

**WORKFORCE STRUCTURE
REVIEW
JUNE 4, 2013**



Outline of presentation

- Background and context of review
- Review analysis and findings
 - ❖ Comparative Studies
 - ❖ Relevant Concepts
 - ❖ Sonoma Data
- Conclusions
- Recommendations

Objectives

- Better understand the workforce, how its organized and why
- *Seek opportunities that are strategic and will move the organization towards the goal of being a high performing organization (HPO)*
 - ❖ Better understand organizational opportunities
 - ❖ Employee engagement and development opportunities
- Develop recommendations that will result in positive steps to a HPO

What is High Performance?

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The simultaneous delivery of



Source: Commonwealth Center for High Performance Organizations, Inc.

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Trends Impacting Workforce

- Various trends have impacted the make-up of the County's workforce over the last decade including:
- Technology
 - ❖ Email, internet ,software systems and programs, document management systems
- Work process improvements
- Changed service delivery models
- Department consolidations

Internal Effort

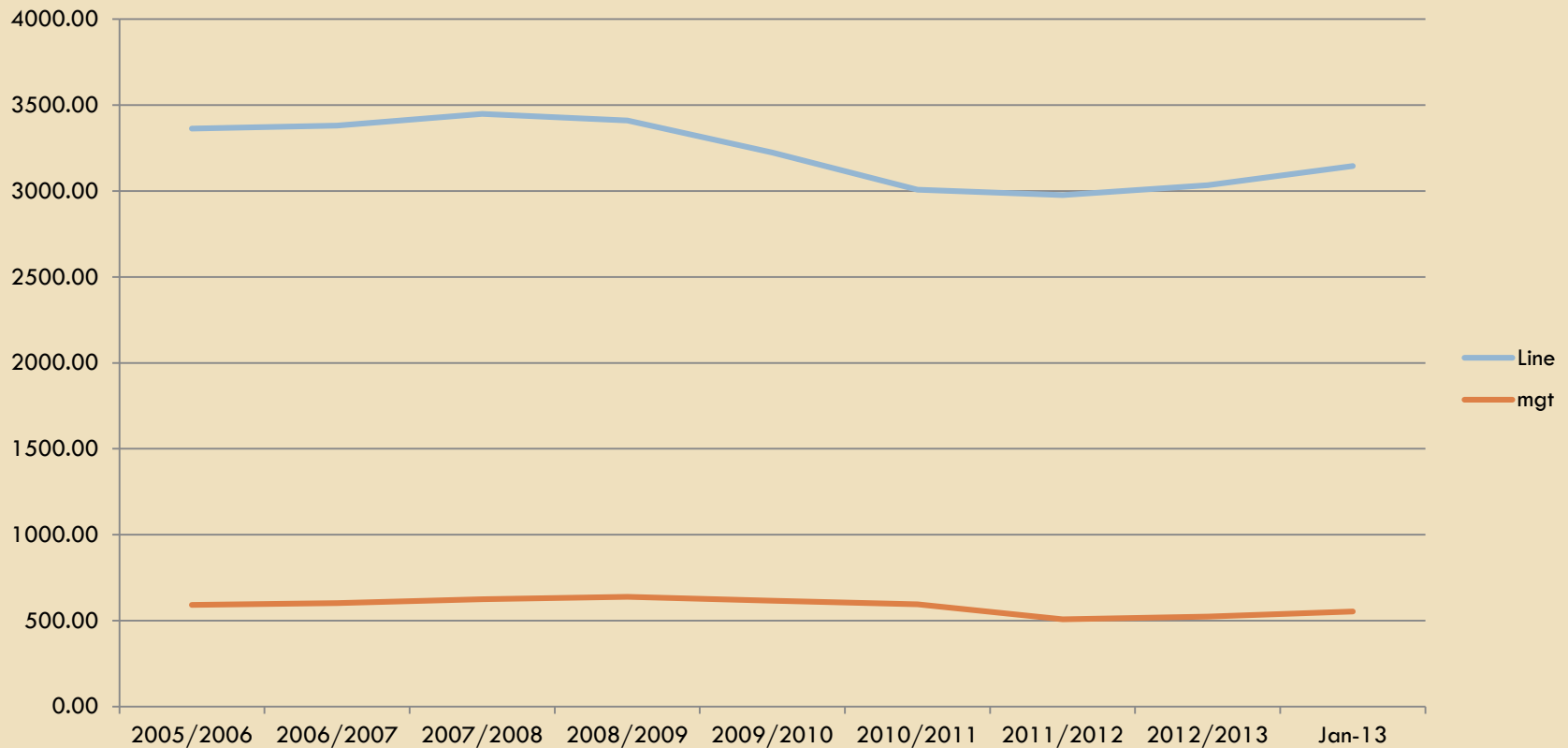
□ Department Head Committee:

