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STATE OF CALIFORNIA



DEPARTMENT OF CONSUMER AFFAIRS

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# **DCA Workforce and Succession Plan**

## **2017 -2021**

## A Message from DCA's Executive Office

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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 plan strives 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 by providing a safe and fair marketplace through oversight, enforcement, and licensure of professions. Like other State of California departments, DCA's ability to deliver services effectively in the future is at risk due to 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 outline opportunities where it can 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 when employees leave and when they are promoted. 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 persons. 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 senior leaders to demonstrate their commitment to employees and citizens of California by planning and preparing for the continuity of services in the future. This document is not intended to be all-inclusive of available methods to achieve the goal of departmental continuity and succession planning. It is, however, the initial framework for DCA's workforce and succession planning efforts.

Here are a few highlights in the DCA Workforce and Succession Plan:

- The average age of a DCA employee is 49 years, and 15% of DCA's workforce is within 5 years of retirement eligibility;
- DCA's workforce is currently composed of Baby Boomers 38%, Generation X 44%, Millennials 17%, and Veterans 1%;
- This plan contains competencies which can guide all levels of DCA's workforce on the skill sets they need to master to be successful, and
- This plan contains several initiatives intended to expand DCA's workforce knowledge and engagement.

We encourage your participation in the various initiatives in this plan. With your help, we can collectively strengthen the DCA workforce and ensure high levels of consumer protection for the State of California.

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## Introduction

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One of the California Legislature's earliest efforts to protect the public was through the passage of the Medical Practice Act in 1876. The Act was designed to regulate the state's medical industry, which up to that time had operated virtually unchecked. Over the next thirty 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 its current name.

DCA is here to protect and serve California consumers while ensuring a competent and fair marketplace. DCA helps consumers learn how to protect themselves from unscrupulous and unqualified individuals. The Department also protects professionals from unfair competition by unlicensed practitioners.

The Department administers 3.5 million licenses in over 250 license types. DCA includes 39 regulatory boards, bureaus, committees, commission, and program (boards) that establish minimum qualifications and levels of competency for licensure. They also investigate complaints and discipline violators.

DCA is dedicated to enhancing individual consumer access to services and resources. The Department will expand its role as a primary resource on consumer issues. To help fulfill its mission, DCA will continue to build and maintain effective relationships with consumer and public interest groups, business and professional community, law enforcement agencies, and other government agencies.

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

Workforce planning is a challenging process as it forces the Department to think about how to strategically align the workforce to the organizational business 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.

This plan will discuss the challenges and opportunities faced by DCA while providing a comprehensive analysis of our existing workforce. This plan will identify several strategic initiatives that will be undertaken in the next five years to ensure DCA can achieve its mission and prepare its workforce for the challenges ahead.

## Strategic Direction

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DCA has begun a business process that will align staffing with the strategic missions and critical needs of the Department. The process will forecast the Department's future workforce needs and will help to ensure we have a talented workforce.

To understand the environment in which DCA operates and identify factors that could impact its success, DCA's SOLID Unit conducted an environmental scan of DCA's internal and external environments by collecting information through the following methods:

- Interviews conducted with all DCA's executive leaders during November and December 2016, and
- An online survey (collecting qualitative and quantitative information) distributed to all DCA staff, board members, and bureau advisory committee members in November and December 2016.

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 on January 30, 2017. This information guided the development of strategic objectives outlined in DCA's 2017–2020 Strategic Plan.

**Mission Statement:** We protect California consumers by providing a safe and fair marketplace through oversight, enforcement, and licensure of professions.

**Vision Statement:** Together, Empowering California Consumers.

**DCA Values:**

- Accountability
- Communication
- Diversity
- Employees
- Integrity
- Leadership
- Service
- Transparency

DCA's Workforce Plan aligns with the following DCA Strategic Plan categories and goals.

### **Recruitment:**

Reduce vacancies in the Division of Investigation Health Quality Investigation Unit and Investigation and Enforcement Unit by implementing improved means to attract, recruit, and retain staff.

Establish a deputy director position for licensing oversight to monitor data to proactively develop recommendations.

**Knowledge Transfer:**

Document licensing business processes for all DCA programs for standardization, consistency, and training.

Maintain current DCA policies to facilitate staff understanding of DCA protocols.

**Classifications:**

Establish a deputy director position(s) for enforcement oversight to proactively monitor data and develop recommendations regarding board and bureau enforcement functions.

**Retention:**

Establish a staff upward mobility and retention plan to build a legal team with longevity and decrease vacancies.

Contract with independent organization(s) to perform occupational analyses and salary surveys of management-level positions equivalent to the Executive Officer and Bureau Chief classifications to provide the Department with enhanced ability to attract competitive applicants.

**Competencies:**

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

**Succession Planning:**

Develop subject matter expertise (for such topics as the Open Meeting Act, anti-trust, employment, conflict of interest, etc.) to improve quality of service and enhance consumer protection.

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

**Environmental Factors**

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DCA's internal and external factors encompass the following areas: Enforcement, Licensing, Policy and Consumer Advocacy, Communication, Services, Technology, and Organizational Effectiveness. Below is a summary of each area followed by a short description of factors impacting that area.

**Enforcement:**

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

DCA's ongoing efforts work to improve enforcement training for DCA boards and bureaus, recruiting Division of Investigation staff, and reducing case backlogs.

**Licensing:**

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

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

**Policy and Consumer Advocacy:**

DCA advocates on behalf of consumers by ensuring 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 on DCA-wide policy objectives.

**Communication:**

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

DCA continuously seeks to improve communication channels, 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, improves tracking and efficiency of DCA administrative functions, provides Budget Change Proposal training to boards and bureaus, and seeks to enhance training on the Examination and Certification Online System (ECOS), improve staff retention and training options, along with developing more training for board members.

## **Technology:**

DCA looks for opportunities to address business needs 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, use metrics to document productivity and assess workload, improve staff understanding of DCA's purpose, facilitate leadership transition due to retirements, and plans to perform occupational analyses of management level positions equivalent to Executive Officer positions.

