

**Department of Consumer Affairs**  
**Information Technology Capital Plan**



# Information Technology Capital Plan, Plan Year 2009-10 through 2013-14 Executive Approval Transmittal

## Department Name

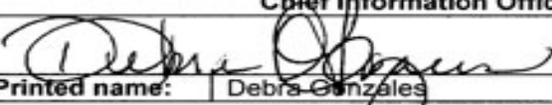
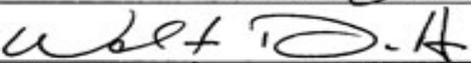
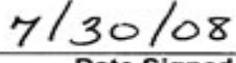
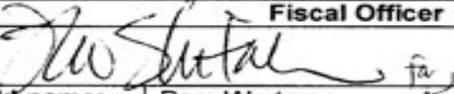
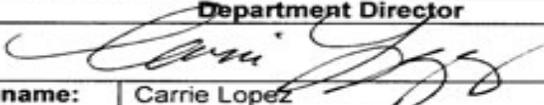
Department of Consumer Affairs

## APPROVAL SIGNATURES

I am submitting the attached Information Technology Capital Plan as required by the State Administrative Manual Section 4904.

I certify that the IT Capital Plan was prepared in accordance with State Information Management Manual section 57 and that the proposed IT projects are consistent with our business strategies and information technology strategy.

I have reviewed and agree with the information in the attached Information Technology Capital Plan.

<b>Chief Information Officer</b>		<b>Date Signed</b>
		
<b>Printed name:</b>	Debra Gonzales	
<b>Information Security Officer</b>		<b>Date Signed</b>
		
<b>Printed name:</b>	Walter Durette	
<b>Fiscal Officer</b>		<b>Date Signed</b>
		
<b>Printed name:</b>	Pam Wortman	
<b>Department Director</b>		<b>Date Signed</b>
		
<b>Printed name:</b>	Carrie Lopez	

## DEPARTMENT IT CAPITAL PLAN

**Department Name and Org Code:**

Department of Consumer Affairs (DCA) - 1110

**Plan Year:**

2009-10 through 2013-14

### 1. Summarize your organization's business goals and objectives below:

#### Goals and Objectives

The Department of Consumer Affairs (DCA) is putting forth the following goals and objectives for 2008 – 2010. As part of the ongoing planning and monitoring process, the stated goals and objectives will be re-evaluated and adjusted as necessary to meet business needs.

#### Goal 1: DCA's effective communication efforts inform, engage, and empower stakeholders.

- Objective 1.1 Continuously provide information to licensees about current industry practices, standards, and trends.
- Objective 1.2 Periodically solicit feedback from licensees concerning departmental services and professional practice issues.
- Objective 1.3 Partner with licensees to promote general consumer education and empowerment.
- Objective 1.4 Conduct successful education campaigns that promote positive consumer behavior.
- Objective 1.5 Provide opportunities for board members to learn and share best practices with each other.

#### Goal 2: California is the recognized national leader in professional licensing, regulation, and enforcement.

- Objective 2.1 Set and maintain model professional standards in licensing, regulation, and enforcement.
- Objective 2.2 Achieve voluntary compliance through education and enforcement.

#### Goal 3: DCA is "THE" employer of choice.

- Objective 3.1 Implement effective strategies to attract talented employees.
- Objective 3.2 Retain employees by enhancing the work environment and creating a culture that values employees.
- Objective 3.3 Invest in employees' professional development and growth in order to ensure a workforce that meets the Department's strategic objectives.
- Objective 3.4 Provide opportunities for all leadership staff members to learn and share best practices with each other.
- Objective 3.5 Provide opportunities for all employees to learn and share with one another, encouraging better dialogue between employees and management.

#### Goal 4: DCA's licensing entities help California meet its professional workforce needs.

- Objective 4.1 Identify current and future professional workforce trends and develop strategies to address the needs.

## **DCA Goals and Objectives continued**

Objective 4.2 Promote public interest in entering DCA's various licensed professions; encourage licensees to act as ambassadors for those seeking to enter their chosen profession.

Goal 5: DCA is regarded as an effective and innovative model of State government.

Objective 5.1 Provide excellent customer service to internal and external stakeholders.

Objective 5.2 Ensure that internal work processes are well-designed, appropriate, efficient, and sustainable.

Objective 5.3 Strive to be on the leading edge of technological advancement to better serve internal and external stakeholders.

### **2. What are your organization's plans to upgrade or replace your IT infrastructure for the following? When responding, please indicate the timeframes of your intended upgrade or replacement efforts.**

#### **2.1. Hardware**

The Office of Information Services (OIS) is planning a three year replacement cycle for all desktop devices throughout the DCA. Implementation date TBD.

