
Span of Control In City Government Increases Overall

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City of Seattle

Office of City Auditor

Susan Cohen, City Auditor

September 19, 2005

The Honorable Greg Nickels
Seattle City Councilmembers
City of Seattle
Seattle, Washington 98104

Dear Mayor Nickels and City Councilmembers:

Attached is our report that responds to a City Council Statement of Legislative Intent (SLI) from the 2005-2006-budget process. The SLI requested that the Office of City Auditor produce a follow-up report on its 1996 and 1997 Span of Control audit reports. In this report, we determined the current ratio of staff to managers in selected large departments within the City of Seattle, and collected more detailed information from the Department of Parks and Recreation and the Human Services Department on their managers who have three or fewer permanent subordinates.

We would like to acknowledge the assistance we received from all City personnel who participated in this review, particularly that provided by the Human Resources Directors from the Department of Parks and Recreation and the Department of Human Services. If you have any questions, please call me at (206) 233-1093.

Sincerely,

Susan Cohen
City Auditor

SC:SLN
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Introduction

During its 2005-2006-budget process, the City Council issued a Statement of Legislative Intent (SLI) requesting that the Office of City Auditor (OCA) conduct a follow-up of the 1996 and 1997 span of control audit reports. Span of control refers to the number of subordinates that report to a manager.¹ In business organizations, the average span of control is the ratio of all employees to management staff. For more detailed information about span of control, and the factors that influence span of control, see Appendix 1.

The SLI specified that the Office of City Auditor's follow-up report should include a review of the span of control of the Department of Parks and Recreation, the Human Services Department, and other departments with large numbers of management positions. The SLI also stated that the report should include: 1) the current ratio of staff to managers; 2) comparison to other jurisdictions; 3) recommendations for steps, if appropriate, to increase the span of control; and 4) projected savings that could result from such recommendations.

Scope and Methodology

We calculated the departmental span of control ratios by dividing a department's total number of permanent staff by its total number of permanent supervisors and managers (e.g., 100 total permanent staff divided by 25 permanent supervisors and managers equals a span of control ratio of 4 to 1). This method accounts for the fact that most managers are supervising staff while being supervised by someone else. Permanent staff includes full-time and part-time employees, but does not include temporary employees.

To develop our span of control ratios, we collected 2005 data on the total number of 1) permanent employees; and 2) supervisory or managerial employees, in the following large departments:

1. Department of Parks and Recreation (Parks)
2. Department of Human Services (HSD)²
3. Seattle Police Department (SPD)
4. Seattle City Light (SCL)
5. Department of Planning and Development (DPD)³
6. Seattle Fire Department (SFD)
7. Seattle Public Utilities (SPU)
8. Seattle Center (SEA CTR)

¹ We define managers as all supervisory employees, including department heads, managers and supervisors at all levels, as well as line supervisors.

² The Human Services Department was created in 1998 after the publication of our 1997 span of control report. At the time this 1997 report was issued, the department's functions were included in a department known as Housing and Human Services.

³ After our 1997 span of control report was issued, in 2003 this department was renamed from Construction and Land Use to Department of Planning and Development.

9. Fleets and Facilities Department (FFD)
10. Department of Executive Administration (DEA)⁴
11. Seattle Department of Transportation (SDOT)

According to the 2005 data we received from these City departments, they employed 9,095 permanent full-time and part-time staff. However, as noted in our 1996 and 1997 reports, some departments employ a significant number of temporary employees. Although these employees are not permanent hires, they still require supervision. Therefore, we collected data on temporary employees from four departments that employ a significant number of temporary employees: Parks and Recreation, Human Services, Seattle Center, and Planning and Development. With this data, we calculated the ratio of the total number of permanent and temporary employees to permanent supervisors and managers. At the time of our review, these four City departments employed 1,841 temporary employees.

For the departments of Parks and Recreation, and Human Services, we identified the number of supervisors or managers with three or fewer subordinates. We then interviewed human resource officials from both departments to obtain explanations of why these positions had such low span of control ratios.

We did not compare Seattle's current span of control with the jurisdictions (King County and Portland) mentioned in our 1996 report because those jurisdictions had not updated their span of control studies.

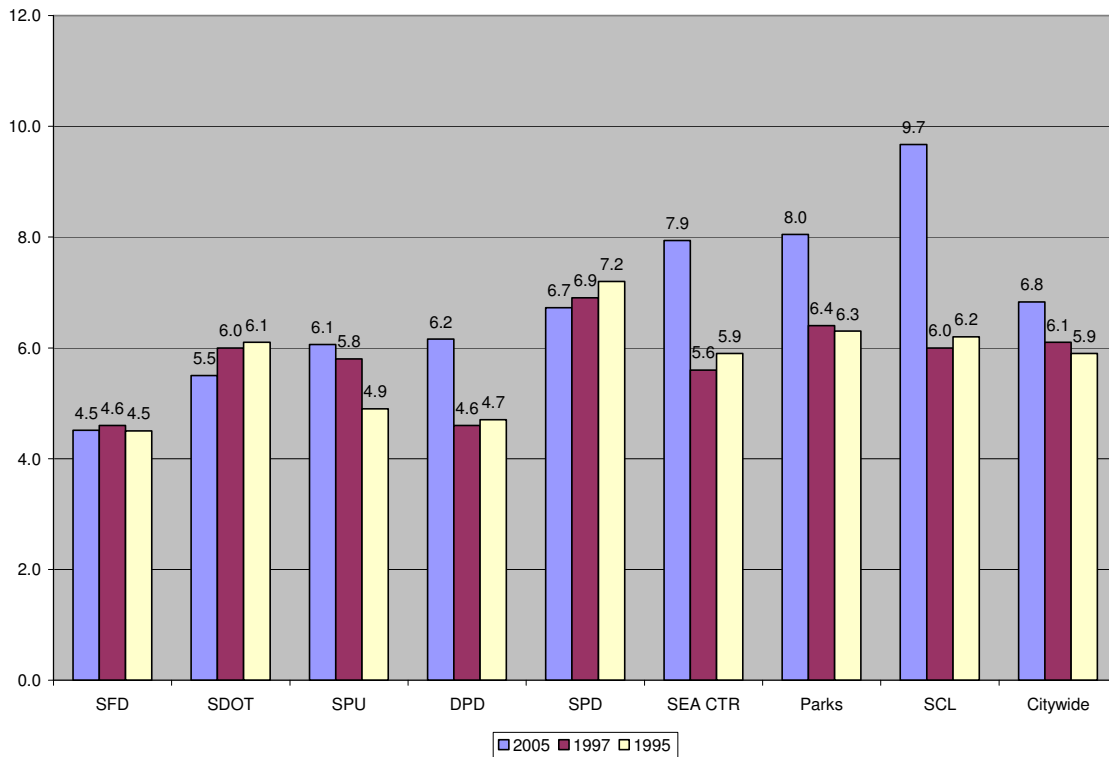
In performing audits, our office follows the Government Audit Standards, as prescribed by the Comptroller General of the United States, and the Institute of Internal Auditors' (IIA) International Standards for the Professional Practice of Internal Auditing. With respect to quality assurance reviews and training, the Seattle Office of City Auditor follows the IIA standards.

⁴ The Department of Executive Administration was created in May 2002.

Citywide Span Of Control Increased From 1995 To 2005

As shown in Exhibit 1, Seattle’s overall average ratio of staff to managers has risen from 5.9 in 1995 to 6.1 in 1997 to 6.8 in 2005. This represents a 15 percent increase in the average number of staff reporting to a manager during this 10-year period.

Exhibit 1: Citywide and Departments: 1995, 1997, and 2005 Average Ratio of Staff to Managers⁵



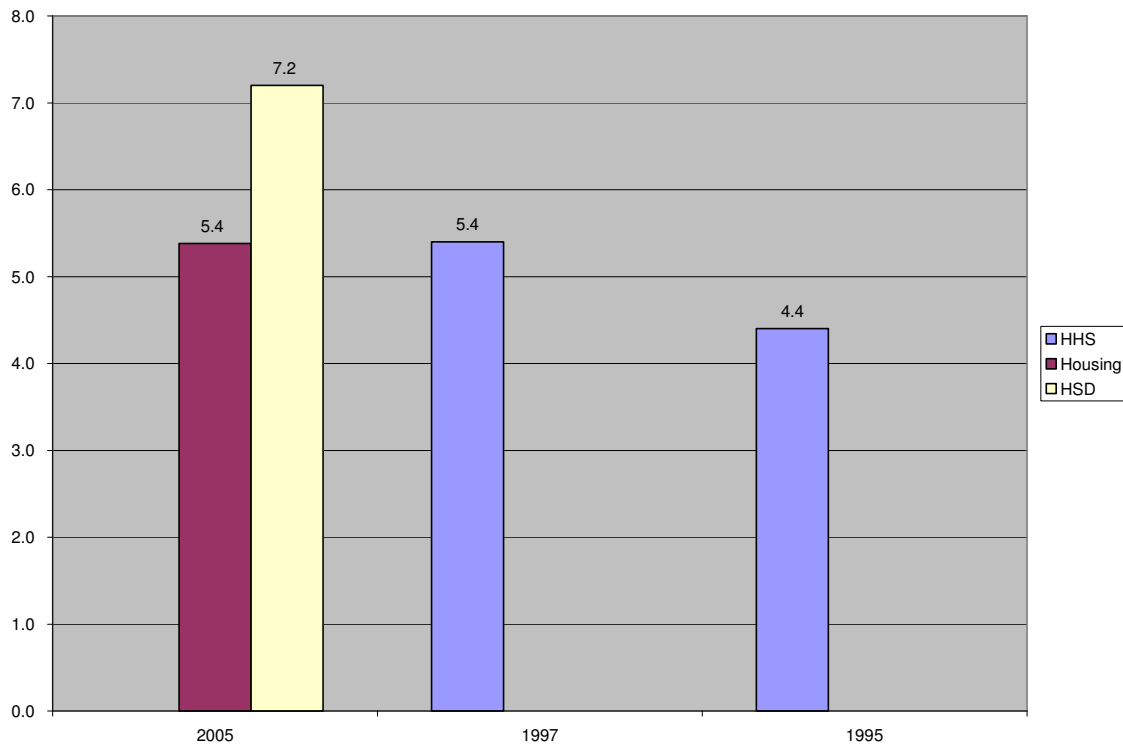
Five departments (SPU, DPD, Seattle Center, Parks, and SCL) increased their span of control ratios between 1995 and 2005, while two departments, SPD and SDOT, reported lower ratios in 2005 than they had in 1995. The Seattle Fire Department (SFD) had the same ratio (4.5) in 2005 that it had in 1995.