## **Methodology**

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This workforce and succession plan is different from the previous version in three primary ways. First, this plan takes a much deeper look at DCA's workforce demographics to identify which classifications will experience higher retirement rates during the next 5 years. Second, a greater emphasis has been placed on developing succession activities to address workforce challenges on a Department-wide level.

Lastly, several DCA Senior Staff members and bureau chiefs participated in a facilitated session on April 18, 2017. This session was conducted to solicit input on current and future workforce challenges as well as existing strengths, weaknesses, opportunities, and threats. The participants identified several common pressing issues, which 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, and leadership training and activities;
- Lack of documented business processes and desk manuals;
- The Information Technology, Legal, and Human Resources offices have several classifications with high percentages of staff nearing retirement;
- A need for more activities to develop DCA's next generation of future leaders;
- Conducting more unique on-site trainings at boards and bureaus as well as web-based trainings, and
- Expanding or creating new trainings focused on project management and Quality Business Interactive Reporting Tool (QBIRT) data analysis.



The participants’ collective feedback was 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 under the Business, Consumer Services, and Housing Agency. As of May 2017, DCA had 3,474 authorized positions. The DCA hierarchy is composed of several divisions and sections. In addition, DCA’s structure includes 39 regulatory boards, which establish minimum qualifications and levels of competency for licensure. The DCA Organization Chart can be found in Appendix A: Organization Chart.

### Demographics

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DCA’s workforce is comprised of 41.1% Men and 58.9% Women. These gender ratios differ from Statewide statistics by nearly 13%. 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 49.7% Caucasian, 20.2% Hispanic, 12.1% African American, 9.7% Asian, with Filipino, American India, Pacific Islander, and “Other” making up the remaining balance of the workforce. Listed below is a comparison of DCA’s ethnicity and gender statistics compared to civil service statewide data.

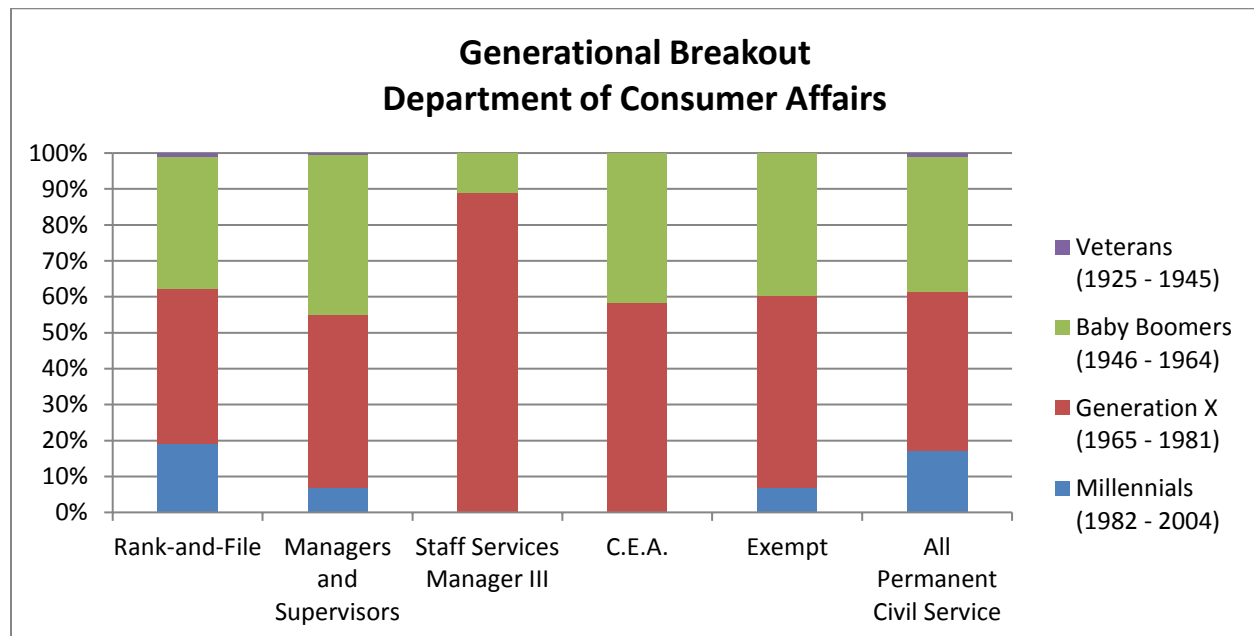
<b>Civil Service Demographics*- December 2016</b>			
Demographic	Statewide	DCA	Difference DCA vs. Statewide
Women	46.1%	58.9%	12.8%
Men	53.9%	41.1%	-12.8%
Caucasian	44.5%	49.7%	5.2%
Hispanic	24.4%	20.2%	-4.2%
African American	10.1%	12.1%	2.0%
Asian	11.2%	9.7%	-1.5%
Filipino	6.0%	4.4%	-1.6%
American Indian	0.6%	0.7%	0.1%
Pacific Islander	0.7%	0.6%	-0.1%
Other	2.5%	2.6%	0.1%

\*Excludes Retired Annuitants and Student Assistants

DCA's workforce is currently composed of 17% Millennials, including many with a few years of state service. A Gallup study<sup>1</sup> by Brandon Rigoni and Bailey Nelson found 60% of Millennials were open to alternative employment. Gallup estimates Millennials will comprise 75% of the workforce by 2015.

DCA's Baby Boomers 38%, Generation X 44%, and Veterans 1% make up the remainder of the workforce. These demographics support the need for business process mapping, knowledge transfer, and leadership development initiatives.

