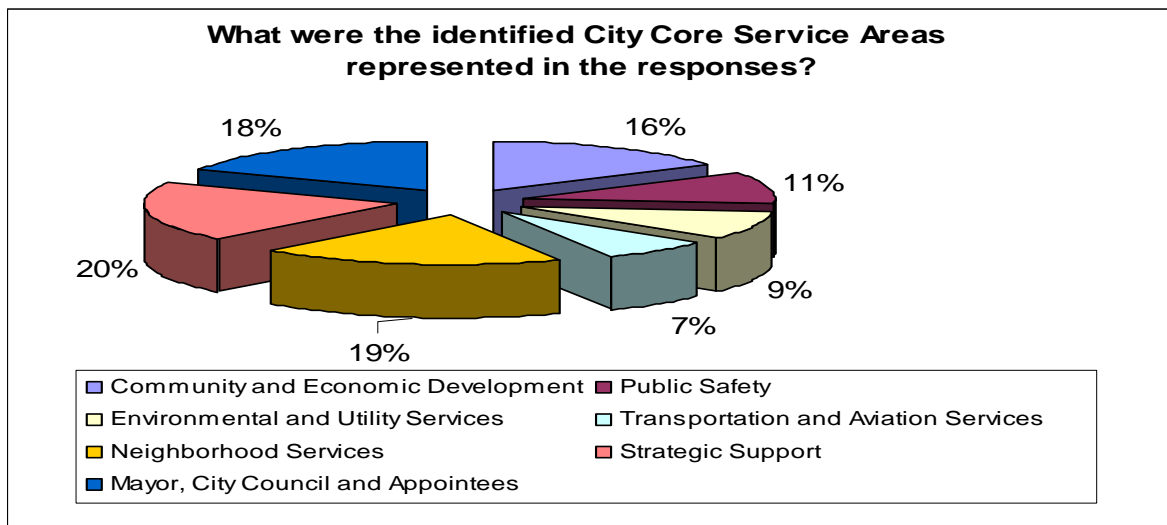
##### *(Sample Representation of City Core Service Areas)*

Since 2010, there have been 150 graduates of the leadership academies from Santa Clara and Alameda counties. The data used to create the figures below come from a self-selected sample of Academy alumni who responded during a five-day online survey. Although this is not a statistically significant survey sample, it is possible to use this data for understanding of the program's outcomes, including how participants generally felt about their program experience. However, selection bias may result in those most positively influenced being more likely to respond to the survey. The survey contained a series of nine questions designed to gather information related to their area of service (e.g. classification and department), current status following their completion of the program and satisfaction with the program experience.

The first question posed was, “What is your local government agency/current department/classification?” The responses were aggregated into the CSA categories, using the San José model.

As Figure 11 shows, the Leadership Academy alumni represent diverse areas of expertise that provide critical services in their communities. Responses from Neighborhood Services and Strategic Support (at 20% and 19%, respectively) were slightly higher than those of the Mayor, City Council and Appointees (18%) and Community and Economic Development (16%). As with San José, this may be reflective of the spread of employees across CSAs. The program is attracting emerging leaders and administrators in Public Safety, who are participating in the program at above 10% of the respondents. However, this is still significantly lower than their level of representation in public agency employment. In the areas of Environment and Transportation, responses were below 10%.

**Figure 11: Core Service Areas Represented by Leadership Academy Alumni**

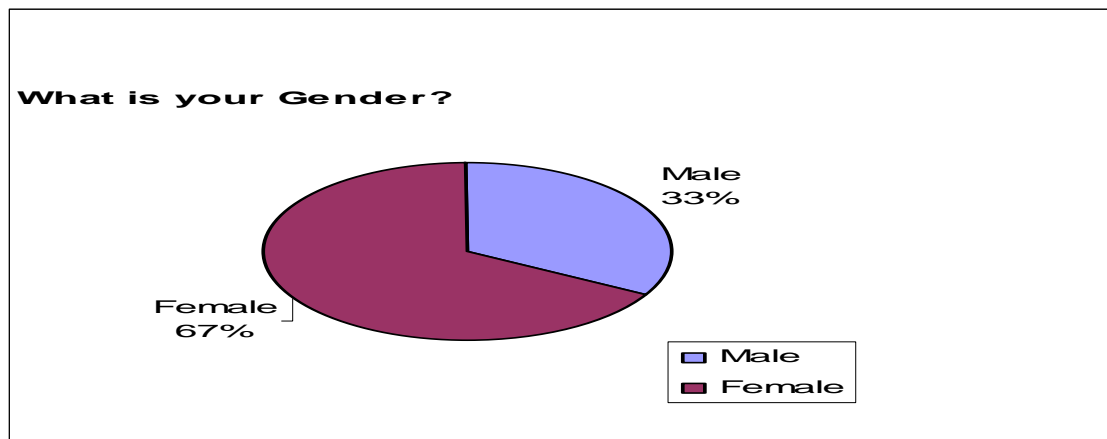


Source: Azevedo, 2013b.

### *Sample Representation of Gender Distribution*

The second question posed was “What is your gender?” Two-thirds (67%) of the 57 Leadership Academy graduates who responded were female (38) and 19 were male

**Figure 12: Gender of Leadership Academy Alumni**

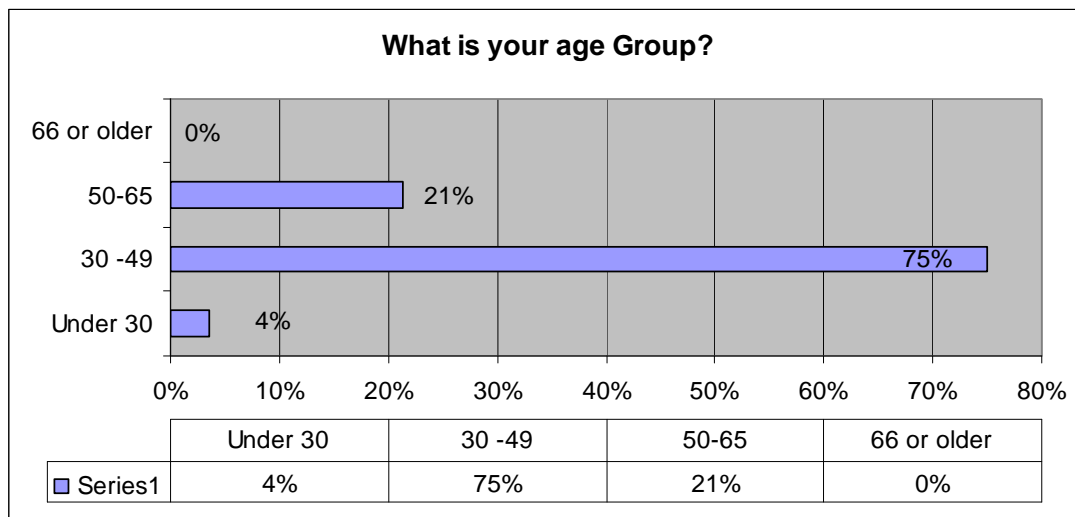


Source: Azevedo, 2013b.

### *Sample Representation of Age Group Distribution*

The third question posed was “What is your age group?” The options provided were split into four age ranges. As Figure 13 shows, 75% of the respondents were between the ages of 30-49. However, another notable group is those between the ages of 50-65 (21%).

**Figure 13: Leadership Academy Alumni Survey Responses to Age Group**

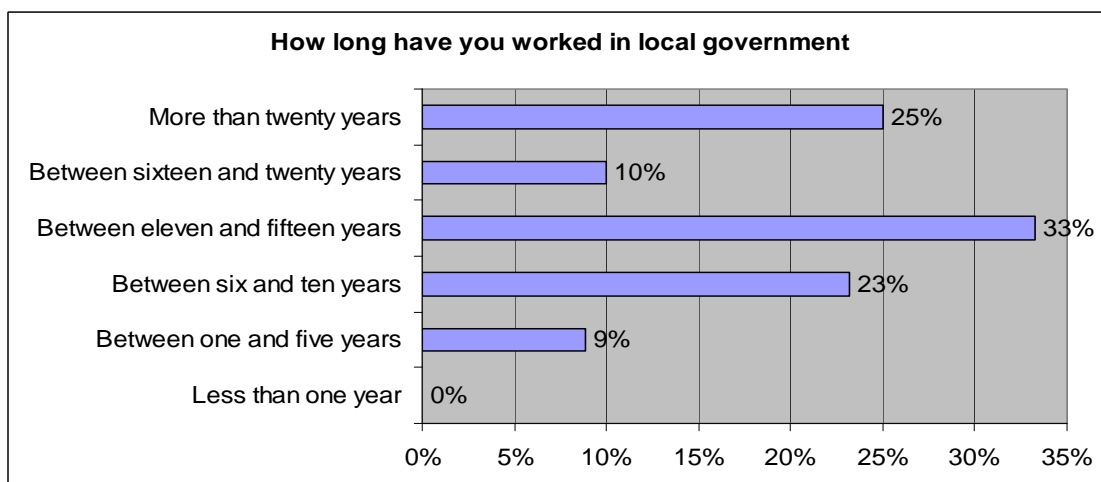


Source: Azevedo, 2013b.