#### **2.2. Software**

The current practice is to evaluate and replace desktop tools as new versions become available and stable, dependent on budget constraints.

#### **2.3. Network**

All OIS-supported clients will move from Novell to MS Active Directory by the end of 2009.

### **3. Existing Approved Reportable IT Projects**

**Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page:**

- Existing IT Project;
- Approved Project Cost;
- Project Number; and
- Implementation Date

### **4. Proposed IT Projects**

**After each proposed IT project has been documented by answering questions 0 through 4.15 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:**

- The name of each proposed IT project;
- The priority ranking;
- The FSR submission date; and
- The estimated cost

**Table 1-Existing Approved Reportable IT Projects Summary by Department**

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
NGET	\$44,517,051	1110-104	June 2006
iLicensing	\$14,763,862	1110-107	January 2010

**\*Note:** If a Special Project Report (SPR) was submitted for review in July 2008 that includes project costs that differ from the last approved project document, enter both the last approved project cost and the revised project cost from the SPR under review.

**Table 2-Proposed IT Project Summary**

Proposed IT Project	Priority Ranking	FSR Submission Date	Estimated Total Cost
BAR 2010 EIS (Emissions Inspection System)	1	July 2008	\$14,351,425
Medical Board Complaint Resolution Information Management System (CRIMS)	2	July 2008	\$4,534,400
DCA Electronic Document Management System	3	July 2009	TBD

## **PROPOSED IT PROJECTS**

**Complete this IT Project Proposal Form for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:**

**4.1. Proposal name and priority ranking:**

BAR-2010 EIS (Emissions Inspection System) Priority 1

**4.2. Description of the proposed IT project:**

The BAR is charged with evaluating the Smog Check Program (H&S Code Sections 39003 and 44021), investigating new technologies (H&S Code Section 44024), and prescribing and quantifying emission standards (H&S Code Sections 44013 and 44081.6). The emission inspection system (EIS) equipment and software for the State's Smog Check Program is more than 10 years old. BAR, with assistance from one or more vendors, proposes to design and develop a highly modular BAR-2010 EIS using the latest advanced technology to replace the obsolete and deteriorating BAR-97 EIS. BAR plans to replace the existing BAR-97 EIS and most of the peripherals with a new BAR-2010 EIS and upgraded peripherals.

**4.3. Which of your department's business goals and objectives does this project support, and how?**

Goal 5: DCA is regarded as an effective and innovative model of State government.

- |               |   |
|---------------|---|
| Objective 5.1 | Provide excellent customer service to internal and external stakeholders.   |
| Objective 5.2 | Ensure that internal work processes are well-designed, appropriate, efficient, and sustainable.                   |
| Objective 5.3 | Strive to be on the leading edge of technological advancement to better serve internal and external stakeholders. |

Note: Please see 4.2 for how this project supports these goals and objectives.

**4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?**

- Improve Analyzer Reliability
- Reduce High Operating Cost
- Improve EIS Analyzer Flexibility
- Improve Outdated Security
- Replace Obsolete Communication Protocol with Internet-Based Protocol

**PROPOSED IT PROJECTS CONTINUED** - BAR-2010 EIS

4.5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

4.6. Is the proposal consistent with your organization's Enterprise Architecture?

- Yes
- No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

4.7. Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?

- Yes
- No

4.8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?

07/2008

4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved?

07/2008

4.10. What is the duration of the proposed project?

08/2008 to 05/2012

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

4.12. Is the proposal related to another proposal or to an existing project?

- Yes
- No

If yes, describe the related proposal or project and how it is related:

**PROPOSED IT PROJECTS CONTINUED - BAR-2010 EIS**

**4.13. Describe the consequences of not doing this proposed project at the planned timeframe:**

Equipment deterioration and obsolete technology are affecting the current BAR-97 EIS analyzer reliability. Component failure impacts the Smog Check station's ability to perform Smog Check inspections. The BAR-97 EIS analyzers designed in 1997 are running on deteriorating computers containing obsolete technology. In 1997, the Pentium 90, 8 megabyte memory, and 1.6 gigabyte hard drive computers were state-of-the-art; however, they are no longer available. In many cases, equipment manufacturers must install used replacement parts to keep the computers running. In addition, the obsolete operating systems (Microsoft Disk Operating System (DOS), IBM Operating System (OS/2), and Microsoft Windows 95 (WIN95)) will not accommodate current software updates. In conjunction with the operating system, BAR cannot install hardware upgrades based on off-the-shelf technologies because most require Universal Serial Bus (USB) receptacles that do not exist on the older computers.

