



OFFICE OF THE AUDITOR GENERAL

The Navajo Nation

Assessment of the Office of Legislative Services Organizational Structure and Staffing

**Report No. 15-21
May 2015**

**Performed by:
REDW LLC**



May 11, 2015

Elizabeth Begay, Navajo Nation Auditor General
Office of the Auditor General – Navajo Nation
PO Box 706
Window Rock, AZ 86515

Re: Performance Audit of the Navajo Nation Office of Legislative Services, Part II and III

Dear Ms. Begay:

Thank you for the opportunity to work with you and the staff of the Navajo Nation Office of Legislative Services (OLS). We appreciate the opportunity to assist you in assessing the organizational structure and staffing of the OLS Department. This advisory letter includes our approach, findings and recommendations regarding the organizational structure and staffing of the OLS Department, which is reflected in Part II and Part III of the engagement.

PROJECT APPROACH

The objective of Part II and Part III of this project was to review and recommend ways to maximize the effectiveness of OLS's organizational structure and staffing, improve the efficient and effective utilization of your labor force, and ensure you are positioned to adequately support the Navajo Nation Council Delegates. In addition to reviewing your organizational charts, legislative process documents, and evaluating a number of procedures, we also interviewed members of your staff, as identified on Exhibit 1, to gather information related to the OLS, your organizational structure, and identify any areas requiring process improvement or areas of concern. In accordance with the limited scope of our engagement, this project did not include any interviews with staff from the Office of Legislative Counsel, the Office of the Controller, or the Office of the Speaker.

Our work plan and approach included the following:

- Review the OLS current organizational charts, reporting structure, organizational objectives, staffing and budget.
- Interview leadership and staff, as needed, to gather information related to the OLS philosophy, support service needs, general processes, specific concerns regarding effectiveness of the reporting structure, and needed skills/competencies vs. available skills/competencies. These on-site interviews and discussions took place November 17 – 18, 2014.
- Determine what positions and organizational structure are needed to support the goals and objectives of OLS.
- Evaluate the skills, competencies, expertise and role of each staff member of the OLS through the use of job questionnaires and interviews.
- Identify potential reallocation of job requirements to facilitate more efficient processes and/or better distribution of skills/competencies that, if made, could improve efficiencies and promote a more cohesive OLS.

- Evaluate the performance measures for OLS to determine if they support the OLS goals and objectives as described in the plan of operation.

We evaluated the current organizational charts and reporting structure in detail. In our interviews with staff, we also discussed each position’s key duties, work flows and reporting mechanisms. These interviews helped us gain useful insight into specific concerns regarding the current processes, effectiveness of the OLS’s reporting structure, and what skills are required for the department to function effectively.

We focused on identifying opportunities for improved work flow, communication and collaboration, potential changes to reporting structure and areas of responsibility, and optimal alignment of job responsibilities and positions. The objectives of the project were the following:

- Identify key attributes of an effective OLS. Identify gaps between the optimal departmental structure and the current situation, and provide recommendations on the best ways of filling any identified gaps.
- Identify areas where process improvements could be made to facilitate a more efficient use of staff.
- Provide recommendations to facilitate an environment of open communication and continuous improvement within the OLS.
- Provide information for staffing projections, project planning, and budget planning purposes.

Our report includes the following exhibits for management’s consideration:

- Schedule of on-site interviews and phone interviews (Exhibit 1)
- Current OLS Organizational Chart (Exhibit 2)
- Proposed Organizational Chart (Exhibit 3)

Findings and Recommendations

	<i>Finding</i>	<i>Recommendation</i>
A	<p><i>Organizational Chart and Reporting Structure –</i></p> <p><u><i>Finding #A-1</i></u></p> <p>A more efficient organizational structure is needed to provide effective supervision of team members and support a culture of accountability. Clear lines of</p>	<p><i>Organizational Chart and Reporting Structure –</i></p> <p><u><i>Recommendation #A-1</i></u></p> <p>Consider establishing a reporting structure that provides clear lines of authority for each functional area (OLS Administration, Legislative Tracking, Council Delegates</p>