*Sample Representation of Length of Service Distribution*

The fourth question posed was “How long have you worked in local government (public sector)?” Collectively, program participants whose years of service were between six to fifteen years represented more than 50% of the program alumni. However, as shown in Figure 14, participants with more than twenty years were 25% of respondents.

**Figure 14: Leadership Academy Alumni Survey Responses to Length of service in local government**

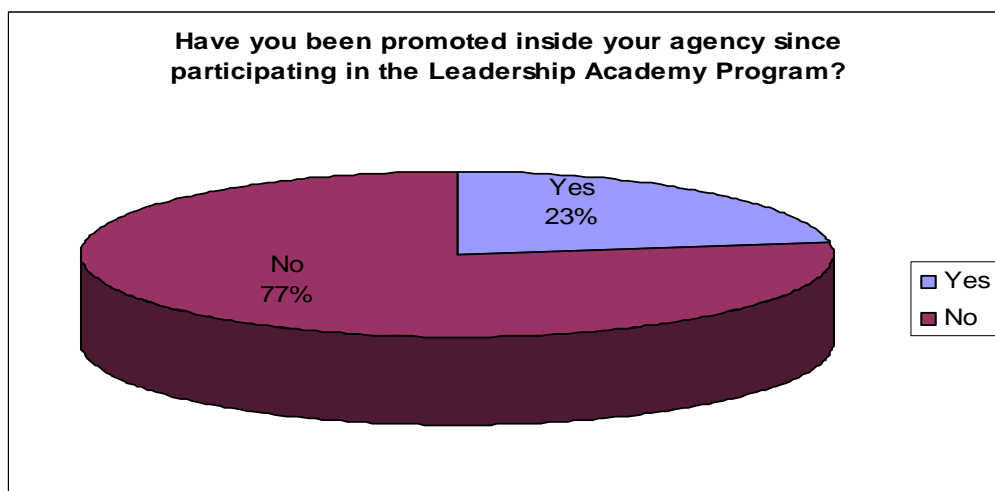


Source: Azevedo, 2013b.

#### 4.5 Sample Leadership Academy Respondents on Program Satisfaction

The fifth question posed was “Have you been promoted inside your public agency since participating in the Leadership Academy program?” As Figure 15 shows, 23% of participants responding have been promoted since graduating from the program. If the participants were tracked for the same length of time as the San José APL alumni (7 years), promotions would likely continue to increase, as participants continue to invest in their careers and gain more critical skill sets and new experiences in their agencies. Additionally, it is important to note that these responses include participants from both the Alameda and Santa Clara County Leadership Academies. Future research might focus on the differing attributes of the participants from the two different counties.

**Figure 15: Leadership Academy Alumni Promoted within Agency**

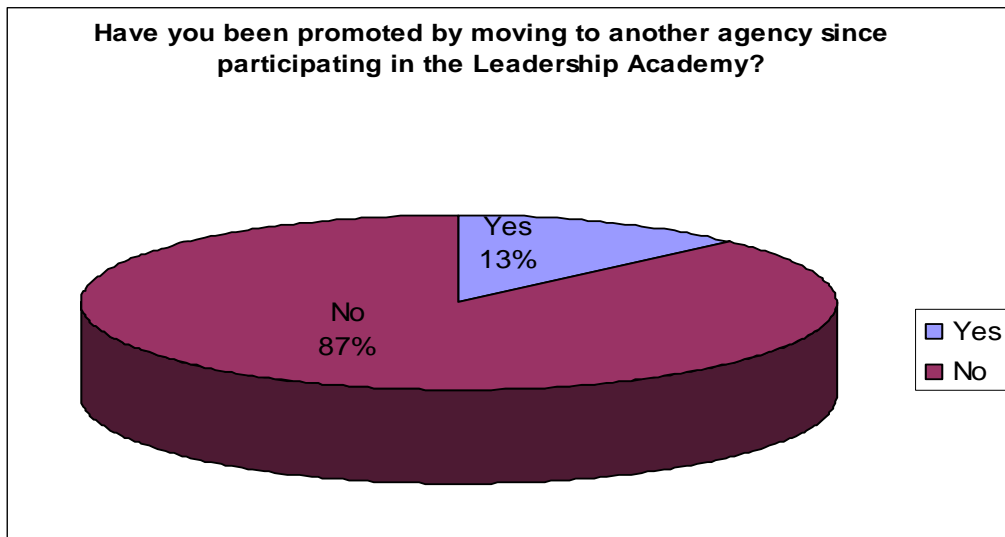


*Source: Azevedo, 2013b.*

The sixth question posed was “Have you been promoted by moving to another agency since participating in the Leadership Academy?” The Figure 16 shows the number of program participants who have been promoted within other agencies. Results from questions six and seven show that about one third of the respondents (20 out 57)

have been promoted, either inside or outside their agencies since participating in the program.

**Figure 16: Leadership Academy Alumni Promoted in other Jurisdictions**



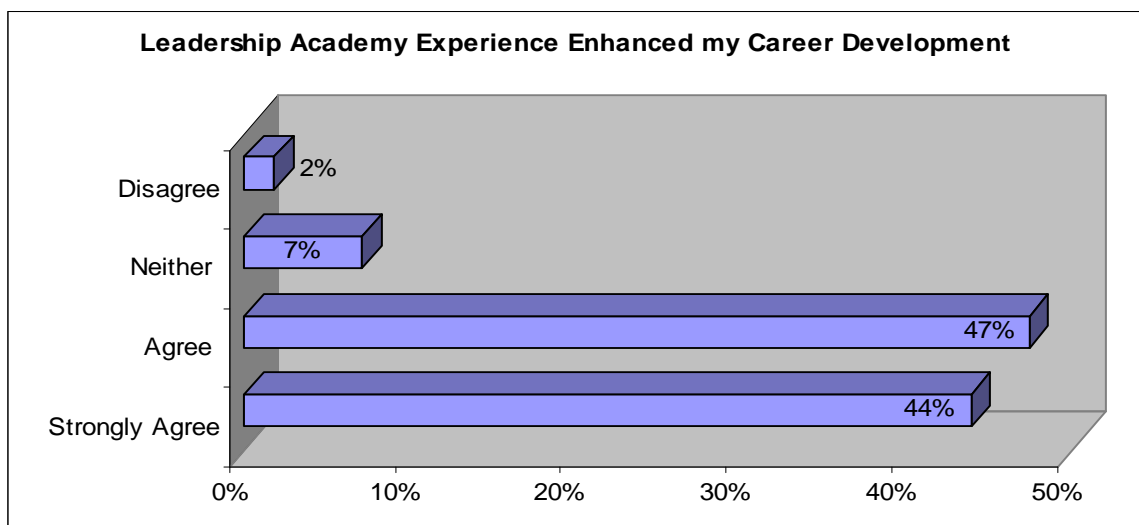
*Source: Azevedo, 2013b.*

This next section of the questions posed to the Leadership Academy alumni surveyed their satisfaction with the program. Overall, the data suggests that the program has had an impact on the career development and leadership skills of the participants. Participants were asked if they agreed or disagreed on whether the experience enhanced their career development or if they would recommend the program to their colleagues. Virtually all of the respondents (93%) agreed or strongly agreed to these questions. This level of unanimity is rare and clearly demonstrates the impact of the program that participants believed it has had on their careers.

Additionally, respondents were provided an opportunity to share additional comments that elaborated on the impact of the program. Some of the key themes that emerged from the comments specifically related to question number seven, “Even if you were not promoted, did the Academy experience enhance your career development? If so

in what ways”? The following analysis summarizes the themes common to the responses. The verbatim comments for the Alameda and Santa Clara County Leadership Academies are included in Appendix B. The question posed to the Leadership Academy alumni was “Even if you were not promoted, did the Academy experience enhance your career development?” Respondents provided additional comments regarding ways in which the program enhanced their career development. Figure 17 shows that 52 of 57 respondents either agree or strongly agree to this question.