⁵ Some City departments (i.e., Seattle Center, Parks and Recreation, Planning and Development, and Human Services) hire large numbers of temporary staff. If these staff members are counted, this would result in a higher average ratio of staff to managers for each department than is shown in Exhibit 1. See Exhibit 5 for the ratios in these four departments when temporary employees are included.

Spans For The Former Department Of Housing And Human Services And The Two Entities Created From This Department

In 1998, the Department of Housing and Human Services (HHS) was split into two separate entities: the Office of Housing and the Human Services Department (HSD). Exhibit 2 shows the span of control ratios for HHS in 1995 and 1997, which equaled or were less than the ratios shown for the Office of Housing and HSD in 2005.

Exhibit 2: HHS, Office of Housing, and HSD Span of Control Ratios

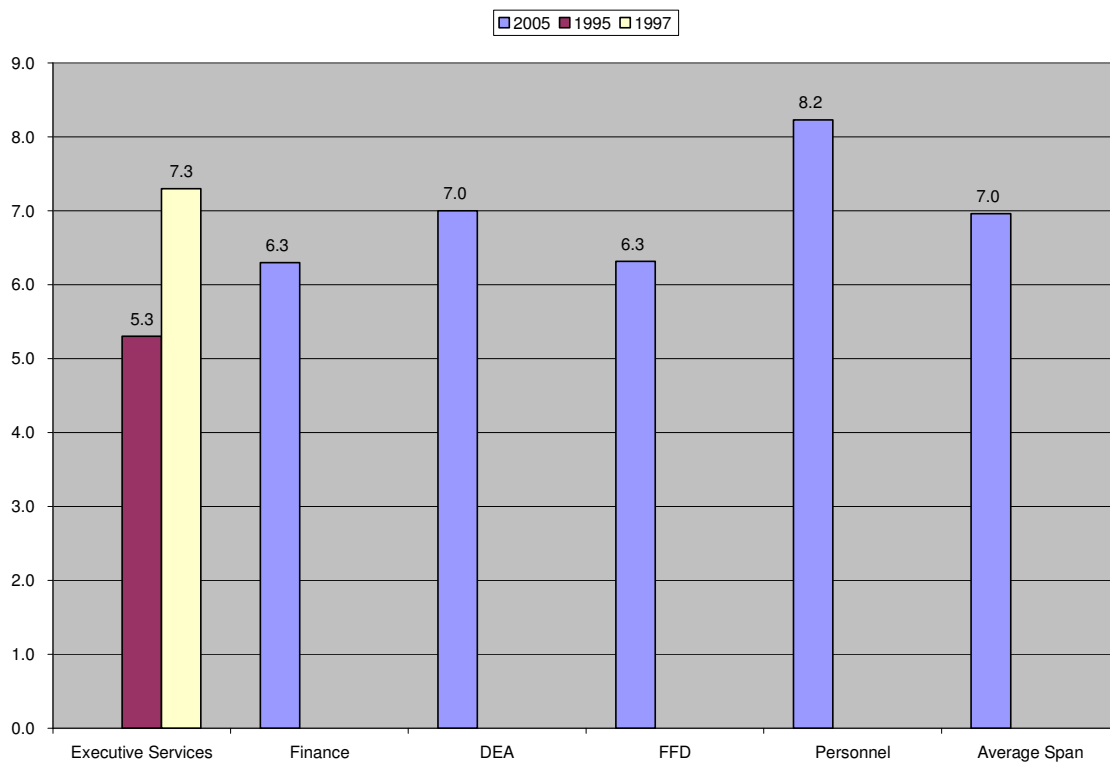


Spans For The Departments That Succeeded The Former Department Of Executive Services

Exhibit 3 shows the 2005 span of control ratios for the City departments that succeeded the Executive Services Department, as well as the 1995 and 1997 ratios for the Executive Services Department.

The Executive Services Department was dissolved through Ordinance 120181 in late 2000, and the Department of Finance, the Personnel Department, and the Fleets and Facilities Department were created in its place, effective January 1, 2001. The Department of Finance in 2001 consisted of today's Department of Finance (DOF) and the Department of Executive Administration (DEA). The Department of Executive Administration was created separately from the Department of Finance in 2002 through Ordinance 120794, which was signed by the Mayor in May 2002.

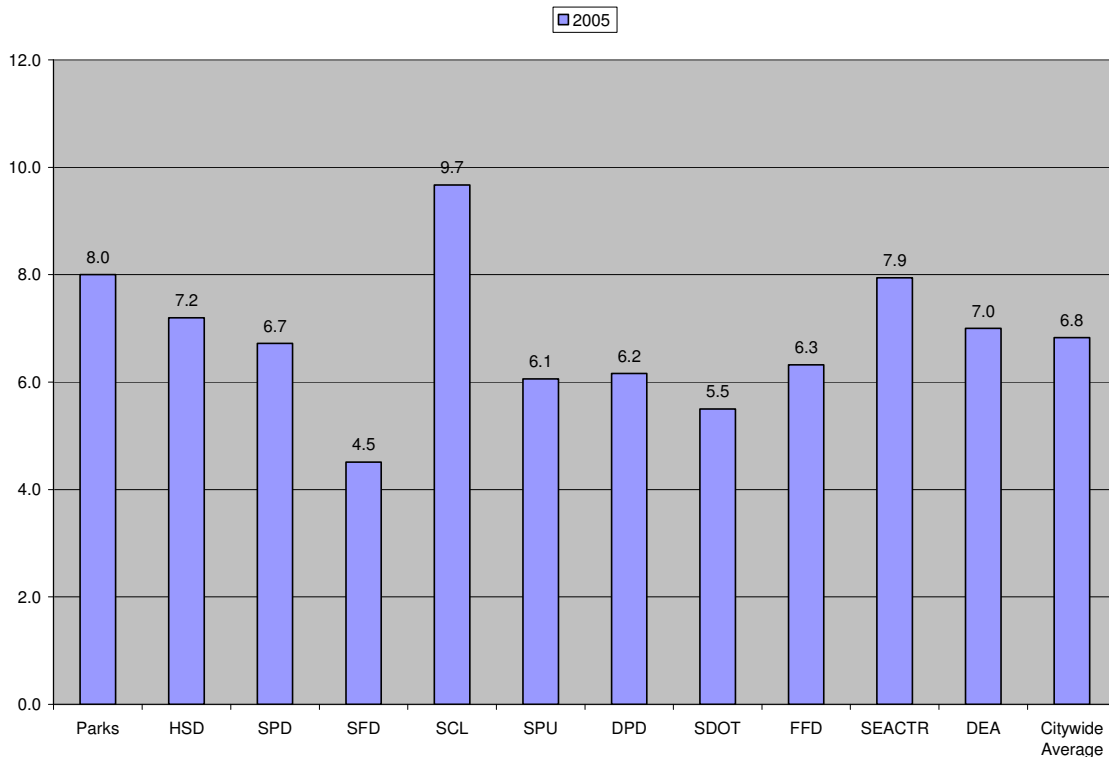
Exhibit 3: Spans of Control for the Executive Services Department, and the 2005 Spans of Control for Its Successors



City Departments Span Of Control Ratios Varied From 4.5 To 9.7 in 2005

As shown in Exhibit 4, the City departmental 2005 ratios of staff to managers range from 4.5 at the Seattle Fire Department to 9.7 at Seattle City Light.

Exhibit 4: City Departments: 2005 Average Ratios of Staff to Managers



City Departments Span Of Control Ratios Are Significantly Increased If Temporary Employees Are Considered

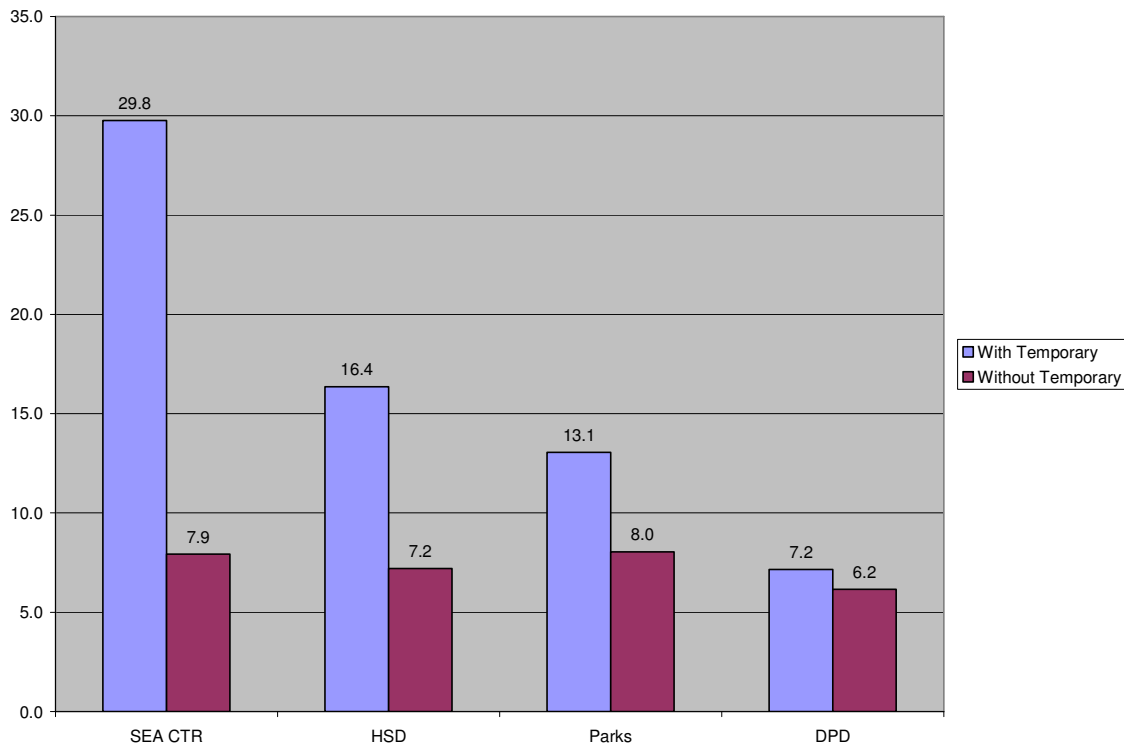
Seattle Center, the Department of Parks and Recreation, the Department of Human Services, and the Department of Planning and Development hire large numbers of temporary staff. If these temporary staff members were included in the span of control ratios shown in Exhibits 1 and 4, the departments' ratios would be higher. Department officials noted that temporary employees require as much, and often more, supervision than permanent employees need. However, simply counting these staff as if they were permanent employees could overstate the spans of control of these departments because, in some cases, these employees require less supervision than permanent employees. To provide both perspectives for the four City departments that employ significant numbers

of temporary employees, we have adjusted the span of control ratio displayed in Exhibit 1 to include temporary employees (see Exhibit 5).

