State of California
Workforce Planning Model & Guide

Revised December, 2008

Review Strategic Plan

Analyze Workforce

Identify Gaps

Develop Priorities

Implement Solutions

Evaluate the Plan

State of California
Workforce Planning Model

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Workforce Planning Model & Guide

Introduction

Anywhere you go in the business world today you're almost certain to hear the buzz about "workforce planning." There's also a sense of urgency surrounding the discussions, as phrases such as "baby boomer," "knowledge drain," "competencies," and "gap analysis" are tossed about.

That sense of urgency is justified when we take a look at recent statistics which indicate that 53% of the State's current workforce is age of 45 and over. Up to 35%, or more than 80,000 employees, will be eligible to retire in the next five years. To break it down further, 62% of our top leadership and 50% of our managers and supervisors will be eligible to retire in the next five years.

The average age people enter State service is around 34 (for the Miscellaneous Retirement category), so public service organizations often have an older workforce than many companies in the private sector. Not to mention, fewer candidates are in the "pipeline," so we may have fewer candidates to choose from and there will be great competition for the best candidates in what's being referred to as a, "War for Talent."

Number of State Employees by Age
As of June 30, 2008
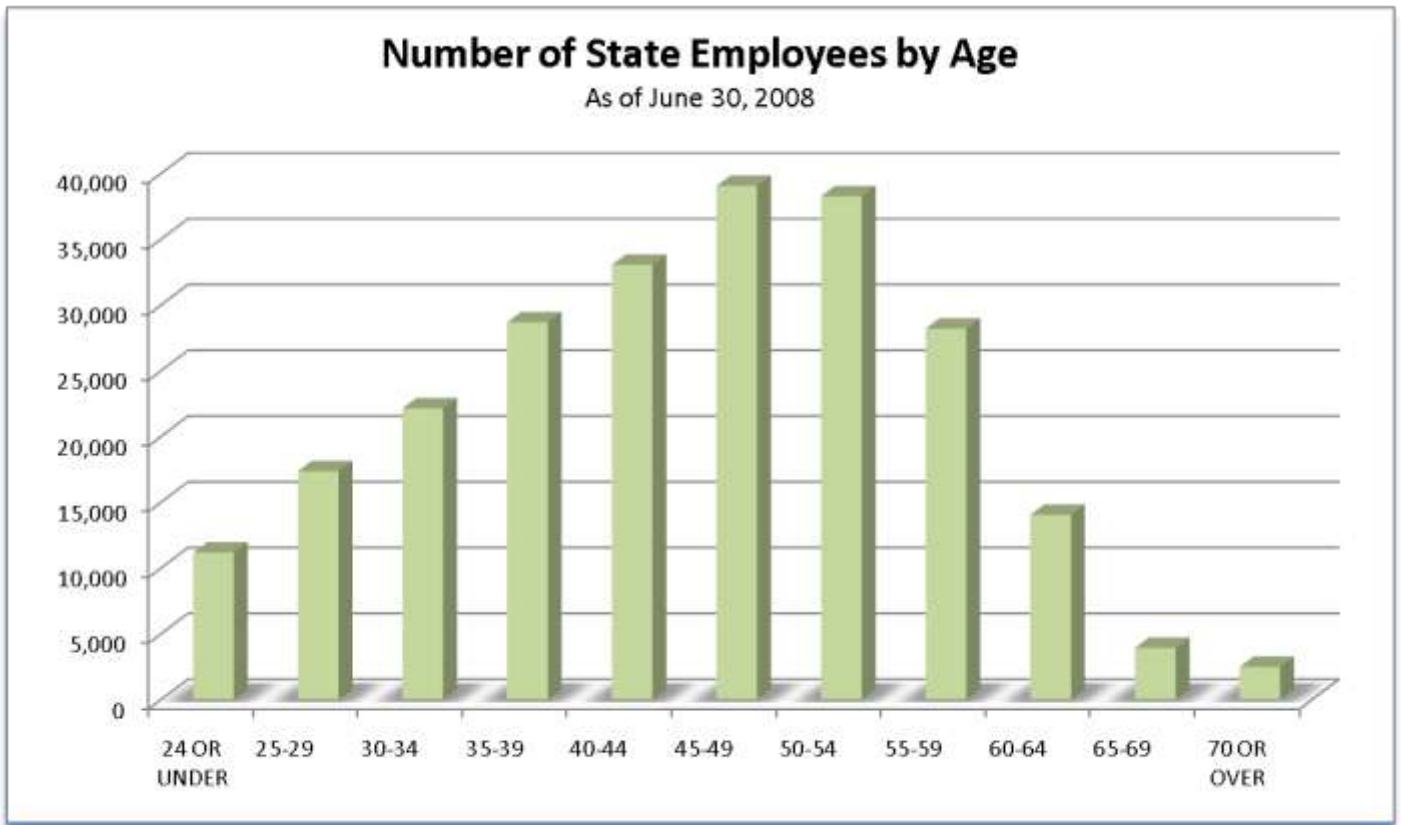
Obviously, these challenges present both difficulties and opportunities. In the past, human resource needs of the workplace have largely been met in a reactive mode, position by position, vacancy by vacancy. That approach will no longer suffice as we plan for the upcoming wave of retirements. It is imperative that State departments take a strategic approach to workforce planning, *now*!

