



*Robert P. Astorino, Westchester County Executive
County Board of Legislators*

Budget Presentation 2014

*Department of Human Resources
Kerry M. Oristano, Commissioner
Helen May, 2nd Deputy Commissioner*

CIVIL SERVICE COMPLIANCE

The 2014 Budget Request for the Department of Human Resources endeavors to maintain an adequate funding level to ensure quality HR services while maintaining compliance with the New York State Civil Service Law.

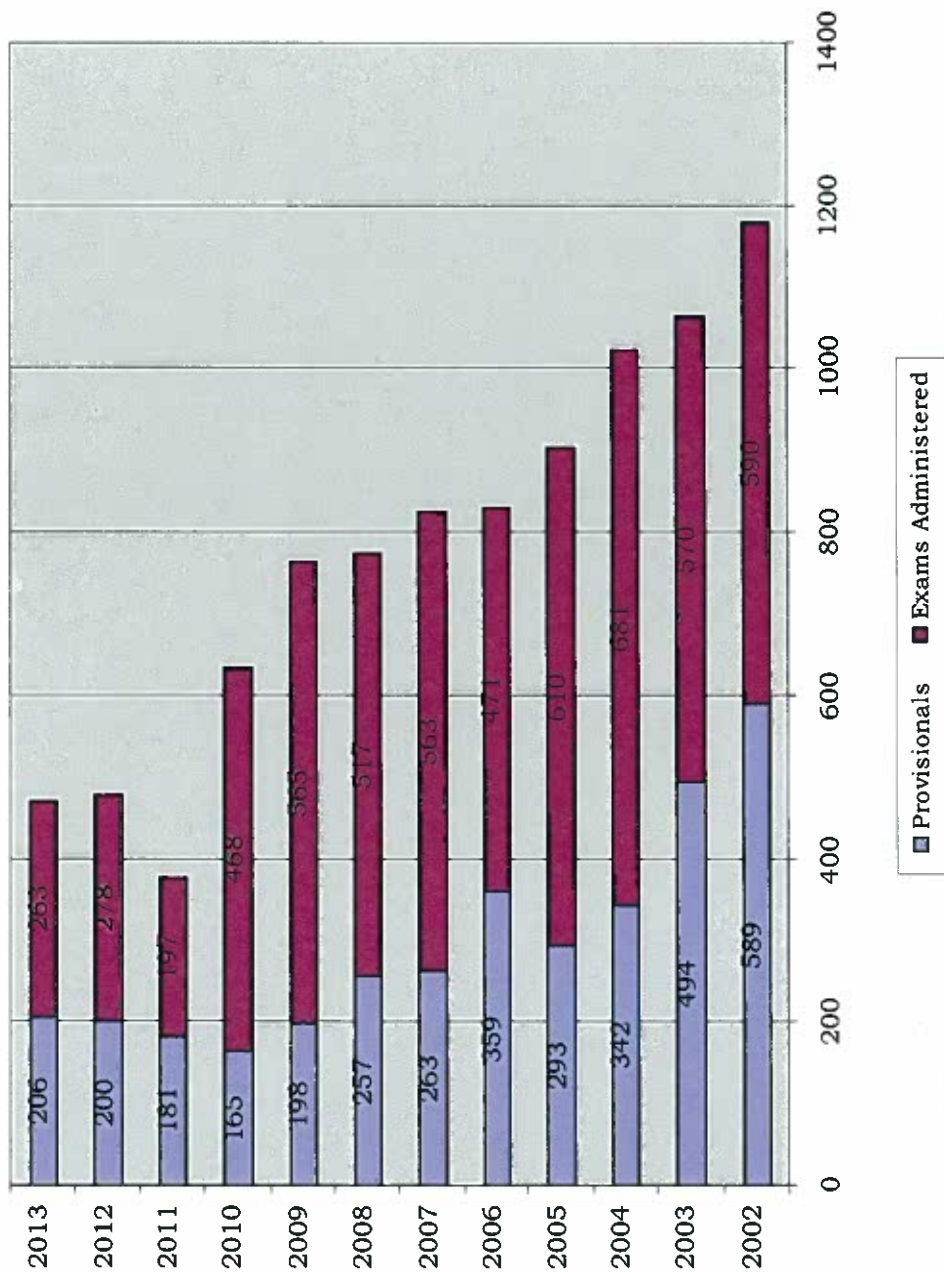
Key indicators to ensuring that the requirements of the New York State Civil Service Law are being properly administered are the outcome of annual payroll certification and the level of provisional appointments – employees appointed other than through competitive examination.

