



MANAGEMENT MOBILITY

Report of the Management Mobility Workgroup



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In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

MANAGEMENT MOBILITY

Permitting New York State to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

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Part I: Overview

Our Scope and Methods

Our goal was to develop recommendations that would permit New York State, as a single employer, to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

Our work group explored several strategies for fostering management mobility, interviewed New York State managers whose careers have crossed functions and agencies, and assessed how the State’s Civil Service laws and system promote or hinder management mobility.

Management mobility, therefore, can be an important tool in workforce and succession planning and management. Additionally, we studied the federal government’s Senior Executive Service (SES) as a model of executive leadership development and commissioned a panel of experts – all former federal executives – through the National Academy of Public Administration to answer a series of questions posed on the structure, results, and potential for replication of the SES. www.opm.gov/ses

In a key comment, the experts told us: “Mobility for mobility’s sake will lead to failure.” Indeed, we observed that promoting management mobility is not an end in itself, but it can be an important tool for developing managers and for succession planning.

What is Management?

Positions in which employees:

- set policies; exercise overall responsibility for execution of these policies; and/or direct individual departments, bureaus, or regional offices; or,
- are empowered to manage the resources of an organizational segment, such as a section or unit.

What Is Mobility?

Movement across functional areas or between field and central office within a single State agency, and/or movement from one State agency to another.

True or False? A Manager is a Manager is a Manager?

Can generic management competencies – such as leadership, coaching, and customer orientation – outweigh technical knowledge in providing managerial direction to any agency operation? The Management Mobility Group explored this fundamental question.

Why Is It Important?

Federal human resources managers and executives identified “**limited mobility**” as a barrier to growing leaders in the public sector, according to the study “Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders,” by the National Academy of Public Administration.

According to this report, three pillars of leadership development are **varied job assignments, education and training, and self-development**. “Being required to produce results in varied positions and contexts is critical to leader development,” according to the report. “Pace-setting programs intentionally rotate high-potential candidates across functions, organizational elements, and geographic regions for development purposes...The most visible trend in developing leaders is a strong shift in emphasis toward this type of on-the-job approach.”

How Does State Government Influence Manager Mobility?

We identified individual and systemic characteristics that contribute to management mobility, as well as significant systemic obstacles that we don’t expect to disappear. While there are no quick fixes, there are numerous strategies that State agencies have already employed and others that can be explored.

Demonstrated top-level executive commitment is essential to ensure the success of agency-wide efforts. We have observed this to be the case in strategies implemented at Department of Health (DOH), Department of Motor Vehicles (DMV), Department of Public Service (DPS), Office of Real Property Services (ORPS), and the Department of Taxation and Finance (DTF). We also recognize that starting small is a valid option; many of these strategies can be implemented

on a division, bureau, or team level, depending for their success on the support of a team leader, division director, or other mid-level manager.

Part II: Barriers and Contributors

Contributors to management mobility include:

- For employees, knowing what positions are available. (State Jobs NY- <http://statejobsny.goer.state.ny.us/>)
- For employers, knowing how to find the right candidate pool (See Government Professional Organizations and Networks, page 12, and Skills Inventory, page 16.)
- Networking through personal contacts, membership in professional organizations (See Government Professional Organizations and Networks, page 12.)
- Broad-based knowledge of State government operations (www.albany.edu/~aspa, www.nysapa.org)
- Willingness to move outside one's area of technical expertise
- Willingness to change work location and/or agency
- Knowledge of the agency, policy, or program area (<http://www.state.ny.us/>) Section 52.6 status and other broad transfer determinations (See Civil Service Law, page 6)
- Support of management mobility from State and department executives
- Support of State executives for changes to control agency rules, policies, and procedures needed to facilitate mobility
- Job shadowing, project jobs, mentoring, and rotational assignments used to identify and develop management talent (See Project Teams, page 15.)
- Formal management development training courses, conferences, seminars (See Management/Leadership Training, page 10)
- Title consolidation of management titles across agency organization (See Title Consolidation, page 17)

Barriers to management mobility include:

- Managers like to appoint people they know
- Union concerns about members' loss of direct-line promotional opportunities
- Perception that managers who didn't "grow up" through the technical ranks cannot manage a technical organization
- Lack of universally offered formal management training and/or other development opportunities
- Taking on a new role may be difficult if it has a large impact on one's responsibilities outside of work
- Lack of support from subordinate and/or co-workers

- Lack of subordinate technical expertise that could otherwise permit manager to leave one area and move to another
- Control agency structural or situational constraints impacting fiscal, budgetary, and personnel decisions, e.g., budget freeze
- State workforce reductions may force more work on existing managers, reducing time available for grooming new managers
- Lack of organizational support for managers moving between department silos or to a new agency
- Resistance to title consolidation
- Lack of credit for on-the-job experience in the scoring of Civil Service examinations

Part III: Using Existing Tools

Not only do we encourage the full exploration of each of the contributors to management mobility, but we also believe that “ramps” might be built over some of the barriers.