What Is Workforce Planning?

Workforce planning has been defined a number of ways by entities engaged in the process, but the most common, succinct definition may be:

> **Having the right number of people with the right skills, experiences, and competencies, in the right jobs, at the right time.**

Workforce planning addresses the people requirement of a strategic plan. As with any strategic planning, the process draws together program management, human resources, budget, program staff, and when appropriate, unions. During this planning, your organization should systematically address the issues driving workforce change.

It is a process where you:
- analyze the current workforce,
- identify future workforce needs,
- establish the gap between the present and the future,
- and implement solutions so the organization can accomplish its mission, goals, and objectives.

Workforce planning requires strong management leadership and cooperative, supportive efforts of staff in several functional areas. Strategic planning, budget, and human resources staff are key players in workforce planning. Human resources provides tools for identifying needed competencies and for building the future workforce through strategic recruitment, training, development, and retention techniques.

While workforce planning is not new, the challenges we currently face are new. It is critical to begin carefully and to validate analysis at each step. Large organizations should begin with a subset of the workforce and expand the effort as they develop skills and experience. For example, you may start with developing a workforce plan for one specific program within a division, as opposed to the entire division.

What Is Succession Planning?

In conjunction with the term "workforce planning," you may have also heard the term "succession planning," and wondered if it meant the same thing. While many entities do seem to be using the terms interchangeably, we have chosen to define them as two distinct processes:

Workforce planning has the goal of having the right people, across the organization, in the right place at the right time. Succession planning is an important subset of workforce planning. Its goal is the same, but its focus is specifically on having the right *leadership* in place at every level of the organization.

State Employee Age by CEA/Exempt, Mgr/Sup, Rank & File
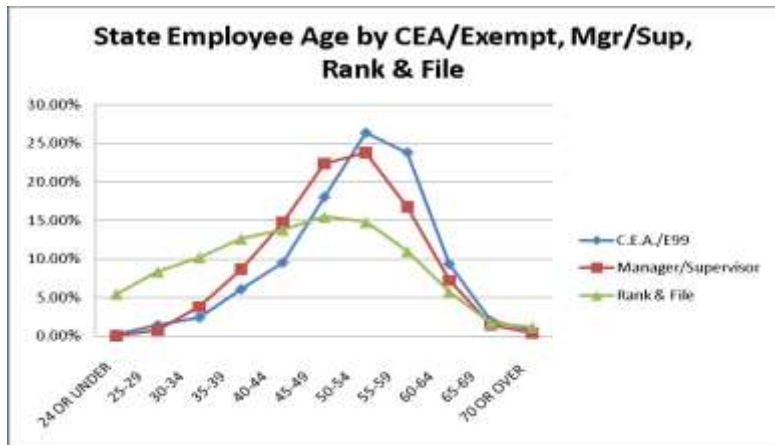
Who is Eligible to Retire in the Next Five Years?

62% of CEAs & Exempts
50% of Managers & Supervisors
35% of Rank & File

Key Elements of Workforce Planning

Many organizations, public and private, have developed workforce planning models. A review of those models reveals that, while the terminology may vary, and some models may consist of as many as ten steps and others consist of as few as four steps, they all contain the same basic processes, and provide the same tools and considerations necessary for pro-active, comprehensive, strategic workforce planning.

A study of numerous models developed by other states, private entities, and the federal government enabled the California Department of Personnel Administration to glean the information most pertinent to state government and develop our model and guide. It's a resource for your use, not a "rulebook." You will need to adapt and modify the steps for your agency as you see fit.

This model, as all others, relies on a process to:
- Analyze present workforce staffing and competencies;
- Identify staffing and competencies needed in the future;
- Compare the present workforce to future needs to identify gaps and surpluses;
- Prepare plans for building the workforce needed in the future; and,
- Evaluate the process to assure that the workforce solutions implemented remain valid and that objectives are met.

What are competencies?

Competencies are a set of behaviors that encompass skills, knowledge, abilities, and personal characteristics that, taken together, are critical to successful work accomplishment. Competencies are what successful performers do more often, more completely, and consistently. They are observable behaviors that make a difference, often referred to as the "how" side of performance. Competencies may be defined organizationally or on an individual basis.