<i>Finding</i>	<i>Recommendation</i>
<p>authority are needed for each functional area in the OLS. Additionally, the Executive Director currently is the designated supervisor for 14 out of the 23 employees working in the OLS Department.</p> <p><u><i>Finding #A-2</i></u></p> <p>The job responsibilities reflected in the current OLS job classifications do not always align well with the OLS functions that they support. Collaboration between functional areas of the OLS and outside parties also</p>	<p>Office, and Legislative Advisement / Reporting). Each of these areas would be structured as noted in Exhibit 3, to reduce the number of employees directly reporting to the Executive Director from 14 to 5. The proposed organizational chart would include the following levels of supervision:</p> <ul style="list-style-type: none"> a. OLS Administration <ul style="list-style-type: none"> 1) Administrative Services Officer – supervised by Executive Director 2) Accounting Technician, Senior Office Specialist and Maintenance Technician – supervised by Administrative Services Officer b. Legislative Tracking <ul style="list-style-type: none"> 1) Legislative Secretary II and Policy Analyst – supervised by Executive Director c. Council Delegates Office <ul style="list-style-type: none"> 1) Legislative Clerk Supervisor – supervised by Executive Director 2) Legislative Secretary III, II and I – supervised by Legislative Clerk Supervisor d. Legislative Advisement / Reporting <ul style="list-style-type: none"> 1) Legislative Advisor and Reporter Manager (one position) – supervised by Executive Director 2) Legislative Advisor II and I – supervised by Legislative Advisor and Reporter Manager 3) Legislative Reporter “Lead” and Legislative Reporter – supervised by Legislative Advisor and Reporter Manager (to ensure quality control of meeting packets, agendas, journals, committee reports and resolutions) 4) Legislative Reporter “Lead” – schedules reporters and ensures coverage of committees 5) Records Clerk – supervised by Legislative Reporter “Lead” <p><u><i>Recommendation #A-2</i></u></p> <p>Modify the current OLS organizational structure to facilitate proper supervision, foster a spirit of personal accountability, and create a more collaborative environment.</p>

<i>Finding</i>	<i>Recommendation</i>
<p>appears to be somewhat limited under the current organization structure.</p>	<p>Exhibit 3 is a <i>proposed organizational chart</i>, and includes our suggestions for facilitating a more effective OLS.</p> <ul style="list-style-type: none"> a. New Positions <ul style="list-style-type: none"> 1) Administrative Services Officer, Legislative Advisor & Reporter Manager, Records Clerk b. Revisions <ul style="list-style-type: none"> 1) Groundskeeper position is moved under OLS Administration. Title is changed to Maintenance Technician. c. Job Title Changes <ul style="list-style-type: none"> 1) Legislative Secretary II (formerly Legislative Secretary I) 2) Legislative Reporter "Lead" (formerly Legislative Reporter Supervisor) <ul style="list-style-type: none"> ▪ More direct collaboration between the Legislative Advisors and the Legislative Reporters is needed, in order to better serve the Delegates and Committees. We recommend that the Legislative Advisors and the Legislative Reporters all report to the same supervisor. This is a new exempt position called Legislative Advisor & Reporter Manager. This will promote stronger collaboration between these positions, allow more consistent management of employees, and ensure that the performance measures in place are tracked and met. It is likely that one of your current Legislative Advisors would meet the qualifications required for the Legislative Advisor and Reporter Manager position. <p>We suggest that you continue to have a Legislative Reporter Lead (formerly known as Legislative Reporter Supervisor) to oversee the staffing of committees and assist with the scheduling of the Reporters. The Legislative Reporter Lead will report to the Legislative Advisor & Reporter Manager, and will additionally be responsible for tracking the completion of journals, committee reports and resolutions, and ensuring that they are completed on a timely basis. The Legislative Reporter Lead will also oversee the records management function.</p> <ul style="list-style-type: none"> ▪ The title of Legislative Secretary I, under the "Legislative Tracking" department/area, does not reflect the considerable responsibilities for maintaining the website and tracking the status of legislation. Given the current initiative to move to an electronic workflow and legislative process, the

