Workforce and Succession Planning Guide

— Supplemental Job Aid —

NEW YORK STATE OF OPPORTUNITY. | Department of Civil Service

Agency Workforce and Succession Planning Guide

The Department of Civil Service is committed to assisting all State agencies with succession planning and strategic planning for tomorrow's workforce. In 2016, the Department released an updated version of the **Agency Workforce and Succession Planning Guide**, which outlines a systematic approach for identifying and addressing the gaps between the workforce of today and the needs of tomorrow.

The Department continues to enhance Workforce Analytics, a business intelligence tool created in collaboration with the Office of Information Technology Services, the Division of Budget, and the Governor's Office of Employee Relations, to provide critical data to State agencies for strategic human resources management and planning. Workforce Analytics now provides HR offices with reliable and consistent data to obtain insight into positions, employees, and payroll to make evidence-based workforce decisions, while supporting high-value activities including workforce planning, overtime cost reduction, and diversity and inclusion efforts.

Most recently, the Department worked with an interagency workgroup to pilot the Workforce and Succession Planning Guide and address the need for additional support and resources. Based on agency feedback, the Department developed a toolkit of best practices on how to and establish a succession plan for critical positions. The result of these efforts is the following step-by-step job aid to assist workforce professionals in using Workforce Analytics to inform decision making and improve continuity of operations.

We hope you find it useful!

Conducting Workforce Analysis

The first step in Workforce Succession Planning is an annual collection and analysis of demographic data of the current workforce to identify the "immediately at-risk" employees, or those employees who are eligible to retire with full benefits immediately. If these employees decide to retire immediately, the agency may have only two weeks to address any upcoming loss of knowledge and experience.

Immediate at-risk employees should be targeted first for succession planning. It is critical to consider each employee's retirement tier, age, and years of service credit. To review this, agencies must first go to **https://my.ny.gov** and sign in to Workforce Analytics.

Table of Contents

HOME

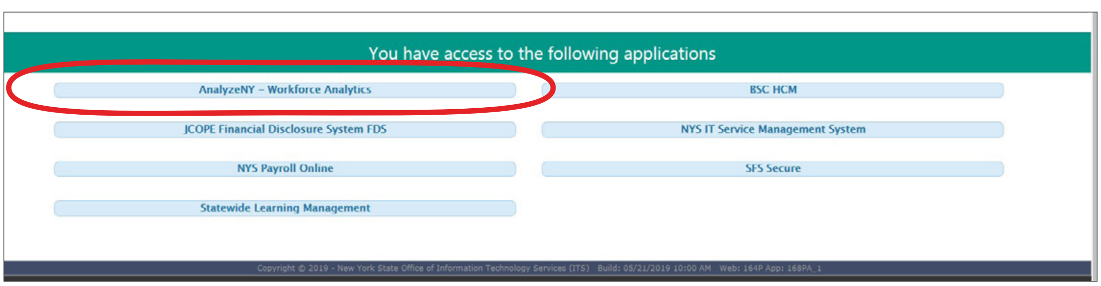
Workforce Analytics —
Identifying Employees Eligible for Retirement

STEP 1 — LOG IN

Enter https://my.ny.gov and sign in. Once you sign in with your NY.gov ID, you will be directed to the My NY User Management Site.