- **Organizational competencies:**
  - Identifying competencies on an organizational basis provides a means for pinpointing the most critical competencies for organizational success. These are an organization's core competencies.
- **Individual competencies:**
  - Individual competencies are those that each employee brings to his or her function. Individual and team competencies are critical components of organizational competencies. If the individual competencies in the workforce are not in accord with those needed by the organization, work force planning will point out these gaps.
- **Competency Assessment:**
  - The process of developing a set of competencies that is aligned with an organization's mission, vision, and strategic goals. The assessment is developed based on information collected by studying what successful performers do in the defined job context. This may be gathered in a variety of ways, including employee surveys, focus groups, and interviews with managers and employees.

The Human Resource Modernization Project is in the process of incorporating competencies into our current system. Under the new system, Classification, Compensation, Recruitment, Selection, Performance Management, and even Workforce Planning will be competency-based. Competencies are currently being identified for several occupational groups, including Scientists and Managers and Supervisors. A dictionary of general competencies, for the State of California, is available on the HR Mod website at http://www.dpa.ca.gov/hr-mod/competency-dictionary.htm. The dictionary defines a general competency and identifies behaviors associated with that competency. In addition to the general competencies defined in the dictionary, the Human Resources Modernization Project will be identifying the specific technical competencies (technical skills, knowledge, abilities) required for each occupational group.

State of California Workforce Planning Model

The State of California Workforce Planning Model consists of seven steps:

- **Step 1:** Review Strategic Plan
  Review your department's Strategic Plan mission, vision, and measurable goals and objectives, and timeframes for accomplishing them.

- **Step 2:** Identify Work Functions
  Identify the work functions that must be performed in order to accomplish the Strategic Plan.

- **Step 3:** Identify Staffing Requirements
  Identify the staffing, both in number of staff and competencies required to accomplish the Work Functions.

- **Step 4:** Project Workforce Supply
  Project your workforce, including numbers of staff as well as competencies, taking into account attrition, and assuming no management actions taken to replace staff lost through attrition.

- **Step 5:** Analyze Workforce Gaps
  Compare the Staffing Requirements in Step 3 with the Projected Workforce Supply in Step 4, and determine the gap.

- **Step 6:** Develop Priorities and Implement Solutions
  Analyze your workforce needs (the gap), establish priorities, and implement solutions for meeting those needs.

- **Step 7:** Evaluate the Plan
  Assess what's working and what's not. Make adjustments as needed. Address new workforce and organizational issues.

 These seven steps outline the workforce planning process. The information that follows will guide your agency through the steps, explaining the importance and deliverable of each step. You will find actions to take as well as questions your agency may want to consider. As you work your way through this process, modify and adapt as you see fit.

Step 1: Review Strategic Plan

Why this step is important:	If you develop a workforce plan that meets only your current needs, your plan will be obsolete before you finish the plan.
Deliverable of step one:	A plan of where you want your organization to be in 3-5 years

Workforce planning depends upon, complements, and logically follows strategic planning.

Strategic planning assists you in mapping where you are, where you're going, and how you plan to get there. Workforce planning identifies human resource needs and strategies that will be required for you to achieve your strategic goals.

The suggested actions below will assist you in beginning the process of developing your workforce plan.

Actions to Take

- Obtain decision regarding scope of the initial Workforce Plan; i.e. what part of the organization will be addressed.
- Determine who will be responsible to lead the Workforce Planning effort.
- Review Strategic Plan and goals of the organization to determine future direction. If your organization has not recently conducted a strategic planning effort, consider doing so. Without such an effort, it is difficult to anticipate changes in your organization's work and human resource needs.
- If strategic planning has not been completed begin the process by:
  - Performing an Environmental Scan which entails looking at changes to the internal and external factors that could occur in the future and how these changes could impact the workforce
  - Performing a SWOT (Strengths- attributes of the organization that are helpful to achieving strategic goals, Weaknesses - attributes of the organization that are detrimental to achieving strategic goals, Opportunities - *external* conditions that are helpful to achieving strategic goals, and Threats - *external* conditions that are detrimental to achieving strategic goals) analysis.
- Obtain data on the entire organization as well as data related to outside factors (events impacting your agency/organization, private sector trends, federal or local influences) so you can review demographic trends such as age, retirement eligibility, or potential organizational shifts, such as changes in how you do business. Develop a trend analysis and identify the potential impacts of the trends identified.
- Plan a meeting to introduce Workforce Planning to key stakeholders to discuss steps that will be followed during the planning effort and their roles and responsibilities:

In this step, which provides the context and scope for your workforce planning efforts, you might ask:

- What direction is the department taking?
- How are the department and its culture changing?
- What are the key issues and challenges facing the department that will affect its mission, strategies, or goals?
- How will the department's structure look in five years, and how will the current structure evolve?