**Figure 17: Leadership Academy Alumni Survey Responses to Experience Enhanced their Career Development**

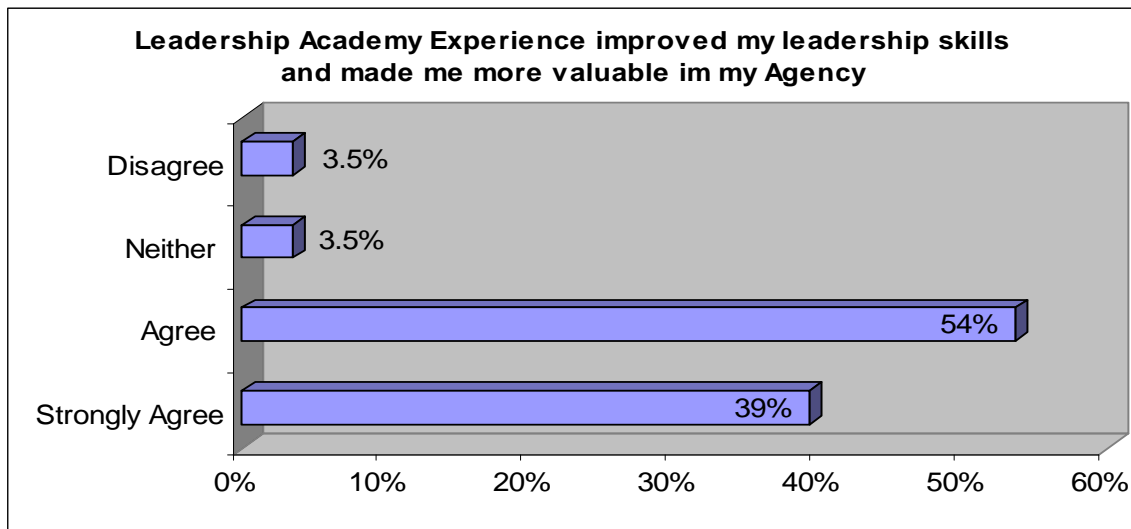


*Source: Azevedo, 2013b.*

The next question was “Whether you were promoted or not, did the Academy experience fulfill its principal training objective of improving your leadership skills and making you therefore more valuable in your agency?” As Figure 18 shows, 93% of participants agreed that the experience has made them more valuable in their agencies.



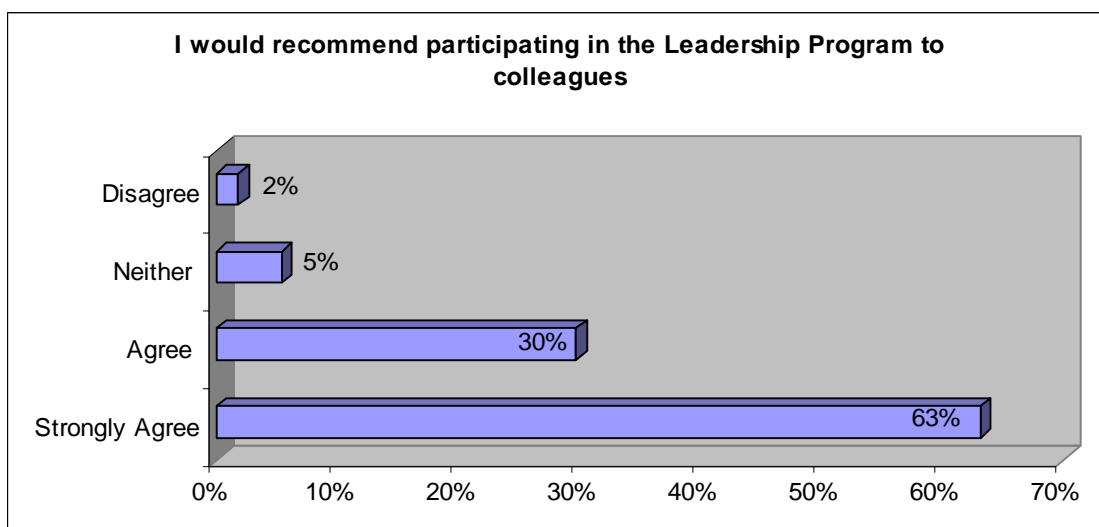
**Figure 18: Leadership Academy Alumni Survey Responses to Experience made them more valuable in their Agencies**



Source: Azevedo, 2013b.

Finally, participants were asked to provide their level of agreement to the statement posed, “I would recommend participating in the Leadership Academy Program to colleagues who are interested.” As Figure 19 shows, 93% of participants agreed that they would recommend the Leadership Academy Program to their colleagues.

**Figure 19: Leadership Academy Alumni Survey Responses to Recommending the program to Colleagues**



Source: Azevedo, 2013b.

Question seven asked, “Even if you were not promoted, did the Academy experience enhance your career development? If so, in what ways?” From the qualitative responses, four main themes emerged. These themes included responses focused on leadership style, networking, building leadership confidence and leadership self-reflection.

Participant comments referenced a strong understanding of the unique opportunity of coming together with other professionals from agencies in two different Bay Area counties. The relationships built from networking with their peers were described as “invaluable”.

Participant comments also identified appreciation of “space for self reflection” outside a work environment. Also, there were consistent comments on the value of exercises, case studies and assessments which facilitated the opportunity for participants to take inventory of their own leadership skills. Therefore, the respondents agreed that this led towards further building confidence in their own leadership.

## 5. ANALYSIS AND CONCLUSIONS

Since 2004, the APL program has been San Jose's premier leadership development program. Despite budget reductions and staff turnover in the department or city administration over the years, the APL program continued to be a consistent tool for the city's development of its workforce talent for future management positions. Unfortunately, Fiscal Year 2012-2013 did not include funding to support the APL program, so it was discontinued along with other training and development programs for the entire organization.

### *The Leadership Challenge*

As context for this paper, this section provides a brief overview of the impact to training and development due to the City of San José financial environment. It is useful to understand how the strategies and resources for training and leadership development programs were impacted, as well as the city's continued efforts to address its workforce development and competition to retain talent during this past decade. The significant budget reductions that government agencies, including the City of San José, have made in recent years have been a challenge to managing personnel and operations of government agencies.

The City of San José is a charter city and operates under the Council-Manager form of government. The City Council is comprised of the Mayor, and ten council members elected by district. Under this system, the Mayor and City Council appoint a City Manager to serve as the City's chief administrative officer. The City Manager is responsible to the council for the administration of city day-to-day operations and implementation of council policies (City of San José Municipal Code, 2013). As noted in the San José city charter, the City Manager is responsible for preparing and submitting an

annual budget to the Council. Additionally, the City Manager makes recommendations to the Council concerning the management of the city as he or she deems desirable, or as requested by the Council (City of San José Municipal Code, Article VII – City Manager, 2013, pg. 18).

The City of San José uses a performance-based budget and provides core services according to the charter. Each city department must identify performance targets and corresponding indicators that measure performance. All of the performance activities must be consistent with the city's and departments' mission statements. The Mayor and City Council approve the budget each fiscal year, and the Mayor's Office makes proposals, but the budget is prepared and presented by the City Manager. The City Council also establishes the budget goals and policies, and they can make modifications to the budget throughout the year as warranted by revenue collections and other demands. Recently, the city has been adding back community services, and measuring the success of Council priorities using performance data. Community input is also a significant factor in influencing the decision making process (City of San José, 2013).

Through a review of numerous budget documents, memoranda to the City Council and research of other sources detailed in the literature review, it appears that efforts to retain and develop the workforce of local government agencies, specifically within the City of San José, have been impacted by budget constraints. Even as the economy begins to slowly recover, resources allocated for new workforce development initiatives are also in direct competition with other council and resident priorities. Although the city administration has conducted workforce planning and invested in employees during the decade, the city administrators have made decisions that have impacted the city's ability to invest in employees at the same as before the economic

recession. Additionally, this research has discovered that the challenge of the City of San José's administration to recruit and retain talent has been impacted by various factors, such as a shrinking labor pool and lower morale due to pension and pay changes, resulting in retirements that escalated during the recession. Moreover, the analysis in this project focuses on the impacts of dwindling resources, specifically in the area of training and development.

#### *Dwindling Resources for Training and Development*

In early 2000's, a core function of the City of San José, Human Resource department, was training and development of city employees and "*providing programs that build the capacity of individual employees.*" (City of San José, 2001). This training and development core service was directly related to the following City service area outcome: *High performing, committed workforce that meets the service delivery needs of the organization* (Tobin, 2001 pg. 301). A major issue the City of San José forecast in the City Manager's budget message was the city's ability to compete for qualified workers in a very tight labor market. To address the challenge of attracting talented employees to the City of San José, the City Council provided one-time funds for the development of a series of key citywide initiatives including a coordinated effort to designate the city as the "Employer of Choice" (2001).

In the 2001-2002 Budget Message, the City Manager recognized that the city faced an increasing demand with reduced services (City of San José, 2001). However, in order to continue developing a competitive workforce and respond to fiscal challenges, the City Manager committed to providing training in critical skills and facilitating employee development. According to the performance measure data from 2001-2002, 90% of supervisors said training improved an employee's job performance and 90% of

employees rated the effectiveness of training as good to excellent (City of San José, 2002, pg 171). Subsequently, the adopted 2002-2003 fiscal year budget included additional classes to be offered on supervision training, project management and computer training. Additionally, the city administration recommended that eight Leadership and Supervision Academies (compared to three academies offered in the previous year) and basic training classes be offered on a biweekly basis (City of San José, 2002, pg 180).

