



# **Workforce and Succession Plan 2022–2026**



In 2017, the California Department of Consumer Affairs (DCA) developed a Workforce and Succession Plan to guide the Department's preparedness in workforce and leadership continuity.

The 2022–2026 Workforce and Succession Plan builds on the challenges and opportunities identified in the 2017–2021 plan. This plan reports on prior strategic initiatives that were undertaken to support DCA to achieve its mission and prepare its workforce for the challenges ahead. Further, this plan presents additional initiatives, some a direct result of the COVID-19 pandemic. Some of the initiatives discussed in the 2017–2021 plan were also either deferred or delayed due to the pandemic.

Both plans strive to have the right people with the right skills in the right place at the right time. DCA relies on a knowledgeable, committed workforce of skilled professionals to achieve its mission of protecting California consumers. DCA achieves its mission by providing outstanding support services, oversight, and innovative solutions to entities that regulate California professionals and vocations. Through the partnership between DCA and these entities, all Californians are informed, empowered, and protected.

Like other State of California departments, DCA's ability to deliver services effectively in the future is at risk due to the projected retirement of a large percentage of DCA's experienced workforce. With the departure of experienced employees, who possess institutional knowledge and perform vital roles, it is important for DCA to continue outlining opportunities to enhance its infrastructure and be proactive in developing workforce planning guidance.

Succession planning is the process of identifying and developing employees to fill key positions in an organization. It can prepare an organization for the departure and promotion of employees. It can also prepare an organization for expansion or reorganization. Succession planning recognizes that some jobs are extremely valuable to the organization and are too critical to be left vacant or filled by anyone but the most qualified individuals. Efficiently done, succession planning is critical to mission success and creates an effective process for recognizing, developing, and retaining top leaders.

Workforce and succession plans allow leaders to demonstrate their commitment to employees and citizens of California by planning and preparing for the continuity of services. This report is not intended to include all available methods to achieve the goal of departmental continuity and succession planning. However, it builds on the initial framework for DCA's workforce and succession planning efforts, reporting on progress and continuing efforts.

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## Introduction

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One of the California Legislature's earliest efforts to protect the public was passing the Medical Practice Act in 1876. The Act was designed to regulate the state's medical industry, which had been operating virtually unchecked. Over the next 30 years, the state began regulating more professions. By the late 1920s, 10 state boards were in existence under the Department of Vocational and Professional Standards. The Department licensed or certified accountants, architects, barbers, cosmetologists, dentists, embalmers, optometrists, pharmacists, physicians, and veterinarians. The Consumer Affairs Act of 1970 gave the Department of Consumer Affairs (DCA) its current name.

Together, DCA protects and serves consumers in many ways:

- **DCA is a service provider.** Through several administrative divisions and offices, including Communications, Legislative Affairs, Legal Affairs, Human Resources, Business Services, Fiscal Operations, and Information Services, DCA provides oversight and support services for its licensing boards and bureaus to assist them in their mission of consumer protection.
- **DCA is an educator.** DCA and its licensing boards and bureaus educate consumers by giving them the information they need to avoid being victimized by unscrupulous, unlicensed, or unqualified individuals who promote deceptive or unsafe services.
- **DCA is a licensing entity.** Through its licensing boards and bureaus, DCA licenses more than 3.4 million professionals and enables consumers to check the license status of these professionals online or by phone.
- **DCA is a regulator.** Through its licensing boards and bureaus and its Division of Investigation, DCA investigates consumer complaints on issues under its jurisdiction. If violations are found, license holders can face discipline. Discipline may include probation, suspension or revocation of a license, fines and citations, letters of reprimand, cease and desist orders, or criminal charges.

DCA's workforce planning is an active, ongoing process. It seeks to align the needs and priorities of the organization to the number of staff and to the respective knowledge, skills, and abilities required of its workforce. It informs the organization and its stakeholders of current and future environmental impacts, and it incorporates the initiatives and strategies necessary to ensure that human capital and talent management efforts support business goals.

Workforce planning is a challenging process because it forces DCA to think about how to strategically align the workforce to business and operational

needs. Workforce planning can include any workforce challenge an organization faces—from recruitment, selection, compensation, and training to knowledge transfer, succession planning, retention, and more.

## Strategic Direction

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DCA uses a business process that aligns staffing with the strategic mission and critical needs of DCA. The process attempts to forecast future workforce needs and develop a talented workforce.

To understand the environment in which DCA operates and identify factors that could impact its success, DCA's Strategic Organizational Leadership and Individual Development (SOLID) Planning Unit conducted an environmental scan of DCA's internal and external environments. The information was collected in 2021–2022 through the following methods:

- Interviews conducted with most DCA's executive leaders.
- An online survey (collecting qualitative and quantitative information) distributed to all DCA employees, board members, and bureau advisory committee members.

The themes and trends identified from the environmental scan were discussed by the DCA Executive Leadership team during a strategic planning session facilitated by SOLID. This information guided the development of the strategic objectives outlined in DCA's 2022–2027 Strategic Plan, including the following mission and vision statements, and values.

### **Mission Statement**

Provide outstanding support services, oversight, and innovative solutions to boards and bureaus that regulate California professionals and vocations so that through this partnership all Californians are informed, empowered, and protected.

### **Vision Statement**

Together, protecting California consumers.

### **Values**

Accountability, Communication, Consumer Protection, Diversity, Equity, Inclusion, Innovation, Integrity, Leadership, Teamwork, Transparency, and Trust.

Both Workforce and Succession Plans determined that these categories and goals are critical to maintaining DCA's long-term operations.

### **Recruitment**

Reduce vacancies, especially in critical positions and hard-to-recruit positions

such as investigators. DCA has 3,425 authorized positions but only 3,066 active employees as of August 2022 (a vacancy rate of 10.5%).

### **Knowledge Transfer**

Document licensing and enforcement business processes for all DCA programs for standardization, consistency, and training. Maintain current DCA policies to facilitate employee understanding of DCA protocols.

### **Retention**

Establish an employee upward mobility and retention plan to build teams with longevity and decrease vacancies.

Contract with independent organization(s) to perform occupational analyses and salary surveys of management-level positions equivalent to DCA executive classifications to provide DCA with an enhanced ability to attract competitive applicants.

### **Competencies**

Partner with boards and bureaus to establish licensing and enforcement best practices for standardization and consistency.

### **Succession Planning**

Develop subject matter expertise to improve quality of service and enhance consumer protection.