- ❖ Represented a diverse group of departments, services and service delivery models
- ❖ Scoped workforce analysis and objectives
- ❖ Some became pilots and agreed to study their own department workforce in greater detail
- ❖ Provided forum for discussion of other comparative studies, best practices, models adopted by other entities, etc.

County Workforce Trends

□ Net FTE Changes Since FY 05/06

❖ Management -38; Non-Management -220



Sonoma County System – Broad Definition of Management

- What determines “management” classification
 - ❖ Employee Relations Policy
 - Defines management as an employee having responsibility for formulating, administering or managing implementation of policies or programs
 - Requires that classifications be designated to units according to having a “community of interest”
- Approximately 200 classifications in Salary Resolution or Represented Management Units
 - ❖ Units 50 52, DSLEM/ BU 43 and SCLEMA / BU 44

Broad Definition of Management

- Classifications include
 - Department Heads
 - Professional & Technical
 - Analysts
 - Managers
 - Administrative Professionals
- Common in other agencies to have more distinction between management classifications
- Fair Labor Standards Act definitions are used to determine whether a classification is exempt from overtime

Other Workforce Studies

- Limited number of studies found to exist; some include:
 - ❖ San Mateo, 2010-2011
 - ❖ State of Oregon, 2011 to present
 - ❖ State of Iowa, 2009 to present
 - ❖ State of Texas, 2006 to present
 - ❖ Kansas City, 2002
 - ❖ Federal Govt, 1998 National Performance Review Initiative

Information Gleaned from Studies

- Inherent challenge in comparing organizations
 - ❖ Comparison to Federal, State, or City government difficult
 - ❖ Services differ by government type, by geography, and many other factors
 - ❖ Comparable data not easily accessible
- California Counties differ in the services they provide and the way they provide them
 - ❖ Optimal staffing varies based on services provided and delivery model
 - ❖ Most meaningful comparison at a micro level – division / department, etc.