Some of the highlighted activities tracked in the budget were based on the performance from the previous year and forecast activities revealed a high demand for training and development in the upcoming year:

**Table #5: Training and Development Activities (Performance Measures) offered in FY200-2001**

<b>Activity &amp; Workload Highlights</b>	<b>2000-2001 Actual</b>	<b>2001-2002 Forecast</b>
# of training courses offered	482	500
# of training attendees	5,300	6,200
# of training hours provided	2,552	3,000
# of training registrations processed	11,232	12,500

**Source:** *City of San José 2002- 2003 Adopted Budget: Performance and Resource Overview: Training and Development Summary section.*

During this period, the City of San José had a strategic 5-year goal for training and development that 88% of employees participating in these training activities would agree that they had the skills and knowledge that they needed to do their jobs (City of San José, 2002, 88). Therefore, the allotted resources were in response to these efforts. In a report to the City Council, the city administration noted that an exceptional city workforce was the key to the delivery of quality of services to the community (City of San José, 2002, 92). Despite the economic outlook of declining revenues, the message to the City Council from the administration was that the investment in the city's workforce

would not only continue to be a core service but also assist in addressing the upcoming challenges.

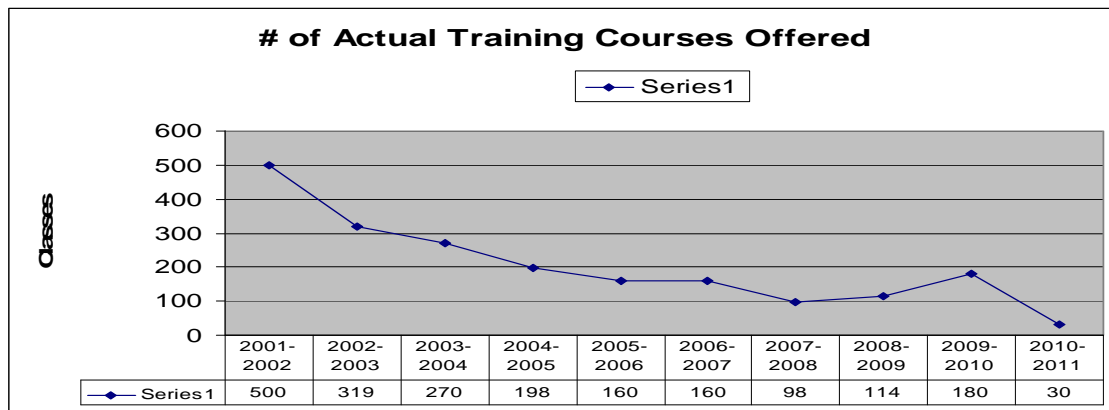
*Training and Development Eliminated as a Core Service*

During this period, training and development for the city workforce was identified as a key core service for providing quality services, and it was approved by the City Council for the City Manager to focus on this area. However, the activities diminished over the span of ten years until finally the Training and Development core service was eliminated in the FY2011–2012 Adopted Operating Budget. Between FY2001-2011, the approach and strategy for training and development would undergo many significant changes.

Although this project focuses on the APL Program, it is important to share this background data in effort to better understand the fiscally constrained environment in which the program had to operate.

As the figures below shows, training and development courses were slowly reduced over the span of 10 years until its eventual core service elimination in FY 2011-2012.

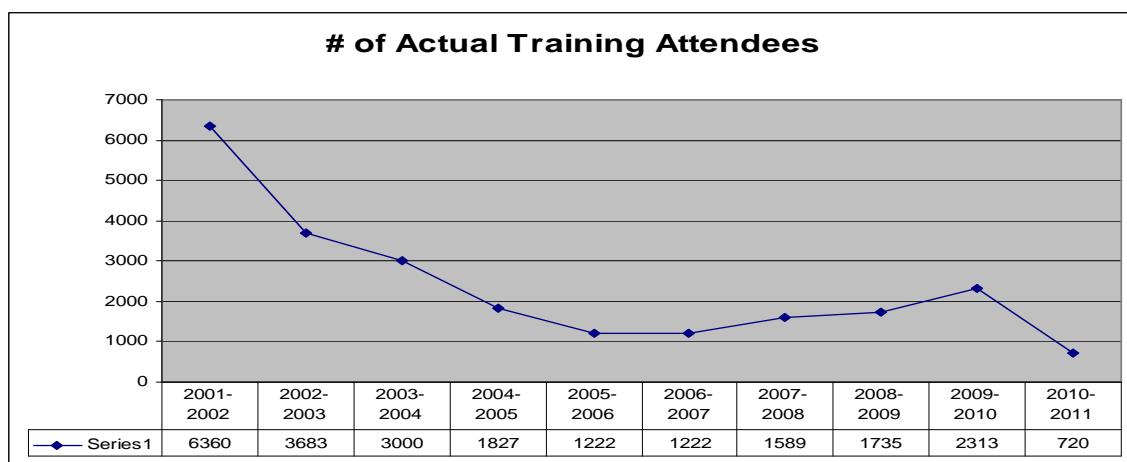
**FIGURE 20: TOTAL # OF TRAINING COURSES OFFERED FROM 2001 TO 2011**



Source(s): collected and aggregated from the Performance and Resource Overview: Training and Development Summary sections of the City of San José Operating Budgets from FY2001 to 2011.

After 46% of training courses were eliminated in 2003-2004, the training strategy was refocused on three core components: Leadership and Supervision Academies, New Employee Orientation and computer classes. Professional development courses (basic writing/math skills, technical/interpersonal and city systems/operations) were eliminated from the training catalog. Additionally, the new emphasis was that the individual departments would begin leveraging resources to create training programs and classes in order to be more efficient.

**FIGURE 21: TOTAL TRAINING ATTENDEES FROM 2001 TO 2011**

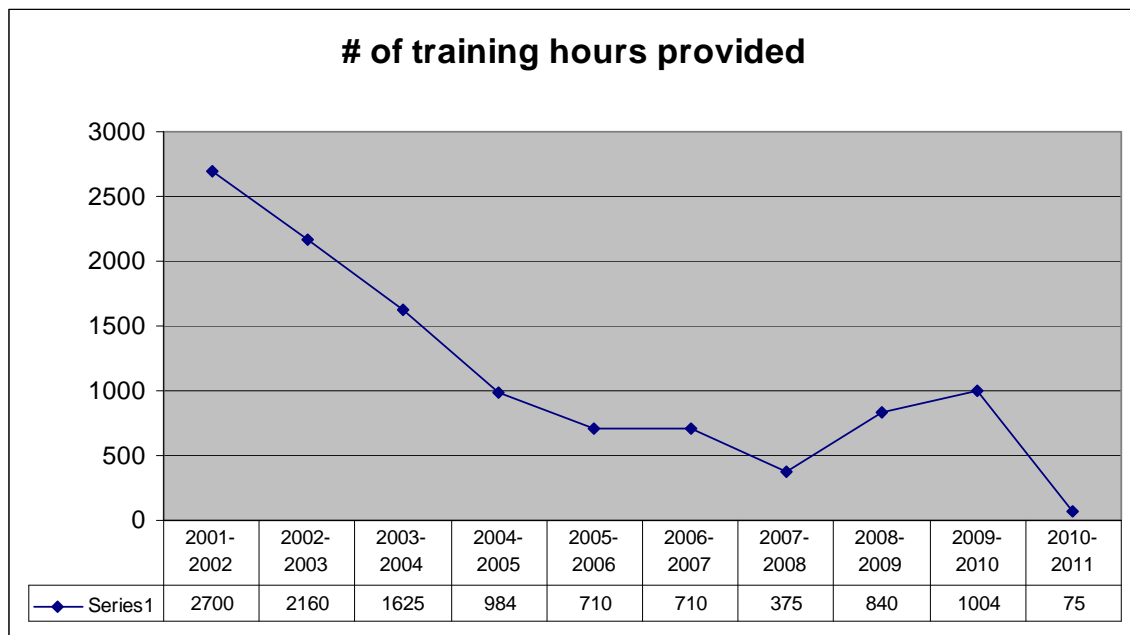


Source(s): collected and aggregated from the Performance and Resource Overview: Training and Development Summary sections of the City of San José Operating Budgets from FY2001 to 2011.



In recognition of the importance of maintaining continuity in leadership, beginning in 2004 the remaining training resources focused on high priority programs, such as mentoring, APL, and the leadership and supervision academy. Due to the reduction of resources, the city administration began to tailor programs and allocate resources that would train and develop a diverse and highly talented employee group that was ready to assume higher levels of responsibility and leadership within the city organization. The budget message noted that these programs were critical in establishing a high quality succession plan, especially as an estimated one third of the current workforce would be eligible for retirement within the next five years (City of San José, 2004, pg 576).

**FIGURE 22: TOTAL TRAINING HOURS PROVIDED FROM 2001 TO 2011**



**Source(s):** collected and aggregated from the Performance and Resource Overview: Training and Development Summary sections of the City of San José Operating Budgets from FY2001 to 2011.

Although citywide training hours fluctuated between 2004 and 2008, including a major increase between 2008 to 2010, records indicate that training hours for managers were extended, whereas they were nearly eliminated for non-managers. For example, the Leadership and Supervision Academies' hours were extended or offered more frequently during the year. However, 2007-2008 hours were impacted because the City was developing a Request for Proposal to outsource the service to training vendors and consultants that were paid through individual department budgets. Additionally, the increase between FY2008 – 2010 was the result of the selection of an online training registration vendor. Additionally, opportunities for trainings were increased due to courses offered through university/college partners, professional consultants and city staff certified as trainers. Unfortunately, training and development had been so impacted by this time, according to Sarah Nunes, Employee Services Division Manager, that “employees did not take as much advantage of this available opportunity.” (Nunes, 2013)

As the figures have shown, the reductions in training and development continued during this 10-year period. However, rather than offer individual and specialized trainings over a period of time, the city administration focused on training initiatives that included one-time events, such as sponsoring guest speakers and hosting seminars. Additionally, the city workforce planning strategy efforts continued to be led by individual departments in an effort to implement sustainable programs in critical areas. For example, the Environmental Services department--anticipating a major impact from retirements in its Water Pollution Control Plant--developed a training program and dedicated staff, to train staff in critical job functions and classifications.

