Our WorkForce Matters

a guide to work force and succession planning for new york state agencies

EXCELSIOR

George E. Pataki, *Governor*

Published September 2001
by the New York State Department of Civil Service
and the New York State Governor’s Office of Employee Relations

Dear Colleague:

We are pleased to present *Our Work Force Matters: A Guide to Work Force and Succession Planning for New York State Agencies.* This joint product of the Department of Civil Service and the Governor's Office of Employee Relations is the beginning of what will be an ongoing collaboration to present you with information, suggestions, and examples of ways to plan strategically for the work force of tomorrow. The guide is also available on-line on a work force and succession planning page accessible from both agencies' websites: *http://www.cs.state.ny.us/workforce* and *http://www.goer.state.ny.us/workforce*. We would like this web page to be a significant means of presenting and sharing information on work force and succession planning. We are grateful to the managers and staff from many other agencies who helped in developing the guide, in reviewing drafts, and in providing examples.

We trust that this guide will help you maintain the work force needed to achieve your strategic and operational agency goals. Our employees are our most valuable asset and we take the job of stewardship of our human resources very seriously. We want to ensure that New York State continues to provide outstanding service to its citizens and uses information proactively for a state government that is prepared, responsive, and flexible. Now is the perfect opportunity to capitalize on the dynamics of our changing work force, and we hope you will join us in meeting the challenge.

George C. Sinnott
Commissioner
New York State
Department of
Civil Service

John V. Currier
Acting Director
New York State
Governor's Office of
Employee Relations

OUR WORK FORCE MATTERS

A Guide to Work Force and Succession Planning For New York State Agencies

CONTENTS

INTRODUCTION

As agencies set out ambitious plans to improve services, they face enormous challenges in recruiting and retaining the staff to make it all happen.

- ✓ The work force is aging. Retirements may increase over the next few years. If so, how will we tap the knowledge, experience, and institutional memory that will walk out the door with these retirees? Where will we find the right staff to get the work done?

- ✓ Fewer candidates are in the "pipeline," due to downsizing over the past decade. Thus, we may have fewer candidates to choose from and many of them may be eligible to retire.

- ✓ Finding qualified candidates may be difficult in a wide range of occupations, including information technology, accounting/auditing, nursing, other health professions, teaching, and engineering, to name a few. Statewide and nationwide, the number of workers in the 25-44 year old range has declined.

- ✓ Retention of remaining employees may be difficult as increased promotional opportunities become available and agencies compete for the limited pool of experienced staff.

Challenges present difficulties and opportunities. Planning to meet staffing needs in challenging times is no different. We may have difficulty recruiting the people we need but will also have the opportunity to think, work, and organize in new ways. We should use this opportunity for creative problem solving and innovation.

> *"The demographics of our customers are changing,which suggests that there may be a need for new methods of service delivery and a work force that reflects its customers."*
>
> NYS agency executive

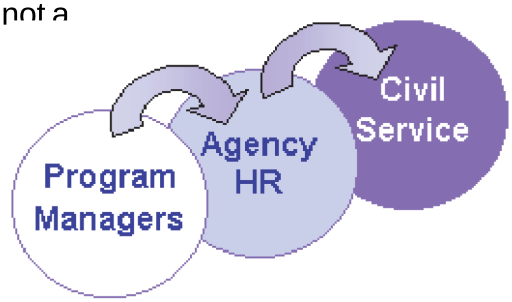
A *pessimist* sees
the difficulty
in every
opportunity.

An *optimist* sees the
opportunity in
every difficulty.

A *realist* sees both
and plans and
acts accordingly.

It has been called work force planning, succession planning, strategic staffing, and other things. Regardless of the name, the steps are pretty much the same. It doesn't matter what you call it - just do it. The main point is to get the right people in the right jobs at the right time. This guide is offered to help you get started or, if you've already started, to help you take stock of what you are doing and consider other possibilities.

The succession planning guide provides a framework to help you think through what you need to do to anticipate and meet your staffing needs in the short, mid, and long term. It is designed primarily for human resource (HR) professionals but also for program managers working with HR staff. It's a resource for your use, not a "cookbook." You will need to ***ADAPT IT FOR YOUR OWN PURPOSES***!



Support for the Planning Process

Within each agency, program managers and HR managers and staff need to work together to make things happen. The Department of Civil Service's Staffing Services Division (Staffing) and Division of Classification and Compensation (C&C) are ready to partner with agency HR in finding solutions to your staffing problems. They need to be involved early in the process. As one Civil Service manager said, "We are ready to work with agencies to help them achieve their goals."

The guide is only part of a larger effort to address the challenges faced by all agencies. Other supports are also available, as noted below.

Other Supports

Website	Access to what agencies are doing. Check out the website at either http://www.cs.state.ny.us/workforce or http:// www.goer.state.ny.us/ workforce
NYSTEP Reports	Work force data for your agency. See Appendix 2.
Interagency Work Groups	Development of resources for agencies, e.g., recruitment, retention, etc.
Workshops	Opportunities for program managers and HR professionals from different agencies to share perspectives and solutions.

Need to hear more about why you should plan?

How about:

- ✓ Making sure that employees are prepared for the jobs and responsibilities of the future.
- ✓ Having enough qualified people for that strategic initiative the Commissioner told everyone about.
- ✓ Making sure employees with obsolete skills get needed training so that they can continue to contribute.
- ✓ Having people who can develop and use that great new technology you need.
- ✓ Providing a workplace and work opportunities that make employees actually want to stay in your agency.
- ✓ Not wasting valuable time and money training people in skills that don't support the agency's strategic direction.

Did you know that **Civil Service** can provide you with valuable, up-to-date technical assistance when you are planning for the future work force? Yes, *Really!* Here's how…

1. Involve Staffing and C&C in your planning early on. Often, they can suggest actions that will provide you with the most flexible options. Consulting with them *after* key decisions have been made may lead to roadblocks and backtracking.
2. Share what the goal is. Because they are experts, they can navigate through the "system" to help meet your goals. To do this, they need to know the goals.
3. Be flexible. Sometimes Civil Service can't do what a program manager wants in a particular way – BUT they can still accomplish the desired outcome.

THE BOTTOM LINE IS…COMMUNICATION - TELL THEM WHAT YOU WANT TO DO AND THEY WILL HELP YOU FIND A SOLUTION.

ORPS involved Civil Service early in its effort to consolidate some management titles and create a new two-year traineeship.

OMH had 90 days to implement Kendra's Law. With C&C involved early and facilitating interactions with DOB and the CS Commission, the jobs were classified in 30 days.

