

County of Monterey

Board Policy Manual

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Board of Supervisors Referral Process	G-35	1 of 4
Policy Category Government and Administration		

I. Purpose

Monterey County Code section 2.14 specifies that the Board of Supervisors shall work through the County Administrative Officer for administrative services. The referral process is a mechanism for the Board to request such administrative services. A referral can be made to acquire more information on a topic to assist policy decision making responsibilities or to initiate a course of action. The following procedures have been established to efficiently define, transmit, assign, log and track referrals made by the Board of Supervisors through the County Administrative Officer (CAO).

II. Background

The Board of Supervisors (Board) referral process is a mechanism for the Board to acquire more information on a topic to assist with its policy decision making responsibilities or to request substantive action by County staff on an initiative. Because the County Code requires the Board to request administrative services through the County Administrative Officer, a Board member referral serves as a tool to seek such services. A formal Board referral process was developed in July 2009 to provide the Board and County departments with a written roadmap/guide of the County's referral procedure from inception of the referral through its completion. Said process was further refined and amended by the Board on April 27, 2021.

III. Policy

NA

IV. Procedure

SUBMITTAL

1. Board Office submits completed Board Referral on Referral Submittal Form electronically to CAO by noon on the Wednesday prior to a Board meeting.

- a) cc: Assistant County Administrative Officers (“ACAOs”) and Executive Assistant/Administrative Secretaries (“CAO Administrative Support Staff”)

DISTRIBUTION

- 2. Upon receipt, CAO Administrative Support Staff:
 - a) Assigns referral a number (year and number within the year).
 - b) Creates file in the BOS shared folder.
 - c) Updates Board Referral Matrix list accordingly.
 - d) Provides electronic copies of the referral to:
 - i. Board Offices (BoS Everyone)
 - ii. County Elected Officials, Department Heads, and Water Resources Agency General Manager (hereinafter “Department” or “Department Head”)
 - iii. County Counsel and Assistant County Counsel
 - iv. cc: CAO, ACAOs and CAO Administrative Support Staff

ASSIGNMENT

- 3. As part of “CAO Comments and Referrals,” at the first subsequent regular Board meeting, the CAO:
 - a) Provides a verbal report describing each newly submitted referral.
 - b) Assigns the referral to the responsible department(s) and project lead(s).
 - c) Requests the responsible department or office to return to the Board with a preliminary analysis of the proposed project within twenty-one (21) days from the date of the assignment, or sooner if the Referral is urgent.
 - i. Clerk of the Board to place preliminary response item (with referral number) on Advanced Calendar (for tracking purposes).
 - ii. Upon assignment, the lead department should contact the referring supervisor to discuss the “intent” of the referral.
- 4. CAO Administrative Support Staff:
 - a) Updates the Referral Submittal Form to reflect the assignment.
 - b) Forwards the form electronically to the assigned:
 - i. Department Head and lead
 - ii. Board Offices
 - iii. County Counsel, Assistant County Counsel
 - iv. cc: CAO, ACAOs and CAO Administrative Support Staff
 - c) Updates the Board Referrals Matrix list accordingly

PRELIMINARY DEPARTMENT ANALYSIS REPORT and BOARD DIRECTION

- 5. The lead department to which the referral is made:
 - a) Reviews the referral and prepares a preliminary analysis report to the Board on the Preliminary Board Referral Response Form, which contains the following information:
 - i. Purpose of Referral
 - ii. Brief Project Description
 - iii. Estimated Project Cost
 - iv. Estimated Staffing Effort
 - v. Departmental Challenges for Referral Completion
 - vi. Proposed Response Date
 - b) Unless otherwise specified in a referral or direction of the Board, all “*preliminary responses to referrals shall be due on a Board agenda within twenty-one (21) days from the date of the referral*,” or the next Board meeting after the twenty-one (21) days.

Preliminary departmental analysis of routine, low-cost and unambiguous referrals may be placed on the Board's consent agenda for Board consideration. Preliminary departmental analysis of complex, controversial costly and/or ambiguous referrals may be placed on the Board's consent or scheduled agenda for consideration of approval and direction. Determination of whether the item should be placed as consent or scheduled shall be made by the County Administrative Officer in consultation with the Board Chair.