DCA Generational Data <sup>2</sup>				
Groupings	Millennials (1982-2004)	Generation X (1965-1981)	Baby Boomers (1946-1964)	Veterans (1925-1945)
Rank-and-File	539	1,216	1,030	30
Managers and Supervisors	28	202	186	2
Staff Services Manager III	0	8	1	0
Career Executive Assignment	0	14	10	0
Exempt	3	23	17	0
All Permanent Civil Service	570	1,463	1,244	32
Percent of Total	17%	44%	38%	1%



<sup>1</sup> <http://www.gallup.com/businessjournal/195209/few-millennials-engaged-work.aspx>

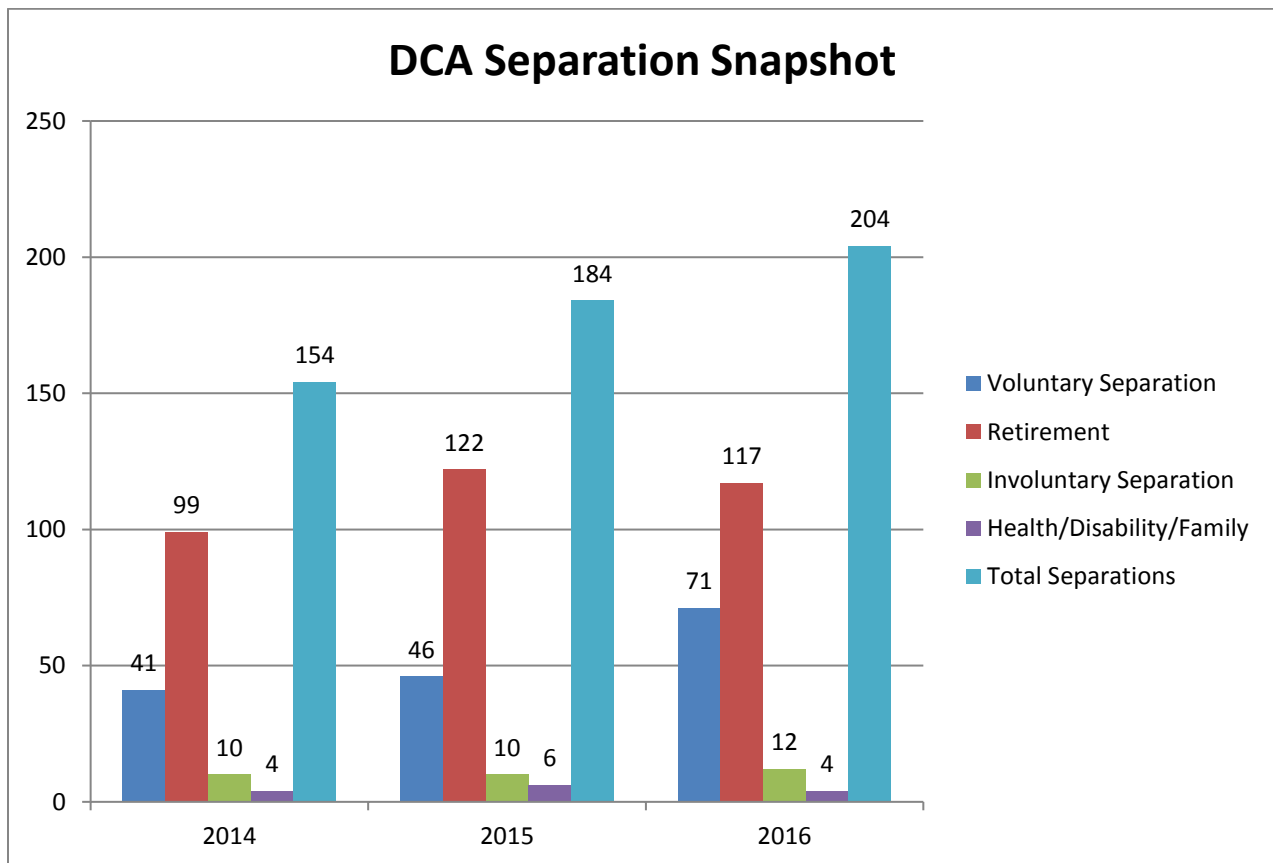
<sup>2</sup> MIRS data as of July 2016. Note, MIRS data is based on information voluntarily supplied by employees and should be used as an estimate.

Boards and bureaus who would like to examine their respective workforce demographics can visit the internet site: <http://calhr.ca.gov/Pages/workforce-analysis.aspx> At this page, enter: *Consumer Affairs, Department of*. You will then be directed to a page with several reports for various time periods. Once you enter a report, you can scroll through the information to your respective board or bureau.

### Separation Trends

The data below illustrates DCA’s actual separation trends. In the past three years, there were a total of 542 separations with the majority or 338 being for retirement.

DCA Separation Snapshot for Permanent, Civil Service Employees						
Yr.	Voluntary Separation	Retirement	Involuntary Separation	Health/Disability /Family	Total Separations	Total Separations % Change Yr./Yr.
2014	41	99	10	4	154	
2015	46	122	10	6	184	19%
2016	71	117	12	4	204	11%



The table below depicts a snapshot of DCA's turnover rate (by classification) during 2016. Classifications with a turnover rate of 3% or higher were included in the table. DCA compared to other departments has a low overall turnover rate.