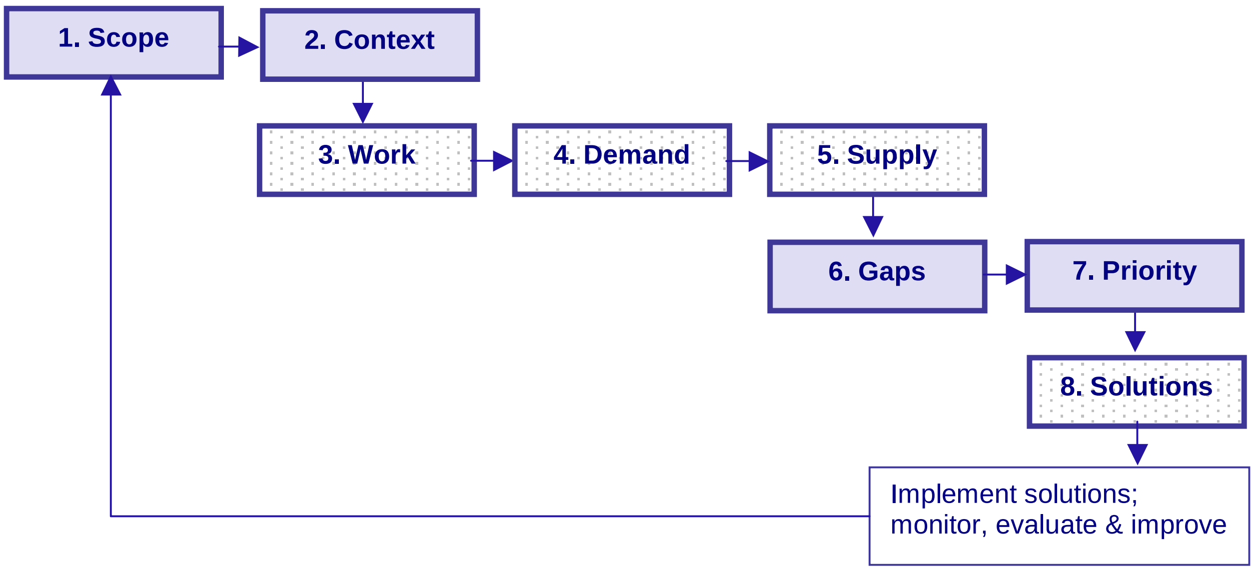
OGS met with Civil Service's Executive Deputy Commissioner, Director of C&C, Director of Civil Service Operations, and Director of the Staffing Services Division to outline the agency's Succession Management Initiative. OGS and CS agreed to work as a team on the development and implementation of strategies to address OGS's long range needs.

OK. So now we have your attention. What do you do next? These are the recommended steps of the planning process for your consideration. Keep in mind that you should customize the process to meet your needs.

1. SCOPE	What is the issue, initiative, or organizational unit (agency, office, division, etc.) that needs your attention? Is it an immediate critical need or do you have time to plan?
2. CONTEXT	What is your agency's direction and how will it affect the issue, initiative, or organization of concern?
3. WORK	What functions will need to be performed? Will the work be the same, evolving, or brand new?
4. DEMAND	What staffing levels and skill sets or titles will be needed to perform the functions?
5. SUPPLY	Where will the people come from to staff the functions? What does the data on the current work force tell you about the likely availability of qualified people when you need them?
6. GAPS	What positions, titles, or functions require special action to ensure that you can recruit, appoint, and retain the people with the skill sets you need?
7. PRIORITY	What is the order of importance of addressing the gaps you have identified?
8. SOLUTIONS	What specific actions will you take to address the priorities?

THE PLANNING STEPS

This section walks you through each of the planning steps.



"An effective succession plan demands we look beyond a simple replacement strategy. We need to look ahead to determine whether the current structures we have in place will support our business needs in the future. More specifically, we need to define what skills we will need to support our critical business functions."

NYS agency HR manager

1. S C O P E

In starting your planning effort, choose a manageable scope, something that you can accomplish within a reasonable period of time. Build on what you already are doing, if you can, such as a special recruitment program for a particular occupation or a development program for a program division. The main thing is to do something and do it well. Then you can build on it and expand it, continuing to produce results as you go. Avoid getting bogged down in the mechanics of the planning.

The scope could involve an:

- ✓ **Issue**: Problems with a particular title or occupation. It could have short-term and long-term implications, like recruiting for IT titles, nurses, or engineers. It could involve a specific geographical location.

- ✓ **Initiative**: A special initiative as part of a strategic or operational plan. Your organization has set a particular goal or objective that will be met by the initiative. You want to make sure you have the right people to get the job done.

- ✓ **Organization**: The agency as a whole or an office, division, or bureau. You can systematically plan to meet the staffing needs of a particular organization.

Pick something that will really make a difference in your agency's or program's results.

In setting the scope you also need to be clear about the time horizon you are working with. Do you have an urgent situation, like needing to replace a retiring employee who has unique program knowledge or skills? Or is there time to plan?

Sample scopes:

OTDA: piloting a division (PSQI)

Parks: critical title (Park Manager)

OCFS: management

Tax: a title series (auditors)

OSC: a division (Municipal Affairs)

DOT: titles (engineers)

OGS: enterprise-wide; critical/key functions

2. CONTEXT

The outcome of this step is to have a clear idea of where your agency is headed and to understand the impact of external factors on your planning scope. Not all of the following questions will be relevant or useful.

You may find it more useful to consider the context ahead of the scope. For example, if your agency is planning some significant changes that are likely to have major staffing implications you probably should analyze the context first. Then you can assess where you can have the most impact on the agency's service delivery. Here are some questions to consider in understanding the context of your planning effort:

- What direction is your agency taking?
- How does it affect the planning effort you are undertaking?
- How is your organization and organizational culture changing? What are its strengths and weaknesses?
- How are your customers' expectations changing? How are their businesses and lives changing?
- How will technology change the way you work and interact with and deliver services to your customers?
- What impact do changes in the State, national, and world economy have on the services you provide?
- What is the State Legislature considering that might impact your agency?

> *"HR folks need to reach out to program managers about pending legislation, changes to program strategic plans, etc...HR folks need to interject themselves into the planning process!"*
>
> NYS agency personnel director

> *"We started out doing succession planning without analyzing our agency's future direction and had to back track."*
>
> NYS agency personnel director

> *"We need to have more communication between shrinking and growing agencies before we find out about layoffs or outsourcing through preferred lists and reemployment rosters."*
>
> NYS agency personnel director

- What's happening in localities?
- What federal legislation is being considered?
- What's happening in the federal government?
- How are worker expectations changing?

> *"Not only are agencies having trouble recruiting accountants, but also the numbers of students in accounting programs has dropped dramatically in recent years."*
>
> NYS agency personnel director

- What emerging trends in HR (public and private sector) may impact employee expectations for services (e.g., on-line selection of health insurance and other self-service access to services)?
- What are the employment trends at the State and national levels? Check out the web sites for the NYS Department of Labor **(http://www.labor.state.ny.us/html/)** and Federal Bureau of Labor Statistics **(http://www.bls.gov/).**

To explore the answers to these questions, you can:

- ✓ Review your agency's/organization's strategic plan and annual report.
- ✓ Form a research team and ask that members tackle certain questions.
- ✓ Meet with the key people who will be able to provide you with guidance in answering the questions. The Agency Consulting Services Unit in GOER and the Facilitator Exchange, both at (518) 486-5633, are resources for a facilitator for your meeting.
- ✓ Ask people what professional organizations they belong to and ask if those organizations have any useful information for the particular profession (e.g., National Association of Black Accountants).
- ✓ Benchmark with other agencies, states, federal agencies or private employers.

It does not have to be an elaborate process for it to be useful.

3. W O R K

The purpose of this step is to clearly identify the functions you will need to staff within the chosen scope. The focus is on the functions, not the people doing them. Start with a clear understanding of existing functions of the organization. Determine the future functions, taking into consideration the context, answers to the following questions, and the timing of the potential changes.

- What services may be discontinued or outsourced?
- Which functions will remain unchanged?
- How will existing services be enhanced or changed?
- Will these enhancements involve reengineering or other significant changes in the work process?
- Which functions, if any, will be consolidated?
- What new services will be offered?
- What technology changes will be made or new technologies introduced?
- Are any reorganizations planned or needed? Does the current structure make sense given your future needs?
- Are there any plans to open new offices or close existing offices?

4. DEMAND

The focus of this step is on identifying staff that will be needed to perform the functions within the scope of the planning effort. It includes:

- ✓ The knowledge, skills, abilities (KSAs), and personal characteristics or competencies staff must have to be successful in performing each of the functions or positions; and
- ✓ The number of staff needed with each KSA or competency set.

In this guide we use the terms KSAs (with or without personal characteristics), competencies, capabilities, and skill sets interchangeably. While there are differences in the meanings of the terms, agencies tend to pick one of the terms to denote what an employee needs to possess to be able to satisfactorily perform certain work.

