

STATE OF CALIFORNIA



DEPARTMENT OF CONSUMER AFFAIRS

WORKFORCE AND SUCCESSION PLAN

THE DEPARTMENT'S COMMITMENT TO THE
DEVELOPMENT OF ITS EMPLOYEES AND
FUTURE LEADERS

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Workforce and Succession Plan

WORKFORCE AND SUCCESSION PLANNING: VISION

To foster organizational continuity – a bridge to DCA’s future workforce needs – to enrich its diversity of style and point of view, and enhance its ability to deliver the Department’s public trust responsibilities to a diverse and changing California population. We encourage employee growth and retain top talent in order to preserve organizational knowledge.

“The continuity of the organization over time requires a succession of persons to fill key positions.”¹

Every organization, public or private, owes a significant amount of its success or failure to the development of high-caliber employees and leaders. High-caliber employees and leaders are those who, while possessing the needed abilities, characteristics, competencies, and skills required of their positions, reach beyond the job to understand and apply the highest standards of stewardship and constituent/public trust assigned to the organization as a whole. A deliberate and systematic approach is needed to ensure organizational continuity by encouraging employee development, and enhancing the Department of Consumer Affairs (DCA) pool of leadership candidates. Accomplishing this will take strong commitment and support from the Department’s leadership. This document is the initial framework for the Department’s workforce and succession planning efforts. It is not intended to be all-inclusive of the various methods to achieve the goal of organizational continuity and succession planning.

WHAT IS WORKFORCE AND SUCCESSION PLANNING?

Workforce planning is a systematic process for identifying the employees required to meet organizational goals and developing the strategies to meet these requirements. Workforce planning is not a one-time event; it’s about developing competencies to address workforce issues over time.

Succession planning is an important subset of workforce planning, designed to ensure the continued effective performance of an organization, division, or work group, by making a provision for the development and replacement of leaders over time. A succession planning program is a deliberate effort by an organization to ensure leadership continuity in key positions and encourage individual advancement. The goal of succession planning is to match the organization’s available (present) talent to its needed (future) talent, to ensure that the lessons of organizational experience (institutional memory) will be preserved and combined with reflection on that experience to achieve continuous improvement in work results.

¹ 1 Arthur Deegan, *Succession Planning: Key to Corporate Excellence* (New York: Wiley-Interscience; page 5).

Together, workforce and succession planning help to ensure that an organization can achieve its mission by having the right people with the right skills in the right place at the right times.

THE WORKFORCE PLANNING MODEL

The workforce planning model consists of seven steps.

1. Review the department's strategic plan
2. Identify mission-critical work functions
3. Identify staffing requirements
4. Project workforce supply
5. Analyze workforce gaps
6. Develop priorities and solutions
7. Evaluate the plan

DCA's STRATEGIC PLAN AND MISSION-CRITICAL FUNCTIONS

DCA's *2008-2010 Strategic Plan* identifies five goals and 17 objectives for 2008-2010. The five goals are:

1. DCA's effective communication efforts inform, engage, and empower stakeholders.
2. California is the recognized national leader in professional licensing, regulation, and enforcement.
3. DCA is "THE" employer of choice.
4. DCA's licensing entities help California meet its professional workforce needs.
5. DCA is regarded as an effective and innovative model of state government.

Our mission-critical business functions are:

1. Licensing
2. Enforcement
3. Consumer Complaint Response and Investigation
4. Consumer Education and Outreach

MISSION-CRITICAL CLASSIFICATIONS

Several mission-critical classifications have been identified, in light of the data displayed above and DCA's *2008-2010 Strategic Plan*. They include:

- Assistant Executive Officer
- Bureau Chief
- CEA/Deputy Director
- Enforcement Representative I/II
- Enforcement Supervisor I/II

- Executive Officer
- Program Manager I, II
- Staff Services Manager I, II, III
- Supervising Air Quality Engineer
- Supervising Cosmetology Examiner
- Supervising Inspector III
- Supervising Inspector Board of Pharmacy
- Supervising Investigator I/II
- Supervising Nursing Education Consultant
- Supervising Program Technician III
- Systems Software Specialist III/Supervisory
- Consumer Services Representative
- Cosmetology Examiner I/II
- Inspector Board of Cosmetology
- Inspector Board of Pharmacy
- Investigative CPA
- Medical Consultant, Enforcement
- Medical Consultant, Licensing
- Nursing Education Consultant
- Program Representative I, II, III
- Systems Software Specialist I, II, III
- Test Validation Specialist II

WORKFORCE SUPPLY/POTENTIAL GAPS

As are other state agencies, DCA is facing the loss of a large percentage of its experienced workers because of its aging workforce and increased competitive job opportunities with other government agencies. Current data from DCA's Office of Human Resources indicate that approximately 62% of DCA's management and supervisory classifications and approximately 56% of its rank and file classifications are eligible for retirement within the next five years. The following chart displays these data by classification for the entire department, including Boards, Bureaus, Commissions, Programs, and Offices.

