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Welcome to the joint Department of Civil Service and Governor's Office of Employee Relations Workforce and Succession Planning website. The purpose of the website is to provide State agencies with guidance and a forum to share information on Workforce and Succession Planning. We welcome your comments and encourage State agencies to submit information for the website. Write to us at nancy.kiyonaga@cs.state.ny.us

Latest Information

"Today is the Tomorrow You Worried About Yesterday: Meeting the Challenges of a Changing Workforce" (32KB)

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Today is the Tomorrow You Worried About Yesterday: Meeting the Challenges of a Changing Workforce

Nancy B. Kiyonaga, Special Editor

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By now it is likely that you have heard the statistics, the predictions and the dire warnings. The aging of the largest generation the United States has ever known will affect every social institution from employment to health care. Precisely what the impact will be is, like all future events, still a matter of prediction. That there will be a major impact is not.

In the first 58 years of its existence, the baby boom generation has changed every major social institution from education to health care to employment. The "aging workforce," a very common phrase lately, is but the latest phase in the progression of this generation.

The aging of the baby boom generation has been a topic of both speculation and serious research for some time now. The "brain drain," "the pipeline problem," even the terms "workforce planning" and "succession planning" have become topics not just for academics and human resources practitioners but also are readily found in the popular media. Many are the predictions about the impact that the "mass exodus" of this generation from the workplace will have. But events yet unknown may change today's predictions. Certainly, the impact of the "aging-out" of the baby boom workforce may be affected by economic, social and political events.

One of the larger questions is how this generation will treat retirement. The rocking chair concept was set aside long ago but it still remains unclear how and when the baby boomers will choose to retire. It is commonly assumed that baby boom retirees will be more "actively" retired, but what form will this take? If it is true that "50 is the new 30," can we assume that people will want to work longer than the traditional retirement age? Or will they work longer only if it is economically necessary? If they retire and then return to work, will they stay in the same line of work or choose a "retirement career" different from their previous career? If they choose to work will they do so full-time or part-time?

The yet-unanswered question for the employer affected by these trends is, "What can we do about this?" This question is especially relevant for public sector organizations. With a history of fiscal constraints and downsizing, the public sector has become particularly vulnerable to the affects of the aging workforce. Many government jurisdictions are facing the potential loss of 40 to 50 percent of their workforce in the next few years. At the same time, there are too few people at younger ages to replace the baby boomers. Some organizations are missing two generations of employees because they were unable to hire for such a long period of time. And, regardless of whether boomers retire at 55, 65 or even 70 and even if the “mass exodus” does not happen in the next year or two, it is unavoidable that it will happen sometime in the near future.

The Argument for Workforce and Succession Planning

Awareness of the problem has been the proverbial first step. Some organizations began looking at these issues in the early 1990s but, human and organizational nature being what it is, the issues seemed too far in the future and more pressing issues gained our immediate attention. However, in the past three to five years, a sense of urgency has developed around workforce demographics as academics and practitioners alike have raised the alert and the media has raised awareness. Economic issues such as globalization, worker productivity and outsourcing are closely tied to the availability of a “ready, willing and able” workforce. Similarly, social issues such as the rising demand for and cost of healthcare for an aging population are tied to a productive workforce capable of providing these services and, in many cases, paying for them. And all of these issues are tied to the demographic fact that the succeeding generation of workers is smaller than the baby boom generation.

But this is not a story of numbers alone. Rather, it is a story of the loss of experience and judgment gained from those experiences, which add up to a knowledgeable workforce. Organizations with a shrinking workforce can find themselves in the situation where only one person knows key information about processes, procedures and the history of decision making in the organization. In such a case, the loss of one person adversely affects the operation of the entire organization. Many government organizations have fallen into this pattern over the past 30 years. Rapid growth in employees followed by a long period of retrenchment altered the heretofore-common pattern of a wide diversity of ages in the workforce. Clearly, knowledge vested in one person would be a problem for any organization whether it is related to the retirement of the baby boom generation or not. But it is certainly compounded by the current demographic situation.

So, we return to the very practical question – what can be done about all of this? At the level of an individual employer or manager faced with the loss of a large portion of their experienced, trained workforce, the larger global issues may seem related but not necessarily relevant to the solution they need. Instead, they need a practical approach to both the short-term and long-term implications for their organization.

Workforce and succession planning, as discussed by the authors in this special issue of *Public Personnel Management*, are the tools that provide solutions to these problems. Now, granted, planning alone will not accomplish the retention of experienced workers or the recruitment of new ones. But, the full spectrum of workforce and succession planning tools does provide a variety of practical tools. Which tools an organization should choose depends on its own particular culture, organizational structure and demographics.

The Role of Human Resources Management in Workforce and Succession Planning

The need for workforce and succession planning is having a significant impact on the human resources management function, especially in the public sector. For those of us in the public sector who for so many years have relied on a standard schedule of exams and eligible lists from which to fill vacancies, the future may be very different.

Our organizations and managers will need more from us than the standard approach to recruitment and retention. While the tools may not change, the way we use them will have to. And what will be the role of HR as compared to that of the line manager in the whole workforce and succession planning process? A key question is whether workforce and succession planning is solely an HR job, a manager's job or one that must be shared between HR and managers. Workforce and succession planning demand a level of strategic planning that is still new to many public sector organizations. This requirement for a strategic approach to the workforce coupled with the need to address global issues affecting workforce supply will require human resources practitioners to act as internal consultants in their agencies. And strategic workforce planning skills and the ability to predict and meet the needs of the agency for a capable and trained workforce will expand the role of HR and its usefulness to line managers.

It bears repeating that effective workforce and succession planning goes well beyond the analysis of internal demographics. Effective workforce planning requires the evaluation of the functions of the organization (what work needs to be done); the competencies required for completing that work; and the gap between the number of employees who possess these competencies and those without them. In addition, effective workforce planning requires coordination between the fiscal and human resources offices of an organization. For many public sector organizations, a "lose one – fill one" approach to employee turnover became a common pattern. But tough fiscal times have led to the need to carefully justify the need for each position. Workforce and succession planning tools address these fiscal questions and provide answers about the priority of a position and its place in the organizational line-up.

Employee development is another function directly impacted by workforce and succession planning. In many ways, it may be the function most impacted by a workforce and succession planning effort. The loss of so many experienced workers will require both the re-training of existing staff and the training of new employees. Identifying the competencies required by the work of the organization and comparing them to the actual competencies of the workforce facilitates the process of prioritizing training and development needs.

Status of Workforce and Succession Planning Efforts Today

So where are we today in this "new" effort at workforce planning? At a variety of stages, it would seem — from slowly increasing awareness of the problem to comprehensive programs designed to meet distinct organizational needs. But, in many ways, we are all still at the experimentation stage. Workforce and succession planning tools and techniques are still evolving. Research continues as organizations search for the right approach for them.

An interesting development in this search for information and tools is the use of the Internet. One of the first responses to the pending workforce planning crisis by the federal government as well as many states and localities was to develop Web sites containing workforce planning information, tools and resources. These sites have become valuable tools. They are also serving to place practical information in the hands of every manager.

Developing new tools and applying old ones to meet the needs of a changing workforce presents a challenge for the human resources profession. Working with agency managers to re-build the workforce will require new skills and approaches. But, with these challenges come opportunities. Opportunities to contribute in ways unique to the human resources profession – in ways we have yet to foresee.

In this issue you will find statistics and analysis as well as meaningful commentary and detailed case studies from several jurisdictions. We sincerely hope that the articles contained in this special issue of *Public Personnel Management* will be both useful and practical to readers as you contemplate and implement your own workforce and succession planning modules.

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Work Groups

From January to July 2002, eight interagency work groups studied different facets of workforce and succession planning to identify practices that may be useful to State agencies. Click on the underlined workgroup names to see the available reports. Also see Overview of the Workgroups.

Competencies
This group developed management and leadership competencies along with guidelines on using them.

Knowledge Management/Transfer
This group studied effective ways of managing knowledge and ways of capturing knowledge possessed by departing highly skilled employees and sharing it with those who will be taking their place.

Management Mobility
This group studied ways to increase the ability of managers to move within their agency and to other agencies. The purpose is to develop the State's managerial resources and match managerial skills and capabilities with agency needs.

Mentoring
This group identified the characteristics of good mentoring programs to help agencies develop programs or improve existing ones.

Recruitment and Selection
This group focused on innovative recruitment and selection strategies and techniques.

Employee Retention
This group looked at steps that can be taken to better communicate what the State has to offer, make employment with the State more appealing, and encourage our highly skilled employees to stay.

Retiree Resources
This group focused on an array of realistic, practical ideas and options for hiring retirees.

Staff Development
This group looked for new ways to develop staff in preparing them to take on new jobs and responsibilities to replace departing employees.

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- The Companion Guide To *Our Workforce Matters:* A guide for workforce and succession planning for municipal civil service agencies.

Workforce and Succession Planning

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Introduction

The purpose of this companion guide is to review the role of civil service agencies in the succession planning process. It is intended to be a companion to Our Workforce Matters, a publication written as a succession planning guide for state agencies but also relevant for use by municipal appointing authorities facing the same workforce issues.

As appointing authorities set out ambitious plans to improve services, they face enormous challenges recruiting and retaining staff to make it all happen. The workforce is aging. Retirements will increase over the next few years. 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.

These issues provide many challenges for civil service administrators. As an appointing authority faces these problems he/she may need to redesign programs, and, as a result, this will affect the staffing of agencies. Civil service administrators will need to be prepared to provide assistance in addressing the changing staffing needs of the agencies under their jurisdiction. The assistance may require modifying existing classification patterns, or it may require new and innovative approaches to recruiting qualified candidates. It will be important that civil service administrators be partners with appointing authorities in solving these difficult and complex problems.

It is important to remember that the role of civil service is to provide assistance and recommendations to help appointing authorities. It is also the role of civil service to provide classification assistance to facilitate changes in work that may result from succession planning. It is the responsibility of appointing authorities to determine the mission of their agencies, how many employees to hire, and the duties to be performed. It is the civil service agency's responsibility to classify those positions and facilitate the recruitment and selection of qualified candidates to perform the work. It will require close cooperation and constant communication between the appointing authorities and civil service to accomplish these tasks.

The ability to respond positively to the human resource challenges over the next several years will be an important and critical role of the civil service agency. Taking the time to understand the succession planning process will go a long way toward preparing you and your agency for that role. (Back to Contents)

Planning Steps

As a civil service administrator, you can help appointing authorities in their succession planning by being well versed in the procedures and giving assistance throughout the process. You should be familiar with the steps involved, and know the areas to which you need to provide direct assistance and areas to which you can provide guidance. Your advice should be flexible to the particular needs of the department, agency or civil division you are assisting. By walking appointing authorities through the process, you can help them find solutions for their unique problems. (Back to Contents)

1. Scope

It is important that the first step identify a manageable scope for the project. It should be something that can be accomplished within a reasonable period of time. The main task of civil service is to help the appointing authority identify something that is doable and will be successful. Try to guide the appointing authority so as to not get bogged down in the mechanics of the planning and to keep the scope in the range of an accomplishable task.

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.
- Initiative: A special initiative as part of a strategic or operational plan. The organization may have set a particular goal or objective that will be met by the initiative.
- Organization: This may mean the agency as a whole or an office, division or bureau.

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2. Context

The outcome of this step is for the appointing authority to have a clear idea of where the agency is headed and to understand the impact of external factors on planning the scope.

The questions the appointing authority should consider in understanding the context of the planning effort require thoughtful reflection on the direction the agency is taking, the changing culture of the agency's organization, and its strengths and weaknesses.

In this phase, civil service should act as a resource to provide information as needed on staffing. The civil service agency's role should be to provide as much assistance as necessary to give the appointing authority the human resource information necessary to focus on where the agency is headed. Civil service administrators can provide important information such as employment trends, classification implications, and recruitment issues. (Back to Contents)

3. Work

In this step, the appointing authority needs to clearly identify the functions that are to be staffed within the chosen scope and context identified. The focus will be on the functions, not the people doing them. Since it is the appointing authority's prerogative to structure the duties and responsibilities of the positions, civil service's role in this step will be minimal. However, you will need to have a general knowledge of the appointing authority's decisions, as they may ultimately result in a reduction in force of some existing positions and/or position classification and recruitment needs for new ones.

In order to determine the desired future functions within their departments, appointing authorities will be taking into consideration the timing of the potential changes. Civil service administrators will need to be aware of the changes and the timing and have direct input so that the necessary actions can be accomplished in the required time frames. (Back to Contents)

4. Demand

Having identified the future functions that will need to be staffed, appointing authorities in this step will focus on the type and number of personnel that will be required to perform the functions. Their focus will be on:

- 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.

As a civil service administrator you should be able to provide job analysis services to appointing authorities. The goal here is to work with the appointing authority to determine what KSAs will be necessary to satisfactorily perform the desired work.

Also, since it is your responsibility to classify new positions or reclassify existing ones, you should be in frequent contact with appointing authorities during this step. Your current classification plan will be a resource for determining which existing titles would be able to provide at least some of the required KSAs.

Listed in the guide Our Workforce Matters are typical questions that appointing authorities should be considering as part of this step. As a civil service administrator, your expertise can be very valuable in assisting the appointing authorities to identify the answers to these questions.

When an appointing authority finishes the analysis on the type and number of personnel that will be needed to perform the functions, 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 and qualifications for the new capabilities. (Back to Contents)

5. Supply

This step in the planning process directs appointing authorities to profile their workforce and determine what the supply of available workers will be within their departments. At this point, determining the supply assumes no hiring to replace the employees who leave. The supply is internal only.

Appointing authorities will be determining which employees now work within their departments and calculating the attrition rate. Past attrition may not be an accurate predictor of future attrition; however, it is one variable appointing authorities will use to help determine the future supply of workers necessary to provide the needed KSAs for their agencies or programs.

Civil service's role at this point will be to provide appointing authorities with information to assist them in determining both their agencies' attrition rates and the internal supplies of employees. Such information may come from roster records, position control cards, and reports of past personnel transactions. There will need to be discussions on promotion fields and collateral lines for promotion. (Back to Contents)

6. Gaps

In this step the civil service agency and the appointing authority will be comparing the expected staffing needs against the projected internal supply and focus on identifying if there are any 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 skillsets for positions that may require further classification action.

Whether there is a gap for each title and, if so, the extent of the gap needs to be identified. Civil service administrators can be of assistance helping the appointing authority quantify the gap to the extent possible.

The first part of this step involves identifying where candidates will come from for the titles or positions being considered. In the Demand step, titles to accomplish the new or modified functions are identified, but not where the qualified candidates would come from. In the Supply step, the workforce is characterized, but not evaluated, in terms of whether current employees will meet the supply needs of the agency for the titles in the new or revised functions. In the gap analysis, the issues regarding where to recruit to find the necessary employees are addressed.

The appointing authority conducts a gap analysis by comparing the internal supply of employees with the demand. At this point civil service administrators can provide information regarding interdepartmental promotions, transfers, eligible lists, examinations, Section 211 requests, and other means available to help determine the supply of external employees. In addition, frank discussions need to take place regarding what staff will no longer be needed and the possible effect of preferred lists on the plan. (Back to Contents)

7. Priority

This step is a matter of prioritizing staffing gaps in terms of the biggest impact on the success of the agency, office, division, etc. It is a process that must include the direct input and agreement from the civil service agency. The questions that follow need meaningful communication between the appointing authority and the civil service agency if the recruitment of qualified employees is to be accomplished.

- 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?

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8. Solutions

In this step, potential solutions are developed to meet the staffing needs on the priority list. Care should be taken to insure that the appointing authority knows which of the needs are his/her responsibility and which rest with the civil service agency. Civil service must be an active partner in the solutions if the plan is to succeed.

The solutions typically 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.
- Recruitment/selection strategies to find and hire recent 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 scopes.
- Retention strategies to encourage employees to stay in the organization.
- Staff development strategies to prepare employees for specific positions, titles, or occupations.
- Organizational interventions such as redeployment of staff or reorganization.
- Knowledge transfer strategies to capture the knowledge of experienced employees before they leave the agency.

The guide *Our Workforce Matters* discusses each of these categories in greater detail. It is important that the civil service agency and the appointing authority work together and that each agency's needs are expressed so there is no misunderstanding as to commitments and ability to deliver. (Back to Contents)

Implementation Considerations

When the solution strategies have been identified, the next steps are:

- Implement the strategies; and

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

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The Planning Process and Implementing Solutions

While many of the issues indicated below are the responsibility of the appointing authority, civil service administrators should also consider each of the following in planning the solutions they are responsible to implement:

- 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? Identify stakeholders and consider developing a communications plan to keep them informed and gain their support for what you are doing. Demonstrate to them how the planning may benefit them.
- 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.
- 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?

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Evaluating Your Efforts

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

- Has the strategic plan or other plans changed since the beginning of the effort?
- If so, what are the implications for the strategies implemented?
- Have the implemented strategies 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?

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Executive Letter

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 available at http://www.cs.ny.gov/successionplanning. We would like these web pages 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.

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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 a 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 programs, new methods of service delivery, and a work force that reflects its customers." — 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 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!***

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." (See Civil Service-Agency Collaboration for examples of Civil Service and agency collaboration.)

Support for the Planning Process

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.

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 web site at either www.cs.ny.gov/successionplanning
NYSTEP Reports	Work force data for your agency. See NYSTEP Reports.
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.

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Planning Steps

OK. So now we have your attention. What do you do next? Here 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?

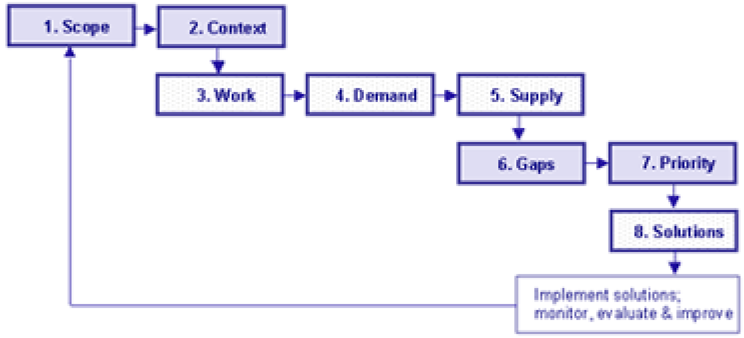
7. PRIORITY

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



> "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

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1. SCOPE

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? (See Scope for agency information.)

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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?

> *"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

- 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?
- What's happening in localities?

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

- What federal legislation is being considered?
- What's happening in the federal government?

- How are worker expectations changing?
- 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 (www.labor.state.ny.us) and the Federal Bureau of Labor Statistics (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.

> *"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

- 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.

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3. WORK

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?

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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 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?

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

- 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.

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5. SUPPLY

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 actually calculate attrition by agency, title code, and/or location. See NYSTEP Reports for more.

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?

(See Research and Analysis for information on agency data analysis.)

"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

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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 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)?

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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?

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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 identified. Based on this data, and the likelihood of success, you may decide to reorder your 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.

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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.

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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 the Clerical and Secretarial Employee Advancement Program (CSEAP) - http://www.cs.ny.gov/cseap/home.htm), NYS Technology Training Academy, GOER Work Force Development Opportunities (http://www.goer.state.ny.us/train), etc.?
- 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. (Also, see Staff Development for agency examples.)

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RETENTION STRATEGIES

In addition to the following, see 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?

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.

- 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?
- Can more resources be devoted to career development?

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

- 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?

(See Retention for agency examples.)

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Staff Development

See Staff Development in the Planning Guide

See several related exhibits in Tools & Resources

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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 StateJobsNY, 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?

- **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.)**
- **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?**

(See Recruitment/Selection for agency examples.)

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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

Competency:

A characteristic of an employee that contributes to successful job performance and the achievement of organizational results. These include knowledge, skills, and abilities plus other characteristics such as values, motivation, initiative, and self-control.. 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.

Competency Model:

A competency model is a set of competencies for a specific occupation, title series or level in the organization that, if possessed by incumbents, is likely to produce desired results. The model is often developed 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. Gap analysis also applies to the comparison of employee competencies with a competency model for a target occupation, level or title series.

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.

Other Characteristics:

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. These attributes are also called "personal characteristics."

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.

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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?

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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) for the express purpose of mining knowledge and expertise?
- 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?

(See Knowledge Transfer for agency examples and the Report of the Knowledge Management/Transfer Workgroup.)

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

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Knowledge Transfer

See Knowledge Transfer in the Planning Guide and the Report of the Knowledge Management/Transfer Workgroup.

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Report of the Knowledge Management/Transfer Work Group - November 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

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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.
- 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.
- 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?

(See Implementation for agency examples.)

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 the beginning of your effort?
- If so, what are the implications for the strategies implemented?
- 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?

(See Monitoring, Evaluation and Improvement for agency examples.)

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Implementation

See Implementation Considerations in the Planning Guide

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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 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. 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 KSAs 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 at the when 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 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 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 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 the 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 equivalents) 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 in each title.
    - 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 strategies 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 years three and four (thus expanding the planning horizon from three to four years.)
- They devise a communications strategy to help allay employee and union concerns.

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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. Very shortly, Civil Service will 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?

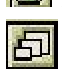
A. All NYSTEP Reports can be viewed on screen, printed, or exported to your hard drive. Here's the step-by-step procedure for downloading a report. We also have a description of this process for non-visual users.

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.

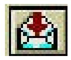
Select the  button to save the report to your own hard drive (a process known as exporting). But before you do, please read below:

What is the "V" Drive?

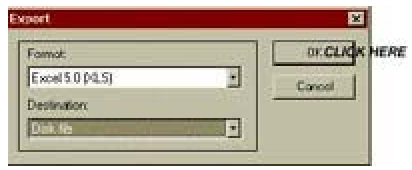
Normally when you save a document to your PC, you save it to the "C" drive. The Citrix WinFrame server, which is where NYSTEP reports are generated, recognizes the user's "C" drive and calls it a "V" drive. Therefore, the following steps are critical to successfully export an on-line report to your own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

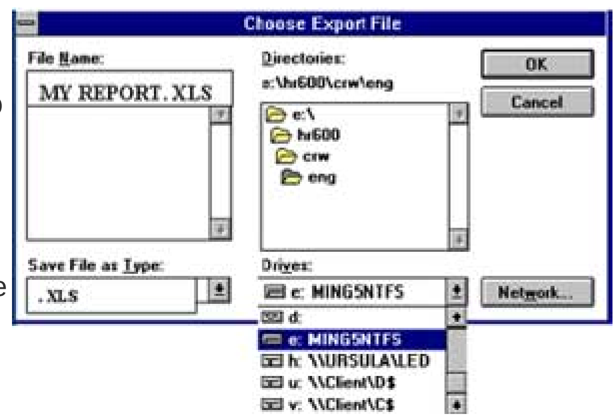
Click on the dropdown arrow to select the file format that the report will be saved in. Available options include Word, Excel, LOTUS, Crystal Reports, and many others.



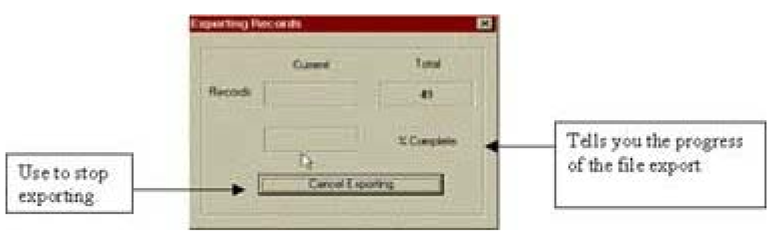
There is only one choice here. Disk file.

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 ONLINE 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 cancelled at any time by pressing the Cancel Exporting button.



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

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Procedure for Downloading On-Line Reports in NYSTEP

NOTE: The following procedure describes the process for downloading on-line reports in NYSTEP. Some of these steps require use of a mouse. NYSTEP users who need assistance with the downloading process should contact the Department of Civil Service Help Desk (518-457-5406) and we will make special arrangements to ensure that downloaded data is made available on an ad hoc basis.

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. Here's the step-by-step procedure for downloading an On-Line report.

Note: The following section is addressed to HR staff that has NYSTEP access and is generally familiar with running reports in NYSTEP. If you are a 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.

1. When a NYSTEP Report is completed, the Crystal Reports window appears. Users select the Export File icon located in the Crystal Report toolbar in order to initiate the report download.
2. After users select the Export Option a dialog box appears. In this dialog users select from a drop-down menu the file format that they will use for exporting the report (e.g., Excel, Lotus). After making their choice users select the enter key to proceed to the next step.
3. Users select the name, location, and file format of the exported report using the Choose Export File panel. In the panel users perform the following steps using drop down menus:
   A. Choose Drive - In order to export reports users must choose to download their report to the V drive at this point.

      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.

B. Choose File Directory - the user confirms the directory on their local drive where the report will be saved (e.g., V \:My Documents).

C. File Name - the user creates a name for the file that they are about to create.

D. File Type - the user confirms the file format that they want to use for exporting the report (e.g., Excel or Lotus).

The user selects the Enter key after they have made their choices in the Choose Export File panel.

4. The Export process is initiated. The download can be stopped prior to completion by selecting the enter key.
5. When the export is completed, users can pick up their downloaded report by going to their own C drive and searching for the file in their hard drive Directory.

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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.

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LINKS

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- Department of Civil Service
  - Clerical and Secretarial Advancement Program
- Governor's Office of Employee Relations
  - Work Force Development Opportunities and other development services
- Department of Labor
- Department of Taxation and Finance
  - www.tax.state.ny.us/strategic_plan/
- Office for Technology
  - Project Management Mentoring Program
  - Technology Training Academy

Other States

Connecticut

Survey re: retaining employees ( )

NOTE: *This is an Adobe Acrobat document that requires the Adobe Acrobat Reader. This document may not be accessible to individuals with disabilities.*

Colorado

Workforce Planning Questionnaire 2000: Finding and Analysis

Georgia

Georgia Merit System Workforce Planning

Kansas

Workforce Planning

Minnesota

Strategic Staffing Guide

South Carolina

[Workforce Planning]

Washington State

[Workforce Planning Guide and Report on the Impact of Aging Trends on the State Government Workforce]

Wisconsin

[Department of Employee Relations -- "State Government Workforce Planning"] ( )

NOTE: *This is an Adobe Acrobat document that requires the Adobe Acrobat Reader. This document may not be accessible to individuals with disabilities.*

Federal

- Health and Human Services See Workforce Planning Guide)
- Department of Transportation (See Workforce Planning Guide and Attrition Planner)
- Department of Labor (Bureau of Labor Statistics)
- General Accounting Office (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)
- Human Capital: A Self-Assessment Checklist for Agency Leaders ( )

  NOTE: *This is an Adobe Acrobat document which requires the Adobe Acrobat Reader. This document may not be accessible to individuals with disabilities.*
- Office of Personnel Management (See Federal Workforce Planning Model)
- Department of the Interior Download work force planning guide; based on HHS model
- Natural Resources Conservation Service, USDA (Work force planning update)

www.doi.gov/hrm/doiwfp.html ()

NRCS ()
www.nhq.nrcs.usda.gov/SPA/WFP/ppframe.htm

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

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

Other Governmental Entitities

Public Service Commission of Canada
http://www.psc-cfp.gc.ca/staf_dot/staf_strat/index_e.htm (Guide to human resource or workforce/staffing planning)

Other Organizations

Internal Personnel Management Association
http://www.ipma-hr.org/public/glossary_template.cfm?ID=7

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FURTHER READING

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

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Acknowledgements

Members of the team that developed the guide:

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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.