The functions may not change but how the work is done surely will.

The questions to consider are:

- What KSAs are needed to perform each of the functions?
- What titles could be expected to provide incumbents with the needed capabilities? What titles could provide the needed capabilities if requirements were modified or incumbents developed?
- Which of the competencies do not fit within existing agency titles and will require a title not currently used in the agency? Which will require development of a new title?
- What are the projected workload volumes (e.g., telephone calls, client visits, cases, etc.)?
- What staffing levels will be required by competency and/or title, level, organization and geographic location? Will supervisor/staff ratios change?
- How will diversity be assured?

- What are the potential impacts of technology, budget, organization, work process, and service delivery changes on the competencies and staffing levels?

- How will available alternative work schedules impact on staffing or recruitment?

New York State agencies and agencies in other states and the federal government have developed competency lists or models that you can use to start building your own. They also have surveys and other methods for collecting information on competency levels. Other resources include professional organizations of related occupations, like the Society of Certified Public Accountants for auditors and the Bar Association for lawyers. They will be able to tell you about emerging changes in their fields in terms of the work and the competencies needed to perform it. Universities with degree programs in specific occupational areas are also a resource.

When you finish this analysis, you will likely find that some percentage of the future work will be performed using existing titles. Some modification in expectations and capabilities may be needed. The remaining percentage may require position classification work to determine appropriate titles for the new capabilities.

5. S U P P L Y

Determining the supply involves profiling your current work force or segment of the work force, as appropriate to your scope, and determining what the supply will be after expected attrition.

Calculate past attrition by adding up the number of employees who left the agency and dividing by the total number of employees. Currently NYSTEP (New York State Electronic Personnel System) can produce separation data reports to track historical attrition trends by title and fiscal year for retirements, resignations, probationary terminations, etc. In late fall 2001, NYSTEP will also be able to produce reports that calculate attrition by agency, title code, and/or location. See Appendix 3 for more information on NYSTEP reports.

Then project the future supply for your planning horizon by applying estimated attrition rates to the current work force numbers. The estimated attrition rates should be based on a number of variables, including demographic factors (e.g., the aging of the work force) and historical patterns of attrition. Past attrition may not be an accurate predictor of future attrition. However, it is one variable to consider.

At this step, determining the supply assumes no hiring to replace employees who leave. In the gap analysis, you'll compare this profile with the demand and determine the number of staff needed by title or skill sets/competencies by organization, location, etc.

Who works here now? Number of employees by:

- Title
- Grade
- Organization
- Protected class
- Location
- Skills/Competencies
- Etc.

↓

What are the attrition patterns?

- Retirement
- Resignation
- Death
- Transfer
- Interdepartmental promotion

↓

Projected work force based on expected attrition without hiring replacements

Sample attrition calculation for a population of 250 employees:

7 retirements
3 resignations
4 transfers
2 deaths

16 or 6.4% attrition

Here are the Supply questions:

- What are the existing employee KSAs/competencies, based on the titles?

- What are the employee-specific competencies, including those that fall outside of normal duties (e.g., a programmer may be able to speak Chinese and a telephone representative may have visual design skills)?

- What are the demographics of the scope area re: occupations, titles, grade levels, organizational structure, retirement eligibility, etc.?

- What are the attrition rates for each in the aggregate and by category such as retirement, resignation, death, transfer out of the agency or interdepartmental promotion?

- What are the projected attrition rates, factoring in your assumptions about the variables involved, such as the likelihood of certain employees to retire?

- Based on the existing demographics and projected attrition rates by title/competency set, what will the future composition of the work force be without factoring in any hiring.

OSC Office of Municipal Affairs identified high turnover risk with more than 50% of staff eligible to retire within 4.5 years.

Health, OMH, OGS, and **OCFS** are just a few of the agencies looking at anticipated retirements by organizational unit, title, and tier.

Parks is conducting an on-line survey of managers to identify necessary skills and competencies for the purpose of developing exams and competency-based training.

ORPS will be collecting skills information from employees via an on-line inventory during FY 2001-2002. ORPS regional staff has already completed a pilot skills assessment.

"Though many of our clerical employees are at or above retirement age, many are returnees to the work force and so do not yet have 30 years of service and are less likely to retire than employees in other title series."

NYS agency HR manager

6. GAPS

This step involves comparing the expected staffing needs with the projected supply and identifying the gaps. The gaps will be in the following areas:

- ✓ Excess staff performing obsolete or declining functions, or functions likely to be outsourced.
- ✓ Inadequate supply of qualified people for positions in titles that will likely remain the same.
- ✓ Inadequate supply of people with needed skill sets for positions that may require further classification action.

For each title or competency set, you identify whether there is a gap and, if so, the extent of the gap. You quantify the gap to the extent possible. (See Appendix 3 for a sample gap analysis calculation. This sample method provides a framework for thinking about attrition and how it affects future work force needs. It is not meant as a one-size-fits-all approach. The sample method leaves room for building in various assumptions based on each agency's experience.)

The first part of this step involves identifying where candidates will come from for the titles or positions being considered. In the Demand step, you identify the target titles or competencies to accomplish the new or modified functions, but not where the qualified candidates would come from. In the Supply step, you characterize the work force, but do not evaluate it in terms of how it would supply the titles/competencies for the new or revised functions. The following questions address this need:

- ➢ For titles/positions that would be filled via promotion, what are the qualifying titles and possible qualifying titles that feed into the promotional titles?

- ➢ What titles are sources of transfer candidates? Are the titles "administrative" under Section 52.6 of the Civil Service Law? Have Section 70.1 determinations been made?

Considering the answers to the questions above and below, determine the gaps between supply and demand.

- ➢ Are there current eligible lists for the titles involved? If so, when are they scheduled to expire?

- 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?

- 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 title to provide the competencies needed, to what extent does the projected work force provide these competencies? Consider the estimated number of qualified people, considering likely qualifying titles, and the estimated number that would pass an appropriate exam. This assumes that the positions would be in the competitive class.

- For titles filled on an open competitive basis, how many staff would need to be recruited externally? Is Section 70.4 transfer an option? If so, how many qualified candidates could be expected to come from that source?

- How many staff, by title, will no longer be needed to perform their current function(s)?

7. PRIORITY

This step is a matter of prioritizing staffing gaps in terms of the biggest impact on the success of your agency, office, division, etc.

- Which staffing 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 staffing 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?

8. SOLUTIONS

In this step you develop potential solutions to meet staffing needs on your priority list. As you work your way down the list, you will begin to determine staff resources and other costs associated with addressing the problems. Based on this data, and the likelihood of success, you may decide to reorder the priorities.

The solutions fall into the broad categories of:

- ✓ **Position classification actions**, including redefining title series, otherwise modifying title series, classifying new titles, consolidating titles, title reallocation, and special salary treatments.
- ✓ **Staff development strategies** to prepare employees for specific positions, titles, or occupations.
- ✓ **Recruitment/selection strategies** to find and hire recent school graduates or qualified candidates from other agencies or the private sector. Improve examination results for open competitive or promotion exams through modified minimum qualifications and/or exam scope.
- ✓ **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 agency.

OTDA is piloting a succession plan in Program Support & Quality Improvement, which includes targeting positions for developing qualified candidates and providing competency-based training and development programs on an individualized basis.

Position classification actions

- Which titles no longer accurately reflect the duties to be performed? If the tools or methods have changed, but not the job, focus on appropriate recruitment/selection and/or development strategies to ensure employees have the KSAs needed.

- What other State titles fit the positions for which the agency has no suitable existing title?

- Which positions don't seem to fit any existing State titles?