	<i>Finding</i>	<i>Recommendation</i>
		<p>current responsibilities, and the skill set necessary to perform the job, we suggest the title be changed to Legislative Secretary II, and a position description be created to capture the website, database, and software support needs required under an automated legislative process.</p> <ul style="list-style-type: none"> ▪ While the Policy Analyst job classification summary effectively describes the job responsibilities for preparation of legislation, it does not adequately address the critical needs of legislative processing and tracking. We suggest that the Policy Analyst job classification be revised to include compliance with the comment period processing of proposed legislation, processing of proposed legislation, tracking legislation, and Policy Review under Title 2. ▪ OLS currently has an ‘administration’ area within the current organizational structure. The positions within this area report directly to the Executive Director. We suggest the Groundskeeper position be moved to this area, and the title be changed to Maintenance Technician. We also recommend that the Maintenance Technician, Senior Office Specialist, and Accounting Technician job positions report to the Administrative Services Officer.
B	<p>Staffing -</p> <p><u>Finding #B-1</u></p> <p>Currently, committees and sub-committees are not always adequately staffed and supported, particularly if the Legislative Advisor or Legislative Reporter typically assigned is not available. The OLS is responsible for providing staff to support the Navajo Nation Council Delegates and the following committees and sub-committees:</p> <ol style="list-style-type: none"> 1. Resources and Development Committee 2. Health Education & Human Services Committee 3. Law & Order Committee 4. Budget & Finance Committee 5. Naa bik'iyati' Committee <ol style="list-style-type: none"> a. Naa bik'iyati' Sub Committee Government Reform b. Naa bik'iyati' Sub Committee Gaming Task Force 	<p>Staffing -</p> <p><u>Recommendation #B-1</u></p> <p>We suggest that Legislative Advisors and Legislative Reporters be cross trained to support at least one other Committee, so that Committee and Delegate needs will be adequately supported, even if the primary Advisors and Reporters for the Committee are not available.</p>

	<i>Finding</i>	<i>Recommendation</i>
	<p><u><i>Finding #B-2</i></u> Reporters and Advisors assigned to the same Committee are not working as collaboratively as is needed, to adequately serve the needs of the Committees and Delegates.</p> <p><u><i>Finding #B-3</i></u> <i>One</i> of the key duties of OLS is to respond to the frequent information requests received from the general public. However, there is no one person responsible for ensuring that the information requests are properly and timely addressed.</p> <p><u><i>Finding #B-4</i></u> Currently, prior legislation is maintained in several different places, and not archived in a consistent or easy to access manner. As a result, verifying prior legislative action is extremely difficult.</p>	<p><u><i>Recommendation #B-2</i></u> Reporters and Advisors currently report to different supervisors. By having them report to the same supervisor (see Recommendation #A-1), their job duties and expectations can be better aligned to reinforce the need for collaboration between areas.</p> <p><u><i>Recommendation #B-3</i></u> Assign the Legislative Reporter “Lead” to be responsible for developing a process for responding to information requests, and ensuring that these requests are responded to quickly. This person does not necessarily have to be the one to respond, but should be responsible for overseeing the process, and helping create a public perception of professionalism within the OLS.</p> <p><u><i>Recommendation #B-4</i></u> Records management and archiving of old legislation is not currently a responsibility of the OLS Department, but with proper staffing, OLS could effectively manage this area. If the Navajo Nation desires consolidation of all current and prior legislation, we recommend the addition of a Records Clerk position (see Recommendation #A-1), who would report to the Legislative Reporter “Lead”.</p>
C	<p><i>Work Flow Processes -</i> <u><i>Finding #C-1</i></u> The process for moving legislation through the system is very outdated, and relies on people physically moving paper through a time consuming and inefficient work process. Additionally, paper documents cannot always be located.</p>	<p><i>Work Flow Processes -</i> <u><i>Recommendation #C-1</i></u> OLS is in the process of creating a new website, which we understand will incorporate new work flows and processes. The new website will additionally permit OLS to publish more information on line. As the OLS moves towards automation, we suggest that you consider forming a Task Force of qualified employees to identify and prioritize the internal processes which could be automated.</p> <p>Documents or information that could be posted on the website for others to access include:</p> <ul style="list-style-type: none"> ▪ Journals ▪ Supporting exhibits or documentation ▪ Voting information