Managers and Supervisors within 5 years of Retirement (Age 50 and above)
Department of Consumer Affairs
(includes all Boards, Bureaus, Commissions, Programs and Offices)

Classification	Total Number of Employees in Classification	# of Employees Age 50 and above	Percentage of classification (age 50 and above)
A EXEC O II P&V R	6	6	100%
ACCT ADMIN I/SUP	3	2	66%
AS INFO SYS AN/SUP	2	1	50%
ASST CHIEF	1	1	100%
ASST SECTY	1	1	100%
C.E.A.	15	9	60%

DCA WORKFORCE AND SUCCESSION PLAN -- 2009

Classification	Total Number of Employees in Classification	Employees Potentially Retiring	Percentage of Classification
CH ATHLETIC INSPCT	1	1	100%
CH/ACCT ENF PROG	1	1	100%
CHIEF	3	2	66%
COMMISSIONER	3	1	33%
COSMET EXAM II	2	1	50%
DATA PROC MGR I	1	1	100%
DATA PROC MGR III	5	2	40%
DEP CH INV & E	2	1	50%
DEP DIR	5	1	20%
DEP DIR FR LEG AFF	1	1	100%
DEP SECTY	1	1	100%
DIV PRG COM SP II	1	1	100%
DIV PROG ADM	1	1	100%
ENFORCE SUP I	14	8	57%
ENFORCE SUP II	5	4	80%
EXEC DIR (BD/BR/COMM)	3	3	100%
EX OFCR (BD/BR/COMM)	22	17	77%
INFO SYS TC SUP I	1	1	100%
INFORMATN OFFCR II	3	1	33%
INSPECTOR III D/CA	3	2	66%
LBR REL SP	1	1	100%
OFF SER SUP II (GN)	5	2	40%
PER SEL CON I	5	2	40%
PER SELECT CON II	3	2	66%
PERSNL SUP I	1	1	100%
PRG MGR I	7	6	86%
PRG MGR II	5	2	40%
PRG REP III/SUP	39	29	74%
PVT PSTSND ED A	3	2	66%
REG CONTRACTORS	1	1	100%
REG&SEC/STRUC PT C	1	1	100%
SR AIR QLTY ENG	5	3	60%
SR ENG RESISTRAR	3	2	66%
SR INFO SYS AN/SUP	6	4	66%
SR MANGMNT AUDITOR	1	1	100%
SR PROG ANLYST/SUP	2	2	100%
STAFF ADM ANL AC S	2	1	50%
STAFF SVS MGR I	61	25	41%
STAFF SVS MGR III	5	4	80%
STAFF COUN III/SUP	2	2	100%
STAFF SVS MGR II/SUP	11	6	55%
SUP AIR QLTY ENG	3	3	100%
SUP COSMTLGY EXAMR	1	1	100%
SUP INSPCT B/PHARM	4	3	75%
SUP INV CERT PBL A	1	1	100%
SUP INV I/DCA	23	11	48%
SUP INV II/DCA	7	2	29%
SUP NURS ED CONSLT	3	3	100%
SUP PROG TECH II	13	4	31%

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SUP PROG TECH III	5	3	60%
SYS SFTW SP III/S	2	2	100%
Total (All Classifications)	327	203	62%

Rank and File Employees within 5 years of Retirement (Age 50 and above)
Department of Consumer Affairs
(includes all Boards, Bureaus, Commissions, Programs and Offices)

Classification	Total Number of Employees in Classification	Employees Potentially Retiring	Percentage of Classification
A INFO SYS AN	21	7	33%
ACCOUNT CLERK II	8	2	25%
ACCOUNTANT TRAINEE	2	1	50%
ACCOUNTING TECH	6	1	16%
ADMINISTRATV AST I	1	1	100%
AIR QLTY ENG I	17	8	47%
AIR QLTY ENG II	14	6	43%
AS INFO SYS AN/SP	34	10	29%
AS PROG ANLYST/SP	21	6	29%
ASO ADM ANLY AC SY	3	1	33%
ASO BUDGET ANALYST	1	1	100%
ASO GOVRL PROG ANL	193	73	38%
ASO PERSONEL ANLT	13	1	8%
ASSOC BUS MNGT ANL	10	8	80%
AUTOMOBILE MECHANC	2	1	50%
BUS SVS O I/SP	5	3	60%
BUS SVS O II/SP	1	1	100%
BUS SVS ASST	6	2	33%
CHEMIST	3	2	66%
CONS A TECH	2	1	50%
CONSUMER SERVS REP	69	29	42%
COSMET EXAM I	12	10	83%
COSMET EXAM II	2	1	50%
DIV PRG COM SP I	3	2	66%
DNTL CON	1	1	100%
ENF REP I	78	32	41%
ENF REP II	15	12	80%
ENFORCE REP I	6	4	66%
ENFORCE REP II	3	2	66%
EXAMNR IN BARBERNG	1	1	100%
EXEC A	6	2	33%
EXEC SEC II	1	1	100%
FLAM RES TST ENG	2	1	50%
FLD REP BD/FN D&EM	7	5	71%
FLD REP/B E+A REPR	7	6	86%
GENERAL AUDITR III	3	1	33%
INF OF I/SP	6	6	100%
INFO SYS TC	2	1	50%
INFO SYS TC SP I	1	1	100%
INSPECTOR II D/CA	23	10	43%