Establish an exit process for management retirements (including executive staff and board and bureau leadership) to stay better apprised of departmental needs, facilitate leadership transition, and protect board and bureau stability.

### **Environmental Factors**

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DCA's internal and external factors include: Enforcement, Licensing, Policy and Consumer Advocacy, Communication, Services, Technology, and Organizational Effectiveness. Below is a summary of each area and a short description of factors impacting each area.

#### **Enforcement**

DCA ensures that its boards and bureaus prevent, reduce, or eliminate unlicensed activity and harmful conduct by licensed professionals who pose a threat to the health, safety, and welfare of Californians.

DCA continuously works to implement best practices for improving enforcement training for DCA boards and bureaus, recruiting investigative staff, and reducing case backlogs.



## **Licensing**

DCA ensures that its boards and bureaus expeditiously license qualified applicants, allowing timely entrance into the California workforce; that artificial barriers to licensure are not established; and that consumer protection is maintained.

Factors being addressed in this area include: improving board and bureau understanding of Business and Professions Code section 139, documenting business processes to improve standardization among DCA programs, educating licensees about licensing requirements, and documenting best practices of DCA licensing units.

## **Policy and Consumer Advocacy**

DCA advocates on behalf of consumers by ensuring that statutes, regulations, policies, and procedures support and further the mandate and mission of DCA and its boards and bureaus.

DCA regularly partners with boards and bureaus to reduce regulatory review timelines, improve regulation training, and develop stronger partnerships on policy direction for DCA-wide policy objectives.

## **Communication**

DCA proactively provides relevant, timely, and accurate information to all stakeholders.

DCA continuously seeks to improve communication channels and partner with outside organizations about DCA's roles, while improving outreach to stakeholders and California's diverse communities.

## **Services**

DCA provides services to support its boards and bureaus while ensuring compliance with existing laws, rules, and best practices.

DCA regularly monitors board and bureau vacancies. It improves tracking and the efficiency of DCA administrative functions, improves staff retention and training options, and develops more training for board members.

## **Technology**

DCA looks for opportunities to address business needs, including telework, through technology solutions.

Factors being addressed in this area include: modernizing DCA's mobile workforce and web presence, updating technology platforms, and improving access to DCA technology offerings.

## Organizational Effectiveness

The DCA standard is to build an excellent organization through governance, effective leadership, performance, and service.

DCA partners with boards and bureaus to improve project and service timelines, uses metrics to document productivity and assess workload, improves staff understanding of DCA's purpose, facilitates leadership transition due to retirements, and enables knowledge transfer.

### Methodology

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This plan builds on the previous plan by updating DCA's workforce demographics to identify which classifications will experience higher retirement rates during the next five years. Further, this plan reports the actions taken to develop succession activities for addressing workforce challenges on a department-wide level, and the results of those actions.

Lastly, similar to the prior plan, several DCA executive leaders will participate in meetings to review common pressing issues and the extent to which they have been addressed or are still considered significant. These issues are summarized below:

- In some areas, lack of and loss of institutional knowledge.
- Need for recruitment and retention efforts to address retirement attrition.
- Pay structure challenges and the difficulty associated with creating incentives for high performers.
- Limited mentors and programs to help new staff and new managers.
- Need for staff, managers, and executives to participate more widely in analytical, critical thinking, as well as leadership training and activities.
- Lack of documented business processes and desk manuals.
- A need for more activities to develop DCA's next generation of future leaders.
- Developing and conducting more unique onsite and web-based trainings.

The participants' collective feedback will be instrumental in identifying initiatives that will help DCA build its bench of future leaders. The activities are described below in the Workforce Planning Initiatives section.

### Workforce Overview

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DCA is a medium-sized department in the State of California's structure. DCA is a department within the Business, Consumer Services and Housing Agency. As of

December 31, 2022, DCA has 3,425 authorized positions. The DCA hierarchy is composed of several divisions and sections. In addition, DCA's structure includes 36 regulatory boards and bureaus that establish minimum qualifications and levels of competency for licensure, provide licensure for professionals, and enforce laws related to those professions. The DCA Organization Chart can be found in Appendix A.

## Demographics

DCA's workforce is comprised of 43.9% men and 56.1% women. These gender ratios differ from statewide statistics by nearly 10%. This is a 3% reduction from the previous report. It is not unusual in public or private sector customer service-oriented business areas to have significantly higher percentages of female employees.

DCA's overall ethnic composition is 44.1% Caucasian, 20.7% Hispanic, 12.9% Asian, 10.2% African American/Black, 0.6% Pacific Islander, and 0.6% American Indian; "Other" makes up the remaining 10.8 % of the workforce. The table below shows DCA's ethnicity and gender statistics compared to civil service statewide data.

### Civil Service Demographics<sup>1</sup> – December 2021

Demographic	Statewide	DCA*	Difference DCA vs. Statewide
Women	45.8%	56.1%	10.3%
Men	54.2%	43.9%	-10.3%
Caucasian	38.6%	44.1%	5.5%
Hispanic	25.7%	20.7%	-5.0%
African American/Black	8.6%	10.2%	1.6%
Asian	18.4%	12.9%	-5.5%
American Indian	0.6%	0.6%	0%
Pacific Islander	0.8%	0.6%	-0.2%
Other	7.3%	10.8%	3.5%

\*Note: Percentages for DCA demographics by ethnicity do not add to 100% due to rounding.

DCA's workforce is currently composed of 35.4% Millennials, including many with several years of State service. Generation X (44.8%), Baby Boomers (19.6%), and Veterans (0.2%) make up the remainder of DCA's workforce. These

<sup>1</sup> Excludes Retired Annuitants and Student Assistants.

demographics continue to support the need for business process mapping, knowledge transfer, and leadership development initiatives.

**Generational Data<sup>2</sup>**

Groupings	Millennials (1982-2004)	Generation X (1965-1981)	Baby Boomers (1946-1964)	Veterans (1925-1945)
Rank-and-File	917	1,028	480	3
Managers and Supervisors	98	211	79	2
Staff Services Manager III	3	6	1	0
Career Executive Assignment	3	20	6	0
Exempt	13	46	8	0
All Permanent Civil Service	1,034	1,311	574	5
Percent of Total	35.4%	44.8%	19.6%	0.2%

Boards and bureaus seeking to examine their respective workforce demographics can visit the web page <http://calhr.ca.gov/Pages/workforce-analysis.aspx>. At this page, enter: "Consumer Affairs, Department of" to be directed to a page with several reports for various time periods.