New York State
Department of Civil Service/Governor's Office of Employee Relations
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Civil Service/Agency Collaboration

- ORPS involved Civil Service early in its effort to consolidate some management titles and create a new two-year traineeship. [Donald Parker, Director, Human Resources Management, (518) 476-7506, **donald.parker@orps.state.ny.us** or Kathy Patenaude, Associate Personnel Administrator, (518) 474-5744, **kathy.patenaude@orps.state.ny.us**]
- 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. [Dan Cunningham, Director of Human Resources Management, (518) 474-5995, **dan.cunningham@ogs.state.ny.us**]
- Department of Health's Human Resource Management Group is working with the Department of Civil Service to consolidate job titles to provide career ladder access to employees. [Jack Conroy (518) 473-3394].
- Working with the Department of Civil Service, SED conducts examinations for positions for which it is difficult to recruit on continuous recruitment and decentralized basis. [James Gerrity (518) 474-5215]
- 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. See **DOS Rehiring Retired Managers**.
- OMH is pursuing options to address recruitment and retention in critical titles. The initial focus is on titles which have traditionally been difficult to fill or for which there are shortages of qualified candidates such as nurses, psychiatrists, pharmacists, information technology titles, teachers, etc. Initiatives include requesting appropriate salary enhancements; obtaining increased flexibility through modifications to minimum qualifications or use of new titles; and, more focused recruitment activity. [Lynn Heath, Assistant Director of Personnel, (518) 474-1262]
- NYSDOL's Personnel Office piloted with the Department of Civil Service to develop and administer a PC-based performance test as a component of the examinations for the titles Unemployment Insurance Reviewing Examiner and Labor Services Representative, the most populous professional title in a major organizational program in the agency. The economies garnered for such a large recruitment effort clear a path toward the exams being offered more often or for spot recruitments when eligible lists become exhausted in certain key locations. [Bob Malicki, (518) 457-2388,

Robert.Malicki@labor.state.ny.us]

- NYSDOL's Personnel Office is working with the Department of Civil Service to establish a classification standard for the title Labor Services Representative and its immediate supervisory title of Supervising Labor Services Representative. Labor's ability to utilize a standard for classification purposes, in these very populous titles existing in many locations in the agency, will greatly augment the flexibility of the department's succession strategy. [Stu Berke, (518) 457- 1285, **Stuart.Berke@labor.state.ny.us**]

Shadowing (in the Knowledge Transfer section)

See discussion in the **Introduction** in the Planning Guide

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Tools & Resources

Workforce/Succession Planning Scope

- OTDA is piloting a succession planning effort within the Division of Program Support and Quality Improvement. It involves the development of Individualized Training and Development Plans (ITDPs) for all of the 314 Division staff interested in participating in the program (68% participation). In addition, 44 positions involving 19 titles have been identified and targeted as 'key positions' within the Division for purposes of succession planning. The objective is to develop qualified candidates through the provision of competency based training and development activities. (See **ITDP form** and **ITDP form instructions**). [Katherine Napoli, Director of Training and Management Analysis (518) 474-0136 **Kathy.Napoli@dfa.state.ny.us**]

- Department of Health Strategic Planning - The Department's 2001-2006 strategic planning process requires all major operating units to add to their program-specific goals one standard annual goal related to succession/workforce planning. (See **DOH Strategic Planning**)

- OSC Office of Municipal Affairs identified high turnover risk with more than 50% of staff eligible to retire within 4.5 years, resulting in development of a three-part program including recruitment, promotion and staff development strategies. [Joe Hilton (518) 474-6484]

- DEC is addressing succession planning issues through a strategic planning process. One outcome of this process is a proposed strategy for ensuring appropriate agency staffing and the retaining of institutional knowledge, considering the demographics of the agency among other factors. [Hank Hamilton (518) 402-9147]

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

See **Scope** in the Planning Guide

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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. Very shortly, Civil Service will 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?

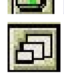
A. All NYSTEP Reports can be viewed on screen, printed, or exported to your hard drive. Here's the step-by-step procedure for downloading a report. We also have **a description of this process for non-visual users**.

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?

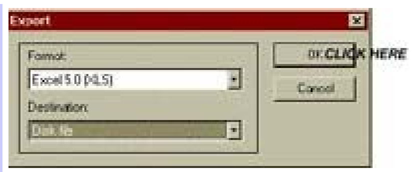
Normally when you save a document to your PC, you save it to the "C" drive. The Citrix WinFrame server, which is where NYSTEP reports are generated, recognizes the user's "C" drive and calls it a "V" drive. Therefore, the following steps are critical to successfully export an on-line report to your own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

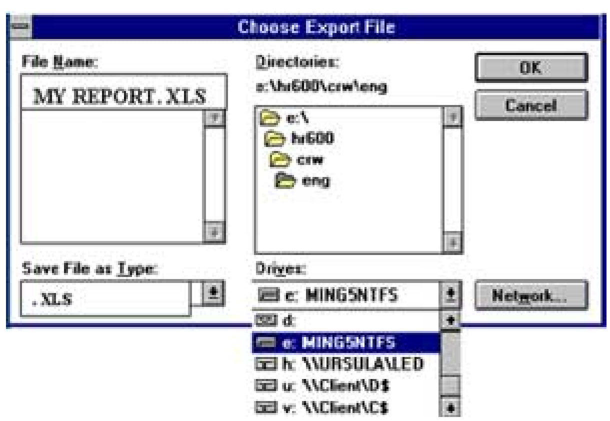
Select the button and the following dialog will appear:

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 ONLINE 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 cancelled at any time by pressing the Cancel Exporting button.

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

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Work Force and Succession Planning Guide

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 online on a work force and succession planning page accessible from both agencies' websites: **www.cs.ny.gov/workforce** and **www.goer.state.ny.us/workforce**. We would like these web pages 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

George E. Pataki, Governor

New York State
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Work Force and Succession Planning Guide

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 a 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 programs, new methods of service delivery, and a work force that reflects its customers."

— 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 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!***

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." (See **Civil Service-Agency Collaboration** for examples of Civil Service and agency collaboration.)

Support for the Planning Process

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.

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 web site at either **www.cs.ny.gov/workforce** or **www.goer.state.ny.us/workforce**.
NYSTEP Reports	Work force data for your agency. See **NYSTEP Reports**.
Interagency Work	Development of resources for agencies, e.g., recruitment, retention, etc.

Groups	
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.

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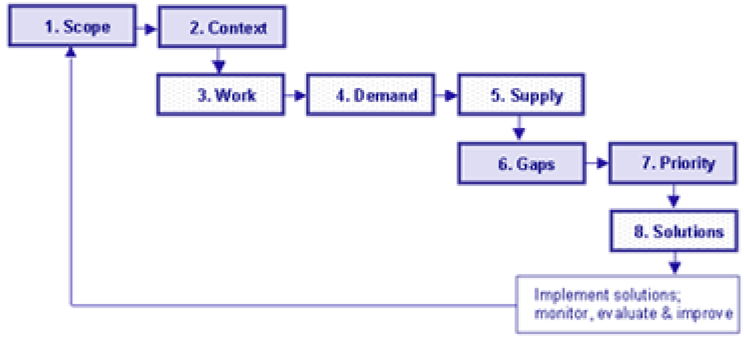
PLANNING STEPS

OK. So now we have your attention. What do you do next? Here 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



> *"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

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Research and Analysis

See Supply, NYSTEP Reports and Sample Gap Analysis in the Planning Guide

See Employee Surveys and Exit interviews in Tools & Resources

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Rehiring Retirees

- 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.
- Where applicable, DMV has rehired retired professional staff on a part time basis to ensure a smooth transition and provide for a transfer of knowledge.

See Recruitment/Selection in the Planning Guide

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Retention

See Retention in the Planning Guide

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Monitoring, Evaluation and Improvement

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

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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 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. 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 KSAs 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 at the when 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 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 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 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 the 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 equivalents) 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 in each title.
    - 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 strategies 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 years three and four (thus expanding the planning horizon from three to four years.)
    - They devise a communications strategy to help allay employee and union concerns.

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Report of the Knowledge Management/Transfer Workgroup

Sponsored by:

NYS Department of Civil Service

NYS Governor's Office of Employee Relations

George E. Pataki, Governor

Created November 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

KNOWLEDGE MANAGEMENT /TRANSFER

Report of the Knowledge Management/Transfer Workgroup November 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

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Introduction to Knowledge Management/Transfer

WHY KNOWLEDGE MANAGEMENT/TRANSFER?

As public organizations prepare for the potential mass departure of valuable staff, they are looking toward preserving the knowledge that these seasoned employees have amassed. Organizations have been downsizing through hiring freezes, retirements, and other turnover. The employees left behind, meanwhile, are bombarded with more information, as well as rapid changes in processes and technology, made worse by having fewer people to handle the load. Another effect of a reduced workforce is a smaller pool of knowledge and expertise. Thus, managing and exploiting that knowledge becomes paramount.

Growth in the volume of information available and rapid technological progress has forced most people into a state of information overload. This has left organizations scrambling to create systems for acquiring, retaining, and accessing an overwhelming volume of data. Added to this is the demand for highly specialized knowledge that is often difficult to find and retain. Knowledge management is one method for ensuring that years of accumulated wisdom do not leave the organization once the employee retires or moves on. The challenge is to create an atmosphere that fosters knowledge sharing, while simultaneously underscoring that transferring knowledge is a way for employees to leave a legacy that will ultimately help the organization long after they leave.

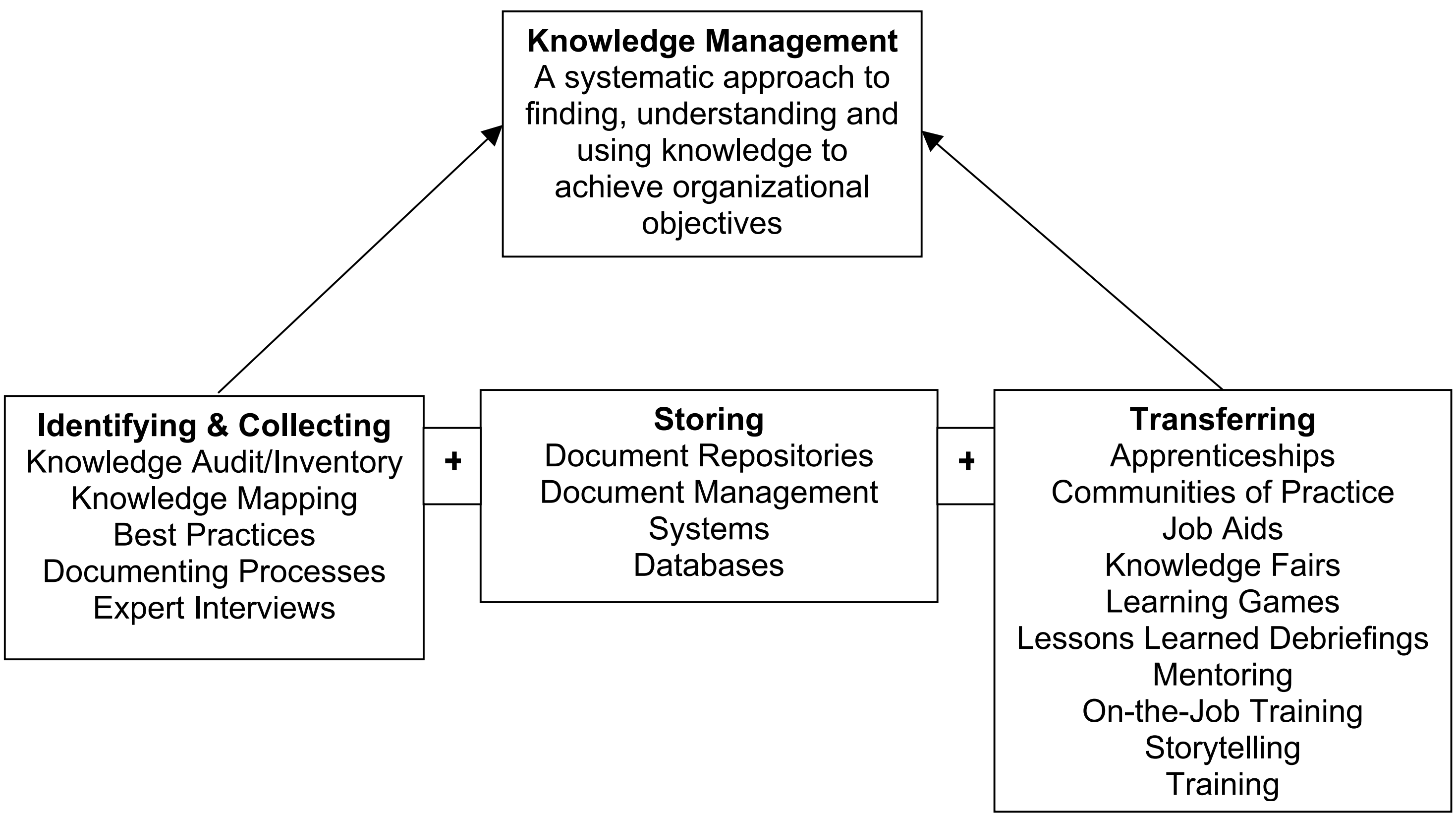
Many of us do not think in terms of managing or transferring knowledge, yet we all do it. Each of us is a personal store of knowledge gained from our experiences, training, and informal networks of friends and business acquaintances that we seek out when we want to solve a problem or explore an opportunity. Essentially, we get things done and succeed by knowing an answer or how to find an answer, or knowing someone who can. Until relatively recently, sharing or absorbing knowledge was considered a personal endeavor. Now organizations are discovering that managing knowledge and ensuring its transfer creates value by compounding its use to increase productivity and innovation. As New York State prepares for the departure of “baby boomers” and recognizes that staff change jobs and careers more frequently than in the past, knowledge management and knowledge transfer are becoming more important.

Generally speaking, the term “knowledge management” (KM) represents a broader concept, and is thought of as a system for finding, understanding, and using knowledge to achieve organizational objectives. It is more than simply moving or transferring files and data from one employee (or department) to another. KM allows others to build upon a person’s life experience in a way that strengthens not only the employee, but the organization as a whole. “Knowledge transfer” (KT) describes the actual movement of knowledge from one individual to another.

Organizations that effectively manage knowledge claim higher rates of productivity. They use greater access to employees’ knowledge to make better decisions, streamline processes, reduce re-work, increase innovation, have higher data integrity, and have greater collaboration. The result is reduced cost of operations and improved customer service. Managing knowledge is especially helpful for large organizations where geographical and functional distances inhibit workers from knowing and benefiting from the work of others.

The fields of knowledge management and knowledge transfer are rapidly evolving. Definitions, approaches, and methodologies are being refined all the time. The information presented here represents the workgroup's understanding to date. Keep in mind that much of what is presented can be integrated into existing programs and efforts. It is not necessary to institute a large-scale organization wide KM program to begin to manage and transfer knowledge.

The diagram below represents our view of how knowledge transfer and the overall field of knowledge management fit together. Information on each of the strategies listed in the boxes is in this report or will be added as understanding increases and as readers share their perspectives and strategies.



KNOWLEDGE MANAGEMENT/TRANSFER TERMINOLOGY

To understand knowledge management and knowledge transfer, it is helpful to examine distinctions between data, information, and knowledge.

Data is thought of as discrete, objective facts. Data is the raw material for creating information that by itself carries no judgment or interpretation, no meaning. (1)

Information is data that is organized, patterned and/or categorized. Nancy Dixon, author of *Common Knowledge,* describes information as data that has been sorted, analyzed and displayed, and is communicated through various means. (2) Davenport and Prusak, authors of *Working Knowledge,* describe information as "data that makes a difference." (3) Generally speaking, information changes the way a person perceives something thereby affecting judgment or behavior.

Knowledge is richer and more meaningful than information. Davenport and Prusak define knowledge as "a fluid mix of framed experience, values, contextual information, and expert insight that provides a framework for evaluating and incorporating new experiences and information." (4) Dixon describes knowledge as "meaningful links people make in their minds between information and its application in action in a specific setting." (5)

One gains knowledge through experience, reasoning, intuition, and learning. Because knowledge is intuitive, it is difficult to structure, can be hard to capture on machines and is a challenge to transfer. We often speak of a “knowledgeable person,” and by that we mean someone who is well informed, reliable, and thoroughly versed in a given area of expertise. We expand our knowledge when others share their knowledge with us and we create new knowledge when we pool our knowledge together.

The Working Council of the Federal Chief Information Officers Council in its publication "Managing Knowledge at Work: An Overview of Knowledge Management" boils it down to the simplest terms, as shown in the following box:

Data	=	Unorganized Facts
Information	=	Data + Context
Knowledge	=	Information + Judgment

While it is useful to examine these concepts, it is best not to get caught up in the fine distinctions. One person's knowledge can be another's information. Even the experts don't agree on strict definitions and the terms are often used interchangeably because the differences are frequently a matter of degree. (6)

Knowledge exists on a continuum from explicit to tacit. At one end of the continuum is knowledge that can be laid out in procedures, steps, and checklists, - explicit knowledge. At the other end of the continuum is knowledge that is primarily in the heads of people - tacit knowledge. (7)

- **Explicit knowledge** is relatively easy to capture and store in databases and documents. It is shared with a high degree of accuracy. Explicit knowledge can be either structured or unstructured:

    - **Structured** – Individual elements are organized in a particular way or schema for future retrieval. It includes documents, databases, and spreadsheets.

    - **Unstructured** – The information contained is not referenced for retrieval. Examples include e-mail messages, images, training courses, and audio and video selections.

- **Tacit knowledge** is knowledge that people carry in their minds and is, therefore, difficult to access. Often, people are not aware of the knowledge they possess or how it can be valuable to others. Tacit knowledge is considered more valuable because it provides context for people, places, ideas, and experiences. Effective transfer of tacit knowledge generally requires extensive personal contact and trust.

OVERVIEW OF KNOWLEDGE MANAGEMENT/TRANSFER

Knowledge Management (KM) is a systematic approach to finding, understanding, and using knowledge to achieve organizational objectives. Many organizations today are putting a great deal of emphasis on the discipline of knowledge management. They are developing tools, systems, and awareness among employees that capturing and sharing knowledge is an important organizational practice. Knowledge management creates value when knowledge is shared and reused. While KM is a systematic approach, many KM practices and strategies can be implemented without establishing a formal KM program. And often this is the best approach.

The goal of KM is not to manage all knowledge, but to manage the knowledge that is most important to the organization. It involves applying the collective knowledge and abilities of the entire workforce to achieve specific organizational objectives. It involves getting the *right information to the right people at the right time*, and helping people create and share knowledge and act in ways that will measurably improve individual and organizational performance.

The discipline of knowledge management has three major components:

- **People** - who create, share, and use knowledge, and who collectively comprise the organizational culture that nurtures and stimulates knowledge sharing.
- **Processes** - the methods to acquire, create, organize, share and transfer knowledge.
- **Technology** - the mechanisms that store and provide access to data, information, and knowledge created by people in various locations.

Managing knowledge consists of deciding

- **What** is to be shared.
- **With whom** it is to be shared.
- **How** it is to be shared.

Then it is a matter of **sharing** and **using** the knowledge.

The People Component

While all three elements are necessary for a successful Knowledge management venture, the people component is the most vital. Overall success is dependent upon people’s willingness to share their years of accumulated knowledge so that others can reuse it. The willingness to share is heavily dependent upon building an atmosphere of trust. Trust, or lack of it, can make or break a KM effort.

Smaller organizations - those with fewer than 150 employees - have had an easier time adapting to KM than their larger counterparts. Generally, employees in smaller organizations share information more easily because they tend to know more co-workers, contact is easier and more frequent, and is most often

face-to-face. In this atmosphere, there is a stronger sense of trust and connection to each other; thus, knowledge sharing is better facilitated.
In larger organizations, knowledge sharing is more difficult because people are more apt to organize into small groups that tend to cluster their interactions among themselves. People across the organization are less likely to know each other; trust is harder to build among strangers. This does not mean that KM is impossible in large organizations. Rather, the organization must work toward creating an environment that fosters knowledge management as an organizational principle and stresses the importance of sharing information across organizational boundaries. Processes and technology become more important in larger organizations.

Being able to trust the source of information is critical. A well-respected member of the organization is likely to be looked to first for information, based on his or her expertise, rather than a newer or younger employee. Also, studies have shown that, in general, people will contact their co-workers before tapping into a database or calling technical support staff when they need knowledge.

The success of KM initiatives depends upon people's willingness to share knowledge and use the knowledge of others. The commonly held belief that knowledge is power can undermine knowledge sharing. Many people are reluctant to share knowledge because they fear they are relinquishing their power. This can translate into perceived lower marketability, job threat, and loss of organizational status. Low morale, conflict, and mistrust also act as barriers to people's willingness to share. Finally, people want credit for their ideas. If they suspect they will not be acknowledged, they will be more reluctant to share information.

Managers must be attuned to the organizational dynamics and act appropriately to ensure that negativity is minimized. Organizations must create an atmosphere that encourages and rewards KM. Some organizations acknowledge employees who have shared valuable knowledge at a recognition function or in some other public venue.

The Process Component

Organizations create and implement processes to acquire, create, organize, share, and transfer knowledge. These processes (more fully described under the strategies) include the following: [See Strategies, pg. 22.]

- Performing knowledge audits to determine and locate the knowledge that is needed.
- Creating knowledge maps to allow quick access to knowledge.
- Creating communities of practice or interest to share tacit knowledge.
- Collecting best practices and lessons learned to share knowledge.
- Managing content to keep knowledge current and ensure that the knowledge being retained is relevant.
- Telling stories to convey knowledge.
- Encouraging learning to facilitate the transfer and use of knowledge.

The Technology Component

Computer and telecommunications technology is probably how most organizations will choose to store and manage their information. It allows for easy access, reduces time and effort, and literally saves space.

Technology provides the means for people to gather, organize, store, and access explicit knowledge. It can also enable people to share their tacit knowledge without being face to face. It can increase the accessibility of knowledge, reduce the time and effort to record and keep it current, and facilitate interaction with citizens, customers, and stakeholders.

Networks and computers are able to connect people and store information that can be retrieved quickly. Technology can be used to research and point the seeker to a source for knowledge sharing. Chat rooms can be useful because of the interactivity. The information seeker can use the Internet to locate research documents and obtain information on the path to gaining knowledge.

There are many technological tools available to help facilitate knowledge transfer; however, they are beyond the scope of this research. The focus here is on more practical tools and strategies that do not require sophisticated technology.

In summary, knowledge transfer is the process of sharing knowledge between one person and another. Knowledge must be transmitted and absorbed/ learned before another person can use it. If knowledge is not absorbed, then knowledge is not transferred. To most effectively transfer knowledge, it is essential to have willing givers/providers and interested recipients.

STRATEGIES FOR KNOWLEDGE MANAGEMENT/TRANSFER

There are many ways for an organization to identify, store, and transfer knowledge. Some strategies will work better in one organization than another. Some may not be appropriate for specific types of content. The challenge is to identify and develop complementary ways to further knowledge management and transfer in an organization. Each of the strategies listed below has or will have a link to more detailed information.

Apprenticeships, Internships, and Traineeships: Formal arrangements where an experienced person passes along knowledge and skill to a novice who, after a designated period of time, reaches the journey level. Examples in New York State include apprenticeships for occupations such as electricians, plumbers, and steamfitters; one-to-three year traineeships for computer programmers or administrative titles; and summer internships used by many State agencies. (See Apprenticeships, Internships and Traineeships, page 22.)

Best Practices: The identification and use of processes and/or practices that result in excellent products or services. Best practices, sometimes called preferred practices, often generate ideas for improvements in other organizations or work units. (See Best Practices, page 24.)

Communities of Practice: Groups of individuals who share knowledge about a common work practice over a period of time, though they are not part of a formally constituted work team. Communities of practice generally cut across traditional organizational boundaries. They enable individuals to acquire new knowledge faster. They may also be called Communities of Interest if the people share an interest in something but do not necessarily perform the work on a daily basis**.** (See Communities of Practice, page 26.)

Documenting Processes: Developing a written or electronic record of a specific work process that includes the business case for the process, steps in the process, key dates, relationship to other processes that come before and after, key players and contact information, any required references and legal citations, back-up procedures, and copies of forms, software, data sets, and file names associated with the process. (More detailed account coming soon.)

Document Repositories: Collections of documents that can be viewed, retrieved, and interpreted by humans and automated software systems (e.g. statistical software packages). Document repositories add navigation and categorization services to stored information. Key word search capability is often provided to facilitate information retrieval. (More detailed account coming soon.)

Expert Interviews: Sessions where one or more people who are considered experts in a particular subject, program, policy, or process, etc. meet with others to share knowledge. Expert interviews can be used in many ways, including capturing knowledge of those scheduled to leave an organization, conducting lessons learned debriefings, and identifying job competencies. The U.S. Navy videotaped a multi-day session where recent retirees reflected on the reasons for success and failure. The New York State Department of Motor Vehicles videotaped a meeting with a manager scheduled for retirement to capture ideas and answers to questions. (See Expert Interviews, page 30.)

Job Aids: These are tools that help people perform tasks accurately. They include things such as checklists, flow diagrams, reference tables, decision tree diagrams, etc. that provide specific, concrete information to the user and serve as a quick reference guide to performing a task. Job aids are not the actual tools used to perform tasks, such as computers, measuring tools, or telephones. (See Job Aids, page 32.)

Knowledge Audits: Knowledge audits help an organization identify its knowledge assets, including what knowledge is needed and available. They provide information on how knowledge assets are produced and shared, and where there is a need for internal transfer of knowledge. (More detailed account coming soon.)

Knowledge Fairs: These events showcase information about an organization or a topic. They can be used internally, to provide a forum for sharing information, or externally, to educate customers or other stakeholders about important information. Examples are Xerox's "Team Day," New York State Department of Taxation and Finance's TaXpo, and New York State Organization Development Learning Network's (ODLN) Share Fair. (See Knowledge Fairs, page 34.)

Knowledge Maps and Inventories: These catalog information/knowledge available in an organization and where it is located. They point to information but do not contain it. An example is an Experts or Resource Directory that lists people with expert knowledge who can be contacted by others in need of that knowledge. (More detailed account coming soon.)

Learning Games: These structured learning activities are used to make learning fun and more effective, provide a review of material that has already been presented in order to strengthen learning, and evaluate how much learning has occurred. (See Learning Games, page 36.)

Lessons Learned Debriefings: These debriefings are a way to identify, analyze, and capture experiences, what worked well and what needs improvement, so others can learn from those experiences. For maximum impact, lessons learned debriefings should be done either immediately following an event or on a regular basis, with results shared quickly among those who would benefit from the knowledge gained. Hewlett Packard refers to their lessons learned sessions held during and at the end of projects in order to share knowledge as "Project Snapshots." The U.S. Army calls them "After Action Reviews." (See Lessons Learned Debriefings, page 38.)