Payroll Certification is the process in which the Department of Human Resources provides certification that the persons named in the payroll of a public agency in Westchester County are employed in their respective positions in accordance with New York State Civil Service Law. It is administered annually for all Towns, Villages, School Districts, Special Districts, the cities of Rye and Peekskill, and the Westchester County Health Care Corporation. Westchester Community College, a department of Westchester County, is also audited annually since they have a separate payroll system. New York State Civil Service Law prohibits paying any salary or compensation to any person not certified by this department. Non-compliance with this law subjects disbursing officers in the agency to the penalties described therein.

The New York State Department of Civil Service requires all local, municipal commissions to submit annual reports. Central to this report is the number of provisional appointments existing as of December 31st of each year. Controlling the number of provisional appointments requires holding civil service examinations, establishing eligible lists and providing lists when agencies need to fill positions, as well as certifying those lists against the existing provisional appointments to maintain the integrity of the system of appointment based on merit and fitness. Keeping the provisional count lower helps reduce costs for appointing authorities in a number of ways. By ensuring there are adequate lists available to fill positions as vacancies occur, turnover is reduced which keeps training costs lower. Making list appointments versus provisional appointments also helps to maintain continuity of services and maintain a consistent level of productivity which also helps keep costs lower. When provisional appointments must be made, Human Resources works with departments to make sure their candidates meet qualifications and are properly classified, which ensures candidates qualify to take the civil service exam. This process helps to avoid costs associated with misclassifications which lead to class cases and out-of-title grievances.

The following graphically depicts the total number of examinations held annually, both open competitive and promotional, as well as the provisionals reported to the State. We have been very successful at reducing and maintaining a low number of provisional employees, thus creating significant savings for the County and its taxpayers.

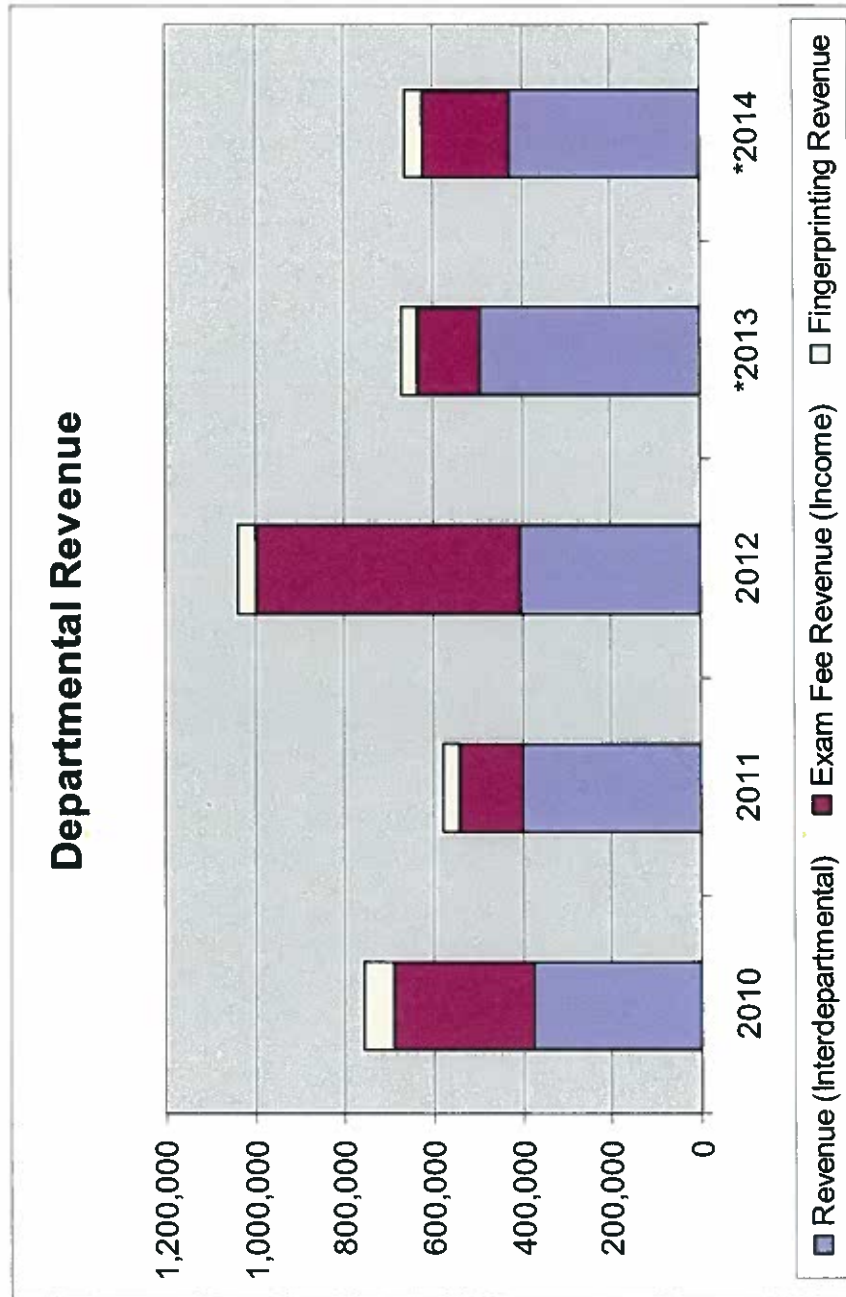
Provisional Appointments vs. Civil Service Exams Administered