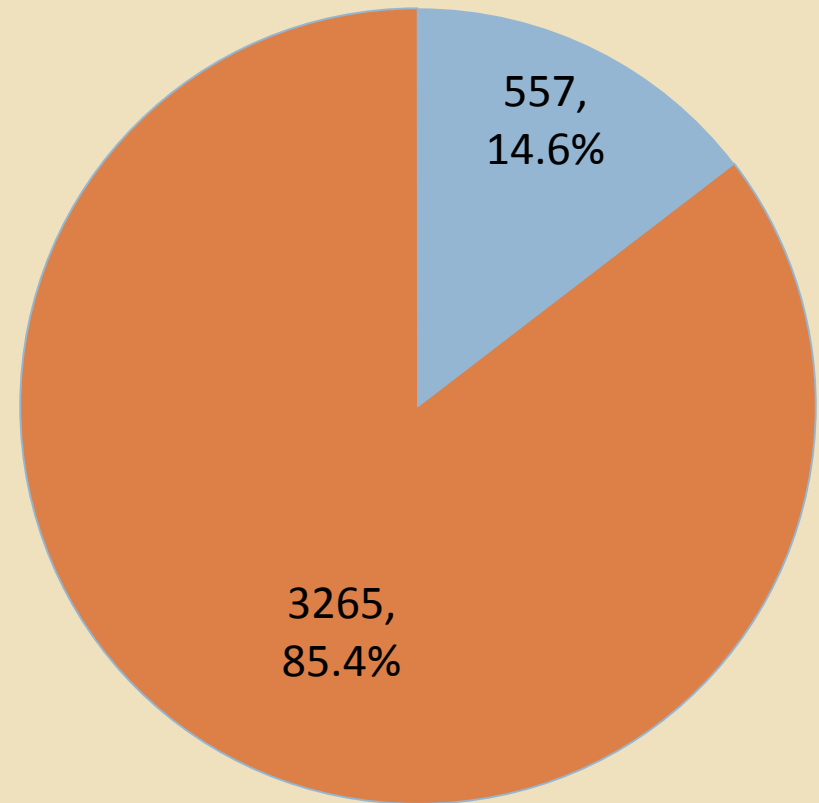
Comparison with San Mateo

- San Mateo reported percentage of management
 - ❖ Adjustment for hospital staffing (high non-management to management percentage) changes percentage
 - ❖ Not all Counties include same classifications in management

County	% Managers	% Less Hospital Staff
Alameda	26%	
Marin	22%	
Contra Costa	15%	
Sonoma	15%	15%
Santa Clara	11%	
San Mateo	9%	11%

Sonoma County Management %

- Unadjusted data
- Includes all management employees in BU 52, 50, 44, 43
- Non-Management 85.4%
- Management 14.6%
- Ratio 5.9:1



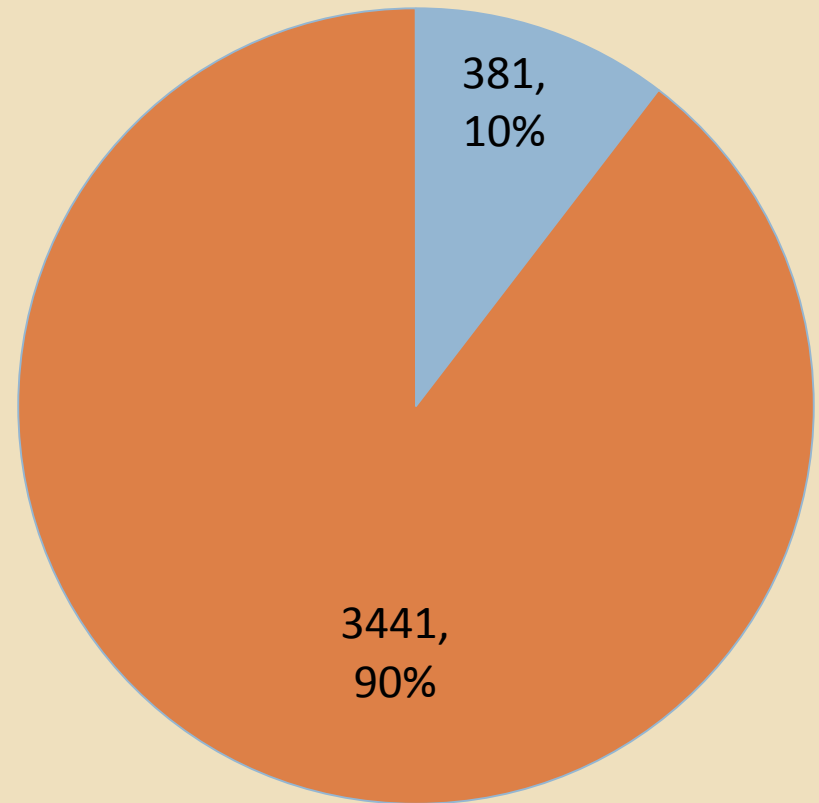
■ Management ■ Non - Management

Sonoma County Adjusted Mgmt %

- Data adjusted to exclude employees in certain classifications

- Analysts, Accountants
Architects, Attorneys

- Adj. Non-Management 90%
- Adj. Management 10%
- Adj. Ratio 9:1



■ Management ■ Non - Management

Information Gleaned from Studies

- Studies and ratios developed for Span of Control
 - ❖ Span of Control is ratio of supervisors to the number of those supervised
 - ❖ Span of Control is more relevant approach to evaluate organizational efficiency
- Some studies also looked at management layers – organizational hierarchy
- Legislated Span of Control ratios established in some States
 - ❖ Mandated ratios established without consideration of performance metrics and service improvement data
 - ❖ Adopted ratios with no meaningful follow-up