Although the Training and Development core service was eliminated, along with its core programs such as the APL and Leadership and Supervision Academy, the Human Resource Department currently continues to partner and leverage resources with other city departments that enable the organization's ability to hire and retain a high performing workforce. The City Manager remained optimistic in her most recent City Manager Budget Message, FY2012-2013:

*Strategies are being implemented to develop current employees and attract new talent so that the City's workforce can continue to deliver top-quality services while meeting changing customer demand (City of San José, 2013b, pg 116).*

Meanwhile, the city continues to struggle with slow recovery of the economy and painful decisions that had a serious impact on the reduction of its community services and workforce. Over the next five years, small surpluses or shortfalls are projected annually as shown in the table below:

<b>2013-2014</b>	<b>2014-2015</b>	<b>2015-2016</b>	<b>2016-2017</b>	<b>2017-2018</b>
(\$5.5)	(\$13.7)	\$2.0	(\$4.7)	(\$6.0)

*\* 2014-2018 Five Year Forecast and Revenue Projections/(Shortfall) (\$ in millions).  
(Source: 2013- 2014 City Manager Budget Request and 2014-2018 Five Year Forecast and Revenue Projections, City of San José, 2013a, p. 15)*

As noted in the 2014-2018 Five Year Forecast, the impact is expected to be limited to areas where a change of service will reduce cost and enhance service levels (San Jose, 2013). Regardless, there also remains the continued need to address its elimination of training and development as a core service. Consequently, an enormous shift in resources and strategic priorities has occurred in the City of San José's efforts to remain competitive with other jurisdictions in retaining and growing its talented workforce.

*Benefits of Continuous Learning*

From the research Findings, it is evident the support from City Council is critical for the implementation and maintenance of succession planning strategies such as training and development, especially when that support is tied to budget priorities. In San José, as the economy worsened and budget reductions became a reality, the city administration had to balance between services for the community and support services for employees. In many of the intervening years, the city administration was able to maintain aspects of the program, but budget support for training and development declined, and other strategies, such as collaborating with other municipalities, became the central focus.

In spite of this, the APL program had a significant impact on the workforce during this period. Cho and Lewis (2011) stated that employee turnover would be a significant challenge and critical ongoing loss if left unaddressed by public sector agencies. During this period the organization was preparing for and addressing employee turnover issues due to an older workforce and aging workforce. Llorens (2013) noted that seasoned and knowledgeable people needed to be strategically in place if an organization were to readily fill positions. As the findings demonstrate, the City of San José did very well in their outreach and selection process, as the participants in the APL represented a diverse range of city core service areas.

Although the APL program was initiated by the city administration in order to address the loss of talent and maintain high performing employees, research disclosed the impact that resources have on the success of such programs, especially when resources allocated to these initiatives are slowly reduced over a period of time. The role of government agencies in strategically designing succession planning programs is very critical to their continued success (Clerkin and Cogburn, 2012). As noted, training and development budgets in the City of San José were reduced each year, and focused on fewer

employees. The City Council's support of the remaining programs was an important part of training and development. During these lean years, the city administration decided to focus on emerging leaders and managers who were committed to staying long term in the organization.

Garrow and Hirsch's (2008) article suggests that talent management is investing in your best people, developing and building upon their potential. The APL program participants were already employees in key positions in the organization. Through the program and curriculum, the city administration invested in internal talent. In comparison to the Leadership Academy program, APL projects and facilitators focused more on the environment within the organization. Team projects were subjects or issues that actually needed to be addressed in the organization. Jacobson (2010) noted that job satisfaction was very critical in retaining talent within an organization, especially during periods when compensation is slow to increase. According to feedback received from APL alumni, the program provided significant learning opportunities that supported participants' ability to deal with difficult circumstances outside the program. As shared by one APL alumni respondent, "APL helped me assert my potential and validated that I'm on the right track."

Although the findings show that the City of San José has lost nearly one third of its APL graduates (e.g. through promotions and retirements), the program's model was very successful in developing and preparing participants for continued careers in public service. Jacobson's (2010) research concluded that having a succession plan could increase staff retention, provide leadership opportunities and enhance employees' commitment to the workplace. As noted in this report, performance measures captured in budget reports on the participant satisfaction with the APL program, and the overall training and development, were consistently rated over 90%. Although the loss of employees rapidly increased in the

organization over the decade, programs such as APL were important to the development of those remaining to fill those positions.

### *Collaborating and Sharing Resources*

Since Frank Benest's (2003) call to action on preparing the next generation, and his (2007) case studies documenting successful cities leadership development programs, preliminary research for this report found that many of those programs ultimately were eliminated due to budget reductions from the economic downturn. Many Baby Boomers began nearing retirement age or retired earlier than forecast as concerns about pension reform became more of a reality in public sector agencies. Although many agencies remained committed to succession and workforce planning in their respective organizations, a more concerted effort of collaborating and sharing resources became a key strategy to continue offering training, for example through the multi-county Leadership Academy. Facilitated and created by Frank Benest, the municipalities worked together to design a model that targeted emerging leaders in their agencies and exposed them to a network outside their own daily function and organization.

French and Goodman (2011) noted that government agencies faced a significant number of challenges as they continued to lose experienced employees and seek strategies to retain their most talented employees. Talent management is a very critical topic and a part of the Leadership Academies success. The program operates once a year in each of the counties, Santa Clara and Alameda, and its participants represented dozens of cities from each of counties. These participating cities' shared resources such as facilities, mentoring, developing curriculum or participating on the consortium board. Although the program results are slightly lower than the APL program, it has been successful in providing

participants opportunities to grow, network and achieve promotions in or outside their agencies. As one respondent to the survey noted, “It provided a chance to network with other agencies in the Bay Area, and it provided relevant information regarding government policy and issues.”

In comparison to the APL program, the Leadership Academy is not managed by one municipality, therefore the program’s performance is not monitored or tracked in the same manner as the City of San José’s documentation of the APL, whose results were included in the city budget. Respondents to the Leadership Academy survey showed that there was a gap in gender and a higher representation of participants with more than 10 years in public service. The sample survey and poll cannot draw the same comparisons or conclusions as the APL program data permitted.

Unlike the APL program, the Leadership Academy does follow up with alumni through newsletters, updates and networking events. According to Frank Benest, the idea is to continue communicating with participants and encouraging them to grow and develop their career over the long term. Additionally, Dr. Benest also states that this collaborative approach also ensures that the curriculum and program never grows “stale” and continues to change from shared input. Finally, he notes that the program is cost-effective (within the \$900 range), enabling employees to participate out of their individual professional development funds so that they have minimal impact on cities’ general fund dollars.

## 5.1 CONCLUSION

### *Reinvestment in Talent Development Programs*

As the City of San José administration continues to strategically focus on providing quality levels of service to meet the community needs, the organization will continue to face workforce hiring and retention challenges in the upcoming years. As noted in this paper, the City of San José APL and training and development programs have been eliminated from its budget and core services. However, as French and Goodman (2011) noted, government agencies face a significant number of challenges as they continue to lose experienced employees and find strategies to retain the most talented of the public employees. As the economy begins to recover, the City of San José and its' administration may also begin to build back their core services. Cho & Lewis (2011) pointed out that creating a positive work culture and learning environment is recognized as an important and cost effective approach in motivating talented employees to stay in organizations, especially during periods of salary and benefit decreases.

The APL program has been San José's key leadership development tool since 2004. Despite budget reductions, and staff turnover in the department or city administration, the APL program continued to be a consistent strategic investment for the city's workforce development of future management positions. However, since the program was eliminated through recent budget cuts, it remains to be seen whether program funding will be restored so that the key outcomes achieved through the program, as expressed by its participants, can be provided for future city leadership development and succession planning. Research Findings have demonstrated that the APL and similar efforts to provide leadership development within a city can be effective tools for "building the bench" within the city's existing employees.