<i>Finding</i>	<i>Recommendation</i>
<p><u><i>Finding #C-2</i></u></p> <p>There is no standard process or template for preparing committee reports, preparing agendas, requesting information, tracking audio recordings, etc.</p>	<p><u><i>Recommendation #C-2</i></u></p> <p>Developing standard processes and templates will not only help ensure that legislation is tracked and moved through the current system in a timely manner, but will also facilitate the automation process. Areas that you may wish to consider include:</p> <ul style="list-style-type: none"> ▪ Standard template for preparing journals, minutes, agendas ▪ Standard template for requesting information ▪ Standard process for tracking legislation between departments
<p><u><i>Finding #C-3</i></u></p> <p>The manually processed signature review sheet used by the Office of the Speaker, creates a bottleneck and impacts the timeliness of legislation moving through the system.</p>	<p><u><i>Recommendation #C-3</i></u></p> <p>Consider developing a new electronic process for getting signatures from the Office of the Speaker to ensure that legislation is moving through the system in a timely and efficient manner. You may want to have 2 – 3 experienced people (from OLS and the Office of the Speaker) evaluate the process and make recommendations on improvements. Once all parties agree to the revised process, communicate the new process to OLS staff, as well as the Office of the Speaker staff.</p>
<p><u><i>Finding #C-4</i></u></p> <p>There are a number of key processes that are dependent on one person. If that person is unavailable, the entire process is held up until they return.</p>	<p><u><i>Recommendation #C-4</i></u></p> <p>Identify a backup person for all key processes and ensure that they are properly trained. In addition, time off requests should be approved only after ensuring that coverage is available to handle those key processes.</p>
<p><u><i>Finding #C-5</i></u></p> <p>The Legislative Reporter “Lead” (currently titled Legislative Reporter Supervisor) is retyping all documents received from the OLC because she is only provided hard copies.</p>	<p><u><i>Recommendation #C-5</i></u></p> <p>The OLS and the Office of Legislative Counsel (OLC) should agree on a process that will allow the OLC to provide the OLS with electronic copies of documents that can be copied or updated, as needed, so that no documents are having to be retyped or recreated.</p>
<p><u><i>Finding #C-6</i></u></p> <p>At times, mistakes are found after a legislative number is assigned to the legislation. No edits/corrections can be made to the legislation at this point. The Committee has to review and approve the edits/corrections.</p>	<p><u><i>Recommendation #C-6</i></u></p> <p>Consider modifying the process for assigning a legislative number so that a ‘draft’ of the legislation can be reviewed by someone prior to assigning the legislative tracking number. This will allow mistakes to be corrected in an efficient manner.</p>