DEPARTMENTAL REVENUES

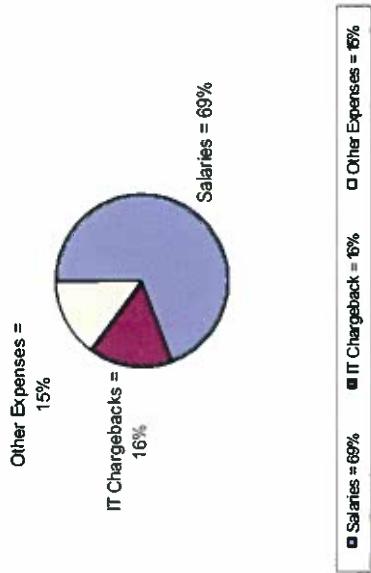
Although the Department of Human Resources, as a service agency, is not generally viewed as a source of revenue, over the years we have attempted to mitigate the cost of services provided. As with other Counties in the State, we charge application fees to apply for civil service examinations and criminal record check fees for prospective full-time annual employees. In addition, we receive departmental reimbursement for selected services. The revenue increase for 2012 was due to the Police and Correction Officer exams being administered in 2012.

	<u>2010</u>	<u>2011</u>	<u>2012</u>	<u>2013*</u>	<u>*2014</u>
Revenue (Interdepartmental)	375,003	400,503	403,024	494,111	426,477
Exam Fee Revenue (Income)	316,100	141,500	595,450	139,980	196,000
Fingerprinting Revenue	63,925	33,433	38,200	38,200	40,000
Total Revenue	\$755,028	\$575,436	\$1,036,674	\$672,291	\$662,477



DEPARTMENTAL EXPENSES

As indicated in the pie chart below, 69% of the expenses for our department come from salaries and 16% from IT chargebacks. This translates to 85% of our budget being fixed expenses.



The other 15% of our budget breaks down as follows:

Examination Procedures:

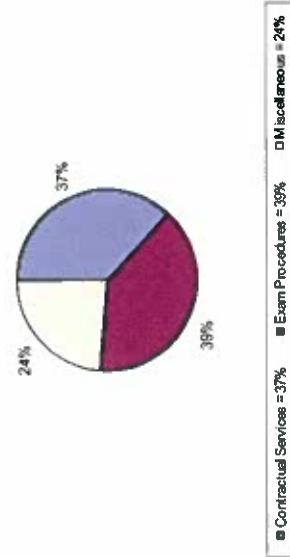
- Mandated Civil Service testing, including monitor fees, school rental, NYS Exam fees, etc.