Existing strategies for increasing management mobility include using the following tools that individually or collectively facilitate the movement of managers across agency boundaries:

1. The Battery tests
2. Civil Service Law
3. Control agency experience
4. Internal consultants
5. Loaned executives
6. Management/Leadership training
7. Peer reviews
8. Professional organizations and networks
9. Project teams
10. Skills inventory
11. Title consolidation

1. The Battery Tests

The Battery tests assess supervisory and managerial competencies, which are common across most State agencies.

<http://www.cs.state.ny.us/announ/mainpages/promotestbatteryguide.pdf>

2. Civil Service Law: Administrative Transfer (Section 52.6)

The Civil Service Law (CSL) has long recognized the benefits of management mobility to the State. Section 52.6 of the CSL allows “voluntary transfer, without further examination, between administrative titles in the same or related or collateral specialties which have substantially equivalent tests or qualifications.” The occupational categories of law, personnel, budget, methods and procedures, management, and records analysis, and administrative research have been defined as administrative for the purposes of this section of the Law (State Personnel Management Manual, S. 1840).

Section 52.6 recognizes that there are significant commonalities among managerial positions and allows an individual who has already demonstrated management competencies to move between managerial positions. As such, this section of the Law is a successful, proven management mobility tool. If you are interested in exploring the applicability of this section of the Civil Service Law, contact your human resources office.

3. Control Agency Experience

Work experience in New York State's control agencies is valuable experience because of the broad knowledge base and perspective that is offered by such assignments. "Graduates" of these agencies move out into program agencies such that, at any given time, there are likely to be more "former" control staff at work elsewhere in State government than there are at work within control agencies.

In New York, these control agencies include: the Division of the Budget (DOB), the Department of Civil Service (DCS), Governor's Office of Employee Relations (GOER), and the Office of the State Comptroller (OSC). Expertise gained by control agency staff includes:

- **Access:** Former control agency staff frequently have entrée to all levels of staff in their former agency, providing invaluable connections for their new agency.
- **Content Knowledge:** An understanding of the central functions of State government helps a manager to identify and act on opportunities to solve fiscal, personnel, program, or policy problems with "win-win" solutions. These functions include: the Executive Budget process, the State Civil Service and related personnel systems, and the Central Payroll and Accounting Systems.
- **Visibility:** Budget examiners, staffing representatives, and auditors assigned to oversee program agencies are visible to and have access to a broad network of contacts at all levels across State agencies, in the Governor's Office, and in the Legislature.
- **Big Picture:** Control agency work often encompasses both detailed technical knowledge and overall policy objectives, facilitating an understanding of how State government works, intergovernmental linkages, legislative issues, union and advocate concerns, and the press.
- **Breadth of Experience:** Control agency staff often have the opportunity to work on a broad range of agency and functional assignments, exposing them to varied policy matters.
- **Communications Expertise:** Control agency staff must be able to analyze and summarize competing issues through quick and thorough oral and written communication to decision makers. For example, staff in DOB and DCS must juggle multiple agency assignments and competing priorities. They are routinely assigned "quick turnaround" issues - requiring them to rapidly assess critical information needs, find accurate and timely information, and draft succinct memos.

4. Internal Consultants

Instead of relying on external vendors for consulting services, many agencies are using existing State expertise in a consulting capacity. Advantages include fiscal savings, built-in access and knowledge of State government, and improved employee marketability and morale. Employee participation in these work efforts provides several benefits, including: the agency perspective is represented, the agency has a better opportunity to be an early beneficiary of the work (e.g., pilot group for new system), the employee is exposed to tools and approaches for addressing agency challenges, and the employee's own resume is enhanced.

Examples include:

- **Train-the-Trainer:** GOER relies heavily on this mechanism to roll out statewide training through existing training staff.
- **Interagency work groups:** Interagency work opportunities occur with some frequency throughout the year. Some of these work groups evolve from central service/control agencies seeking input and assistance on issues and/or systems. Others evolve from a common professional interest such as human resources, information technology, or financial management systems. Current examples include:
 - **Workforce and Succession Planning Workgroups:** Department of Civil Service and Governor's Office of Employee Relations.
<http://www.goer.state.ny.us/workforce/workgroups/workgroupoverview.html>
 - **School Health Infrastructure Team (SHIFT):** Health Department. An inter-agency collaboration focusing on strengthening State, regional and local support for comprehensive school health and wellness.
<http://www.emsc.nysed.gov/rscs/chaps/SHIFT/SHIFThomepage.htm>
 - **Project 2015:** State Office on Aging. State agencies examine the impact the aging of the Baby Boomer generation may have on State services in the years to come.
<http://www.aging.state.ny.us/explore/index.htm>
 - **Work Group on Intergovernmental Information Systems:** Office for Technology. A State and local government task force that identifies effective State-local information systems.
<http://www.ctg.albany.edu/>