Mentoring: In mentoring, an experienced, skilled person (mentor) is paired with a lesser skilled or experienced person (protégé), with the goal of developing or strengthening competencies of the protégé. See the Mentoring

<http://www.goer.state.ny.us/workforce/workgroups/Mentoring/mentoring.html> and Competencies < http://www.goer.state.ny.us/workforce/workgroups/competencies/competencies.html> Workgroup Reports.

On-the-Job Training: Most organizations use some form of on-the-job training where an experienced employee teaches a new person how to perform job tasks. If this happens at random or with no consistent written materials or processes, it is called unstructured OJT. A system of structured OJT differs in that specific training processes are written; training materials and guides exist and are used consistently by all those who train; training is scheduled; records are kept of training sessions; and "trainers" are given training on how to do OJT, how to give feedback, and several other factors. (See On the Job Training (OJT), page 43.)

Storytelling: This involves the construction of fictional examples or the telling of real organizational stories to illustrate a point and effectively transfer knowledge. An organizational story is a detailed narrative of management actions, employee interactions, or other intra-organizational events that are communicated informally within the organization. When used well, story telling is a powerful transformational tool in organizations. (See Storytelling, page 45.)

Training: Training encompasses a large variety of activities designed to facilitate learning (of knowledge, skills, and abilities or competencies) by those being trained. Methodologies can include: classroom instruction, simulations, role-plays, computer or web-based instruction, small and large group exercises, and more. It can be instructor-led or self-directed in nature. See the GOER Training and Organizational Development site <http://www.ric.goer.state.ny.us/training.shtml>, NYS Employee Resource Information Center <http://www.ric.goer.state.ny.us/training.shtml>, and the New York State Training Council's site, <http://www.nystc.org/ >.

GETTING STARTED WITH KNOWLEDGE MANAGEMENT/TRANSFER

The emphasis in this section is on implementing a major KM initiative, but much of what is offered applies to smaller scale efforts as well. Any major new initiative requires a culture shift, or in some cases, a complete change. KM is no different. Organizations are challenged to construct an environment where individual knowledge is revered, but also to articulate that sharing that knowledge with the entire organization is even more revered.

For organizations deeply rooted in tradition, initiating a culture change is a challenge. If the organization is unwilling to change its culture to embrace the concepts and systems of KM, chances are the effort will fail.

Implementing a KM system takes time and effort. Regardless of why an organization wants to do it (e.g., retirement, high turnover, or specialty technical knowledge), it is important that it has management support and units in which to experiment. Among the best candidates for KM are units that are experiencing difficulty and actively seeking ways to address it. Not only will there be an opportunity to test KM's applicability, but the affected units are likely to be receptive to testing the system.

The next step is to find resources (financial, technical, and human), conduct pilot tests, and share the lessons learned along the way. A good approach is to conduct multiple pilots using different strategies so that the results can be compared. Organizations can then determine what worked and what did not, and fine-tune their KM system. When an endeavor is successful, other units may be inclined to try it.

Implementation is more than just handing off the project to information technology specialists or external vendors who promise results if you use their software. As mentioned, KM relies on people first, then process, and then technology. Implementing KM is a broad endeavor that cannot be accomplished with equipment alone.

A KM effort also benefits from an in-house champion who is responsible for furthering the initiative and promoting its merits to management, as well as to all employees. He or she works with the organization to provide resources, offer support, and encourage people to participate.

Additional ideas to help introduce or expand knowledge management include:

- **Start with "high-value" knowledge** – Determine the organization's business processes where information and knowledge are critical. Business processes with low customer/stakeholder satisfaction, long cycle time, or high production costs could all be effective places to start a KM project. Attacking these problems, identifying their knowledge component, and using the business value of solving them as justification for KM efforts can prove to be an effective strategy.

- **Start on a small scale** – Conduct a pilot project, publicize the results, and let the success of the pilot create demand for additional KM projects.

- **Work along multiple fronts** – Effective projects address issues related to people, technology, and organizational structure in a coordinated, linked manner.

- **Leverage existing approaches** – Many organizations have active initiatives intended to improve their business performance and outcomes. KM can build upon and enhance these initiatives.

- **Provide help throughout the organization quickly** – Provide training, facilitation, and other help to people involved in KM projects. This will increase their understanding and commitment to managing knowledge, and address the importance of changing culture and behavior for managing knowledge.

MEASURING KNOWLEDGE MANAGEMENT/TRANSFER

Like any other organizational initiative, management must be able to measure the success of individual KM projects, and their impact on achieving organizational goals. Many KM initiatives begin as pilot programs. According to the U.S. Department of the Navy, these performance measures, or metrics, help to:

- Provide a target or goal for KM efforts.
- Develop benchmarks for future comparisons and for others to use.
- Guide and fine-tune the implementation process by providing feedback.
- Measure, retrospectively, the value of the initial investment decision (in terms of time, staff resources and money) and the lessons learned.
- Aid learning from the effort and developing lessons learned.
- Make a business case for implementation. (8)

Well-designed performance measures provide information on the efficiency and effectiveness of people, processes, and programs in aiding knowledge transfer, and offer a way to focus attention on desired behaviors and results.

The most important consideration in measuring knowledge transfer is determining what you need to measure. Since some knowledge is tacit, or implicit, its transfer cannot always be directly or precisely measured. If the value of the information is in being able to apply it in analogous situations, you will want to find out if the application has occurred.

As an example, consider a community of practice organized to discuss member experiences in using negotiation and mediation techniques. A member expresses concern about how a negotiation process was stalled when a new party would not accept agreements already reached. The group then shares their knowledge of how to prevent and address this kind of problem. You could measure whether members of the community of practice heard and understood what was shared. Of more value would be to determine at a later date whether members used this knowledge to craft proactive strategies to successfully prevent or address similar breakdowns. Anecdotal stories rather than hard data collection are more important in understanding the relative worth of the knowledge transfer and the overall usefulness of the community of practice.

The measurement of knowledge transfer often focuses on two aspects: whether there has been a transfer of knowledge that has meaning and value to the organization, and analysis of the KM strategies themselves, such as a community of practice.

It's important that appropriate metrics be used, focusing on the organization's goals, people, and specific KM initiative. No "cookbook" of standard procedures exists. For information on developing KM measures, see Appendix A: Building Knowledge Management Measures Using The Navy's Approach, page 48.

SUPPORTING KNOWLEDGE MANAGEMENT/TRANSFER

Many factors contribute to the chances of successful implementation of knowledge transfer strategies, and/or a full KM initiative. Some things take years to develop; others are simpler and easier to put in place. Some may already be in place in your organization; others may present challenges.

Organizational Culture

- Executives support and encourage knowledge-creating activities.
- Efforts are taken to develop leaders who foster knowledge sharing, build an atmosphere of trust where sharing is valued, and make promotions based in part upon demonstrated sharing.
- The organization recruits and hires people who sought and applied knowledge in school and on the job.
- The organization hires employees with whom they would like to work and share knowledge.
- Sharing and using knowledge is encouraged and nurtured.
- Collaboration is the norm.
- Employees understand knowledge management and its value to them.
- Continuous learning for individuals and the organization is encouraged.
- Staff are flexible, forward looking, open to change, and seek continuous improvement.
- Leaders and staff take time to reflect upon and learn from experiences.
- Performance reviews incorporate sharing and use of knowledge.
- The organization recognizes and rewards employees who share knowledge. It does not reward or promote employees who hoard knowledge or negatively compete with others.

Relationships

- Staff are willing to share and reuse knowledge.
- Personal relationships encourage sharing knowledge of high value.

Rewards and Incentives

- Meaningful, long-term incentives are tied in with the evaluation and compensation systems, and highly visible short-term incentives are in place to motivate employees to create, share, and use knowledge.
- Individuals and teams are rewarded for promoting knowledge management when they:
  - Capture team discussions and decisions.
  - Mentor.
  - Document lessons learned.
  - Make tacit knowledge explicit.

Trust

- People know and trust the source of the knowledge. People more frequently contact someone they know before searching the corporate database or data warehouse. Technology is an important enabler to success of KM, but people make or break it.
- People share what they have when they believe others will share their knowledge with them.
- Trustworthiness starts at the top. Upper management's behavior defines the norms and values of the organization.
- Trust can be visible. People must get credit for knowledge sharing.

Senior Leadership Support

Senior leadership:

- Provides resources and encourages employees to share knowledge.
- Offers incentives to encourage sharing and use of knowledge.
- Identifies barriers that inhibit sharing and commits to overcome them.
- Endorses and supports KM through:
  - Articulating knowledge-sharing strategies.
  - Embedding KM into standard operating practices.
  - Allocating financial and human resources to KM.
  - Monitoring the value of knowledge management.
  - Identifying links to increased productivity and achievement of objectives.
- Promotes success stories.
- Maintains KM/KT alignment with organizational goals.
- Models desired behavior.
- Sends messages about the importance of KM and organizational learning to the success of the organization.
- Clarifies what type of knowledge is most important to the organization.

Technical and Organizational Infrastructure

- The organization uses technologies that are knowledge-oriented, such as group use software programs and the World Wide Web, and people have the skills to use them.
- Technologies for desktop computing and communications are available to all staff and they have standardized word processing, presentation software, etc. so documents can be exchanged easily.
- Staff use videoconferencing technology.
- There is an established set of roles, organizational structures, and skills that benefit individual projects (e.g., project managers, project management tools).

Link KM to Organizational Effectiveness, Efficiency, Or Overall Value

- The use of KM results in improved service or products, and/or the attainment of goals and objectives.

- The use of KM results in improved cycle time, customer satisfaction, reducing the number of phone calls, or other organizational goals or objectives.

Clarity of Vision and Language for Knowledge Management

- The organization has clarity of its overall purpose and for its KM initiative.
- The organization has terminology (e.g., “knowledge,” “information,” “learning,” and “organizational learning”) to help staff understand and incorporate knowledge sharing on a regular basis.

Some Level of Knowledge Structure

- A glossary of technical terms exists for staff to refer to for increasing their understanding of KM concepts.
- There is a process for getting new terms defined as part of the project management or organization structure.

Multiple Strategies for Knowledge Transfer

- Multiple strategies should reinforce each other.
- Contributors to knowledge repositories get together face-to-face on a regular basis. This builds trust and is useful in developing structures and resolving issues.

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http://www.brint.com/km/ (This site is a gateway to working knowledge on business and technology issues related to knowledge management ,indexed in topically categorized and continuously updated web portals. It provides access to continuously updated relevant content and community resources on all key issues related to knowledge management practice and research.) (Accessed 11/21/02.)

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3. Davenport, p. 4.

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5. Dixon, p.13.

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7. Dixon, p. 26.

8. United States Department of the Navy Chief Information Officer. *Metrics Guide for Knowledge management Initiatives*. United States Department of the Navy, August 2001. < http://www.don-mit.navy.mil/tools_and_downloads.asp?type=project&recID=17 >(PDF for downloading) p. 8. (This document may not be accessible to the visually impaired.)

THE STRATEGIES

The following strategies are works in progress and will be updated as more is learned. Other strategies will be added.

APPRENTICESHIPS, INTERNSHIPS, AND TRAINEESHIPS

Definition

Apprenticeships, internships, and traineeships are formal arrangements where a person gains practical experience or knowledge by working for a prescribed period of time under the supervision of more experienced workers.

Apprentices, interns, or trainees typically have basic skill sets or competencies, such as analytical skills, but lack the specialized competencies necessary for the job. In some situations, specialized education may be required. For example, to be eligible for a New York State traineeship in the accounting profession, a person must have a certain number of college credits in accounting.

New York State fills many entry-level positions through traineeships, which fall into two broad categories. Transition traineeships are designed to help clerical and secretarial employees already in State service to move into professional or paraprofessional positions. There are also entry-level professional traineeships open to State employees and the general public for candidates who meet the traineeship qualifications and are reachable on the eligible list. New York State provides both paid and unpaid internships for students.

Benefits

Apprenticeships, traineeships, and internships provide a structured means for passing on specific knowledge and skills required for success in a particular job or profession. Because they take place at an actual job site, they provide ready access to people who are experienced in the job and to hands-on learning opportunities. Since they are typically one to three years in length, over time, participants learn to take on assignments of increasing complexity and difficulty. The structure provides the necessary support and resources to successfully perform at the journey level.

Obstacles

New York State agencies must request and obtain approval from the Department of Civil Service and the Division of the Budget to create apprenticeships, traineeships, and internships. Agencies must commit the resources needed for incumbents to succeed, including the staff time to assist in learning necessary skills. Supervisors must not only have mastered the job, but must also know how best to help the apprentice, trainee, or intern to gain required knowledge and skills.

When to Use

Apprenticeships, traineeships, and internships are valuable when it takes a long period of time to learn the specific skills needed for a particular job. They are typically used at an entry level into a profession.

How to Use

New York State agencies must obtain approval from the Department of Civil Service and the Division of the Budget. In the request, they must identify the critical job competencies to be mastered in each six-month period and identify what methodologies (on-the-job training, formal training, etc.) will be used to develop them.

For these arrangements to be successful, the organization must commit to providing the necessary resources, including the staff time of experienced workers. Also, there must be ongoing feedback to the learners on their progress in mastering required skills.

Resources

http://www.cs.state.ny.us/cseap/CareerMobility.html - Information on career mobility in New York State
http://www.cs.state.ny.us/tsplan/titlesalaryplan.cfm
http://jobweb.goer.state.ny.us/ - Information on job vacancies in NYS government.
http://jobweb.goer.state.ny.us/internlistings.asp -Listing of internship opportunities. Note that agencies may offer opportunities without listing them on this site.
http://www.goer.state.ny.us/workforce/workgroups/competencies/competencies.html - Report of the Competencies Workgroup

BEST PRACTICES

Definition

"Best practices" are ways of doing business, processes, methods, strategies, etc. that yield superior results. They have been implemented and honed over time to a point where they are viewed as exemplary and should or could be adopted by others. A formal "benchmarking" process is often used to identify best practices. A full description of this technique is beyond the scope of this document, however, there are many books and other resources on the subject.

Benefits

Identifying and sharing best practices is an important way to incorporate the knowledge of some into the work of many. Organizational structures tend to promote "silo" thinking where particular locations, divisions, or functions focus on maximizing their own accomplishments and rewards, keeping information to themselves and thereby sub-optimizing the whole organization. The mechanisms are lacking for sharing of information and learning. Identifying and sharing best practices helps build relationships and common perspectives among people who don't work side by side.

Best practices can also spark innovative ideas and generate suggestions for improving processes, even if a practice can't be used in its entirety. The process of identifying them can also benefit employee morale. By highlighting or showcasing people's work, employees get organization-wide recognition for their work.

Obstacles

Sometimes employees are reluctant to share their methods with others. Information can be seen as a source of power and some people hoard it. A more likely reason for not sharing is reluctance to say that something is the "best way." The "not-invented-here" syndrome could negatively affect the adoption of a method created by a different workgroup. Documenting and storing descriptions of best practices can be a challenge. If storage is to be in written form, a database or other shared file system, the practice needs to be described in enough detail for all to understand. Often, written descriptions are the starting point for transfer, with employees using site visits and other forms of communication to learn. Keeping best practice information current is important. Since organizations are constantly finding ways to improve processes and products, a "best practice" could become obsolete.

When to Use

The technique of identifying and sharing best practices can be done at any time. It can be especially important when looking for ways to improve results of important or significant processes. In today's environment of tight budgets and rapid change, identifying ways to improve effectiveness and efficiency are crucial.

How to Use

There are many approaches to identifying and sharing best practices, ranging from a formal organization-wide initiative with staff assigned to researching, documenting, and creating a database to more informal ways such as talking at the water cooler (sometimes the most effective approach!).

One “in between” approach involves management identifying the results they want to improve, determining the parameters of a process that should be studied, and then chartering a team to conduct the study. A sample of people involved in the process should:

- Thoroughly review and document the current process.
- Identify organization(s) that have exemplary practices or processes that produce high results.
- Explore the “best practices.”
- Generate possible ways to improve their process.
- Recommend or select changes to be implemented.
- Arrange for implementation of the changes.
- Evaluate the results of the changes.

Another approach some organizations use is to encourage employees to learn from others within the organization through annual or periodic best practices or benchmarking conferences. The Office of Vocational and Educational Services to Individuals With Disabilities (VESID), part of the State Education Department, brings together staff from throughout the State to learn from each other. They showcase and share best practices through both formal and informal presentations or workshops. They focus on processes they have developed or refined that achieve desired results. They sometimes also invite experts from other states to share their best practices.

Another technique VESID uses is posting best practices on its intranet. Content areas include leadership, management and internal controls, including risk assessments and corrective actions for each of its offices. VESID also uses a team to provide support to district offices where a quality assurance review has identified problem areas. The team helps develop an action plan to address issues and shares tools and resources others have found effective.

Some organizations recognize teams that have been particularly successful in accomplishing their objectives. Their process and results are often showcased at internal conferences, or through knowledge fairs (See Knowledge Fairs, pg.). GOER’s Workforce Champions Award program is an example of a statewide recognition effort for identifying and sharing best practices across agencies. (See WorkForce Champions at http://www.goer.state.ny.us/Train/wfc/2002/.)

COMMUNITIES OF PRACTICE

Definition

A Community of Practice (COP) is a group of individuals sharing a common working practice over a period of time, though not a part of a formally constituted work team. They generally cut across traditional organizational boundaries and enable individuals to acquire new knowledge faster. For example, at the Department of Public Service, a group of employees who are actively involved in multi-party, multi-issue settlement negotiations began a monthly discussion group at which they explored process issues, discussed lessons learned, and shared tools and techniques. COPs can be more or less structured depending on the needs of the membership.

Benefits

Communities of practice provide a mechanism for sharing knowledge throughout one organization or across several organizations. They lead to an improved network of organizational contacts, supply opportunities for peer-group recognition, and support continuous learning, all of which reinforce knowledge transfer and contribute to better results. They are valuable for sharing tacit (implicit) knowledge.

Obstacles

To be successful, COPs require support from the organization(s). However, if management closely controls their agendas and methods of operation, they are seldom successful. This is more of an issue for communities of practice within organizations.

When to Use

Communities of practice can be used virtually anywhere within an organization: within one organizational unit or across organizational boundaries, with a small or large group of people, in one geographical location or multiple locations, etc. They can also be used to bring together people from multiple agencies, organized around a profession, shared roles, or common issues.

They create value when there is tacit information that, if shared, leads to better results for individuals and the organization. They are also valuable in situations where knowledge is being constantly gained and where sharing this knowledge is beneficial to the accomplishment of the organization's goals.

How to Use

There are different kinds of COP. Some develop best practices, some create guidelines, and others meet to share common concerns, problems, and solutions. They can connect in different ways: face-to-face, in small or large meetings, or electronically.

An organization or group of practitioners needs to decide which kind of community is best for it by determining what knowledge people need to share, how closely connected the community is, and how closely knowledge needs to be linked with people's everyday jobs. The supporting organization(s) needs to be willing to make resources available to the community. These resources include supporting employees' ability to participate at COP events as well as providing logistical and other support. Public and private entities that have created communities of practice say they work best when they set their own agenda and focus on developing members' capabilities. Management should not dictate. Smaller, more informal COPs will likely have fewer constrictions and less need for support.

Following are guidelines to consider in forming a COP:

A. Determine the community's purpose.

Link the community's purpose to the profession or organization's goals and objectives. Communities can be formed as:

1. Helping communities that provide a forum for members to help each other solve everyday work problems.
2. Best practice communities to develop and disseminate best practices, guidelines, and procedures for member use.
3. Knowledge stewarding communities to organize, manage, and steward a body of knowledge from which community members can draw.
4. Innovation communities for creating breakthrough ideas, knowledge, and practices.

B. Clarify roles and responsibilities.

Roles can include the following, especially for larger, more formal COPs:

1. Functional Sponsors: sponsors need to believe in the value of knowledge sharing. They encourage community growth and commitment of agency resources, act as champion for the community within the organization, and work with community leaders to resolve issues.
2. Core Group: a subset of the community, consisting of knowledgeable and experienced community members (subject matter experts) to assist with start-up of the group and to provide ongoing organizational support.
3. Community Leaders: active members of the community who help to focus the community, plan and schedule meetings and events, represent the community within the organization, manage day-to-day activities, etc.
4. Members: membership should be voluntary. Members will continue to be actively engaged to the extent the community meets their needs, but the expectation must be set that members participate in community discussions, activities, and work.

5. Facilitator to guide the community's process: facilitators provide process expertise, assist with the use of process tools, and help to create and maintain a collaborative environment.
6. Logistics Coordinator: coordinates calendars, schedules meetings and events, coordinates facilities, and arranges for equipment.

Other roles to consider include functional support staff and a project historian. Functional support staff help to arrange for databases to store and share community knowledge and establish mechanisms for on-line sharing of information through such tools as chat rooms or discussion lists. The project historian documents project decisions and events for reuse by the agency.

C. Identify community members.

Membership is voluntary but it is recommended that individuals who could learn from each other and have a stake in the community's success be identified and cultivated. Employees, who are seen as experts or as trusted information sources, add value to the community and efforts should be made to recruit them.

D. Devise mechanisms for communication and collaboration.

There can be a combination of face-to-face meetings and events, instant messaging or chat rooms, shared databases, videoconferencing, etc.

E. Hold an initial community workshop to engage member interest and stimulate continued involvement.

At this meeting, the community's purpose should be clarified as follows:
- Work should begin on building member relationships.
- Ground rules should be decided and roles explained.
- Methods for creating, capturing, and sharing knowledge should be discussed.
- Consensus should be reached on the highest priority knowledge needs.

F. Check community progress to identify and resolve any barriers that impede the community's success.

This is often a function of the community leader and core group.

Resources

NAVSEA Community of Practice Practitioner's Guide, U.S. Department of the Navy, Version 1.0a, May 2001. *NAVSEA Community of Practice Practitioner's Guide*, U.S. Department of the Navy, Version 1.0a, May 2001. <http://www.km.gov/documents/DoN_CoP_Practitioner's_Guide_ver_1.doc> (Accessed 11/21/02)

Wenger, Etienne C, and William M. Snyder, "Communities of Practice: The Organizational Frontier," *Harvard Business Review*, January-February 2000, p. 139-145.

EXPERT INTERVIEWS

Definition

Expert interviews are sessions where one or more people who are considered experts in a particular subject, program, process, policy, etc., meet with others to share their knowledge. The format of the sessions can range from an informal one-on-one meeting to a larger group session with a panel of experts. Sessions can be audio or videotaped or even transcribed if the subject is highly technical. The experts can come from within an organization or from the outside.

Benefits

Expert interviews are a way of making tacit knowledge more explicit. A person can describe not only what was done but why, providing context and explaining the judgment behind the action. Interviews are often easier for the experts than having them write down all the details and nuances. Learners can ask questions and probe more deeply to ensure understanding.

Obstacles

Making time for these sessions is probably the biggest challenge for both the experts and the learners. If the session is more formal with a large group of learners, some may be intimidated and need coaching.

When to Use

Expert interviews can be used in many situations. The best place to begin is with people who have unique knowledge developed over a long period and who have the potential for leaving the organization soon. The next step might be to identify mission critical processes or programs where only one or two staff have a high level of technical knowledge.

How to Use

This process is probably most effective when someone facilitates the experience, setting the stage with participants, facilitating the exchange of any information prior to the interview, and handling scheduling or other logistics.

Identify the people and knowledge you want to start with, both the experts and the learners. Discuss with the experts the reasons for the interviews, who will be involved, and what you would like to focus on. If the learner needs to prepare for the session, the expert can identify how to do this and what resource materials would be helpful. It is also essential to ask the learners what they think they would like to know from the experts. If they have specific questions, provide these to the expert in advance so he or she can be prepared.

If the session is more formal, with larger numbers of experts and learners, a facilitator can help keep the session focused and on time. If the interview is a one-on-one meeting, a facilitator is probably not needed.

If audio or videotaping, arrangements should be made in advance and equipment tested to ensure both experts and learners can be heard on tape.

JOB AIDS

Definition

A job aid can take many forms, but basically it is a document that has information or instruction on how to perform a task. It guides the user to do the task correctly and is used while performing the task, when the person needs to know the procedure.

A job aid can be as simple as a sticker on an answering machine that describes how to access messages. Types of job aids include:

- Step-by-step narratives or worksheets sequencing a process.
- Checklists, which might show items to be considered when planning or evaluating.
- Flow charts, leading the user through a process and assisting the user to make decisions and complete tasks based on a set of conditions.
- Reference resources, such as a parts catalog or telephone listing.

Benefits

Job aids are usually inexpensive to create and easy to revise. Using job aids can eliminate the need for employees to memorize tedious or complex processes and procedures. When a job aid is easy to access, it can help increase productivity and reduce error rates.

Obstacles

Job aids need to be written clearly and concisely, with nothing left to interpretation. They also need to be updated and kept current. Finding the time to create job aids can be a challenge; however, creation of good job aids produces benefits over the long term.

How to Use

Consult with knowledgeable users to identify what job aids to develop. Create job aids that include only the steps or information required by the user. Keep the information and language simple, using short words and sentences. Don't include background information or other information extraneous to actual performance of the task; put that in another location. Use graphics or drawings, when appropriate, to more clearly demonstrate detail.

Use bold or italicized text to highlight important points. Use colors to code different procedures or parts of a process. Make sure the job aid can be easily accessed and is sturdy. A laminated wall chart hung near where a task is performed can be consulted more quickly than a piece of paper stored in a file.

When to Use

Job aids are most appropriate for tasks that an employee does not perform frequently, or for complex tasks. Tasks with many steps that are difficult to remember, or tasks that, if not performed correctly cause high costs, can benefit from having readily accessible job aids. Also, if a task changes frequently, a job aid would save time and reduce the chance for errors.

Job aids can be a good supplement to classroom training. Users can learn tasks in a classroom but will likely need something to rely on when on the job.

Resource

Russell, Susan, "Create Effective Job Aids," *American Society for Training & Development Info-Line,* Issue 9711, November 1997.

KNOWLEDGE FAIRS

Definition

A knowledge fair is an event designed to showcase information about an organization or a topic. It can be organized in many ways using speakers, demonstrations, or more commonly, booths displaying information of interest to the attendees. One example is the Xerox Corporation's annual "Team Day" that showcases the work of various quality-improvement teams. Two New York State examples are described below.

Benefits

A large amount of information can be made available and attendees can focus specifically on what they are interested in learning. Attendees can interact directly with the presenters, getting immediate answers to their specific questions. They also can establish contacts for further exploration of topics if needed.

Attendees often network with one another and booth developers' often strengthen their teamwork. Knowledge fairs also provide opportunities to draw attention to best practices and recognize employee and team achievements.

Obstacles

Depending on the scope and size of the event, it can require a large amount of staff time for creating booths, putting information together to display, and for organization and logistics. The costs for space, materials, and resources can be high. The potential exists for participants to become overwhelmed with information.

When to Use

Consider a knowledge fair when there is a lot of information to share with a lot of people and participants need a broader perspective, as well as an opportunity to interact on a one-on-one basis on specific topics. A knowledge fair is an alternative to traditional presentations when more interactive experiences are desirable.