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<sup>2</sup> MIRS data as of June 2022. MIRS data is based on information voluntarily supplied by employees and should be used as an estimate.

## Separation Trends

The data below illustrates DCA's actual separation trends. In the past two years, there were a total of 388 separations, the majority being for retirement.

### Separation Snapshot for Permanent, Civil Service Employees

Year	Voluntary Separation	Retirement	Involuntary Separation	Health / Disability / Family	Total Separations	Total Separations % Change Year/Year
5/1/2019 – 4/30/2020	36	96	0	1	133	N/A
5/1/2020 – 4/30/2021	109	142	4	0	255	91.7%
Totals	145	238	4	1	388	6.7%

The table below depicts a snapshot of DCA's turnover rate (by classification) during 2021. Classifications with a turnover rate of 5% or higher were included in the table.

### Snapshot for Turnover Rate for Permanent, Civil Service Employees

Class Title	Jan 2021 No. of Employees	Dec 2021 No. of Employees	2021 Average No. of Employees	Voluntary Separations	Turnover Rate
ADMINISTRATV AST I	1	0	0.5	1	100.00%
COSMET EXAM II	1	0	0.5	1	100.00%
LBR REL SP	1	0	0.5	1	100.00%
PROP AP/INV	1	0	0.5	1	100.00%
SENIOR ACCOUNT CLK	1	0	0.5	1	100.00%
SR MANGMNT AUDITOR	1	1	1	1	100.00%
ASO BUDGET ANALYST	6	2	4	4	66.67%
ACCOUNT CLERK II	2	1	1.5	1	50.00%
SR PERSNL SP	4	3	3.5	2	50.00%
ASSOC BUS MNGT ANL	3	2	2.5	1	33.33%
EXEC A	3	1	2	1	33.33%

### Snapshot for Turnover Rate for Permanent, Civil Service Employees

Class Title	Jan 2021 No. of Employees	Dec 2021 No. of Employees	2021 Average No. of Employees	Voluntary Separations	Turnover Rate
PVT PSTSND ED SR S	3	2	2.5	1	33.33%
SUP INV II/DCA	9	4	6.5	3	33.33%
SUP NURS ED CONSLT	3	3	3	1	33.33%
INSPECTOR II D/CA	27	22	24.5	8	29.63%
ASO MANGMT AUDITOR	8	6	7	2	25.00%
SR AIR QLTY ENG	4	3	3.5	1	25.00%
WAREHOUSE WORKER	4	4	4	1	25.00%
COSMET EXAM I	15	14	14.5	3	20.00%
NURSING ED CONSULT	15	13	14	3	20.00%
STF SVS MGR II(MGR)	5	1	3	1	20.00%
INF OF I/SP	11	10	10.5	2	18.18%
SUP PROG TECH III	6	7	6.5	1	16.67%
OFF ASST/GEN	26	19	22.5	4	15.38%
MG SVS TECH	59	50	54.5	9	15.25%
SUP INV I/DCA	27	21	24	4	14.81%
SR PROP AP/INV	7	6	6.5	1	14.29%
PROG TECH III	48	45	46.5	6	12.50%
RES DATA ANLY II	17	11	14	2	11.76%
PRG MGR I	9	8	8.5	1	11.11%
SUP SP INV II	9	7	8	1	11.11%
PROG TECH II	183	183	183	20	10.93%
AIR QLTY ENG II	10	10	10	1	10.00%
SUP SP INV I	30	26	28	3	10.00%
ATHLETIC INSPECTOR	61	55	58	6	9.84%
EXECUTIVE OFFICER	21	23	22	2	9.52%
AS ACCT ANLYST	11	10	10.5	1	9.09%
INFO TECH SUP II	11	11	11	1	9.09%
ATTORNEY III	23	17	20	2	8.70%

**Snapshot for Turnover Rate for Permanent, Civil Service Employees**

Class Title	Jan 2021 No. of Employees	Dec 2021 No. of Employees	2021 Average No. of Employees	Voluntary Separations	Turnover Rate
CONSUMER SERVS REP	23	23	23	2	8.70%
STF SVS MGR II/SUP	38	32	35	3	7.89%
ASO PERSONNEL ANLT	13	17	15	1	7.69%
PRG REP III/SUP C.E.A.	41	35	38	3	7.32%
INVESTIGATOR	28	24	26	2	7.14%
PRG REP I	162	125	143.5	11	6.79%
SP INVSTGR	194	172	183	13	6.70%
INFO TECH SPEC I	183	174	178.5	12	6.56%
PRG REP II/SP	98	101	99.5	6	6.12%
OFF TECHNICN (GEN)	82	83	82.5	5	6.10%
OFF TECH (TYPING)	35	31	33	2	5.71%
INFO TECH ASSOC	265	240	252.5	15	5.66%
ASO GOVRL PROG ANL	56	52	54	3	5.36%
STAFF SVS MANGER I	526	517	521.5	25	4.75%
STAFF SER AN (GEN)	179	171	175	8	4.47%
PROG TECH	340	317	328.5	11	3.24%
INSPECTR B/PHARMCY	32	25	28.5	1	3.13%
	43	47	45	1	2.33%

The table below depicts DCA Class Titles with the highest percentages of employees that could retire within the next five years (ages 45+).

### Class Titles and Retirement Eligibility

Class Title	No. of Employees	Average Age	% Within 5 Years of Retirement Eligibility (ages 45–49)	% Eligible to Retire (age 50+)	Total % that could retire within next 5 years
PRG MGR II	6	53.7	33.3%	66.7%	100.0%
SR PROP AP/INV	6	60	0.0%	100.0%	100.0%
STR PST CNT BD SP	7	62.1	0.0%	100.0%	100.0%
NURSING ED CONSULT	13	60.2	7.7%	84.6%	92.3%
INFO TECH MNGR I	9	52.3	22.2%	66.7%	88.9%
SUP SP INV II	8	55.5	0.0%	87.5%	87.5%
ASO MANGMT AUDITOR	6	52.3	16.7%	66.7%	83.4%
INFO TECH SUP II	12	51.4	25.0%	58.3%	83.3%
PRG REP III/SUP	44	53.3	6.8%	75.0%	81.8%
EXEC OFFICER	24	49.9	20.8%	58.3%	79.1%
ATHLETIC INSPECTOR	56	52.8	17.8%	58.9%	76.7%
PRG REP II/SP	90	52.5	8.9%	66.7%	75.6%
ATTORNEY III	16	50.9	31.2%	43.8%	75.0%
INV CERT PBLC ACCT	8	56.1	0.0%	75.0%	75.0%
PRG MGR I	8	55.3	0.0%	75.0%	75.0%
STAFF SVS MGR III	8	50.6	12.5%	62.5%	75.0%
AIR QLTY ENG II	11	51.0	18.1%	54.5%	72.6%
SUP SP INV I	25	49.9	36.0%	36.0%	72.0%
SUP INSPCT B/PHARM	10	54.5	20.0%	50.0%	70.0%
OFF ASST/GEN	23	51.6	0.0%	69.6%	69.6%
INSPECTR B/PHARMCY	46	50.7	17.4%	52.1%	69.5%
INFO TECH SPEC I	94	49.4	15.9%	52.1%	68.0%
AS ACCT ANALYST	9	49.1	0.0%	66.7%	66.7%