- **Quality Communities Interagency Task Force:** Department of State. Chaired by the Lt. Governor to inventory key local, State and federal programs, gather public comment and develop recommendations designed to enhance local community development efforts throughout New York State. <http://www.dos.state.ny.us/>
- **Commercial Vehicle Information Systems and Networks (CVISN):** A partnership among DTF, DMV, DOT, State Police and Thruway, to manage an assortment of inter-dependent projects, originated by the federal government, designed to create safer and more efficient operation of commercial vehicles. <http://www.jhuapl.edu/cvisn/>
- **EAP Cluster Group:** One example is an association of nine agencies (DPS, Aging, Education, Higher Ed, Law, Parks, DMV, OGS, and Parole) and Legislative Bill Drafting that shares ideas regarding EAP issues, activities and resources, and topic presenters for noontime seminars. <http://www.eap.lmc.state.ny.us/>
- **e-Grants Project:** Office of the State Comptroller and Office for Technology. A collaborative effort to increase opportunity, efficiency, and accountability in New York State's grant making processes. <http://www.egrants.state.ny.us>
- **Youth Development Team of Partners for Children:** A statewide collaboration between State and nonprofit agencies to incorporate elements of youth development in State agency policies, programs, and services. <http://www.nyspartnersforchildren.org/teen.htm>

In Part IV of this report, we recommend expanding the internal consulting capacity within New York State.

5. Loaned Executive Programs

Depleted of senior managers in key program areas, a State agency might want to consider a loaned executive approach. Examples include:

- Faced with the retirement of federal information technology managers, the Office of Personnel Management established a program to encourage private sector companies to loan information technology managers for interim periods. <http://www.opm.gov/>
- Similarly, New York State has periodically relied on senior advisors from private industry to share their experience and facilitate or lead State initiatives.

In Part IV of this report, we recommend expanding the loaned executive capacity in New York State.

6. Management/Leadership Training

There are several excellent ongoing programs designed to strengthen employees' management and leadership capabilities in diverse arenas, as well as introduce employees to the broad workings of State government. They include:

- **Leadership Classroom**— Helping State government managers understand and develop their leadership capabilities. Priority is given to M/C employees. The program includes two full week residential sessions, generally in the fall and a project to apply learning back at the workplace. Key sponsor: GOER.
<http://www.goer.state.ny.us/Train/organizational/leadershipclassroom.html>
- **Leadership Forums**—a series of generally half-day seminars held throughout the year to introduce mid- and senior-level managers to leadership trends, challenges, and tools to achieve organizational excellence. Sessions are open to everyone, with priority given to M/C employees in the event of over subscription. Key sponsor: GOER
<http://www.goer.state.ny.us/Train/training/leadershipforums.html>
- **Essentials of Public Administration in NYS**—a competitive yearlong program of nine half-day seminars for emerging managers presented by top practitioners and academics. Key sponsors are the American Society for Public Administration (ASPA), the State Academy of Public Administration (SAPA), Nelson Rockefeller College of Public Affairs and Policy at the State University of New York at Albany, and the Organization of Management and Confidential Employees (OMCE).
<http://www.albany.edu/~aspa>
- **Workshops for Supervisors/Managers**—a series of classes held throughout the year to strengthen entry- to mid-level managerial skills and broaden professional horizons. Classes are of varying lengths and held throughout the State. Key sponsors: the Governor's Office of Employee Relations (GOER), the Civil Service Employees Association (CSEA), the Public Employees Federation (PEF), the NYS Department of Civil Service (DCS), and NYS Training Council.
<http://www.goer.state.ny.us/Train/training/index.html>, <http://www.nystc.org/>

- **Capital Leadership**—a yearlong program aimed at individuals who have demonstrated leadership and want to strengthen professional awareness of and ties to the Capital Region community. Program consists of a two-day opening session, nine full-day sessions in the field, and an outside project. Key sponsor: Albany-Colonie Regional Chamber of Commerce <http://www.ac-chamber.org/comminvolve/caplead>
- Other programs are held by individual State agencies throughout the year. Small agencies that may not be able to afford to hold such programs could seek to informally collaborate with other State agencies and/or contact GOER for help in connecting with another State agency that offers the class and may have openings.

7. Peer Reviews

Peer Reviews bring the proverbial "many hands" (or eyes or minds) together to provide a greater comfort zone for decision making. Recognizing that managerial experience will be in shorter supply in the near and mid-term, peer reviews can provide both a testing ground for ideas and for refining options in decision making.

Over the next several years, succession management issues will become paramount in many agencies. As senior managers exit, new managers will be appointed, but in many cases may not have the equivalent work experiences of the managers they replace. How do we ease this transition, providing support for new managers to grow into their newly assumed responsibilities? Convening peer reviews is one idea.

Where will peer reviews come from? In many instances, the more experienced counterparts come from both other program areas in an agency and from other agencies. Conceivably, peers might be found in other branches or levels of government or even in special circumstances from constituencies served.