New York State Examples

"TaXpo"

In 1999, the Tax Department used a large basement room in one of their buildings on the State Office Building Campus to hold a Knowledge Fair with more than 75 booths showcasing the work of organizational units across the entire department. Unit or office employees created and staffed their own booths. All employees were invited to attend, including employees from district offices away from Albany, where the event was held. Staff visiting the fair had the opportunity to ask questions and develop their understanding of what the various organizational units did and how they fit into the larger picture of accomplishing the mission of the department. See Appendix B, page 52, for Commissioner Roth's memo to all Tax employees and Appendix C, page 53, for a list of the 75 booths and sample descriptions of four booths.

Organization Development Learning Network "Share Fair"

The Organization Development Learning Network (ODLN) is a community of practice supported by the Governor's Office of Employee Relations. It is "an organization development (OD) peer learning group that shares experience and generates knowledge to improve New York State agency performance." (For more information on ODLN, go to http://www.goer.state.ny.us/Train/organizational/odln.html.)

The group was formed in 2000 and held its first meeting in October of that year. In order to familiarize those attending with what OD is and the kinds of things that OD can do for an organization, a "share fair" was held. Smaller in scope and simpler than TaXpo, this event used tables in a large meeting room to display various materials relating to OD initiatives. Staff from the various agencies answered questions and explained what they did and how it contributed to accomplishing their agency's mission and improving organizational performance. See Appendix D, page 56, for the Share Fair descriptive brochure.

LEARNING GAMES

Definition

A game is a type of structured learning activity used to make learning fun. It can provide a review of material that has been presented to strengthen the learning or evaluate how much learning has occurred. Games can also be used to:

- Help people prepare for learning by testing current levels of knowledge.
- Apply a newly learned skill.
- Learn as they play the game.
- Practice what has been presented to reinforce the learning.

Benefits

Games improve knowledge transfer by:

- Increasing participation among all involved.
- Improving the learning process by creating an environment where people's creativity and intelligence are engaged.
- De-stressing learning by making it fun.
- Addressing the different ways in which different people best learn – through movement, hearing, and seeing.
- Adding variety to a training program, which helps to keep people actively involved.

Obstacles

- When games are used as an end in themselves and not a means towards an end, they waste time and can hamper learning.
- Using too many games can destroy learning effectiveness.

When to Use

Games are usually used in conjunction with other learning methodologies, such as presentations and discussions. When you use them, or if you use them at all, depends on the learning you are trying to convey and whether games will help you meet your learning objectives.

Games used at the beginning of a program can measure existing knowledge and build immediate interest in the training material.

Games used during a program can help people discover the learning themselves (which strengthens recall and commitment), practice using new knowledge or skills, or reinforce initial learning.

Games used near the end of a program can test knowledge gained and people's ability to apply it in their work settings.

How to Use

For games to be effective, they must:

1. Be related to the workplace by providing knowledge, reinforcing attitudes, and initiating action that is important to job success.
2. Teach people how to think, access information, react, understand, and create value for themselves and their organizations.
3. Be enjoyable and engaging without being overly simplistic or silly.
4. Allow for collaboration between learners.
5. Be challenging but not unattainable.
6. Permit time for reflection, feedback, dialog, and integration. In other words, games should be debriefed.

Examples of games:

- Quizzes
- Scavenger hunts
- Quiz show games, including those modeled on television game shows such as *Jeopardy* or *Family Feud*
- Board games, such as GOER's *Supervision Central*
- "Name that" games
- Sports-related games
- 20 questions

Resource

Meier, Dave, *The Accelerated Learning Handbook: A Creative Guide to Designing and Delivering Faster, More Effective Training Programs*, McGraw-Hill, New York, 2000.

LESSONS LEARNED DEBRIEFINGS

Definition

Session(s) conducted at the completion of a project or activity, or at strategic points during a project or work team's ongoing work, where members of the team or group evaluate the process used and the results. They identify what was done right and what could be done better the next time.

Benefits

These sessions identify and capture the things that went well and the things that could be improved so that team or work group members are aware of and can use the broader team/group's learning in their future projects or work activities. Results can also be shared with future teams or other work groups so they can learn from the experiences of others.

Obstacles

Making the time to conduct lessons learned debriefing sessions and documenting the results are the biggest challenges.

When to Use

The sessions should be done as soon as possible after the completion of the project or activities, but no more than 30 days later. They could also be done at any strategic point during a project.

How to Use

Lessons learned sessions work best when they are done as a formal review session in a functional meeting room, using facilitator(s), and an assigned note taker.

- Develop ground rules for the session, e.g. listen for understanding, respect others' contributions, no blaming, full participation, etc.
- Include appropriate people such as:
  - Project sponsor.
  - Project or work unit manager.
  - Project team or work unit staff.
  - Customers.
  - Stakeholder representatives, including the manager with responsibility for the project oversight.
  - Other appropriate executive management.
  - Others, depending on the nature of the project or work, e.g., maintenance, information systems, technical services, and operations staff.
- Make sure lists of lessons learned are process-oriented and are directed toward improving the work process, not individual performance.
- Make sure feedback is constructive.
- Describe specific behavior and its effect.

- Be non-judgmental.
- Identify actions and behaviors that would be more effective.
- Recognize positive contributions.

Debriefing Process Alternative A

Have groups of 6-10 people answer the following questions and consolidate responses for all the groups. You may want to consider the commonality or strength of agreement on the responses. Select questions from the following or develop your own questions. Open-ended questions usually elicit the best responses.

- What worked best on the project or activity?
- What could have been better on the project or activity?
- How can we improve the methodology to better assist in the successful completion of future projects or work activities?
- What parts of the project or work resulted in meeting the specified requirements and goals? What helped assure these results?
- What parts did not meet specifications and goals? What could have been done to ensure that these were met?
- How satisfied was the customer(s) with results? What was particularly good? What could have been done to improve customer satisfaction?
- Were cost budgets met? Why or why not?   What helped or hindered staying within budget?
- What contributed to the schedule being met? What hindered it?
- What appropriate risks were identified and mitigated? What additional risks should have been identified and/or what additional actions should have been taken to mitigate risks?
- What communications were appropriate and helpful? What additional communications would have been helpful?
- How did the project or activity management methodology work? What worked particularly well? What could have been done to improve it?
- What procedures were particularly helpful in producing deliverables? What could have been improved? How could processes could be improved or streamlined?

Debriefing Process Alternative B

- Develop, post, and use a list of 8-10 items or objectives considered most important for success. The team leader or work unit leader and facilitator could develop this list ahead of time or with participants at the beginning of the session. Possible items to help keep the discussions focused include:
    - Customer expectations are met
    - All specifications are achieved
    - Completed on time
    - Completed within budget
    - Return on investment achieved
    - Organizational goals are met
    - Positive experience for project or workgroup members

- Identify how well these items were accomplished (fell short, met, exceeded expectations)
- Identify actions that contributed to or hindered the accomplishment of each of these objectives. See below for a possible meeting notes template. [Link to possible template for Alternative B.]

Debriefing Process Alternative C

- Identify 8-10 major strategies, activities, or processes that helped the project or work unit and 8-10 major problems encountered during the project or activity and what could be done to address or prevent the problems in the future.
- *Responsibilities:*
    - Project or work unit manager:
        - Make all arrangements.
        - Ensure right people are present.
        - Make sure necessary materials and documentation are available.
        - Communicate results to the right people throughout the organization.
    - Facilitator:
        - Typical facilitation responsibilities.

Role of surveys

Surveys can also be used instead of or to supplement a meeting.

- Consider getting professional assistance in developing and administering a survey to a large group or to people outside the organization .
- The survey could be written questionnaires which could be mailed or administered during a meeting.
- Consider how it should be administered and to whom (sponsor, team or workgroup, customer representatives, consumers and/or other stakeholders).
- Goals:
    - Review product delivered against baseline requirements and specifications.
    - Determine how well the needs of the customer have been met.
    - Determine whether the product or service was delivered effectively and efficiently.
    - Determine what could be improved.

LESSONS LEARNED

Project Name or Work Unit: **Date:**
Division/Bureau/Unit: **Sponsor Name:**
Project or Work Unit Manager: **Facilitator:**
Project Team or Work Unit Members:

Objective: Customer expectations are met	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: All specifications are achieved	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: Completed on time	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: Completed within budget	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective:	**How well we did**		

<table>
<tr><td>Return on investment achieved</td><td>☐ Fell Short of Expectations</td><td>☐ Met Expectations</td><td>☐ Exceeded Expectations</td></tr>
<tr><td colspan="4">Explanation (What helped/what hindered?):</td></tr>
<tr><td rowspan="2">Objective:
Organizational goals met</td><td colspan="3">How well we did</td></tr>
<tr><td>☐ Fell Short of Expectations</td><td>☐ Met Expectations</td><td>☐ Exceeded Expectations</td></tr>
<tr><td colspan="4">Explanation (What helped/what hindered?):</td></tr>
<tr><td rowspan="2">Objective:
Positive experience for project team or work unit</td><td colspan="3">How well we did</td></tr>
<tr><td>☐ Fell Short of Expectations</td><td>☐ Met Expectations</td><td>☐ Exceeded Expectations</td></tr>
<tr><td colspan="4">Explanation (What helped/what hindered?):</td></tr>
<tr><td rowspan="2">Objective:</td><td colspan="3">How well we did</td></tr>
<tr><td>☐ Fell Short of Expectations</td><td>☐ Met Expectations</td><td>☐ Exceeded Expectations</td></tr>
<tr><td colspan="4">Explanation (What helped/what hindered?):</td></tr>
</table>

Use additional sheets for more objectives/areas.

ON-THE-JOB TRAINING (OJT)

Definition

On-the-job training is any kind of instruction that takes place at the actual job site and involves learning tasks, skills, or procedures in a hands-on manner. It can be informal, such as when a person asks a co-worker to show how to perform a task, or part of a more formal structured OJT system. If part of a structured system, there are usually prescribed procedures for training that specify the tasks and skills to be learned and that sequence the activities to build on knowledge already acquired. There are also administrative processes requiring both trainer (sometimes called a coach) and trainee to certify that a particular task or skill has been mastered. Structured OJT is usually more effective than informal; however, informal can also be valuable.

Benefits

On-the-job training can be very effective because someone skilled in performing the tasks does the training (the coach). With training done on the actual job site, it may not reduce productivity as much as taking a person off site to a classroom setting.

The cost is usually the coach's and employee's time. If a more structured approach is being taken, there are costs associated with training coaches and developing checklists and other materials. However, those costs can be amortized over time and over the number of trainees who use them.

Obstacles

Sometimes informal OJT can be a problem if the training objectives are not clearly stated and understood. If the training is presented in an off-the-cuff manner, it might not be taken seriously enough. Also if the person doing the training is not adequately prepared, the training could be confusing and the time wasted.

When to Use

Consider the following when deciding whether to use structured OJT:

- When equipment and/or materials needed to perform the job are not replicable in a classroom environment.
- When instruction needs to take place in small chunks so that taking the person away from the job site is not an efficient use of time.
- When the number of people needing instruction is too small to efficiently organize a classroom session.
- When showing someone how to do something using real work is the most effective way of teaching.

How to Use

One-on-one training should not be presented in a vacuum, but as part of an overall training program that might include some classroom instruction, job aids (e.g., check lists - see Job Aids, page 32), manuals, and demonstrations.

A. Preparation

- ☐ Analyze the job to figure out the best way to teach.
- ☐ Make a list of the tasks and associated knowledge and skills.
- ☐ Break the job tasks into steps and note the key factors that relate to each step.

B. Present the process

- ☐ Put the employee at ease.
- ☐ Find out what the employee already knows about the job.
- ☐ Tell the employee the importance of the job or task and how it fits into the larger picture of what the employee does.
- ☐ Show the employee how to perform the task and describe what you are doing.
- ☐ Stress the key points and use appropriate job aids.
- ☐ Completely instruct one point at a time, at a rate slow enough for the employee to understand.

C. Test the performance

- ☐ Have the employee perform the job while you observe.
- ☐ Have the employee show you how he or she does each step of the job and describe what is being done.
- ☐ Ask questions and offer advice.
- ☐ Continue until you are satisfied that the employee knows the job or task(s).

D. Follow up

- ☐ Tell the employee who to go to for help.
- ☐ Check on the employee as often as you feel necessary.
- ☐ Encourage questions.
- ☐ Have employee perform independently with normal supervision.

Resources

Broadwell, Martin M., *Supervisor and On-the-Job Training,* 3rd Ed., Addison-Wesley, Reading, MA 1986.

Levine, Charles I., "On-the-Job Training," *American Society of Training and Development Info-line,* Issue #9708, August 1997.

STORYTELLING

Definition

Storytelling uses anecdotal examples to illustrate a point and effectively transfer knowledge. There are two types:

- Organizational stories (business anecdotes) are narratives of management or employee actions, employee interactions, or other intra-organizational events that are communicated within the organization, either formally or informally.
- Future scenarios create a future vision for the enterprise that describes how life will be different once a particular initiative, change, etc. is fully implemented. They provide a qualitative way of describing the value of the initiative even before it starts.

Benefits

- Stories capture context, which gives them meaning and makes them powerful.
- We are used to stories. They are natural, easy, entertaining, and energizing.
- Stories help us make sense of things. They can help us understand complexity and assist us in seeing our organizations and ourselves in a different light.
- Stories are easy to remember. People will remember a story more easily than a recitation of facts.
- Stories are non-adversarial and non-hierarchical.
- Stories engage our feelings and our minds and are, therefore, more powerful than using logic alone. They complement abstract analysis.
- Stories help listeners see similarities with their own backgrounds, contexts, fields of experience, etc., and, therefore, help them to see the relevancy of their own situations.
- Stories can be a powerful transformational tool. Stories of transformation were coined “springboard stories” by Stephen Denning.

Obstacles

Stories are only as good as the underlying idea being conveyed. Since stories are usually orally presented, the person telling the story must have good presentation skills.

When to Use

Stories are seldom used alone, but rather they are combined with other approaches such as quantitative analysis, best practices, knowledge audits, etc. They impart meaning and context to ideas, facts, and other kinds of knowledge derived from other knowledge management tools.

Stories can be used to support decision making, aid communications, engage buy-in, or market an idea or approach. If being used to illustrate the value of a way of thinking, or explaining an idea, they are best used at the outset, to engage the listener and generate buy-in.

How to Use

In using storytelling, the message, plot, and characters must be considered. Determine what underlying message is to be conveyed (examples: importance of organizational goals, impact on an individual of a change effort, end-benefits associated with a change effort, how a process works, and so on). How does the story illustrate the underlying message (plot)? Who was involved in the story (characters)?

Think about the audience for the story. To whom is the story aimed? What will each audience listening to the story do with the story's message? What message will be told to each audience? How do we tell each desired story?

Four different structures for using stories have been developed (from *The Springboard*, by Stephen Denning):

- Open with the springboard story, and then draw out its implications.
- Tell a succession of stories. The telling of multiple stories can help enhance the chances that the audience will co-create the follow-up. Two examples: You want to describe the benefits of a proposed change effort. Tell a story that only partly serves your purpose, and then extrapolate with an anecdote (e.g., a future scenario) that describes how the story will play out when the change effort is fully in place. Or, tell a series of related stories that, taken together, illustrate various ways in which the change effort is leading to payoffs for colleagues.
- Accentuate the problem. Start with describing the nature of a problem, tell the story, and draw out the implications.
- Simply tell the story. This is useful when time is very limited and you want to plant a seed.

The story should:

- Be relatively brief and have only enough detail for the audience to understand it. Too much detail and the listener gets caught up in the explicit story and not its message.
- Be intelligible to a specific audience so it hooks them. It must be relevant to them.
- Be inherently interesting, maybe because the problem presented is difficult, the "old" way of resolving the problem won't work, there is tension between characters in the story, there are unexpected events, or an element of strangeness exists.
- Embody the idea you are trying to convey and provide an easy mental leap from the "facts" of the story to its underlying message.
- Have a positive ending, to avoid people being caught up in a negative, skeptical frame of mind.

- Have an implicit change message, especially if the audience is skeptical or resistant, since the audience can then discover the change message on their own and, therefore, make it their own idea.
- Feature a protagonist with which the audience can identify.
- Deal with a specific individual or organization.
- Have a protagonist who is typical of the organization and its main business.

True stories are generally more powerful than invented stories, and can serve as jumping off points for future scenario stories. Stories should be tested on individuals or small groups before being tried on large groups or in high-risk settings.

The stories must be simple, brief, and concise. They should represent the perspective of one or two people in a situation typical of the organization's business, so that the explicit story is familiar to the audience. Similarly, the story should be plausible; it must ring true for the listener. It needs to be alive and exciting, not vague and abstract. By containing a strange or incongruous aspect, the listener can be helped to visualize a new way of thinking or behaving. Stories, therefore, should be used to help listeners extrapolate from the narrative to their own situations.

Finally, storytellers must believe in the story (own it) and tell it with conviction. Otherwise, the audience will not accept it.

Resources

Denning, Stephen, The *Springboard: How Storytelling Ignites Action in Knowledge-Era Organizations,* Butterworth-Heinemann, Woburn, MA, 2001.

Metrics Guide for Knowledge Management Initiatives, United States Department of the Navy Chief Information Officer, August 2001. <http://www.don-imit.navy.mil/tools_and_downloads.asp?type=project&recID=17>(PDF for downloading) (Note: This document may not be accessible to the visually impaired.) (Accessed 11/21/02)

Poage, James L., "Designing Performance Measures to Tell a Story: Applying Knowledge Management Principles," presented to the Federal CIO Council, Knowledge Management Working Group, November 1, 2000. <http://www.km.gov/documents/measures/measures.ppt> (Accessed 11/21/02)

APPENDIX A: BUILDING KNOWLEDGE MANAGEMENT MEASURES USING THE NAVY'S APPROACH

The Navy defines three different kinds of KM metrics (Metrics Guide, pg. 5).

Outcome metrics concern the impact of the KM project or initiative on the overall organization. They measure large-scale characteristics such as increased productivity.

Output metrics measure characteristics at the project or task level, such as the effectiveness of lessons learned information to future operations.

System metrics monitor the usefulness and responsiveness of supporting technology tools.

Measures should be actionable, providing a basis for making decisions, changing behavior, or taking action. Organizations should take care to develop a manageable and useful number of measures and assess the value of these measures to stakeholders. You do not have to measure everything – at some point it becomes overkill to do so.

The Navy developed a series of questions to guide its staff in defining, choosing and using performance metrics for KM initiatives (Metrics Guide, pg. 5):

1. What is the business objective? (Done prior to starting metrics)
2. What KM methods and tools will we use? (Done prior to starting metrics)
3. Who are the stakeholders and what do they need to know?
4. Which framework is best?
5. What should we measure?
6. How should we collect and analyze the measures?
7. What do the measures tell us and how should we change?

The first two questions have to do with project design. They are crucial to designing an effective approach to measuring success. Since the purpose of KM initiatives is to help an organization achieve its goals, a KM project must have a specific business objective. Metrics naturally flow from this objective.

Your choice of KM methods and tools is based on their perceived efficacy in meeting the business objectives of the project. Different KM methods and tools will be appropriate to different kinds of objectives. If, for example, your goal is to develop an experts' database to supply technical assistance to an operational program, it is unlikely you would establish an apprenticeship to do so. A particular type of KM tool will lend itself to particular kinds of performance measures. The effectiveness of a computerized experts' database (an outcome metric) might be measured by the number of "hits" it receives, or by anecdotal information on the usefulness of the database to a random selection of users.

The remaining five questions help to refine the process for choosing performance metrics.

Who are the stakeholders and what do they need to know?
(Metrics Guide, p.13)

It is important to identify who will use the performance measurement information. In conjunction with defining the business objective and KM methods up front, start developing a preliminary list of primary stakeholders. Brainstorm a list of all possible audiences for the measure. Then reduce the list to the critical audience. Avoid including so many people that it becomes too difficult to address all of their concerns and needs.

After preparing the final stakeholder list, determine their most important questions and the decisions they will make. This allows you to identify what information they need from the measures.

Which framework is best? (Metrics Guide, p. 14)

One of the key findings of the National Performance Review study of Best Practices in Performance Measurements is that metrics must be aligned with project objectives and organizational goals. A clear and cohesive conceptual framework helps to show the relationship among objectives, KM tools used, and measures. There are many ways to construct a framework. Descriptions of two frameworks follow. For information on other frameworks, consult one of the reference sources below.

- Flow diagrams can trace KM activities to impacts and related measures and can indicate how KM initiatives produce benefits. In the example below, the KM action is to establish a virtual community of practice (CoP). This produces an impact on the workgroup's process through the exchange of knowledge. The CoP process can be measured by its effect on participants, but to determine if the CoP was successful in meeting the business objectives of the initiative, desired end results must be delineated and measures designed to monitor them.

  See figure 3 on page 15 of http://www.don-imit.navy.mil/contentDownload.asp?theID=10292001SCA5524205

- Balanced scorecards combine financial measures with organizational measures. A traditional balanced scorecard integrates four related perspectives: those of customers, the workgroup (internal perspective), learning and growth, and financial. All four are linked to business objectives.

  See figure 5 on page 18 of http://www.don-imit.navy.mil/contentDownload.asp?theID=10292001SCA5524205

What should be measured? (Metrics Guide, p. 19)

The most important characteristic to consider when choosing or defining a KM performance measure is whether the metric tells if knowledge is being shared and used, and if use of the information improved operational efficiency or quality.

The American Productivity and Quality Center, in its report on “Measurement for Knowledge Management,” indicates that your choice of metric also depends on where you are in the lifecycle of the KM initiative. Each project goes through four phases: pre-planning, start-up, pilot project, and growth and expansion. In the **pre-planning phase**, you focus on process and risk analysis, strategy development, and projecting results. In the **start-up phase**, you want to generate interest and support for the KM initiative; so, you look for measures that indicate whether people are convinced the initiative is worthwhile (such as anecdotes, levels of participation, etc.). The **pilot project phase** concentrates on developing evidence of success and lessons learned that could be transferred to other initiatives. More definitive measures are needed, such as changes in business costs (reduced need for support and resources), cultural changes (increased sharing among groups), and the currency and usage of collected knowledge bases. Finally, in the **growth and expansion phase**, you need measures that reflect enterprise-wide benefits (best practices, performance evaluations, etc.).

A combination of quantitative and qualitative measures is helpful. Quantitative measures provide hard data to evaluate performance between points, or to spot trends. For example, you might measure the increase in the number of people accessing a particular knowledge database. Qualitative measures provide context and meaning for quantitative measures. Anecdotes about how knowledge gained from the database helped to solve a critical problem illustrate the impact of the database on the organization’s work products.

How should we collect and analyze the measures? (Metrics Guide, p. 23)

As you identify the measures you will use, you will also need to develop a process for collecting the data. These can include automated data collection systems, manual counts, estimates or surveys, interviews, focus groups, agency/organization documents, observing meetings, etc.

Once data have been collected, they should be analyzed within the framework chosen to ensure that they are correlated with the objectives of the initiative and aligned with business goals. It should be noted whether the measures are direct or indirect indicators of effects to avoid having the team and stakeholders misconstrue the results or have unrealistic expectations of performance.

What do the measures tell us and how should we change?
(Metrics Guide, pg. 25)

Ask why you had a particular result and look for ways to improve the KM project. Go back to the original plans and assumptions to see if they need to be modified and then build consensus on what should be changed, how to change it, and when to introduce the changes. Finally, update the measures and framework to make sure they are tightly coupled to the new KM plans.

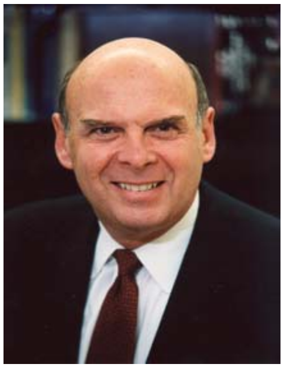
To give you an idea of the kinds of metrics you might employ, see pages 67-68 in the Metrics Guide. (Please note: These examples include KM strategies that are technological in nature, like web portals, which were outside the scope of this study.)

References:

Hartz, Cynthia, et. al., “Measurement for Knowledge Management," *American Productivity and Quality Center Organization*, February 2001, cited in *Metrics Guide for Knowledge Management Initiatives,* United States Department of the Navy Chief Information Officer, August 2001, p. 19.

Metrics Guide for Knowledge Management Initiatives, United States Department of the Navy Chief Information Officer, August 2001. <http://www.don-imit.navy.mil/tools_and_downloads.asp?type=project&recID=17>(PDF for downloading) (Note: This document may not be accessible to the visually impaired.) (Accessed 11/21/02)

Serving the American Public: Best Practices in Performance Measurements, National Performance Review, 1997, cited in *Metrics Guide for Knowledge Management Initiatives,* United States Department of the Navy Chief Information Officer, August 2001, p. 8.



To All Tax Employees:

Welcome to TaXpo! This event is an opportunity for us to celebrate our successes and learn more about each other. I invite each and everyone of you to see what we do; find out who we are; and to ask questions!!

TaXpo is the result of the efforts of many of your colleagues. I extend my sincere thanks to the TaXpo Design Team and Project Team for their work in creating this event. Thanks to those of you who created and staffed the more than seventy-five booths. Thanks to those of you who opened up your workplace for tours because your fellow employees asked to see what you do. Thanks to the artists and performers who set the scene and mood of TaXpo. And thanks to former Commissioner Urbach who had the vision to change the way we work.

TaXpo is for you. At the 1997 and 1998 Strategic Planning Conferences, you made it clear to us that you wanted:

- training to be more effective;
- tools to be more efficient; and,
- a better understanding of how the department works so that together you could do your jobs better.

I hope when you leave TaXpo today, you are as proud of what we can do as I am. I hope you share the knowledge you've gained with your co-workers who were unable to attend TaXpo. I hope at least one thing you saw here today will spark an idea which you and your team can implement back at your work site. I can only imagine what the future of Taxation and Finance will be when all of our ideas become reality.

Sincerely,

Arthur J. Roth
Commissioner

TaXpo

Association of State Tax Examiners (ASTE)

"The Association of State Tax Examiners, Inc.'s purpose is to protect and advance the interests and welfare of its members to maintain and promote professional standards of conduct, knowledge and proficiency and to aid in efforts to improve tax administration and procedure."

Kathleen Sheridan
Margaret Gardner
Michael Bond
Judy Clark
John Shiely
Geraldine Werking
Jacqueline Bender
Carol Ambuhl
Ross Izzo
Joyce Smolinsky
Katherine Caywood
Linda Goot
Alan Tamaroff
Christine Mondore
Sharon Drosky

Audit Division - Corporation Tax Bureau

"The Corporation Tax Bureau's booth shows the Department who we are, how our work gets done and what our products are. Our Booth's focus is on how other departmental areas can work with us in delivering better products and services."

Al Dashnaw
Bonnim Tanzman
Sean Dunleavy
Cherry Conover
Dawn D'Arcangelo
Jennifer LeBlanc
Jim Fortune
Terry O'Neil
Wendy Nelson
Brian Haas
Jean Karins
Karen McWilliams

Audit Division - Income Tax Bureau

"Did you ever see an income tax case on the system and wonder what the adjustments were? Come visit us at the Income Tax booth where Desk Audit and Field Audit Management will answer this and many more burning questions."