Contractual Services:

- Contract with third party provider for mandated drug and alcohol testing and medical services.

Miscellaneous:

- Equipment services and rentals.
- Printing and office supplies.
- Postage, etc.



Most costs are fixed and attributed to mandatory functions.

	2013	vs.	2014		Savings/Increase to Tax Levy
	Adopted Budget		Proposed Budget	Variance	
Expenses:					
1010 Annual Regular	\$ 3,397,318		\$ 3,309,836	\$ (87,482)	Savings
1200 Hourly	\$ 4,000		\$ 26,000	\$ 22,000	Increase
1400 Overtime	\$ 5,000		\$ 27,000	\$ 22,000	Increase
2400 Additional Equipment	\$ -		\$ 30,000	\$ 30,000	Increase
3070 Books and Periodicals	\$ 12,000		\$ 13,200	\$ 1,200	Increase
3600 Printing and Office Supplies	\$ 23,000		\$ 23,000	\$ -	Flat
3700 Postage Costs	\$ 5,000		\$ 3,000	\$ (2,000)	Savings
4070 Equipment Service and Rental	\$ 10,000		\$ 10,000	\$ -	Flat
4100 Membership Fees	\$ 900		\$ 1,500	\$ 600	Increase
4110 Travel and Meals	\$ 1,000		\$ 1,000	\$ -	Flat
4160 Telephone Expenses	\$ 1,000		\$ 1,000	\$ -	Flat
4250 Public & Legal Notices	\$ 900		\$ 900	\$ -	Flat
4360 Educational Training	\$ 9,000		\$ 9,000	\$ -	Flat
4380 Contractual Services	\$ 278,800		\$ 288,800	\$ 10,000	Increase
4420 Technical Services	\$ 2,000		\$ 1,000	\$ (1,000)	Savings
4909 Examination Procedures	\$ 320,100		\$ 301,055	\$ (19,045)	Savings
5160 Fleet Management	\$ 1,833		\$ 446	\$ (1,387)	Savings
5205 Information Support Service	\$ 13,458		\$ 15,751	\$ 2,293	Increase
5250 Telecommunications	\$ 25,587		\$ 26,941	\$ 1,354	Increase
5260 Data Processing	\$ 820,267		\$ 748,049	\$ (72,218)	Savings
5325 Services by Dept of Law	\$ 50,568		\$ 55,115	\$ 4,547	Increase
5485 Services by Records Center	\$ 22,852		\$ 17,173	\$ (5,679)	Savings
Total Expenses:	\$ 5,004,583		\$ 4,909,766	\$ (94,817)	Savings
Revenues:					
9519 Services by Personnel	\$ 494,111	*	\$ 426,477	\$ 67,634	Increase
9122 Application Fees	\$ 452,000	**	\$ 196,000	\$ 256,000	Increase
9141 Background Check-Fingerprinting	\$ 38,200		\$ 40,000	\$ (1,800)	Savings
Total Revenue:	\$ 984,311		\$ 662,477	\$ 321,834	Increase
Tax Levy:	\$ 4,020,272		\$ 4,247,289	\$ 227,017	Net Increase

* \$87,864 was added to Services by Personnel in 2013.

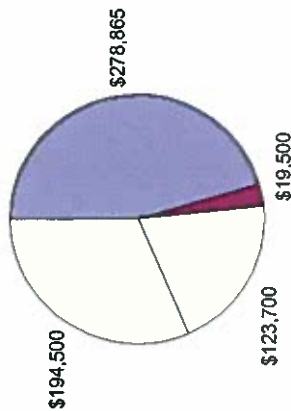
** \$200,000 was added to Human Resources Application Fees in 2013.

*** \$287,250 in total was added to Human Resources Revenue in 2013.

SAFETY & SECURITY SERVICES

This function is in it's eighth year of operation as departmental efforts are centrally coordinated by Human Resources and its third-party administrator. The safety focus is on medical services to ensure the safety and well being of employees, including OSHA required respiratory fit tests for Public Safety, Public Works, Environmental Facilities, Emergency Services, Parks and Recreation, and Labs and Research; lead testing for Public Safety and Corrections personnel who use the County firing range; and random drug testing for Police Officers, Playland ride operators and employees with Commercial Drivers Licenses. For our security services, criminal record checks of prospective employees for the past twelve months totaled 2551.