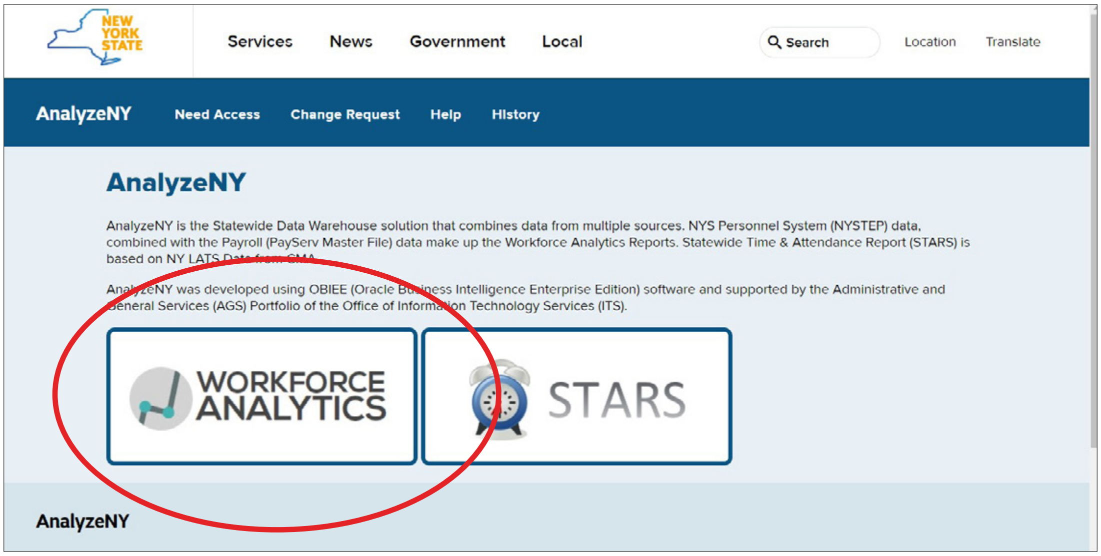
STEP 2 — SELECT ANALYZENY

Click the button for AnalyzeNY- Workforce Analytics. Note: Access to Workforce Analytics shall be requested only for users who are substantively and regularly engaged at a professional level in workforce management, typically human resources staff. If you need access, submit an Access Request Form approved by your agency's Data Access Officer and your HR Director, to **cs.sm.WorkforceAnalyticsSystem@cs.ny.gov.**



STEP 3 — SELECT WORKFORCE ANALYTICS

Click on Workforce Analytics. This will give you access to your Agency's workforce information.



STEP 4 — SELECT EMPLOYEE REPORTS

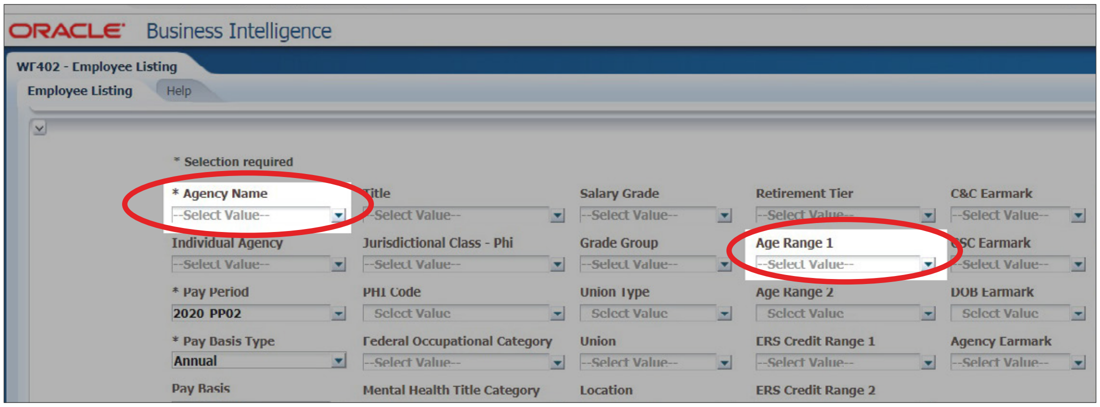
Click on Employee Reports to access the Employee Listing Report.

STEP 5 — SELECT EMPLOYEE LISTING

Click on Employee Listing. This report provides a list of agency employees.

STEP 6 — SELECT CRITERIA

Select the criteria needed to view retirement-eligible employees at your agency:



- Click the drop-down menu for Agency Name and check the box for your Agency name
- Click the drop-down menu for Age Range 1 and check the boxes for “55-64” and “65 and over”
- Click Apply

Individual Agency Name	Position Nbr	Line Number	Title Name	Jurisdictional Classification Name	Grade	Union Type	Appointment Type	Lo
Civil Service, Department of	00012345	12345	Position Title Name A	Exempt	NS	MC	Permanent	Al
Civil Service, Department of	00054321	10032	Another Title Name	Non Competitive	06	CSEA	Permanent	Al
Civil Service, Department of	00011245	54321	Position Title Name B II	Competitive	64	MC	Permanent	Al
Civil Service, Department of	00012242	13354	Position Title Name C	Competitive	06	CSEA	Permanent	Al
Civil Service, Department of	00021243	66541	Position A	Competitive	15	MC	Permanent	Al
Civil Service, Department of	00021248	98762	Position Title Name A	Competitive	11	MC	Permanent	Al
Civil Service, Department	00098765	32114	Position Title Name D	Non Competitive	09	CSEA	Permanent	Al