Equipment manufacturers have stated that in a few years they will no longer be able to repair the BAR-97 equipment due to component part obsolescence and that the BAR-97 EIS analyzers will progressively deteriorate requiring a major overhaul.

**4.14. Check the appropriate box(es) to identify the proposal's funding strategy:**

- Augmentation needed
- Redirection of existing funds
- Other (describe):

**4.15. What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):**

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>						
<b>Federal Fund</b>						
<b>Special Fund*</b>	\$3,957,761	\$4,811,135	\$875,252	\$1,163,216		\$10,807,364
<b>Total</b>	\$3,957,761	\$4,811,135	\$875,252	\$1,163,216		\$10,807,364

\*Bureau of Automotive Repair Fund. The Bureau of Automotive Repair is the sole fund user.

## **PROPOSED IT PROJECTS**

**Complete this IT Project Proposal Form for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:**

### **4.1 Proposal name and priority ranking:**

Medical Board Complaint Resolution Information Management System (CRIMS)  
Priority 2

### **4.2 Description of the proposed IT project:**

The CRIMS will enable the California Medical Board (Board) to protect health care consumers more effectively by reducing the time it takes to respond to consumer complaints against Physicians, Surgeons, and Allied Health Professionals that the Board licenses and regulates.

The Board currently uses the Consumer Affairs System (CAS), which no longer meets its unique need. CAS lacks workflow functionality which would allow the Board to more efficiently and effectively address complaints via automated assignment, tracking and escalation. Additionally, CAS has no public interface, so consumers are unable to utilize the Internet to file or track complaints. Finally, CAS is unable to store electronic images, which forces reliance on hardcopy files and effectively separates case data.

CRIMS will provide rules-based workflow, electronic document storage, and a public interface, which will greatly enhance the Board 's ability to respond to consumer complaints.

### **4.3 Which of your department's business goals and objectives does this project support, and how?**

Goal 5: DCA is regarded as an effective and innovative model of State government.

- |               |   |
|---------------|---|
| Objective 5.1 | Provide excellent customer service to internal and external stakeholders.   |
| Objective 5.2 | Ensure that internal work processes are well-designed, appropriate, efficient, and sustainable.                   |
| Objective 5.3 | Strive to be on the leading edge of technological advancement to better serve internal and external stakeholders. |

Note: Please see 4.2 for how this project supports these goals and objectives.

**PROPOSED IT PROJECTS CONTINUED - CRIMS**

**4.4 What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?**

When the new system CRIMS is implemented, the Board's Enforcement Program will realize the following benefits:

- Faster resolution of consumer complaints while still providing consistent resolutions and timely notifications
- Efficient processing of complaints by enabling Enforcement Analysts and Investigators to focus on actionable complaints
- Consistent Program-wide use of current Enforcement processes
- Reliable, accessible, automated, complaint information

**4.5 The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:**

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

**4.6 Is the proposal consistent with your organization's Enterprise Architecture?**

- Yes
- No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

**4.7 Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?**

- Yes
- No

**4.8 If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?**

07/2008

**4.9 What is the estimated project start date (mm/yyyy) if the FSR is approved?**

08/2009

**PROPOSED IT PROJECTS CONTINUED - CRIMS**

**4.10 What is the duration of the proposed project?**

08/2009 to 07/2012

**4.11 Will the proposed project utilize the existing infrastructure?**

Yes

No

**If no, please explain.**

**4.12 Is the proposal related to another proposal or to an existing project?**

Yes

No

**If yes, describe the related proposal or project and how it is related:**

**4.13 Describe the consequences of not doing this proposed project at the planned timeframe:**

The Board is the only entity in the state authorized to revoke, suspend, or restrict the license of a California physician in order to protect “the public at large, *i.e.*, all consumers of medical services in California.” The Legislature, the Board and the Public have identified that faster complaint resolution is mandatory and the Board has taken several steps to improve it. Please see the Report to the Legislature, Vertical Enforcement, November 2007, on the Board’s Web site. (This report addresses the provisions of SB 231 (Figueroa, ch. 674, Statutes of 2005) that require the Board, in consultation with the Departments of Justice, Consumer Affairs, Finance and Personnel Administration, to make recommendations to the Governor and Legislature on the vertical prosecution pilot. (Gov. Code, 2529.6) This landmark piece of legislation contained a number of legal and practical improvements to the Board’s enforcement program, following a two-year study by the Board’s Enforcement Monitor). As a note: the Board can only perform 31 of the 141 required Enforcement processing functions using the current system.

Furthermore, the Board’s interactions with other enforcement on-line will become more difficult to attain as treatment trends change and surface in the competitive, mostly automated, health care systems serving California consumers.