The key to this concept is not, of course, to enlarge the decision-making circle. Instead, peer reviews provide new managers the opportunities to test ideas, "think out loud," refine options, and through the process reach more informed decisions.

Example of peer reviews within New York State:

- The Office for Technology convenes State information technology managers to review agency plans for IT procurements to ensure that the plans are comprehensive and fit an overall State IT strategy.
- A more familiar example of peer review occurs informally when a manager calls upon peer managers – perhaps over coffee – to review a program

initiative to assure a “comfort zone” that program plans are well thought out and fit within a larger agency agenda or capacity to deliver.

In Part IV of this report, we recommend expanding the peer review capacity in New York State.

8. Government Professional Organizations and Networks

Professional networks help managers broaden their understanding of statewide issues, learn other ways to "do business," and develop inter-agency contacts. This broader network of colleagues can be very useful to tap when issues arise or when you desire to recruit from outside your agency. Examples of such organizations include:

Agency Advisory Group

Fiscal management representatives from State agencies, convened by the Office of the State Comptroller. Contact Deputy Comptroller Ruth Walters at rwalters@osc.state.ny.us

American Society for Public Administration (ASPA), Empire State Capital Area Chapter (ESCAC)

National professional, non-profit membership association dedicated to promoting excellence in public service.

<http://www.albany.edu/~aspa>

American Payroll Association

Membership association for payroll professionals.

<http://www.nyscracapa.org/>

American Society for Training and Development (ASTD), Hudson Mohawk Chapter

International membership organization of workplace learning professionals.

www.astdHUDSONmohawk.org

Association of Certified Fraud Examiners (ACFE), Albany Chapter

Membership organization that promotes improved fraud detection and deterrence through expansion of knowledge and inter-personal contacts, networking opportunities, and support for investigators.

<http://www.acfe.cjb.net/>

Association of Government Accountants (AGA), New York Capital Chapter

International membership organization for public sector accountants.

<http://www.home.nycap.rr.com/aganycap/home.html>

Capital Leadership Alumni

Graduates of the Albany-Colonie Chamber of Commerce Capital Leadership program.

<http://www.ac-chamber.org/comminvolve/caplead.cfm>

CapNet

Seminar series for women in the public and private sectors, sponsored by State Senator Mary Lou Rath during the legislative session. Contact Senator Rath at rath@senate.state.ny.us.

Employee Relations Advisory Council (ERAC)

Advisory to the Governor's Office of Employee Relations and sponsor of annual labor relations training conference.

Financial Management System (FMS) Users Group

State agencies using FMS, the financial management system run by the Department of Correctional Services. Contact Tom Johnston at

TLJohnston@docs.state.ny.us

Government Finance Officers Association (GFOA)

Membership association of public and private sector government finance professionals throughout New York State.

<http://www.nysgfoa.org/>

Information Systems Audit and Control Association (ISACA) Hudson Valley Chapter

International membership organization on IT governance, control and assurance.

<http://www.iscahv.org/>

Institute of Internal Auditors (IIA), Albany Chapter

Membership organization that promotes professional growth and development of internal auditors.

<http://www.theiia.org/albany/>

Interagency Committee on Electronic Data Processing (ICEDP)

Association of New York State information resource managers.

<http://www.icedp.org/>

International Personnel Management Association (IPMA)

Non-profit membership organization for the public sector human resource field.

<http://www.albany-ipma.org/>

Leadership Classroom Alumni

Graduates of the New York State Leadership Classroom management training program.

<http://www.goer.state.ny.us/Train/organizational/leadershipclassroom.html>

New York State Affirmative Action Advisory Council

State agency equal employment opportunity and affirmative action officers.

<http://www.nysaac.org/>

New York State Forum for Information Resource Management

Network of public officials and state government organizations concerned with information management.

<http://www.nysfirm.org/>

New York State Personnel Council

Created by Executive Order in 1954 to improve personnel and employee relations policies.

<http://www.cs.state.ny.us/personnelcouncil/>

New York State Training Council

Voluntary organization with liaisons to each State agency that advocates and supports the training and development of the State's workforce.

<http://www.nystc.org/>

Organization Development Learning Network (ODLN)

State agency training and organization development professionals. For information, contact Deb Berg at dberg@goer.state.ny.us

Payroll Users Group

Partnership between the OSC Bureau of State Payroll Services and agency payroll system users working to advise the bureau, improve payroll processing performance and support the payroll profession in State government. Contact Kathy Cooke at kcooke@osc.state.ny.us

Project Management Users Group

Office for Technology convenes this group monthly. Contact Brenda Breslin at Brenda.Breslin@oft.state.ny.us

Retired Public Employees Association (RPEA)

Membership organization of current and former State and local government employees.

<http://www.rpea.org/>

Society for Human Resource Management (SHRM)

Worldwide personnel membership association.