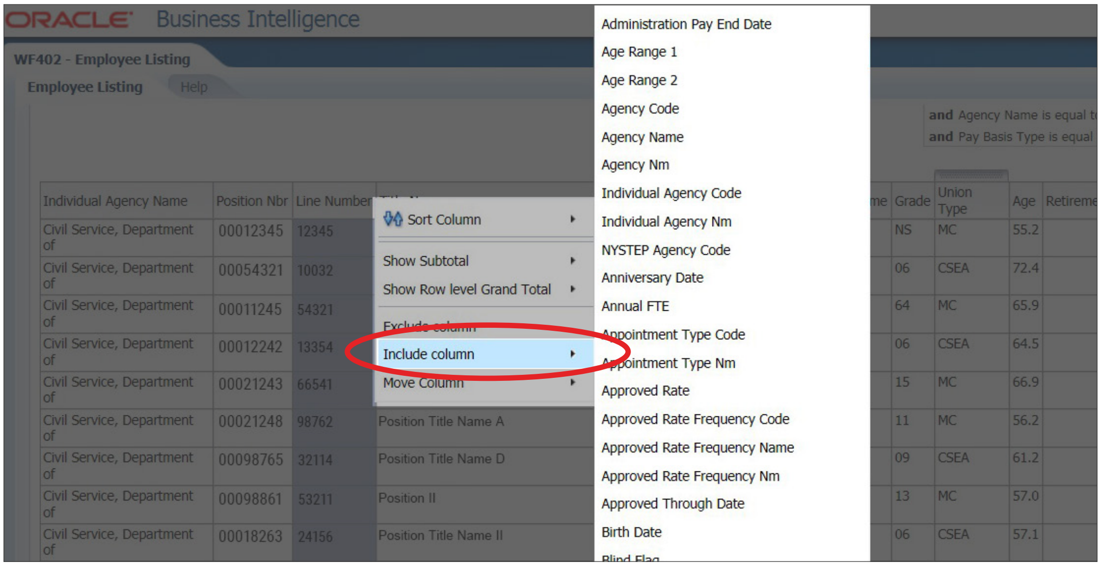
As you scroll down the page, you will see a table listing all employees at your Agency who are age 55 and over.

STEP 7 — ADD COLUMNS

Add columns to the table to view additional information for employees who may be eligible to retire. Include the following columns after the “Grade” column:

- Age
- Retirement Tier
- Retirement Service Credit

	Jurisdictional Classification Name	Grade	Age	Retirement Service Credit	Retirement Tier	Union Type	Appoint
	Competitive	15	59.4	17.83	4	PEF	Perman
	Competitive	09	58.0	29.57	3	CSEA	Perman
	Competitive	64	66.6	18.10	4	MC	Perman
	Competitive	18	59.2	15.53	4	MC	Perman

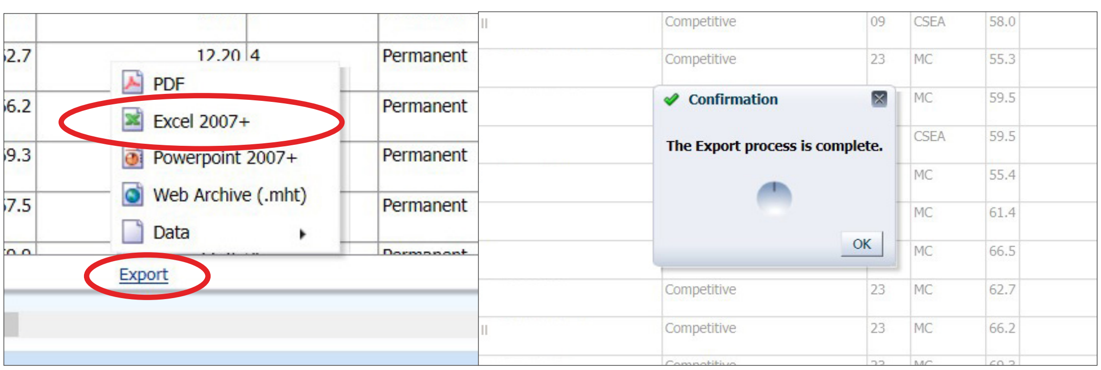


To add columns:

- Move the cursor to the top of the column
- Right click on the header column
- A drop-down menu will appear; move the cursor to hover over “Include column”
- Another drop-down menu will appear, scroll to find the column header you need and click on it; the table will regenerate with the new column now visible

STEP 8 — EXPORT EXCEL DOC

Export as an Excel spreadsheet so you can work with the filter to obtain additional information. Click on the “Export” link below the table. A drop-down menu will appear. Select the Excel option.