- What are the customers' expectations? How are they changing?
- How might technology change the way we work?
- What is the state legislature considering that might impact our department?
- What federal legislation is being considered?
- What provisions are likely to arise during negotiations with the unions, and what impact might they have on the department?
- What are the key economic and environmental factors facing the department?
- What impact do changes in the state, national, and world economy have on the services we provide?
- Is the agency planning for any de-emphasis or discontinuance of agency activity that would impact the workforce?
- How are worker expectations changing?
- What are the employment trends at the state and national levels?
- What are the changes in the skill sets of the potential candidate pool that will require re-assessing position duties, roles, and responsibilities?
- What is your agency IT strategy and how will your workforce be prepared for newly planned innovations?
- What can be accomplished in a reasonable period of time?
- What current efforts are underway, such as a special recruitment program for a particular occupation that can be expanded upon?
- How does all of the above affect our planning efforts?

Step 2: Identify Work Functions

Why this step is important:	To ensure that you are focusing on the appropriate work functions in your workforce/succession plan
Deliverable of step two:	A list of current and future functions that will be considered in the workforce plan and a list of current and future functions that will be discontinued.

Based on the information gathered in step one, identify the current work functions being performed, future or new functions that will need to be performed, and how the work will be performed in order to achieve the goals of your strategic plan.

Also important is identifying current functions, which your department will cease to perform in the future, or other functions that will be performed through the use of technology rather than human resources. As we all recognize, computer systems, and internet technology will continue to impact how individuals and departments carry out their jobs and missions.

Actions to Take

Determine:

- Which work functions will remain unchanged?
- Which work functions may be discontinued?
- What are the potential new work functions?
- Will changes identified in Step 1 result in an increase or decease of work in any function?
- How might existing services or processes be enhanced or changed and what effect will that have on the work and human resource needs?
- Will any functions be consolidated, simplified, or made more complex?
- How will divisions, work units, and jobs be redesigned?
- How does work currently flow into each department? Will this change?
- What new services will be offered?
- What technology changes will be made or new technologies introduced?
- Are any reorganization's planned or needed?
- Are there any plans to open new offices, relocate offices, or close existing offices?
- How soon will changes be needed?
- What is driving the change?

The results of your work analysis will establish the requirements for your department's future workforce and lead to an assessment of staffing and competencies.

Step 3: Identify Staffing Requirements

Why this step is important:	**Determining the future staffing demand is essential to ensure that you meet your strategic goals, customer expectations and maintain quality, as well as identify the competencies that are required of the future workforce to meet the business outcomes and maintain a qualified staff.**
Deliverable of step three:	**A list of competencies matched to functions that will be used in solutions regarding staffing, training and development, or knowledge transfer .**

Now that you have identified the work functions that must be performed to achieve the goals of your strategic plan, it is time to identify the staffing, or workforce, needed to perform those functions.

First, focus on defining the competencies (i.e., skills, knowledge, abilities, and personal attributes) your staff must possess to successfully perform the functions identified in Step 2.

Second, determine the number of staff with those competencies that your organization will need to accomplish its functions.

Competencies may be defined organizationally or on an individual basis. Identifying those "core" competencies needed across the organization and by multiple job types allows you to focus on the most critical competencies needed for organizational success.

Individual competencies are those competencies necessary to succeed in an individual function or department. Individual and team competencies are critical components of organizational competencies. If the individual competencies are not compatible with the organization competencies, workforce planning will point out these gaps.

This workforce 'profile' will identify a set of competencies that describe the ideal workforce to accomplish the department's strategic plan. This set of competencies provides management and staff a common understanding of the skills and behaviors that are important to the department's future. Therefore, this profile plays a key role in decisions on recruiting, employee development, personal development, and performance management.

In addition to identifying competencies, determine the number of staff required. The following actions may assist you in quantifying your staffing requirements:

Actions to Take:

- Decide, based on the scope, if your team will use leadership competencies. Leadership competencies are the skills, knowledge and abilities and personal attributes that are important for leaders of the organization to demonstrate or develop in order to be successful in their positions.
- Decide if your team will develop technical competencies. Technical competencies are the skills, knowledge and abilities required for effective performance in a specific job or to produce a set of work outputs.
- If you are not developing competencies, develop an approach to determine Skills, Knowledge and Abilities required for the organization or individual positions now and in the future.
- What level of competency is needed to be effective in that function?
- Determine how you will assess competencies of your current staff:
    - o What types of measurement tools will be needed to determine whether applicants/employees possess the desired level of competencies?

- Assess current staff competencies-Assessments can measure quality, speed, quantity, and completeness of function.
- Identify tools that transfer knowledge and build each competency to the desired level of performance, (i.e. if a necessary competency is expertise in Microsoft Word, then an advanced course in Microsoft Word may teach that competency).
- Determine:
    - What competencies do not have a knowledge transfer tool? (competency gap)
    - What are the projected workload volumes (e.g., telephone calls, client visits, client population increase, etc.)? Estimate how this might change based on future requirements.
- What staffing levels will be required by competency and/or classification, division/section/unit, and geographic location? Will supervisor/staff ratios change?
- What are the potential impacts of technology, budget constraints, retirements, or other factors on the competencies and staffing levels?