- Are any of the special salary treatments a viable option for addressing specific recruitment and/or retention problems? These include increased minimum hiring rates, geographic area pay differentials, occupational pay differentials, shift pay differentials, and differentials where it is impracticable to recruit qualified candidates.

STAFF DEVELOPMENT STRATEGIES

- What positions/titles should be the focus of development efforts? Which will have the most impact on service delivery?

- Which of the candidate fields already identified should be the focus of development efforts?

- What KSAs/competencies should be the focus of the development effort?

- Will competency assessment of the candidate fields be worth the resource investment?

- Will you have individual development plans for each employee?

- How will you monitor the development of each employee?

- Are managers and supervisors aware of their role in developing staff?

- Do managers and supervisors have the tools (coaching and mentoring skills, information, and other resources) to ensure staff is developed?

- What training is available, including CSEAP (Clerical and Secretarial Employee Advancement Program - **http://www.cs.state.ny.us/cseap/home.htm)**, NYS Technology Training Academy, GOER Work Force Development Opportunities **(http://www.goer.state.ny.us/train)**, etc.?

OGS has a competency-based management development program in place.
OCFS is developing a program.

Tax is identifying core training needed for each title and implementing a comprehensive automated training database to track training by employee and automate scheduling and registration.

Tax, OMH, OGS, and other agencies are partnering with Hudson Valley Community College in "Learn Where You Earn" programs.

DMV and OSC have implemented leadership development programs designed, in part, to develop competencies of future managers and to foster mentoring and networking among participants.

OFT is training project managers through the Project Management Mentoring Program and is providing technology training through the NYS Technology Training Academy.

DOT is conducting an inventory of learning and development products, services, and practices that are available to fill gaps and allow DOT to build on internal best practices.

Health, Tax, DOT, and others have mentoring programs to develop prospective managers.

- What gaps exist between developmental products and services and what is needed? Are adequate resources available to meet the needs?

See Retention Strategies for more employee development strategies.

Recruitment/Selection strategies

- Can you refine selection plans to better screen/ rank candidates by the priority KSAs?
- Where is the need for selection strategies linked with recruitment strategies (e.g., administering training and experience exams on the spot on college recruitment trips to accelerate the appointment process)?
- Have you considered special exam strategies such as on-line exams, position specific and program specific testing, performance assessments, and education and experience tests?
- Which gaps will be addressed through innovative and aggressive recruitment strategies?
- Are you making use of the JobWeb, job fairs, Civil Service's Recruitment Section, and other opportunities to get the word out?
- Have you considered continuous recruitment and spot recruitment exams?
- Can traineeships be established to "grow your own"?
- Are internships through the Public Management Institute (PMI) an option?

Tax has developed a comprehensive recruitment plan for auditors through a partnership between HR and program managers with increased use of web technology. It includes advertising the benefits of State employment (such as stable working hours and weekends off).

State is in the process of classifying an additional upper level Coastal Resources Specialist for rehiring retired managers on a P/T basis to do special projects and mentor new employees.

Education conducts on-campus recruitment at historically African-American colleges.

State improved recruitment results through e-mail distribution lists to colleges with degree programs for "hard-to-fill" occupations. The agency got a recruit from Oklahoma for a position of Assistant Fire Protection Engineer.

OFT is hiring student interns who can transition to Programmer Analyst titles.

Banking, OSC, Tax, and Insurance are hiring more temporary student interns to attract accounting majors.

- What can you learn from other agencies and states on what they have done to deal with similar recruitment challenges?

- Would re-employment of retirees under Section 211 or 212 of the NYS Retirement and Social Security Law meet some of your staffing needs? (See the Glossary, Appendix 2.)

- What other creative approaches can you develop to address the supply, such as partnering with educational institutions to refer and/or develop candidates for difficult to fill positions?

- What special strategies can you employ to recruit minority candidates?

- Can you pool resources with other agencies that are focusing on the same candidate field, creating a cooperative framework in which to compete for candidates?

Retention Strategies

In addition to the following, see the preceding staff development strategies. Development is a major way to retain talented staff.

- How can quality of work life be improved to make the organization a more desirable place to work?
- Is the environment clean, orderly, and professional? If not, can resources be obtained to address problem areas?
- What orientation do you provide new employees? Do you have "hosts" or "buddies" to help new hires get acclimated?
- How can relationships among colleagues, supervisors, and managers become more collaborative, positive, and enriching?
- Is there diversity among the staff? If not, how can you incorporate diversity into your recruitment and development strategies?
- What scheduling or work options can you consider implementing to help employees better balance work and home life, such as flex-time, four-day workweek, telecommuting, etc.?
- How can assignments be made more challenging and varied?
- How can promotional opportunities be enhanced in conjunction with other strategies?
- Are employees provided opportunities to learn and grow?

According to numerous surveys throughout several industries, the number one reason why employees remain at a company is the presence of good career growth and development opportunities. In the same surveys, fair pay and benefits do not rank in the top ten.

Source: *Structures* Magazine, June 2001

OGS, ORPS, Tax, OSC, and others are using or studying compressed workweek, other alternate work schedules, telecommuting, etc.

ORPS, OGS, OSC, and **Education** periodically survey employees to find out their concerns.

"This is a huge area that studies are telling us will have powerful return on investment, given proper attention."

NYS agency executive

- Can more resources be devoted to career development?

- What rotational opportunities are available?

- Does your agency have a mentoring program?

- Are transitional opportunities available, such as traineeships for clerical, secretarial, and paraprofessional staff?

- How are employees recognized and rewarded for their performance? Are all employees aware of the programs or process available for recognizing good work?

- Are sufficient supports in place for managers to motivate and support their employees?

- Do you conduct exit interviews and administer surveys to find out what employees need and want?

DMV is developing an enhanced orientation, training, and mentoring program for recently hired entry-level professionals.

ORPS HR staff conduct exit interviews with all employees leaving the agency, asking "Why are you leaving ORPS?" and "What might have motivated you to stay?" (when applicable) **Public Service** is also conducting exit interviews and finds them useful.

Organizational Intervention Strategies

- Can staff be redeployed or temporarily rotated to fill some of the gaps?

- Can reorganizing or restructuring help to make better use of existing resources and match skills to functions?

Knowledge Transfer Strategies

- Have you documented methods and procedures for the work performed?

- Have you documented the processes, methods, tools, and techniques of people with special skills and responsibilities?

- Can retiring employees mentor employees in the unit for a period of time before they retire?

- Could the retiree's successor be appointed to a duplicate or project position to "shadow" the incumbent for three months or more so the successor can learn first hand?

- Would it be feasible to rehire a valued employee under Section 212 of the Retirement and Social Security Law (see the Glossary, Appendix 2) for the express purpose of mining knowledge and expertise?

OGS Procurement Services Group, with 60% of its work force retirement eligible, has initiated regular training sessions aimed at transferring critical program knowledge to sustain service levels into the future.

Civil Service, OFT, OGS, and others are establishing "shadow" positions (temporary duplicate items or project positions) to enable the successor to learn the job from the incumbent.

- Do you have a communications system in place that encourages the sharing of information on all aspects of your organization's operations and experience across organizational boundaries?

- Do you record important meetings/events/presentations on video or audiotape?

- Are records systems and series established to ensure that valuable information on important events or decisions is saved for an appropriate period of time and accessible to those who need it?

- Are records series in place to archive material critical to documenting the institutional history of your organization?

Now that you have reviewed each of the planning steps, you may refer to Appendix 1: Applying the Steps for examples of how the planning process would work.

Implementation Considerations

When you have identified your solution strategies, the next steps are:

- ✓ Implement the strategies; and
- ✓ Manage them through monitoring and evaluating the results, modifying the strategies as appropriate.

The Planning Process and Implementing Solutions

Consider the following in planning and implementing solutions.