You will find your spreadsheet in the Download folder at the bottom left corner of your screen in the download toolbar. After opening, click “Enable editing.”

HOME

Identify “Immediate At-Risk” Employees

Using the criteria in the Retirement Eligibility Chart below, begin to filter the columns on your Excel spreadsheet:

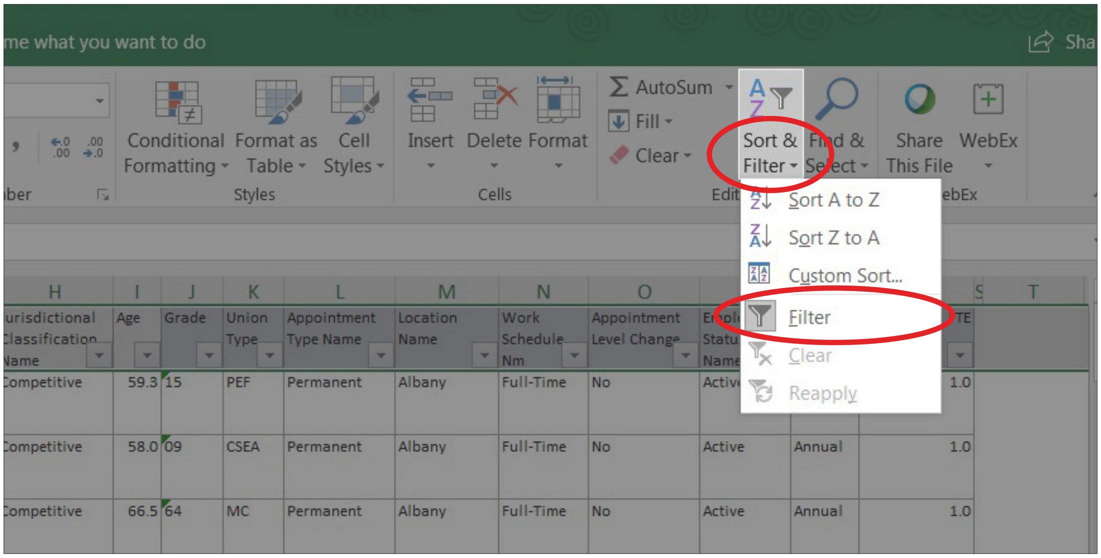
- Age
- Retirement Tier
- Retirement Service Credit

Retirement Eligibility				
Risk Category	**Tier 1**	**Tiers 2-4**	**Tier 5**	**Tier 6**
Immediate	55 years or older with 20 years or more of service credit 62 years or older with five years or more of service credit	55 years or older with 30 years or more of service credit 62 years or older with five years or more of service	62 years or older with 30 years or more of service credit 62 years or older with 10 years or more of service	63 years or older with 20 years or more of service credit 62 years or older with 10 years or more of service

STEP 9 — DETERMINE RETIRING EMPLOYEES

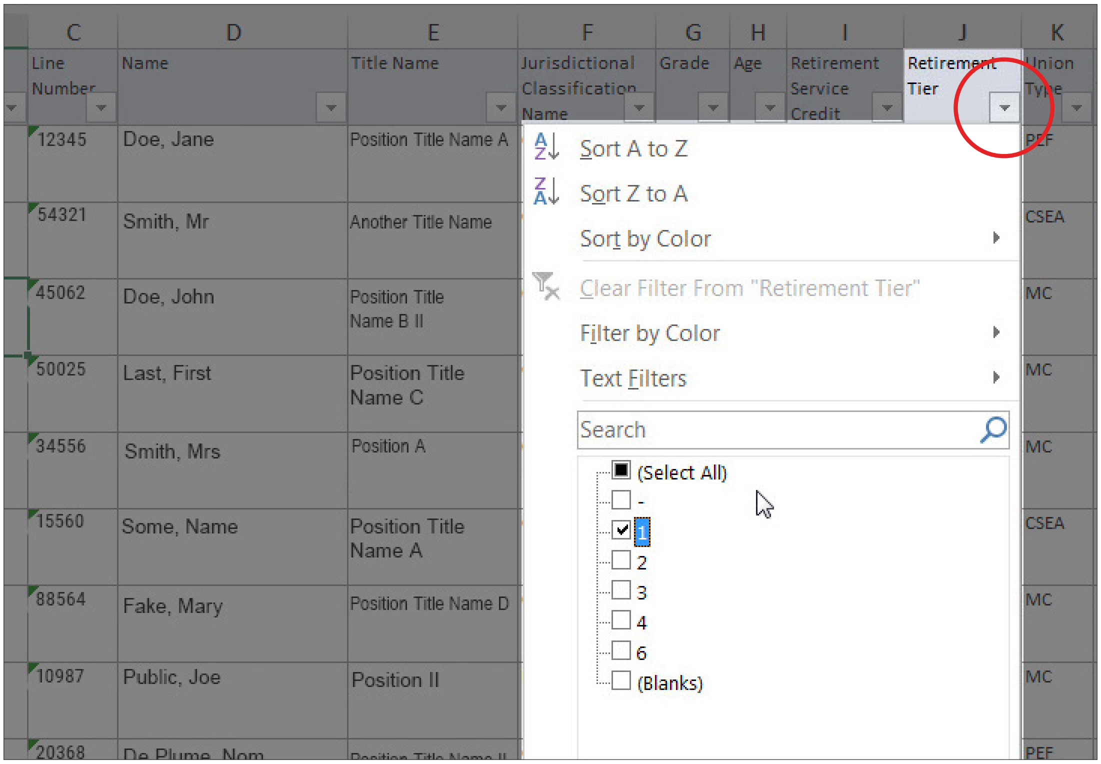
Filter to determine the employees who are at immediate risk of retirement. To filter:

- Move the cursor over the column you need and left click to highlight the column
- Click “Sort & Filter”; a drop-down menu will appear
- Click on “Filter”
- A box with an inverted triangle will appear in the first cell of the column you highlighted



STEP 10 — VIEW IMMEDIATE AT-RISK EMPLOYEES

- To view the immediate at-risk employees who are in Tier 1 of the Retirement System, click the inverted triangle in the Retirement Tier column
- A drop-down menu will appear
- Click "Select All" and then select "Tier 1"
- Click "OK"; this will show all employees within a retirement Tier



You must also filter by the retirement eligibility criteria to view employees within the Tier who are eligible to retire with full benefits immediately. If these employees decide to retire now, the agency may have only two weeks to transfer the knowledge and functions. These are the positions to target first for succession planning.

STEP 11 — RETIREMENT ELIGIBILITY

To filter with the retirement Tier to view employees eligible to retire with full benefits immediately for Tier 1:

- Click the inverted triangle in the Age column, a drop-down menu will appear; select all ages 55 through 61.9
- Click the inverted triangle in the Retirement Service Credit column, a drop-down menu will appear
- Select 20.0 and every year above, highlighted rows in yellow

C	F	G	H	I	J	K	L	M
Line Number	Retirement Tier	Retirement Service Credit	Jurisdictional Classification Name	Age	Grade	Union Type	Appointment Type Name	Location Name
12345	3	29.49	Competitive	58.0	09	CSEA	Permanent	Albany
54321	4	33.35	Competitive	56.3	11	CSEA	Permanent	Albany
45062	3	34.14	Competitive	57.9	NS	MC	Temporary	Albany
50025	3	29.97	Competitive	60.0	23	MC	Permanent	Albany
34556	4	34.60	Competitive	58.1	62	MC	Permanent	Albany
15560	4	29.54	Non Competitive	59.5	63	MC	Permanent	Albany
88564	3	26.18	Competitive	59.5	14	CSEA	Permanent	Albany
10987	3	36.90	Competitive	57.4	15	MC	Permanent	Albany
20368	4	22.00	Competitive	61.2	15	CSEA	Permanent	Albany

STEP 12 — FILTER RETIREMENT TIER

To filter with the retirement Tier to view employees eligible to retire with full benefits immediately for Tier 1:

- Click the inverted triangle in the Age column, a drop-down menu will appear
- Click “Select All” then click all ages 62 and above
- Click the inverted triangle in the Retirement Service Credit column, a drop-down menu will appear
- Click “Select All” then click 5 and every year above, highlight rows in yellow

You have now identified and highlighted employees who are at immediate risk of retirement within Tier 1.

STEP 13 — REMOVE FILTERS

Remove filters for Age, Retirement Tier, and Retirement Service Credit columns:

- Click the inverted triangle in the desired column, a drop-down menu will appear
- Click “Remove the filter from “[column name]”

If you do not remove filters, you will not capture the appropriate employees for the next steps.

STEP 14 — HIGHLIGHT ELIGIBLE EMPLOYEES

Identify and highlight the employees who are eligible to retire with full benefits immediately for Tiers 2 through 6. Repeat Steps 9 through 11 using the age and retirement service credit in each bullet for each respective Tier.

Refer to the Retirement Eligibility chart on page 5.