Organizational Design and High Performing Organizations

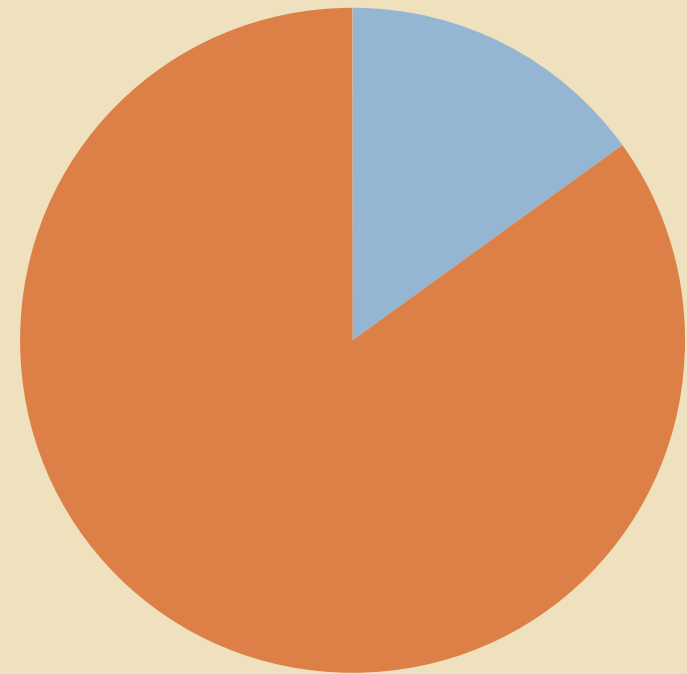
- Span of Control and management layers (hierarchy) are a prevalent approach to evaluating organizational design
- Optimal Span of Control is a component towards being a High Performing Organization
 - ❖ Authority and responsibility reside at appropriate level to insure most effective service delivery

Span of Control Factors

Narrow Span		Wide Span
Complex	Nature of the Work	Not Complex
Different	Similarity of activities performed	Similar
Not Clear	Clarity of organizational objectives	Clear
Fuzzy	Degree of task certainty	Definite Rules
High	Degree of risk in the work for the organization	Low
High	Degree of public scrutiny	Low
Weak	Supervisor's qualifications and experience	Strong
Heavy	Burden of non-supervisory duties	Light
High	Degree of coordination required	Low
None	Availability of staff assistance	Abundant
Weak	Qualifications and experience of subordinates	Strong
Dispersed	Geographic location of subordinates	Together
More Supervisors		Fewer Supervisors

Sonoma County Span of Control

- 666 supervisory employees
- 3765 direct reports
- 5.7:1 span of control ratio



■ Supervisors
■ Direct Reports

Management Layers

- Management layers range from 2-6:
 - ❖ Larger departments have up to 6
 - ❖ Mid-sized departments have up to 5
 - ❖ Small departments have up to 3

Office of the County Counsel

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- The Office is the primary provider of legal services to:
 - ❖ The Board of Supervisors and all County departments
 - ❖ More than 25 special districts
 - ❖ The Grand Jury
- The Office provides a broad range of legal services to its clients:
 - ❖ Represents the County on complex litigation matters
 - ❖ Provides legal advice on contracts, employment and land use planning
 - ❖ Handles cases and hearing related to juvenile dependency, code enforcement and mental health competency hearings
 - ❖ Coordinates outside counsel
 - ❖ Assist in policy development and implementation.

Office of the County Counsel

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- **41** Total Employees in County Counsel
- **30** “Managers” according to HR Management Data
- **24** Deputy County Counsels with no Supervisorial Responsibility are considered “Managers”
- **6** employees are true managers with staff
 - ❖ **1** ASO supervises **10** support staff
 - ❖ **3** Chief Deputies supervise **22** Attorneys
 - ❖ **1** Assistant County Counsel supervises **3** Chief Deputies
 - ❖ **6** Managers supervise **40** Employees
- **6.7:1** is Overall Supervisorial Span

Office of the County Counsel

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- Each Manager Supervisor directly delivers services and carries a full case load:
 - ❖ Assistant County Counsel is lead attorney in landfill contract negotiations and has served as general counsel to SMART
- 100% time keeping shows that of the 4 FTE supervising attorneys - time devoted to office management and supervision collectively equals a total of 63.67% of one FTE.