<http://www.shrm.org/>

State Academy of Public Administration (SAPA)

Association of invited Fellows established in 1974 to provide a forum for dialogue on critical public administration issues in New York State.

<http://www.nysapa.org/>

Training Directors Roundtable

Voluntary association of the most senior training manager from each State agency.

<http://www.nystc.org/>

Women's Government Network (WGN)

State government women meet monthly to exchange ideas.

Contact: Kelly Lopez, bdlope@budget.state.ny.us

Women In Technology International (WITI), New York Tech Valley Chapter

International membership organization dedicated to advancing women through technology.

<http://www.witi.com/>

9. Project Teams

Among the many succession management issues that are raised by the pending retirements of a third or more of the State workforce are a host of problems that are typically described as knowledge management and knowledge transfer. In many technical disciplines and titles, exiting civil servants take with them skills that are in short supply.

In the context of project management, a shortfall of project managers can lead the State to place greater reliance on outside consultants who are often higher priced than their civil service counterparts. More importantly, this practice can impede the State's ability to manage and transfer knowledge to the extent that consultants "come and go."

To offset over-reliance on outside consultants in these projects, many State agencies are already developing a cadre of project managers and reaching across State agency lines to fill project roles. Examples include:

- **Project Management and Mentoring Program:** Office for Technology. A project management initiative that incorporates project skill development, certification, mentoring, and other knowledge, skills and abilities of project managers. <http://www.ofc.state.ny.us/pmmp/pmo.htm>

- **GIS Project:** Department of Environmental Conservation. The project, managed by the Center for Technology in Government, identified and examined existing barriers to geographic information systems data sharing and coordination and developed specific recommendations for overcoming those barriers, and also created a new spatial data resource for New York State--the NYS Spatial Data Clearinghouse.
<http://www.ctg.albany.edu/projects/gis>

10. Skills Inventory

A skills inventory system is particularly beneficial for identifying candidates for short-term projects that must be quickly implemented, or are of such a critical nature that government must recruit experienced managers with demonstrated ability. A skills inventory, therefore, becomes a very powerful tool to quickly and effectively get the right management talent in the right place when it is needed. As individual skills and skill levels are identified, they can be compared to future workforce management needs.

Agency-specific examples of skills inventory systems include:

- **Office of Real Property Services (ORPS):**

The agency-wide skills inventory of the Office of Real Property Services focuses on management and technical skills identified as important to the success of the agency. By tracking skill levels, management can strategically manage the training and development process to insure that needed skills will be in place prior to change efforts, and that priority will be given to using scarce training resources to meet the strategic needs of the agency. A skills inventory system enables agencies such as ORPS to build and nurture skills that are in short supply and divert resources from skill building in areas that may no longer be valued by the agency. This system is easily managed and provides management with the ability to easily identify employees with knowledge in particular areas or to serve on various teams and/or in-house projects.

- **Department of Taxation and Finance (DTF):**

A skills inventory system was utilized by DTF to assist in the placement of over 100 field employees whose jobs were being centralized in Albany. A skills inventory worklist was developed and completed by impacted employees. Employees' educational and experiential backgrounds were categorized and matched against minimum qualifications for jobs both within DTF and in other State agencies. DTF employees with an educational and/or experiential background in law enforcement were placed in Park Police positions in the Office of Parks, Recreation & Historic Preservation and employees with education training were offered

teacher positions in Institutions. Skills were reviewed and placements made within a six-week period and allowed DTF to mitigate any layoffs as a result of position relocation.

In Part IV of this report, we recommend creation of a statewide skills bank.

11. Title Consolidation

Title consolidation is the process of combining separate but occupationally related titles into a more broadly defined class. It is a process that looks at jobs with an eye toward identifying their similarities and common characteristics in order to bring together and strengthen their core occupational foundation.

Title consolidation requires analyzing the existing title structure for the purposes of finding the common elements of positions determined to be occupationally related, focusing on these elements, and using them to create or update a class or classes of positions. Historically, the concept of title consolidation emerged from the realization that there were simply too many titles in the State's title and salary plan, that clear distinctions were lacking among levels in many title series, that too much reliance was placed on very narrow distinctions in job content and/or requirements in the classification of positions, and that many titles were developed specific to unique agency functions or around the qualifications of particular candidates.

Title consolidation is more than a classification issue. The testing, staffing, affirmative action, and labor relations requirements and implications must be taken into account in the title consolidation process, as well as the impact on employees and agency operations. The full pursuit and implementation of title consolidation both require and support:

- Enhanced flexibility and creativity in how candidates are tested, selected, and prepared for consolidation titles.
- A broader application of transfer and reemployment provisions.
- A greater commitment to employee development and training.