	<i>Finding</i>	<i>Recommendation</i>
D	<p><i>Performance Measures and Other HR Related Items -</i></p> <p><u><i>Finding #D-1</i></u> There are significant delays in completing journals and committee reports. Journal completion and timeliness is additionally a key metric for OLS, however, the percentage of journals completed on time continues to be quite low. The current performance measures identify the quantity of journals to be completed each quarter, but do not appear to encourage or require completion of the journals within a prescribed time period.</p> <p><u><i>Finding #D-2</i></u> Current position descriptions (also known as job classifications) do not reflect duties, responsibilities or minimum requirements of position(s).</p> <p><u><i>Finding #D-3</i></u> There is confusion regarding the experience and education substitutions and qualifications.</p> <p><u><i>Finding #D-4</i></u> The Legislative Clerk Supervisor is currently classified as a Non-Exempt employee, although other OLS supervisors are classified and treated as Exempt employees.</p> <p><u><i>Finding #D-5</i></u> There is no onboarding process for new hires to ensure that they are being properly trained.</p>	<p><i>Performance Measures and Other HR Related Items -</i></p> <p><u><i>Recommendation #D-1</i></u> Although the OLS goals clearly indicate the number of journals and committee reports that are to be completed, there is confusion regarding who is ultimately responsible for this. As a result, team members are not held accountable for meeting this measurement goal. In addition, there is no stated time period for timely completion. We suggest you clearly state when journals are to be completed (possibly within one week of meeting) and make Reporters responsible for the timely completion of the journals and committee reports. This should become one of their performance evaluation factors.</p> <p><u><i>Recommendation #D-2</i></u> Review and update all OLS position descriptions to reflect actual duties, responsibilities and minimum requirements. We would also suggest that you ensure there are clear differentiators between levels I, II and III.</p> <p><u><i>Recommendation #D-3</i></u> Employees should be informed of the minimum requirements for each position, including any substitutions for education and/or experience, as well as any grandfather rules that may impact current employees. In addition, those substitutions need to be included on updated position descriptions (see Recommendation #D-2).</p> <p><u><i>Recommendation #D-4</i></u> We recommend that all supervisors be classified as Exempt employees, so that there is consistency and no potential risk of employees being reclassified, and becoming eligible to receive overtime pay.</p> <p><u><i>Recommendation #D-5</i></u> Develop an onboarding process for new hires that includes training on the Navajo legislative process, specific job duties, timekeeping, etc.</p>

	<i>Finding</i>	<i>Recommendation</i>
	<p><u><i>Finding #D-6</i></u></p> <p>There are inconsistencies with how certain human resources (HR) related items/requests are handled, and uncertainty about who is handling this. Areas identified during our interviews include leave requests, timekeeping, Exempt vs. Nonexempt status, etc.</p>	<p><u><i>Recommendation #D-6</i></u></p> <p>We suggest the Administrative Services Officer handle internal Human Resources matters (see Recommendation #A-1). This will create consistency and employees will know who to go to for OLS Human Resources matters.</p> <p>We also recommend that a staff memo be drafted to clearly communicate:</p> <ul style="list-style-type: none"> ▪ The time period for submitting leave requests ▪ How Exempt and Nonexempt employees should record their time ▪ Who to go to (within OLS) for HR related questions ▪ Work schedules and who to notify (and by when) if you are not going to report to work or will be delayed
E	<p><i>Other Items -</i></p> <p><u><i>Finding #E-1</i></u></p> <p>There appears to be a strong need for various types of training at all staff levels. Management training is not routinely offered to supervisors responsible for performance management of other team members. Additionally, more advanced technical and technology skills are needed to achieve OLS goals.</p>	<p><i>Other Items -</i></p> <p><u><i>Recommendation #E-1</i></u></p> <p>Providing training to staff will impact the retention of employees and their ability to provide a high level of service and quality work product.</p> <p>Given that training is one of the 2015 program performance goals, training is obviously a priority for everyone. Specific training requests identified during our interviews include:</p> <ul style="list-style-type: none"> ▪ Supervisor training on how to manage employees ▪ Supervisor training on how to conduct a performance evaluation ▪ Training to update technology skills ▪ Training on the legislative process ▪ Policy writing and legislative research ▪ Training on the FMIS (Financial Management Information System) so Advisors can accurately and effectively manage and report the Committee budgets ▪ Proper way to take committee meeting minutes ▪ Navajo Law ▪ Time management

	<i>Finding</i>	<i>Recommendation</i>
	<p><u>Finding #E-2</u></p> <p>Ineffective communication within the OLS, and between the OLS and other departments hampers the OLS' ability to work efficiently and collaboratively.</p>	<ul style="list-style-type: none"> ▪ How to operate microphone and recording systems in Council Chambers. <p><u>Recommendation #E-2</u></p> <p>Regardless of how well you are communicating, employees tend to want more communication. With that in mind, here are some suggestions for improving communication and collaboration:</p> <ul style="list-style-type: none"> ▪ Have a weekly all staff meeting to discuss the status of current projects, process improvement ideas, or who needs backup support. ▪ Have a standard meeting (perhaps monthly) with staff from other departments, such as the Office of Legislative Counsel, Office of the Speaker, and Office of the Controller. Include the Reporters and the Advisors in these meetings. ▪ Encourage Advisors and Reporters to meet regularly to collaborate and learn from each other. ▪ Consider having an OLS strategic planning meeting to set OLS mission statement, develop goals and identify measurements for upcoming year. Allow all staff to provide input. ▪ Clearly communicate expected work hours for all team members (both Exempt and Non-Exempt).