As Exhibit 5 indicates, the ratios for the four departments increase significantly when temporary employees are included in the span of control calculation.

The Department of Human Service's temporary employee ratio displayed in Exhibit 5 (16.4) is based on the summer months when the number of temporary employees employed by the Seattle Youth Employment Program, Summer Sack Lunch, and Upward Bound programs increase. If the span of control excludes the department's summer temporary employees, but still counts year-round temporary employees, the ratio falls to 9.6. For more details on the Human Services Department's span of control, see Appendix 3.

Exhibit 5: City Departments: 2005 Average Ratio of Staff to Managers, Including Temporary Staff



City departments other than the four shown in Exhibit 5 have too few temporary employees to make any material difference in their average ratio of staff to managers.

Analysis Of Managers And Supervisors At Parks And HSD With Three Or Fewer Subordinates

The SLI specified that the Office of City Auditor should include two departments in our study: the Department of Parks and Recreation and the Department of Human Services. These two large departments have work that varies from very complex to relatively routine. Some of their processes have clearly defined procedures, while others require a great deal of professional judgment to reach completion. These differences in working conditions mean that the span of control that is appropriate will differ across departmental units. (See Appendix 1 for a discussion of the factors that can influence spans of control.)

We analyzed the managers in these two departments who have three or fewer subordinates based on the methodology we used in our 1996 study. In our 1996 study, we found that a significant number of managers supervised only a few staff. At that time, of Seattle's 1,651 managers, 32 percent (533) supervised three or fewer permanent employees. In 1996, Parks and Recreation had 21 of their 159 managers, or 13 percent who supervised three or fewer permanent staff. Today, Parks has 13 of their 130 managers or 10 percent who supervise three or fewer permanent staff.

It is more challenging to make the same comparison with the Human Services Department (HSD) because it was created in 1998 out of the former Department of Housing and Human Services (HHS). In our 1996 study, HHS had 10 percent (seven of 73) of their managers supervising three or fewer permanent staff. Today, HSD has 16 percent (seven of 45) of their managers supervising three or fewer permanent staff.

The sections below describe the positions we found in Parks and HSD with three or fewer subordinates.

The Department of Parks and Recreation has 13 manager/supervisor positions with three or fewer permanent employee subordinates.

We identified 13 Department of Parks and Recreation manager or supervisor positions that had three or fewer permanent staff members reporting to them. These positions represent about 10 percent (13 of 130) of the department's managers and supervisors. We obtained detailed explanations from Parks about the history and functions of these positions. According to Parks officials, these positions require expert technical knowledge and/or have major planning or budget responsibilities, and entail significant non-supervisory duties.

The following is a brief summary of the Department of Parks and Recreation's explanation of why each position has a low span of control ratio. In addition, see Appendix 2 for the full text of the department's rationale for maintaining these positions with their current span of control.

- Executive 1, Citywide Special Events: This position, which supervises one employee, must perform complex, highly visible work scheduling and issuing permits valued at approximately \$600,000 annually for about 250 large-scale special events, and managing an annual expense budget of \$165,000. The events include SEAFAIR hydroplane and air show activities, summer concerts at Lake Union, and various rallies, protests, and marches. This position also chairs the Citywide Seattle Special Events Committee, which comprises 15 City, county, and private entities. This person must work with the Seattle Fire, Police, and Transportation departments and the City Risk Manager on traffic, safety, and security issues related to the special events. This position negotiates City permit conditions with attorneys representing applicants and the City's attorneys.
- Personnel Specialist Supervisor: This position, which supervises three employees, oversees the department's recruiting and hiring practices, provides orientations to new employees about benefits, and supplies Parks management with information about the City's personnel rules and employee programs. This person is also responsible for the implementation of new procedures regarding the department's extensive use of temporary employees. In 2004, the Personnel Specialist Supervisor worked with 319 new employees and processed 4,000/5,000 human resources transactions.
- Manager 2, Employee Relations: This position, which supervises three employees, is responsible for employee and labor relations with the department's 22 unions and serves on eight citywide teams that negotiate contract language across six large departments. This position advises and assists the executive team about rights and responsibilities related to employment law and labor issues, and also represents the department in grievance, civil service, and unemployment hearings, as well as mediation, arbitration, or other legal proceedings. This position is responsible for the development, implementation and delivery of employment and performance related training programs, including but not limited to, safety and progressive discipline, the Family and Medical Leave Act, Managing Disabilities in the Workplace (Americans With Disabilities Act), collective bargaining, and performance management.
- Accountant, Principal, Revenues, Operations and Maintenance: This position, which supervises three employees, tracks and accounts revenues for Parks and the Associated Recreation Council (ARC) and reconciles them with the City of Seattle's accounting records. In 2004, this person oversaw the processing of \$160 million in revenues, \$10 million in credit card purchases and the reconciliation of a total of 22,448 deposits. In addition, this position managed the processing and payments of \$1.2 million in related Sales, Business and Occupation, Leasehold Excise, Admissions and Business License taxes.
- Payroll Supervisor: This position, which supervises three employees, ensures that payroll processing for Parks' 1,600 employees is consistent with City of Seattle

and Parks directives. This person oversees the payroll and associated overhead costs that are charged to thousands of Parks projects, and reconciles these expenses with the hours Parks employees have worked.

- Administrative Staff Analyst; Budget, Fleets and Telecommunications: This position, which supervises three employees, monitors the department's vehicles and communications systems, as well as supervises the department's main receptionists. This Administrative Staff Analyst manages 510 leased vehicles and 350 Parks-owned vehicles. This person also manages the department's complex communications system, which includes 1,050 telephone land lines as well as 513 cell phones, 75 satellite phones, 330 radio phones, and about 200 pager units.
- Manager 2, Budget: This position, which supervises two employees, serves as the Department of Parks and Recreation budget officer and oversees transportation and communication systems. This position manages the development of the department's annual budget. This person is responsible for analyzing large amounts of information, summarizing, simplifying, and presenting it to Parks management, the Department of Finance, and the City Council. Additionally, this position is responsible for developing and reviewing legislation related to the Parks operating budget, which requires communicating with the Finance Department and City Council. The budget includes approximately 950 FTEs, and 300 FTE temporary staff. The department has more than 20 different revenue sources, including two Lift Off Levies that total \$240 million.
- Security Supervisor, Security Services: This position, which supervises two employees, is the only security position within the Department of Parks and Recreation. It serves as the liaison for the department with the Seattle Police Department and community organizations regarding all security matters affecting City parks. This position requires specialized Parks knowledge of closure processes, an intrusion alarm contract, the best locations for security cameras, and distribution of keys to Parks facilities. This person also provides oversight of evening security for all Parks facilities after 11 p.m. and responds to nearly 100 percent of off-hours calls (e.g., weekends and holidays) about security problems involving City parks. This position also oversees the annual facility safety audits and provides information needed to align the department's facilities maintenance budget priorities with safety and security priorities.
- Surveyor, Chief, Engineer and Design: This position, which supervises three employees, performs specialized survey work that requires a Washington State Professional Land Surveyor (PLS) license. By law all surveys performed within the state of Washington must be performed or supervised by a PLS. Survey work requires a working knowledge of the legal land surveying principles, technical expertise in mathematics (geometry, trigonometry), and experience with the use of computer programs and electronic and manual survey instruments. This position oversees the \$405,000 survey budget for all Parks survey activities. This person is also responsible for the overall quality of the data for Pro Parks projects,

and manages the surveys for the \$16 million of land purchases for 18 new neighborhood parks and the \$10 million budget to preserve Green Spaces such as forested hillsides and creek corridors.

- Manager 2, Superintendent, Communications Office: This position, which supervises three employees, facilitates the Department of Parks and Recreation's communications and public relations efforts, and fosters citizen participation in Parks activities. This person also represents the department at the City's Emergency Operations Center, and is in daily contact with the Mayor and the City Council on Parks issues, and deals with the most serious citizen complaints and correspondence. This position interacts with the news media daily, issues press releases, and also is responsible for the department's policies and procedures and publications and manages the Parks Web site.

Currently the Seattle Aquarium is a division within the Department of Parks and Recreation. While reviewing the Aquarium's organization charts, we noted there were three positions that can be categorized as manager/supervisor positions with three or fewer permanent employee subordinates. However, the Seattle Aquarium operates as a separate entity under the department, which makes it difficult to combine these functions with other Parks programs outside the Aquarium. The positions are:

- Manager 2, Aquarium, Facilities and Operations: This position, which supervises three employees, ensures that the facility operates effectively to serve the public and keep the animals safe. This position has a high degree of non-supervisory duties, and the Aquarium facility functions are complex and specialized. Occasionally, this position oversees two to three temporary employees.
- Manager 2, Aquarium, Life Sciences: This position, which supervises three employees, provides for the daily needs of the Aquarium's animals. This person is responsible for exhibit development and serves on the design committee for the new aquarium. This position also oversees the Aquarium life sciences functions, which are complex and specialized.
- Manager 2, Aquarium, Office of the Director, Public Affairs and Marketing: This position, which supervises two employees, fosters public participation in the Aquarium's activities through marketing, managing special events, acting as a liaison to the Seattle Aquarium Society, and supporting efforts to generate additional private, state, and federal funding for the Aquarium.

The Human Services Department has seven manager/supervisor positions with three or fewer permanent employee subordinates.

We identified seven Human Services Department manager or supervisor positions that had three or fewer permanent staff members reporting to them. These positions represent about 16 percent (seven of 45) of the department's managers and supervisors. We obtained detailed explanations from HSD's Human Resources Manager about the history and functions of these positions. According to the manager, these positions require expert technical knowledge and/or have major planning or budget responsibilities, and involve supervising temporary employees as well as permanent employees.