The title consolidation process can be initiated by an agency, an interagency work or interest group, such as the ICEDP, the Division of Classification and Compensation or by other divisions within the Civil Service Department. From a classification perspective, title consolidation involves two basic steps. First, a decision has to be made on which occupational area and titles should be considered for consolidation, and, second, what the new consolidated class or classes should look like. The other steps in the title consolidation process are:

1. Review the title and salary plan to identify occupationally related titles.
2. Cluster those titles that have similar duties and responsibilities – grade levels may vary. Gather any pertinent information, including existing job descriptions for these titles.
3. Determine the kinds and scopes of examinations, minimum qualifications, etc., used for the titles proposed for consolidation.
4. Develop draft classification standards for the consolidated title(s) for review.
5. Develop a draft proposal containing the classification, staffing and testing plans and issues, as well as the affirmative action implications associated with the title consolidation proposal, for review by all interested parties.
6. Present the final proposal to the Division of Classification and Compensation for classification and allocation of the new consolidated class or classes.

Examples of State agency consolidation of management title series include:

- **Department of Motor Vehicles: Motor Vehicle Program Manager**

In 1990, DMV created the Motor Vehicle Program Manager title series to foster management mobility. Here 32 discrete manager titles were consolidated into a single series, ranging from M1 through M6. DMV recognized that their core programs (field operations, vehicle safety, driver licensing, etc.) shared a set of common knowledge, skills, and abilities that were more meaningful than the separate program disciplines that initially prompted the creation of unique titles in separate program areas. These common KSAs put a premium on communication skills and overall "knowledgeability" ("how to get things done"), while discounting technical expertise.

Prior to the creation of the Program Manager series, DMV employed unique program specific titles like Director of MV Field Operations, Director of Driver Rehabilitation, or Director of the Office of Alcohol and Highway Safety. These and four other unique, program specific titles were merged into the single Program Manager 4 title. With this, DMV acknowledged that first and foremost a "manager is a manager" where broader program knowledge and mobility would better serve the agency and the managers themselves than the more narrowly defined former titles.

Over time, the Program Manager series has provided the agency with overall program inter-connections that have discouraged "stovepipe"

entrenchment. This has provided managerial flexibility for the agency and more career mobility for incumbent program managers. It has also encouraged key staff retention as mobility options expanded beyond a manager's immediate program responsibilities.

Currently, slightly more than half of DMV managers (M1 and above) are in the Program Manager series. The other titles reflect more traditional specialized areas of expertise, especially in Administrative and Legal program areas. Managers in these latter traditional title series have also benefited from the Program Managers series, having opportunities to transfer to or be appointed into Program Manager titles.

Given the ease of transfer among operational units at DMV, managers and aspiring managers often seek project roles to demonstrate their capabilities, recognizing that broader exposure can be obtained from projects and the experiences gained in multiple program areas enhance career opportunities more than reliance on mastery of a single program area. This too encourages internal mobility and key staff retention.

Clearly, some agencies possess unique skills and corresponding titles that justify specialized titles. Here, broad management title consolidation like the DMV model may not serve an agency's mission. Yet, in other cases, where program disciplines might not be as sharply defined, title consolidation might ease the succession management strains agencies will face.

- **Department of Public Service (DPS): Agency-wide Title Consolidation**

DPS is nearing conclusion of an agency-wide effort to consolidate titles. The Department's goals were to strengthen its organizational ability to both address current workload needs and effectively achieve its long-term mission of transitioning key utility services to a competitive market. It views title consolidation as a key means to help lower organizational walls, increase management and employee flexibility, facilitate cross-training, ensure current Civil Service exam lists, and improve the timeliness of staff appointments. Administrative efficiencies benefiting both DPS and the Department of Civil Service include the need for fewer Civil Service exams and classification actions.

In 1997, DPS had more than 250 titles. Later this year, the Department expects to be down to about 180 titles in total. Of particular note, competitive titles unique to the agency will have been reduced by more than 50 percent. From a management mobility perspective, one key initiative was consolidating the Department's M5 section manager titles across program assignments. DPS collapsed 19 M5 titles to seven titles, and then held one exam for all seven. While the Department's experience

with the consolidated M5 titles is still limited, it is hoped over time that this initiative benefits both the agency and its employees.

- **Office of Real Property Services (ORPS): Consolidation of Management Titles**

After consolidating 131 agency titles into two new title series (Real Property Analyst and Complex Real Property Appraiser), ORPS began in 1998 the process of consolidating manager titles into a Program Manager series, ranging from M3 to M6. As in DMV, the agency realized that transferability between operations was essential to both managers and employees, providing both with increased developmental and career opportunity. It also gave the agency the ability to more effectively deploy staff to align with changing priorities and needs associated with technological and organizational changes, and eliminated one-of-a-kind manager titles that no longer accurately described the work being done.

While the need for some very specialized titles remains, particularly in the Information Technology area, the benefits derived from the Program Manager series are becoming evident as succession planning issues call for even greater flexibility and management mobility.