We appreciate the opportunity to be of service to The Office of the Auditor General – Navajo Nation, and look forward to discussing our recommendations with you in the near future.

Sincerely,

Sincerely,
 REDWLLC



Lisa Wilcox, SPHR, CEBS, CCP, CMS, RPA, THRP
 Principal

Sincerely,
 REDWLLC



Carol Cochran, CPA/PFS, CEBS, CMA, CMS, THRP
 Principal

Navajo Nation Office of Legislative Services
Meeting Schedule with REDW
November 17 - 18, 2014

Time Slot	Monday November 17, 2014	
	Lisa	Carol
	Location: Delegates Office Conf Room	Location: Mike Martinez's Office
8:30 - 9:30a	Carol and Lisa to meet with Tom Platero , Executive Director Location: Tom's Office 928-871-7254	
10:00 - 11:00a	Bernice Begay Senior Office Specialist 928-871-7254 bernicebegay@navajo-nsn.gov	Marvin M. Allison Policy Analyst 928-871-7258 marvinmallison@navajo-nsn.gov
11:15a - 12:15p	Mary Nez Legislative Secretary I 928-871-7237 marynez@navajo-nsn.gov	Lisa Begaye Accounting Technician 928-871-6887 lisabegaye@navajo-nsn.gov
12:15 - 1:30p	Lunch	Lunch
1:30 - 2:30p		
2:45 - 3:45p	Lorene Spencer Legislative Advisor I 928-871-7175 lorenespencer@navajo-nsn.gov	Martha Ellison Legislative Advisor I 928-871-7170 marthaellison@navajo-nsn.gov
3:45 - 4:45p	Valcita Thompson Legislative Reporter 928-871-7239 Valcitathompson@navajo-nsn.gov	Latanya Burbank Legislative Reporter 928-871-7586 latanyaburbank@navajo-nsn.gov

Time Slot	Tuesday November 18, 2014	
	Lisa	Carol
	Location: Delegates Office Conf Room	Location: Mike Martinez's Office
8:30 - 9:30a	Beverly Martinez Legislative Advisor I 928-871-6021 beverlymartinez@navajo-nsn.gov	Idah Burnside Legislative Secretary III 928-871-6381 idahburnside@navajo-nsn.gov
9:45 - 10:45a		Marjorie James Legislative Reporter Supervisor 928-871-7573 marjoriejames@navajo-nsn.gov
10:45 - 11:45a	Shammie Begay Legislative Advisor II 928-871-7171 shammiebegay@navajo-nsn.gov	Angelita Benally Legislative Advisor I 928-871-6610 angelitabenally@navajo-nsn.gov
12:00 - 1:00p	Carol and Lisa - exit interview with Tom Platero , Executive Director	

Phone Interviews (11/21- 11/25):

	Ramona Nelson Legislative Reporter 928-871-6949 ramonanelson@navajo-nsn.gov Unable to schedule phone interview.	Peggy Nakai Legislative Advisor I 928-871-7590 peggynakai@navajo-nsn.gov PHONE INTERVIEW scheduled for 11/24/14, but not done. Peggy not available.
	Caleb Roanhorse Legislative Advisor I 928-871-7964 croanhorse@navajo-nsn.gov PHONE INTERVIEW: 11/21/14	Mike Martinez Legislative Advisor I 928-871-7253 mmartinez@navajo-nsn.gov PHONE INTERVIEW 11/25/14
	Linda Youvella Legislative Clerk Supervisor 928-871-6383 lindayouvella@navajo-nsn.gov PHONE INTERVIEW 11/24/14	