The Board needs to examine individual and aggregate complaints. Currently this is difficult and sometimes impossible to obtain essential management and case information. Without the new system, the Enforcement Program lacks the ability to define relationships that should group complaints and aggregate complaint information. This functionality is necessary to identify potentially identical complaints, consolidate complaints for consideration in a single administrative action, identify all complaints that might establish a pattern of violations sufficient to support an administrative action, and, in general, easily obtain information to expedite complaint processing, recognize violation trends, and respond to information requests.

**PROPOSED IT PROJECTS CONTINUED – CRIMS**

**4.14 Check the appropriate box(es) to identify the proposal's funding strategy:**

- Augmentation needed
- Redirection of existing funds
- Other (describe):

**4.15 What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):**

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>						
<b>Federal Fund</b>						
<b>Special Fund*</b>	\$357,000	\$547,000	\$2,622,000	\$1,008,400		\$4,534,400
<b>Total</b>	\$357,000	\$547,000	\$2,622,000	\$1,008,400		\$4,534,400

\* Medical Board of California Fund. The Medical Board is the sole fund user.

## **PROPOSED IT PROJECTS**

**Complete this IT Project Proposal Form for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:**

### **4.1 Proposal name and priority ranking:**

DCA Electronic Document Management System (EDMS) Priority 3

### **4.2 Description of the proposed IT project:**

Currently, the DCA operates a Records Management Unit within the Office of Administrative Services. The unit stores licensee documents/files for a limited number of the Department's Boards and Bureaus. Each file is electronically scanned and is accessible to staff from their workstation. Electronic copies can be quickly retrieved and routed to the appropriate DCA staff. This is not an enterprise operation and has limited Electronic Document Management System (EDMS) functionality.

The benefits of an EDMS system:

- **Instant Access:** The EDMS solution will allow the DCA to locate and retrieve any document within seconds even when there are millions of documents in the EDMS.
- **Simultaneous access:** Multiple people can access and view the same document at the same time no matter where they may be located.
- **Check-In / Check-Out:** When a user wants to edit a document, that document is checked out which ensures that other users cannot also edit it until it has been checked back into the EDMS.
- **Revision Management:** When a user changes a document and checks it back in, the original document is not overwritten. Instead, a new revision is created. This maintains the integrity of the original document.
- **Audit Trail:** Tracks and records every action taken within the EDMS such as who edited which document and when, or who deleted a document, etc.
- **Access Control:** A good EDMS will provide security features to restrict access to sensitive documents in a variety of ways such as document type, user, group, security level, and other criteria.
- **Reduce Photocopying:** Studies have consistently shown that organizations lose much productivity because users resort to photocopying files to store them locally. This wastes time, resources and photocopying supplies.
- **Eliminate "Multiple Original Syndrome":** When several users keep their own local copies of a document, they tend to write notes and make changes on their local copy. This results in there being multiple "living" copies of the same document which makes it very difficult to get all the information about a certain document or file.
- **Reduce Physical Storage:** Once information has been scanned or otherwise captured into the EDMS, the filing cabinets and storage boxes can be significantly reduced or eliminated. This frees up floor space for more productive use. Similarly, external warehouse storage facilities may also no longer remain necessary.

## **PROPOSED IT PROJECTS CONTINUED – EDMS**

- Retention & Disposition Controls: The DCA will implement rules for determining how long certain documents should stay within the EDMS and how and when to dispose of them.
- Privacy & Regulatory Compliance: Advanced EDMS solutions offer several important features that will assist the DCA in complying with new privacy and regulatory compliance laws.

The proposed EDMS will be an enterprise-wide system that will support the DCA's entire range of records management functionality. It will follow document management industry guidelines, Information Security Office (ISO) and American National Standard Index (ANSI)/Association for Information and Image Management (AIIM), workflow industry standards (WFMC), document imaging industry standards (ISO and ANSI/AIIM), and storage and archival standards.

### **4.3 Which of your department's business goals and objectives does this project support, and how?**

Goal 5: DCA is regarded as an effective and innovative model of State government.

- Objective 5.1 Provide excellent customer service to internal and external stakeholders.
- Objective 5.2 Ensure that internal work processes are well-designed, appropriate, efficient, and sustainable.
- Objective 5.3 Strive to be on the leading edge of technological advancement to better serve internal and external stakeholders.

Note: Please see 4.2 for how this project supports these goals and objectives.