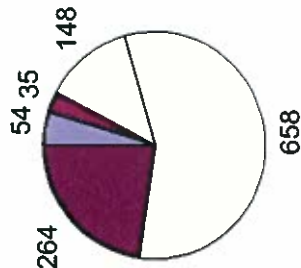
PROGRAM EXPENSE



- Salaries = \$278,865
- Specialized Supplies = \$19,500
- Fingerprint Fees = \$123,700
- Medical/Drug Testing = \$194,500

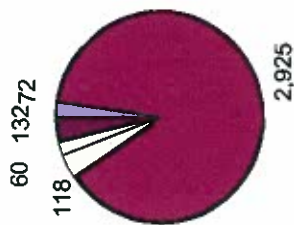
Total program expenses: \$616,565

OF MEDICAL EXAMS



- CDL = 54
- LEAD = 35
- AUDIO = 148
- RESPIRATORY FIT = 658
- PHYSICALS = 264

OF DRUG SCREENING TESTS



- CDL = 72
- TLC = 2,925
- Pre Employment = 118
- Police = 60
- Playland = 132

INITIATIVES:**HUMAN RESOURCES WEBSITE**

The Department of Human Resources website continues to be the most popular County site, receiving over **319,645** visits a year. The main reason is that people are seeking employment and Westchester County is an attractive employer. Since 1998, we have posted examination announcements and position openings on-line. Our website has comprehensive information regarding civil service, job specifications and a variety of other human resources data. In an effort to provide service to our local jurisdictions in a more efficient and cost-effective manner, we have electronic versions of forms, manuals, civil service rules, etc. now available in a secure area on the Department of Human Resources web site. Access to this secure area is only granted to individuals who are authorized by the appointing authority.

Our website is organized into three main categories – **Job Seekers**, **County Employees** and **Local Governments**. This enables visitors to directly access their particular areas of interest.

EXAMINATION ADMINISTRATION

The Department of Human Resources, in conjunction with the Department of Information Technology, has developed an on-line application review system, enhancing the already successful on-line civil service exam application*, which was launched in 2012. This system allows professional staff to review minimum qualifications for on-line exam applications without the need to print them. Integrating this system with other databases and systems makes the review process more efficient and provides better tracking of documentation, also reducing the need for storage of paper documents.

For select job titles, this system now has the capability of doing an automated review of applicant qualifications when the minimum qualifications for a title are only educational in nature. For example, the qualification to participate in the Police Officer exam is possession of a High School Diploma. Since the system can determine which applicants have a High School Diploma based on their answer to that question, these applications can be reviewed by the system. Applications for Correction Officer and Firefighter will also be able to go through the automated review process in the future. Since these three exams bring in anywhere from 7,000 to 12,000 applications, this allows us to make more effective and productive use of staff time.

We will continue to propose and develop additional enhancements, as we attempt to maintain or increase the level of productivity with fewer resources.

Further enhancements to the Department of Human Resources on-line application for civil service examination administration have been made enabling improved information retrieval and the opportunity to move data to an excel spreadsheet for sorting and statistical analysis.

By coordinating efforts, we streamlined the establishment of the eligible lists for our Police & Correction Officer exams, our highest participation titles, by using a download of the results from the New York State Civil Service Commission.

The obsolete filing system of the in-house hardcopy files of the DD Form 214, the "Certificate of Release or Discharge from Active Duty" for Veterans is being addressed. Plans are being made to scan and organize an electronic file of these forms. Long term plans to do the same with the candidates' transcript files are being discussed.

The continuous recruitment program has been adjusted to better suit the needs of local municipalities to have a candidate pool to make appointments to the entry level Spanish Speaking titles for Senior Office Assistant and Office Assistant (Automated Systems) whereby we are keeping the filing window constantly open.