DCA WORKFORCE AND SUCCESSION PLAN -- 2009

Classification	Total # of Employees in Classification	Employees Potentially Retiring	Percentage of Classification
INSPECTR B/PHARMCY	18	12	66%
INV CERT PBLC ACCT	5	3	60%
INVESTIGATOR ASST	8	1	13%
INVESTIGTR/DCA	28	1	4%
KEY DATA OPERATOR	22	4	18%
LEGAL SECRETARY	1	1	100%
LMTD EX & A P C/IC	16	3	19%
MAIL MACH OP II	2	1	50%
MD CONSLTNT/ENF	25	22	88%
MD CONSLTNT/LIC	7	7	100%
MG SVS TECH	94	40	43%
NURSING ED CONSULT	9	9	100%
OFF ASST/GEN	35	13	37%
OFF ASST/TYPING	35	10	29%
OFF TECH (TYPING)	303	99	33%
OFF TECH (GEN)	34	12	35%
PERSNL SP	12	5	42%
PRG REP I	256	138	54%
PRG REP II/SP	77	45	58%
PRG REP III/SP	4	3	75%
PROG TECH	22	6	27%
PROG TECH II	125	42	34%
PROG TECH III	21	10	48%
PROGRAMMER II	5	3	60%
PV PSTSND ED SP	10	5	50%
RES ANLY II GENERL	1	1	100%
RES PROG SPECLT II	1	1	100%
SENIOR ACCOUNT CLK	8	3	38%
SR ACCT OF/SP	7	5	71%
SR INFO SYS AN/SP	4	3	75%
SR INV/DCA	79	27	34%
SR LGL ANLYST	1	1	100%
SR PERSNL SP	2	1	50%
SR PROG ANLYST/SP	3	1	33%
ST INFO SYS AN/SP	23	7	30%
ST PROG ANLYST/SP	17	7	41%
STAFF COUNSEL	5	1	20%
STAFF SER AN (GEN)	271	82	30%
ST COUN III/SP	7	1	14%
STR PST CNT BD SP	8	5	63%
SYS SF SP I/TECH	4	2	50%
SYS SFTWR S II/TC	5	3	60%
SYS SFTWR X III/TC	1	1	100%
TELEVISION SPECLST	1	1	100%
TEST VAL DEV SP I	3	1	33%
TEST VAL DEV SP II	3	2	66%
TEXTILE TECH II	4	3	75%
WAREHOUSE WORKER	4	1	15%
Total (All Classifications)	1265	507	40%

COMMITMENT TO THE FUTURE

So that DCA can carry out its mission with the strength of continuity, our culture must become one of developing and nurturing our employees' skills, including strong leadership skills. We must also be committed to developing the organization as an "employer of choice" – one that is known statewide as a department that provides its employees with opportunities to learn and develop, and to be recognized and appreciated.

DCA can take a number of steps to implement workforce and succession planning and promote leadership development. Department leadership is committed to providing guidance, support and oversight toward promoting employee development. Department leadership encourages managers and supervisors to continually develop organizational competencies within their employees. The following plan provides strategies to assist managers and supervisors to take the steps necessary to implement this plan and encourage employee development.

Strategy #1: Promote core leadership competencies.

To maintain workforce and leadership continuity within the Department, a plan to develop employees to serve as managers and leaders has been developed. The basis of the plan is to begin developing employees at entry-level positions and continue developing them throughout their careers. Learning opportunities revolve around seventeen competencies identified by the Centre for Organization Effectiveness as essential for successful leadership in the public sector. (Competency definitions are shown in Appendix A.) The competencies are the cornerstone of DCA's training and employee development programs.

- **Accountability**
- **Adaptability**
- **Communication**
- **Conflict Resolution**
- **Cultural Sensitivity**
- **Decisiveness**
- **Development Orientation**
- **Ethics**
- **Political Acumen**
- **Risk Taking**
- **Self Awareness**
- **Service Orientation**
- **Strategic Ability**
- **Team Orientation**
- **Vision**
- **Public Relations**
- **Resilience**

By introducing employees to these competencies and providing opportunities to expand their knowledge and skills in these areas, the Department is building the pipeline to future success.