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## APPENDIX

## APPENDIX A - ART AND PRACTICE OF LEADERSHIP ALUMNI – RAW DATA

<b>Year</b>	<b>Classification (during APL)</b>	<b>Dept. (during APL)</b>	<b>Current Classification</b>	<b>Promotion</b>	<b>Left for Promotion in other Jurisdiction</b>
2011	Lieutenant	Police	Lieutenant	No	No
2011	Env. Lab. Manager	ESD	no longer w/city	No	Yes
2011	Assistant Operations Manager	ESD	no longer w/city	Yes	Yes
2011	Division Manager	Library	Division Manager	No	No
2011	Sr. Executive Analyst	OED	Assist to CM	Yes	No
2011	Battalion Chief	Fire	Battalion Chief	No	No
2011	Pavement Maintenance Superintendent	DOT	Pavement Maintenance Superintendent	No	No
2011	Senior Analyst, HR Matrix Analyst for PBCE/ESD	PBCE	no longer w/city	No	Yes
2011	Division Manager	PBCE	Acting Deputy Director	Yes	No
2011	Environmental Services Program Manager	ESD	no longer w/city	No	Yes
2011	SBWR Capital Planning Manager	ESD	SBWR Capital Planning Manager	No	No
2011	Community Services Supervisor	PRNS	Community Services Supervisor	No	No
2011	Hazardous Materials Program Manager	Fire	Hazardous Materials Program Manager	No	No
2011	Sergeant	Police	Sergeant	No	No
2011	Maintenance Supervisor	DOT	Maintenance Supervisor	No	No
2011	Senior Librarian	Library	Senior Librarian	No	No
2011	Fire Captain	Fire	Battalion Chief	Yes	No
2011	Senior Librarian	Library	Senior Librarian	No	No
2011	Associate Landscape Architect	PW	Associate Landscape Architect	No	No
2011	Sr. Analyst, Workforce planning & OD	HR	Sr. Analyst, Workforce planning & OD	No	No
2011	Development Officer, Policy & Planning	Housing	Senior Development Officer, Policy & Planning	Yes	No
2011	Geometric Design Group Manager	DOT	Senior Transportation Specialist	No	No
2011	Program Manager	PRNS	Program Manager	No	No

2011	Mgr of Development Service Division	Fire	Division Manager	Yes	No
2011	Division Manager-Revenue Management	Finance	Division Manager-Revenue Management	No	No
2009	Electrical Maintenance Superintendent	DOT	Electrical Maintenance Superintendent	Yes	No
2009	Supervising Environmental Services Specialist	ESD	Supervising Environmental Services Specialist	No	No
2009	Sr. Librarian	Library	Sr. Librarian	No	No
2009	Supervising Environmental Services Specialist	ESD	Supervising Environmental Services Specialist	No	No
2009	Sr. Librarian	Library	Division Manager	Yes	No
2009	Contract Compliance Coordinator	PW	Contract Compliance Coordinator	No	No
2009	Supervising Environmental Services Specialist	ESD	Supervising Environmental Services Specialist	No	No
2009	Program Manager II	ESD	no longer w/city	No	Yes
2009	Sr. Accountant	Police	no longer w/city	No	No
2009	Program Manager I	IT	Program Manager I	No	No
2009	Program Manager I	Police	Division Manager	Yes	No
2009	Program Manager II	IT	no longer w/city	No	No
2009	City Arborist/Acting Urban Forest Manger	DOT	City Arborist/Acting Urban Forest Manger	No	No
2009	Supervising Environmental Services Specialist	ESD	Supervising Environmental Services Specialist	No	No
2009	Sr. engineer	DOT	Sr. engineer	No	No
2009	Sr. Librarian	Library	Mgr. of Innovation	No	No
2009	Sr. Architect	PW	Sr. Architect	No	No
2009	Acting Associate Engineer	ESD	Senior Engineer	Yes	No
2009	Deputy City Clerk	Clerk	no longer w/city	No	Yes
2009	Administrative Officer	PBCE	Administrative Officer	No	No
2009	Section Manager	OED	Section Manager	No	No
2009	Principal Investment Officer	Finance	no longer w/city	No	Yes
2008	Sr. HazMat Inspector	Fire	Sr. HazMat Inspector	No	No
2008	Event Svcs. Mgr	PW	no longer w/city	No	Yes
2008	Sr. Planner	PBCE	no longer w/city	No	Yes
2008	Sr. Executive Analyst	CMO	no longer w/city	Yes	No
2008	Program Manager	HR	no longer w/city	No	No
2008	Supervising Public Safety Dispatch	Fire	no longer w/city	Yes	Yes



2008	Financial Analyst	Retirement	Financial Analyst	No	No
2008	Program Manager II	DOT	Division Manager	Yes	No
2008	Sr. Analyst	Fire	Administrative Officer	Yes	No
2008	Code Enforcement Supervisor	PBCE	Acting Division Manager	Yes	No
2008	Policy & planning Administrator	Housing	no longer w/city	No	No
2008	Division Manager	ESD	no longer w/city	Yes	Yes
2008	Acting Recreation Superintendent	PRNS	Recreation Superintendent	Yes	No
2008	Sr. Analyst	ESD	Sr. Analyst	No	No
2008	Sr. Landscape Architect	PW	Sr. Landscape Architect	No	No
2008	Division Manager	DOT	no longer w/city	Yes	Yes
2008	Associate Engineer	ESD	Division Manager	Yes	No
2008	Sr. Analyst	OED	Sr. Executive Analyst	Yes	No
2008	Sr. Analyst	PW	Sr. Analyst	No	No
2008	Sr. Executive Analyst	CMO	no longer w/city	No	Yes
2008	Sr. Engineer	DOT	Sr. Engineer	No	No
2008	Division Manager	PRNS	no longer w/city	No	Yes
2008	Sr. Analyst	Fire	no longer w/city	No	Yes
2008	Operations Superintendent	Airport	Operations Superintendent	No	No
2008	Division Manager	Finance	Division Manager	No	No
2007	Administrative Officer	Fire	Deputy Director	Yes	No
2007	Administrative Manager	Airport	no longer w/city	Yes	No
2007	Fleet Manager	PW	no longer w/city	No	No
2007	Division Manager	Police	Division Manager	No	No
2007	Principal Accountant	ESD	no longer w/city	No	No
2007	Administrative Manager	HR	Program Mgr.	No	No
2007	Latent Print Examiner	Police	no longer w/city	No	No
2007	Sr. Analyst	PRNS	Sr. Analyst	No	No
2007	Sr. Program Coordinator	CMO	Sr. Program Coordinator	No	No
2007	Sr. Executive Analyst	CMO	Asst Director	Yes	No
2007	Sr. Civil Engineer	DOT	Sr. Engineer	No	No
2007	Development Officer	OED	Asst to CM	Yes	No
2007	Associate Engineer	DOT	Associate Engineer	No	No
2007	Principal Construction Inspector	DOT	no longer w/city	Yes	Yes
2007	Building Management Administrator	PW	Deputy Director	Yes	No
2007	Sr. Engineer	ESD	Sr. Engineer	No	No
2007	Sr. Engineer	ESD	no longer w/city	No	Yes
2007	Sr. Engineer	PW	Sr. Engineer	No	No
2007	Sr. Accountant	OED	Supervising Account	Yes	No
2007	Sr. Engineer	DOT	Senior Engineer	No	No

2007	Building Rehab Supervisor	Housing	Housing Policy & Planning Administrator	Yes	No
2007	Supervising Environmental Services Specialist	ESD	<b>no longer w/city</b>	No	Yes
2007	Building Management Administrator	PW	Building Management Administrator	No	No
2007	Sr. Analyst	ESD	<b>no longer w/city</b>	No	Yes
2007	Recreation Supervisor	PRNS	Recreation Supervisor	No	No
2006	Sr. Analyst	Finance	<b>no longer w/city</b>	Yes	No
2006	Sr. Analyst	PRNS	Sr. Analyst	No	No
2006	Acting Chief Plan Check Engineer	PBCE	Senior Plan Check Engineer	No	No
2006	Sr. Analyst	HR	Administrative Officer	Yes	No
2006	Administrative Officer	DOT	Administrative Officer	No	No
2006	Supervising Librarian	Library	<b>no longer w/city</b>	Yes	Yes
2006	Administrative Manager	Finance	<b>no longer w/city</b>	No	No
2006	Section Manager	OED	Section Manager	No	No
2006	Acting Administrative Officer	ESD	<b>no longer w/city</b>	Yes	Yes
2006	Assoc. Engineer	DOT	Sr. Transportation Specialist	Yes	No
2006	Assoc. landscape Architect	PRNS	Division Manager	Yes	No
2006	Parks Mgr./Acting Deputy Director	PRNS	<b>no longer w/city</b>	No	No
2006	Sr. Civil Engineer	DOT	Sr. Civil Engineer	No	No
2006	Sr. Landscape Architect	PW	<b>no longer w/city</b>	No	No
2006	Division Manager	IT	Director	Yes	No
2006	Sr. Analyst	HR	<b>no longer w/city</b>	Yes	Yes
2006	Acting Deputy Director	ESD	<b>no longer w/city</b>	Yes	Yes
2006	Transportation Policy. Mgr.	DOT	<b>no longer w/city</b>	No	Yes
2006	Acting Division Mgr.	ESD	<b>no longer w/city</b>	No	Yes
2006	Battalion Chief	Fire	<b>no longer w/city</b>	No	No
2006	Sr. Accountant	Airport	Sr. Accountant	No	No
2005	Administrative officer	Finance	<b>no longer w/city</b>	Yes	Yes
2005	Airport Operations Mgr.	Airport	Airport Operations Mgr.	No	No
2005	Info. Sys. Division Mgr.	Airport	Division Manager	No	No
2005	Recreation Superintendent	PRNS	<b>no longer w/city</b>	No	No
2005	Sr. Planner	PBCE	<b>no longer w/city</b>	No	Yes
2005	Sr. Civil Engineer	Airport	Sr. Civil Engineer	No	No
2005	Sr. Librarian	Library	Mgr. Technical Sacs.	No	No
2005	Program Manager II	Police	Program Manager II	No	No
2005	Recreation Superintendent	PRNS	<b>no longer w/city</b>	No	No