Office of the County Counsel

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- Current Management Structure Provides Numerous Benefits
 - ❖ Efficient - Supervising attorneys carry full case loads on top of their supervisory responsibilities
 - ❖ Fosters Attorney Independence and Responsibility - Attorneys expected to meet assigned clients' needs
 - ❖ Supports Training for Newer Attorneys – attorneys have access to Supervising attorney for questions and resource needs.

Office of the County Counsel

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□ Ideal Structure

- ❖ Given full case loads of supervising attorneys, 6:1 ratio would be ideal by allowing supervisor to:
 - Be more aware of case loads, challenges and successes
 - Provide more training and mentoring
 - Be more available as a resource to attorneys
 - Be able to provide more client training materials and resources
- ❖ Current span of control presents some risks due to complexity of assignments, sensitivity of services and workload factors – particularly because managers are providing direct services

- 609 total employees
- Unadjusted Management – 15.4%
- Adjusted – 10.3%
- Span of Control – 1:6.5%



Core Services

❖ **Public Health Division**

- Disease Control & Surveillance
- Regional Public Health Laboratory
- Public Health Emergency Preparedness
- Coastal Valley's Emergency Services Agency
- Environmental Health & Safety Services
- Maternal Child and Adolescent Health
- Animal Care and Control

Core Services Provided by the DHS's

❖ Behavioral Health Division

- Community Intervention Programs
- Prevention and Early Intervention
- Specialty Mental Health Services
- Alcohol & Other Drug Services

Core Services Provided by the DHS's

❖ **Health Policy Planning and Evaluation Division**

- Strategies to eliminate health disparities
- Health Action
- Health improvement through advancing technology and data infrastructure development
- Implementation of the Affordable Care Act in Sonoma County
- Empowering our community to be the healthiest county in California by 2020

Factors Affecting Organizational Structure

- **Changes to Business & Service Delivery Models**
 - ❖ Integration and Collaboration
 - ❖ Changing health care environment
 - ❖ Pursuing National Health Department Accreditation
 - ❖ Focus on prevention
 - ❖ Diversification of Financing

Why Our Structure Works

A Focus on Improving Community Health Takes a High Performance Organization

- Creating effective cross-divisional teams
- Working with community and partners
- Consensus in action toward collective impact
- Excel as an organization

Success Stories

- Integrated Behavioral Health
- Strong Families & Children
- Successful Students



Opportunities of Organizational Structure

- DHS is a large and complex organization which has recently undergone a transformative reorganization
- Affordable Care Act
- Employees are our greatest asset



"Empower, Support, Protect"

Human Services Department COUNTY OF SONOMA

- 756 total employees
- Unadjusted Management – 9.3%
- Adjusted – 5.4%
- Supervisory span of Control – 1:6.3



Human Services

- Core Client Services Provided
 - ❖ Family, Youth & Children's Services
 - ❖ Adult & Aging Services
 - ❖ Employment & Training Services
 - ❖ Economic Assistance Benefits Administration
 - Medi-Cal
 - CalFresh (previously Food Stamps)
 - Cash Aid

HSD – Factors Affecting Org Structure

Funding allocations drive ratios in some programs

- ❖ For example, we only have 4 Veterans Claims Workers with one Veterans Services Officer
- ❖ Underfunded programs can't always achieve ideal spans of control
- ❖ Contracting of some services with community partners can also influence reported span of control

HSD – Factors Affecting Org Structure

There are many factors that affect the percentage of management

- ❖ Larger departments may achieve efficiencies of scale
- ❖ Larger departments have more control, since adding one manager doesn't have large impact on ratio
- ❖ Departments can manage the ratio without a specific mandate
- ❖ Director has actively managed this over the years between 9% & 11%