- **Department of Transportation (DOT): Consolidation of Civil Engineers Titles**

In 1992, DOT Civil Engineering titles were consolidated into the "Transportation Management Title Series." The consolidation was later expanded to include program and administrative management positions, M-2 through M-7, such as Traffic and Safety, Landscape Architecture, Motor Equipment, Intermodal Transportation, Engineering Materials and Transportation Maintenance, among others.

There were two main reasons for the consolidation of engineering titles:

- Elimination of the parentheses. Employees tended to get "stuck" in a series and were only considered for higher titles in that specialized title series; they were "stove piped;" and,
- Streamlining of promotional opportunities: Promotion qualifications required service in a lower level specialized title. In order to maximize the promotion exams an employee could take, the parentheses were dropped so all Civil Engineer 1's (CE1's) could take a CE2 exam and be considered for all CE 2 openings.

A skills inventory and passing score from the Battery exam are both required to qualify for these positions.

Part IV: New Ideas

In addition to promoting the widespread use of existing tools, we suggest that New York State explore the potential of creating statewide capacity in:

1. Internal management consulting capacity.
2. Cadres of project managers.
3. Formal peer advisory panels.
4. Management skills inventory.
4. Management job clearinghouse.
5. Loaned executive program.

1. Internal Management Consulting Capacity

By identifying a cadre of skilled managers and helping them to develop consultant skills, the State will have in place a group of professionals that will not only develop and reinforce its management resources, but also be able to build a network of relationships, coalitions, and alliances across the system to maximize our resources and provide better service. Unlike external consultants, State managers have the advantage of “really understanding the business” of State government.

Through using the skills of our most experienced managers as consultants rather than limiting them to leading their individual agencies, the State would be in a far better position to bridge individual agencies’ skills gaps while maximizing the use of State talent.

These individuals would be selected on the basis of possessing administrative and programmatic expertise in critical operating areas including: budgeting, fiscal management, personnel management, procurement, contract management, information technology, and program management.

Ideally, a series of consulting groups would be established under the auspices of one of the governing control agencies (DOB, DCS, GOER, OFT, OSC) with support from the associated professional associations (Personnel Council, Training Council). The control agency would serve as repository and administrator. Internal consultants would be placed “on retainer” to provide limited use consultative services to agencies losing key staff.

Such consulting may take many forms, from simply having managers available via phone or e-mail to help with one or two issues, to the establishment of a dedicated consultant service providing in-depth on-site expertise and knowledge transfer. Participants may, therefore, undertake this as a full-time assignment or perform consulting services “on the side” in addition to working on full-time assignments. Either way, the participating manager will benefit from exposure to the new organization’s mission, vision,

strategic plan, culture, and associated management changes, while providing tangible benefits to the client agency.

Specific applications of internal consultants include:

- **Using Internal Expertise to Transition Critical Programs as Key Staff Retire**

A cadre of certified experts on essential administrative and program subject matter areas can help manage State agencies' transitions through critical staff retirements. Services might take many forms including: telephone or email guidance on one or two issues, on-site knowledge transfer, and selection of permanent replacement.

- **Using Internal Expertise to do Business Process Re-Engineering (BPR)**

An expert cadre of managers who also have a working knowledge of Business Process Re-Engineering (BPR) principles can serve as an inexpensive alternative to paid consultants when engaging BPR assessments. Experts might lead teams to develop cost- and time-saving technology replacements for paper-based systems, or design a path to assist the organization in improving a key service delivery area.

2. Cadres of Project Managers

In some agencies, senior staff frequently assume short-term management roles to direct a specific initiative or agency undertaking, and then revert back to former program roles. Other agencies, however, may not have a pool of project managers to draw from and there is no mechanism for identifying and recruiting capable project managers from other agencies.

Similarly, project managers seldom have a “career ladder” in project management to climb since, in many agencies, projects do not occur on a continuous basis. A successful project manager in a mid-sized project may never get the opportunity to transition to and manage a larger project unless the agency has successive projects on the schedule.

The breadth of work being done by State agencies results in multiple projects underway at any given time. Recognizing this—and the impending loss of “home-grown” talent through retirements—ought to foster receptivity to encouraging mobility among project managers.

Since project managers are, typically, in ad hoc temporary positions, there is no formal roster or list to draw from within an agency, and current practice often discourages the easy transfer of project managers from project to project or agency to agency. One option would be to establish a cadre of

experienced and certified project managers, similar to the pool of “internal consultants” described above.

3. Peer Review Panels

Over the next several years, succession management issues will become paramount in many agencies. As senior managers exit, new managers will be appointed, but in many cases they will not have the equivalent work experiences of the managers they replace. How do we ease this transition, providing support for new managers to grow into their newly assumed responsibilities? Peer reviews is one answer.

Admittedly, some new managers may resist peer reviews, claiming that they have earned the right to make decisions and, inevitably, mistakes. Through a cycle of decisions and retrospective reviews of those decisions (and mistakes), managers ultimately obtain mastery through experience. In normal times with planned transitions of key staff and senior managers, this resistance can be tolerated, even encouraged.