Navajo Nation
Office of Legislative Services – *Current*

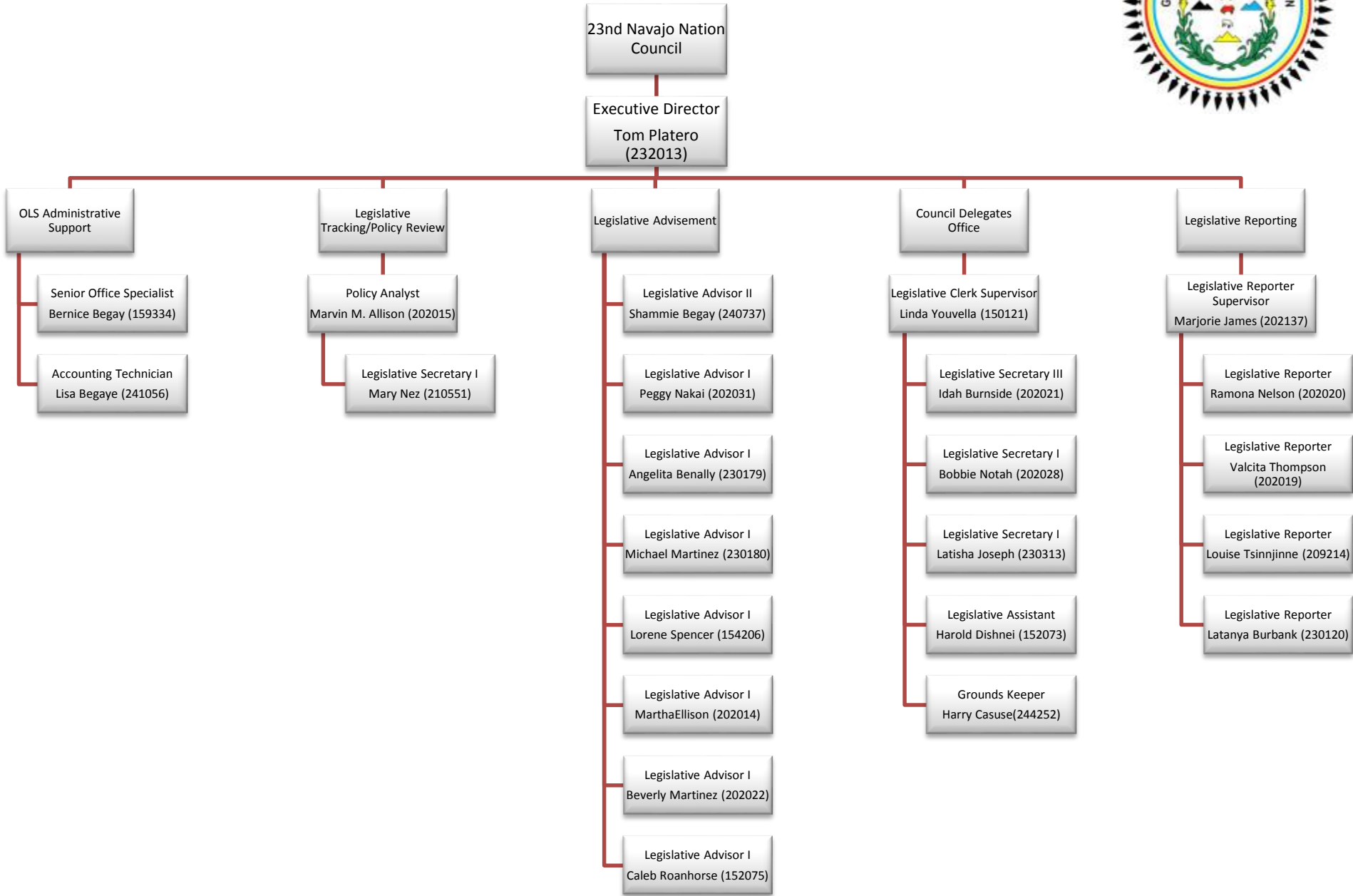


EXHIBIT 2

Navajo Nation