The following is a brief summary of the Human Services Department's explanation why each position has a low span of control ratio. (In addition, see Appendix 3 for the full text of the department's rationale for maintaining these positions with their current span of control, with the exception of the Safe Harbors Program Manager 1 position, which is explained on the following pages):

- Executive 1: This position was created to lead Reinvesting in Youth (RIY), which is a 5.5-year intergovernmental project that seeks to reform the juvenile justice system by refocusing investments from incarceration to prevention programs. While this position supervises only one City employee (a Strategic Advisor), it also manages several consultants and performs high-level responsibilities, such as fund-raising and managing a multi-governmental steering committee chaired by the King County Prosecutor.
- Labor Standards Technician: This position is responsible for ensuring that construction projects worth about \$70 million comply with prevailing wage and hour laws, and supervising the enforcement measures of a Labor Standards Technician, whose actions are often the subject of inquiries by the U.S. Department of Housing and Urban Development, labor unions, and construction companies. This person has expert knowledge of federal laws and regulations as they apply to Community Development Block Grant-funded Community Facilities capital improvement projects.
- Contracts Manager 1: This position manages the Human Services Department's contract administration of 450 contracts and 200 amendments totaling about \$70 million. This person supervises two City employees, one of whom (an Administrative Specialist III) plays a key support role in the production, processing and completion of contracts, while the other (a Training and Education Coordinator) trains staff in using the department's contract management system. The Contracts Manager's duties include the review and authorization of Requests for Proposals (RFPs), and serving on inter-jurisdictional and intradepartmental committees, and as the lead subject matter expert on a project to develop a Web-based portal for citizens to apply for assistance from the Help for Working Families Program. While this position's span of control is small, it has broad responsibilities for managing the department's numerous contracts and RFPs.

- Human Services Program Supervisor: While this position supervises only three permanent City employees, it also manages and trains ten temporary Summer Sack Lunch Program employees for four to five months. This person serves as the rapidly expanding Child Care Development section's operational manager and planner, and represents them on the HSD's budget team. The section's planning and allocation tasks are complicated because in 2005 it received \$8 million in funds from nine different sources with five different budget schedules, and the section must also manage hundreds of vendor service agreements, contracts, and memorandums of understanding. This position oversees the development of grants and planning for major childcare programs and plays a major role in the evaluation of the Comprehensive Childcare Program.
- Manager 3, Youth Development: This position supervises three permanent City employees, but also oversees the management of nearly 388 temporary employees during the summer. This person is responsible for managing not only the \$10 million budget for the Youth Development section, which comes from 19 sources, but also prepares the \$26 million Family and Youth Services Division budget and oversees about 95 contracts with community-based providers.
- Human Services Program Supervisor: This position manages the Upward Bound Program and has lead responsibility for the grant writing and resource development associated with the project. This person is responsible for supervising three permanent City employees; however, in addition to this staff, this person also supervises six year-round temporary tutors and six high-school level instructors in the summer.
- Manager 1, Human Services, Safe Harbors Program: This position is responsible for overseeing the development and implementation of a database linked to numerous social service agencies that deal with homeless individuals. One permanent employee (a Senior. MSA) has been reporting to the Safe Harbors Manager. However, HSD has converted two temporary positions into permanent positions (an IT Specialist and an Administrative Specialist I-BU) that report to the Safe Harbors Manager. The Department of Finance and the Mayor approved this conversion because it is an ongoing body of work, which entitled HSD to authorize and add the positions to its budget. A total of three permanent employees now currently report to the Safe Harbors Manager. According to HSD's Human Resources Manager, the Safe Harbors Manager, in addition to overseeing the work of the three staff, also manages three contractors who work on the program. Additionally, the Human Resources Manager stated that legislation to create an IT Systems Analyst position has been prepared to present to the City Council, which would bring the total number of permanent employee subordinates reporting to the Safe Harbors Manager to four.

Conclusions

In accordance with the requirements of the Statement of Legislative Intent (SLI), the Office of City Auditor reviewed the spans of control and developed the following conclusions:

1. The City of Seattle's current ratio of staff to managers is 6.8. This is a higher ratio than was reported in our 1996 and 1997 span of control reports.
2. Five of the City departments that we assessed in 1997 that exist today have increased their span of control ratios while two departments had decreases. The Seattle Fire Department had the same ratio (4.5) in 2005 that it had in our 1996 report.
3. We were unable to find recent span of control ratios from other jurisdictions to include in this study.
4. Overall, we have no recommendations to increase the span of control in the City of Seattle or projected savings from such increases.

APPENDIX 1

BACKGROUND AND DEFINITION OF TERMS

Definition of span of control

The span of control refers to the number of subordinates who report to one manager. For organizations, the average span of control is the ratio of all employees (including managers) to management staff. This technique recognizes that supervisors are staff in one layer and are supervisors in the next.

Definition of manager

A manager refers to all supervisory employees, including department heads, managers and supervisors at all levels (e.g., line supervisors). A manager is a person who allocates work assignments, instructs subordinates in the work they will perform (either directly or by enforcement of well-established rules), evaluates work based on results, and works with subordinates to improve performance. This person may also serve as a technical expert and in a trouble-shooting role. The key criterion for being a supervisor is having the responsibility of performing formal performance evaluations.

Definition of layers of management

The maximum number of people, including the chief executive, through which a line staff employee must report in order to reach an organization's chief executive. In calculating Seattle's layers of management, the Mayor would be counted as Layer 1, while line staff members are not counted as a layer. For example, an organization with the following layers of management would have four levels of management:

1. Mayor
2. Director
3. Manager
4. Supervisor
5. Line Staff

The emergence of span of control

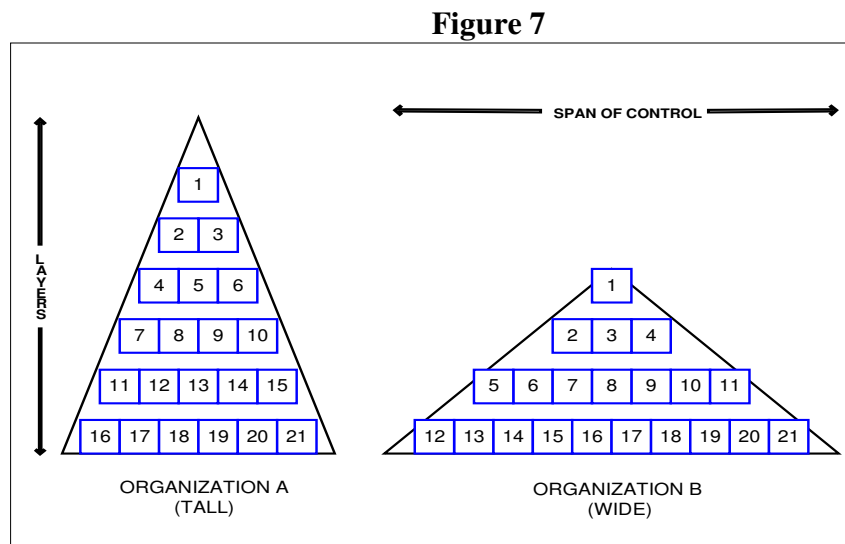
In the 1990s, many organizations, including the City of Seattle, looked at the ratio of total staff to managers (span of control) as a technique to fine-tune their organizational structures. The span of control and the layers of management in an organization determine the way the organization delegates tasks to organizational units. Because the structure of most organizations has evolved over time rather than arising from systematic planning, some organizations believe that by analyzing their spans of control and layers of management they can increase their efficiency and effectiveness by redesigning their structures.

No ideal ratio of staff to managers and number of management layers

No ideal structure exists that fits all organizations or all functions within an organization. Numerous factors come into play in determining the best ratio of staff to managers, including the nature of the work tasks to be performed and special circumstances.

- Multiple work shifts - Some City functions must be staffed more than eight hours per day but do not require a large staff. This creates a low staff-to-manager ratio.
- Expert supervisors - Highly specialized tasks require expert supervision. For example, Seattle’s Treasury Investment Director supervises one employee. This function needs to be coordinated by an expert in the investment area, but the workload requires only a total of two staff.
- Legal considerations - Grant-funded programs may require specific organizational structures, and labor union contracts may require the presence of supervisors for a specific number of staff.

As seen in Figure 7, organizations are described as “tall” when few employees report to each manager, and there are many management layers, and “flat” when many employees report to each manager and there are only a few management layers.



Taller organizations disperse decision authority among successive layers of management, which generally increases the time it takes to make service decisions. Flat organizations focus decision-making authority closer to the units that provide direct services. This allows faster, more customer-oriented decision-making. Other advantages of flat organizations mentioned by management literature include:

- Lower management costs
- Greater employee satisfaction and motivation
- More opportunities for development of employee skills
- Greater management focus on planning and goals
- Less duplication of tasks, roles and responsibilities
- Less micro-management and faster decision making
- Clearer communication between bottom and top layers
- Less paperwork due to fewer reporting requirements
- Decreased need for management-support staff
- Fewer planning and coordination meetings

APPENDIX 2

DEPARTMENT OF PARKS AND RECREATION RESPONSE TO OFFICE OF CITY AUDITOR QUESTIONS ABOUT SUPERVISOR/MANAGER POSITIONS WITH THREE OR FEWER SUBORDINATES

Executive 1, Citywide Special Events

The purpose of this position is to develop, coordinate, schedule and issue permits for large-scale special events for the City, such as Seafair, Summer Concerts on the Pier, and the National Parks and Recreation Association's Conference in 2006. This position also chairs the city-wide special event committee.

Office of City Auditor Question: Is there a comparable function this position could be merged with?

This position develops, coordinates, schedules and writes and issues permits for approximately 250 large-scale special events for the City and the Seattle Special Events Committee. These include Seafair special events, Hydroplane and Air Show, Summer Concerts at South Lake Union Park and rallies, parades, protests, marches and processions involving highly sensitive 1st and 14th amendment rights. In addition, this position provides staff support to the Park Superintendent and Deputy Superintendent for the National Parks and Recreation Association's Conference planned in Seattle in October 2006. This position also chairs the city-wide special events committee, comprised of 15 city, county and private entities.

Office of City Auditor Question: Can you give examples of the type of work this position is responsible for that makes it have a complex nature? For example, how many people are involved in Seafair, the summer concerts and the upcoming conference?

The complex nature of this position involves working with Police, Fire, SDOT and the City's Risk Manager on traffic, safety and security issues to minimize the impacts of special events on businesses and surrounding neighbors, analyzes citizen and sponsoring organizations' requests within the City Special Event Ordinances to ensure compatibility, and coordinates with the Mayor's office on permitting conditions and oversight. The position is also responsible for working with Parks staff to ensure the proper set up and take down of events within permitting conditions, and to ensure that multiple activities in parks do not create conflict. No two events are alike, and there are myriad policy issues involved in coordinating each event. Thousands of people attend Seafair, Summer Concerts at South Lake Union Park. We expect 14,000 visitors to attend the NRPA Congress in 2006.