STEP 15 — REMOVE FILTERS

Remove filters for Age, Retirement Tier, and Retirement Service Credit columns:

- Click the inverted triangle in the desired column; a drop-down menu will appear
- Click “Remove the filter from “[column name]”

STEP 16 — DELETE UNHIGHLIGHTED ROWS

Delete rows that are not highlighted. The remaining rows list the employees who are immediately eligible to retire.

B	C	D	E	F
Title Name	Grade	Age	Length of Service	Retirement Tier
~~Appointments Examiner 1~~	~~13~~	~~56.8~~	~~14.1~~	~~4~~
Appointments Examiner 1	13	64.5	43.4	3
~~Appointments Examiner 2~~	~~15~~	~~58~~	~~23.4~~	~~4~~
Associate Budgeting Analyst	23	63.9	29.8	3
~~Contract Management Specialist 1~~	~~18~~	~~58.2~~	~~12.3~~	~~4~~
Contract Management Specialist 2	23	66.5	37.5	3

STEP 17 — SAVE

Save the file for future use.

Identify Critical Positions

After identifying immediate at-risk employees, agencies should identify which positions are critical to the operation of the agency.

STEP 1

Sort by title the list of immediate at-risk employees (see Step # 16).

STEP 2

Schedule a meeting with Executive Staff to define what they consider "Key/Critical" positions. Focus on titles that would be difficult to replace based on the following categories:

- Specialized Skills: Position provides specialized leadership or other skills that are difficult to replace
- Location: Position fills a unique and important capacity at a location that would be difficult to fill

Bold and underline the positions with the most recruitment challenges.

STEP 3

Using your highlighted list of immediate at-risk employees, delete those titles that are not considered "Key/Critical" positions.

STEP 4

The remaining positions on the listing are the critical positions for which you should develop a Succession Plan.

STEP 5

Save the file under a new name for future use.

Note: Do not delete or overwrite the list of immediate at-risk employees. Both the Immediate at-risk Employees and the Critical Positions lists will be essential to your Succession Planning efforts.

Assess Other Risk Categories

Once your Succession Plan has been completed for immediate at-risk employees and critical positions, agencies should follow the steps above to create Succession Plans for other risk categories, including pipeline and training needs. For example, if a Division Director position requires at last one year of experience in the Assistant Director position and the Assistant Director position is vacant, your agency may wish to focus on filling the Assistant Director position to be prepared to backfill the Director position when needed. This may require building individual development plans for eligible employees who may wish to compete for the promotional opportunity.

Create a Succession Plan

STEP 1

Now that you have created a listing of the critical positions in your agency, Human Resources staff should highlight critical information about each position such as jurisdictional classification (JC), location, and specialized skills.

STEP 2

Complete the Summary of the Work Plan document for every person on the immediate at-risk employee list and the critical positions list.

A. Identify the Bureau/Unit of the position

B. Identify the Key At-Risk Employee, using title and item number

C. List the Job Duties of the at-risk employee; these can be found in the position description, previous postings, or performance evaluations

D. Decide on a completion date for the Action Plan, which should not exceed six months

Note: Agencies should not wait until at-risk individuals have stated their intention to leave the agency, but rather should have succession plans prepared for all positions held by at-risk staff. At a minimum, these plans should be updated annually. See example below.

E. Develop an Action Plan for filling the position once it becomes vacant; this should include:

- **a.** Developing questions that would be discussed with Executive Staff such as:
  - **i.** Maintaining the JC (e.g. Have the duties of the position changed?)
  - **ii.** Identifying different recruitment and appointment methods (e.g. Should we advertise in nearby schools or universities for difficult-to-recruit-for locations?)
  - **iii.** Reviewing positions with specialized skills to see if they remain relevant to the agency. (e.g. Can the duties of the positions be absorbed by staff in other titles?)
- **b.** After decisions have been made with Executive Staff, and any necessary classification work has been completed, create a draft posting for the position

F. Complete the Progress Update section of the Work Plan to help keep you on schedule and maintain continuity in the event of Human Resources staff turnover

G. Once the Work Plan is completed, it should be filed and readily available as soon as an incumbent in an at-risk position announces their intention to leave the agency

A major goal of succession planning is to be ready to proceed with filling a critical position as quickly as possible. Agencies should be able to post a job vacancy for a critical position as soon as an incumbent in a critical position announces their intention to depart from the agency. It is imperative that Work Plans are accurate and up-to-date. Agencies should review their plans at least once per year for any necessary updates.