Office of Legislative Services – *Proposed*

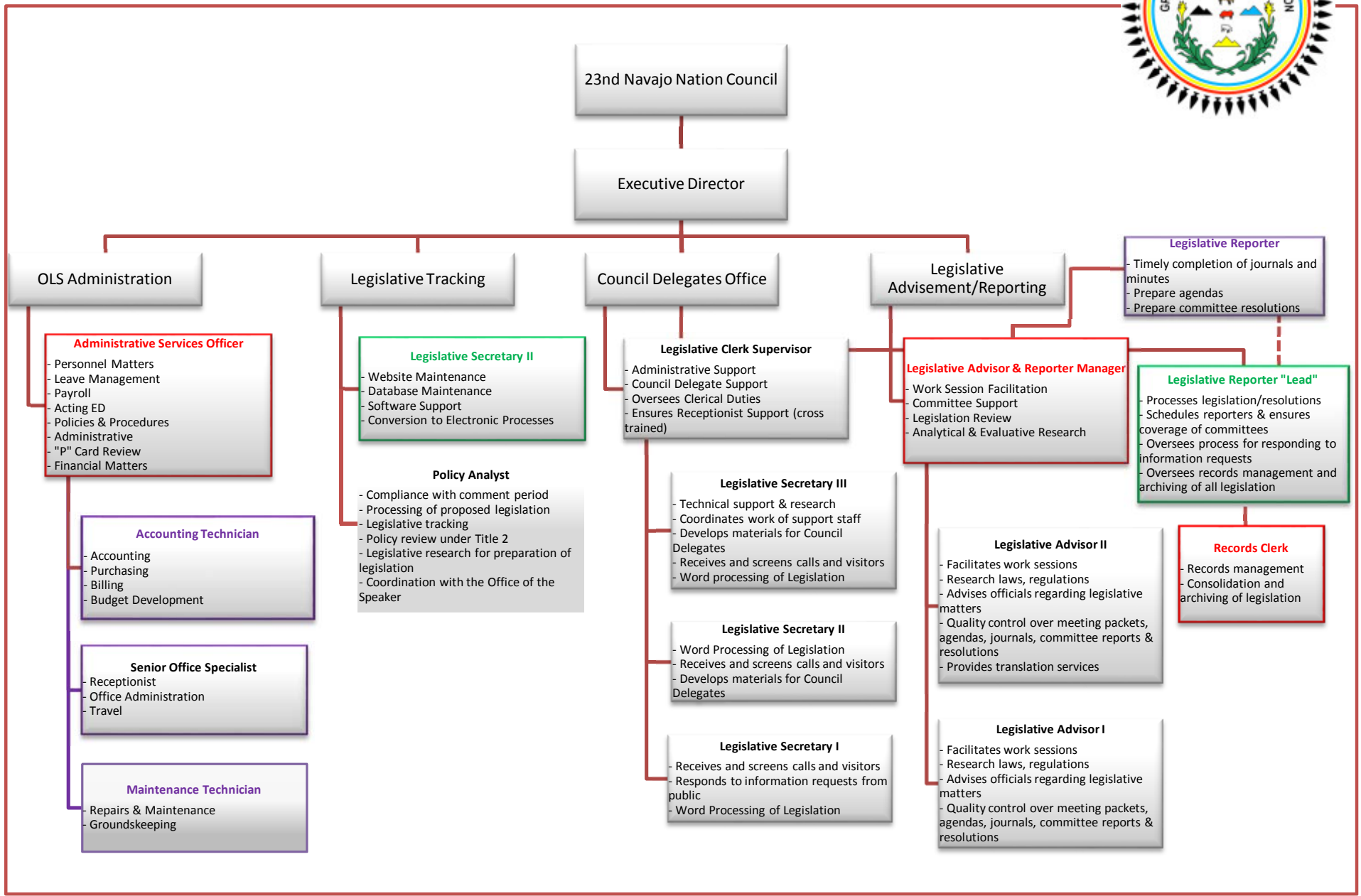


EXHIBIT 3

New Position
Change in Title
Reporting Structure Change