Step 4: Project Workforce Supply

Why this step is important:	Determining the future workforce supply is essential to understand existing staff's education and experience levels, anticipate future staff turnover and attrition and understand staffing vulnerabilities. It also is important to ensure a continued supply of staff with the necessary competencies to meet your strategic planning goals.
Deliverable of step four:	A list of staff eligible for retirement with list of competencies and functions associated with those potential vacancies.

Projecting your workforce supply consists of developing a profile of the current workforce, and projecting what that profile will be in the future after expected attrition. This profile assumes no hiring to replace employees who leave.

Actions to Take

- Develop a profile of your current workforce which includes:
  - Number of employees
  - Key Competencies
  - Classifications and salaries
  - Age, gender, ethnicity
  - Location
  - Typical educational level
  - Appointment status (permanent, temporary, etc.)
- In order to determine your future workforce supply, calculate past attrition by adding up the number of employees who left the agency in a year and divide by the total number of employees. Include:
  - Retirements
  - Resignations
  - Deaths
  - Transfers
  - Interdepartmental promotions
  - Dismissals
  - Rejections on Probation

Following is an example of a simple attrition calculation:

Department size: 250 employees

Annual transaction data: 7 retirements
                               3 resignations
                               4 transfers
                               2 deaths

Total attrition: 16
16 divided by 250 = **6.4% attrition rate**

- Determine variables that could impact your future workforce including:
    - Estimated demographic factors (e.g., the aging of the work force)
    - Historical patterns of attrition (past attrition may or may not be an accurate predictor of future attrition)
    - Economy – a declining economy may bring more people to civil service
    - Industry changes--a surge in demand for people in occupations you employ may make recruitment and retention very difficult
    - Funding for critical positions--are they funded from the general fund or through grants or federal funding? Are there any anticipated changes in the funding stream?
    - Benefits--Do you have employees in classifications that may retire at 50 instead of 55?
    - Geography--Where positions are physically located may impact the ability to recruit and retain your workforce
- Based on the existing demographics and projected attrition rates by classification/competencies, determine the future composition of the workforce without factoring in any hiring

Step 5: Analyze Workforce Gaps

Why this step is important:	A gap analysis is the foundation of determining the gap between your workforce supply and demand. Gap analysis is essential to successfully completing Step 6 – Developing Priorities and Solutions. Without identifying your gaps you will not be in a position to effectively develop the solutions that will rectify your gaps.
Deliverable of step five:	A clear understanding of the gaps your organization has in both staffing and skills. Prioritized lists of gaps that will assist you in the development of solutions and strategies for your workforce plan.

This step requires you to compare your projection of the existing workforce adjusted for attrition, with the number of staff required to perform the work functions, as identified in Step 3, Identify Staffing Requirements.

A gap analysis determines the gap between your workforce supply and demand. The result reveals any gaps and surpluses in staffing levels and competencies needed to perform your organization's functions. For example, you might find:

- Excess staff performing obsolete or declining functions.
- Inadequate supply of qualified personnel for positions in classifications that will likely remain the same.
- Inadequate supply of personnel with needed competencies for positions described within an existing classification.

Actions to Take

- Conduct a Gap analysis. A gap analysis consists of:
  1. Assessment of the **Current Supply** of human capital,
  2. Factor in **Variables and Assumptions,** which include retirements, resignations, and transfers.
  3. Also consider changes that you assume will occur, such as major projects that are planned that will impact your workforce needs, other changes that could cause you to need more or less workforce, changes in availability of certain professions such as nurses and engineers.
  4. This information will help you determine **Future demand**.
  5. To determine the Gap, you subtract your current supply from your future demand.

- Once you measure the extent of any gaps for each classification and competency set, identify where candidates will come from to fill those gaps. Consider the following questions:
  - Is it possible to match competencies for declining functions to new functions or shortage areas?
  - For classifications that will be filled via promotion, what are the qualifying and possible qualifying classifications and competencies that feed into the promotional classifications?
  - What classifications are sources of transfer candidates?
  - What would occur if the gap is not addressed (i.e. what critical business outcomes will not be met?)

- Decide if you need to have gap analysis validated by leaders in the department(s) where the gaps reside. If yes, determine how validation will occur.