2005	Division Manager	ESD	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2005	Sr. Civil Engineer	DOT	Sr. Civil Engineer	<b>No</b>	<b>No</b>
2005	Division Manager	Police	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2005	Program Manager II	PW	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2005	Sr. Analyst	DOT	Administrative Officer	<b>Yes</b>	<b>No</b>
2005	Administrative Manager	HR	Division Manager	<b>Yes</b>	<b>No</b>
2005	Recreation Superintendent	PRNS	Assistant Director	<b>Yes</b>	<b>No</b>
2005	Assistant to the Director	PRNS	Administrative Officer	<b>Yes</b>	<b>No</b>
2005	Sr. Civil Engineer	DOT	Division Manager	<b>Yes</b>	<b>No</b>
2005	Division Manager	DOT	Deputy Director	<b>Yes</b>	<b>No</b>
2005	Sr. Civil Engineer	PW	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2005	Sr. Analyst	PW	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2005	Mgr. of Corporate Outreach	OED	Deputy Director	<b>Yes</b>	<b>No</b>
2005	Division Manager	IT	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2005	Operations Manager	DOT	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2005	Acting Parks Manager	PRNS	Parks Manager	<b>Yes</b>	<b>No</b>
2005	Sr. Engineer	PW	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2005	Administrative Manager	Fire	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2004	Deputy Director	Finance	Director	<b>Yes</b>	<b>No</b>
2004	Sr. Fire Protection Engineer	Fire	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2004	Battalion Chief	Fire	<b>no longer w/city</b>	<b>Yes</b>	<b>Yes</b>
2004	Battalion Chief	Fire	Battalion Chief	<b>No</b>	<b>No</b>
2004	Lieutenant	Police	<b>no longer w/city</b>	<b>Yes</b>	<b>No</b>
2004	Division Manager	PW	<b>no longer w/City</b>	<b>Yes</b>	<b>Yes</b>
2004	Benefits Manager	HR	<b>no longer w/City</b>	<b>Yes</b>	<b>No</b>
2004	Division Manager	DOT	<b>no longer w/City</b>	<b>No</b>	<b>No</b>
2004	Administrative Officer	ESD	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2004	Mgmt, Pol, Planning & Homeless Admin	Housing	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2004	Sr. Civil Engineer	DOT	Division Manager	<b>Yes</b>	<b>No</b>
2004	Sr. Engineer	PW	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2004	Supervising Plan Check Engineer	PBCE	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2004	Principal Budget Analyst	CMO	Deputy Director	<b>Yes</b>	<b>No</b>
2004	Administrative Officer	PW	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2004	Administrative Manager	DOT	Division Manager	<b>Yes</b>	<b>No</b>
2004	Parks Planning Manager	PRNS	Parks Planning Manager	<b>No</b>	<b>No</b>
2004	Division Manager	Library	<b>no longer w/city</b>	<b>Yes</b>	<b>No</b>
2004	City Land Surveyor	PW	Deputy Director	<b>Yes</b>	<b>No</b>
2004	Administrative Officer	Airport	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2004	Parks Manager	PRNS	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2004	Recreation Superintendent	PRNS	<b>no longer w/city</b>	<b>No</b>	<b>No</b>
2004	Administrative Officer	ESD	<b>no longer w/city</b>	<b>No</b>	<b>Yes</b>
2004	Administrative Officer	IT	Deputy Director	<b>Yes</b>	<b>No</b>

## **APPENDIX B**

### **SAMPLE VERBATIM RESPONSES TO THE APL SURVEY POLL QUESTION**

*“Even if you were not promoted did the Arts and Practice Leadership program experience enhance your career development?” if so in what ways?*

- “A variety of situational management skills and techniques, and networking that has lasted since 2009.”
- “I had been recently promoted to management and the APL experience assisted me with making the transition.
- “The networking opportunity was the best”
- “Gave me the confidence to step out of my comfort zone and tackle new responsibilities and the confidence to apply for a promotion, of which I am currently a finalist.”
- “Connections with other managers at a similar level; exposure to relevant learning material”
- \*Application of Fierce Conversations. \*Innovation and understanding of Policy Cycle as discussed by Dick Bowers. \*Understanding different Social Styles. \*Exposure to other City staff and processes through Team Project.
- “wider system leadership role larger and more important project assignments facilitator roles”
- “Provided additional resources and networking opportunities.”
- “The course was challenging, educational and forced me out of my comfort zone. Coming from a Department that tends to be very department-centric, APL allowed me to learn City dynamics and improved my global perspective. Should this course be offered again, I would be very interested in having my staff attend.”
- “It gave me better insight into the political decision making progress.”
- “I had never had such high level leadership training because my college degree is technical, not management. I found it very helpful to move away from technical matters and into management and leadership. The 360 profile also helped me realize I was very well rounded which gave me confidence.”
- “Managerial and Leadership skills enhancement”
- “Yes it's helped with my self awareness and increased my empathy for others' situations.”
- “First, the project based approach provided an opportunity to work with colleagues throughout the organization. Additionally, the curriculum included the book Fierce Conversations and I've found this approach helpful professionally and personally. Finally, the 360 evaluation process provided me with an opportunity to better understand and strengthen my management skills.”
- “Gave greater appreciation for other departments missions and challenges.”
- “Focused topics on leadership, collaboration etc.; networking with peers, opportunity to work on a relevant project”
- “Key concepts taught are used frequently. They include fierce conversations, and building trust/'letting go'.”
- “We were reminded and learned new leadership and management practices/skills. However, it is very difficult to use the skills/practices in our everyday work setting due

to politics, poor upper leadership, etc. Our final team project was a great experience; however, the outcome of improving the City-wide process was not realized even after several follow-up meetings with the CMO after our APL class was long over. I suggest the City to invest in different talent development outside the City of San Jose perhaps with ICMA.”

- “APL helped me assert my potential and validated that I'm on the right track. Although I haven't sought opportunities to promote, I'm quite pleased with the additional responsibilities the dept has afforded me. It reflects the dept confidence in my work and leadership abilities. APL also exposed me to the world of other depts; allowing me to consider exploring new career paths.
- Furthered knowledge as related to understanding of other city department functions and how they inter-related. Helped to understand roles, attitudes, and city "philosophy.”
- “Increased my network.”
- “In relationships and leadership traits.”
- “It provided valuable feedback on how I was performing (360 review); it covered a wide range of topics that are relevant to my job; and it gave me an opportunity to network with other City staff.”

**APPENDIX B CONTINUED:  
SAMPLE VERBATIM RESPONSES TO THE FOLLOWING LEADERSHIP ACADEMY  
SURVEY POLL QUESTION**

*“Even if you were not promoted did the Academy experience enhance your career development?” if so in what ways?*

- “The experience provided alternative and higher level perspectives regarding leadership as well as insight in dealing with current issues that impact local government.”
- “The academy provided an opportunity to think about the purpose of our work and leadership styles. It begins the conversation about what may be next for us in our work. Often, we do not have time to reflect on where we have been and where we are headed because we are far too busy doing the work we are given. The academy enhances this opportunity for thought, spurs interest in re-engaging in the profession and connecting with other professionals.”
- “It provided a chance to network with other agencies in the Bay Area, and it provided relevant information regarding government policy and issues.”
- “I have a better understanding of what it takes to be a successful leader. I recall case studies and experiences shared by presenters in the Academy that provided me with guidance and inspiration.”
- “High level perspective to local government challenges and introduces creative ways of structuring government service paradigms.
- “Leadership, Accountability, and improvements in project management including project delivery, working with others, etc.”
- “Provided a look at how other public agency personnel communicate”
- “Exposure to case studies and networking with other agencies.”
- “More tools in my box!”
- “The Academy provides you with in-site to other's experiences, other challenges agencies have, different ways of thinking, exposure to things you wouldn't incur in your current day to day job.”
- “Networking and exposure to other City departments.”
- “Informational to the public sector & very good overall critical thinking.”
- “The Academy forced me to allot time for strengthening key leadership skills, considering different approaches and outlooks, networking with up-and-coming leaders, and strategizing with others about how to become the type of leader others want to follow willingly.”
- “The Academy provided me opportunities to make connections, gain some new knowledge and techniques and helped me grow as a professional. The Academy also gave me the ability to work on some of my own challenges”
- “I received more knowledge on leadership development, making better/wiser decisions, how to develop up and coming leaders, and improved communication skills.”
- “Learning about how to be a leader was invaluable. Even though my career path was not a City Manager or Department Head, I do oversee a Division in the City Manager's office.