<b>DCA Snapshot: 2016 Turnover Rate for Permanent, Civil Service Employees</b>						
#	Class Title	Jan 2016 # of Employees	Nov 2016 # of Employees	2016 Average # Employees	Voluntary Separations	Turnover Rate
1	Test Validation and Development Specialist II	2	0	1	1	100.00%
2	Senior Registrar, Board for Professional Engineers	3	4	3.5	1	28.57%
3	Information Officer II	3	4	3.5	1	28.57%
4	Medical Consultant (Licensing), Med. Board	4	3	3.5	1	28.57%
5	Warehouse Worker	5	4	4.5	1	22.22%
6	Associate Budget Analyst	5	7	6	1	16.67%
7	Attorney III	8	8	8	1	12.50%
8	Office Services Supervisor II (General)	10	8	9	1	11.11%
9	Senior Property Appraiser/Investigator	10	9	9.5	1	10.53%
10	Real Estate Counsel III (Specialist)	10	11	10.5	1	9.52%
11	Nursing Education Consultant	14	15	14.5	1	6.90%
12	Enforcement Supervisor I, Contractors State Lic Brd	14	15	14.5	1	6.90%
13	Cosmetology Examiner I	14	15	14.5	1	6.90%
14	Athletic Inspector	75	74	74.5	5	6.71%
15	Inspector II Department of Consumer Affairs	29	31	30	2	6.67%
16	Inspector Board of Pharmacy	26	37	31.5	2	6.35%
17	Program Technician II	166	172	169	9	5.33%
18	Office Assistant (Typing)	20	21	20.5	1	4.88%
19	Special Investigator	128	127	127.5	5	3.92%
20	Supervising Investigator I, Department of Consumer	27	26	26.5	1	3.77%
21	Enforcement Representative II, Contractors State Lic	29	29	29	1	3.45%
22	Medical Consultant (Enforcement), Med. Board	31	30	30.5	1	3.28%

23	Office Assistant (General)	31	32	31.5	1	3.17%
24	Investigator	96	97	96.5	3	3.11%
25	Office Technician (Typing)	341	326	333.5	10	3.00%

The table below depicts DCA Class Titles with the highest percentages within 5 years of Retirement Eligibility (ages 45-49). Five Information Technology Class Titles have high percentages of their employees eligible for retirement. The Personnel Specialist classification has 40% of positions close to retirement. The Staff Services Manager I position with 119 employees has 23% close to retirement. The table below contains the 18 classifications with the highest percentage within 5 years of retirement eligibility.

<b>DCA Class Titles and Retirement Eligibility</b>					
<b>#</b>	<b>Class Title</b>	<b># of Employees</b>	<b>Avg. Age</b>	<b># Within 5 Years of Retirement Eligibility (ages 45-49)</b>	<b>% Within 5 Years of Retirement Eligibility (ages 45-49)</b>
1	Senior Information Systems Analyst (Supervisors)	6	48	3	50%
2	Personnel Specialist	15	47	6	40%
3	Attorney III	8	48	3	38%
4	General Auditor III	20	47	7	35%
5	Supervising Investigator I, DCA	26	51	9	35%
6	Enforcement Representative II, Contractors State	6	43	2	33%
7	Staff Services Manager III	9	46	3	33%
8	Systems Software Specialist III (Technical)	10	45	3	30%
9	Program Manager I, DCA	7	49	2	29%
10	Supervising Investigator II, DCA	7	54	2	29%
11	Field Representative Board of Funeral Directors	7	51	2	29%
12	Office Services Supervisor II (General)	8	53	2	25%
13	Senior Accounting Officer (Specialist)	8	45	2	25%
14	Information Officer I (Specialist)	8	50	2	25%
15	Senior Information Systems Analyst (Specialist)	16	49	4	25%
16	Staff Information Systems Analyst (Specialist)	29	45	7	24%

17	Staff Services Manager I	119	46	27	23%
18	Associate Information Systems Analyst (Specialist)	40	45	9	23%

### Retirement Eligibility

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The average age of a DCA employee is 49 years old. At the end of 2016, 480 employees, or 15% of DCA’s total workforce, were within 5 years of retirement eligibility (currently between 45 and 49 years old). Based on MIRS data<sup>3</sup> as of November 2016 with a count of 3,242 employees:

- The average retirement age for DCA was 61 years old, and
- Based on MIRS data, 1462 employees or 45% of DCA’s workforce are 50 years or older. Note, 41% of the entire State of California workforce is 50 years or older.

Tenure and experience are an asset to DCA; however, the percentage of employees approaching retirement poses a risk since 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, skill 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 on skill sets to obtain and highlight what is needed to be a successful supervisor, manager, or serve in the capacity of a high-level administrative and policy-influencing position for succession planning.

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.

- Ensuring Law and Regulation Compliance;
- License Discipline, and
- Diversion Program.

### **Licensing:**

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

- Initial Licensure and Renewal Licensure;
- School Oversight;
- Professional Qualifications Validation, and
- Examinations.

### **Legislation and Policy:**

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

- Regulatory Development;
- Legal Review, and
- Legislative Advocacy.

### **Technology:**

Leverage and support technologies to serve clients and stakeholders through:

- Application and Software Services;
- Enterprise Services (BreEZe<sup>4</sup> and Consumer Affairs System (CAS));
- Network Administration and Support, and
- 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, and
- Training and Facilitation Services.

### **Consumer Awareness:**

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

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

- Information Services;
- Public Affairs;
- Social Media Outreach;
- Complaint Resolution, and
- Consumer Publications.

The Department identified the critical tasks, knowledge, skills, abilities and attributes required for various classifications. These key skill sets for mission-critical positions were aligned with the California Department of Human Resources Leadership Competency Model and general State of California job classification specifications. The results are displayed in the following tables with the critical 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 a 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 include mastery of the competencies for analyst and professional level positions, as well as clerical and entry level positions.



<b>Executive Level Management</b>	
<b>Mission Critical Positions:</b>	
<ul style="list-style-type: none"> <li>• Assistant Chief</li> <li>• Asst. Executive Officer</li> <li>• Bureau Chief</li> <li>• Commander</li> <li>• Deputy Director</li> <li>• Deputy Chief</li> <li>• Executive Officer</li> <li>• Registrar</li> </ul>	
<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 &amp; 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 process 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, 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

### Mission Critical Positions:

- Program Manager I, II
- Staff Services Manager I, II, III
- Enforcement Supervisor I, II
- Licensing Supervisor I, II
- Office Services Supervisor I, II

### Core Competencies:

#### Coaching and Mentoring

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, career plans and suggests resources. Recognizes individual and team accomplishments.

#### Relationship Building

Fosters positive working environments with internal and external stakeholders, demonstrating principles of negotiation and collaboration.

#### Teambuilding

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.