Use the answers to the questions above and below to analyze the gaps between work functions and workforce:

- Is recruiting matching our priorities?
- Is the exam schedule matching our priorities?
- Do we have clear career paths into our critical gap areas?
- Are there current eligible lists for the classification(s) involved? If so, when are they scheduled to expire?
- Are the exams designed to rank the people with the most critical competencies highest?
- If the present list will still be in effect for the planning horizon, how suitable are the available eligibles and how many are still likely to be on the list when they are needed?
- Does the exam and interview process result in obtaining people with the right competencies to fill the mission critical gaps?
- When will the next exam be held? How will the exam cycle contribute or detract from the agency's ability to appoint qualified candidates?
- Where there is no appropriate classification to provide the competencies needed, to what extent does the projected workforce provide these competencies? Determine the estimated number of qualified people, considering likely qualifying classifications, and the estimated number that would pass an appropriate exam. This assumes that the positions would be in the competitive class.
- Are our knowledge transfer methods (i.e. training) working to teach or build capabilities in the critical competency areas?
- Do we have training or knowledge transfer methods for our future competencies defined?
- For classifications tested on an open competitive basis, how many staff would need to be recruited externally? In what general occupations, industries, and locations are these staff needed?
- How many staff, by classification, will no longer be needed to perform their current functions(s)?
- How is our retention program performing, especially in the critical competency/workforce areas?
- If people are leaving other than for retirement or promotion, why?

Step 6: Develop Priorities and Implement Solutions

Why this step is important:	**In order to develop solutions that use available resources wisely, it is essential to determine the most critical future workforce gaps and develop solutions that enable you to:** • **Continue to meet the department's strategic goals and meet critical business outcomes.** • **Target recruitment and retention efforts to specific levels of staff that possess the right knowledge, skills, and abilities.**
Deliverable of step six:	**A prioritized list of solutions and an implementation plan of short and long term plans and strategies to fill the future workforce gaps.**

Now that the workforce gaps have been identified, prioritize the areas where you have the most pressing needs so you can develop and implement solutions.

You'll want to consider:

- Which workforce gaps can be handled in a routine way with a minimum commitment of resources (e.g., continue the exam process that was successful in the past and is expected to meet anticipated needs)?
- Of the remaining workforce needs, what is the benefit of addressing each?
- What would be the impact of not addressing each?
- Based on the benefits and impact identified above, what is the relative priority of each of the needs?
- Have you received executive input in setting priorities?

Actions to Take

- Brainstorm and prioritize solutions that resolve the major gaps identified. Solutions usually fall in the following broad categories:
    - Position classification actions: including consolidating classifications, redefining classification series, or establishing new classifications.
    - Staff development strategies: to prepare employees for positions or classifications identified in the Workforce Plan.
    - Recruitment/selection strategies: to find and hire recent graduates or qualified candidates from other departments or the private sector. Improve examination results for open competitive or promotional exams through modified minimum qualifications, exam scope, and measurement tools.
    - Retention strategies: to encourage employees to stay in the organization.
    - Organizational interventions: such as redeployment of staff or reorganization.
    - Knowledge transfer strategies: to capture the knowledge of experienced employees before they leave the department.
    - Collaboration with other State Agencies/Departments to see how they are addressing gaps. Teaming up may save money and time.
- Decide which solutions will be recommended to senior leadership for approval.
- Develop a description of each solution that includes:
    - The gap each solution addresses
    - General implementation steps
    - Approximate completion date
    - Estimated budget & resources needed for implementation

- o Communication Plan
- Once you have approval to implement solutions:
    - o Clarify roles and responsibilities for implementing solutions. This includes identifying who will be involved in implementing specific aspects of the plan, and identifying the need for coordination among different segments of the department/organization or with different entities.
    - o Establish acceptable timelines.
    - o Define performance measures/milestones and expected deliverables.
    - o Communicate the plan. The basis of the plan, as well as its elements, should be communicated to all employees. Include why and how it was developed, how it will be applied, and how it will impact staff.

- **Implement The Plan!**
    - o Executive sponsorship is a must.
    - o Follow change management practices to ensure buy-in.
    - o Involve your change agents very early on in the process.
    - o Develop a project plan that establishes responsibilities with major milestones.
    - o Implement a communication plan to ensure executive sponsorship and that stakeholders are aware and informed of each milestone.
    - o Follow a timeline with clear deliverables.
    - o Provide feedback to all levels of the organization.

Step 7: Evaluate the Plan

Why this step is important:	It is essential to evaluate all components of the program to ensure they are effective and accomplishing appropriate outcomes.
Deliverable of step seven:	A list of measurements for your program and an evaluation methodology.

Once you implement solutions, evaluate your efforts in order to ensure:

- You are meeting your objectives.
- You are closing the workforce gaps.
- Process improvements you have established as part of the plan are being constantly evaluated.
- The cost effectiveness of the solutions.
- A documented history of your workforce program is created and maintained.
- That internal and external clients and the organization as whole are benefiting from the program.