### **4.4 What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?**

- Improve Document Management
- Reduce Paper Document Storage Costs
- Improve Document Retention and Access
- Improve Document Security
- Replace Existing Imaging Systems with Newer Management Technology

### **4.5 The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:**

- Supporting and enhancing services for Californians and businesses**
- Enhancing information and IT security**
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)**
- Improving the reliability and performance of IT infrastructure**
- Enhancing human capital management**
- Supporting state and agency priorities and business direction**

**PROPOSED IT PROJECTS CONTINUED – EDMS**

- 4.6 Is the proposal consistent with your organization's Enterprise Architecture?**  
 Yes  
 No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

- 4.7 Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?**  
 Yes  
 No

- 4.8 If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?**

07/2009

- 4.9 What is the estimated project start date (mm/yyyy) if the FSR is approved?**

08/2009

- 4.10 What is the duration of the proposed project?**

TBD

- 4.11 Will the proposed project utilize the existing infrastructure?**  
 Yes  
 No

If no, please explain.

- 4.12 Is the proposal related to another proposal or to an existing project?**  
 Yes  
 No

If yes, describe the related proposal or project and how it is related:

- 4.13 Describe the consequences of not doing this proposed project at the planned timeframe:**

The DCA will continue to be challenged with the storage and management of paper documents associated with the business processes of professional licensing. The paper files will continue to be at risk of accidental damage or destruction and natural disasters. The DCA will not have the ability to electronically share/work with records and record storage space needs will continue to grow, resulting in increased physical space requirements.

**PROPOSED IT PROJECTS CONTINUED – EDMS**

**4.14 Check the appropriate box(es) to identify the proposal's funding strategy:**

- Augmentation needed**
- Redirection of existing funds**
- Other (describe):**

**4.15 What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):**

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>						
<b>Federal Fund</b>						
<b>Special Fund*</b>	TBD					
<b>Total</b>						

\* Various Special Funds

**Enterprise Architecture**

**A.1. Does your organization have documented Enterprise Architecture principles, strategies, or standards to guide decisions on technology projects?**

- Yes
- No

The DCA is currently participating in an Agency-wide Enterprise Architecture (EA) Committee. The DCA will use the agencies EA to create and implement an EA model for the DCA.

**A.2. Indicate on Table A-1 below, the completion status of the component Reference Models of your formal Enterprise Architecture efforts. If available, please submit a copy of your Enterprise Architecture document.**

**Table A-1, Enterprise Architecture Completion Status**

Component Reference Model	Status			
	Implemented	Implementation in Progress	Planned or Planning in Progress	Not Implemented and Not Planned
Business			X	
Service			X	
Technical			X	
Data			X	

**A.3. Describe the governance structure your organization uses to review and approve the Enterprise Architecture and any subsequent changes.**

The DCA is currently developing an IT Governance Framework which will include an IT Governance Council that will direct the IT related activities of the department in alliance with the business needs. This council will be made up of Executive level staff of the DCA. The DCA expects to have the framework in place by the end of the 2008/2009 FY.

**A.4. Does your organization have an Enterprise Architect? (if yes, provide their name, telephone number, and e-mail address below)**

- Yes
- No

Not at this time, however the Section Manager assigned to the agency-wide effort is listed below.

**Name:** Randy Hawkinson  
**Classification:** System Software Specialist III (Supervisor)  
**Telephone Number:** (916) 574-8010  
**E-Mail:** Randy\_Hawkinson@dca.ca.gov

## Information Security

### B.1. How is your Information Security Officer involved in proposed project development efforts?

Feasibility Study Reports for new projects are routed through the ISO for review and approval and the ISO is a member of all IT project Executive Steering Committees.

### B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets?

- Acceptable Use of Information Technology Systems
- Disposal of Confidential Information
- Firewall Configuration Requirements
- Information Security Incident Reporting
- Mass Electronic Mailings
- Password Standards
- Portable Computing Device Security
- Server Security Standards

### B.3. If data within your department is shared with external entities, does your department implement data exchange agreements with these entities?

Yes

No

If no, please explain.

Yes when the DCA is sharing sensitive data with other governmental organizations. No when the DCA provides public information to external entities via the Public Records Act (Gov. Code §§ 6250-6276.48).

Not applicable

### B.4. How does your department ensure that software developers and programmers follow standards and best practices for Web, application, and system development?

The DCA has documented development standards that all developers and programmers must follow.