Office of City Auditor Question: Why does this position receive a high degree of public scrutiny?

This position issues legal documents and makes decisions on behalf of the City. Major special events such as the Seafair Torchlight Parade and run, Hydroplane races and Air

show, 4th of July Fireworks at Gasworks and Myrtle Edwards Parks, rallies, marches, parades and processions and constitutionally protected special events, attract thousands of citizens, and receive high media coverage. The City must have a great deal of trust and confidence in the incumbent of this position to avoid negative press and/or safety and legal implications/challenges if proper conditions are not addressed in the permit process. This position negotiates city permit conditions with the attorneys representing applicants and the city's attorneys to avoid a legal challenge.

Office of City Auditor Question: Does this position manage a large budget?

This position manages an expense budget of \$165,000 and is responsible for issuing permits that contribute over \$600,000 in revenue to the Park fund and additional revenue to the City's general fund.

Office of City Auditor Question: What public and private large organizations does this position interact with?

Public Organizations:

Police
Seattle Center
Revenue and Consumer Affairs
Planning and Development
Fire
Neighborhoods
Transportation
Risk Management
City Attorney
Parks and Recreation
Mayor's Office
Metro
Washington State Patrol
Liquor Control Board
Washington State Department of Transportation
Seattle/King County Health
Port of Seattle
University of Washington Athletics and Parking Departments
Seattle Pacific University
FAA

Approximately 200 non-profit and private large organizations including:

Chamber of Commerce's
Downtown Seattle Association
PARC
American Civil Liberties Union
Neighborhood District Community Councils and Clubs
One Reel
NRPA

The Workshop
Hamilton Events
South Lake Union Friends and Neighbors
Quest Field
Stadium Expedition Center
Seattle Seahawks
Husky Athletics
The Mariners

Office of City Auditor Question: Does this position work on high-level special projects? If so, please give some examples.

Moving of the concerts from Pier 62/63 to SLU involved the following selected activities: meeting with the Parks Superintendent and the Director of Transportation to determine traffic safety considerations for citizens attending the event including how to provide safe traffic control at Valley and Terry and Westlake and Valley. Interpret those conditions to One Reel, Park management, members of SLUFAN and SLUNET to ensure safe entrance to SLU. Coordination with Washington State Department of Transportation Aviation Division, Kenmore Air, Police, Fire and harbor patrol to develop a plan that made it possible for air traffic at an international airport to take off and land before and during concerts. Meet with concerned business and neighborhood groups to answer questions about the plan and ensure that their lives and property were not negatively impacted.

The Special Events Coordinator works with the City Attorney's Office and the Mayor's office to review proposed changes to the current special event ordinance. This requires an understanding and application of constitutional law that involves several City departments, articulating concerns and impacts that will minimize and prevent political and legal challenge.

This position represents the department of Parks and Recreation on the Seattle Special Events Committee. This committee is a budget office response to a Council SLI focused on two objectives: to study options for cost reduction of city service and/or cost recovery program aimed at reducing public safety overtime, including police overtime.

Office of City Auditor Question: Can you tell us about the work conducted by the SLU and Downtown Parks Event Scheduling unit? How is it different from the work conducted by the citywide Special Events Executive?

The Parks Event Scheduling unit schedules outdoor special events that occur on park grounds, picnic sites throughout the system, weddings, and processes day camp registrations. The South Lake Union staff schedule special events and rentals for the SLU Armory and the Park. This work is separate from the major special events that occur on private property, public right of way and involve complex decision making and citywide coordination although there is coordination and problem solving between the three units.

Personnel Specialist Supervisor, Human Resources Unit, Employment Services

The purpose of this position is to provide employee services and information to management about the City of Seattle's personnel rules and employee programs. Oversee department's recruiting and hiring processes. Maintain department's personnel files. Enter HRIS transactions. Conduct benefits orientations.

Office of City Auditor Question: Can you tell us how many employees this function provides employee services for?

Over 1900.

Office of City Auditor Question: On an annual basis, how many new employees does this position work with, and how many employee personnel transactions does this position process?

319 new employees in 2004 and 4000-5000 transactions for the unit.

Office of City Auditor Question: Please tell us more about what is involved in the new temporary procedures (i.e., "This position is responsible for implementation of new temporary procedures.")? What are the new temporary procedures? Do they cover the entire department? Is it a large body of work?

The temporary procedures cover the entire department and are a large body of work:

Work with divisions to forecast temporary needs
Develop procedures for compliance with new procedures and provide training and materials to do so
Receive, edit, review and determine whether to submit to Personnel
Submit request online to Personnel and respond to inquiries and change requests
Communicate final disposition to department supervisors
Monitor temporary assignments for compliance with approved assignment parameters
Create reports about temporary usage
Work with divisions to identify assignments to convert to regular positions
Provide benefit information to benefit-eligible temporary workers
Develop procedures to reduce the number of temporary workers and their hours

Office of City Auditor Question: Does this position manage a large budget?

No

Manager 2, Finance and Administration, Human Resources Unit, Employee Relations

The purpose of this position is to foster communication and dispense information about the personnel policies and procedures for the City of Seattle and the Parks and Recreation

Department. This position is also responsible for employee and labor relations – the department has 22 unions represented. Has a heavy burden of non-supervisory duties in the above responsibilities and entails complex procedures and a great deal of coordination with other department units.

Office of City Auditor Question: Does this position manage a large budget?

No

Office of City Auditor Question: Does this position do bargaining? Or have to attend lots of meetings with labor unions? Do they do the tracking of all these union contracts for the department? Is there a large database they need to manage?

Yes, this position is responsible for bargaining, processing and resolution of all department grievances and investigations, handles inquiries and concerns from labor representatives, employees and management. This position is responsible for not only tracking union contracts but also coordination with City Personnel on negotiation outcomes and language. This position manages multiple databases including, EEO tracking, Grievance tracking, internal complaint tracking, disciplinary tracking, unemployment tracking and performance management tracking.

Office of City Auditor Question: Can you tell us more about the complex procedures this employee works with?

This position requires a complex position with a large workload and must be highly proficient in all areas of Human Resource & Labor Management including contract interpretation and compliance for 22 unions, investigations, grievances, discrimination complaints, employee complaints, facilitated resolutions and policy development and administration. Currently this position serves on eight city-wide negotiating teams which negotiate contract language across six large government departments with over 10,000 employees. This position also provides expert level advice in the administration and legal compliance for the department in the areas of FLSA, ADA, FMLA, EEO, and other state, federal and local employment law requirements. This position advises and assists the executive team about rights and responsibilities related to employment law and Labor issues. This position represents the department in grievance hearings, Civil Service hearings, unemployment hearings, mediation, arbitration or other legal proceedings. This position is responsible for the development, implementation and delivery of employment and performance related training programs, including but not limited to Safety and Progressive Discipline, FMLA and Managing Disabilities in the Workplace (ADA), Collective Bargaining Units and Performance Management.

Office of City Auditor Question: How do they coordinate with the other department units?

Coordination occurs by having regular meetings with division heads, change team leaders, senior staff and the superintendent's office. Division heads routinely request this

position to review, develop and implement not only division wide directives but also directives, policies, procedures or practices that may impact the department as well as the City as a whole.

Accountant, Principal, Finance, Budget and Accounting, Revenues Operations and Maintenance

The purpose of this position is to track and account for the Parks Department’s revenues and reconcile them with the City of Seattle’s accounting records, as well as perform other accounting-related activities.

This position is responsible for the department’s and the recreation association’s revenues. Has a heavy burden of non-supervisory duties in the above responsibilities and entails complex procedures.

Office of City Auditor Question: What are the level and/or the volume of the revenues that this position reconciles on an annual basis for the City and the ARC?

	2004
Revenue processed	\$160 million
Public credit card purchases from Park facilities	\$10,006,306
Credit card batches of transactions processed	13,451
Types of revenue processed	319
Revenue deposits reconciled**	22,448
Taxes processed and paid: Sales, B&O Leasehold Excise, Admissions, Business License	\$1,172,256

Office of City Auditor Question: Does this position produce special reports that go to a high level, like the Superintendent?

This position is responsible for collecting all revenue data, processing it into the City Financial System (Summit), and ensuring that the data is accurate so that the \$160,000,000 in Parks annual revenue that shows up in hundreds of Summit financial reports, 200+ Parks-produced financial reports, and the City’s Comprehensive Annual Financial Report (CAFR), will be correct. These reports are used by hundreds of Parks employees at all levels up to and including the Parks Superintendent, as well as Department of Finance, City and State Auditors, and all others who use the City’s financial information. This position produces other revenue reports as needed and requested for the same group of users.

Office of City Auditor Question: Can you name some of the areas that this position is responsible for in more detail than the Department and ARC?

The revenue section is responsible for the proper receiving, processing and reporting of department revenue. Responsibilities include completion of the following tasks. Collect and review revenue financial reports from department facilities. Analyze financial

reports and transactions to identify problems. Maintain revenue database used for bank reconciliation and entering revenue data into Summit via month-end journal entries. Reconcile all revenue generated by 50 department facilities to bank data provided by Finance Department. Research discrepancies between department facilities, Finance Department and bank to recover funds not credited to the department. Process journal entries to correct coding and distribute and accrue revenue. Calculate and create invoices. Deposit and code funds received at the Accounting Office. Calculate and process payment of City and State taxes and customer refunds. Process payments to non-City organizations such as ARC, SEAS, and Omidome to refund non-City funds deposited in the city bank account. Maintain petty cash accounts and change funds. Review and pay small customer refunds from petty cash account. Coordinate collection, reporting, and write off of NSF checks. Provide revenue related information to department staff, other city departments, bank, auditors and the public. Handle special revenue related projects and reports.

Payroll Supervisor, Finance and Administration, Finance, Budget and Accounting, Payroll

The purpose of this position is to ensure that payroll processing for the Parks Department is consistent with City of Seattle and Parks Department directives.

Office of City Auditor Question: Is there a comparable function this position could be merged with?

No, other positions with supervisory responsibilities in the financial management arena would be overloaded if combined with this position, because they have a high degree of non-supervisory duties in their own area. Each area, as well as this one, is highly specialized. Has a heavy burden of non-supervisory duties, responsible for payroll for 1600 employees, cost accounting and overhead administration.

Office of City Auditor Question: Can you explain more of the cost accounting and overhead administration and what is involved in those two areas?