Richard Arnold
Jane Casillo
Margaret Blais
Lisa Porpa
Joanne Irish
Geri Bielecki
Neal Moore
Christine Kilmartin
Mary Walsh
George Mata
Marianna Denier
Angela Pettes
Brian Kirschenbaum
Mary Colatosti
Lisa Rullo
Charlene Donald
Mike Nead
Ken Stewart

Audit Division - Sales Tax Bureau

"Come visit the Sales Tax Audit Bureau booth. Our booth contains entertaining and informative exhibits, both inside and out, that provide TaXpo visitors with a better understanding of the many functions of the bureau. Our exhibit may even talk to you about what is taxable and what is non-taxable. You may participate in a team challenge or just peruse our booth to learn more about how we select audits, where sales tax audit revenues are distributed, and the special projects we undertake to collect use tax."

Joe Macchio
Robert Murray
Holly Jennings
Stephen Doud
Robert Pilatzke
Megan Lawrence
Diane Binck
Rosemarie Corigliano

Descriptions about the following booths were also included in the brochure:

Audit Division - TTTB
Binghamton District Office
Buffalo District Office
Bureau of Fiscal Services (BFS) Bureau of Internal Audit and Quality Control
Bureau of Conciliation and Mediation Services (BCMS)
Capital Region District Office

Chicago District Office
CISA Advisory Board
Commissioner
Communications/Legislative Affairs/Business Ambassador/Peak Hiring
Compliance and Audit
Systems Division (CASD)
CPA Advisory Committee
CSEA
Dragon Speaks Naturally
Employee Assistance Program (EAP)
Electronic Value Transfer (EVT)
General Services Available on Notes/Intranet
Information Systems Management (ISM)
Internal Affairs
Internet in DTF
IPA Interface
IRS/Disclosure
Management Services Bureau (MSB)
Manhattan District Office
Metropolitan District Office
Nassau District Office
New York City Finance
Office of Counsel (OOC)
Office of Tax Enforcement - (PATB)
Office of Tax Enforcement - Revenue Crimes Bureau (RCB)
Office of Tax Policy Analysis (OTPA)
One-Stop for Commercial Vehicles
Operations Support Bureau (OSB)
PEF
PIT Protest
Processing Division
Queens District Office
Rochester District Office
SMARRT Group
Suffolk District Office
Syracuse District Office
Tax Compliance Division -Call Center
Tax Compliance Division -Field Services
Tax Compliance Division -Special Collections
Tax Processing Managers Association
TaXpo Future

TaXpo on the Intranet
TaXpo Slide Presentation
Tours Sign-up
TQM Best Practice
TQM Communication
TQM General/Classes
TQM Rewards and Recognition
TQM Tools & Resources
TQM Training
Treasury
Utica District Office
Westchester District Office

For additional information, please contact Deb Dammer, Director of Human Resource Management, NYS Department of Taxation and Finance, phone 457-2786 or Deborah_Dammer@tax.state.ny.us

Thruway Authority/Canal Corporation

Total Quality ManagementYQuality of Work LifeYCustomer ServiceYRecognitionY EmpowermentYthey all go hand in hand. The Thruway Authority/Canal Corporation has embraced this philosophy over the past six years. They used a Strategic Business Planning process to develop their mission statement and values which reflected this philosophy. A Quality Office was organized to facilitate the acclimation of the organization to this philosophy and the techniques involved in implementing it.

Their booth will highlight their quality improvement projects, customer satisfaction surveys, performance measurements, mission statement and values posters, Employee Recognition Day Picnics, Employee Wall of Fame and Quality Program Video.

Governor=s Office of Employee Relations

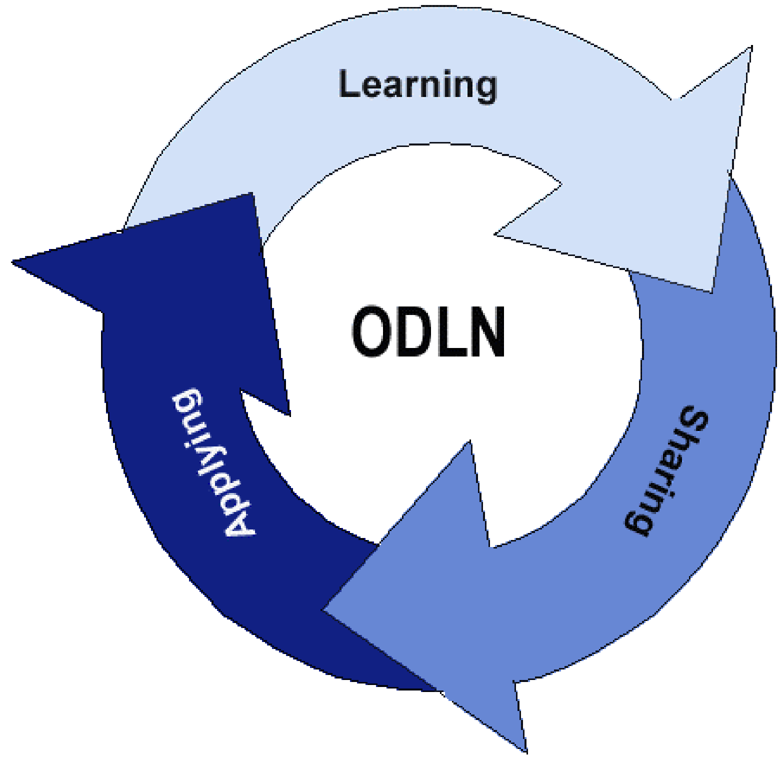
GOER provides consulting and training services to other state agencies through a combination of its own staff and external consultants. The GOER booth will feature information about the 58 firms on contract who are available to work with agencies on projects. The process of using one of these consultants is simpler than the standard Request for Proposal (RFP) process while still offering a wide variety of choices.

Their booth will also include information on activities which contribute to networking and information sharing across agencies, such as the ODLN and the interagency Recognition Network, which has been meeting quarterly to share information on the various employee recognition efforts going on in the agencies. There will also be information on the statewide GOER Work Force Champion Award program, GOER=s Facilitator Exchange and their Facilitator Development training programs.

Organization Development Learning Network

Share Fair 2000

Monday, October 23, 2000



Sponsored by the NYS Governor's Office of Employee Relations

Department of Transportation

Smarter & Faster - NYSDOT will share examples of how they plan their work and are empowered to work their plan through the Department=s strategic planning process. Program groups will share information about interesting technologies and innovative processes, with special emphasis on those that link with the Department=s strategic initiatives, values, priorities and key result areas: public involvement, public sector partnerships, economic development and continuous improvement. Accompanying program staff will also be in attendance to answer questions.

Presentations will include:

- How DOT is Thinking Beyond the Pavement: *Environmental Initiative*
- How DOT is Communicating with Customers & Stakeholders: *Context Sensitive Design*
- How DOT Partners with other Agencies to Promote Economic Growth: *High Speed Rail*

In addition, DOT will provide information on agency-wide programs such as Rewards and Recognition Programs and Teambuilding Training that are designed to support and enhance such initiatives.

Health Department

Organization Capacity is a strategic priority area in the Health Department's strategic plan. DOH will display its organization development program and its approach to building capacity. Leaders of the agency's organization development work will be available to speak with you about:

- Strategic Planning
- Performance Planning, Measurement, and reporting (computerized database demonstration)
- Communication
- Employee Satisfaction
- Customer Satisfaction
- Skills Development and Management
- Quality, Efficiency, and Effectiveness

Several presentations on these topics will be available for viewing. Handouts describing DOH=s programs and accomplishments, current activities, and planned activities will also be available.

Office of General Services

The OGS booth will include information about recent efforts to improve their agency=s overall effectiveness through strategic planning, performance measurement, customer service practices, and enhanced recognition for and development of employees. Examples of their strategic plan will be available along with information about how the plan was developed, deployed, and updated. All OGS business units now track and report on key performance measures on a regular basis. Information will be available about how this process was developed, performance reporting, and current efforts to build an integrated, enterprise-wide view of performance using special software. The booth will also showcase a variety of means that OGS is using to collect and respond to feedback from customers, including a customer comment card system. Information about changes in OGS= human resource management practices, consistent with its strategic plan, will also be available.

Department of Taxation and Finance

Tax will focus on their strategic planning, performance measurement, team based decision making and customer perception initiatives. They will share the processes used, accomplishments to date, lessons learned and challenges in these initiatives. They will also demonstrate their web sites for their strategic plan and total quality initiative and share informational handouts on other total quality efforts.

State Education Department

Since the early 1990's, SED has worked to incorporate the concepts of customer service, process improvement, and teamwork into the workplace. During the last five years, SED has brought greater focus to these efforts through its agency-wide strategic planning process, development of performance measures, investments in technology, and a leadership commitment to accountability for results.

SED will share their results and what they are doing to get these results: in K-12 and higher education; in professional licensing and discipline; in museums, archives and libraries; and in services provided to individuals with disabilities. Information will be available about their:

- Strategic planning process
- Approach to measuring performance
- Results of several process improvement teams
- Strategies to promote accountability
- Customer service initiatives

APPENDIX E: WORKGROUP MEMBERS

Tricia Casella-Evans	Department of Civil Service
Joe Hilton	Office of the State Comptroller
Nancy Kiyonaga	Department of Civil Service
Gen Lentlie	Department of Transportation (Retired)
Janice Nissen	Department of Public Service
Judy Thomson, Leader	Office of the State Comptroller
Deborah Berg, Facilitator	Governor’s Office of Employee Relations

APPENDIX F: OVERVIEW OF THE WORKGROUPS

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (http://www.goer.state.ny.us/workforce or http://www.cs.state.ny.us/workforce) as they are completed. In addition to Knowledge Management/Transfer, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Competencies
- Staff Development
- Mentoring
- Management Mobility

Workforce and Succession Planning

Why Knowledge Management/Transfer

As public organizations prepare for the potential mass departure of valuable staff, they are looking toward preserving the knowledge that these seasoned employees have amassed. Organizations have been downsizing through hiring freezes, retirements, and other turnover. The employees left behind, meanwhile, are bombarded with more information, as well as rapid changes in processes and technology, compounded by having fewer people to handle the load. Another effect of a reduced workforce is a smaller pool of knowledge and expertise. Thus, managing and exploiting that knowledge becomes paramount.

Growth in the volume of information available and rapid technological progress has forced most people into a state of information overload. This has left organizations scrambling to create systems for acquiring, retaining, and accessing an overwhelming volume of data. Added to this is the demand for highly specialized knowledge that is often difficult to find and retain. Knowledge management is one method for ensuring that years of accumulated wisdom do not leave the organization once the employee retires or moves on. The challenge is to create an atmosphere that fosters knowledge sharing, while simultaneously underscoring that transferring knowledge is a way for employees to leave a legacy that will ultimately help the organization long after they leave.

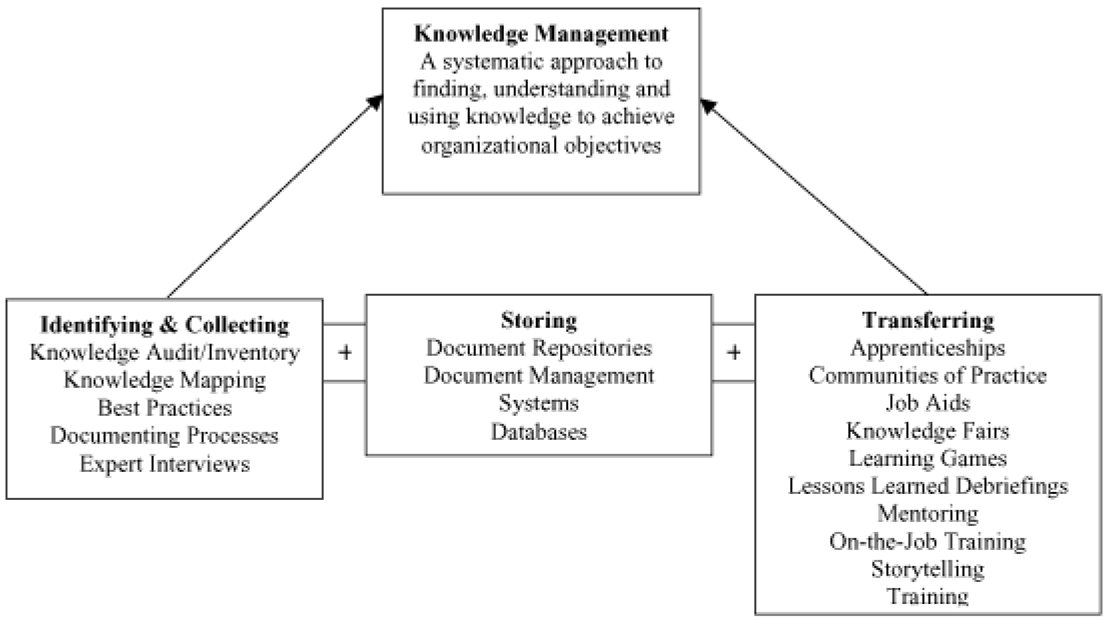
Many of us do not think in terms of managing or transferring knowledge, yet we all do it. Each of us is a personal store of knowledge gained from our experiences, training, and informal networks of friends and business acquaintances that we seek out when we want to solve a problem or explore an opportunity. Essentially, we get things done and succeed by knowing an answer or how to find an answer, or knowing someone who can. Until relatively recently, sharing or absorbing knowledge was considered a personal endeavor. Now organizations are discovering that managing knowledge and ensuring its transfer creates value by compounding its use to increase productivity and innovation. As New York State prepares for the departure of "baby boomers" and recognizes that staff change jobs and careers more frequently than in the past, knowledge management and knowledge transfer are becoming more important.

Generally speaking, the term "knowledge management" (KM) represents a broader concept, and is thought of as a system for finding, understanding, and using knowledge to achieve organizational objectives. It is more than simply moving or transferring files and data from one employee (or department) to another. KM allows others to build upon a person's life experience in a way that strengthens not only the employee, but the organization as a whole. "Knowledge transfer" (KT) describes the actual movement of knowledge from one individual to another.

Organizations that effectively manage knowledge claim higher rates of productivity. They use greater access to employees' knowledge to make better decisions, streamline processes, reduce re-work, increase innovation, have higher data integrity, and have greater collaboration. The result is reduced cost of operations and improved customer service. Managing knowledge is especially helpful for large organizations where geographical and functional distances inhibit workers from knowing and benefiting from the work of others.

The fields of knowledge management and knowledge transfer are rapidly evolving. Definitions, approaches, and methodologies are being refined all the time. The information presented here represents the workgroup's understanding to date. Keep in mind that much of what is presented can be integrated into existing programs and efforts. It is not necessary to institute a large-scale organization wide KM program to begin to manage and transfer knowledge.

The diagram below represents our view of how knowledge transfer and the overall field of knowledge management fit together. Information on each of the strategies listed in the boxes is in this report or will be added as understanding increases and as readers share their perspectives and strategies.



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Department of Civil Service

Procedure for Downloading On-Line Reports in NYSTEP

NOTE: The following procedure describes the process for downloading on-line reports in NYSTEP. Some of these steps require use of a mouse. NYSTEP users who need assistance with the downloading process should contact the Department of Civil Service Help Desk (518-457-5406) and we will make special arrangements to ensure that downloaded data is made available on an ad hoc basis.

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. Here's the step-by-step procedure for downloading an On-Line report.

Note: The following section is addressed to HR staff that has NYSTEP access and is generally familiar with running reports in NYSTEP. If you are a 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.

1. When a NYSTEP Report is completed, the Crystal Reports window appears. Users select the Export File icon located in the Crystal Report toolbar in order to initiate the report download.
2. After users select the Export Option a dialog box appears. In this dialog users select from a drop-down menu the file format that they will use for exporting the report (e.g., Excel, Lotus). After making their choice users select the enter key to proceed to the next step.
3. Users select the name, location, and file format of the exported report using the Choose Export File panel. In the panel users perform the following steps using drop down menus:

   A. Choose Drive **-** In order to export reports users must choose to download their report to the V drive at this point.

   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.

   B. Choose File Directory - the user confirms the directory on their local drive where the report will be saved (e.g., V \:My Documents).

   C. File Name - the user creates a name for the file that they are about to create.

   D. File Type **-** the user confirms the file format that they want to use for exporting the report (e.g., Excel or Lotus).

   The user selects the Enter key after they have made their choices in the Choose Export

File panel.

4. The Export process is initiated. The download can be stopped prior to completion by selecting the enter key.

5. When the export is completed, users can pick up their downloaded report by going to their own C drive and searching for the file in their hard drive Directory.

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Link to a downloadable PDF version of the September, 2001 edition of our planning guide, *Our Work Force Matters*.

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Our WorkForce Matters

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

EXCELSIOR

David A. Paterson, *Governor*

Originally 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.

Our Work Force Matters

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

Contents

I N T R O D U C T I O N

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

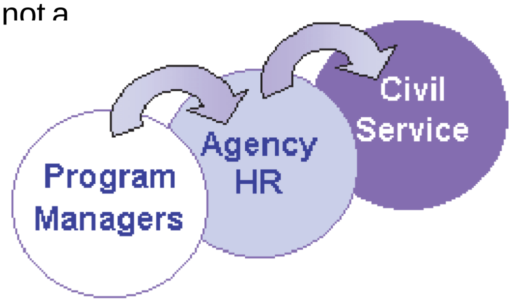
A *pessimist* sees the difficulty in every opportunity.

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.

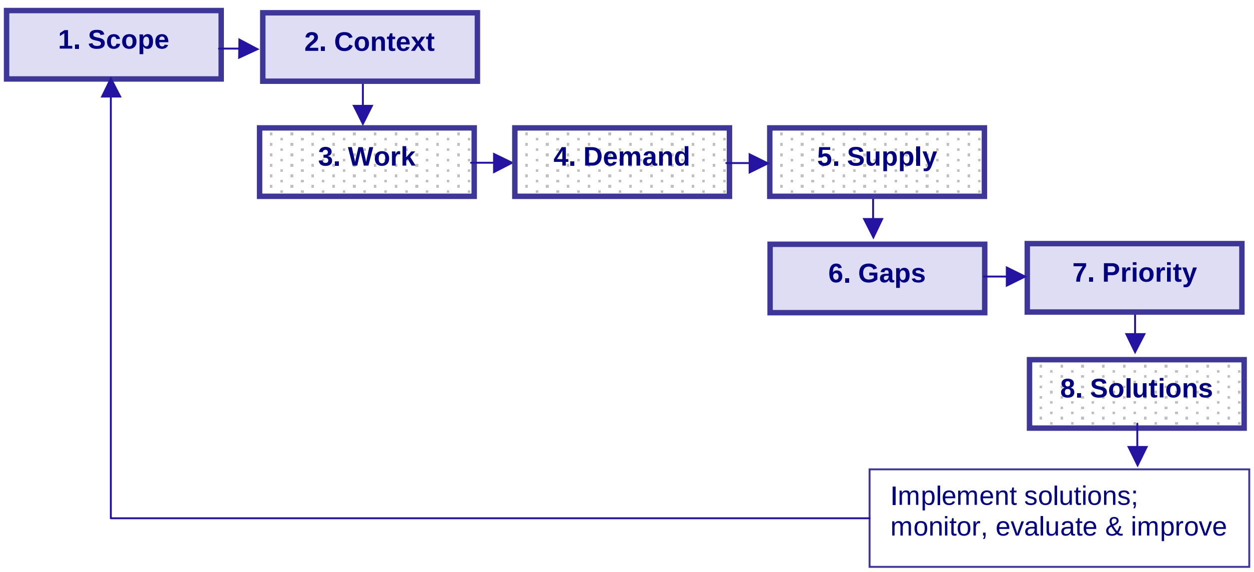
OGS met with Civil Service's Executive Deputy Commissioner, Director of C&C, Director of Civil Service Operations, and Director of the Staffing Services Division to outline the agency's Succession Management Initiative. OGS and CS agreed to work as a team on the development and implementation of strategies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

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. WORK

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. SUPPLY

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.

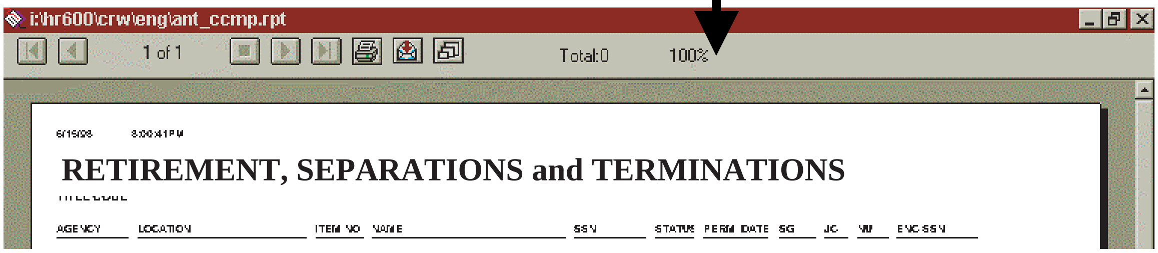
Q. The *Retirement, Separations and Terminations Report* looks interesting. I’d like to download it to my own PC to perform some additional analysis. Can I do that?

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?

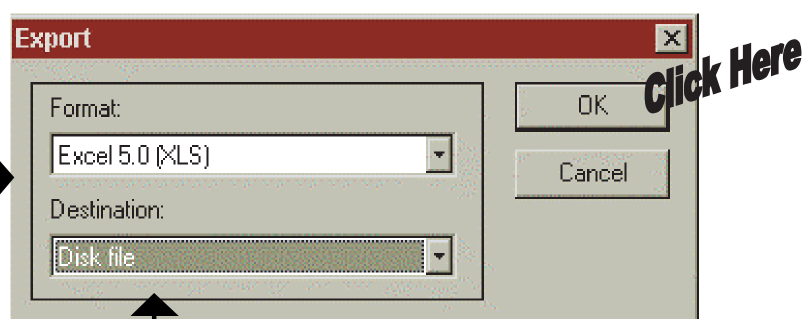
Normally when you save a document to your PC, you save it to the "C" drive. The Citrix WinFrame server, which is where NYSTEP reports are generated, recognizes the user's "C" drive and calls it a "V" drive. Therefore, the following steps are critical to successfully export an on-line report to your own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

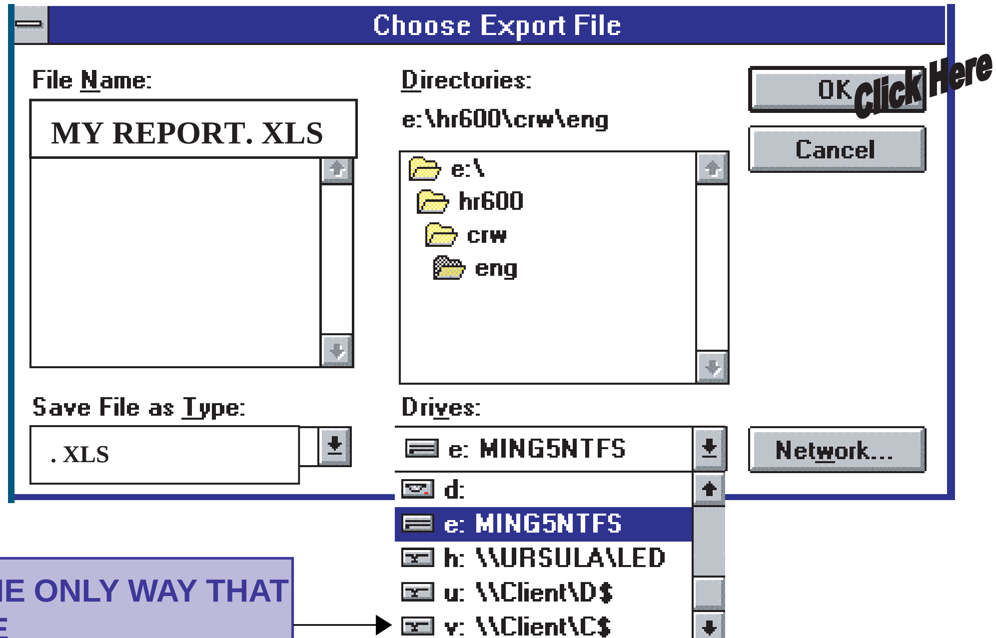
Select the  button and the following dialog will appear:

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.



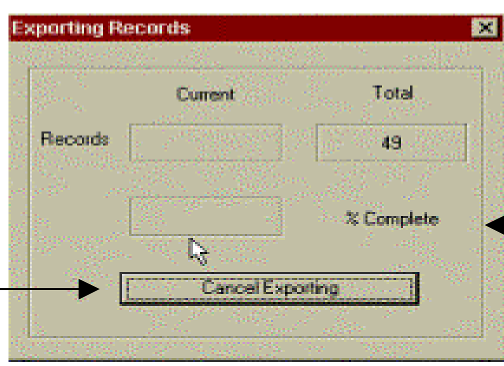
There is only one choice here. Disk file

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)
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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.

1. SCOPE

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? (See **Scope** for agency information.)

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Link to a downloadable PDF version of the September, 2001 edition of our planning guide, *Our Work Force Matters*.

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Also see [The Report of the Competencies Workgroup]

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Workforce and Succession Planning

Report of the Competencies Work Group September 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

A key ingredient in any workforce or succession planning effort is knowing the capabilities and qualities, or competencies, people need to have to be successful in their jobs. Using competencies, we can determine whether employees are prepared to move to the next level in the organization or laterally to another functional area. And if they are not prepared, competencies can help identify the training and development activities needed to prepare them.

There is a nationwide trend toward using competencies as the basis for human resource systems. A few New York State agencies are beginning to use competencies, mainly for management development. However, the area of competencies is relatively new to most agencies. The Competencies Work Group was formed in January 2002 to provide agencies with information to help them sort out whether developing competencies would be useful and, if so, to provide some guidelines on how to proceed. While this report discusses competencies generally, the emphasis is on leadership and management competencies within a succession planning context.

- Section 1 introduces the concepts of competencies and how they are used.
- Sections 2, 3, and 4 cover the specifics of developing competency models and the resources available for developing them.
- Section 5 provides step-by-step guidelines on developing and applying competencies. It includes a chart that summarizes the steps and an outline of the steps in more detail. This section can be used independently of the rest of the report.
- Section 6 discusses how one agency is developing its competencies.
- Section 7 includes links to other resources for competencies.
- Sections 8-11 cover the references, bibliography, work group membership, and acknowledgments.

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1. Basic Information on Competencies

Why Competencies?

Competencies are a critical tool in workforce and succession planning. At a minimum, they are a means to:

- Identify capabilities, attitudes, and attributes needed to meet current and future staffing needs as organizational priorities and strategies shift, and
- Focus employee development efforts to eliminate the gap between capabilities needed and those available.

With diminishing resources and increasing demands, effective development and utilization of human capital is just as critical to State agencies ' successful delivery of services as state-of-the-art technology. We need the right people with the right competencies at the right time, in conjunction with having the right systems and technology. Agencies want to be more systematic in training and developing employees. This will ensure that development efforts are better targeted to meeting agency needs, can be directly linked to results, and make more efficient use of scarce training resources. "Results" is the key word. In any enterprise, resources are invested to produce desired or expected results. In building competency models, we need to identify competencies that will improve results, making it worth investing in their development and use.