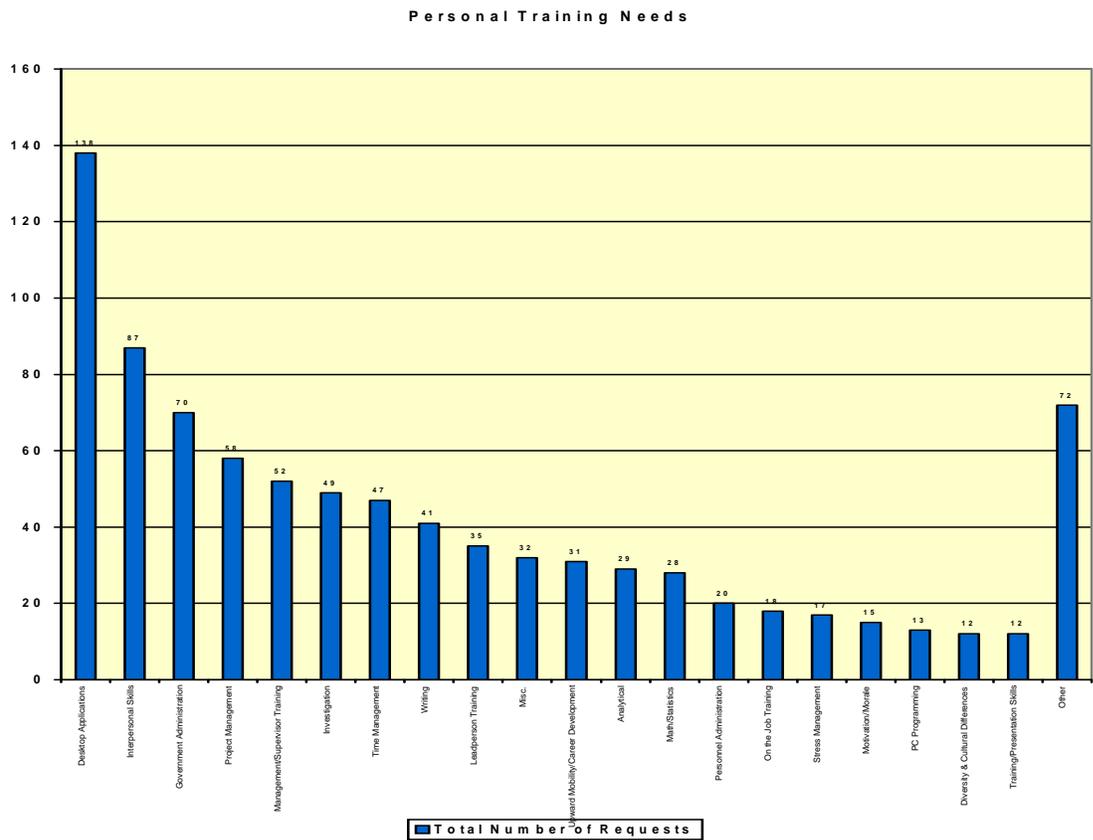
Strategy #2: Conduct a Training Needs Analysis

In late 2008, SOLID conducted a department-wide Training Needs Analysis. Using an on-line survey, SOLID asked managers and supervisors to identify the top three training needs of their staff, and asked all employees to identify their three most important training needs. The responses to these questions are shown below. Respondents were also asked to rate various types of training on a scale of very important to not important. Results for the entire survey are shown in Appendix B.

Figure 1. Staff Training Needs, as Identified by Managers/Supervisors (N=51)



Figure 2. Top 20 Self-Identified Personal Training Needs



Strategy #3: Provide essential classroom and on-line learning opportunities, based on the seventeen competencies and the Training Needs Analysis results, to prepare employees for leadership positions and ensure they are adequately trained to implement mission-critical functions.

SOLID Core Courses

SOLID Training Solutions offers a variety of both soft and hard skills training courses. Our classes are focused on the skills and knowledge that employees need to succeed at DCA. These traditional classroom-style training courses revolve around the leadership competencies outlined in this plan. Specifically, the competencies that are the primary focus in SOLID’s core courses are the first eight competencies identified as necessary for success in entry level and lead/journey level positions. Those competencies are:

- | | |
|-------------------------|----------------------------|
| 1. Accountability | 5. Communication |
| 2. Cultural Sensitivity | 6. Conflict Resolution |
| 3. Service Orientation | 7. Team Orientation |
| 4. Adaptability | 8. Development Orientation |

Each full day course includes an introduction of the competencies that are addressed in the course and how what the participants will learn can enhance their knowledge in those areas. Each course also ends with a similar piece that reinforces this learning with the participants.