- c) Copies of preliminary analysis report and associated attachments to be provided to CAO, ACAOs and CAO Administrative Support Staff for uploading to referral folder on BoS Share drive.
- d) When presented with the Preliminary Analysis the Board shall:
 - i. Direct the department(s) to proceed with completion of the referral as outlined in preliminary report;
 - ii. Direct department to proceed with referral completion based on revisions/clarifications to referral/preliminary analysis by the Board;
 - iii. Direct department to return to the Board with a more comprehensive analysis of the referral and the effort anticipated for completion; or,
 - iv. Rescind Referral
- e) CAO Administrative Support Staff update Board Referral Matrix accordingly

REFERRAL COMPLETION METHODS and TIMELINES:

- 6. Referrals should be completed by the method requested in the referral, as stated in the departmental analysis or as directed by the Board. Typical methods for completion include a memorandum to the full Board, a consent agenda report to the Board, a scheduled agenda presentation, or an action specified in the referral or analysis. Referrals should be completed within the time stated in the referral or the subsequent Board approved preliminary departmental analysis.
 - a) If unable to meet response deadline, the department will submit justification to requesting Board Office via memorandum with a suggested extension date.
 - i. Department to cc: CAO, ACAOs, and CAO Administrative Support Staff.
 - ii. Copy of email/memorandum to be uploaded to referral folder on BoS share drive as back up.
 - iii. CAO Administrative Support Staff will update Board Referral Matrix accordingly.
 - b) Referral Completion
 - i. Lead department shall contact referring supervisor via email regarding referral completion.
 - 1. Department to cc: CAO, ACAO's and CAO Administrative Support Staff on communication.
 - ii. If referral deemed complete, Executive Assistant or backup shall:
 - 1. Update Board Referral Matrix accordingly marking item "Complete".
Notation to remain on list for three weeks.
 - 2. Upload Referral materials to BoS Shared drive.
 - 3. Upload copy of email from referring supervisor deeming referral complete.

URGENT REFERRALS:

- 8. Occasionally, referrals may be made on urgent matters wherein the time necessary to provide the preliminary departmental analysis and referral completion outlined above will extend

beyond the time relevant to the referral. For example, a referral to take a position on urgent State or Federal legislation with an anticipated date of adoption within twenty-one (21) days.

- a) Urgent Referrals will be separately listed on the Board's Agenda under CAO Comments & Referrals for consideration. The CAO and/or a department representative may provide a summary of the referral including potential costs, challenges for completion and alternatives. The Board shall take an action on urgent referrals to:
 - i. Direct the referral be processed and completed as requested;
 - ii. Direct the referral be processed and completed with modifications; or,
 - iii. Reject the referral.

BOARD REFERRAL MANAGEMENT

- 9. The County Administrative Office (CAO) shall maintain a matrix log of all referrals requested by the Board as well as supplemental documents, information regarding responsible department, due dates and weekly status report updates.
 - a) CAO Administrative Support Staff shall request regular status reports for referrals from Departments (via email). Should circumstances arise that delay the original requested response date:
 - i. The original and any subsequent dates will be stricken through on the Board Referrals Update list for easy reference.
 - ii. A brief explanation will be provided and noted on the list.
 - b) As noted in the above procedures, copies of all preliminary and final department responses, either reports, memos or recommendations are to be submitted to the CAO, ACAO and CAO Administrative Support Staff for uploading to the appropriate referral file folder.
 - c) Board shall review referral matrix on an annual basis as part of the Board's agenda under CAO Comments and Referrals. At that time, assigned department shall indicate challenge to completion and estimate date for completion.
 - i. At annual review, referring supervisors may withdraw, continue or modify their respective referrals.
 - 1. Executive Assistant or backup shall update matrix accordingly.

V. Review Date

- a. This Policy will be reviewed for continuance on October 26, 2021.

VI. Board Action

- a. Legistar File Number, 21-350, April 27, 2021.