Definition of a Competency

How is a competency different from the knowledge, skills, and abilities (KSAs) most people are familiar with in our merit system? Competencies encompass KSAs but also *other characteristics* or *personal characteristics*. Here's a definition:

> A **competency** is a characteristic of an employee that contributes to successful job performance and the achievement of organizational results. These include knowledge, skills, and abilities plus other characteristics such as values, motivation, initiative, and self-control.

Civil service exams are primarily based on the KSAs for a particular job. Other factors or characteristics also contribute to job performance, as noted in the competency definition. In the context of the selection process, other relevant personal characteristics are usually evaluated during the employment interview and probationary period. KSAs plus *other* characteristics are referred to as KSAOs or KSAPs ("P" for personal characteristics). Generally, a competency can be a KSAO or a combination of KSAOs taken together. See a discussion on KSAOs and competencies in *Competencies and KSAOs*, by James Kierstead, from the Public Service Commission of Canada http://www.psc-cfp.gc.ca/research/personnel/comp_ksao_e.htm.

The definition and use of competencies vary from one organization to another. You will need to adopt a competency approach or framework that works for you. To achieve the best results, it is important to clearly define and describe the framework in use for all involved.

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Organizational Competencies

While this report focuses on **individual** competencies, **organizations** also have competencies. They are usually the result of collective individual competencies common throughout the organization. Organizational competencies have significant impact on organizational results and are worth identifying, if not developing.

Organizational competencies can include process improvement, teamwork, performance measurement, values, project management, new ways of thinking or performing, knowledge management, etc. These are built, in part, on individuals having the competency or related competencies. For example, an organizational competency of strategic planning is dependent upon managers having the skills to do the planning. In addition, the organization needs a workable planning process, skilled people assigned to coordinate the process, organizational performance measures, and systems for reporting performance data and tracking progress in meeting goals and objectives. All of these components could comprise the organizational competency of strategic planning. (1)

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How Competencies Are Used

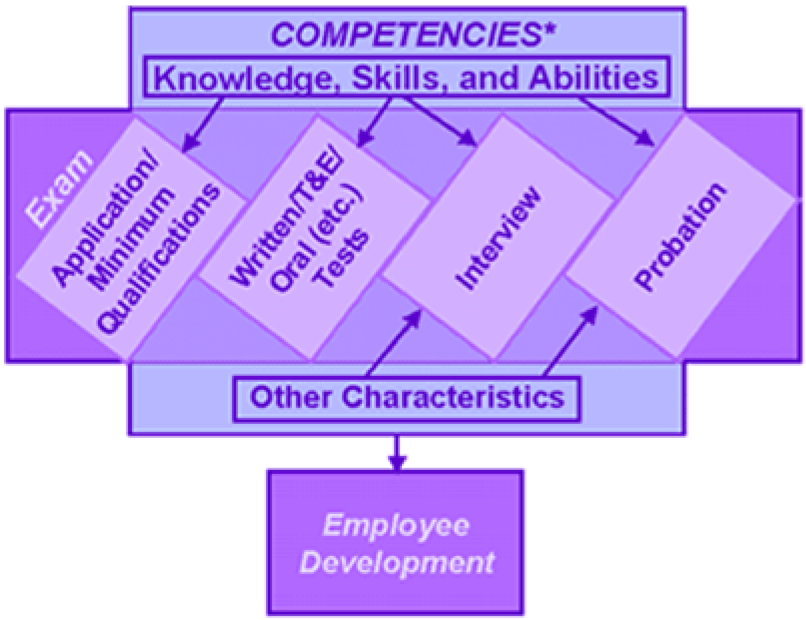
New York State government uses competencies in the following ways:

- Examinations. Under our State Constitution, laws, federal Uniform Guidelines for Employee Selection (http://www.uniformguidelines.com/) and other mandates and standards, examinations must be job-related. Job-relatedness is achieved by conducting job analyses to determine the critical KSAOs needed to perform the duties of the position.

  An examination includes a number of components or tests: the minimum qualifications; the main testing devices and types, such as written, performance and oral tests and training and experience evaluations; employment interview; and performance during probation.
- Employee training, education, and development. Competencies are used in determining and developing the training, education, and other development opportunities offered to employees.

Employee training and development is the primary reason why most agencies invest in competencies, apart from the exam process. Competencies can be used for broad-based training and development, focusing on competencies that will be useful in a wide range of jobs. They can also be used in a more focused way, within succession planning, to prepare eligible employees for a job anticipated becoming vacant within a certain period of time.

Because of the competitive nature of the civil service examination process and the legal requirements for civil service examinations, the opportunity for training and development in KSAOs that may be tested in competitive examinations needs to be made reasonably available to everyone in the promotion field. Likewise, for the same reasons, while agencies are encouraged to help employees develop competencies they will need to perform the duties of target positions, they should not provide training for employees to take specific civil service examinations.



Competencies for exams and employee development may differ for a given title.

Although it appears that we could use the same competencies for employee development and civil service examinations, this is not necessarily the case. As noted above, examinations must meet legal and professional standards of job relatedness, which means that knowledge, skills, abilities, and other characteristics are identified and used within this framework. The difference in purpose may dictate differences in format and content. Certainly, there needs to be consistency between exam KSAOs and training and development competencies. Competencies developed for one purpose may provide useful information for other purposes.

In some human resource systems, competencies are used for many or most of the components of the system, including employee selection, evaluation, training and development and even job design and compensation. The various HR subsystems are linked together by competencies. The Minnesota Department of Transportation began implementing a competency based system in 1994.

Competencies are **not** relevant to *classifying jobs* in our personnel system. New York State has a position classification system in which a job is classified according to the assigned duties and responsibilities, not the competencies possessed by the incumbent. Though job classification is not based on competencies, it is logical and appropriate to assign employees to positions within a title based on their competencies. A job class/title accommodates some variation in duties and responsibilities, as reflected in different positions within the class.

Employee evaluations in New York State government are based on tasks and expectations as specified in collective bargaining agreements which cover most employees. Evaluations provide the opportunity for supervisors and employees to identify employee training and development needs that, if met, could improve performance. Competencies used in conjunction with the evaluation process can be a useful tool in identifying training and development needs.

For more information on using competencies for employee development, see Section 5: Strategy and Guidelines for Developing and Using Competencies.

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2. Development of Competency Models

A **competency model** is a list of competencies, often organized into five or more groupings or clusters, attributable to satisfactory or exceptional employee performance for an occupation (e.g. managers, auditors, etc.) or group of titles. Some agencies refer to these as core competencies. The model can be used to identify the competencies employees need to develop to improve performance in their current job (title) or to prepare for other jobs via promotion or transfer. Employees' competencies would be compared to the appropriate model to determine where the gaps exist. Individual training and development plans (IDPs) could then be developed to bridge the gaps.

The development of a competency model involves researching the competencies possessed by successful and/or exceptional incumbents, that lead to achieving performance objectives. The most common approach being used by New York State agencies is to:

- Develop a list of potential competencies from a menu of competencies drawn from private and/or public sources; and
- Through focus groups, surveys, or interviews, determine which apply.

The variables to consider in developing a competency model include:

- The extent to which you build competencies from scratch or draw from existing models.
- Methods to use (e.g., focus groups, surveys, or interviews) to identify competencies, weigh their importance and verify the model.
- Whether to engage a consultant or do it on your own.

The identification of competencies (a.k.a. KSAOs) for the purpose of developing examinations has traditionally been called "job analysis." There are a variety of job analysis techniques that may be used to identify relevant competencies for selection purposes. See Job Analysis Steps for an example of an approach that may be used for traditional job analysis. You could use some of the same elements for competency modeling for other purposes:

Identify the purpose of the competency model you are developing.

- Involve subject matter experts, perhaps supervisors of the titles/level you are working with who have extensive experience with the title/level.
- Consider using focus groups or interviews with satisfactory and exceptional employees in the target titles to generate or confirm information.
- Consider using a survey of incumbents to determine the applicability and importance of the competencies.

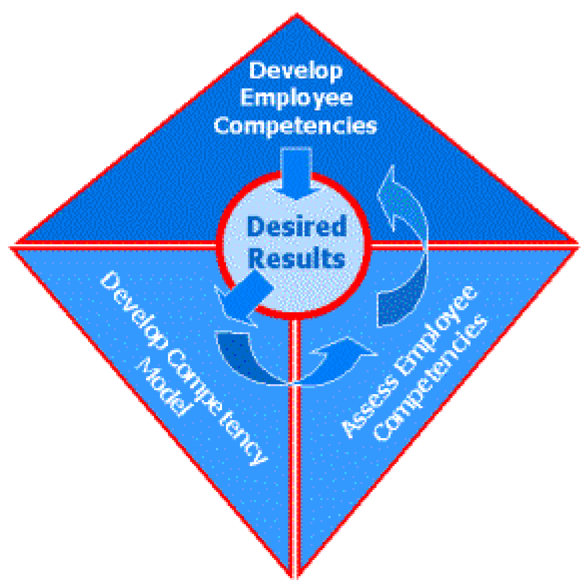
Another technique to consider is the behavioral event interview (or critical incident technique) which is an intensive face-to-face interview that involves soliciting critical incidents from performers and documenting what the performers were thinking, feeling, and doing during the incident. A critical incident is a characteristic and challenging event that embodies the most important aspects of the job. (2)

You could also develop behavioral statements to reflect each competency at two or more levels, such as supervisors, mid-level managers, and upper-level managers. Some competencies that apply at one level may not at another.

For more information on available methods for developing competency models, see Chapter 3 in David Dubois's book *Competency-Based Performance Improvement*. Also see how the State of Michigan developed their competencies for managers and supervisors.

A competency-based system is no better than its best component. Following are the competency-based system components:

- Identification/assessment of desired results: You need to know what organizational performance you are trying to achieve in order to identify the "desired state" competencies. Organizational performance assessment will also provide data to help evaluate the success of your development efforts.



- Competency models: You need to identify the competencies that truly have an impact on results.
- Employee competency assessment: You need to know the competencies of employees in order to compare them with the desired state (competency model).

Employee development strategies and resources: You need to have the training and development programs and resources that can address the gap in competencies.

All four components require attention to achieve positive results, ensure efficient utilization of resources, and yield a high return on investment. If the information on results is faulty or insufficient, the wrong competencies may be in the model.

If the model is poorly constructed, the competencies may not accurately link to desired results. You may waste resources developing employees' competencies that are not needed. This could also happen if the method of assessing employees' competencies is inaccurate.

Finally, if staff development is not made a priority with sufficient resources committed to it, the development objectives may not be achieved. Employee and supervisor expectations would not be met and the effort would have a negative impact.

The key to avoiding these problems is to plan for all four components and scale the effort appropriately.

See below for Strategy and Guidelines for Developing and Using Competencies.

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3. Competency Models

The work group has developed a competencies list that you can use to build a leadership/management competency model. We drew on a wide variety of existing models. You can choose among the competencies and edit the behavioral descriptions to meet your needs. We have chosen to use behavioral descriptions to define the competencies. Behavioral statements provide a more specific standard for determining whether the competency is present. There are drawbacks to this approach, however. For example, it is not possible to be comprehensive in terms of the behaviors that might demonstrate the competency. (3)

We have also provided sample competency group headings in Section 4 that you might find useful. In some cases, you may find that an individual competency on our listing would be more appropriate as a competency group heading. Also see links to other sites for competency models from other states, the federal government, Canada, and Australia.

See the following sites for competencies and competency models:

Competencies List on this site.

NYS Department of Civil Service
http://www.cs.ny.gov/announ/mainpages/Prom%20Test%20Bat%20Guide/promtestbatguidesection1.htm#formidlevelhighlevelmanagers

Competencies tested on the Promotion Test Batteries for Mid-Level and High-Level Managers and Administrators

NYS Office of Children and Family Services
Management competencies

State of Kansas
http://da.state.ks.us/ps/documents/comp/Definition%20and%20Descriptor%20Guide.pdf ( )
State of Kansas Competency Model: Definitions and Examples of Behavioral Competencies. (This document may not be accessible to the visually impaired.)

State of Michigan
http://www.state.mi.us/mdcs/OPE/group4comp.htm
Group Four and SES Leadership Competencies Definitions & Key Actions - competencies for higher level managers and leaders.
Http://www.state.mi.us/mdcs/OPE/group3mgrcomp.htm
Group Three Manager Competencies Definitions & Key Actions - competencies for middle managers.
Http://www.state.mi.us/mdcs/OPE/group3supcomp.htm
Group Three Supervisor Competencies Definitions & Key Actions

State of Washington
Http://hr.dop.wa.gov/workforceplanning/compprof.htm
Competency Profile Suggestions. This includes links to competency profiles for mid-level managers and others.
Http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm
Core competencies for mid-level managers.

US Office of Personnel Management
Http://www.opm.gov/ses/define.html
Competencies for the Senior Executive Service.

Public Service Commission of Canada
Http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#III
The site has five categories of management competencies with a total of 14 competencies with definitions.
Http://www.managers-gestionnaires.gc.ca/career_development/competency_profiles/menu_e.shtml
This includes middle management competencies listed in interactive learning, narrative and summary formats.

Northern Territory Government of Australia
http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm Office

of the Commissioner for Public Employment. Updated Executive Officer Competencies.

Competing Values Framework
This framework is used in GOER's "Challenges in Supervision and Management" training courses. Http://www.goer.state.ny.us/Train/currprogsvc/infochallandpsfstrnrs.html Also see *Becoming a Master Manager: A Competency Framework*.

Workforce: HR Trends & Tools for Business Results, an online publication.
Http://www.workforce.com/archive/article/23/11/74.php
31 Core Competencies Explained: Major competencies for which employers look, along with some of the behaviors associated with each.

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4. Competency Groupings

Organizations use a variety of ways to group their management and leadership competencies. The groupings should reflect the focus, management culture, and priorities of your organization. Here are some groupings for your consideration and links to the full listings so that you can see what competencies are grouped under each heading:

NYS Office of Children and Family Services

Http://www.goer.state.ny.us/workforce/agyinitiatives/ocfscompetencieschart.html

- Leading the Organization
- Making Decision
- Interacting with People
- Personal Effectiveness
- Communicating
- Management
- Business Acume

State of Michigan

Leadership, Managerial and Supervisory Competencies
Http://www.state.mi.us/mdcs/OPE/group3report.htm

- Personal Effectiveness
- Communication
- Results Oriented
- Workforce Development
- Business Process Development
- Job Knowledge

State of Washington

Core Competencies for Mid-Level Managers

These are not actually the groupings but the competencies themselves which are fairly broad. These could become groupings depending on how detailed your competencies are written.

- Communication

- Decision Making
- Interpersonal Skills
- Leadership
- Strategic Planning
- HumanResource Management
- Program/Project Management
- Fiscal Management
- Technology Competence
- Interaction with the External Environment
- Innovation and Change Management
- Learning and Achievement Orientation

US Office of Personnel Management

Senior Executive Service--Appendix A of The Guide to Senior Executive Service Qualifications

- Leading Change
- Leading People
- Results Driven
- Business Acumen
- Building Coalitions/Communications

Public Service Commission of Canada

Manager Leadership Competencies

- Intellectual Competencies
- Future Building Competencies
- Management Competencies
- Relationship Competencies
- Personal Competencies

Northern Territory Government of Australia

Office of the Commissioner for Public Employment. Updated Executive Officer Competencies. These are listed as core competencies but could also be considered at a high enough level to be group headings.

- Knowledge of Organizational Context
- Strategic Thinking and Planning
- Interpersonal Effectiveness
- People Development
- Management of Resources
- Management of Change
- Communication
- Leadership/Self Management

Competing Values Framework

This framework is used in GOER's "Challenges in Supervision and Management" training courses. Also see Becoming a Master Manager: A Competency Framework.

- The Director Role
- The Producer Role
- The Coordinator Role
- The Monitor Role
- The Mentor Role
- The Facilitator Role
- The Innovator Role
- The Broker Role

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31 Core Competencies

- Competencies Dealing With People: Leading Others
- Competencies Dealing With Service Delivery: Preventing and Solving Problems
- Self-Management Competencies

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5. Strategy and Guidelines for Developing and Using Competencies

This section consists of a Strategy and Guidelines Chart and narrative. It includes information on the steps to take in developing and using competency models.

STRATEGY AND GUIDELINES CHART

I. IDENTIFY THE POSITIONS YOU ARE ESTABLISHING COMPETENCIES FOR	
1.	Identify your objectives, including the positions, titles, title series, occupation, etc. to target.
2.	Determine the resources available.
3.	Develop a project work plan.
⇩	
II. DEVELOP THE COMPETENCY MODEL	
1.	Decide whether to adopt or modify existing material, or develop your own.
2.	Evaluate the impact of organization direction and organization-level competencies.
3.	Determine whether competencies will be for current and/or future responsibilities.
4.	Obtain examples of competency models and KSAOs.
5.	Identify the desired outputs and outcomes associated with the competencies.
6.	Select competencies for the model via committee, interviews, focus groups, survey,etc.
7.	Determine the relative importance of the competencies.
8.	Consider whether to define different levels of performance within each competency.
⇩	
III. ASSESS INDIVIDUAL COMPETENCIES AND IDENTIFY GAPS	
1.	Determine employees' competencies.
2.	Conduct the gap analysis involving the employee and supervisor.
⇩	

IV. DEVELOP STRATEGIES TO ADDRESS THE GAPS	
1.	Identify and prioritize the development needs.
2.	Create Individual Development Plans (IDP).
3.	Identify resources to address the needs.
4.	Keep a centralized record of employee competencies.

V. REASSESS COMPETENCIES & EVALUATE RETURN ON INVESTMENT (ROI)	
1.	Reassess competencies on an annual basis, possibly using an ROI assessment.
2.	Collect a wide range of data on the results.

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STRATEGY AND GUIDELINES NARRATIVE

This section provides you with a strategy and some practical tips helpful in selecting and developing a competency-based approach to staff development. William J. Rothwell, an authority on succession planning, connects strategy for a competency-based system to the effectiveness of succession planning and workforce development:

> "To be effective, succession planning and management should be based on reliable information about the organization's requirements and about individual performance and potential... Only by approaching these activities systematically can the organization ensure planned succession" (4)

RESOURCES			
I.	**Use the resources available for Succession Planning. Some are available from GOER/Civil Service and some are in your agency.**		
	1.	Civil Service/GOER's publication - "Our Workforce Matters"	
	2.	Your agency's strategic plan, if it is active	
	3.	Your agency's workforce plan submitted to Civil Service	
		--	Points out single occupant titles.
		--	Has analysis for retirements and vulnerability.
	4.	Your agency's Human Resource office may have other staffing analyses as well as their workforce plan that could prove useful for your project.	
II.	**Use the resources provided in our listing of links for competency modelsand systems.**		
	These links connect you to other state and federal agencies that have implemented competency systems. See also the books and publications on competencies by various experts. You may also want to consider hiring consultants. This can save you time and staff resources, but can be quite expensive.		

STRATEGY AND STEPS			
Each step in this strategy includes helpful tips to guide you. We hope these will save you time and effort in establishing a competency-based approach to staff development.			
I.	**Identify the positions you are establishing competencies for**		
	This step is about determining the scope of your effort. When you roll out a competency-based program, you need to clearly communicate the objectives and terminology to engage staff and reduce potential resistance and stress among employees. Competencies are not about being "competent" or "incompetent." They are about assuring that staff possess the right competencies and about effective allocation of resources.		
	1.	Identify the objectives of your effort in light of your organization's workforce and succession plans and strategic plan. What positions in your organization do you plan on establishing competencies for and how will the competency model(s) be used? While you may decide to do your entire organization, you should start with your key positions, titles, title series, or occupations and develop a schedule to add the others. Some factors to consider in selecting positions is whether they are:	
		--	Critical to the mission of the organization.
		--	Prone to rapid turnover, and jobs need to be filled to maintain operations.
	2.	Identify the resources available for competency development and use. Be sure that the investment in competencies is consistent with the resources available for employee development.	
	3.	Develop a project work plan.	
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II.	**Develop the competency model**		
	This step is about developing the competency model. The model consists of the competencies needed to perform the responsibilities of the target title, occupation, etc.		
	1.	Decide whether you want to adopt an existing competency model, modify an existing model, or develop one from scratch.	
	2.	Analyze organization level documents like strategic plans from the perspective of how they might impact the competency model. For example, you need to be sure the model reflects important organizational competencies. The model should also address changes in functions and duties that will occur as the strategic plan is implemented.	
	3.	Include competencies for current and future responsibilities. You can include a future focus by asking your managers and leaders in program areas if they anticipate changes in the way they do business in a year or two. For example, you may make a change in the method of service production or delivery like the recent automation at the checkout counters at stores where customers scan the items and cash out and an employee monitors several checkout stations. The key question here is whether the potential changes will require different competencies.	

	4.	Obtain competency models, lists of KSAOs, and other materials to use in developing your model:	
		--	Existing models used by other organizations. (See Section 3.)
		--	Exam or position description KSAOs or competencies, including the Civil Service Battery selection device.
		--	Organization level documents, like the strategic plan, that communicate organizational competencies needing to be translated into individual competencies.
		--	Staff performance programs.
		--	Materials and assistance for sale from vendors.
	5.	Identify the outputs and outcomes that result from applying the model. What are the results that incumbents are expected to produce? For example, if an employee is expected to negotiate a contract, identify the characteristics of a successful contract and ongoing working relationship with the contractor. This can be done in the process of selecting the competencies in Step 6 or by drawing on performance measurement data and information. The objective is to identify the competencies that will lead to the desired results.	
	6.	Select competencies for the model by using the best research method available, given time and other resources available and the objectives of your effort. Options include a committee of experts, interviews, focus groups, or surveys. Consider:	
		--	Involving current incumbents, supervisors of the positions, direct reports, managers over the function, partners and/or customers. Including all would be a 360 degree approach.
		--	Focusing on competencies exhibited by the best performers, using the behavioral incident interviewing approach.
	7.	Determine the relative importance of the competencies in terms of achieving desired results and decide whether to include all relevant competencies in the model or only the ones that most correlate with results.	
	8.	Consider whether to define different levels of performance within each competency. You may want to determine desired target levels for each competency for each job. For example, you may decide that upper management should have a higher level of the "visionary" competency than mid-level managers. Therefore, you might identify four levels of attainment, assigning level four to upper management and three to mid-level managers. Then you would develop a series of behaviors or factors to establish the standards for each level.	
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III.	**Assess employee competencies (gap analysis)**		
	Once the competency models have been identified, you need to determine the extent to which you have staff available who possess the needed competencies. You are building the supply pool of staff to replace those leaving key positions. This is done by performing an analysis of the gap between the employees' current competencies and the competency model for the target title, title series, or occupation. The gap analysis provides the data you will use to identify training and development resources needed, and make critical resource decisions.		

	1.	Determine the employees' current competencies relative to the competency model. See Washington State's material on their website.	
		--	Consider developing a survey to determine the employees' competency levels. This could be completed by the employee plus others, using a 360 approach or something somewhat narrower. The questions could consist of a rating of the level of performance/possession of each of the competencies in the model for the target occupation or title. Many vendors have developed survey tools to assist with this process, which can save you from having to do it all yourself.
		--	Consider drawing on data from the performance evaluation process if it is an effective process.
	2.	Conduct the gap analysis. The employee and supervisor should collaborate to perform the competency/gap analysis at least annually. The "gaps" would be the competencies with the lowest scores if you were using the survey approach. For example, "visioning" could be a competency needed for upper level managers. If the employee has difficulty seeing beyond current operations and, therefore, has difficulty visioning, this is a gap between the employee's competencies and the model.	
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IV.	**Develop strategies to address the gaps**		
	At this step, use the results of the gap analysis to create a strategy to address the development needs identified.		
	1.	Identify the needs by individuals as well as by clusters needing the same or similar development. This will help you sort out general needs versus less common but important ones, as well as providing information to help you prioritize the needs.	
	2.	Develop individual development plans (IDPs) for employees who want to participate.	
		--	The IDP will usually be a multi-year plan. A complete IDP will usually be impossible to address in one year. However, you should determine some priority order on the competencies that are most important to address first, balancing that with available resources.
		--	The employee and supervisor should collaborate at least annually to develop/revise the IDP.
		--	The IDP would include strategies to develop the weak or missing competencies from the assessment. The employee and supervisor may identify other development opportunities to address as well.
		--	Training and development activities could include challenging new assignments, working on special projects, job rotation, being mentored, classroom training, e-learning, book and journal reading, participation in professional organizations, etc.
	3.	For each employee or group of employees, identify the resources for addressing development needs.	
		--	These may be internal or external, and range in price. Keep in mind there is a price for the use of internal staff, which is staff time taken from other responsibilities. Include this in your comparison to the costs of external sources before making your decisions.
		-	Don't limit yourself to in-house resources. Consider partnering with other parts

		-	of your agency or other agencies, which may benefit both organizations.
		-	Don't undervalue non-classroom methods like on-the-job training or mentoring. These development resources often hit home more clearly on the application of learning and provide the opportunity for dialogue with the more experienced staff.
	4.	Keep a centralized record of employee competencies. A database that contains competency profiles for each employee can help you address development needs and manage the resources much more efficiently.	
		-	Do your homework. Shop around and talk to the users of products.
		-	Be sure a system is designed for competencies rather than training histories.
		-	Identify IT (information technology) support needed for either creating or modifying a system plus maintaining it. All systems need in-house maintenance to some degree, no matter what vendors may tell you.
		-	Look for opportunities to partner with other units in your organization for IT support.
		-	Keep the system as simple as possible to provide the outputs you desire. While others may need systems that provide on-line registration and status reports, a simple spreadsheet may work for you.
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V.	**Reassess competencies and evaluate return on investment (ROI)**		
	This step involves reassessing staff competencies and performance to confirm improvement. Analyzing this information helps determine if the resources were effectively allocated.		
	1.	To maximize the benefit of resources allocated to staff development, consider implementing some level of annual Return On Investment (ROI) analysis. The following includes Kirkpatrick's four analysis levels plus Phillips' ROI:	
			Level 1: Were participants satisfied with their training?
			Level 2: Did learning occur and were new competencies developed?
			Level 3: Did participants exhibit new behaviors?
			Level 4: Did participants create beneficial results from their behavior?
			Level 5: Did participants create a monetary return on the investment?
		Calculation of ROI:	
		-	ROI= Gain (program benefit) minus the program cost divided by the cost, times 100 [ROI=(G-C)/Cx100].
		-	Example: $221,850 Gain (Agency cost savings, increased productivity and/or increased revenue) *Minus* $61,886 Cost (For trainer, supplies, facilities, participant salaries for time expended, etc.) =$159,964 Net Gain

		Divided by \$61,886 =2.58 *Times* 100 (to make it percent) =258% ROI (5)
		Utilize agency training and development staff and GOER as a resource as well as consultants on contract through GOER.
	2.	Collect a wide range of data to determine how well the competency program is working. Ways to collect evaluation information include periodic discussions with managers, assessing impact on performance measures, conducting an environmental scan, and implementing levels 1-5 ROI tools. These can be used to assess the effectiveness and efficiency of the overall development effort as well as each training resource.