#### Workload Management

Plans, organizes and directs the workflow of essential services. Effective delegation, monitoring and reporting of employee performance. Effective decision-maker, problem-solver and troubleshooter.

#### Visionary

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.

#### Large Project Management

Manages teams performing complex research, analysis of politically sensitive issues and provides recommendations to leadership for policies, procedures, and processes.

#### Personnel Management

Thorough understanding of state employment processes, Personnel Procedures Handbook, 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.

#### Government Administration

Strong organizational and decision-making skills. Experience preparing and working with a governmental budget, administrative procedures, regulatory and disciplinary processes.

#### Conflict Management

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.

#### Role Model

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.

<b>Analyst and Professional Level</b>	
<b>Mission Critical Positions:</b>	
<ul style="list-style-type: none"> <li>• Staff Services Analyst</li> <li>• Research Program Specialist</li> </ul>	<ul style="list-style-type: none"> <li>• Budget Analyst</li> <li>• System Analyst</li> <li>• IT Analyst</li> </ul>
<ul style="list-style-type: none"> <li>• Research Analyst</li> <li>• Investigator</li> <li>• IT Specialist</li> </ul>	<ul style="list-style-type: none"> <li>• Licensing Analyst</li> <li>• Enforcement Analyst</li> <li>• AGPA</li> </ul>
<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, using tools to find meaning and patterns in the data, and using logic to arrive at conclusions, make decisions or present 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, timeframe, 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/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 the laws affecting the board, bureau or program. Review and analyze 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, complaint resolution, knowledge of state and local law enforcement agencies. Familiarity with proceedings and has strong reporting and court testifying skills.</p> <p><b>Licensing</b> Expert knowledge of initial and licensing renewal procedures, processing licensing applications, diversion program, continuing education, and the examination process.</p> <p><b>Technical Support</b> Assures that information technology systems run appropriately, system troubleshooter, 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. Documents created include correct spelling, grammar and punctuation.</p>

## Clerical and Entry Level

### Mission Critical Positions:

- Executive Assistant      • Management      • Program Representative I,      • Program
- Office Technician      Services Technician      II, III      Technician II, III

### Core Competencies:

#### Accountability

Takes responsibility for personal performance. Meets deadlines. Proactively keeps supervisor informed of progress, issues and potential problems. Takes ownership of projects and work assignments.

#### Oral Communication

Articulates information in a clear and concise manner. Tailors oral communication to the level and experience of the audience. Listens effectively.

#### Customer Service Orientation

Responds to public inquiries, customer requests and complaints. Delivers high-quality customer service by being attentive, asking and responding to questions, confirming understanding, providing accurate information about the organization's services. Maintains confidentiality with sensitive documents.

#### Technical Staff Work

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/procedures.

#### Cultural Sensitivity

Awareness of cultural diversity and understanding of how perceptions, attitudes, and stereotypes of self and others influence interpersonal relationships.

#### Time Management

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.

#### Basic to Intermediate Computer Skills

Proficient in Microsoft Office, DCA systems/applications and other job-specific software tools.

#### Planning and Organization

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.

#### Records Management

Filing, maintaining records inventory and schedules per state guidelines.

## Key Leadership

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A key leadership position describes one 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 and Chief Counsel;
- Deputy Director, Board and Bureau Relations;
- Deputy Director, Administrative Services;
- Deputy Director, Office of Information Services;
- Deputy Director, Legislation and Regulatory Review;
- Deputy Director, Communications;
- Chief, Division of Programs and Policy Review, and
- Chief, Division of Investigation.

In addition to the above DCA positions, the 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 Gap Analysis

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In each of the gaps sections below, key issues are identified based on the DCA Senior Staff and bureau chiefs facilitated workforce planning session and the Department's 2016 Strategic Plan Environmental Scan.

### Recruitment Gaps

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Recruitment gaps resulting from current workforce challenges include:

- Need for recruitment and retention efforts to address retirement attrition, and
- The Division of Investigations, Office of Information Technology, Office of Professional Examination Services (OPES), and Legal Office have found recruitment efforts difficult due to industry professionals being in high demand with private and public organizations.

### Retention Gaps

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Retention gaps resulting from current workforce challenges include:

- Pay structure challenges and the difficulty associated with creating incentives for high performers, and
- Loss of institutional knowledge when business processes and desk manuals are not updated and turnover occurs.

## Professional Development Gaps

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Professional gaps resulting from current workforce challenges include:

- Needing staff, managers, and executives to participate more widely in analytical, critical thinking, and leadership training and activities;
- Conducting more unique on-site trainings at boards and bureaus as well as web-based trainings, and
- Expanding or creating new trainings focused on project management and QBIRT 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, and
- Several Information Technology, Legal, and Human Resources units 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, and
- A need for more activities to develop DCA's next generation of future leaders.

## Summary of Risks

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Workforce and Succession Planning Gaps resulting from the above workforce issues have the potential to 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

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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.

<b>Initiative</b>	<b>Primary Targeted Gap(s)</b>	<b>Responsible Entity/Entities</b>
Office of Human Resources' Recruitment Initiatives	Recruitment	Office of Human Resources
Office of Human Resources' Retention Effort	Retention	Office of Human Resources

DCA Superior and Sustained Superior Accomplishment Award Program	Retention	SOLID
Legal Upward Mobility and Retention	Retention	TBD**
Occupational Analyses and Salary Surveys	Retention and Recruitment	TBD**
DCA Employee Career Empowerment and Mentorship Pilot	Professional Development	SOLID
DCA Upward Mobility Program	Professional Development	Equal Employment Opportunity Office
Analyst Certification Training	Professional Development	SOLID
Individual Development Plan	Professional Development	DCA
Leadership Academy	Professional Development	SOLID
Enforcement Academy	Professional Development	SOLID and Division of Investigation
Unique Training, On-site Support, and Customized Developmental Activities	Professional Development	SOLID and various Subject Matter Experts
DCA Intranet	Knowledge Transfer	DCA
Policies, Procedures, Desk Manuals, and Business Process Documentation	Knowledge Transfer	DCA
Brown Bag Gatherings	Knowledge Transfer	SOLID
New Employee Orientation	Knowledge Transfer	SOLID and Office of Human Resources
Targeted Business Process Mapping	Knowledge Transfer	Office of Information Technology, Legal Office, Office of Human Resources, and SOLID
Future Leadership Development	Succession Planning	SOLID
Quality of Service Initiative	Succession Planning	TBD**
Exit Survey	Succession Planning	TBD**