### Class Titles and Retirement Eligibility

Class Title	No. of Employees	Average Age	% Within 5 Years of Retirement Eligibility (ages 45–49)	% Eligible to Retire (age 50+)	Total % that could retire within next 5 years
OFF ASST/TYPE	9	48.9	0.0%	66.7%	66.7%
SUP PROG TECH III	6	49.5	16.7%	50.0%	66.7%
PRG REP I	171	49.7	11.7%	53.8%	65.5%
INSPECTOR II D/CA	23	48.9	13.0%	52.1%	65.1%
C.E.A.	30	49.8	3.3%	60.0%	63.3%
SUP INV I/DCA	21	48	23.8%	38.0%	61.8%
INFORMATN OFFCR II	5	50.8	20.0%	40.0%	60.0%
STAFF SVS MANGER I	171	46.6	17.5%	40.9%	58.4%
OFF TECH (TYPING)	224	46.7	8.5%	47.3%	55.8%
SP INVSTGR	173	46.4	15.0%	38.7%	53.7%
PROG TECH III	47	47.3	10.6%	42.5%	53.1%
PROG TECH II	183	45.5	13.7%	39.3%	53.0%
OFF TECHNICHN (GEN)	25	45.7	8.0%	44.0%	52.0%
STF SVS MGR II/SUP	33	44.9	18.1%	33.3%	51.4%
MG SVS TECH	57	45.1	14.0%	36.8%	50.8%
AIR QLTY ENG I	6	40.5	0.0%	50.0%	50.0%

## Retirement Eligibility

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The average age of a DCA employee is 46.7 years old. As of August 2022, 1,717 employees, or well over 50% of DCA's total workforce, were within 5 years of retirement eligibility (currently between 45 and 49 years old) or eligible to retire today.

Based on MIRS data as of August 2022, with a count of 3,066 active employees (3,425 authorized positions):

- The average retirement age for DCA was 60.4 years old in 2021.
- 1,324 employees, or 43% of DCA's workforce, are 50 years or older.

Tenure and experience are an asset to DCA; however, the percentage of employees approaching retirement poses a risk because employees with a wealth of historical business process knowledge can be difficult to replace.

## Competencies

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A competency is defined as a set of skills, knowledge, attributes, and behaviors that are observable and measurable. It is the ability to perform activities to the standards required in employment, using an appropriate mix of knowledge, skills, and attributes. All three aspects must be present to be effective in the workplace.

Within the workforce and succession planning process, the core competencies identify the critical knowledge, skills, abilities, tasks, and personal attributes required to be successful in a mission critical position. Competencies provide guidance for succession planning on skill sets to obtain and highlight what is needed to be a successful supervisor or manager, or to serve in a high-level administrative and policy-influencing position.

DCA's mission emphasizes the importance of effective enforcement and oversight, guiding programs in support of the mission through DCA's critical functions. The mission critical functions shown below represent areas for workforce planning because they support consumer protection and provide direction for employee development and knowledge transfer.

### **Enforcement**

Prevent, reduce, or eliminate unlicensed activity and unprofessional conduct that pose a threat to the health, safety, and welfare of Californians through:

- Complaint Response and Investigation

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<sup>3</sup> MIRS data is based on information voluntarily supplied by employees and should be used as an estimate.

- Facilitating Law and Regulation Compliance
- License Discipline
- Diversion Program

### **Licensing**

Allow all applicants and licensees who are qualified to provide professional services in California to expeditiously enter California's workforce through:

- Initial Licensure and Renewal
- School Oversight
- Professional Qualifications Validation
- Examinations

### **Legislation and Policy**

Uphold statutes, regulations, policies, and procedures that strengthen and support DCA's mandate and mission through:

- Regulatory Development
- Legal Review
- Legislative Advocacy

### **Technology**

Leverage and support technologies to serve clients and stakeholders through:

- Application and Software Services
- Enterprise Services (BreZE<sup>4</sup> and Consumer Affairs System [CAS])
- Network Administration and Support
- Information Security

### **Administrative Support**

Provide administrative support services to all DCA programs in the following areas:

- Procurement, Contracting, and Purchasing
- Budget and Fiscal Management
- Personnel Management
- Training and Facilitation Services

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<sup>4</sup> BreZE is a DCA licensing and enforcement database.

## **Consumer Awareness**

Assist consumers in making informed decisions about licensed professionals in California through:

- Information Services
- Public Affairs
- Social Media Outreach
- Complaint Resolution
- Consumer Publications

DCA has identified the critical tasks, knowledge, skills, abilities, and attributes required for various classifications. These key skill sets for positions were aligned with the California Department of Human Resources (CalHR) Leadership Competency Model and general State of California job classification specifications. The results are displayed in the following tables with the competencies necessary for mastery in the respective classifications.

Some competencies are more critical in some positions than others. The information in the following tables should be considered a guide in determining competencies required for each individual position. The competencies should also be viewed as cumulative. For example, an employee in a mid-level management position should have mastered the competencies for analyst and professional level positions, as well as clerical and entry level positions.