Still, if the departure of senior managers is as wide and as abrupt as predicted, extraordinary strategies for smoothing transitions need to be considered. By assembling a group of peer managers (both within an agency, if available, and from outside an agency when not), new managers can be provided with a forum for assessing program options before reaching decisions.

For the agency itself, peer reviews can give additional assurance that new managers have had the opportunity to test ideas with more experienced colleagues and that more options were reviewed.

4 Management Skills Inventory

If management mobility is to become a reality, it is critical that key support mechanisms be in place. Perhaps the most significant of these is a skills inventory system that would enable agencies to quickly access a pool of NYS managers with particular skill sets. In addition, a skills inventory is an excellent method of assessing the capabilities of the workforce and, therefore, plays a critical role in succession planning.

Although there are several existing examples of skills databases in particular agencies (DTF and ORPS, as documented elsewhere in this report), the most effective application of this tool would be to the entire NYS management workforce. A centralized database, perhaps housed within one of the control agencies, would permit all agencies access to a great range of managers with particular skills sets. One need only to be reminded of the effects of September 11th to recognize how critical it can be to quickly identify needed skills.

5. Management Job Clearinghouse

One way in which government agencies can more efficiently recruit highly-skilled managers is by improving website advertising. With the new technology, various government agencies can access information to the general public relatively easy, depending on the complexity of their “Homepage” design. Most agency homepages provide a listing of jobs inherent to the specific work they do. However, the jobs listed are, generally, open competitive, requiring a variety of written and oral tests from Civil Service. “Non-competitive” and high-level managerial positions are seldom listed in any homepage.

The idea of State government having one centralized site for all agencies devoted to outside recruitment and marketing, in addition to the current web sites, could be very effective. State Jobs NY, which lists job opportunities, is a step in the right direction (<http://statejobsny.goer.state.ny.us/>). The centralized web site would function as a “resource information center” for all State agencies on existing vacant positions, which would appear listed by either order of disciplines, categories, salary, and other highly specialized requirements. Positions may also be listed by type, whether competitive, non-competitive, or exempt. A person would find ‘accessible’ information on all the positions currently available in NYS government under one single category (e.g., security, high level management) or discipline (i.e. engineering, psychology).

One advantage of having a “central site” with information on managerial positions is that managers across State agencies can reference information on career ladder opportunities they may be suited for or that may be worth exploring, with the understanding that such positions may require executive approval. Nonetheless, managers would be interested in and could potentially benefit from information on upward mobility.

A criterion to use in the design and layout of a major resource information center is that it would be easy to navigate through the use of direct links. Examples of these layouts are the homepages of the NYS Office of Mental Health (OMH) and the Department of Labor (DOL):

- Office of Mental Health’s homepage links a job seeker to positions listed by disciplines (e.g., psychiatry, pharmacy), to individual job postings in designated geographical locations.
- The Department of Labor’s page has a visible link titled “working in New York” that quickly takes job seekers to “finding a job” and to a “Career Zone,” where jobs are listed by a “specialty” in alphabetical order. The page cross-posts with other employment boards like America’s Job Bank,

NationJob, Inc., providing a nationwide dissemination of information on single job postings.

In a recent Interagency Survey conducted by the Workforce Planning Recruitment and Selection Work Group, 78% of State agencies responded affirmatively that the State should have one centralized website devoted to outside recruitment and marketing. The respondents also suggested the Department of Civil Service as the best central broker for the advertising of all types of public employment.

6. Loaned Executive Program

The dire succession management scenarios projected for the next several years may prompt agencies to seek assistance from managers outside Executive agencies of State government. Possible contexts include: public-private partnerships; State-academia partnerships; State-local partnerships.

Much like an internal consulting program, a loaned executive program seeks to place the right manager in the right place at the right time, independent of current employment. Clearly, many details need to be worked out, but the pending loss of State managers would seem to call for some flexibility in standard recruitment and placement rules.

Part IV: Conclusion

The Management Mobility Work Group stands ready to assist the State of New York in expanding the use of existing tools and applying the new ideas to how we do the State's business mindful of our diminishing managerial resources.

Appendix A: Workgroup Members

Howard Bancroft	Division Probation and Correctional Alternatives
Lisa Frazzetta	Office of Mental Health
David Goodall	Department of Motor Vehicles
M. Kiaran Johnson	Department of Taxation and Finance
Kelly Lopez, Leader	Division of the Budget
Luz Molina	Department of Transportation
Donald Parker	Office of Real Property Services
Debra Renner	Department of Public Service
Audrey Seidman	Office of the State Comptroller
Nancy Kiyonaga, Facilitator	Department of Civil Service

Appendix B: Background of the Workgroups

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (<http://www.goer.state.ny.us/workforce> or <http://www.cs.state.ny.us/workforce>) as they are completed. In addition to Management Mobility, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Competencies
- Staff Development
- Mentoring
- Knowledge Management and Transfer