\*\*Pending DCA's Strategic Plan Action Plan Assignments

## Recruitment Initiatives

### Office of Human Resources' Recruitment Initiatives:

DCA is engaged in several initiatives to attract a diverse and capable workforce. In 2016, DCA transitioned to the California Department of Human Resources sponsored vacancy advertising

and online application submission system (known as ECOS). While candidates may still file an application in person or via mail, candidates now have the option to submit an application online to broaden the Department's recruitment efforts.

Since the launch of the new advertising and application system, hiring managers have more flexibility in advertising the vacancy. Furthermore, hiring managers now can screen and score applications online. DCA efforts include:

- Upcoming two-day HR liaison training on the hiring process to reinforce best hiring practices and reduce errors that delay the hiring process;
- Continuing training to managers on the hiring process, and
- Continuing training to hiring managers on navigating the online system.

## Retention Initiatives

### **Office of Human Resources' Retention Effort:**

DCA is working to strengthen its employee engagement, career growth, and recognition efforts. In support of the State's efforts to consolidate classifications, the DCA has adopted several recommendations from the California Department of Human Resources. As such, the Office of Human Resources has conducted periodic reviews of classifications to evaluate the appropriate classification designations. Where possible, the DCA will endeavor to utilize the appropriate classification with the higher salary to attract and retain a skillful workforce.

### **DCA Superior and Sustained Superior Accomplishment Award Program:**

The DCA Superior and Sustained Superior Accomplishment Award Program is designed to recognize remarkable job performance by an individual employee or a team of employees resulting in an exceptional contribution to improving the DCA and California State Government. These awards acknowledge employee contributions that exceed the scope of their regular job duties. Employees who receive the award receive certificates of recognition and a one-time monetary reward. DCA boards, bureaus, programs, committees, and commission provides 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 or Sustained Superior Accomplishment Awards. Monetary awards range from \$25.00 to a maximum of \$500.00 per person or team member. The Review Committee is responsible for reviewing all recommendations, determining if an exceptional contribution was achieved, and providing a final recommendation of award recipients and award amounts to the DCA Director.

Each year, from May 1 to May 30 and November 1 to November 30, nominations are accepted. Prior to submitting the form to SOLID, the nominating supervisor or manager must obtain the signature of the corresponding executive officer, bureau chief, or deputy director. The nomination forms are located on the DCA Intranet at:

<http://inside.dca.ca.gov/solid/awards.shtml>



### **Legal Upward Mobility and Retention:**

The Legal Office has found recruitment efforts difficult due to industry professionals being in high demand with private and public law offices. To address this issue, DCA will establish an upward mobility and retention plan to build a legal team with longevity and to decrease vacancies.

### **Occupational Analyses and Salary Surveys:**

The board and bureau top management positions contribute greatly to the success of DCA and its mission. Consequently, DCA will be pursuing a contract with independent organization(s) to perform occupational analyses and salary surveys of management-level positions equivalent to the executive officer and bureau chief classifications. This effort will provide DCA with an enhanced ability to attract competitive applicants.

### Professional Development Initiatives

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#### **DCA Employee Career Empowerment and Mentorship Pilot:**

To contribute to the goal of developing leaders, SOLID is piloting the DCA Employee Career Empowerment and Mentorship Pilot. This pilot provides staff working in the participating programs (see table below) the opportunity to meet one-on-one with managers to discuss topics related to career and personal growth. There is no limit on how many times an employee can schedule meetings, but they do need to get prior approval from their manager or supervisor before using work time for mentorship activities.

Mentees are asked to complete a survey after each initial meeting with a mentor. Below are some of the highlights from the survey results as of April 2017:

- 100% recommended expanding the mentorship pilot to other boards, bureaus, and programs;
- 96% rated their initial meeting with a mentor as either very beneficial or beneficial;
- 100% recommended the mentorship pilot to other DCA employees;
- Work engagement is defined as a positive work-related state of mind characterized by vigor, dedication, and persistence. The survey found 100% of mentees indicated they were either very engaged or engaged, and
- 71% indicated they were extremely likely or likely to continue working in their current program during the next 3 years.

Only managers and employees from the following programs may participate in the pilot at this time. If your board, bureau, or program would like to become a part of the pilot, the executive officer or bureau chief may contact SOLID at, [SOLID@dca.ca.gov](mailto:SOLID@dca.ca.gov) to schedule an orientation.

<b>DCA Employee Career Empowerment and Mentorship Pilot Participating Programs As of May, 2017</b>
Board of Chiropractic Examiners
Board of Vocational Nursing & Psychiatric Technicians
Bureau of Automotive Repair
Bureau of Electronic & Appliance Repair, Home Furnishings & Thermal Insulation
California Acupuncture Board
California State Board of Optometry
DCA Programs and Policy Review (OPES and CIC)
Medical Board of California
Professional Fiduciaries Bureau
SOLID

**DCA 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.

**Analyst Certification Training:**

The SOLID Analyst Certification Training program (ACT) is designed to help staff develop the knowledge, skills and abilities necessary to become successful analysts. The program consists of a series of classes that address the core skillsets necessary to function at the analytical level. The target audience for the ACT program is those currently employed as an analyst, staff eligible to laterally transfer to an analyst, and individuals who lack formal training in the analytical process. Experienced analysts may also participate in the program to refresh their skills. Clerical staff can participate in the program to prepare for promotional opportunities.