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Also see Companion Guide To *Our Workforce Matters*: A guide for workforce and succession planning for municipal civil service agencies

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8. Endnotes

1. Timothy R. Athey and Michael Orth, "Emerging Competency Models of the Future." *Human Resources Management* 38: New York; (Fall 1999): 216and Paul C. Green, *Building Robust Competencies: Linking Human Resource Systems to Organizational Strategies* (San Francisco: Jossey-Bass Publishers, 1999), 25-27. (Back to text)
2. William J. Rothwell and John E. Lindholm. *"*Competency Identification, Modeling and Assessment in the USA.*" International Journal of Training and Development*, (Oxford, UK 1999), 98. (Back to text)
3. Robert Fitzpatrick. "*Review of Building Robust Competencies: Linking Human Resource Systems to Organizational Strategies"* by Paul C. Green. *Personnel Psychology* (Durham, Spring 2000) 248-249. (Back to text)
4. William J. Rothwell, *Effective Succession Planning: Ensuring Leadership Continuity and Building Talent From Within*, 2nd Edition, (New York: AMACOM, 2001), 169. (Back to text)
5. Jack J. Phillips, series editor and Patricia Pulliam Phillips, editor, *Measuring ROI in the Public Sector* (Virginia: ASTD, 2002), Chandler Atkins, "How a Pilot Study Launched Training ROI Evaluation: New York State Governor's Office of Employee Relations," 101-116. (Back to text)

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7. Other Competencies Links

State of Kansas

This website is for the State of Kansas Competency Model Project, providing a succinct overview of the Kansas competencies project.

State of Michigan

Leadership Development Final Report May 20, 1999. This includes an overall discussion of leadership development and leadership competencies.

Group Three Competencies Final Report March 6, 2001. This provides detailed information about their project and process. Of particular interest are the rating scales they used to rate competencies that contribute to success on the job and the process used to rank importance of the competencies. These scales would be useful models for those wanting to use focus groups or to design surveys.

Minnesota

Reskilling Information for Human Resource Professionals and Executive Managers. This article includes a discussion of what competencies are.

Washington State

This is a discussion of how to assess employee competencies, from the State of Washington Workforce Planning Guide.

Public Service Commission of Canada

(comparable to US Office of Personnel Management)

Http://www.psc-cfp.gc.ca/publications/monogra/comp_e.htm
This provides information on a PSC survey of organizations in Canada to obtain information on developing competencies. The site has summary results of the survey and different practices used by organizations that developed their own competencies.
http://www.psc-cfp.gc.ca/research/personnel/comp_history_e.htm
This is a human resources/competencies timeline starting with the Romans and leading up to today.
http://www.psc-cfp.gc.ca/research/personnel/comp_ksao_e.htm
This is a discussion of the difference between competencies and KSAOs.

Northern Territory Government of Australia

Competency Based Assessment and Training
National Public Administration Competency Standards

National Skills Standards Board (NSSB)

The National Skills Standards Board (NSSB) is a coalition of leaders from business, labor, employee, education, community, and civil rights organizations, created in 1994 to build a voluntary national system of skill standards, assessment, and certification systems to enhance the ability of the United States workforce to compete effectively in a global economy. Though it does not provide management competencies, it focuses on knowledge skills and abilities needed in a broad range of employment areas categorized by manufacturing and service industries.

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Agency Example:
New York State Office of the State Comptroller

The Office of the State Comptroller (OSC) is implementing a competency-based performance management process designed to ensure continued effective organizational performance. The new process will aid in workforce planning and development by making provision for the development and replacement of key people over time. The competency-based performance management process is an employee development strategy with three separate components.

1. Identification of the competencies that are needed to effectively perform in different roles at various levels of the Agency.
2. Assessment of employee competencies against predefined OSC standards to determine the level of competency employees currently possess and identify strengths and development opportunities. This is a collaborative effort that takes place in a conversation between employee and supervisor.
3. Identification of available training or on-the-job assignments that may be used to improve targeted competencies. Classroom training typically focuses on acquiring knowledge and skills. This process complements the Performance Achievement System (PAS), for which employees have been asked to identify job-related performance goals, job assignments, mentoring, and other on-the-job activities, which may be a part of the recommended training. OSC recognizes that taking a course in a particular subject does not mean that one has achieved the desired level of proficiency in a particular area; competencies must be demonstrated.

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Further Reading

Athey, Timothy R. and Michael S. Orth. **"Emerging Competency Models of the Future."** *Human Resources Management*: New York (Fall 1999).

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

Boyatzis, A. R. ***The Competent Manager: A Model for Effective Performance****.* New York: John Wiley & Sons, Inc., 1982.

Dubois, David D. ***Competency-Based Performance Improvement: A Strategy for Organizational Change****.* Amherst, MA: HRD Press, Inc.,1993.

Dubois, David D. ***The Competency Case Book***. Amherst, MA: HRD Press, 1998.

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

Quinn, Robert E., et. al. ***Becoming a Master Manager: A Competency Framework***, 3rd Edition, New York: John Wiley & Sons.

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

Rothwell, William J. and John E. Lindholm. **"Competency Identification, Modelling and Assessment in the USA."** *International Journal of Training and Development* , Oxford, UK (3:2, 1999) 90-105

Spencer, Lyle M., Jr., and Signe M. Spencer. ***Competence at Work: Models for Superior Performance***. New York: John Wiley & Sons, Inc.,1993.

Whiddett, Steve, and Sarah Hollyforde.***The Competencies Handbook***, London: Institute of Personnel and Development, 1999.

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10. Workgroup Members

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Job Analysis Steps

1. Create a draft listing of important job components and associated knowledge/skills/abilities (competencies) by reviewing classification documents, job specifications, and other records describing the job and benchmarking other states and/or federal agencies. Job components are major activities, duties, functions, or responsibilities involved in performing the job.
2. Interview a sample of incumbents (conduct job audits) to verify and expand upon the draft of important job components and competencies.
3. Create a second draft of important job components and associated competencies based on the interviews.
4. Have subject matter experts review the second draft, and contribute additional information.
5. Create a third draft of important job components and associated competencies based on subject matter expert input.
6. Create a job analysis questionnaire from the third draft and distribute it to a representative sample of incumbents. The purposes of the questionnaire are to verify the accuracy of the information, to assess the relative importance of each job component and competency with respect to successful job performance, and to determine whether the competencies are brought to or acquired on the job.
7. Create a final draft of essential job components and linked competencies based on the compilation and analysis of completed job analysis questionnaires. Some competencies may link to multiple job components.
8. Determine appropriate testing tools for assessing the competencies.
9. Have subject matter experts review and approve the results.

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Leadership and Management Competencies List

This listing was created by the Competencies Work Group, drawing heavily on the competency models cited in the Work Group's report. The competencies are offered for your use in constructing your own leadership and management competency models. Note that:

- It is not a comprehensive list but includes competencies that the Work Group considered important.
- In many cases competencies overlap.
- Some competencies listed may also be used to group several competencies.
- The definitions are in the form of behavioral statements, wherever possible, to ground the competencies in observable behaviors.
- You may wish to create a summary definition from the bullets, delete bullets, or add your own to tailor the competencies for your own use.

Send questions and comments to nbk@cs.state.ny.us

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COMPETENCIES

Accountability

- Defines objectives andstrategies to meet customer requirements and organizational goals and objectives.
- Manages performance to achieve expected results.
- Keeps informed of performance through face-to-face meetings, written communications, analytical reports, and performance measures.
- Keeps supervisor informed of progress, issues, and potential problems.
- Maintains a cost/effective balance of controls and risk-taking to ensure effective and efficient operation within budget.
- Identifies and addresses areas of weakness that may affect organizational performance.
- Takes full responsibility for results.

Contents

Analytical Thinking

- Approaches a situation or problem by defining the problem or issue; determining its significance; collecting data; using tools such as flow charts, Pareto charts, fish diagram, etc. to disclose meaningful patterns in the data; making inferences about the meaning of the data; and using logic and intuition to arrive at conclusions or decisions.
- Sees most of the forces, events, entities, and people that are affecting (or are being affected by) the situation at hand.
- Makes a systematic comparison of two or more alternatives.
- Notices discrepancies and inconsistencies in available information.
- Identifies a set of features, parameters, or considerations to take into account, in analyzing a situation or making decisions.
- Approaches a complex task or problem by breaking it down into its component parts and considering each part in detail.
- Weighs the costs, benefits, risks, and chances for success, in making a decision.
- Identifies many possible causes for a problem.
- Carefully weighs the priority of things to be done.

Contents

Building Trust

- Communicates an understanding of the other person's interests, needs and concerns.
- Makes and meets commitments that contribute to addressing the other person's interests, needs, and concerns.
- Identifies and communicates shared interests and goals.
- Identifies and communicates differences as appropriate.
- Addresses perceived harm to the other person by fully acknowledging any harm done, clarifying intentions, and finding a suitable remedy that affirms the value of the relationship.
- Uses a win-win approach to resolving conflicts or conducting negotiations.
- Develops, maintains, and strengthens partnerships with others inside or outside the organization who can provide information, assistance, and support.
- Demonstrates honesty, keeps commitments and behaves in a consistent manner.
- Shares thoughts, feelings, and rationale so that others understand personal positions.
- Remains open to others' ideas and opinions even when they conflict with their own.

Contents

Change Management

- Demonstrates support for innovation and for organizational changes needed to improve the organization's effectiveness.
- Initiates, sponsors, and implements organizational change.
- Helps others to successfully manage organizational change.
- Facilitates the implementation and acceptance of change within the workplace.
- Acts as a champion for change.
- Develops, plans, and follows through on change initiatives.
- Accepts the ambiguity that comes with change activities.
- Encourages others to seek opportunities for different and innovative approaches to addressing problems and opportunities.
- Involves appropriate parties in changes.
- Encourages others to question established work processes or assumptions and challenges them to ask "why" until cause is discovered.
- Addresses change resistance and shows empathy with people who feel a loss as a result of change.
- Works cooperatively with others to produce innovative solutions.
- Facilitates groups or teams through the problem-solving and creative-thinking processes leading to the development and implementation of new approaches, systems, structures, and methods.
- Implements or supports various change management activities (e.g., communications, education, team development, coaching).
- Establishes structures and processes to plan and manage the orderly implementation of change.
- Helps employees develop a clear understanding of what they will need to do

differently as a result of changes in the organization.

Contents

Coaching

- Clarifies responsibilities, authority, and expectations.
- Provides timely guidance and feedback to help staff accomplish a task or solve a problem.
- Provides guidance in how to strengthen knowledge and skills to improve personal and organizational performance.
- Provides new assignments and experiences to develop the employee's capability.
- Communicates effectively and develops subordinates.
- Conducts performance appraisal and feedback.
- Works with employee behavior problems.

Contents

Communicating in Writing

- Presents information, analysis, ideas, and positions in writing in a clear and convincing manner.
- Organizes written ideas clearly and signals the organization of the document to the reader (e.g., through an introductory paragraph or use of headings).
- Uses appropriate writing style consistent with organizational guidelines and norms. · Tailors writing to effectively reach the intended audience.
- Uses graphics and other aids to clarify complex or technical information.
- Documents created include correct spelling, grammar and punctuation.
- Demonstrates a willingness to share ideas and perspectives and encourages others to do the same.

Contents

Communicating Orally

- Makes clear and convincing oral presentations (to individuals and groups) that achieve their purpose.
- Speaks clearly so that others can hear what is being said.
- Tailors oral communications, whether formal (e.g., speech) or informal, to the level and experience of the audience.
- Uses presentation software, graphics, and other aids to clarify complex or technical information.
- Organizes ideas in a clear, logical flow that can easily be followed by the audience.
- Maintains eye contact with all members/areas of the audience, unless cultural norms dictate not maintaining eye contact in individual communications.
- Listens effectively (see definition).
- Summarizes or paraphrases understanding of what listeners say in questions or comments to verify understanding and prevent miscommunication.
- Demonstrates a willingness to share ideas and perspectives and encourages others

to do the same.

Contents

Conflict Management

- Recognizes differences of opinion, brings them out into the open for discussion, and looks for win-win solutions.
- Uses appropriate interpersonal styles and methods to reduce tension or conflict between two or more people.
- Finds agreement on issues and follows through on implementation.
- Deals effectively with others in an antagonistic situation.

Contents

Continual Learning

- Demonstrates an understanding of new information.
- Masters new technical and organization concepts and information.
- Builds on strengths and addresses weaknesses.
- Curious.
- Pursues self-development.
- Seeks feedback from others and is receptive to new ideas and perspectives.
- Seeks opportunities to master new knowledge.

Contents

Continual Improvement

- Stresses accountability and continuous improvement.
- Builds on ideas of others to come up with new ways to address organizational issues or problems.
- Generates creative new solutions and approaches to customer issues and organizational processes.
- Makes use of quality tools to improve processes.

Contents

Customer Focus

- Makes customers and their needs a primary focus of one's actions.
- Develops and sustains productive customer relationships.
- Readily readjusts priorities to respond to pressing and changing client demands.
- Quickly and effectively solves customer problems.
- Is accessible and provides prompt, attentive service.
- Talks to customers (internal or external) to find out what they want and how satisfied they are with what they are getting.
- Develops and maintains strong relationships with customers.
- Develops trust and credibility with the customer.
- Lets customers know he/she is willing to work with them to meet their needs.

· Finds ways to measure and track customer satisfaction.

- Presents a cheerful, positive manner with customers.
- Understands and is responsive to customers' objectives and needs.
- Goes the extra mile to satisfy customer needs and expectations.

Contents

Decision Making

- Makes timely and sound decisions.
- Identifies and understands issues, problems, and opportunities.
- Compares data from different sources to draw conclusions.
- Uses effective approaches for choosing a course of action or developing appropriate solutions.
- Takes action that is consistent with available facts, constraints, and probable consequences.
- Modifies decisions based on new information when appropriate.
- Takes calculated risks.
- Takes responsibility for decisions.
- Understands the impact and implications of decisions and provides feedback on outcomes.
- Creates relevant options for addressing problems and opportunities and achieving desired outcomes.
- Includes others in the decision-making process as warranted to help make the most appropriate decision and to gain buy-in.

Contents

Delegation

- Assigns decision-making and work functions to others in an appropriate manner to maximize organizational and individual effectiveness.
- Clearly communicates the parameters of the delegated responsibility, including decision making authority and any required actions, constraints, or deadlines.
- Provides appropriate support and acts as a resource depending on the situation and capabilities of the employee.
- Establishes procedures to keep informed of issues and results of delegated responsibilities.

Contents

Developing Others

- Uses appropriate methods and a flexible interpersonal style to help others develop their capabilities.
- Provides helpful, behaviorally specific feedback to others.
- Shares information, advice, and suggestions to help others to be more successful.
- Provides effective coaching.
- Gives people assignments that will help develop their abilities.

- Regularly meets with employees to review their development progress.
- Recognizes and reinforces people's developmental efforts and improvements.
- Expresses confidence in others' ability to be successful.
- Participates in opportunities to enhance knowledge and skills in others.
- Helps others learn new systems, processes, or programs.
- Collaboratively works with direct reports to set meaningful performance objectives.

Contents

Emotional Intelligence

- Demonstrates an ability to control and filter emotions in a constructive way.
- Exhibits consideration of the feelings of others when/before taking action.
- Demonstrates recognition of the various psychological and emotional needs of people.
- Expresses feelings clearly and directly.
- Balances feelings with reason, logic, and reality.
- Demonstrates an appreciation of the differences in how others feel about things.

Contents

Empowering Others

- Gives people latitude to make decisions based on their level and area of responsibility and level of knowledge and skills.
- Encourages individuals and groups to set their own goals consistent with organizational goals.
- Provides resources and support needed.
- Encourages groups to resolve problems on their own; avoids prescribing a solution.

Contents

Entrepreneurship

- Actively seeks out and identifies opportunities to develop and offer new products and services within or outside the organization.
- Proposes innovative business deals to customers, suppliers, and business partners.
- Initiates actions that may involve deliberate risk to achieve a recognized benefit or advantage.
- Stays abreast of government, business, industry, and market information that may reveal opportunities for innovative products and services.
- Also see Innovation

Contents

Establishing Focus/Setting Direction

- Acts to align own unit's goals with the strategic direction of the organization.
- Ensures that people in the unit understand how their work relates to the organization's mission.

- Ensures that everyone understands and identifies with the unit's mission.
- Ensures that the unit develops goals and a plan to help fulfill the organization's mission.
- Uses effective techniques to define outcomes and expectations.

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Exercising Self-Controland Being Resilient

- Keeps functioning effectively under critical and tight deadlines, heavy workloads,and/or other pressures.
- Can effectively handle several challenging problems or tasks at once.
- Maintains self-control when personally criticized (vs. criticizing ideas), verbally attacked or provoked.
- Maintains a sense of humor under difficult circumstances.
- Deals effectively with pressure and stress.
- Maintains focus and intensity and remains optimistic and persistent, even under adversity.
- Recovers quickly from setbacks.
- Effectively manages own behavior and time, including balancing work and personal life.

Contents

Facilitation

- Uses group skills to lead the group to consensus, effectively solve problems, and accomplish tasks.
- Exhibits behaviors and techniques that enhance the quality of group processes.
- Evokes participation and creativity from others.
- Effectively distinguishes process from content.

Contents

Fiscal Management

- Develops program and resource plans and budgets for projects, or units.
- Understands the relationship of the budget and resources to the strategic plan.
- Monitors expenditures and resources to ensure spending is within allotments, or makes appropriate modifications.
- Complies with administrative controls over funds, contracts, and procurements, to preclude fraud or mismanagement of government resources.
- Monitors and verifies ongoing cost effectiveness.

Contents

Flexibility

- Makes effective decisions and achieves desired results in the midst of major changes in responsibilities, work processes, timeframes, performance expectations, organizational culture, or work environment.

- Picks up on the need to change personal, interpersonal, and professional behavior quickly based on the demands of the project, customer, or solution.
- Reevaluates decisions when presented with new information.
- Readily integrates changes midstream into work processes and outputs.
- Is able to see the merits of perspectives other than his or her own.
- Demonstrates openness to new organizational structures, procedures, and technology.
- Switches to a different strategy when an initially selected one is not working and not worth the investment to try to make it work.
- Maintains effectiveness when experiencing major changes in work tasks or the work environment.
- Shifts gears comfortably.
- Makes decisions and acts without having to have every detail clear.

Contents

Getting Results

- Takes risks in improving products and services, while holding self and others accountable.
- Finds or creates ways to measure performance against goals.
- Seeks to accomplish critical tasks with measurable results.
- Strives for excellence in performance by surpassing established standards.
- Has a strong sense of urgency about solving problems and getting work done.
- Develops clear and challenging but achievable personal and organizational goals.
- Identifies and pursues desired outcomes for projects and meetings.
- Continues to work toward achievement of goals in the face of obstacles.
- Shows a significant level of effort, persistence, and time commitment to achieve goals.
- Takes extraordinary measures to solve problems and get work done when the situation calls for it.
- Doesn't allow mistakes, failure, and other personal crises to undermine results.

Contents

Influencing Others

- Presents facts, analysis, and conclusions or solutions in a way that demonstrates command of content; factors in perspectives and interests of the audience; and shows what's in it for them or what meets the common good.
- Appropriately, involves others in a process or decision to ensure their support.
- Offers tradeoffs or exchanges to gain commitment.
- Structures situations (e.g., the setting, persons present, sequence of events) to create a desired impact and to maximize the chances of a favorable outcome.
- Works to make a particular impression on others.
- Identifies and targets efforts to influence the real decision makers and those who can influence them.

- Seeks out and builds relationships with others who can provide information, intelligence, career support, potential business, and other ways to help.
- Takes a personal interest in others (e.g., by asking about their concerns, interests, family, friends, hobbies) to develop relationships.
- Presents information or data that has a strong effect on others as evidenced by their reactions to it.
- Uses language and examples that speak to the issues, experience and organizational level of the audience.
- Uses stories, analogies, or examples that effectively illustrate a point.
- Uses graphics, overheads, or slides that display information clearly with high impact.
- Gains the support of others in meeting objectives by acknowledging their resistance and fears; addressing their questions and concerns; and accommodating them to the extent possible without undermining the effort.

Contents

Initiative

- Identifies what needs to be done and takes action before being asked, when the situation requires it.
- Does more than what is normally required in a situation.
- Seeks out others involved in a situation to learn their perspectives.
- Takes independent action to change the direction of events.
- Takes prompt action to accomplish objectives and achieve goals beyond what is required.

Contents

Innovation

- Is receptive to new ideas and adapts to new situations.
- Exhibits creativity and innovation when contributing to organizational and individual objectives.
- Takes calculated risks.
- Seeks out opportunities to improve, streamline, reinvent work processes.
- Helps others overcome resistance to change.
- Thinks expansively by combining ideas in unique ways or making connections between disparate ideas.
- Explores numerous potential solutions and evaluates each before accepting any, as time permits.
- Targets important areas for innovation and develops solutions that address meaningful work issues.
- Develops new products or services, methods or approaches.
- Sponsors the development of new products, services, methods, or procedures.
- Develops better, faster, or less expensive ways to do things.
- Creates a work environment that encourages creative thinking and innovation.
- Adapts best practices and processes to the work unit.

Contents

Interpersonal Skills

- Considers and responds appropriately to the needs, feelings, and capabilities of different situations.
- Relates well with others.
- Maintains confidentiality.
- Demonstrates consistency and fairness.
- Anticipates and resolves confrontations, disagreements, and complaints in a win-win way.
- Is tactful, compassionate and sensitive, and treats others with respect.
- Provides timely and honest feedback in a constructive and non-threatening way.

Contents

Listening

- Provides feedback on what was heard.
- Responds to statements and comments of others in a way that reflects understanding of the content of what was said and the accompanying emotion expressed.
- Asks clarifying questions when understanding is incomplete to assure the speaker of the commitment to understanding what was said.
- Persists in seeking understanding despite obstacles.

Contents

MaintainingPersonal Credibility/Meeting Ethical Standards

- Does what he or she commits to doing.
- Respects the confidentiality of information and concerns shared by others.
- Is honest and forthright with people.
- Provides frank, open, and accurate feedback while avoiding destructive comments.
- Has calm and steady demeanor.
- Works through interpersonal conflicts to ensure problems are addressed and relationships are strengthened.
- Carries his/her fair share of the workload.
- Takes responsibility for own mistakes; does not blame others.
- Conveys a command of relevant concepts, facts, and information in matters involved in.
- When confronted with ethical dilemmas, acts in a way that reflects relevant law, policy and procedures, agency values, and personal values.

Contents

Managing Performance

- Sets clear goals for the employees and the work unit.

- Works with employees to set and communicate performance standards that are specific and measurable.
- Supports employee efforts to achieve job and organizational goals (e.g., by providing resources, removing obstacles, acting as a buffer).
- Establishes and maintains formal and informal methods to track employees' progress and performance (e.g., status reports, managing by walking around).
- Provides specific performance feedback, both positive and corrective, as soon as possible after the event or action.
- Deals firmly and promptly with organizational performance problems by working with staff to diagnose problems, develop solutions, and monitor progress while keeping upper level management informed.
- Deals firmly and promptly with employee performance problems by establishing facts of behavior with the employee, setting expectations, monitoring behavior/performance, and taking disciplinary action when the behavior warrants it.
- Develops performance expectations and performance agreements with direct reports.
- Evaluates priorities to ensure the 'true' top priorities are handled satisfactorily.

Contents

Managing Risk

- Takes stances or makes decisions that involve personal risk, but which are judged advantageous to the individual and agency.
- Takes actions in which the benefits to the efficiency and effectiveness of service delivery are weighed against potential risks.
- Establishes prevention and detection internal controls which address potential risks of inefficiency, ineffectiveness, fraud, abuse or mismanagement with reasonable assurance (i.e., meet cost/benefit criteria).
- Creates a positive internal control environment by demonstrating support for the agency's internal program through behavior, presentations, and discussions.
- Handles risk and uncertainty.

Contents

Negotiating

- Confirms agreement on the facts.
- Confirms understanding of others' perspectives and wants.
- Clearly presents own perspective and wants.
- Achieves "win-win" outcomes by identifying common interests, clarifying differences, and achieving consensus or compromise.

Contents

Organizational Communications

- Ensures that others involved in a project or effort are kept informed about developments and plans.
- Ensures that important information from management is shared with employees and others as appropriate.

- Shares ideas and information with others who might find them useful.
- Uses multiple channels or means to communicate important messages (e.g., memos, newsletters, meetings, e-mail, intranet).
- Keeps manager informed about progress and problems.
- Establishes communication plans and/or systems to ensure that communications fully support the work of the organization.
- Ensures that regular, consistent communication takes place within area of responsibility.

Contents

Partnering/Networking

- Develops networks and builds alliances.
- Participates in cross-functional activities to achieve organizational objectives.
- Collaborates across internal and external agency boundaries to meet common objectives.
- Keeps support areas like budget and HR informed of program priorities, needs, and issues, in pursuit of responsive service.

Contents

Political Skill

- In taking action, demonstrates an understanding and consideration of how it will impact stakeholders and affected areas in the organization.
- Makes remarks and gestures in politically charged situations that move the group or situation toward a productive outcome.
- Uses the "informal" organization to obtain information or accomplish something when the formal organization can't meet the need, without creating problems with the formal organization.

Contents

Project Management

- Ensures support for projects and implements agency goals and strategic objectives.
- Seeks and documents customer needs and ensures and measures customer satisfaction.
- Defines outcomes and expectations based on customer requirements.
- With staff, develops a workplan with tasks, timeframes, milestones, resources, and dependencies.
- Uses resources efficiently and manages effectively within budget limits.
- Ensures quality and quantity standards are met.
- Anticipates potential problems and institutes controls and contingency plans to address them.
- Monitors project progress and evaluates performance.
- Responds effectively to unforeseen problems.
- Identifies improvement areas and resolves barriers to task completion.

- Sets deadlines in a way that gets commitment from all parties involved.

  Contents

Providing Direction

- Provides structure.
- Identifies a clear, motivating, challenging vision, and direction.
- Builds architecture to implement that vision and direction and empowers and enables organizational members to carry out and implement that vision.
- Aligns staff to goals, delegates effectively, motivates others, gives clear direction, and initiates projects or actions.
- Sets long- and short-term goals.

  Contents

Providing Motivational Support

- Recognizes and rewards people for their achievements.
- Acknowledges and thanks people for their contributions in completing work and meeting customer needs.
- Expresses pride in the group and encourages people to feel good about their accomplishments.
- Finds creative ways to make people's work rewarding.
- Signals own commitment to process by being personally present and involved at key events.
- Identifies and promptly tackles morale problems.
- Gives talks or presentations that energize groups.
- Provides training and development activities.
- Provides challenging and enriching assignments that employees enjoy and learn from.

  Contents

Solving Problems

- Approaches a situation or problem by defining the problem or issue.
- Determines the significance of problems.
- Collects data, distinguishing between relevant and irrelevant data.
- Uses tools such as flow charts, Pareto charts, fish diagram, etc. to disclose meaningful patterns in data.
- Makes inferences about the meaning of the data.
- Uses logic and intuition to arrive at decisions or solutions to problems that achieve the desired outcome.
- Also see Analytical Thinking

  Contents

Systems Thinking

- Implements solutions to organizational problems and develops organizational or service delivery systems in a way that factors in or encompasses the interactions of all of the systems and organizational entities involved.