## Executive Level Management: Positions and Competencies

<b>Positions</b>			
Assistant Chief Asst. Executive Officer	Bureau Chief Commander	Deputy Director Deputy Chief	Executive Officer Registrar
<b>Core Competencies</b>			
<p><b>Strategic Agility</b> Provides high-level leadership, planning and direction for overall program. Anticipates economic, political, or regulatory change and takes the appropriate steps to prepare. Views the organization as a system.</p> <p><b>Risk-Taking and Innovation</b> Experiments with and champions new ideas and methods even when a possibility of failure exists. Manages the surrounding issues while taking risks. Executes innovative ventures.</p> <p><b>Political Acumen</b> Liaison to industry, consumers, external stakeholders and board members. Interacts effectively with DCA, legislators, the Governor's Office, control agencies and professional groups. Plans and executes projects that are sensitive to political realities.</p> <p><b>Public Administration</b> Extensive knowledge of program functions, regulations, licensing, enforcement, and diversion program operations. Applies principles and practices, including organization and personnel management.</p> <p><b>Decision Making</b> Makes timely and sound decisions based on quantifiable data. Uses effective approaches for choosing a course of action. Understands the impact and implications of decisions. Includes others in decision making processes as warranted.</p>		<p><b>Public Relations</b> Knowledge of industry practices and current consumer issues in the licensed profession. Develops and maintains cooperative relationships with stakeholders. Persuasive communicator with well-developed written presentation and negotiation skills.</p> <p><b>Performance Management</b> Results-oriented and focuses on the performance of the organization, departments, employees, and processes. Inspires and motivates staff to achieve strategic and operational goals by aligning resources, systems, and employees with continuous critical objectives and performance standards.</p> <p><b>Change Management</b> Applies change management principles for directing change with leadership and key stakeholders. Aligns the organization's culture, values, people, and behaviors to encourage desired results. Redesigns strategy, systems, and processes to guide the department's direction.</p> <p><b>Fiscal Management</b> Oversees budget development, budget change proposals, expenditure training, reserve fund management, state contracts, and purchasing processes. Complies with administrative controls. Monitors and evaluates ongoing cost-effectiveness of programs and projects.</p> <p><b>Laws, Regulation, and Policy</b> Understands the legislative and regulatory process. Ability to research and analyze current legislation and regulations impacting the organization. Acts as key policy advisor.</p>	

## Mid-Level Management: Positions and Competencies

<b>Positions</b>		
Program Manager I, II Research Manager	Staff Services Manager I, II, III	Enforcement Supervisor I, II
<b>Core Competencies</b>		
<p><b>Coaching and Mentoring</b> Coaches and mentors employees, offering examples as to how the job can be done. Delegates important and meaningful tasks and gives direct reports appropriately challenging assignments. Shows interest in employees' needs and career plans and suggests resources. Recognizes individual and team accomplishments.</p> <p><b>Relationship Building</b> Fosters positive working environments with internal and external stakeholders, demonstrating principles of negotiation and collaboration.</p> <p><b>Teambuilding</b> Credits their team when things go well and shoulders the blame when things do not work out as planned. Consistently encourages team members to share information or train others in individual areas of expertise. Holds regular meetings and empowers others to develop skills.</p> <p><b>Workload Management</b> Plans, organizes, and directs the workflow of essential services. Effective delegation, monitoring, and reporting of employee performance. Effective decision-maker, problem-solver, and troubleshooter.</p> <p><b>Visionary</b> Truly thinks they can make positive changes. Sees the future, creating an ideal and unique image of what a department can be. Through quiet actions, enlists others in their vision and creates excitement for what is possible.</p>	<p><b>Large Project Management</b> Manages teams performing complex research and analysis of politically sensitive issues. Provides recommendations to leadership for policies, procedures, and processes.</p> <p><b>Personnel Management</b> Thorough understanding of state employment processes, rules, and regulations. Supervises employees, evaluates staff performance, and assesses training needs. Familiar with the preventive and corrective steps of progressive discipline and the grievance process. Oversees employee development.</p> <p><b>Government Administration</b> Strong organizational and decision making skills. Experience preparing and working with a governmental budget, administrative procedures, and regulatory and disciplinary processes.</p> <p><b>Conflict Management</b> Effectively diffuses tense situations. Listens to both sides of a disagreement and works to settle matters to both parties' satisfaction. Works with conflict by applying strategies that minimize resistance and maximize performance. Demonstrates the ability to negotiate complex alliances while maintaining composure and professionalism.</p> <p><b>Role Model</b> Establishes principles concerning the way all internal and external stakeholders should be treated and the way objectives should be pursued. Establishes standards of excellence (by word and action) for others to follow. Advocates for change when others are resistant. Works at least as hard as they want their staff to work.</p>	

## Analyst and Professional Level: Positions and Competencies

<b>Positions</b>			
Staff Services Analyst Research Program Specialist	Budget Analyst System Analyst IT Analyst	Research Analyst Investigator IT Specialist	Licensing Analyst Enforcement Analyst AGPA
<b>Core Competencies</b>			
<p><b>Critical Thinking</b> Approaches a situation or problem by defining the problem or issue, determining its significance, collecting data, and using tools to find meaning and patterns in the data. And, uses logic to arrive at conclusions, makes decisions, and presents recommendations.</p> <p><b>Interpersonal Skills</b> Considers and responds appropriately to different situations. Relates well with others. Maintains confidentiality. Demonstrates consistency and fairness. Anticipates and resolves confrontations, disagreements, and complaints in a win-win way. Is compassionate and treats others with respect.</p> <p><b>Small Project Management</b> Defines a project and creates a plan for handling assigned projects. Plans, organizes, and controls resources to achieve specific goals within project scope, time frame, budget, and available resources.</p> <p><b>Statistics, Research, and Analysis</b> Applies research techniques, developing instruments for data collection. Uses statistics and critical thinking to analyze data and measure results. Prepares report summaries of results.</p> <p><b>Advanced Computer Skills</b> Mastery of Microsoft Office Suite, DCA systems and applications, and other job-specific software tools such as QBIRT and BreZE.</p>	<p><b>Laws, Regulation, and Policy</b> Legislative review. Knowledge of the regulations, development process, and laws affecting the board, bureau, or program. Reviews and analyzes existing regulations to determine alignment with current law.</p> <p><b>Enforcement and Investigations</b> Expert knowledge of enforcement procedures, complaint intake, investigations, and formal discipline. Knowledge of standard investigative principles and techniques, inspection procedures, interviewing skills, and complaint resolution. Knowledge of state and local law enforcement agencies. Familiarity with proceedings and strong reporting and court testifying skills. For sworn position, knowledge of how to write and execute search warrants, orchestrate undercover operations, and effect criminal arrests.</p> <p><b>Licensing</b> Expert knowledge of initial and licensing renewal procedures, processing licensing applications, diversion program, continuing education, and examination process.</p> <p><b>Technical Support</b> Assures that information technology systems run appropriately. System troubleshooter and software specialist. Provides support for computer examinations.</p> <p><b>Written Communication</b> Writes clear, complete content to convey a credible, professional message. Organizes written ideas clearly. Tailors writing to effectively reach audience. Uses correct spelling, grammar, and punctuation.</p>		