The program consists of a series of core courses. Participants must deliver a presentation to complete the certification program. Courses may be completed in any order and participants can apply for their certification any time after completing all the requirements. The required courses are listed below:

- Basic Project Management;
- Completed Staff Work;
- Effective Business Writing;
- Interpersonal Skills for Analysts;
- Presentation Skills for Analysts, and
- Research, Analysis & Problem Solving.

### **Individual Development Plan:**

An Individual Development Plan (IDP) is a document completed by an employee for the plan of self-development over the next upcoming year. This plan is then reviewed by, and discussed with, their supervisor to match the individual goals with the goals of the program and DCA. Supervisors and employees then discuss various options and approaches to achieve the plan. At the end of one year this plan is reviewed to see how many goals are fulfilled and what the new goals and plans are for the next year. Details in an IDP include:

- The employee's short-term and long-term goals and objectives;
- Actions the employee can do in his or her present job or classification to help obtain these goals;
- Specific skills the employee needs to develop to do his or her job better, and
- Actions that will help develop those skills.

An IDP is an important tool in workforce succession, as it is a valuable resource to discuss with an employee the competencies necessary for advancement to a level beyond their current assignment, and a vehicle for taking the steps necessary to grow an employee professionally. The DCA's Intranet page at, <http://inside.dca.ca.gov/solid/idp.shtml> contains detailed information on how to develop an IDP (STD. 637).

### **Leadership Academy:**

The Leadership Academy provides management training by focusing on the principles of good leadership and the critical functions of supervision in state service. The Academy is ideal for both current and new supervisors and managers. Topics covered include:

- Leadership Fundamentals;
- Creating Effective Teams;
- Leader as Communicator;
- Performance Management;
- Hiring & Onboarding New Employees;
- Labor Relations;
- Safety, Wellness, and Accommodation, and
- Strategic Management.

The Leadership Academy enables participants to learn the strategies, tools, and techniques to become effective leaders. Participants will increase their performance by learning skills to improve productivity, employee performance, and employee satisfaction. Completion of the academy meets the eighty-hour training requirement under California Government Code Section 19995.4(b).

### **Enforcement Academy:**

The Enforcement Academy's primary purpose is to provide a well-grounded, standard baseline of knowledge and practices for new and existing employees who perform enforcement functions. The Academy is also intended as a venue for participants from the Department's boards, bureaus, and divisions to learn from one another and form valuable working relationships.

### **Unique Training, On-site 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. Some of these solutions will include developing new project management trainings, providing QBIRT data analysis training, and increasing web-based training activities. In addition, SOLID plans to offer “house calls” to boards and bureaus. During these house calls, SOLID will discuss with the board and bureau management teams their unique needs and collaboratively work to develop customized training 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 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.

### **DCA Intranet:**

The DCA Intranet at, <http://inside.dca.ca.gov/> serves as a central repository for departmental policies, procedures and more. It helps employees to quickly and easily locate and view information that is relevant to their specific roles and responsibilities with their program. Users can access data at any time from any computer with DCA network access. This increases employees' ability to perform their jobs faster, more accurately, and with confidence that they have the right information.

The DCA Intranet holds a wealth of information for both new and existing employees including DCA Departmental Procedures Memorandums (DPMs), department-wide project updates, new employee resources, benefits documents, calendars, forms, DCA policies, contact lists, and online training.

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

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

Documenting business processes at the individual position level is the best way to ensure that staff turnover does not negatively affect ongoing business processes. The creation or updating of job-specific desk manuals, business process maps, and procedures and policies should be part of the exit process for knowledgeable employees leaving the organization to ensure that new employees placed in that position have the guidance necessary to maintain business continuity. SOLID is developing a new desk manual writing training that will help facilitate the creation of comprehensive, well-written procedure manuals.

### **Brown Bag Gatherings:**

The Executive Brown Bag Gatherings help to strengthen networking among DCA, board, and bureau executive leaders. The gatherings provide an opportunity to get peer input on challenges in the workplace, receive training, and to solicit feedback on what other leadership development activities DCA can pursue. Topics covered have included:

- Best practices in managing high-level workplace challenges;
- Delegation skills;
- Building workplace philosophies, and
- How to constructively manage difficult or confrontational conversations.

SOLID plans to introduce a similar offering for SSM IIs and SSM Is in the future. These activities will assist supervisors and managers satisfy the new legislatively mandated training requirements of 20 hours every 2 years.

### **New Employee Orientation:**

SOLID provides a 4-hour New Employee Orientation once a month. These orientations help on-board new employees and ensure they are receiving consistent information. Participants receive an overview of the Department, its history, and mission. Additionally, participants learn about Office of Human Resources services, SOLID provided training and development activities, workplace tools, and union representation.

### **Targeted Business Process Mapping:**

The Information Technology, Legal, and Human Resources offices have several classifications with high percentages of staff nearing retirement. These offices will work with SOLID Organizational Change Management to map their most critical As Is business processes.

## 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.

### **Future Leadership Development:**

DCA encourages leadership development through a variety of tools and opportunities. Ongoing leadership development supports overall Department goals to ensure DCA develops existing and future leaders with the skills, attributes, and experiences needed to fill leadership positions and ensure continuity of leadership. To contribute to the goal of developing leaders, the Department is launching the Future Leadership Development (FLD) program. This initiative will provide all Staff Services Manager IIs, Staff Services Manager Is, and Associate Governmental Program Analysts working at DCA, the boards, and bureaus the opportunity to apply to be a part of a FLD Cohort. Applications will be reviewed by the FLD Steering Committee, who will select cohort mentees. Selected cohort mentees will:

- Be paired with a mentor;
- Participate in SOLID facilitated special leadership development exercises;
- Work on a special project that could positively impact all of DCA;
- Develop new working relationships;
- Expand their knowledge, and
- Meet with several internal and external executives who will share their career advice.