- Do you have clear objectives that are understood by all involved?
- Do you have the support of executives and/or key managers?
- Is your action plan consistent with strategic, operational, and budget plans?
- What are the potential obstacles to your success?
- What can you do to minimize the impact of potential obstacles?
- Whom should you tell about the planning effort? Consider developing a communications plan to keep people informed and gain their support for what you are doing. Demonstrate to them how the planning may benefit them.

Agencies are using different structures to support their planning efforts.

Health's Organization Development Implementation Team (ODIT), in consultation with the Human Resources Management Group, has lead responsibility. It consists of representatives from throughout the agency.

DOT is restructuring the Office of Human Resources to include a unit dedicated to recruitment.

OGS established a Succession Management Steering Committee to oversee planning and implementation of its enterprise-wide initiative.

Public Service is holding a series of sessions to educate executives about succession planning and gain their support for and participation in the planning effort.

- Are there instances when informing the union(s) would be beneficial? Although staffing related issues are a management prerogative and you don't have to involve the union(s), there may be instances where informing them would help you achieve your objectives.

Alcoholic Beverage Control Board got help from PEF in their recent recruitment for the Beverage Control Investigator exam.

- Would it be beneficial to put together a planning team? If so, who should be on it? Consider program managers, representatives from personnel, training, and organizational development, the program's budgeting analyst, and an IT representative if automation or information systems is a factor.

- What other people/groups will the planning process affect? How should they be involved, if at all?

Evaluating Your Effort

Consider the following in evaluating the planning effort and preparing for the next planning project. Most of these questions will become relevant after you are fairly far along in implementing your solutions.

- Has the strategic plan or other plans changed since beginning your effort?

- If so, what are the implications for the strategies implemented?

OGS is developing Succession Management measures to incorporate into its Human Resource performance measurement system to evaluate outcomes.

- Have the strategies implemented achieved the intended results?

- What worked well? What didn't?

- To what extent have demand and supply projections been borne out?

- Is a new analysis necessary before revising the strategies?

- What adjustments to the strategies are needed?

- What changes would you like to make to the planning process?

- What issue or organizational entity will be the subject of your next planning effort?

Appendix 1: Applying the Steps

These examples are designed to give you a sense of how the planning process would work.

Example 1. Narrow Scope: Three bureau director positions

1. Scope

- ❖ With the advice and counsel of the personnel director, the agency chooses to start by focusing on the bureau director positions of a program division that consists of three bureaus. The division is headed by a director who reports to a deputy commissioner.
- ❖ The division director wants to ensure that they have excellent candidates to fill these jobs because the incumbents will be eligible to retire in two to three years.
- ❖ The division director forms a team with an HR representative, budgeting analyst, and the bureau directors.
- ❖ Throughout the process, the bureau director keeps the deputy commissioner informed of progress.

2. Context

- ❖ They assess the direction of the agency and the role the division will play. They consider the division's impact with respect to the organization as a whole, its customers, and its stakeholders.
- ❖ Since the agency's strategic plan is up-to-date and included an environmental scan, they already have the answers to some of the questions about the external environment.
- ❖ They look at potential legislation and changes in other jurisdictions and organizations (other State agencies, federal agencies, localities, and other states) that might impact upon what the division does.
- ❖ They also look at how their customers are faring and what emerging needs they may have that the division could address.
- ❖ They consider the likelihood of restructuring in the agency and conclude that their division is likely to continue in its current form for the next several years.

3. Work

- ❖ Considering the context, they define the functions of the division and three bureaus in two years and five years. This gives them a short-term and long-term perspective to anticipate future needs.

- ❖ They consider whether the bureau's organizational structure would have to change and conclude that the three-bureau structure will continue to work well, whether in two or five years.

- ❖ In light of these functions, they itemize the future duties of each of the three bureau directors, noting in particular how they will change in the long term.

4. Demand

- ❖ Considering the duties to be performed, they determine the KSAs and personal characteristics that candidates will need to be successful in the job.

- ❖ They profile the KSAs of the existing three directors to build the model. The competency model describes the ideal candidate.

5. Supply

- ❖ They already know the qualifying titles for the jobs, but recognize that others may need to be considered to ensure an ample supply of candidates with the needed competencies.

- ❖ They request reports on the demographics of people in the qualifying titles. They learn that 23 percent will also be eligible to retire in two years.

- ❖ Many of those eligible to retire may not do so for several years, especially if they are able to obtain a promotion. Their analysis also tells them that incumbents in the qualifying titles leave for other reasons besides retirement, but that those numbers are fairly stable and not significant.

- ❖ They do a high level assessment of the competencies of the incumbents in the qualifying titles by holding two focus group meetings and then validating them by surveying the total population. In the process, they learn about other competencies that exist in the candidate field.

6. Gaps

- ❖ They determine that most of the competencies are likely to be provided by the candidate field based on attrition assumptions and the competency analysis.

- ❖ They identify the competencies that will likely not be provided by the candidate field.

7. Priority

- ❖ They then determine the priority order of the needed KSAs in terms of how critical they are to success in the position, considering both the short and long term.

- ❖ They determine that all are important; none should be dropped from the list.

8. Solutions

- ❖ After personnel staff has discussions with Civil Service, the team investigates the possibility of expanding the promotion field to include other titles.

- ❖ Based on a scan of the possible titles, they conclude that expansion may be beneficial but the new candidates may need further screening. They are less likely to have the needed competencies than candidates in the existing promotion field will have. The personnel person tells the rest of the team that this would mean changing the exam for all candidates.

- ❖ With the cooperation of other division directors who have incumbents in the other titles, the team explores further to define the KSAs of these incumbents.

- ❖ They find that these other incumbents also would be lacking most of the “gap” KSAs and lack some of the KSAs of the existing promotion field.

- ❖ They conclude that expanding the field would not be cost-beneficial.

- ❖ The team decides that their strategy will be to develop people in the existing promotion field. This includes:

    - Assessing individual KSAs;
    - Determining the gaps;
    - Determining specific development opportunities that can be provided individually and in groups, depending on the KSA;
    - Devising individual development plans; and
    - Assessing results through a periodic assessment process.

- After analyzing the resources and potential benefits, they decide that they will focus on only the five most critical KSAs.
- The other missing competencies will be addressed through job assignments and coaching.

Example 2. Broad Scope: Program Division

1. Scope

- ❖ The agency chooses a division that anticipates considerable change in services delivered and the way in which they are delivered. The division is comprised of three bureaus reporting to a director who reports to a deputy commissioner.
- ❖ The division director wants to be sure that the division is positioned to have the staff they need to implement, manage, and operate the new programs and systems.
- ❖ The time horizon for planning is three years.
- ❖ The division director forms a team with personnel, training and organization development representatives, a budgeting analyst, IT representative, and the bureau directors.
- ❖ The division director and deputy commissioner agree that they will confer when the decisions are made on what solutions to pursue.

2. Context

- ❖ They assess the direction of the agency and the role the division will play.
- ❖ They analyze a number of external factors, such as potential legislation, impact of federal legislation and regulations, etc. They note some uncertainties in these areas that could impact their planning efforts.
- ❖ They find that their customer needs are continuing to change in much the same ways that were found in the strategic planning process.
- ❖ They consider the likelihood of the need to restructure the agency in light of the changes projected in the strategic plan. They conclude that their division is likely to remain intact for the next year or so, but may need to restructure or be a part of a larger restructuring later on. There are no current plans to restructure. They know that the division will expand the services offered and enhance existing services through new technology.
- ❖ Spending plans in place mean that staffing targets will remain constant or decline slightly. The division will need to increase automation of routine functions and provide enhanced technology support to other functions to meet the new demands.
- ❖ Union representatives are aware of the changes set out in the strategic plan. They say that the anticipated changes are making the employees nervous. Many have been doing the same job over a long period of time, have been doing it the same way, and like it that way.