### B.5. Does your organization have an Information Security Officer? (if yes, provide their name, telephone number, and e-mail address below)

Yes

No

**Name:** Walter Durette

**Classification:** Data Processing Manager III

**Telephone Number:** (916) 574-8270

**E-Mail:** Walter\_Durette@dca.ca.gov

**Workforce Development, Workforce Planning and Succession Planning**

**C.1. Does your organization have a workforce development plan for IT staff?**

- Yes**
- No**

**If yes, briefly describe it.**

See Attachment 1

**C.2. Check the appropriate box(es) to identify which workforce development tools, if any, your organization is using for IT classifications:**

- Training**
- Upward Mobility**
- Mentoring**
- Career Assessments**
- Knowledge transfer program**
- Performance Evaluations**
- Other (please list)**

**C.3. Does your organization have a workforce plan for IT staff (i.e., for Rank and File)?**

- Yes**
- No**

**If yes, briefly describe it.**

See Attachment 1

**C.4. Does your organization have a succession plan for IT staff (i.e., for Management)?**

- Yes**
- No**

**If yes, briefly describe it.**

See Attachment 1

**C.5. IT Staffing**

**Provide the following information in table C-1 on the following page:**

- **The name of each IT classification currently in the organization.**
- **The number of staff in each IT classification in the organization.**
- **The number of staff in each IT classification eligible to retire in the next five years.**
- **The percentage of each IT classification eligible to retire in the next five years.**

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Software System Specialist (SSS) III (Tech)	1	1	Data Processing Manager (DPM) III	5	2
SSS II (Tech)	5	3	DPM II	2	
SSS I (Tech)	4	2	DPM I	1	1
Senior Information System Analyst (ISA) (Spec)	4	3	SSS III (Sup)	2	2
Staff ISA (Spec)	23	7	Senior ISA (Sup)	6	4
Associate ISA (Spec)	34	10	Staff ISA (Sup)	5	3
Assistant ISA	21	7	Associate ISA (Sup)	2	1
Senior Programmer Analyst (PA) (Spec)	3	1	Senior PA (Sup)	2	2
Staff PA (Spec)	17	7	Staff PA (Sup)	1	0
Associate Programmer Analyst (Spec)	21	6	Information System Technician (Sup)	1	1
Programmer II	5	3			
Information System Technician I (Spec)	1	1			
Information System Technician	2	1			

**Project Management, Portfolio Management and IT Governance****D.1. Does your organization have a process for improving the alignment of business and technology?**

- Yes**  
 **No**

**If yes, briefly describe it.**

The DCA's Chief Information Officer participates in organizational strategic planning and Board and Bureau Leadership meetings. Additionally, the OIS management team meets quarterly with the DCA client staff to share and gather information.

**D.2. What is the status of implementing a formal portfolio management methodology for technology projects within your organization?**

- Implemented (Please describe)**  
 **Implementation in progress (Please describe)**

DCA has begun the process of implementing a framework for IT Governance. It is anticipated to be completed by June 30, 2009.

- Planned or planning in progress**  
 **Not implemented and not planned**

**D.3. List any automated tools being used for portfolio management. Enter "None" if no automated tools are being used.**

None currently.

**D.4. What is the status of implementing a standard project management methodology for technology projects in your organization?**

- Implemented (Please describe)**

DCA uses the standard PIMBOK Methodology and MS Project for project management.

- Implementation in progress (Please describe)**  
 **Planned or planning in progress**  
 **Not implemented and not planned**

## Project Management, Portfolio Management and IT Governance

**D.5. Does the organization require its project managers to be certified, either through a professional organization (e.g., PMI, ITIL) and/or through completion of specified project management coursework:**

- Yes**
- PMI**
  - ITIL**
  - Agency-specified project management coursework (identify below)**
- No**

All contract project managers are required to be PMI Certified. Several OIS staff went through an in-house PMI certified training class and two of them are now certified Project Mangers.

**D.6. Select from the list other areas of training your organization requires of its project managers:**

- Fundamental Project Management**
- Systems Development Life Cycle**
- Scheduling tool (identify below)**
  - Microsoft Project Work Breakdown Structure
  - 
  -
- Project Performance Management (e.g., Earned Value Management)**
- Business Process Analysis**
- Requirements Traceability**
- Procurement/Contracts Management**
- Other (identify below)**
  - 
  - 
  -
- None**

**D.7. Describe project-level governance practices, including change management, issue resolution, and problem escalation.**

Project managers provide monthly updates to the project Steering Committee including change management, issue resolution and problem escalation.

**D.8. Does the project management methodology include processes for documenting lessons-learned and applying these to future projects?**

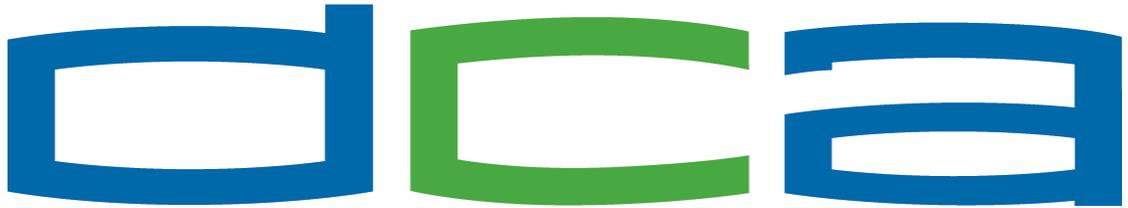
- Yes (Please describe)**

The final step of the implementation phase of a project is the completion of a lessons learned document.