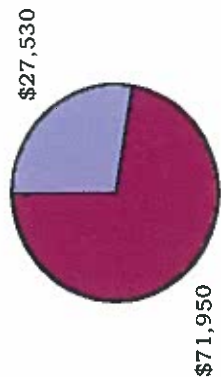
*** The Department of Human Resources received a 2011 Achievement Reward from the National Association of Counties for its On-Line Civil Service Exam Application in recognition of an effective and innovative program, which contributes to and enhances county government in the United States.**

ON-LINE EXAM STATISTICS

Statistics from 11/01/2012 – 10/31/2013:

- Total number individuals who registered on-line: 2691
- Total on-line exam applicants*: 2758
- Total number of exams applicants applied for on-line: 3920
- Total number of application fees paid: 2818
- Total dollar amount received for exam fees: \$71,950
- Total number of exams with fee waivers: 1102
- Total equivalent dollar amount of fee waivers: \$27,530
- Total dollar amount if there were no fee waivers: \$118,415

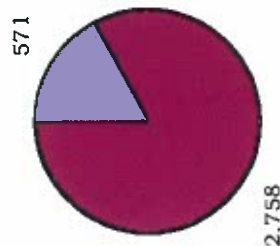
Amount of Fees paid by Credit Card & Fee Waivers On-Line



Revenue lost due to fee waivers = \$27,530
 Revenue received = \$71,950

Total amount of money that would have been received on-line if there were no fee waivers: \$118,415. Fee waivers made up 23% of payments of total amount of money that would have been received if there were no fee waivers.

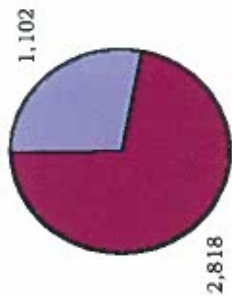
Total Number of Applications with Requested Fee Waivers On-Line & Hard-Copy



Total fee waiver applications = 571
 Total paid applications = 2,758

Total number of exams with on-line and hard-copy applicants: 3,329. Fee waivers made up 20% of all applications received.

Total Number of Exams applied for On-line



Total on-line fee waiver applications = 1,102
 Total on-line paid applications = 2,818

Total number of exams with on-line applicants: 3,920. Fee waivers made up 28% of all exams applied on-line.

*Some applicants applied for more than one exam.

TALENT MANAGEMENT: STRATEGIC TRAINING AND DEVELOPMENT PROGRAM

The Westchester County Employee Strategic Training and Development Program continued coordinating and enhancing staff development county-wide, focusing on programs designed to orient new employees, improve job skills and develop career growth to improve succession planning. The program aims to make employees more efficient, effective service providers; to help develop and motivate employees; and to limit the county's liability through ensuring an adequately-trained workforce. Human Resources has spear-headed implementation of the program, working with Training Coordinator Liaisons (TCL's) assigned from each department. With DoIT, HR continued to maintain an on-line training calendar. HR further designed, and now delivers, a Best Practices for Evaluation piece during Performance Impact Training, and also continues to run New Employee Orientation for all County departments. With input from the Training Coordinator Liaisons, Human Resources also created a syllabus for an in-house supervisory training, which is ready to launch in the near future. Further, in order to help the County to maintain effective operations with reduced staff -- who might also be taking on additional responsibilities -- Human Resources periodically runs a supervisory training program with Pace University (focusing on general topics such as delegation, time management and communication skills). Also, Human Resources conducted a survey of all departments concerning their training needs and began delivering requested trainings, including a series of Progressive Discipline Training Seminars. Department personnel contacts received individualized, face-to-face training from our Roster and Exam Units, as well as follow-up group instruction in HR topics. HR has continued to build a training library on topics such as Customer Service, Communication Skills, Effective Evaluation, Telephone Skills, Fair Labor Standards Practice, Recruiting with Social Media, and Workplace Investigations. HR also coordinated Westchester County's response for all Local Jurisdictions to receive civil service training in Putnam County, conducted by the New York State Civil Service Commission. HR then surveyed the Local Jurisdictions concerning helpful training we could provide, and we will roll out those sessions in the New Year. These combined efforts aim to develop HR staff skills to better serve our customers: the public, and other county departments and local jurisdictions.