Payroll costs are not just charged to the home low org of the employee. This position distributes the payroll costs to over 250 orgs in the department and to a couple thousand projects according to the hours worked as they relate to these orgs and projects. In addition, an overhead rate is applied to recover the costs of benefits and distribute them appropriately to the correct orgs.

Administrative Staff Analyst, Finance and Administration, Budget, Fleets and Telecommunications

The purpose of this position is to track and monitor the department's vehicles and communications systems. Supervises the department's main receptionists. Has a heavy burden of non-supervisory duties, especially related to the department's vehicles

Office of City Auditor Question: Is there a comparable function this position could be merged with?

No, the work is complex, technical and requires a high degree of coordination with other units in the department. Track and monitor the department's vehicles and communications systems. Supervises the department's main receptionists. Has a heavy burden of non-supervisory duties, especially related to the department's vehicles.

Office of City Auditor Question: How many vehicles does this position manage?

This position manages 510 leased vehicles and 350 parks owned vehicles.

Office of City Auditor Question: How large is the communication system and what types are there? Do all staff have radios or walkie-talkies that need to be tracked and if so, can you tell us the name of the system and approximate number of units that comprise the system?

Land Lines => Total 1050 telephone land lines
790 land line units actual leased telephones from the Department of Information Technology
Meridian telephones that can be used with five-digit dialing
Close to 850 circuit/telephone numbers provided by the Department of Information Technology
Five Digit dialing numbers
200 additional telephone lines that are provided by Qwest.
Include Fire and Security alarms along with HVAC and elevator lines
Cell Phone => Total 513 cell phone units
106 Digital phones provided by Cingular Wireless
75 Satellite phones provided by Cingular Wireless
330 Radio/Phone units provided by Nextel Wireless
2 Digital phones provided by Verizon Wireless
Pagers => Total 200 pager Units
Pagers are provided by the Comm. Shop with the Department of Information Technology.
Radios => Total 139 radio Units
There are a mix of handheld and truck radios provided by the Comm. Shop with the Department of Information Technology

Office of City Auditor Question: Does this position arrange for the repair and replacement of vehicles and communications equipment?

We monitor the Nextel and DoIT phones and radios in our systems. 330 Nextel radio/cell, 139 radios.

Office of City Auditor Question: Does this position perform contract monitoring and administration?

Yes

Office of City Auditor Question: Does this position manage a large budget?

This position does not directly manage a budget but is responsible for monitoring spending and alerts the division, which does manage the budget of expenditures that may be in access of a budget line.

Manager 2, Finance and Administration, Budget

The purpose of this position is to serve as the Parks and Recreation Department budget officer and oversee the department's transportation and communication systems. Has a high degree of non-supervisory duties.

Office of City Auditor Question: How many vehicles does this position manage?

The department's Fleet Coordinator directly reports to this position. The latter coordinates the Parks department inventory that includes 860 vehicles, one of the largest inventories in the City of Seattle.

Office of City Auditor Question: How large is the volume of the communication systems? Do all staff have radios, cell phones or walkie-talkies that need to be tracked and if so, can you tell us the name of the system and approximate number of units that comprise the system?

See the response for the Fleet Coordinator.

Office of City Auditor Question: Does this position arrange for the repair and replacement of vehicles and communications equipment?

This position supervises the department's Fleet Coordinator and this position is also a member of the City's Fleet Advisory Board. The Fleet Coordinator is responsible for arranging for the purchase, replacement, repair of vehicles and communication equipment.

Office of City Auditor Question: Can you describe some of the complexities of the department's budget and its budget process?

This position manages the development of the Parks Department annual budget process annual financial monitoring, and provides oversight of the Parks and Recreation proposed operating budget. This position is responsible for analyzing large amounts of information, summarizing, simplifying, and presenting results in a logical and meaningful format to Parks management, DOF, and Council. Responsible for developing and reviewing legislation related to Parks Operating Budget that will be sent to the Finance Department and Council. This position coordinate and reviews the work of a matrixed group of eight

Strategic Advisor 1's whose annual workplan covers the financial and administrative programs of the department. This position provides annual performance input for each member of the matrixed group.

The Parks Department budget includes approximately 950 FTE, and 300 FTE temporary staff. The department has over 20 different revenue sources, including 2 substantial Lift Off Levies that total \$240 million. Since 2003, the department has reduced its operating budget by \$14 million. This requires a planning and implementation schedule that begins in January and culminates in the budget being adopted in November of the same year.

Office of City Auditor Question: Is there contract monitoring and administration involved in this position?

Special consultant contracts that involve the department's financial program.

Office of City Auditor Question: Does this position work on high level special projects? If so, please give some examples.

Golf Program: This position is responsible for the monthly financial monitoring and reporting of the Golf Program, which is then presented to the City's Budget Office and City Council on a monthly basis, as required by contract. This program includes 4 municipal golf courses with an annual revenue base of \$9 million, an outside management contract. The program's previous contractor had poor operating results that placed this program's financial position in a deficit. To that end, the 6 year financial forecast includes a schedule to repay the Parks Fund for the deficit that has been assumed by the Department. The program's annual expenditures include both City and vendor expenses and staffing. The program requires an annual financial audit, which is coordinated by this position.

Member of the City's Fleet Advisory Committee (FAC) that includes high level executive management from other major city agencies. Purpose: The FAC is anticipated to act in an advisory capacity, and to recommend customer-friendly and consistent fleet policies throughout the City. All aspects of fleet operations may be covered, including policies and procedures, charge-back systems, fleet utilization, replacement planning, maintenance, high technology vehicles and other fleet related issues. The Board will create a formal cross-department focus on fleet management that through education, communication and experimentation will yield added value and savings to the Fleet Division's customer departments and thus to the City.

SPU	Deputy Director – Operations
SCL	Director – Electrical Services, South
SPD	Assistant Chief - Patrol Operations
SFD	Deputy Chief of Services
Parks	Grace Harris, Budget Manager
SDOT	Street Maintenance Division Director
FFD	Fleet Services Director

Security Supervisor, Maintenance Services, Client Services, Security Services

The purpose of this position is to manage the security of the department's many and varied facilities. There is a high degree of non-supervisory duties involved, as well.

Office of City Auditor Question: Is there a comparable function this position could be merged with?

No, this is a discrete and specialized function in the department and needs its own expert supervision. This is the only actual Security position in the Parks Department. This position is the liaison between all of Parks Supervisory staff and the Police Department staff, and community advocates.

Office of City Auditor Question: Why does Parks need a discrete and special function for security in the department? Can you give some reasons why this is necessary?

Liaison work between community, Parks staff, park users, and the Police and Fire Departments is a critical function requiring specialized training and knowledge of processes for Park closures, restitution cases, supervising the Parks Incident database, negotiating between Facilities Maintenance and Park users about who gets keys for which facilities, overseeing the Guardian Services Intrusion Alarm contract, various Fire Alarm monitoring contracts, supervising the Key Control function, overseeing evening Parks Security until 11:00 pm during the week, after most Parks Management staff has gone home.

Office of City Auditor Question: How can such a small unit handle this need?

It is a tremendous challenge, but staff utilize the expertise, cooperation, and commitment of the Parks Safety Office, the Hazardous Materials response team, the Park Resources and Recreation Management team, and have built relationships with the Precinct Commanders and the Community Service Officers staff.

Office of City Auditor Question: Why can't the Parks Department call the Seattle Police Department when they need security and eliminate this program?

We work with the Police Department on a daily basis. Our Security team does not provide an enforcement function. That is left to the Police. We provide administration, maintenance, organization, knowledge of Park properties, processes, rules, regulations, Park hours, intrusion alarm functions, fire alarm functions, concession agreements, Park events and permits, knowledge and oversight of the key and lock inventory, annual facility safety audits for Park properties, and work to align Facilities Maintenance budget priorities with safety and security priorities. The Police Department does not provide any of these functions.

Office of City Auditor Question: What parks does this program focus on? Do they issue alerts, reports or procedures to the entire department?

The focus of the program is to work as a mediator between disputing Park users, and Parks management, to provide for the safety and usability of properties and facilities. This includes such diverse duties as walking through parking lots with maintenance staff, electricians, budget staff, and Police to determine which bushes should be cut back, which gates should be closed or open at what times, where bollards should be placed, where fencing should be added, where security cameras are placed for best surveillance, what the appropriate wording is for Parks regulatory signage, what parking restrictions should be in place and for how many hours, checking that Park users are using use permits appropriately, submitting work orders to repair or replace broken or burned out park security lights, etc.

In addition, this program answers nearly 100% of off-hours calls. After 4:00 pm during the week, and almost all of Saturday, Sunday, and Holidays, the only authoritative position working in the Parks system is the Security unit. Since they are the only unit regularly working swing shift and weekends, year-round, they take hundreds of trouble calls and handle solutions, when no one else is around to make decisions and take action.

Surveyor, Chief, Planning and Development, Engineer & Design

Office of City Auditor Question: Is there a comparable function this position could be merged with?

No, this is a highly specialized area and requires expert supervision, although the workload only requires 3 additional staff. This position is responsible for staff and overall quality of the data for Pro Parks projects. The position has a heavy burden of non-supervisory duties.

Office of City Auditor Question: What kind of surveys does this position perform? For which parks? Who receives the reports or the results of the work that is performed? Does it go to the City Council? The Mayor? The Citizens? The Parks Board?

The Parks Chief Surveyor is the only position that requires a Washington State Professional Land Surveyor license. By law all surveys performed within the state of Washington must be performed or supervised by a PLS. Parks Chief Surveyor is responsible for providing property/facility surveys (legal/cadastral/topographic). The surveys contain all the legal property issues, location of all improvements made which are still intact, and location of all topographic features. These surveys are done for all Parks and Park sites.

The 'reports' are made in various mapping formats.

A legal Record of Survey is drawn when Park/City property corners are established or recovered. These are filed as required by law with King County Records.

An existing conditions map, which contains all the pertinent legal data/property lines, all improvements including all utilities of record, all topographic features is another format. These are filed in the Park Dept map files on the 3rd floor of the RDA building, and are available department wide as a resource.

Often survey sketches are drawn depicting encroachments upon public property and delivered to Property Management for abatement.

Office of City Auditor Question: Does this position manage a large budget?

The entire annual budget for Park Survey is \$405,000 (both personnel & non-personnel).

Office of City Auditor Question: Are the staff members in this unit all professionals, with some sort of special training or professional certification? If so, can you please describe this specialization or certification?