3. Work

- ❖ The team details the service enhancements and new services.
- ❖ They develop three possible organizational scenarios, including the current set up, to account for possible agency restructuring.
- ❖ For each of the scenarios, they define the functions of the division for three and five years out. They consider potential organization, technology, and process changes.

4. Demand

- ❖ They decide to adopt the most ambitious scenario. Even if functions move out of the division, the functions will need to be performed and staff will need to be prepared.
- ❖ They need to account for the demand for the division and bureau management, the professional title series, telephone center paraprofessionals, and support staff. They recognize that the existing title series may or may not be what they will need.
- ❖ They determine that the management positions will require change management skills along with several other new competencies.
- ❖ They combine the supply and demand steps with respect to identifying core and potentially new competencies. They compile lists of competencies by holding focus group meetings and benchmarking other organizations that perform similar functions.
- ❖ Based on information they have on existing titles, they tentatively determine that the existing titles will work, with the possibility of adding one or two positions in a special title to manage the new call center technology.
- ❖ They have been told that their FTEs (full-time equivelants) will not increase. Based on the total number of fills, they work out an initial projection on the numbers of staff they will need in each title and level, given the work to be done.

5. Supply

- ❖ They assemble demographic and separation data to get a profile of the existing work force in the division. Then they develop assumptions about the future of the work force, such as the likelihood of retirement eligible employees to retire, by title series and level.

- They develop work force projections based on the current data and projections of attrition.

6. Gaps

- They do a gap analysis to show the adequacy of the supply in light of likely promotion and separation numbers. As expected, they discover that the call center is the most problematic, followed by the professional series.

- They can see that the outflow of staff at most levels threatens the ability to have a healthy supply of highly qualified candidates.

- They already identified the competency gaps for each of the titles in the demand step.

- They analyze exam cycles and eligible lists. The length of lists and timing of exams/lists may create problems for some of the target titles/positions.

7. Priority

- They have two sets of gaps to deal with. One concerns the number of staff needed in each title, the other, the competencies needed.

- They determine the order of priority by title in terms of each of the gap types.

8. Solutions

- They develop solutions to address the separations by developing retention programs like flexible work schedules and telecommuting.

- They explore whether expanding the minimum qualifications to include other titles is an option in any of the titles, similar to example #1. They also identify options for developing staff, similar to example #1.

- They identify possible recruitment/selection strategies to address the entry-level gap and to ensure that the new people will have some of the new competencies or have the aptitude to develop them.

- Through employee development and careful appointments that anticipate work changes, they conclude they will be able to meet their needs with the existing lists and exam cycles for at least some of the titles. The personnel representative confers with Civil Service to develop strategies to address the other problem exams/lists.

- They decide to develop retention, development, and recruitment programs for the professional and call center series. They develop a plan to address the most critical gaps in the first two years and the others in year three and four (thus expanding the planning horizon from three to four years.)

- They devise a communication strategy to help allay employee and union concerns.

APPENDIX 2: GLOSSARY

Work Force Planning: A systematic process for identifying the human resources required to meet organizational goals and developing strategies to meet those requirements. It defines the activities necessary to have "the right people with the right skills in the right place at the right time."

Succession Planning: A process designed to ensure the continued effective performance of an organization by making provision for the development and replacement of key people over time. Succession planning is generally considered to be a strategy of work force planning.

OTHER TERMS

Competencies: A set of behaviors that encompass skills, knowledge, abilities, and personal attributes that, taken together, are critical to successful work accomplishment. 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 work force 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 top performers do in the defined job context. This may be gathered in a variety of ways, including employee questionnaires, focus groups, and interviews with managers and employees.

FTE: Full-time equivalent. Personnel fill targets are often expressed this way. The FTE may be fewer than the number of actual people because of part-time employees, e.g., two half-time employees equals one FTE.

Function: A major responsibility of a program or agency with particular outputs and outcomes for internal or external customers. Examples include computer application systems development, contract management, customer problem resolution, and auditing.

Gap Analysis: The process of comparing information from the supply analysis and the demand analysis to identify the differences, or "gaps." Gap analysis identifies situations in which the number of personnel or competencies in the current work force will not meet future needs, as well as situations in which current work force personnel or competencies exceed the needs of the future.

Individual Development Plan: A document which includes an assessment of an employee's current skills, and an outline of the way in which the employee will develop the knowledge, skills, and abilities needed to meet changing organizational needs and environmental demands and/or prepare to achieve future career goals.

Knowledge, Skills, and Abilities (KSAs): The knowledge, skills, and abilities required to perform a job. Knowledge is an understanding of facts or principles relating to a particular subject area; skill is the application of knowledge resulting from a development of basic abilities through formal training and practical experience; ability is capacity in a general area that may be utilized to develop detailed, specific skills.

Organizational Intervention Strategies: Steps an organization may take to ensure appropriate staff are properly deployed to achieve program objectives and move the organization in the desired direction. Examples include staff redeployment, reorganization, or organizational restructuring.

Personal Characteristic: An attribute of a person that may have an effect on job performance such as attention to detail, timeliness, personal organization, breadth of perspective, etc.

Position: A budgeted line item assigned duties and responsibilities that can be performed by one person.

Section 212: A section of the NYS Retirement and Social Security Law that establishes the maximum a retiree can earn without diminution of retirement allowance.

Section 211: A section of the NYS Retirement and Social Security Law that provides for a retiree to earn more than the maximum under Section 212 when it is not practicable to fill the position with a qualified non-retiree and it is in the State's interest to do so. Requires Civil Service Commission approval.

Skill Set: A group of skills, knowledge, and abilities that, taken together, is necessary for the proficient performance of a particular function.

Strategic Plan: A document that sets organizational direction and measurable program objectives. These goals and objectives not only provide the basis for determining necessary financial resources, but also provide the basis for work force needs.

Title: The designation used to identify a grouping of positions which are considered sufficiently similar as to be interchangeable, and for which a common selection process is appropriate.

Appendix 3: Reporting Tools in NYSTEP for HR Staff

This section describes some reporting tools that are (or soon will be) available to HR staff to help agencies face the staffing challenges to come. These reports are a work in progress. Additional capabilities will become available in response to agency needs.

Here are some frequently asked questions about how to get planning data:

Q. What does my agency look like now in terms of the number of employees approaching retirement?

A. To help you analyze current staff demographics, Civil Service is providing a basic *Age by Length of Service* profile for your existing work force. This profile provides a high level view across the following dimensions: entire agency, Tier 1 / Tier 2, regional breakouts, and the five most populous titles. Future plans call for making this information available as a standard report in NYSTEP (New York State Electronic Personnel System). Additional breakouts are available on request… just let Civil Service know.

Q. How do I get a picture of current attrition patterns?

A. NYSTEP Reports contain a first generation attrition report called the *Retirement, Separation and Termination Report.* This report, which can be requested for an entire agency or a single title, categorizes NYSTEP transactions by attrition type (e.g., retirements, resignations, probationary terminations, etc.) and by fiscal year. With this report you can spot trends such as year-to-year increases in the number of retirements, or in the number of employees who separate from your agency to work elsewhere in State service. In addition, users can download this report (and all NYSTEP Reports) to their own PC in order to conduct their own analysis.

These reports use the same Action / Action Reason coding conventions that are used when submitting transactions to NYSTEP.

Q. I want to project likely retirements based on past attrition patterns. Are retirement rates available?

A. In late fall 2001, Civil Service plans to release a new NYSTEP report that will let you track attrition more precisely. This report, which is currently being tested, will let you track separations by agency, title code, and/or location. In addition to the categories already contained in the *Retirement, Separation and Termination Report,* the new report will track transfers and promotions out of each title, and will calculate the rate at which each separation type occurs.