Actions to Take

- For each solution, develop success measures that include:
  - Who will use the results?
  - How will the results be used?
  - What results does your agency/department expect from the solution?
  - Who will be responsible to ensure that evaluation occurs?
- Determine evaluation methodology.
- Choose who will be on the evaluation team and who will be responsible for ensuring evaluation occurs and reports developed.
  - Add this information to the description of each solution created in Step 6.
- Determine methodology to present information to both staff and leadership. Methodology should include:
  - Who will present the information?
  - Method of presentation.
- You may want to consider:
  - Preparing annual reports of the workforce plan to share with management;
  - Reviewing workforce profiles annually to address new priorities and adjust strategies to maximize results; and
  - Collecting data on customer satisfaction and program progress to measure how workforce planning contributes to your organization's long-term goals.
- What to look for:
  - An explicit link between skill improvement and agency performance.
  - An increase in the quality of hires and their associated performance.
  - Testimonial evidence from employees and management that necessary training and develop is relevant and encouraged.
  - Indications of integrated work unit coordination and communication.
- Tips:
  - Get feedback from managers and staff on the effectiveness of the performance management system and its return on investment.
  - Analyze and review performance appraisals and progress in employee development.
  - Review agency's operating budget spent on training and compare industry benchmarks.

- o Review recruiting efforts and look for reduced cycle times (from requisition to hire).
- o Review succession-planning efforts and determine effectiveness.
- What did you learn?
  - o What did the agency learn from the workforce planning process?
  - o What changes need to be made?
  - o How will the agency implement what was learned.
  - o Review strategies that worked well in this planning cycle as well as those strategies that did not work as well as intended.
  - o What key staff played major roles in those areas.
  - o Identify process and structural improvements that enhance the agency's ability to accomplish goals and objectives.
  - o Ensure that workforce-planning efforts are adjusted based on your evaluation and are again integrated into the agency strategic plan.
  - o Review agency performance measurements and adjust to accommodate greater organizational efficiency.

Strategies and Solutions

Staff Development Strategies

In order to identify appropriate staff development strategies, consider:

- Which classifications the department should focus its staff development efforts on, i.e., which classifications will have the most impact on achieving the department's strategic plan?
- Which competencies the department should focus its staff development efforts on, i.e., what knowledge, skills, or abilities are critical to achieving the department's strategic plan, and how equipped is your workforce with those competencies?
- Are managers and supervisors aware of, and equipped to fulfill, their role in developing staff? Do they have the tools and skills to ensure staff is developed?
- What applicable training is available?
- How will each employee's development be monitored?

Recruitment/Selection Strategies

Recruitment/selection strategies focus on hiring new staff who possess the competencies required to achieve your department's strategic plan, and in which your current workforce may be deficient. These questions may assist you in developing recruitment/selection strategies that address your unique needs:

- Which recruitment and selection strategies compliment each other, and afford the best opportunity to build the workforce you need? For example, pairing an on-campus college recruitment job fair with on-the-spot exams and list eligibility will allow your department to make immediate job offers to candidates. This reduces the risk of losing viable candidates to other employers who are in a position to make immediate job offers.
- Is it a viable option to conduct a cooperative recruitment and selection with another department that tests for the same set of competencies? Does another department already have an eligible list that they would permit you to use?
- Do you use a classification that lends itself to continuous filing and testing?
- Have you assessed your current exam plans (written test, patterned interview, experience, and education application) to determine whether it is still current, appropriate, and helpful in establishing a list of qualified eligibles for a specific classification?
- Does a specific classification lend itself to a competencies-based selection tool, which could support screening and selection of employees based on the priority of the competency?
- Would a special exam strategy be appropriate, such as an on-line exam, position-specific and program-specific testing, performance assessment, or education and experience test?
- Is there workload that could be assigned to a student intern or a retired annuitant?

Retention Strategies

When considering strategies for retaining our employees, we often limit ourselves, thinking only in terms of monetary items such as bonuses, retention pay differentials, etc. However, according to Structures Magazine, June 2001, surveys throughout several industries indicate the number- one reason employees remain at a company is the presence of growth and development opportunities. In those same surveys, fair pay and benefits do not rank in the top ten.

Other retention strategies to think about:

- What changes to your workplace would make the organization a more desirable place to work, improving the quality of "work life"?

- Is the environment clean, orderly, and professional? If not, what can be done to address these issues?
- Does your department use a "host" or "buddy" system to welcome new employees into the organization?
- Is there diversity among staff? If not, what changes should you make in your recruitment and staff development strategies to enhance diversity?
- How can relationships between colleagues, supervisors, and managers become more collaborative, positive, and enriching?
- Is your department "family friendly"? What options are available to assist employees in balancing their work and home life? Does your department provide the option of flex-time, four-day workweeks, telecommuting, etc.?
- Does your department offer on-site child care?
- Are employees offered opportunities to learn and develop, such as rotational assignments, mentoring programs, training and development assignments, etc.?
- What promotional opportunities exist in your department, and how can they be enhanced?
- What avenues does your department use for recognizing exceptional employee performance? Are such recognitions made frequently?
- Does your department value, and make changes based on, the information shared by employees in exit interviews?