The Chief Surveyor is a licensed professional. The Senior Civil Engineering Spec just under the Chief Surveyor should have passed the State exam for Land Surveyor in Training. The other positions are non-licensed para-professionals, which require both advanced technical training and experience. Survey work requires a working knowledge of the legal principles of land surveying, technical expertise in mathematics (geometry, trigonometry), knowledge of the use of a number of technical computer programs (Coordinate geometry, CAD, GIS, DataCollection), knowledge of the use of a number of electronic survey instruments (as well as the manual survey instruments) including electronic total stations and GPS receivers. All personnel here have at least 15 years of survey experience. Without that level of experience, I believe we would not be able to complete our tasks within project timeframes.

Office of City Auditor Question: Is the level of work highly complex? If so, can you describe some of the things that make it complex?

Survey work is highly complex. Besides the variety of technical knowledge needed to operate and collect survey data, knowing what to do with it is paramount. Every survey is a challenge to ensure that the data is as accurate as possible (there are no absolutes in surveying) and meets the legal requirements for accuracy. The location of property corners are established by applying the rules of law to the measurements and deriving an opinion. Topographic surveys require accurate three dimensional control over a large area to be able to provide data that is useful in the design and construction of roads, sewers and other utilities, and buildings.

Office of City Auditor Question: Is the work out of the ordinary and require a lot of professional judgment to be exercised? If so, can you describe some of the types of issues that require that judgment to be used?

Application for licensing as a land surveyor requires meeting lengthy educational and experience targets. The reason is that surveying requires professional judgment as to the placing of property boundaries. Conflicting property descriptions, poorly written

property descriptions, acceptance of physical evidence (monuments) to support location of property boundary, and encroachments are just some of the areas needing professional judgment. There are many daily issues of judgment to resolve an almost constant supply of discrepancies within surveying measurements.

Manager 2, Superintendent, Communications Office

The purpose of this position is to facilitate communications and public relations of the Department of Parks and Recreation.

Office of City Auditor Question: Is there a comparable function this position could be merged with?

No, the workload is too great to combine with another position and has a very high degree of public scrutiny in representing the department. This position facilitates communications and public relations and fosters participation in the activities of the Department of Parks and Recreation. Represents the Department on the City's Emergency Operations Center. The position has a very heavy burden of non-supervisory duties.

Office of City Auditor Question: Does this position handle all public outreach and things such as flyers and press releases for the Department?

Yes

Office of City Auditor Question: Does this position handle press questions?

Yes, usually several a day. They range from responding to press questions about outside events to responding to press questions about Parks activities. To view news releases, please see: <http://www.seattle.gov/news/default.asp> and choose "Parks and Recreation."

Office of City Auditor Question: Does this position have a special body of knowledge associated with it, such as graphic design or journalism?

It requires both breadth and depth of knowledge: of budget, the park system, legislative processes, politics, media relations, public relations, and city systems, and great matrix management, problem-solving, and leadership skills.

Office of City Auditor Question: Does this position manage a large budget?

No

Office of City Auditor Question: Is this position used as a department-wide consultant for questions related to communicating with the department's customers and stakeholders?

Constantly, on writing, Parks policy, history, protocol, information. Deal with most difficult citizen calls and e-mails, edit important correspondence.

Office of City Auditor Question: Does this position serve on the Executive or the Management team?

Yes

Office of City Auditor Question: Is this position in contact with the Mayor and the Council on Parks issues?

Both, daily

Office of City Auditor Question: Does this position work on high-level special projects? If so, please give some examples.

Yes. Parks public involvement policy; Park Guide; manages Parks' web site, the City's largest and busiest; drafts numerous internal and external policies; responds to other cities' questions on park operations and policies; fields questions and crafts responses to citizens and community organizations on controversial issues; represents Parks on many interdepartmental committees, including the Downtown Parks Task Force, the Center City Communications Team, and the (Environmental) Citizens Action Guide Team.

Office of City Auditor Question: Are there contracts that this position monitors and administers? If so, what are the dollar amounts and the complexity of them?

From time to time, usually for production of a publication or other document to the amount of \$15,000 per year.

Office of City Auditor Question: What are the names of some of the publications that this position is responsible for (for example, the "News from Denny Park")?

Seattle Park Guide

Various brochures (e.g. off-leash areas, Seattle Conservation Corps, use of scooters, Amy Yee Tennis Center, pamphlets, fliers, meeting cards, language for signs and plaques

All web content

Parks policies and procedures (task may call for policy, writing, or editing skills, or all three)

News releases (average one per day)

Employee newsletter, Grassroots, when time permits

Review briefing papers for Mayor and Council

APPENDIX 3
HUMAN SERVICES DEPARTMENT
SPAN OF CONTROL REPORT
JUNE 2005

The span of control ratio for the Human Services Department as a whole currently stands at 1 to 7.2, excluding all seasonal and temporary staffing. This represents a significant increase over the 1997 ratio of 1 to 4.4. In evaluating the Department's span of control, it is important to recognize two major variables: (1) every manager or supervisor in the Department is responsible for a major body of work, over and above that carried out by subordinate staff; and (2) the Department's span of control ratio is significantly skewed by the exclusion of temporary/seasonal employees from the calculation.

With the inclusion of year round temporaries employed in work training capacities or in various programs throughout the department, the span of control ratio increases from 7.2 to 9.6. During summer months, this ratio increases further to 16.4, as the number of temporaries employed by the Seattle Youth Employment Program, Summer Sack Lunch and Upward Bound programs increase. The inclusion of these employees in the calculation is a far more accurate reflection of the actual scope of work handled by supervisors/managers.

In analyzing the ratio of *regular* employees to Supervisors/Managers by Division, the disparity in evaluating span of control without considering oversight of temporary employees becomes more apparent. The ratio of Supervisors/Managers to employees by Division are as follows:

- 1:8.8 in Aging & Disabilities Services;
- 1:7.0 in the Domestic Violence & Sexual Assault Prevention Office;
- 1:6.7 in Leadership & Administration;
- 1:5.9 in Community Services; and,
- 1:5.5 in Family & Youth Services.

Focusing exclusively on *regular* employees in calculating these ratios significantly understates the actual span of control in the Family & Youth Services Division. In actuality, the number of temporary staff hired, directed and supervised year-round is 94, which increases to 398 during 3-5 months of the summer. Adding these figures to the 77 regular staff employed in the Family & Youth Services Division, increases the workforce profile to 171 year-round and 475 over the summer. This equates to a span of control ratio of 12.2 year round and 33.9 during the summer months.

In analyzing the span of control by Supervisor/Manager in descending order, it is apparent that the number of Supervisors/Managers whose span of control is equal to or below a 1:3 ratio is relatively small (6 or 13%), while 39 or 87% of Supervisors/Managers have spans of control ranging from 1:4 to 1:14.

There are six Supervisors/Managers with spans of control equal to or less than 1:3. The following is a synopsis of key factors that provide supporting rationale for maintaining these positions with the current spans of control.

Executive 1

This Executive 1 position was specifically created to lead Reinvesting in Youth (RIY), a 5.5 year intergovernmental project charged with developing systemic approach to reform the juvenile justice system and refocusing investments from incarceration to preventative support programs. The Executive has leadership responsibility for developing financial support from foundations (\$2.6 million to date) and 14 local governments (\$1 million to date). During this past year, it had full responsibility for negotiating a memorandum of agreement with King County, which resulted in an investment of \$1 million through 2006. In addition to its fundraising responsibilities, the Executive has full responsibility for managing the project budget, which is estimated at \$6.5 million for the life of the project.

The Executive is also responsible for mobilizing financial and political support for RIY's state legislative reform initiative, which has produced more than \$1 million to date. The position is politically visible and works directly with both County and City leadership to project a vision and advocate for juvenile justice reform. As part of the integrated approach to systemic reform, the Executive manages a multi-governmental/agency Steering Committee, chaired by the King County Prosecutor, overseeing fundraising initiatives and the guiding strategic investments for reform.

In addition to major fundraising responsibilities, the Executive is responsible for ensuring the achievement of program strategic goals to strengthen families; ensure the health and safety of youth; refocus investments from incarceration to prevention and eliminate boundaries between public safety and human services; reduce the disproportional involvement of youth of color in the juvenile justice system; and integrate juvenile justice, mental health, drug and alcohol, schools and foster care into an integrated system of preventative support services. Program initiatives have included expansion of evidence-based intervention services including implementation of two functional family therapy and one multi-systemic therapy teams serving 272 high-risk youth and families, and support of the Reclaiming Futures project's efforts to integrate mental health, chemical dependency and juvenile justice services for dually diagnosed youth. Program evaluation initiatives have included financial support for the development of a systemic approach for evaluating youth and family programs offered in Seattle and King County, and development of a systemic approach to assess the cultural competency of community based agencies in Seattle and King County. The Executive is also responsible for completion of a Best Practices Study of programs serving juvenile-justice-involved youth and to develop a technical assistance strategy to bring best practices to community-based organizations serving youth throughout the City and County.

The Executive and its one direct report, a Strategic Advisor 1, work collaboratively to carry out these broad project goals. The Strategic Advisor focuses on managing grants,

contracts, RFQ processes and budgets associated with the implementation of various RIY projects. While the Executive's supervisory span of control is small (1 regular employee), this is not reflective of the broad scope of responsibilities managed by this position. In addition to the one direct report, the Executive also manages a number of consultants working on various components of the project. The level of this position is driven primarily by its high-level scope of responsibilities rather than its supervisory responsibilities.

Labor Standards Technician Supervisor

The Labor Standards Technician and Supervisor are responsible for ensuring construction projects worth approximately \$70 million annually are in compliance with prevailing wage and hour laws. This is highly technical work and requires in-depth knowledge of a multiple, complex federal laws and regulations including:

- Community Development Block Grant Standards 24 CFR, Part 570.603
- Contractor Debarment & Suspension 29 CFR, Part 24
- Federal Labor Standards 29 CFR, Part 5
- Section 3, Regulation of the HUD Act of 1968, 24 CFR, Part 135
- Copeland Anti-Kickback Act 29 CFR, Part 3

The Supervisor is responsible for ensuring the proper application of these regulations and timely implementation of changes in federal regulations and wage rates.

The work requires both a paper review of wage documentation as well as site visits and interviews of construction workers in the field. It routinely requires a full assessment of the scope of work performed to ensure contractors and subcontractors have properly classified the work and applied the appropriate wage rates. The enforcement measures taken by the Labor Standards Technician must be reviewed and approved by the Supervisor. These enforcement measures are often questioned by HUD, labor unions or the management of construction companies. The Supervisor serves as HSD's sole expert responsible for responding to these inquiries and ensuring informed resolution of issues and concerns. The enforcement measures taken by the Supervisor results in recovery of approximately \$20,000 annually in restitution pay due to underpaid workers.