Q. Is there any report available that will help determine the probability that an employee will retire?

A. Civil Service is planning a new report that will analyze agency demographics along with retirement system eligibility criteria, and will categorize employees based on the likelihood of retirement in the near future (Most Likely, Likely, Least Likely). In order to ensure that the content of this report meets agency needs, Civil Service will be convening an agency work group to serve as subject matter experts for this report, generate new report ideas, and set priorities.

Q. I want to look at the work force in my agency according to occupational grouping. Is there a way to do that in NYSTEP?

A. *CSPS Agency Roster With Groups* lets you create a report by occupational group using the first two digits of the title code. For example, you could create a report that contains only computer titles (title codes beginning with "08") or personnel titles (title codes beginning with "14"). This report can also be requested for a particular grade range (e.g., employees in computer titles in G23 or above) or location.

Q. We've been having trouble filling certain positions. Is there any way I can tell how long a position has been vacant?

A. The *Vacant Position Roster* is a handy tool for tracking how long a particular position has been vacant. While the hiring process has many variables, this report is useful when documenting difficulties in filling a position, and requesting budget waiver approvals.

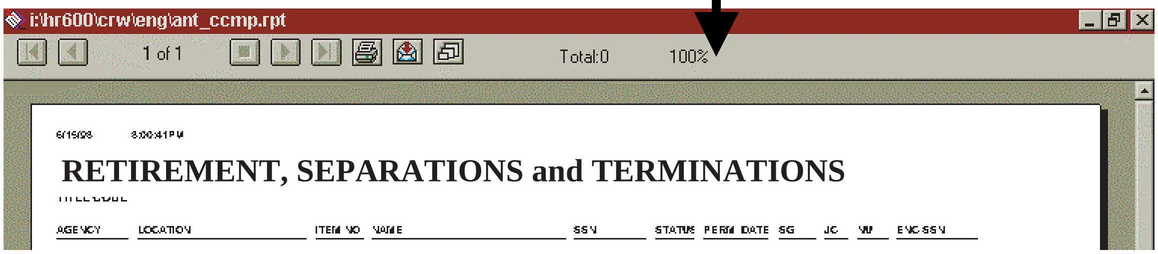
Q. The *Retirement, Separations and Terminations Report* looks interesting. I'd like to download it to my own PC to perform some additional analysis. Can I do that?

A. All NYSTEP Reports can be viewed on screen, printed, or exported to your hard drive. Following is the step-by-step procedure for downloading a report.

Note: The following section is addressed to HR staff members that have NYSTEP access and are generally familiar with running reports in NYSTEP. If you are an HR staff member and don't currently have access to NYSTEP, or if you want additional information on the reporting feature, you may contact the Civil Service Help Desk at (518) 457-5406.

Downloading a report for further analysis

When a report is completed, this toolbar will be visible



Select the  button to print a report.

Select the  button to zoom in and out.

Select the  button to save the report to your own hard drive (a process known as *exporting*). But before you do, please read below.

What is the "V" Drive?

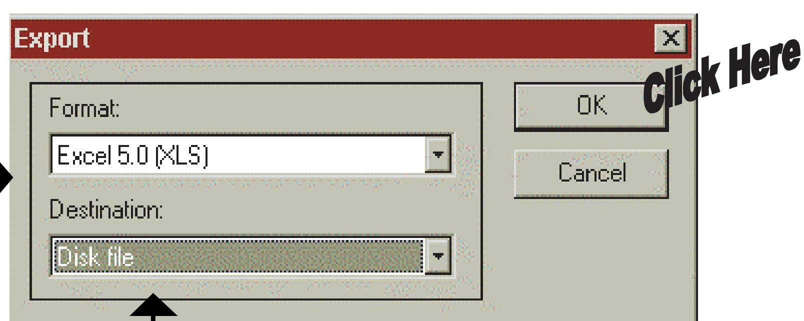
Normally when you save a document to your PC, you save it to the "C" drive. The Citrix WinFrame server, which is where NYSTEP reports are generated, recognizes the user's "C" drive and calls it a "V" drive. Therefore, the following steps are critical to successfully export an on-line report to your own machine.

THE ONLY WAY YOU CAN DOWNLOAD REPORTS AND BE ABLE TO RETRIEVE THEM LATER IS TO SAVE TO THE "V" DRIVE, USING THE FOLLOWING STEPS.

Saving to the "V" Drive

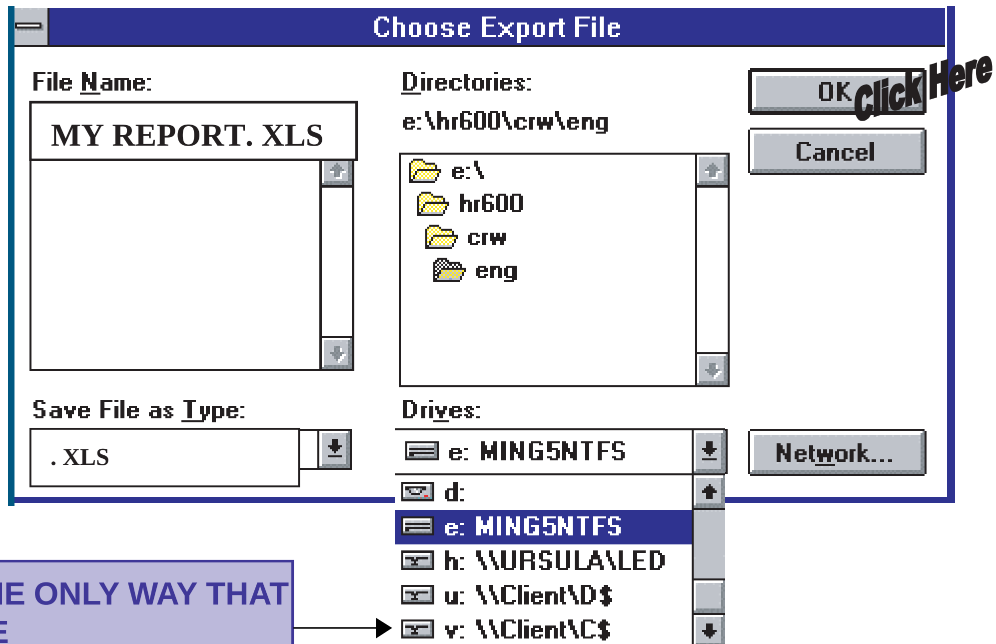
Select the  button and the following dialog will appear:

Click on the dropdown arrow to select the file format that the report will be saved in. Available options include Word, Excel, LOTUS, Crystal Reports, and many others.



There is only one choice here. Disk file

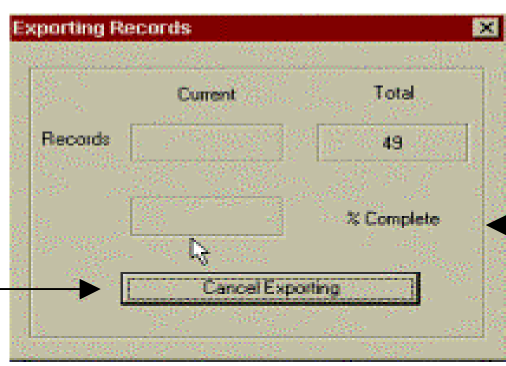
The following panel will display. This is where you will choose the drive where you want to save your report. Remember - **always choose the “V” drive or your report will not be available for you to retrieve later.**



Remember - THE ONLY WAY THAT YOU CAN SAVE REPORTS ON-LINE AND BE ABLE TO RETRIEVE THEM LATER IS TO SAVE TO THE “V” DRIVE.
Ignore all the rest.