	Entry Level				Lead/Journey			
	Accountability	Cultural Sensitivity	Service Orientation	Adaptability	Communication	Conflict Resolution	Team Orientation	Development Orientation
Grammar & Writing								
Grammar & Punctuation	X		X		X			
Business Writing	X		X		X			
Customer Service								
Customer Service Excellence	X	X	X		X	X		
Communication & Cooperation								
How to Be a Better Communicator		X	X		X	X		
Conflict Resolution	X	X	X		X	X	X	
Interpersonal Problem Solving					X	X		
Diversity & Generational Differences	X	X			X			
Supervision & Leadership								
Stepping up to Lead			X			X	X	X
Analytical Skills								
Analytical Thinking	X		X	X	X		X	
Project Management	X		X	X	X	X	X	
Personal Development								
Time & Workload Management	X		X		X			
Project Management	X			X	X		X	
Career Development								
Growing in Your State Career			X	X	X			X
Facilitation & Training								
Ambassador Speakers Program	X			X	X			
Survivor: Train the Trainer		X		X	X			X
Facilitating Effective Meetings					X	X	X	X

Leadership Competency Modules

In addition to addressing the first eight competencies in the core classes, SOLID has developed one-hour training modules for the seventeen leadership competencies. These modules will have the same basic structure in their design and delivery method, regardless of which particular competency is being addressed. Each module will be composed of the following parts.

Definition	10 minutes	Instructor Led	What are the leadership competencies? Why are the competencies important? How are we defining this competency?
Discussion	20 minutes	Theoretical Discussion	An activity to frame a discussion among the participants on the topic of this particular competency. The activity draws on the participants own thoughts, ideas,

			experiences regarding this competency and its implications for their workgroups and DCA as a whole.
Group Activity	20 minutes	Practical Application	An interactive activity designed to get participants excited about this competency, reinforce the previous discussion, and explore practical applications.

Workgroup Learning

In an effort to increase the efficiency, productivity, retention, and overall success of inclusive workgroups within DCA, SOLID will create team-centered training modules for workgroups. These courses can be delivered in one- or four-hour modules for groups of ten participants or more.

SOLID will be limiting its workgroup courses to those topics that make the most impact on teams as a whole rather than on individual development. Our initial menu of topics will be as follows:

- Customer Service
- Communication
- Myers Briggs (4 hours)
- Diversity
- Generational Differences
- Teambuilding
- True Colors (4 hours)
- Effective Meetings
- Change Management
- Conflict Resolution

Other Projects

Management Academy –The six-day Management Academy trains 40 selected middle managers in the leadership competencies identified above. Participants are asked to complete group projects that provide solutions to departmental issues or strategic objectives.

Online Learning – continued learning opportunities for employees, supervisors, and managers to further their leadership development without leaving the office. A comprehensive course listing should be developed to include such classes as Employee Performance, Correcting Performance Problems, Managerial Leadership, Decision Making and Problem Solving, and many more.

Resource Library - located within the SOLID office, the Resource Library contains a variety of leadership and management development books and videos department employees may borrow.

Strategy #4: Provide programs and tools that enhance organizational performance and which, in turn, support individual development and help DCA evolve into an “employer of choice.”

Organizational Development Programs

- **Customer Service Program.** One of DCA’s most important values is customer service – service to consumers, licensees, and one another as internal customers of each other’s services. DCA’s Customer Service Advisory Committee, composed of representatives from boards, bureaus, and divisions, meets several times throughout the year to make recommendations to SOLID on

customer service policies and practices at DCA. Our Customer Service Program helps employees develop the service orientation competency by developing guidelines for customer service expectations. The program currently includes the following guidelines and tools for employees (additional guidelines are underway):

--The Seven Cs of Customer Service – Complete, Concise, Correct, Concerned, Courteous, Clear, Committed

--Telephone and E-Mail Policy

--Customer Service Survey (a template for use by the boards/bureaus, for measuring levels of customer service provided)

--Customer Service Newsletter. This quarterly newsletter will be launched in June 2009, and distributed electronically to all employees. It will include customer service tips and recognition of employees who are awarded the customer service “Star” and “Lighthouse” awards.