The anticipated goals and benefits include:

- Develop DCA's next generation of leaders;
- Increase collaboration between DCA and the boards and bureaus;
- Solve issues identified during the Executive Brown Bag Gatherings;
- Facilitate the sharing of perspectives on issues and constraints faced by both DCA and the boards and bureaus, and
- Demonstrate to the boards and bureaus that DCA is committed to serving their needs.

### **Quality of Service Initiative:**

Knowledgeable and committed employees contribute to the overall departmental achievement and higher customer satisfaction levels. DCA will work to develop subject matter expertise (for such topics as the Open Meeting Act, anti-trust, employment, conflict of interest, etc.) to improve quality of service and enhance consumer protection.

## Exit Survey:

Self-assessment is a critical foundation for a well-functioning department. DCA will establish an exit process for top management retirements (including executive staff and board and bureau leadership) to stay better aligned with departmental needs, facilitate leadership transition, and protect board and bureau stability.

## Communication Plan and Accountability

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The DCA Workforce and Succession Plan will be shared with all DCA's employees via posting on the Department's intranet website. In addition, the plan and status updates will be shared during future DCA Director Meetings and via meetings with the bureau chiefs. Entities responsible for Workforce Planning Initiatives will provide annual reports to DCA's Executive Office on progress made and new challenges encountered.

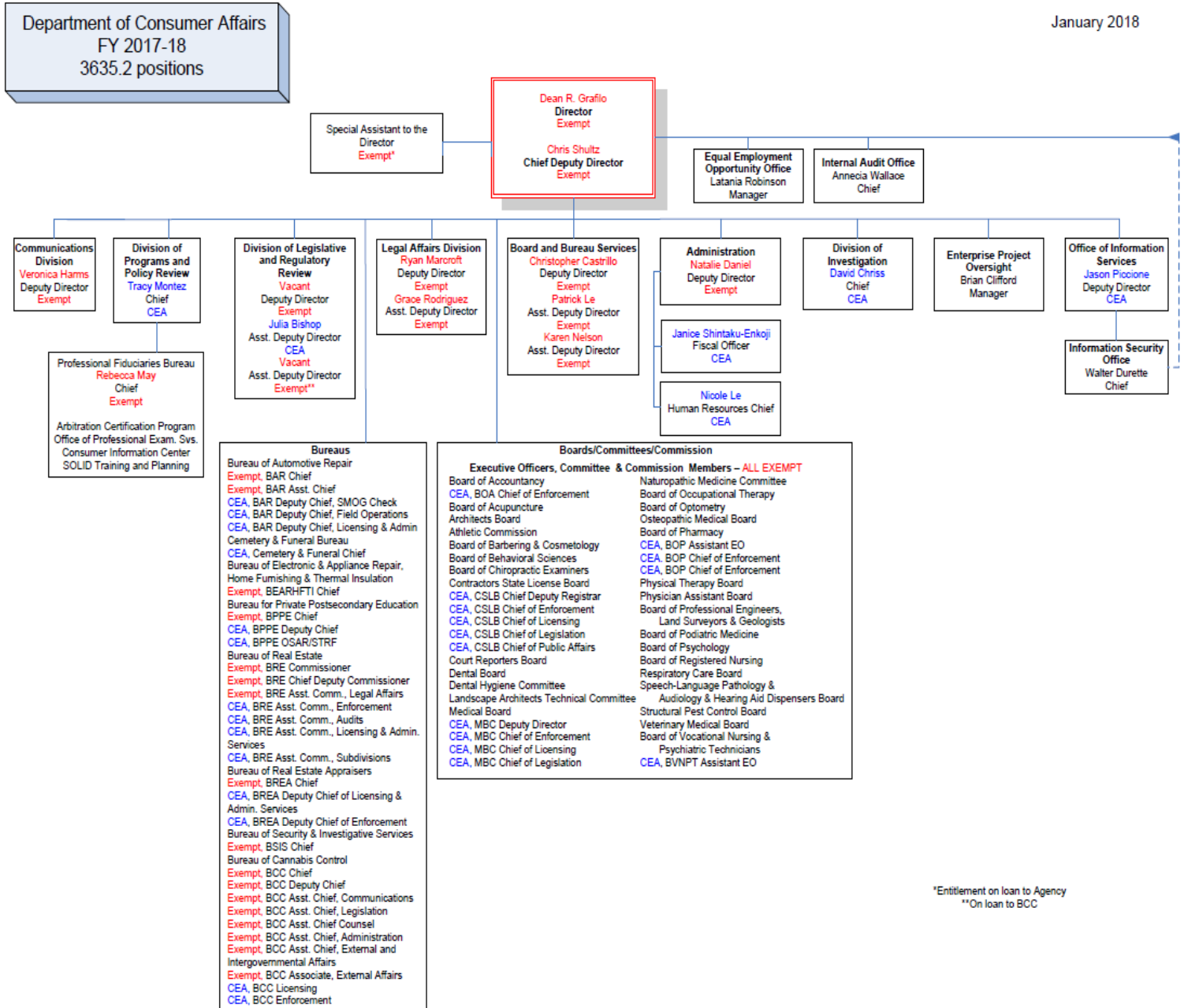
## Conclusion

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One critical factor in a successful organization, is the commitment and devotion of its people. The DCA Workforce and Succession Plan is a guide for developing its employees so they see the value of their work as well as being devoted and engaged. An engaged workforce fosters innovation that will help DCA champion its critical mission of consumer protection. DCA anticipates the Recruitment, Retention, Professional Development, and Knowledge Transfer Initiatives in this plan will build an environment with the right people with the right skills in the right place at the right time. DCA foresees the Succession Planning Initiatives will ensure its next generation of leaders are prepared to elevate DCA's contribution to the State of California well into the future.

# Appendix A: Organization Chart

January 2018





STATE OF CALIFORNIA



DEPARTMENT OF CONSUMER AFFAIRS

Department of Consumer Affairs  
1625 North Market Blvd.  
Sacramento, CA 95834  
[www.dca.ca.gov](http://www.dca.ca.gov)



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