Knowledge Transfer Strategies

Whenever an employee leaves a department, that department experiences a loss of knowledge. Whether the employee is chief of a large division, or the person responsible for delivering the mail, some knowledge of what to do and how to do it is lost. To determine whether your department has knowledge transfer strategies that will ensure future employees are well equipped to assume their duties, answer the following:

- Is there documentation of your work methods and procedures?
- Is there documentation for the processes, methods, tools, and techniques of employees with special skills and responsibilities?
- Do your retiring employees mentor employees in the unit for a period of time before they retire?
- Has your department considered asking for approval from the Department of Personnel Administration to:
  - allow a retiree's successor to be appointed to a duplicate or project position to "shadow" the incumbent for a period of time so the successor can learn the job first hand?
  - hire a retiree for the express purpose of mining knowledge and expertise?
- Does your department have a communications system in place that facilitates sharing information on all aspects of departmental operations across organizational boundaries?
- Are important meetings, events, and presentations video or audio taped?
- Are systems, such as record retention schedules, established to ensure valuable information on important events or decisions is saved for an appropriate period of time and accessible to those who need it?
- Are systems in place to archive material critical to documenting the institutional history of your department?

Now, About Succession Planning

As mentioned earlier in this model, the State of California has chosen to define succession planning as an important subset of workforce planning that focuses on having the right leadership in place at every level of the organization. Within State service, what we have to pay attention to is the Merit System. Our State Constitution provides for the State Personnel Board to ensure that civil service, permanent appointments, and promotions are based on merit and competitive exam. Unlike the private sector, which can accomplish succession planning by designating one person to replace another, we must ensure that we have a talent pool at the ready when leadership vacancies arise.

Succession planning mirrors workforce planning but concentrates on leadership and other critical positions. When developing succession plans, departments must identify known and potential vacancies in those key positions. As in the workforce planning model, departments must evaluate and determine the readiness of a talent pool of current staff to assume the responsibilities of those positions, identify the competencies "gap," and develop strategies for addressing the needs.

The strategies and solutions identified in the workforce planning model to address "gaps" may also be used in succession planning to ensure departments have the right leadership in place. In addition, there are numerous approaches to leadership development that local, state and federal governments have used successfully.

Resources

Department of Personnel Administration
Workforce Planning Website
http://www.dpa.ca.gov/personnel-policies/workforce-planning/index.htm

Human Resource Modernization Project
Competency Dictionary
http://www.dpa.ca.gov/hr-mod/competency-dictionary.htm

State Personnel Board
Workforce Statistics and Analysis
http://www.spb.ca.gov/civilrights/Workforce_Analysis_and_Monitoring.htm
Training Information
http://www.spb.ca.gov/training/index.htm

Office of the State CIO - California
IT Succession Planning toolkit
http://www.cio.ca.gov/Government/Publications/pub.html

DGS Master Services Agreement
Workforce Planning and Strategic Planning Consulting Contract Info
http://www.pd.dgs.ca.gov/masters/busmgmt.htm

The Government Performance Project – Grading the States
A Pew Center survey, recommends Georgia, Iowa and Virginia as Best Practice States for Workforce Planning.
http://www.pewcenteronthestates.org/gpp_report_card.aspx

Georgia Merit System
Workforce Planning
http://www.gms.state.ga.us/agencyservices/retention/wfp_index.asp

State of Iowa
Workforce Planning
http://www.iowa.gov/das/hre/wp_home.html

Commonwealth of Virginia
Department of Human Resource Management
Workforce Planning Guide
http://www.dhrm.virginia.gov/workforceplanning.html

New York State Governor's Office of Employee Relations
Work Force and Succession Planning Guide
http://www.cs.state.ny.us/successionplanning/planning/index.html

State of Texas
Workforce Planning Guide
http://www.hr.state.tx.us/workforce/guide.html

State of Wisconsin
Workforce Planning for Wisconsin State Government
http://workforceplanning.wi.gov

State of Washington
Workforce Guidelines and Model
http://hr.dop.wa.gov/workforceplanning/Default.htm

Federal Gov't - Office of Human Resources
Assistant Secretary for Management and Budget
http://www.hhs.gov/ohr/workforce/wfpguide.html

United States Office of Personnel Management
OPM Workforce Planning
5 Step Workforce Planning Model
https://www.opm.gov/hcaaf_resource_center/3-4.asp

Cooperative Personnel Services (CPS)
Offers workforce planning and strategic planning classes
http://cps.ca.gov

California State University – Sacramento (CSUS)
College of Continuing Education – Portfolio Programs
http://www.cce.csus.edu/programs/portfolio/index.htm