HSD – Factors Affecting Org Structure

If you take out the number of managers who don't supervise, that pushes our management percentage to 5.4%

- ❖ 29 “management” employees perform professional-level work supporting both program staff and clients
- ❖ These positions have the authority to represent the Department and make program decisions, including developing policies, procedures and contracts

HSD – Why Our Org Structure Works

- ❑ Career ladders prepare staff for succession
- ❑ Proper level of management support frees line staff from administrative burden of monitoring program compliance; allows line staff to focus on services and clients
- ❑ Some administrative functions, such as Contracts Unit, rely more heavily on management positions
- ❑ Upstream Initiative, which has been led by HSD, has been staffed primarily with management analyst positions

HSD – Challenges of Org Structure

HSD has need for both managers and line staff

- ❖ The result of not filling a vacant position can be loss of funding



Child Support Services

- 102 total employees
- Unadjusted Management – 5.9%
- Adjusted – 4.9%
- Span of Control – 1:6.3

Child Support Services

- Enforces the County's Child Support Enforcement Program
 - ❖ Seek and enforce court orders of paternity and financial support against non-custodial parents
 - ❖ Assure collections and distributions
 - ❖ Seek and enforce medical support (health insurance) orders

Reasons for Change

- Mandate by State to address large numbers of managers
- Completion of computer conversion
- Shared services agreement with Alameda County's Call Center
- Improved technology tools, e.g. single sign-on, outbound dialers, electronic files

Changes to Ratios

□ 2008:

- ❖ Span of Control: 1:4
- ❖ **Management to Line Ratio: 1:5**

□ 2013:

- ❖ Span of Control: 1:6
- ❖ **Management to Line Ratio: 1:20**

Positive Impacts and Results of Changed Staffing Levels

- Became a High Performing Organization:
 - ❖ Adopted laser focus on priorities and goals
 - ❖ Stopped non-essential work
 - ❖ Stream-lined structure and processes
 - ❖ Renewed focus on early intervention techniques

Implications and Results of Changed Staffing Levels

□ Negative Impacts:

- ❖ Decreased morale during lay-off process
- ❖ Cascading/bumping of impacted persons
- ❖ For demoted employees, training for new jobs
- ❖ Less opportunity for career growth

DCSS Management to Line Experience

□ Staffing Changes From 2008 - 2013

❖ Staffing Levels:

- 2008: 144 FTEs
- 2013: 102.5 FTEs

❖ Staffing Reductions:

- Managers: 12, 6 via attrition, 6 via lay-off
- Line Staff: 35.5, 24.5 via attrition, 11 via lay-off

Six positions were added to the budget or back-filled as the reductions were occurring.

Conclusions

- There is no “right” percentage or ratio
- Department data validates that span of control ratios depend on a variety of factors
- The story is not all told in the numbers
- Data confirms that some departments will have an inherently high percentage of management due to classification designations within the administrative management unit

Conclusions

- Percentage of management has remained constant over the past several years
- Sonoma County percentage of management is in alignment with the data reported in the San Mateo study
- Goal should be to increase organizational performance through appropriate organizational structure and span of control
- Data collected can be used as a starting point

Conclusions

- Key Question: Are there opportunities to evaluate staffing models in order to further optimize service delivery
 - ❖ Answer: YES
- Some areas in which we can do further evaluation:
 - ❖ Organizational structure in some departments
 - ❖ Employee Relations Policy
- Fiscal savings can be an outcome to the efforts

Recommendations

- All actions must result in performance improvement
- Staff recommends taking the opportunities to analyze positions as day-to-day opportunities arise
- Direct departments to consider span of control management concepts when creating, filling positions with the goal of achieving optimal service delivery

Recommendations

- Board to include discussion of service delivery objectives and span of control in annual performance evaluation of Department Heads
- Direct Human Resources to evaluate Employee Relations Policy
- Direct staff to meet with unions to explore potential and appropriate collaborative opportunities related to span of control

Recommendations

- Continue practice of management reviews of departments and include organizational structure and span of control in analysis
- Direct staff to develop an organizational leadership philosophy that demonstrates the commitment to being a high performing organization that values all employees

Questions