- No**

Attachment 1

**S T A T E O F C A L I F O R N I A**



**DEPARTMENT OF CONSUMER AFFAIRS**

---

# **WORKFORCE AND SUCCESSION PLAN**

---

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

PREPARED BY: CINDY KANEMOTO, CHIEF  
STRATEGIC ORGANIZATION, LEADERSHIP  
AND INDIVIDUAL DEVELOPMENT  
JUNE 2008

# 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.”<sup>1</sup>

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’s (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.

---

<sup>1</sup> 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.

## CURRENT SITUATION

The Department 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 and the private sector. 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 this 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%
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%

Classification	Total Number of Employees in Classification	Employees Potentially Retiring	Percentage of Classification
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
SUP PROG TECH III	5	3	60
SYS SFTW SP III/S	2	2	100
<b>Total (All Classifications)</b>	<b>327</b>	<b>203</b>	<b>62%</b>

**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%

Classification	Total Number of Employees in Classification	Employees Potentially Retiring	Percentage of Classification
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 SVRS 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%
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%

Classification	Total Number of Employees in Classification	Employees Potentially Retiring	Percentage of Classification
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%
<b>Total (All Classifications)</b>	<b>1265</b>	<b>507</b>	<b>40%</b>

### MISSION-CRITICAL CLASSIFICATIONS

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

- Assistant Executive Officer
- CEA
- Enforcement Supervisor I/II
- Executive Officer
- Program Manager I, II
- Staff Services Manager I, II, II
- Supervising Air Quality Engineer
- Supervising Cosmetology Examiner
- Supervising Inspector Board of Pharmacy
- Supervising Nursing Education Consultant
- Supervising Program Technician III

- Systems Software Specialist III/Supervisory
- Consumer Services Representative
- Cosmetology Examiner I/II
- Inspector Board of Pharmacy
- Medical Consultant, Enforcement
- Medical Consultant, Licensing
- Nursing Education Consultant
- Program Representative I, II, III
- Systems Software Specialist I, II, III
- Test Validation Specialist II

The strategies described below will assist with preparing staff to assume these leadership and staff roles.

### **COMMITMENT TO THE FUTURE**

In order for the department to carry on its mission into the future with the strength of continuity, we have to change the culture towards one of developing and nurturing our employees' skills, including strong leadership skills.

Fortunately, there are a number of proactive steps the department can take 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 develop a culture of continually developing organizational competence through the development of 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.

# DEPARTMENT WORKFORCE AND SUCCESSION PLAN

**Goal: Promote core leadership competencies.**

## Strategy

The Strategic Plan recognizes employees as the most valuable asset to accomplish the work of ensuring a standard of professionalism in key industries and promoting informed consumer practices. To maintain workforce and leadership continuity within the Department, a plan to develop employees to serve as managers and leaders has been developed. This plan builds the pipeline to the future.

The basis of the plan is to begin developing employees at entry-level positions and continue this pattern of development throughout their careers. Beginning with the end in mind, learning opportunities revolve around 17 competencies identified by the Centre for Organization Effectiveness as essential for successful leadership in the public sector. (The definitions of these competencies are attached to this plan). These competencies will be the cornerstone of DCA's training and employee development programs.

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

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.

**Goal: Provide traditional training and development opportunities to enable employees to acquire the competencies necessary to fill leadership positions.**

## **Strategy**

The following learning opportunities are either in the planning stages or currently provided. These learning opportunities will provide the building blocks to successful leadership development:

- **Lead Person Training** – will provide employees in lead positions with clarification of the role of the lead person and delineate responsibilities of lead persons and supervisors.
- **Supervision the Prequel and Peer Today/Boss Tomorrow** – will introduce the work of supervision to employees who are exploring this for their career path and help them make an informed career decision. Identifies the challenges and benefits of supervision and the competencies needed to become an effective supervisor.
- **Basic Supervision 409 A and B** - this 80 hour course is required for newly appointed supervisors. This course is currently provided through CPS Human Resource Services or CSUS Continuing Education. The course curriculum is designed to incorporate leadership competencies during the first 40 hours of instruction.
- **Leadership Development Series** – a selection of course modules available to all employees with the approval of their supervisors. Modules will focus on one or more of the 17 competencies. They will be designed to be delivered statewide on demand and will include, but be not limited to:
  - **Time/Stress Management**
  - **Customer Service**
  - **Interpersonal Problem Solving**
  - **Communication Courses**
  - **Managing Multiple Projects**
  - **Facilitation Skills**
  - **Effective Meetings**