After a report has been saved, an export box will display that shows the status of the export request. An export can be canceled at any time by pressing the Cancel Exporting button.

Use to stop exporting



Tells you the progress of the file export.

When the export is completed, use your disk explorer to go to your “C” drive to find the file you just downloaded.

Appendix 4: Sample Gap Analysis

Gap Analysis for 2 years 6/2001 to 6/2003*

		Albany	NYC	Buffalo	Total
Supply Now 6/01	**Audit Supervisors**	45	23	17	85
Projected:					
Transfers/Resignations		-8	-3	-1	-12
Retirements		-12	-9	-7	-28
Other reasons		-5	-3	-2	-10
Supply then 6/03		20	8	7	35
Demand then 6/03		43	25	16	84
Gap (Filled by Auditors)		-23	-17	-9	-49

		Albany	NYC	Buffalo	Total
Supply Now 6/01	**Auditors**	216	73	65	354
Projected (based on trend data):					
Transfers/Resignations		-13	-8	-10	-31
Retirements		-42	-9	-18	-69
Promotion to Audit Supervisor**		-23	-17	-9	-49
Other reasons		-15	-7	-6	-28
Supply then 6/03		123	32	22	177
Demand then 6/03 based on 5:1 ratio		215	85	80	380
Gap		-92	-53	-58	-203

*These numbers were created for illustration purposes.

**This assumes that promotion candidates will only accept promotions in their own office. Trends in staff taking promotions in other offices could also be factored in.

Appendix 5: Internet Links

New York State Agencies

Department of Civil Service
http://www.cs.state.ny.us (Home page)
http://www.cs.state.ny.us/workforce (Work Force/Succession Planning)
http://www.cs.state.ny.us/cseap/home.htm (Clerical and Secretarial Advancement Program)

Governor's Office of Employee Relations
http://www.goer.state.ny.us (Home page)
http://www.goer.state.ny.us/workforce (Work Force/Succession Planning)
http://www.goer.state.ny.us/Train (Work Force Development Opportunities and other development services)

Department of Labor
http://www.labor.state.ny.us

Other States

Connecticut
http://www.das.state.ct.us/HR/Dev_Train/DAS_Survey_Emp_Practices_Update.pdf
(Survey re: Retaining Employees)

Minnesota
http://www.doer.state.mn.us/stf-strat/strstf-x.htm (Strategic Staffing Guide)

Washington State
http://hr.dop.wa.gov/workforceplanning/index.htm (See Workforce Planning Guide and Report on the Impact of Aging Trends on the State Government Workforce)

Federal

Health and Human Services (HHS)
http://www.hhs.gov/ohr/workforce/wfpguide.html (See Workforce Planning Guide)

Department of Transportation (DOT)
http://dothr.ost.dot.gov/Workforce_Planning wfmain.htm#Workforce%20Planning%20Tools
(See Workforce Planning Guide and Attrition Planner)

Department of Labor
http://www.bls.gov/ (Bureau of Labor Statistics)

General Accounting Office (GAO)
http://www.gao.gov/ See GAO Reports, April 2001, Employment, Federal Employee Retirements: Expected Increase Over the Next 5 Years Illustrates Need for Workforce Planning. GAO-01-509. April 27, 2001
http://www.gao.gov/special.pubs/gg99179.pdf (Human Capital: A Self-Assessment Checklist for Agency Leaders)

Office of Personnel Management
http://www.opm.gov/workforceplanning/index.htm (See Federal Workforce Planning Model)

Department of the Interior
http://www.doi.gov/hrm/doiwfp.htm (Download work force planning guide; based on HHS model)

NRCS (Natural Resources Conservation Service, USDA)
http://www.nhq.nrcs.usda.gov/SPA/WFP/ppframe.htm (Work force planning update)

Census Bureau
http://www.census.gov/statab/www/ (Statistical Abstract of the United States)
http://www.census.gov/statab/www/ccdb.html (County and City Data Book)
http://www.census.gov/cgi-bin/gazetteer (US Gazetteer)

Department of Commerce
http://www.bea.doc.gov/ (Bureau of Economic Analysis)

Appendix 6: Further Reading

Arthur, Diane, ***Recruiting, Interviewing, Selecting & Orienting New Employees***, 3rd Edition: AMACOM

Ahlrichs, Nancy, ***Competing for Talent: Key Recruitment & Retention Strategies for Becoming an Employer of Choice***: Davies-Black Publishing, 2000.

Blank, William E., ***Handbook for Developing Competency-Based Training Programs,*** Englewood Cliffs, NJ: Prentice-Hall PTR 1990.

Duane, Michael John, ***Customized Human Resource Planning: Different Practices for Different Organizations,*** Westport, CT: Quorum Books, 1996.

Green, Paul C., ***Building Robust Competencies: Linking Human Resource Systems to Organizational Strategies,*** San Francisco, CA: Jossey-Bass, 1999.

Harris, Jim and Joan Brannick, ***Finding & Keeping Great Employees***: AMACOM, 1999.

Kaye, Beverly and Sharon Jordan-Evans, ***Love'em or Lose'em: Getting Good People to Stay,*** San Francisco, CA: Berrett-Koehler Publishers, Inc., 1999.

McCall, Morgan W. Jr., ***High Flyers: Developing the Next Generation of Leaders,*** Harvard Business School Press, 1998.

National Academy of Public Administration, ***Building Successful Organizations: A Guide to Strategic Workforce Planning,*** Washington, D.C.: 2000.

National Academy of Public Administration, ***Building the Workforce of the Future to Achieve Organization Success,*** Washington, D.C.: 1999.

Rothwell, William J., ***Effective Succession Planning: Ensuring Leadership Continuity and Building Talent From Within*****,** 2nd Edition, New York: AMACOM, 2001.

Rothwell, William J., Robert K. Prescott, and Maria W. Taylor, ***Strategic Human Resource Leader: How to Prepare Your Organization for the Six Key Trends Shaping the Future,*** Palo Alto, CA: Davies-Black Publishing, 1998.

Whiddett, S. and S. Hollyforde., ***The Competencies Handbook,*** Institute of Personnel and Development, 1999.

ACKNOWLEDGEMENTS

Members of the team that developed the guide:

Ralph Blackwood, Team Leader, Governor's Office of Employee Relations, on loan from the Department of Taxation & Finance
Robert Chesky, Office of Mental Retardation and Developmental Disabilities
Ellen Donovan, Department of Health
Lynn Heath, Office of Mental Health
Renee Rosa, Department of Health
Howard Ryan*,* Department of Civil Service
Mark Stackrow, Governor's Office of Employee Relations

Design and layout: **Amy Mesch-Favreau**, Governor's Office of Employee Relations

Members of the steering committee:

Erika Bacher, Department of Civil Service
Deborah Berg, Governor's Office of Employee Relations
Ralph Blackwood, Governor's Office of Employee Relations
Beth Bonacquist, NYS Teachers' Retirement System and The NYS Personnel Council
Jay Canetto, Office of the State Comptroller and The NYS Personnel Council
William Doyle, Department of Civil Service
Crystal Hamelink, Department of Civil Service
Terry Jordan, Department of Civil Service
Nancy Kiyonaga, Department of Civil Service
Maureen Nyilis, Governor's Office of Employee Relations

We benefited from succession planning training materials developed by the **NYS Office of Temporary and Disability Assistance**. We also benefited from being able to refer to guides produced by other states, such as the **State of Washington** and the **State of Minnesota** and federal agencies, such as the **Department of Transportation**, the **Department of Health and Human Services**, and the **Office of Personnel Management**. "Building Successful Organizations: A Guide to Strategic Workforce Planning," published by the **National Academy of Public Administration**, was also helpful.

We are also grateful to New York State agency human resources managers and program managers who commented on a draft of the guide and provided examples.