## Clerical and Entry Level: Positions and Competencies

### Positions

Executive Assistant Office Technician	Management Services Technician	Program Technician II, III
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### Core Competencies

<p><b>Accountability</b> Takes responsibility for personal performance. Meets deadlines. Proactively keeps supervisor informed of progress, issues, and potential problems. Takes ownership of projects and work assignments.</p> <p><b>Oral Communication</b> Articulates information in a clear and concise manner. Tailors oral communication to the level and experience of the audience. Listens effectively.</p> <p><b>Customer Service Orientation</b> Responds to public inquiries, customer requests, and complaints. Delivers high-quality customer service by being attentive, asking and responding to questions, confirming understanding, and providing accurate information about the organization's services. Maintains confidentiality with sensitive documents.</p> <p><b>Technical Staff Work</b> Demonstrates general knowledge of job functions specific to the position, which may include complaint intake, reception, typing, filing, administrative processing, etc. Complies with administrative policies and procedures.</p>	<p><b>Cultural Sensitivity</b> Awareness of cultural diversity and understanding of how perceptions, attitudes, and stereotypes of self and others influence interpersonal relationships.</p> <p><b>Time Management</b> Effectively organizes and prioritizes tasks to comply with due dates and manages time efficiently to address organizational needs. Ability to multi-task and be flexible to handle fluctuations in workload.</p> <p><b>Basic to Intermediate Computer Skills</b> Proficient in Microsoft Office, DCA systems and applications, and other job-specific software tools.</p> <p><b>Planning and Organization</b> Anticipates and prepares for upcoming events and projects. Considers the impact of something before it happens and makes necessary preparations. Organizes tasks and goals into management steps.</p> <p><b>Records Management</b> Files and maintains records inventory and schedules per state guidelines.</p>
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## Key Leadership

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A key leadership position is a position held by an employee who can positively influence and maximize efforts of others towards achieving mission critical goals. DCA's key leadership positions are:

- Director
- Chief Deputy Director
- Deputy Director, Legal Affairs Division
- Assistant Deputy Director, Legal Affairs Division
- Deputy Director, Compliance and Equity Officer
- Deputy Director, Board and Bureau Relations
- Assistant Deputy Director, Board and Bureau Relations
- Deputy Director, Administrative Services
- Deputy Director, Office of Information Services
- Deputy Director, Legislative Affairs
- Assistant Deputy Director, Legislative Affairs
- Deputy Director, Communications
- Chief, Division of Investigation

In addition to the above DCA positions, board and bureau management teams play critical leadership roles in setting operational direction and achieving program objectives. These teams are comprised of executive officers, assistant executive officers, bureau chiefs, assistant bureau chiefs, mid-level managers, and first-level managers.

## Workforce and Succession Planning Gap Analysis

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In each of the gap sections below, key issues are identified from a Workforce and Succession Plan Survey conducted in the fall of 2022.

### Recruitment Gaps

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Recruitment gaps resulting from current workforce challenges include:

- Need for recruitment and retention efforts to address retirements and other attrition.
- Over half of DCA entities reported having to recruit for 16–25% of their employees during the past two years. Depending on the size of the entity, this could be a significant number of vacancies.

- Classifications represented in the reported percentages included Analytical (77%), Clerical (63%), and Management (54%).

### Retention Gaps

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Retention gaps resulting from current workforce challenges include:

- The continuing impact on retention efforts of pay structure challenges, the difficulty associated with creating incentives for high performers, and telework options.
- Similar to recruitment, over half of DCA entities reported anticipating 16–25% of their employees leaving over the next five years.
- Skill sets represented in the reported percentages included Analytical (77%), Clerical (63%), and Management (54%).

### Professional Development Gaps

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Professional gaps resulting from current workforce challenges include:

- A need for staff, managers, and executives to participate more widely in analytical, critical thinking, and leadership training and activities.
- Conducting more unique onsite trainings at boards and bureaus, as well as web-based trainings.
- Expanding or creating new trainings focused on project management and data analysis.

### Knowledge Transfer Gaps

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Knowledge Transfer gaps resulting from current workforce challenges include:

- Lack of and loss of institutional knowledge.
- Lack of documented business processes and desk manuals.
- Several DCA entities have classifications with high percentages of staff nearing retirement.

### Succession Planning Gaps

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Succession planning gaps resulting from current workforce challenges include:

- Limited mentors and programs to help new staff and new managers.
- A need for more activities to develop DCA's next generation of leaders.

### Summary of Risks

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Workforce and succession planning gaps resulting from the above workforce

issues could negatively impact DCA if not addressed. The risk of not addressing these issues is that DCA may not be able to retain the knowledge and personnel resources needed to provide quality services, develop top-notch leaders, and ensure consumer protection.

### Workforce Planning Initiatives

Based on identified issues, gaps, and risks, DCA will implement or expand on the following initiatives to meet current and future workforce needs. Activities associated with the initiatives will be carried out during the term of this plan.

#### Workplace Planning Initiatives

<b>Initiative</b>	<b>Primary Targeted Gap(s)</b>	<b>Responsible Entity or Entities</b>
Office of Human Resources' Recruitment and Retention Initiatives	Recruitment / Retention	Office of Human Resources / Equity and Compliance
Office of Human Resources' Onboarding Resources	Retention	Office of Human Resources / Entities
Superior and Sustained Superior Accomplishment Award Program	Retention	DCA Exec
Executive Officer / Bureau Chief Cabinet Upward Mobility Program	Professional Development	DCA Exec / Entities
		Equal Employment Opportunity Office
Learning Management System (LMS)		SOLID
Skilled Enhancement Training (SET)		SOLID
Unique Training, Onsite Support, and Customized Developmental Activities		SOLID / Subject Matter Experts
Enlighten Licensing / Enforcement Projects	Knowledge Transfer	DCA Exec, Entities, and OIO
Policies, Procedures, Desk Manuals, and Business Process Documentation		DCA Entities / SOLID
Brown Bag Seminars		DCA Exec
Targeted Business Process Mapping		DCA Entities / OIO
Exit Survey	Succession Planning	DCA Entities/ SOLID
Strategic Planning		SOLID / DCA entities / Equity and Compliance

### **Office of Human Resources' Recruitment Initiatives**

DCA is engaged in several initiatives to attract a diverse and capable workforce, and to promote upward mobility.