- **Presentation Skills**
  - **Ethics**
  - **Conflict Resolution**
  - **Analytical Series**
  - **Diversity in the Workplace**
  - **Various computer skills courses**
- **Management Academy** – the plan is to hold an Academy annually to enhance the knowledge and skills of highly-qualified selected candidates to further increase their self-awareness and development of the 17 leadership competencies.
  - **Leadership Forums** - conducted bi-monthly, these meetings will expand upon the competencies explored during the Academy, and increase the management and leadership networking within the department.
  - **Manager Roundtable Meetings** – conducted quarterly, these meetings provide networking and leadership development opportunities.
  - **Resource Library** - this library, located within the SOLID office, contains a variety of leadership and management development books and videos department employees may borrow.

**Goal: Managers and supervisors will encourage employees to explore non-traditional training and development opportunities.**

### **Strategy**

Department leadership recognizes that there are alternative methods for obtaining necessary job skills and organizational continuity. The following alternatives should be explored with employees in order to accomplish future leadership development and to meet approved employee career development goals.

- **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.

- **Training and Development Assignments - (T&D)** assignments allow the temporary loan or assignment of employees within or between units or programs for periods not to exceed two years, for the purposes of training. The assignment must be made with the proper approvals.

T&D assignments are used for three primary purposes:

- a) To broaden the work experience of employees with the intent of increasing their skills and abilities in the performance of their present occupation.
  - b) To broaden the work experience of an employee through exposure to other occupational areas with the intent to prepare for a career in a different occupational field.
  - c) To broaden the work experience of an employee through exposure to other occupational areas to enhance opportunities for upward mobility.
- **Job Shadowing** – involves an employee working closely with another employee for an agreed period of time in order to learn how duties of a specific job are performed in a different (but often similar) working environment.

Job shadowing is most effective when it is:

- Used as part of a longer-term professional development plan.
- Focused to develop specific skills or competencies for the participant.

Job shadowing can be used to broaden a skill base and assist with career development by having the participant observe, ask questions and take part in planned hands-on activities. Skills developed can be related to professional practice or general business development and include areas such as customer service, finance and/or management.

- **Mentoring** - mentoring is a professional relationship in which an experienced employee (“mentor”) assists another (“mentored”) employee in developing specific skills and knowledge to enhance the mentored employee’s professional and personal growth. Mentoring can be either a formal assignment agreed to in writing or informal with the approval of both employees’ supervisors. The objective should be to develop the employee’s skill base to meet an organizational need.

**Goal: Expand the Department's recruitment and retention efforts.**

### **Strategy**

The following recommendations may require additional resources to fully implement.

- Develop and implement a recruitment program with active participation of the boards, bureaus, commissions, offices, and programs.
- Evaluate the resources and potentially augment staff to evaluate and update department-specific classification specifications and meet the demand for more frequent exams, keep up with new technology, and offer innovative and alternative testing methods (e.g. online exams, continuous testing, etc.).
- Implement a structured and centralized exit interview process, as well as a new employee survey process.
- Incorporate the leadership competencies into the recruitment and performance review process.
- Develop additional achievement awards and recognition "tools" to enhance and promote employee morale and job satisfaction, including incentives to move into leadership positions.

## **HOW TO GET STARTED**

**Goal: Provide employees, managers and supervisors with an employee development toolkit.**

### **Strategy**

An employee, manager, and supervisor toolkit will be developed by SOLID. Once developed, the toolkit will be placed on the department Intranet site and accessible to all employees. The toolkit will contain information on the hiring process, career development, including steps to prepare an Individual Development Plan (IDP); and both traditional and non-traditional training and development opportunities. Employees and supervisors will be able to obtain necessary forms to complete the employee development process.

**Goal: Encourage employee career development toward core competencies through the use of Individual Development Plans (IDP).**

### **Strategy**

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 is a tool that both employees and supervisors should use to accomplish this purpose. 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 shadowing, 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.

## 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 in order to ensure 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 forethought also applies to the department's approach in securing the leadership and workforce resources necessary to accomplish its objectives.

Accordingly, it is essential to our success in meeting our mission as a Department to have this workforce and succession plan in place in order to deal with 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. It also requires an investment in time and resources that is not only necessary, but vital to our success as an organization that values the legacy of consumer protection and professional regulation.

## **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.