- **New Employee Welcome Receptions.** The receptions, held monthly, help ensure that new employees feel welcomed to DCA, have an opportunity to meet executive staff members and ask questions, and receive a tour of the Sacramento headquarter buildings. Refreshments are served and employees are provided with an orientation packet including the strategic plan, information on the 7Cs of Customer Service, the phone roster, and information on nearby restaurants.
- **Executive Leadership Forums.** Conducted bi-monthly, these meetings for Board Executive Officers, Division Chiefs, and Deputy Directors will increase the networking and leadership development within the department.
- **Managers’/Supervisors’ Roundtables.** Conducted quarterly, these meetings provide networking and leadership development opportunities for middle management.
- **Employee Recognition Program.** DCA recognizes its outstanding employees through its Employee Recognition Program. The new program and policy are currently under development. The new program will include an annual Employee of the Year award.
- **Employee Exit Survey.** DCA leadership wants to understand what makes employees leave DCA. The results from this anonymous survey are distributed quarterly to all employees and are reviewed by Executive Office members.
- **New Employee Survey.** Conversely, DCA leadership wants to learn from new employees what made them select DCA as an employer, and what will influence them to stay. These factors influence our recruitment and retention efforts. Survey results are distributed quarterly to all employees and reviewed by Executive Office members.
- **Organizational Diagnosis/Process Improvement.** Organizational diagnosis analyzes the performance influencers on a unit or division. It identifies work conditions, processes and procedures, and outcomes. After the diagnosis, SOLID staff will assist DCA’s divisions and offices with implementing

- recommendations for improvement (e.g., process improvement work, performance measurement systems, training, etc.)
- **Web 2.0 Technology.** DCA should use Web 2.0 Technology to attract and retain Gen X and Gen Y employees; improve process efficiencies; and improve internal and external communication. Several recommendations for review by DCA's IT Governance Committee are underway, including the use of webcams for training and communicating with the field; establishing an internal blog; and creating an on-line employee directory (an internal "Facebook" for employees which, because it is internal, would be secure).
 - **Virtual Suggestion Box.** As required by Strategic Plan Objective 3.5, DCA should establish an internal, virtual Suggestion Box for employees. Suggestions can be received anonymously. SOLID staff will compile, review, and respond quarterly to all suggestions.

Strategy #5: Encourage employee development of core competencies through the use of Individual Development Plans (IDP).

We choose to emphasize the IDP in this plan, as opposed to listing it above as another development tool, because we believe it is important for both employees and their supervisors to formally plan and agree on the path to an employee's development. Department leadership recognizes that employees want to be challenged to grow and develop their skills, abilities, and professional expertise. The professional growth and development of our employees is directly related to the accomplishment of the Department's mission and strategic objectives and promotes organizational continuity.

In the career development process, an employee, cooperating with a supervisor, prepares and initiates an action plan leading to increased use of talents and skills resulting in greater career satisfaction and employee retention. Supervisors should encourage employees to identify training needs, develop their skills and competencies and prepare a written career plan. The IDP may relate to the employee's current assignment as well as future career objectives. The IDP form may be electronically completed at the following website:

<http://www.documents.dgs.ca.gov/osp/pdf/std637.pdf>.

IDPs are a useful tool because they provide:

- a logical and structured framework for assessing the needs of both the individual and the organization;
- a method of identifying core group training for work units;

- an opportunity to review and schedule mandated training such as Ethics, Sexual Harassment, Supervisory and Defensive Driver's Training; and,
- a method for organizing developmental experiences instead of committing both time and money on training and development which may not be of future benefit to departmental or employee goals.

The Individual Development Process

Employees:

1. Initiate the preparation of the IDP.
2. Identify objectives:
 - Identify competencies and skills you need to perform your current duties.
 - Plan your future career and personal development goals.
 - Include both short-term career goals (those to be completed during the current fiscal year) and long-term (more than one year). Personal development goals can also be listed on your IDP. Career goals are individual in nature and may take many forms - for example, becoming an expert in a particular field, or goals for advancement to leadership positions.
3. Collect all relevant materials:
 - Visit the Employee, Manager, and Supervisor Toolkit on the Intranet.
 - Review a copy of your current job description.
 - Obtain a copy of any recent performance appraisals.
 - Identify training and development opportunities you may wish to include on your IDP.
4. Conduct a competency and skills evaluation:
 - Review job description and identify any needed job skill or enrichment training.
 - If you desire to advance to a leadership role, review the leadership competencies and seek to improve in the related areas.
5. Prepare a list of developmental activities:
 - Identify developmental opportunities to assist you in meeting your goals, taking into consideration both internal traditional training and non-traditional development assignments.

- Include performance objectives and action plans on your IDP – while career goals are broad statements, objectives and action plans are precise activities the employee and supervisor may use in determining if goals have been achieved. The performance objectives and action plans should be specific, quantifiable, attainable and realistic, and should include completion dates.
 - List the performance objectives in priority order on your IDP.
6. Meet with your supervisor to discuss your IDP.
 7. Make any necessary adjustments to the IDP after approval by your supervisor.
 8. Initiate training requests and complete evaluations.