This is a unique body of work, specific only to Community Development Block Grant-funded, Community Facilities capital improvement projects. It requires a combination of expert knowledge of federal laws and regulations, ability to appropriately analyze variable scopes of work to match job classifications and implement defensible enforcement measures as well as sophisticated communication and conflict resolution skills. This requires the ability to communicate with federal regulators, business representatives, contractors as well as workers from diverse backgrounds.

Manager 1

The Manager 1 position has responsibility for the overall management of the Department's Contracting Administration, which includes the development of departmental contracting policies, standards and practices as well as review and authorization of all contractual agreements and amendments issued by the Department. This includes 450 contracts and 200 amendments totaling approximately \$70 million. The Manager is responsible for ensuring contract outcomes, indicators and performance commitments are correctly reflected in contracts and are consistent with the Outcome Alignment Group's Consolidated Outcomes and the originating RFP. It is also responsible for ensuring the Department meets the contract completion performance goal of 90% and payment-ready within one month of contract start date. One of the two employees that the Manager supervises, an Administrative Specialist III, plays a critical support role in the production, processing and completion of Department contracts.

The Manager also has overall Department responsibility for the promulgation and revision of policies and procedures related to Requests for Proposals. This includes reviewing and authorizing all Requests for Proposals (RFPs) prior to being issued by the Department to ensure the outcomes sought through public investment are clear and in alignment with the Department's Strategic Investment Plan. The position also serves as the Department's technical lead for designing/conducting RFP processes and ensuring that the review process is fair, open and would withstand public scrutiny. The Manager also reviews and authorizes Department grant proposals prior to submission for competitive consideration as well as all grant award agreements. In addition, the Manager has sole responsibility for reviewing and authorizing Mutual Offsetting Benefits Agreements with agencies and maintains Master Services Agreements with 220 Department contractors, ensuring compliance with City insurance requirements. As the Department's liaison with the Seattle Law Department and City Risk Management Office, the Manager facilitates joint consultation in negotiating changes to individual Master Agreements.

The Manager serves on the Outcome Alignment Group, an inter-jurisdictional committee of representatives from the City of Seattle, King County Human Services, United Way and the City of Bellevue working to align regional human services performance outcomes and reporting requirements to be used as a basis for measuring performance and making funding allocations. It also represents the Department on the interdepartmental Consultant Contracting Advisory Group, overseeing Citywide Consultant Contracting Rules and administration of consultant agreements.

The Manager serves as the Executive Sponsor for the development, implementation, and refinement of the Department's Contract Management System (CMS2.0) and as the lead subject matter expert for the development/implementation of a web-based intake portal to integrate eligibility screening for various departmental direct delivery services and five state/federal services available under the Help For Working Families Program. As an extension of the Contract Management System development work, the Manager oversees the development and deployment of department-wide training components related to the

ongoing refinement and implementation of electronic contracting modules. In addition to the Administrative Specialist III mentioned above, the Manager supervises the Department's one other Contracts Administration staff, a Training & Education Coordinator, who is responsible for training Grants & Contracts Specialists, managers and supervisors in using the CMS2 system, providing technical assistance.

The Manager with the integral involvement of her staff works with Grants Contract Specialists and Managers to identify system efficiencies and operational issues. Further, the position oversees the development and ongoing maintenance of a component of the Contract System which will collect data and produce contracting performance reports in accordance with the Department's Strategic Investment Plan and regional human services outcomes developed by the Outcome Alignment Group.

The Contract Manager's span of control is small at 2.0, the broad scope of responsibility associated with the management of the Department's Contracts and RFPs is significant.

Human Services Program Supervisor

The Human Services Program Supervisor's span of control based solely on regular direct reports stands at 3.0. This, however, does not accurately capture her actual supervisory responsibilities. For 4-5 months of the year, she also oversees an additional 10.0 temporary employees, who staff the Department's Summer Sack Lunch Program. This requires a significant amount of concentrated effort to hire and train new staff each year and orient them to the complexities of administering a USDA-funded program with very stringent program requirements. In addition, she has matrix management responsibilities for key aspects of the other supervisors' strategic planning and administrative duties in the Child Care Development section, as described below.

In addition to its direct supervisory responsibilities, this position serves as the section operational manager and planner, augmenting the oversight capacity of the section Manager. To best understand this scope of responsibilities, it is necessary to understand the dramatic changes that have occurred over the past 6 years without commensurate changes in the sections supervisory capacity. Beginning with the addition of the Early Childhood Education Program in the late 1990s, the Child Care Development section has developed and implemented oversight for ten new programs, all highly visible in the community and several directly associated with Mayoral initiatives. These include Project Lift-Off, the Northwest Finance Circle, SOAR Opportunity Fund, the After School Alignment Initiative, the Building Excellence Project, the Early Learning Networks (Levy 3), Seattle Early Reading First, After School Programs for Children of Color, Quality Improvement for Parks Department Child Care Sites, and Community Learning Centers (Levy 3). As of 2005, the Section's budget includes more than 9 different fund sources (including federal, state, City and private grant funds), totaling \$8 million dollars. This dollar figure will increase in 2006 by \$2.5 million. In addition, the fiscal calendar year for these 9 fund sources include 5 different schedules, greatly complicating the budget management involved.

The number of employees added to the section in the past 6 years is 15 regular staff and approximately 4 temporaries a critical development stages. The number of contracts managed by the Child Care Development section has grown with the new program expansion. Currently the Comprehensive Child Care Program has 160 vendor service agreements, the Child Care Nutrition Program has 130 and the Summer Sack Lunch Program manages 120 Memorandums of Understanding for meal sites as well as a large contract with the Seattle Public School District. ECEAP has 12 contracted sites, and the Seattle Reading First Program has 5 site contracts plus 3 contracts for support services. In addition, there are 17 contracts for training, after school care, parent services, and homeless child care services.

The Child Care Development section has 6 units with 4 supervisors and 2 senior planners reporting directly to the Manager. Given the size of the unit, the complexity of its budget and contracting responsibilities as well as its high-profile program development responsibilities, the Human Services Program Supervisors serves as the operations manager overseeing the budget and ensuring alignment of Section contracts and reporting with the Department's Strategic Investment Plan. As part of the budget development process, this position works with the other supervisors and senior planners to develop their unit budgets and then consolidates it into a Section budget. She represents the Section on the Department budget team and drafts responses to budget questions and prepares Budget Increment Proposals. She also assists the supervisors in translating the Section's budget allocations into allocations for subcontractors across the section, which requires an in-depth knowledge and overview of the various programs.

This position also plays a critical role in overseeing the development of grant applications and lead planning and development work for implementation of all or components of major Child Care programs. These have included the Parks Department Quality Improvement Project, parts of the Early Learning Network including the Professional Development Request for Investment, the Homeless Child Care Program and After School Programs for Children of Color. In addition, she plays a major oversight role in the evaluation of the Comprehensive Child Care Program.

Manager 3, Youth Development

The Manager of the Youth Development Section is responsible for a \$10.5 million budget with 19 fund sources including funding from four different federal departments (Justice, Housing/Urban Development, Education and Labor), Washington State, King County, United Way and various foundations. It oversees management of the Seattle Youth Employment Program, the Weed & Seed Program, Seattle Team for Youth and Upward Bound. Three regular supervisory positions report to the Manager with an additional 23 regular indirect reports. With the inclusion of temporary employees employed year-round, the number of indirect reports increases to 109 employees and during the summer months, to 388.

This position oversees management of approximately 95 contracts with community-based providers in the service areas of youth employment, outreach and counseling, after-

school programs, mental health counseling, homeless youth, college preparation, juvenile justice and crime prevention. In 2005, the Manager is responsible for leading the development of two new service areas – Community Crime Prevention and Lesbian, Gay, Bisexual and Transgender Youth. As part of the interdepartmental Family & Education Levy team, the Manager has also had oversight for the restructuring of the Seattle Team for Youth program and transfer to Levy funding.

In addition to the Youth Development section management, the Manager serves as the Family & Youth Services Division's representative to the Department budget team and coordinates the overall development and monitoring of the Division's \$26 million budget. In this capacity, the Manager serves as the primary liaison with the Department's financial staff and lead in finding creative solutions to shifts in federal grant or City funding to ensure continuity in Divisional program service delivery.

The position also represents the Department on numerous interdepartmental teams including the Family & Education Levy, the University District IDT, and Broadway IDT as well as a number of key cross-jurisdictional teams focused on targeted service areas including the Reclaiming Futures Leadership Team, the Workforce Development Youth Council, and the Committee to End Homelessness staff circle.

Human Services Program Supervisor

This position manages the Upward Bound, which is one of the most effective programs in the Department with a graduation and college-bound performance success rate of 96%. The span of control ratio, based on regular direct reports, stands at 3.0. However, this ratio does not capture the actual supervisory span of control required to run the program. In addition to the three regular staff, the Human Services Program Supervisor also supervises an addition 6.0 year-round temporary tutors, which increases during the summer months to include a teaching staff of 6 high school level instructors. Therefore, a more accurate reflection of the Supervisors span of control is 1:9 year-round and 1:12 in the summer.

Another unique aspect of this program is that it moves off-site to a location on the Seattle University campus every summer, where program participants have the opportunity to have a campus experience. During this time, the supervisor oversees the program as an independent entity with full responsibility for every aspect of its management, including relations with Seattle University, supervision of the summer educational component, and collegial relations with various schools affording program participants college introductory visits.

The Human Services Program Supervisor also has lead responsibility for grant writing and resource development for the program. With decrease funding from the federal government, resource development has become an ever-increasing critical aspect of the supervisors overall job responsibilities.

SUMMARY

The Human Services Department's span of control has improved dramatically since the 1997 study, increasing from 4.4. to 7.2. The nature of the work and the complex budgetary and regulatory compliance requirements funding most of the Department's programs and positions require the level of oversight reflected in the Department's current span of control.

While the Department believes the supervisory/management profile is appropriate, the Department is considering ways to realign staff in the case management program to comply with the State span of control ratio expectations of 1:8 for case management teams. Currently, HSD's case management team ratios range from 1:11 to 1:14. The Department is also working with a consultant to assess the strategic deployment of staff to ensure the most effective alignment of talent to achieve the Department's strategic goals.

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