In 2020, OHR started to send daily notices of job opportunities to all DCA employees to widen each recruitment pool. Additionally, as the State implements a hybrid telework environment, OHR is actively participating in virtual and in-person job fairs, which have led to successful DCA hires. OHR intends to explore other creative ways to recruit hard-to-fill classifications, including working with control agencies to amend outdated classification specifications.

The Workforce and Succession Plan Survey identified several internal and external factors that affect the ability of DCA entities to recruit candidates. The factors will continue to be analyzed to determine how best to address them, if possible.

### **Office of Human Resources' Retention Efforts**

DCA is working to strengthen its employee engagement, career growth, and recognition efforts. In support of the State's efforts to consolidate classifications, DCA has adopted several recommendations from CalHR. As such, OHR conducts periodic reviews of classifications to evaluate classification designations. Where possible and appropriate, DCA will endeavor to utilize the classification with the higher salary, and encourage managers to offer telework and flexible schedules, to attract and retain a skillful workforce.

In addition, DCA has developed numerous onboarding resources to provide for the immediate engagement of employees. The goal is to increase the likelihood these employees will remain at DCA by assisting them with the transition to DCA.

### **Superior Accomplishment Award Program**

The DCA Superior Accomplishment Award Program was revised in 2020–21 to better recognize remarkable job performance by an individual employee or a team of employees resulting in an exceptional contribution to improving DCA and California State Government. Employees who receive the award receive certificates of recognition and a one-time monetary reward. DCA programs provide funding for their employee's cash awards. All DCA employees or teams of employees (except for agency heads or elected constitutional officers) are eligible to receive DCA Superior Accomplishment Awards. Monetary awards are given at the Silver level for \$250 and at the Director's Gold level for \$500. Each

January, the Merit Board is responsible for reviewing all recommendations, determining if an exceptional contribution was achieved, and providing final recommendations of annual award recipients to the DCA Director.

## Professional Development Initiatives

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### **Executive Officer / Bureau Chief Cabinet**

The Executive Officer / Bureau Chief Cabinet (Cabinet) is a subset of the existing DCA executive officers and bureau chiefs. The first role of the Cabinet is to be a sounding board and to provide input, advice, and technical assistance on urgent matters that are brought to the department for a response. The second role is to lead, and be subject matter experts for, projects that will change current DCA and board/bureau processes and policies in an effort to streamline functions, find efficiencies, and discover cost savings that will assist both the DCA and the boards and bureaus.

### **Upward Mobility Program**

The DCA Upward Mobility Program assists in the planned development and advancement of employees in lower paying classifications by providing options and possibilities for upward mobility and career development. This program, administered by DCA's Equal Employment Opportunity Office, supports the goals of workforce and succession planning by offering employees in low-paying occupations additional support to develop their careers.

### **Learning Management System (LMS)**

The Learning Management System (LMS) combines learning, growth, skills, and capabilities into a personalized experience for everyone at DCA. LMS is a unified platform that allows employees to register for trainings and track completion of training, while providing access to webinars, tutorials, and resources that support learning and development opportunities.

Next steps for LMS include the electronic filing of signed acknowledgements of policies. The intent is to better track employee compliance with policies and onboarding activities to facilitate knowledge transfer.

### **Skilled Enhancement Training (SET)**

DCA's new Skilled Enhancement Training (SET) series is designed to help employees understand essential skills, gain knowledge, and embrace the key behaviors to succeed on the job. SET helps provide the tools and confidence to be more productive and competitive in state service careers. SET is for analysts, managers, and supervisors with a desire to improve their individual and organizational performance. Fourteen different courses are covered throughout

the series. Each course aligns with CalHR's Core Competencies.

### **Unique Training, Onsite Support, and Customized Developmental Activities**

To address increasing specialized requests for trainings and the use of advanced data and project needs, SOLID will partner with boards and bureaus and various subject matter experts to develop and deliver customized solutions.

### **Knowledge Transfer Initiatives**

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Knowledge management describes how an organization shares critical organizational information with both current and future employees. Knowledge transfer is the process of capturing skills and information and sharing them among employees and various parts of an organization. The primary goal is to ensure that knowledge is available to current and future employees. Knowledge transfer applies to knowledge that is obvious and easily defined. It also applies to knowledge that is harder to define or articulate. Knowledge transfer is an important part of the succession planning process.

### **Enlighten Licensing and Enforcement Projects**

Through this project, DCA, board and bureau leaders, and subject matter experts work together to introduce new ideas and implement best practices for critical licensing services and enforcement activities. The intent of utilizing best licensing and enforcement practices is to move towards more effective and efficient operations. The new practices could lead to providing quality licensing services and enforcement activities while producing cost savings due to more streamlined workflows.

### **Policies, Procedures, Desk Manuals, and Business Process Documentation**

DCA programs offer a valuable resource for succession planning, namely their own policies, procedures, and desk manuals. These items are critical for the knowledge transfer within work units.

The Organizational Improvement Office works with various programs to document business processes at the individual position level to alleviate the impact of staff turnover. Further, the existence of updated, job-specific desk manuals, business process maps, and procedures and policies will be part of the exit process for knowledgeable employees leaving the organization so that new employees placed in those positions have the guidance necessary to maintain business continuity.

### **Brown Bag Seminars**

DCA Board and Bureau Relations hosts Brown Bag seminars and discussions with board and bureau leadership, including board presidents and vice presidents,

with topics related to board members, board meetings, and business operations. The Brown Bags help to impart top-down information and promote uniformity in operations, ideas, and best practices, and they provide an opportunity for open discussion across board and bureau leadership. Topics covered have included:

- Best practices for posting board/committee meeting materials.
- Effective onboarding of newly appointed board members.
- An open-forum discussion on digital licensing.
- Research and data gathering.
- Effective executive officer reports at board meetings.

### **Targeted Business Process Mapping**

As reported in the prior plan, the Office of Information Services, Legal Affairs Division, and the Office of Human Resources have several classifications with high percentages of staff nearing retirement. These offices worked with the Organizational Improvement Office to map their most critical As Is business processes.

The Organizational Improvement Office has since completed targeted Central Service Reviews with the above offices. During these reviews, critical processes were mapped and analyzed. Several improvement opportunities were identified towards improving operations and the delivery of services. These offices are now incorporating this feedback to facilitate workforce transition.