Supervisors:

1. Encourage employees to conduct the IDP process at minimum on an annual basis.
2. Become familiar with the Employee, Manager and Supervisor toolkit on the Intranet.
3. Assist and coach the employee in the IDP planning process.
4. Provide information on training opportunities and departmental policy.
5. Teach employees new skills and techniques and assure that the employee has access to the training tools necessary for successful job performance.
6. Promote the use of both traditional and non-traditional career development opportunities. These include both department sponsored training as well as mentoring assignments, job rotation, and training and development assignments.
7. Review the employees IDP and provide feedback on the attainability of the plan and availability of funding.
8. Review and approve/disapprove training requests using the IDP as a reference guide.
9. Schedule and provide regular progress reviews with the employee. Formal follow up ensures that the plan is implemented.
10. Be open to discuss changes in the plan throughout the year. Priorities may shift, your employee may experience disruptions or new opportunities for development may arise. The IDP should be a living document and adjusted accordingly.

11. Give recognition to reinforce progress and acknowledge relevant job performance improvements.

Strategy #6: Develop a formal knowledge management and knowledge transfer system, to ensure that we integrate institutional knowledge and successful past experiences into future successes.

Because it is facing a large number of retirements over the next few years, DCA must develop both a knowledge management (KM) and a knowledge transfer system, to ensure that our future leaders can continue to efficiently carry out mission-critical functions. Some of the following examples of knowledge management categories and tools ([Binney, 2001](#)) apply to DCA's core business functions and are already in use or could be used.

- *Innovation/creation KM*: Fostering an environment that promotes the creation of new knowledge. Examples: forming teams of people from different disciplines; technology such as blogs and other discussion forums; virtual teams; networking.
- *Process-based KM*: lessons learned; benchmarking; best practices; quality management; business process re-engineering; process automation.
- *Developmental KM*: Building up the capabilities of the organization's knowledge workers through training and staff development. Examples: Skills development; staff competencies; learning; training.
- *Transactional KM*: Knowledge is embedded in technology. Examples: Help Desk applications

Other common knowledge management and transfer tools are: policies and procedures; training materials; help desk resources; and rosters and staffing details.

To ensure that knowledge transfer takes place on a formal basis, DCA should take the following steps.

- At a minimum, each division should be asked to list the common knowledge transfer tools it uses; identify who maintains them; and identify who is responsible for ensuring these tools are "passed on" to the appropriate staff in the event of a retirement, transfer, or resignation.
- Adopt a knowledge management process similar to the one used by the Department of Toxic Substances Control (DTSC), shown in Appendix C. DTSC uses a Knowledge Management Toolkit, which includes, but is not limited to, the following activities:
 - An inventory of the organization's infrastructure (e.g., LAN, WAN, Internet, video conferencing, etc.) commonly used in knowledge transfer
 - Identification of knowledge resources for each division
 - An assessment of the quality of these resources (e.g., the durability of the resource; its ability to "walk out the door" with retirements,

transfers, resignations; the maintenance of the resource and the frequency of updates)

Strategy #7: Expand and enhance DCA's recruitment efforts.

DCA's strategic plan requires us to develop and implement a department-wide recruitment plan with the active participation of the boards, bureaus, and divisions. As of this writing, the recruitment plan is nearly final.

Following are major objectives from DCA's Draft Recruitment Plan:

- Create a DCA Recruitment Team, consisting of Board/Bureau/Division staff. Team members would conduct recruitment for the mission-critical classifications shown on pages 3 - 4.
- Develop a training program for the Recruitment Team; incorporate recruitment duties into existing duty statements.
- Identify appropriate recruitment venues for the mission-critical classifications.
- Use technology as appropriate (e.g., Twitter, Facebook, etc.) for recruitment purposes.
- Participate in the HR Modernization Program's pilot three-rank examination process, which includes on-line, continuous testing.

In addition, the leadership competencies identified above will be incorporated into the recruitment process.

CONCLUSION

Goal 3 of the department's 2008-2010 Strategic Plan states, "DCA is "THE" employer of choice." This goal consists of five objectives:

- Implement strategies to attract talented employees;
- Retain employees by enhancing the work environment and creating a culture that values employees;
- Invest in employees' professional development and growth;
- Provide opportunities for all leadership staff to learn and share best practices with each other; and
- Provide opportunities for all employees to learn and share with one another, encouraging better dialogue between employees and management.

All five objectives are necessary for ensuring a workforce that meets the department's strategic objectives. As an organization dedicated to serving the interests of California consumers, having a clear Strategic Plan is fundamental to its existence. This same thought also applies to the department's approach in securing the leadership and workforce resources necessary to accomplish its objectives. It is essential to our success in meeting our mission as a Department to have this workforce and succession plan in place to meet the challenges we face in a systematic and logical manner.

While this plan attempts to address organizational continuity within the Department, it is only a starting point. The ability to meet these objectives requires a commitment on the part of leadership as well as each employee, manager, and supervisor within the Department of Consumer Affairs.