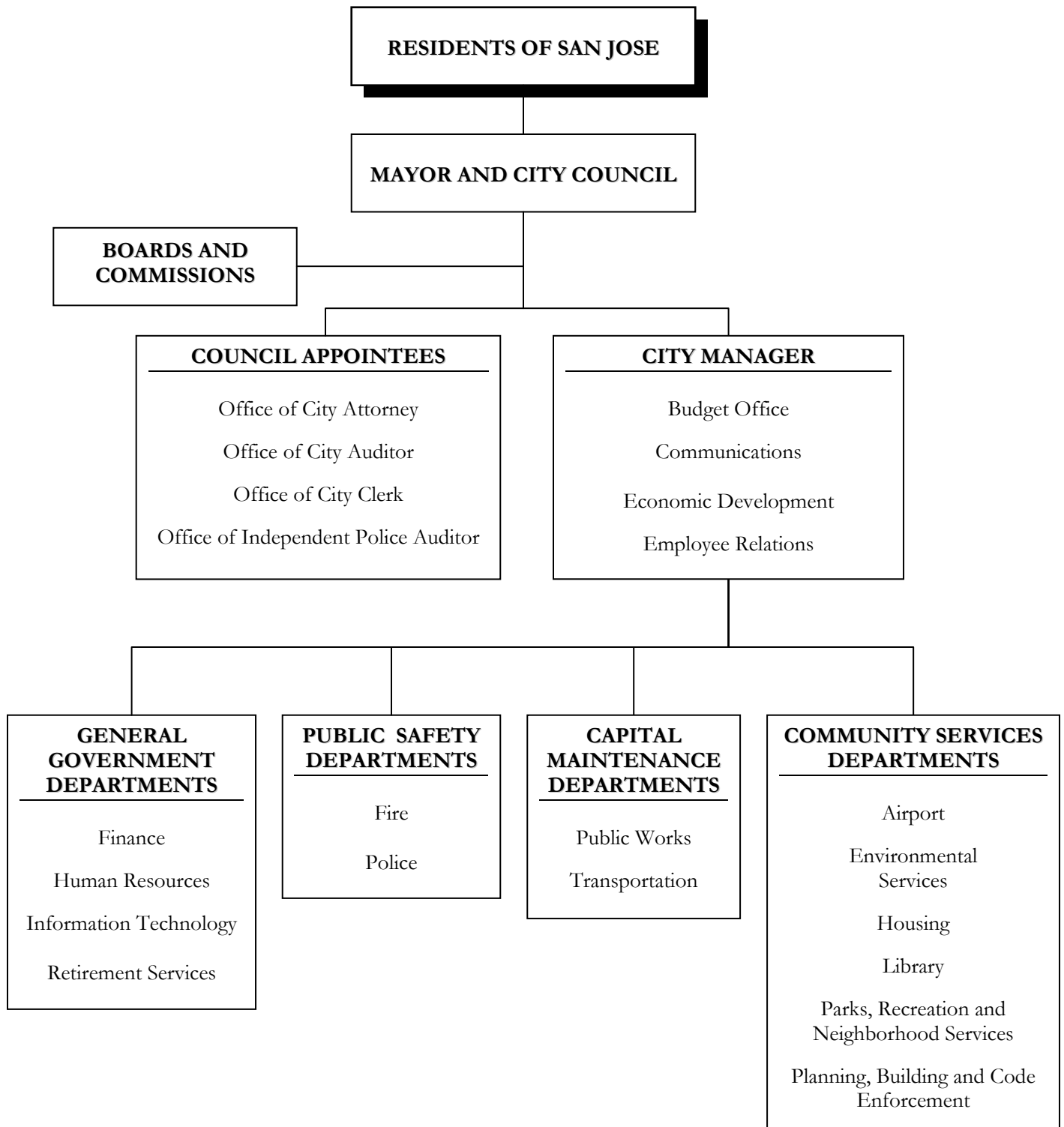
Hearing the career paths of others in local government was inspiring and also working with other people in a group setting is always good.”

- “The Academy made me more aware of others' perspectives and my own talents; gained confidence in my abilities to widen my scope of future career possibilities”
- “The Academy provided a reinforcement of ideas and concepts associated with collaboration between different agencies, departments and the public.”
- “The Academy reinforced skills; created networking and contacts that may be beneficial in the future.”
- “The Academy experience gave me confidence of my own leadership abilities through the sharing of life experiences from all the speakers. More importantly, the group project was quite an experience since I worked on an unfamiliar and quite complicated topic. Despite the short schedule to work as a group and the complicated group dynamics, our group still completed a decent study and presentation of the subject.”
- “The Academy experience assisted me in my approach towards my work, participation, community engagement and self-reflection.”
- “The Academy experience made me more mindful of the soft skills necessary to succeed in a managerial role in the public sector.”
- “The Academy experience improved coaching skills and employee development. I also gained more confidence and the ability to see "bigger picture".”
- “The best part of the academy experience was Frank Benest - a natural born leader and great teacher in my opinion. The reading material, the presenters, guest speakers, the stories --- all contributed to a great learning experience. As for it enhancing my career, I'm afraid there isn't anything further for me at the Water District.”
- “The Academy experience improved my management, strategic planning and leadership principles.”
- “I've been given assignments a person in my position wouldn't likely be offered, and have managed them with a confidence level I'm unsure I would've had before taking the academy. I've served as a Skelly officer and been given assignments typically reserved for the organization's HR manager. I've facilitated my agency's international student internship program, and I've been selected to serve as a member of a local government oversight board. Without my Leadership Academy experience, I would likely not have had any of these experiences.”
- “Since my experience in the Academy, I have joined MMANC and participated in a few conferences. I have actively taken on more responsibility”
- “The Academy experience increased my ability to communicate/connect with people”
- “I have been promoted!”
- “It made me more aware of issues in local government and more knowledgeable about other departments.”
- “The Academy experience enhanced my perspective regarding the other "non-safety" departments within our local government.”
- “The General Manager puts a strong emphasis on the academy which has enhanced my relationship with him.”

**APPENDIX C: CITY OF SAN JOSÉ ORGANIZATION CHART BY FUNCTION**

**CITY OF SAN JOSE  
2013-2014 ADOPTED OPERATING BUDGET**

**CITY ORGANIZATION BY FUNCTION**





**APPENDIX D  
SURVEY POLL QUESTIONS - (APL and Alameda/Santa Clara County Leadership  
Academy Participants)**

<p><b>CITY OF SAN JOSÉ APL Alumni Survey</b></p>
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**Open: September 28, 2013 to October 31, 2013**

Dear APL Alum,

I am undertaking an evaluation of the impact of the Art and Practice Leadership Program. I am also comparing the program results to the Leadership Academy in both Santa Clara and Alameda Counties. This study will serve as the final requirement of my MPA course of studies at San Jose State University. I am requesting that you complete the online surveymonkey survey (see link below).

The survey responses are confidential and should take only three minutes of your time. Please complete the survey in the next five working days. Thank you for helping me evaluate and share the impact of the APL Program.

1. What is your current department/classification?
2. Your gender
3. Your age group (Under 30; 30-39; 50-65; 66 and older)?
4. How long have you worked in local government (public sector)?
5. Even if you were not promoted did the APL experience enhance your career development?
6. Whether you were promoted or not, did the APL experience fulfill its principal training objective of improving your leadership skills and making you therefore more valuable in your agency?
7. I would recommend exploring the options of reinvesting in the APL program and other talent development support systems
8. Do you wish to receive the results of the survey?

If you do not wish to receive the survey, please let me know by replying to this email.

Thank you for helping measure the impact of the APL program.

Ernest Azevedo

## APPENDIX D CONTINUED: SURVEY POLL QUESTIONS

<b>Alameda and Santa Clara County Leadership Academy Survey</b>
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**Open: September 28, 2013 to October 31, 2013**

Dear Academy Alum,

Ernest Azevedo, a Senior Management Analyst with the City of San Jose, is undertaking an evaluation of the impact of the Leadership Academy in both Santa Clara and Alameda Counties. This study will serve as the final requirement of Ernest's MPA course of studies at San Jose State University. We are requesting that you complete the online surveymonkey survey (see link below). <http://www.surveymonkey.com/s/7V8VDN9>

1. What is your local government agency/current department/classification?
2. Your gender
3. Your age group (Under 30; 30-39; 50-65; 66 and older)?
4. How long have you worked in local government (public sector)?
5. Have you been promoted inside your public agency since participating in the Leadership Academy Program?
6. Have you been promoted by moving to another agency since participating in the Leadership Academy?
7. Even if you were not promoted did the Academy experience enhance your career development? If so in what ways?
8. Whether you were promoted or not, did the Academy experience fulfill its principal training objective of improving your leadership skills and making you therefore more valuable in your agency?
9. I would recommend participating in the Leadership Academy Program to colleagues who are interested
10. Do you wish to receive the results of the survey?

The survey should take only three minutes of your time. Please complete the survey in the next five working days.

Those completing the survey will receive the results of Ernest's study. Thank you for helping us evaluate the impact of the Academy.

Frank Benest, EdD

Director