As a whole, we aim in the New Year to make the County government's hiring, training and retention activities more proactive and strategic. In particular, we plan to use predictive analytics to bring metrics to our workforce management, helping us to anticipate, for example, where we are likely to see turnover and assisting us, for instance, to develop Key Performance Indicators through analysis of historical data. Predictive modeling can also help us forecast who our upcoming top performers are likely to be, so we can target them for development today.

In this way, we help ensure that we have the people with the right skills and competencies to meet our business objectives. Data analytics can further assist in making hiring and succession planning decisions, as seasoned workers retire and new workers enter the workforce. And analytics can help manage employees' careers by identifying their best next steps, such as obtaining a certification or transferring to a different department. In order to minimize our risk of disruptive vacancies, we will use succession planning activities to identify key positions that are vulnerable to vacancy and take stock of our current employees -- including what skills they already possess versus what gaps exist to prepare them to step into the vulnerable roles we identified. To support this work, we are in process of securing a vendor to provide us an integrated Talent Management System which will allow on-line performance evaluation as well as other Talent Management modules such as gap analysis and goal tracking. HR plans to pilot the Talent Management program with our own department and then serve in a consultant role to the County's other departments and local jurisdictions.

REDUCTION-IN-FORCE ACTIVITIES

Again this year, Human Resources continued trainings to address the Reduction-in-Force. Departmental personnel contacts were trained in “bump and retreat” basics, exit interview protocol and handling difficult separation-related conversations with employees. Also, in a joint effort with the One Stop Employment Center, Job Search Readiness Workshops were organized for potentially affected employees. Further, Rapid Response sessions were held in coordination with the Department of Labor; these sessions covered unemployment insurance and health insurance issues in-depth and registered participants for job search services with the New York State Department of Labor.

WORKPLACE VIOLENCE PREVENTION

Human Resources continued to lead the County’s efforts to fulfill New York State mandates for a Workplace Violence Prevention program. HR convened a committee of key stakeholders (Law, Risk Management, Public Safety, Public Works, Mental Health), to maintain the Workplace Violence manual, to review Workplace Violence reports submitted by employees, and to update and interpret program policies and procedures. HR continued to hold required trainings for new hires as well as manage the annual on-line training for current employees. Human Resources also created training for supervisors on the subject, and delivered that training during Performance Impact sessions. Further, Human Resources developed training, with the Committee’s input, for employees who visit clients’ homes and began delivering that training to hundreds of employees. In the coming year, HR is also coordinating training of departmental designated contacts (two contacts from each County worksite).

WESTCHESTER HEALTH CARE CORPORATION (WESTCHESTER MEDICAL CENTER)

Although the Westchester Medical Center is no longer a department of Westchester County government, for the last 15 years this department has had a legal responsibility to oversee its Civil Service administration. However, for the last six months, this premise has been under review by the County Attorney’s office, and to date, no official decision has been rendered regarding the matter. For the first six months in 2013, the Medical Center continued to provide this office with paperwork and continued regular communication. However, as of late June 2013, they stopped responding to inquiries and ceased submitting paperwork for review and processing. It has been brought to our attention that they are moving forward with establishing their own Civil Service Commission, contrary to the New York State Civil Service Commission’s opinion that they do not have the legal authority to do so. Therefore, the data below is a reflection of transactions and services provided through June 2013.

- Roster transactions: WMC lists 2799 employees. HR processed over **2795** transactions to date in 2013. These transactions included: putting new hires on the payroll; rehires/reinstatements; promotions; demotions; lateral transfers; salary adjustments; resignations; retirements through June 2013
- Annual certification of the WMC payroll: ensuring that persons named in the WMC payroll are employed in their respective positions in accordance with NYS Civil Service Law. We processed 2011 and 2012 payroll certifications this year, but did not receive a response regarding inaccuracies, inconsistencies or omissions.

Their 2013 payroll certification, which was due in March 2013, was never forwarded to this office for processing.

- Exam functions exclusive to WMC: **44** exams administered; **140** pre-clearance reviews of minimum qualifications for new appointments; **53** certifications of civil service eligible lists for appointments to competitive class positions.