APPENDIX A

DEFINITIONS OF LEADERSHIP COMPETENCIES

Accountability

Goes the “extra mile” to ensure quality and success of his or her work in a timely manner. Accepts personal responsibility for the performance of the unit. Accepts feedback and criticism without any defensiveness. Demonstrates loyalty to the organization and employees. Holds all staff accountable for maintaining high standards of performance. Proposes challenging and measurable objectives and measures the expected performance level on a regular basis. Achieves results while abiding by policy.

Adaptability

Is persistent in attempts to accomplish goals. Demonstrates flexibility with the changing needs of the workforce. Effectively and creatively deals with change. Is aware of how changes will affect others. Implements new technology that can increase organization effectiveness.

Communication

Listens to the needs and input from employees. Expresses genuine concern and understanding during conversations. Uses appropriate body gestures (eye contact, hand movements, etc.) when communicating. Demonstrates effective presentation skills. Foresees the impact of his or her message. Communicates his or her message in a clear and concise manner.

Conflict Resolution

Is able to effectively diffuse tense situations. Listens to both sides of a disagreement and is able to settle matters to both parties' satisfaction. Takes necessary action when situations become open conflicts. Recognizes dissatisfaction among direct reports and deals with these conflicts in a timely manner. Demonstrates the ability to negotiate complex alliances. Maintains composure and professionalism while negotiating.

Cultural Sensitivity

Actively demonstrates respect for people from various cultural or ethnic backgrounds and expands his or her cultural knowledge, resources and experience. Actively seeks out different views and perspectives and views these as an opportunity for added value. Challenges employment practices that do not contribute to a workplace which values diversity. Is aware of the impact of demographic, sociological, economic and political variables.

Decisiveness

Is aware of the consequences of his or her decisions on the organization as a whole. Makes decisions in a decisive and timely manner. Asks questions which guarantee that available and relevant information will be considered before a decision will be made. Willingly shares decision-making with direct reports. Is able to tolerate ambiguity without jumping too quickly to a decision.

Development Orientation

Coaches and mentors employees, offering examples as to how the job can and should be done. Is willing to delegate important and meaningful tasks and gives direct reports appropriately challenging assignments. Shows interest in employees' needs and career plans. Recognizes the successes of individual staff members and the team. Sets an example of balancing work and personal lives.

Ethics

Displays calm and consistent behavior under pressure. Sets an example of behaving with integrity. Deals with issues in a straightforward and equitable manner. Is perceived as fair in his or her dealings with others. Exemplifies and promotes the quality of trustworthiness.

Political Acumen

Plans and executes projects that are sensitive to political realities. Is aware of the formal and informal workings of the Executive Office and policymakers. Uses his or her political skills to influence decisions affecting the unit. Willingly shares resources with other units. Is able to forge relationships with employees at all levels. Proactively maintains contacts with other people in the organization who serve as useful resources (e.g. provides information and support, networks).

Public Relations

Is instrumental in marketing the organization. Speaks positively about the organization. Encourages and assists employees to market the organization. Recognizes how policy influences the image of the organization with employees. When appropriate, adjusts policies that impact the employees' perception of the organization.

Resilience

Demonstrates a bias towards optimism. Displays energy and hardiness despite large amounts of work. Possesses qualities of hardiness and stamina. Quickly bounces back from setbacks. Views failures as opportunities to build character.

Risk-Taking & Innovation

Experiments with and champions new ideas and methods even though there is a possibility for failure. Is willing to undertake controversial ventures to support the public good. Manages the surrounding issues while taking risks. Executes innovative ventures.

Self-Awareness

Hires those who complement his or her skills and is unafraid to hire highly skilled direct reports. Demonstrates a value for learning and continuous improvement by personal example. Is aware of weaknesses and attempts to improve. Is aware of strengths and continues to develop.

Service Orientation

Anticipates customer requests and complaints. Demands employees deliver high-quality service to customers. Anticipates and gains knowledge of customer services. Communicates to the community the services provided by the organization.

Strategic Agility

Seen as a leader in market and industry knowledge. Translates concepts and ideas into strategies and action steps. Anticipates economic, political, or strategic change and takes the appropriate steps to prepare. Views the organization as a system.

Team Orientation

Consistently encourages team members to share information or train others in individual areas of expertise. Holds regular meetings where team members can share ideas and communicate problems and potential solutions. Selects the appropriate person for the role and the chemistry of the team. Empowers team members to develop skills so they can increasingly operate without routine guidance. Provides clarity about team's goals and objectives.

Vision

Is able to "paint a picture" of the successful completion of a goal and communicate that to others. Anticipates problems which are not currently evident but which eventually become visible. Forcefully pursues strategies to implement the organizational vision. Ensures all employees understand the organizational vision.