The Organizational Improvement Office continues to map the most critical As Is business processes for DCA entities.

### **Succession Planning Initiatives**

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Like other State of California Departments, DCA has identified succession planning as a risk to the organization as more employees approach retirement. To retain its talented employees and develop its bench of future leaders, DCA will engage in succession planning efforts.

### **Exit Survey**

Self-assessment is a critical foundation for a well-functioning department. By establishing an exit process for top management, DCA will stay better aligned with departmental needs, facilitate leadership transition, and protect board and bureau stability.

Since adoption of the first plan, the Organizational Improvement Office engaged in an Onboarding and Offboarding Central Service Review. One

objective of this project is to develop exit survey criteria to be used throughout the department. To date, several onboarding and offboarding tools have been created, including an exit survey. These tools are available on the Department's intranet website.

### **Strategic Planning**

Sixty-five percent of DCA entities indicated that their strategic plan does not include action items that address recruitment, hiring, and retention. Sixty-two percent indicated that they have no action items addressing employee succession, that is, no items to identify gaps between existing and needed competencies, including strategies to address those gaps.

DCA anticipates that DCA entities, SOLID, and the DCA Office of Equity and Compliance will collaborate to ensure that strategic plans incorporate these deficiencies.

### Communication Plan and Accountability

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In response to CalHR's policy issued on February 23, 2017, the DCA Workforce and Succession Plan will be shared with CalHR. This policy requires California state organizations, agencies, commissions, and boards that employ civil services employees to have workforce and succession plans and to report annually on the status of workforce planning and succession management efforts.

The DCA Workforce and Succession Plan will be shared with DCA employees and posted on both the Department's intranet and internet websites.

Entities responsible for Workforce Planning Initiatives will provide reports, as requested, to DCA's Executive Office on progress made and new challenges encountered.

### Conclusion

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The DCA Workforce and Succession Plan continues to be a guide for developing DCA employees. Individual employees will continue to see the value of their work and be devoted and engaged. An engaged workforce fosters innovation that will help DCA champion its critical mission of consumer protection.

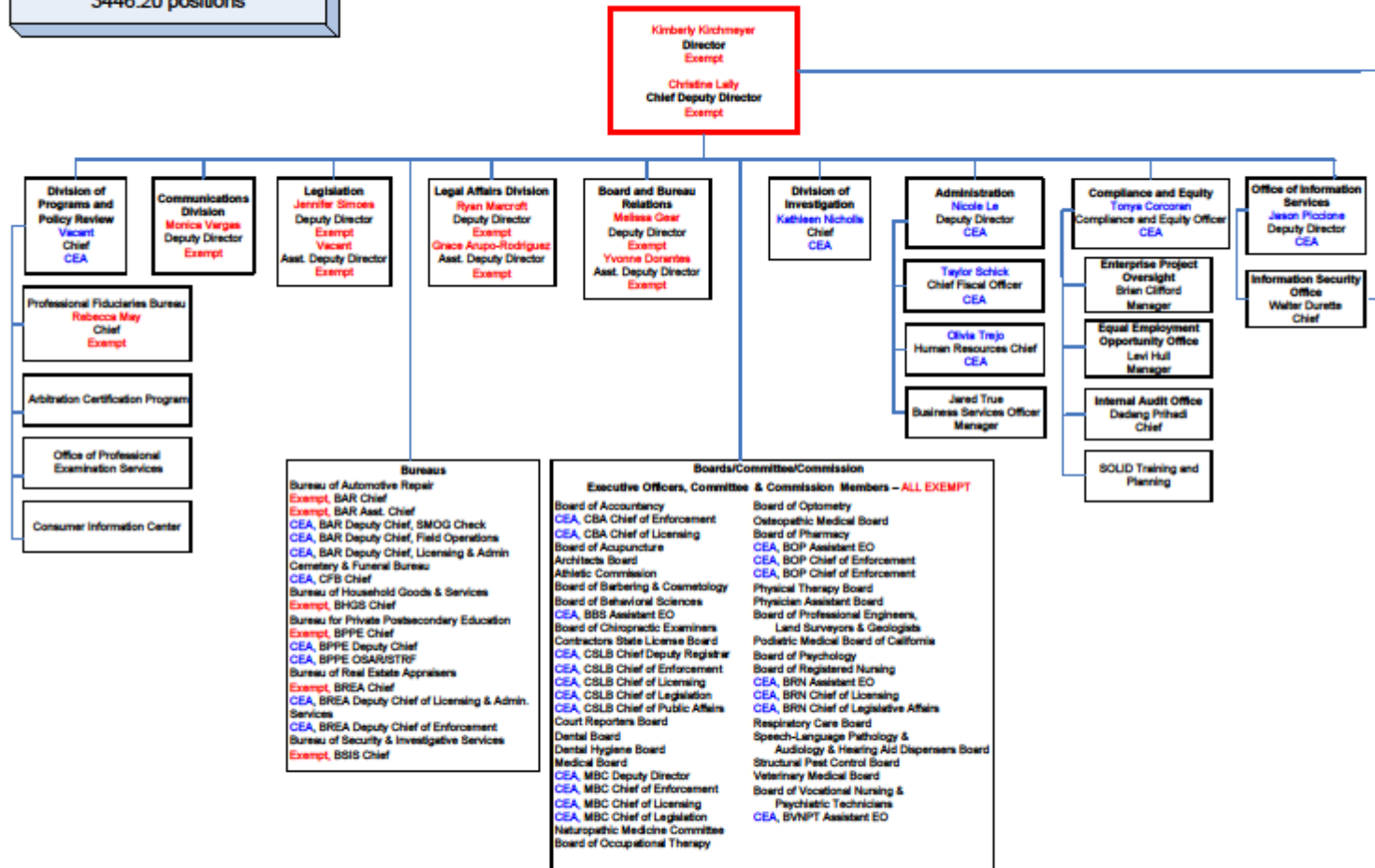
DCA anticipates that the lessons learned from the COVID-19 pandemic will create new opportunities for Recruitment, Retention, Professional Development, and Knowledge Transfer Initiatives. Further, Succession Planning Initiatives will continue to foster the next generation of leaders and drive DCA's future contributions to the State of California.



# Appendix A: Organization Chart

Department of Consumer Affairs  
 FY 2022-2023  
 3446.20 positions

January 1, 2023





**Department of Consumer Affairs**  
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