- Provides analysis of problems and issues that accounts for the interactions of all systems and organizational entities involved over time.

Contents

Technical Credibility

- As technical legal and policy issues arise within the workforce, communicates understanding, interest, and commitment to addressing them.
- Appropriately applies procedures, requirements, regulations, and policies to related service delivery or regulatory activities.
- · Develops program goals, objectives and strategies that are feasible and desirable in clear recognition of technical policies, issues, and limitations.
- Hires managers/supervisors who taken together provide an appropriate mix of technical and managerial expertise.
- Addresses organizational technical training and development needs.

Contents

Technology Use/Management

- Understands and uses basic technology as a tool in staff communication (e.g., e-mail, scheduling, etc.).
- Understands technology well enough to make management level decisions on purchasing equipment, software, and other IT related expenses.
- Explores technological options for program operations.
- Explores new applications or enhancements with appropriate IT staff to assist staff in carrying out responsibilities and to provide better services to customers.
- Is creative and visionary in the application of technology to improve services and productivity.
- Encourages staff development and training for new IT applications.
- Proficient in using appropriate personal computer software and agency communication systems.
- Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness.
- Develops strategies using new technology to enhance decision making.
- Understands the impact of technological changes on the organization.

Contents

Thinking Strategically

- Formulates strategies that are achievable, cost-effective, and address organizational goals by themselves or in coordination with other strategies.
- Formulates strategies that take organization's strengths and weaknesses into account.
- Researches, interprets, and reports on long-term customer/client trends for the purpose of formulating policy and strategy.

- Provides analysis of policy issues, develops program proposals, and develops plans that address long-term customer and stakeholder needs and concerns.

Contents

Valuing and Leveraging Diversity

- Values diversity as exhibited in hiring choices, assignments made, teams formed, and interaction with others.
- Shows respect for people regardless of race, gender, disability, lifestyle, or viewpoint.
- Actively seeks out different viewpoints and leverages the benefits of different perspectives.
- Seeks to understand the perspective of others when he or she disagrees with them and responds appropriately.
- Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound organizational results.
- Fosters an environment in which people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
- Recruits, develops and retains a diverse, high quality workforce.
- Develops and uses measures and rewards to hold self and others accountable for promoting and achieving diversity in respect to women, ethnic groups, and others in hiring and utilizing and developing staff.

Contents

Visioning

- Communicates a clear, vivid and relevant description or picture of where the organization should be 3, 5 or 10 years out.
- Expresses the vision in a way that resonates with others as demonstrated by their words and actions.
- Builds a shared vision with others.
- Influences others to translate vision to action.

Content

Competencies Work Group Report »

COMPETENCIES

Report of the Competencies Workgroup

Sponsored by:

NYS Department of Civil Service
George C. Sinnott, Commissioner

NYS Governor's Office of Employee Relations
George H. Madison, Director

George E. Pataki, Governor

September 2002 *(Updated 10/02)*

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

COMPETENCIES

Report of the Competencies Workgroup
September 2002

(Updated 10/02)

A key ingredient in any workforce or succession planning effort is knowing the capabilities and qualities, or competencies, people need to be successful in their jobs. Using competencies, we can determine whether employees are prepared to move to the next level in the organization or laterally to another functional area. And if they are not prepared, competencies can help identify the training and development activities needed to prepare them.

There is a nationwide trend toward using competencies as the basis for human resource systems. A few New York State agencies are beginning to use competencies, mainly for management development. However, the area of competencies is relatively new to most agencies. The Competencies Workgroup was formed in January 2002 to provide agencies with information to help them sort out whether developing competencies would be useful and, if so, to provide some guidelines on how to proceed. While this report discusses competencies generally, the emphasis is on leadership and management competencies within a succession planning context.

- Section 1 introduces the concepts of competencies and how they are used.
- Sections 2, 3, and 4 cover the specifics of developing competency models and the resources available for developing them.
- Section 5 provides step-by-step guidelines on developing and applying competencies. It includes a chart that summarizes the steps and an outline of the steps in more detail. This section can be used independently of the rest of the report.
- Section 6 discusses how one agency is developing its competencies.
- Section 7 includes links to other resources for competencies.
- Sections 8-11 cover the references, bibliography, Workgroup membership, and acknowledgments.

REPORT CONTENTS

Appendices

Send questions and comments to workforce@goer.state.ny.us.

1. BASIC INFORMATION ON COMPETENCIES

Why Competencies?

Competencies are a critical tool in workforce and succession planning. At a minimum, they are a means to:

- Identify capabilities, attitudes, and attributes needed to meet current and future staffing needs as organizational priorities and strategies shift, and
- Focus employee development efforts to eliminate the gap between capabilities needed and those available.

With diminishing resources and increasing demands, effective development and utilization of human capital is just as critical to State agencies' successful delivery of services as state-of-the-art technology. We need the right people with the right competencies at the right time, in conjunction with the right systems and technology. Agencies want to be more systematic in training and developing employees. This will ensure that development efforts are better targeted to meeting agency needs, can be directly linked to results, and make more efficient use of scarce training resources. "Results" is the key word. In any enterprise, resources are invested to produce desired or expected results. In building competency models, we need to identify competencies that will improve results, making it worth investing in their development and use.

Definition of a Competency

How is a competency different from the knowledge, skills, and abilities (KSAs) that most people are familiar with in our merit system? Competencies encompass KSAs but also *other characteristics* or *personal characteristics*. (See the Glossary in "Our Workforce Matters.") Here's a definition:

> A **competency** is a characteristic of an employee that contributes to successful job performance and the achievement of organizational results. These include knowledge, skills, and abilities plus other characteristics such as values, motivation, initiative, and self-control.

Civil service exams are primarily based on the KSAs for a particular job. Other factors or characteristics also contribute to job performance, as noted in the competency definition. In the context of the selection process, other relevant personal characteristics are usually evaluated during the employment interview and probationary period. KSAs plus *other* characteristics are referred to as KSAOs or KSAPs ("P" for personal characteristics). Generally, a competency can be a KSAO or a combination of KSAOs taken together. See a discussion on KSAOs and competencies in *Competencies and KSAOs*, by James Kierstead, from the Public Service Commission of Canada http://www.psc-cfp.gc.ca/research/personnel/comp_ksao_e.htm.

The definition and use of competencies vary from one organization to another. You will need to adopt a competency approach or framework that works for you. To achieve the best results, it is important to clearly define and describe the framework in use for all involved.

Organizational Competencies

While this report focuses on **individual** competencies, **organizations** also have competencies. They are usually the result of collective individual competencies common throughout the organization. Organizational competencies have significant impact on organizational results and are worth identifying, if not developing.

Organizational competencies can include process improvement, teamwork, performance measurement, values, project management, new ways of thinking or performing, knowledge management, etc. These are built, in part, on individuals having the competency or related competencies. For example, an organizational competency of strategic planning is dependent upon managers having the skills to do the planning. In addition, the organization needs a workable planning process, skilled people assigned to coordinate the process, organizational performance measures, and systems for reporting performance data and tracking progress in meeting goals and objectives. All of these components could comprise the organizational competency of strategic planning. (1)

How Competencies Are Used

New York State government uses competencies in the following ways:

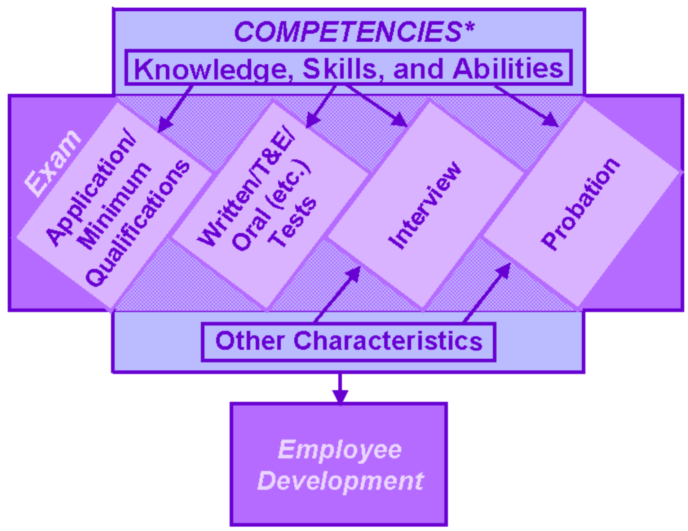
- Examinations. Under our State Constitution, laws, federal Uniform Guidelines for Employee Selection (http://www.uniformguidelines.com/) and other mandates and standards, examinations must be job-related. Job-relatedness is achieved by conducting job analyses to determine the critical KSAOs needed to perform the duties of the position.

  An examination includes a number of components or tests: the minimum qualifications; the main testing devices and types, such as written, performance and oral tests and training and experience evaluations; employment interview; and performance during probation.

- Employee training, education, and development. Competencies are used in determining and developing the training, education, and other development opportunities offered to employees.

Employee training and development is the primary reason why most agencies invest in competencies apart from the exam process. Competencies can be used for broad-based training and development, focusing on competencies that will be useful in a wide range of jobs. They can also be used in a more focused way, within succession planning, to prepare eligible employees for a job anticipated becoming vacant within a certain period of time.

Because of the competitive nature of the civil service examination process and the legal requirements for civil service examinations, the opportunity for training and development in KSAOs that may be tested in competitive examinations needs to be made reasonably available to everyone in the promotion field. Likewise, for the same reasons, while agencies are encouraged to help employees develop competencies they will need to perform the duties of target positions, they should not provide training for employees to take specific civil service examinations.



*Competencies for exams and employee development may be somewhat different.

Although it appears that we could use the same competencies for employee development and civil service examinations, this is not necessarily the case. As noted above, examinations must meet legal and professional standards of job relatedness, which means that knowledge, skills, abilities and other characteristics are identified and used within this framework. The difference in purpose may dictate differences in format and content. Certainly, there needs to be consistency between exam KSAOs and training and development competencies. Competencies developed for one purpose may provide useful information for other purposes.

In some human resource systems, competencies are used for many or most of the components of the system, including employee selection, evaluation, training and development and even job design and compensation. The various HR subsystems are linked together by competencies. The Minnesota Department of Transportation began implementing a competency-based system in 1994.

Competencies are **not** relevant to *classifying jobs* in our personnel system. New York State has a position classification system in which a job is classified according to the assigned duties and responsibilities, not the competencies possessed by the incumbent. Though job classification is not based on competencies, it is logical and appropriate to assign employees to positions within a title based on their competencies. A job class/title accommodates some variation in duties and responsibilities, as reflected in different positions within the class.

Employee evaluations in New York State government are based on tasks and expectations as specified in collective bargaining agreements, which cover most employees. Evaluations provide the opportunity for supervisors and employees to identify employee training and development needs that, if met, could improve performance. Competencies used in conjunction with the evaluation process can be a useful tool in identifying training and development needs.

For more information on using competencies for employee development, see Section 5: Strategy and Guidelines for Developing and Using Competencies, page 15.

2. DEVELOPMENT OF COMPETENCY MODELS

A **competency model** is a list of competencies, often organized into five or more groupings or clusters, attributable to satisfactory or exceptional employee performance for an occupation (e.g. managers, auditors, etc.) or group of titles. Some agencies refer to these as core competencies. The model can be used to identify the competencies employees need to develop to improve performance in their current job (title) or to prepare for other jobs via promotion or transfer. Employees' competencies would be compared to the appropriate model to determine where the gaps exist. Individual training and development plans (IDPs) could then be developed to bridge the gaps.

The development of a competency model involves researching the competencies possessed by successful and/or exceptional incumbents, that lead to achieving performance objectives. The most common approach being used by New York State agencies is to:

- Develop a list of potential competencies from a menu of competencies drawn from private and/or public sources; and

- Through focus groups, surveys, or interviews, determine which apply.

The variables to consider in developing a competency model include:

- The extent to which you build competencies from scratch or draw from existing models.

- Methods to use (e.g., focus groups, surveys, or interviews) to identify competencies, weigh their importance, and verify the model.

- Whether to engage a consultant or do it on your own.

The identification of competencies (a.k.a. KSAOs) for the purpose of developing examinations has traditionally been called "job analysis." There are a variety of job analysis techniques that may be used to identify relevant competencies for selection purposes. See Appendix A, Job Analysis Steps, for an example of an approach that may be used for traditional job analysis. You could use some of the same elements for competency modeling for other purposes:

- Identify the purpose of the competency model you are developing.

- Involve subject matter experts, perhaps supervisors of the titles/level you are working with who have extensive experience with the title/level.

- Consider using focus groups or interviews with satisfactory and exceptional employees in the target titles to generate or confirm information.

- Consider using a survey of incumbents to determine the applicability and importance of the competencies.

Another technique to consider is the behavioral event interview (or critical incident technique, http://www.emmus.org/html/frames/guidelines/EmmusWP3/methods/cit.html) which is an intensive face-to-face interview that involves soliciting critical incidents from performers and documenting what the performers were thinking, feeling, and doing during the incident. A critical incident is a characteristic and challenging event that embodies the most important aspects of the job. (2)

You could also develop behavioral statements to reflect each competency at two or more levels, such as supervisors, mid-level managers, and upper-level managers. Some competencies that apply at one level may not at another.

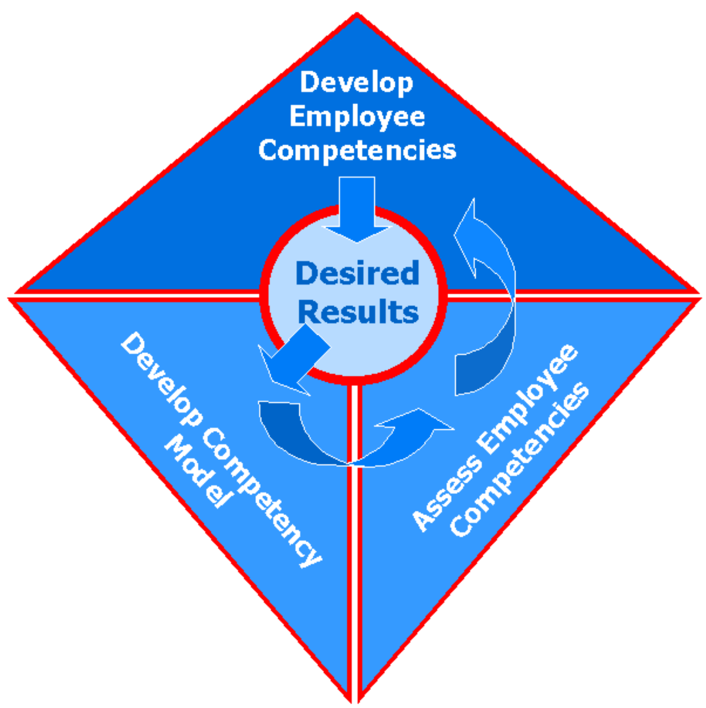
For more information on available methods for developing competency models, see Chapter 3 of David Dubois's book *Competency-Based Performance Improvement*. Also see how the State of Michigan developed their competencies for managers and supervisors. (http://www.state.mi.us/mdcs/OPE/group3report.htm)

A competency-based system is no better than its best component. Following are the competency-based system components:

- Identification/assessment of desired results: You need to know what organizational performance you are trying to achieve in order to identify the "desired state" competencies. Organizational performance assessment will also provide data to help evaluate the success of your development efforts.

- Competency models: You need to identify the competencies that truly have an impact on results.

- Employee competency assessment: You need to know the competencies of employees in order to compare them with the desired state (competency model).



- Employee development strategies and resources: You need to have the training and development programs and resources that can address the gap in competencies.

All four components require attention to achieve positive results, ensure efficient utilization of resources, and yield a high return on investment. If the information on results is faulty or insufficient, the wrong competencies may be in the model.

If the model is poorly constructed, the competencies may not accurately link to desired results. You may waste resources developing employees' competencies that are not needed. This could also happen if the method of assessing employees' competencies is inaccurate.

Finally, if staff development is not made a priority with sufficient resources committed to it, the development objectives may not be achieved. Employee and supervisor expectations would not be met and the effort would have a negative impact.

The key to avoiding these problems is to plan for all four components and scale the effort appropriately.

See Section 5: Strategy and Guidelines for Developing and Using Competencies, page 15.

3. COMPETENCY MODELS

The Workgroup has developed a competencies list (see Appendix B) that you can use to build a leadership/management competency model. We drew on a wide variety of existing models. You can choose among the competencies and edit the behavioral descriptions to meet your needs. We have chosen to use behavioral descriptions to define the competencies. Behavioral statements provide a more specific standard for determining whether the competency is present. There are drawbacks to this approach, however. For example, it is not possible to be comprehensive in terms of the behaviors that might demonstrate the competency. (3)

We have also provided sample competency group headings in Section 4 that you might find useful. In some cases, you may find that an individual competency on our listing would be more appropriate as a competency group heading. Also see links to other sites for competency models from other states, the federal government, Canada, and Australia.

See the following sites for competencies and competency models:

Competencies List in Appendix B of this report, page 29.

NYS Department of Civil Service
http://www.cs.state.ny.us/announ/mainpages/Prom%20Test%20Bat%20Guide/promtestbatguidesection1.htm#formidlevelhighlevelmanagers
Competencies tested on the Promotion Test Batteries for Mid-Level and High-Level Managers and Administrators.

NYS Office of Children and Family Services
http://www.goer.state.ny.us/workforce/agyinitiatives/ocfscompetencieschart.html
Management competencies.

State of Kansas
http://da.state.ks.us/ps/documents/comp/Definition%20and%20Descriptor%20Guide.pdf
State of Kansas Competency Model: Definitions and Examples of Behavioral Competencies.

State of Michigan
http://www.state.mi.us/mdcs/OPE/group4comp.htm
Group Four and SES Leadership Competencies Definitions & Key Actions - competencies for higher level managers and leaders.
Http://www.state.mi.us/mdcs/OPE/group3mgrcomp.htm
Group Three Manager Competencies Definitions & Key Actions - competencies for middle managers.

Http://www.state.mi.us/mdcs/OPE/group3supcomp.htm
Group Three Supervisor Competencies Definitions & Key Actions.

State of Washington
Http://hr.dop.wa.gov/workforceplanning/compprof.htm
Competency Profile Suggestions. This includes links to competency profiles for mid-level managers and others.
Http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm
Core competencies for mid-level managers.

US Office of Personnel Management
Http://www.opm.gov/ses/define.html
Competencies for the Senior Executive Service.

Public Service Commission of Canada
Http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#III
The site has five categories of management competencies with a total of 14 competencies with definitions.
Http://www.managers-questionnaires.gc.ca/career_development/competency_profiles/menu_e.shtml
This includes middle management competencies listed in interactive learning, narrative and summary formats.

Northern Territory Government of Australia
Office of the Commissioner for Public Employment. Updated Executive Officer Competencies.
Http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm

Competing Values Framework
This framework is used in GOER's "Challenges in Supervision and Management" training courses.
Http://www.goer.state.ny.us/Train/currprogsvc/infochallandpsfstrnrs.html Also see *Becoming a Master Manager: A Competency Framework* by Robert E. Quinn et.al.

Workforce: HR Trends & Tools for Business Results, an online publication.
Http://www.workforce.com/archive/article/23/11/74.php
31 Core Competencies Explained: Major competencies for which employers look, along with some of the behaviors associated with each.

4. COMPETENCY GROUPINGS

Organizations use a variety of ways to group their management and leadership competencies. The groupings should reflect the focus, management culture, and priorities of your organization. Here are some groupings for your consideration and links to the full listings so that you can see what competencies are grouped under each heading:

NYS Office of Children and Family Services
Http://www.goer.state.ny.us/workforce/agyinitiatives/ocfscompetencieschart.html

- Leading the Organization
- Making Decisions
- Interacting With People
- Personal Effectiveness
- Communicating
- Management
- Business Acumen

State of Michigan
Leadership, Managerial and Supervisory Competencies
Http://www.state.mi.us/mdcs/OPE/group3report.htm

- Personal effectiveness
- Communication
- Results Oriented
- Workforce Development
- Business Process Development
- Job Knowledge

State of Washington
Core Competencies for Mid-Level Managers
Http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm
These are not actually the groupings but the competencies themselves which are fairly broad. These could become groupings depending on how detailed your competencies are written.

- Communication
- Decision making
- Interpersonal Skills
- Leadership
- Strategic Planning
- Human Resource Management
- Program/Project Management
- Fiscal Management
- Technology Competence
- Interaction With the External Environment
- Innovation and Change Management
- Learning and Achievement Orientation

US Office of Personnel Management
Senior Executive Service--Appendix A of The Guide to Senior Executive Service Qualifications
Http://www.opm.gov/ses/define.html

- Leading Change
- Leading People
- Results Driven
- Business Acumen
- Building Coalitions/Communications

Public Service Commission of Canada
Manager Leadership Competencies
Http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#II

- Intellectual Competencies
- Future Building Competencies
- Management Competencies
- Relationship Competencies
- Personal Competencies

Northern Territory Government of Australia
Office of the Commissioner for Public Employment. Updated Executive Officer Competencies. These are listed as core competencies but could also be considered at a high enough level to be group headings.
Http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm

- Knowledge of Organizational Context
- Strategic Thinking and Planning
- Interpersonal Effectiveness
- People Development
- Management of Resources
- Management of Change
- Communication
- Leadership/Self Management

Competing Values Framework
This framework is used in GOER's "Challenges in Supervision and Management" training courses.
http://www.goer.state.ny.us/Train/currprogsvc/infochallandpsfstrnrs.html Also see *Becoming a Master Manager: A Competency Framework* by Robert E. Quinn, et.al.

- The Director Role
- The Producer Role
- The Coordinator Role
- The Monitor Role
- The Mentor Role
- The Facilitator Role
- The Innovator Role
- The Broker Role

Workforce: HR Trends and Tools for Business Results
31 Core Competencies
Http://www.workforce.com/

- Competencies Dealing With People: Leading Others
- Competencies Dealing With Service Delivery: Preventing and Solving Problems
- Self-Management Competencies

5. STRATEGY AND GUIDELINES FOR DEVELOPING AND USING COMPETENCIES

This section consists of a Strategy and Guidelines Chart and narrative. It includes information on the steps to take in developing and using competency models.

STRATEGY AND GUIDELINES CHART

I. Identify the positions you are establishing competencies for	
1.	Identify your objectives, including the positions, titles, title series, occupation, etc. to target.
2.	Determine the resources available.
3.	Develop a project work plan.
⇩	
II. Develop the competency model	
1.	Decide whether to adopt or modify existing material, or develop your own.
2.	Evaluate the impact of organization direction and organization-level competencies.
3.	Determine whether competencies will be for current and/or future responsibilities.
4.	Obtain examples of competency models and KSAOs.
5.	Identify the desired outputs and outcomes associated with the competencies.
6.	Select competencies for the model via committee, interviews, focus groups, survey, etc.
7.	Determine the relative importance of the competencies.
8.	Consider whether to define different levels of performance within each competency.
⇩	
III. Assess individual competencies and identify gaps	
1.	Determine employees' competencies.
2.	Conduct the gap analysis involving the employee and supervisor.
⇩	
IV. Develop strategies to address the gaps	
1.	Identify and prioritize the development needs.
2.	Create an Individual Development Plan (IDP).
3.	Identify resources to address the needs.
4.	Keep a centralized record of employee competencies.
⇩	
V. Reassess competencies & evaluate return on investment (ROI)	
1.	Reassess competencies on an annual basis, possibly using an ROI assessment.
2.	Collect a wide range of data on the results.

STRATEGY AND GUIDELINES NARRATIVE

This section provides you with a strategy and some practical tips helpful in selecting and developing a competency-based approach to staff development. William J. Rothwell, an authority on succession planning, connects strategy for a competency-based system to the effectiveness of succession planning and workforce development:

> "To be effective, succession planning and management should be based on reliable information about the organization's requirements and about individual performance and potential…Only by approaching these activities systematically can the organization ensure planned succession." (4)

Resources

I. Use the resources available for Succession Planning. Some are available from GOER/Civil Service and some are in your agency.

1. Civil Service/GOER's publication - "Our Workforce Matters" (http://www.goer.state.ny.us/workforce/planning/index.html).
2. Your agency's strategic plan, if it is active.
3. Your agency's workforce plan submitted to Civil Service.
   -- Points out single occupant titles.
   -- Has analysis for retirements and vulnerability.
4. Your agency's Human Resource office may have other staffing analyses as well as their workforce plan that could prove useful for your project.

II. Use the resources provided in our listing of links for competency models (see Section 3) and systems.

These links connect you to other state and federal agencies that have implemented competency systems. See also the books and publications on competencies (Section 9, page 26) by various experts. You may also want to consider hiring consultants. This can save you time and staff resources, but can be quite expensive.

Strategy And Steps

Each step in this strategy includes helpful tips to guide you. We hope these will save you time and effort in establishing a competency-based approach to staff development.

I. Identify the positions you are establishing competencies for

This step is about determining the scope of your effort. When you roll out a competency-based program, you need to clearly communicate the objectives and terminology to engage staff and reduce potential resistance and stress among employees. Competencies are not about being "competent" or "incompetent." They are about assuring that staff possess the right competencies and about effective allocation of resources.

1. Identify the objectives of your effort in light of your organization's workforce and succession plans and strategic plan. What positions in your organization do you plan on establishing competencies for and how will the competency model(s) be used? While you may decide to do your entire organization, you should start with your key positions, titles, title series, or occupations and develop a schedule to add the others. Some factors to consider in selecting target titles or positions is whether they are:
   -- Critical to the Mission of the organization.
   -- Prone to rapid turnover, and need jobs filled to maintain operations.

2. Identify the resources available for competency development and use. Be sure that the investment in competencies is consistent with the resources available for employee development.

3. Develop a project work plan.

II. Develop the competency model

This step is about developing the competency model. The model consists of the competencies needed to perform the responsibilities of the target title, occupation, etc.

1. Decide whether you want to adopt an existing competency model, modify an existing model, or develop one from scratch.

2. Analyze organization level documents like strategic plans from the perspective of how they might impact the competency model. For example, you need to be sure the model reflects important organizational competencies. The model should also address changes in functions and duties that will occur as the strategic plan is implemented.

3. Include competencies for current and future responsibilities. You can include a future focus by asking your managers and leaders in program areas if they anticipate changes in the way they do business in a year or two. For example, you may make a change in the method of service production or delivery like the recent automation at the checkout counters at stores where customers scan the items and cash out and an employee monitors several checkout lines. The key question is whether the potential changes will require different competencies.

4. Obtain competency models, lists of KSAOs, and other materials to use in developing your model:
   -- Existing models used by other organizations. (See Section 3, page 10.)
   -- Exam or position description KSAOs or competencies, including the Civil Service Battery selection device.
   -- Organization level documents, like the strategic plan, that communicate organizational competencies needing to be translated into individual competencies.

-- Staff performance programs.
-- Materials and assistance for sale from vendors.

5. Identify the outputs and outcomes that result from applying the model. What are the results that incumbents are expected to produce? For example, if an employee is expected to negotiate a contract, identify the characteristics of a successful contract and productive working relationship with the contractor. This can be done in the process of selecting the competencies in Step 6 or by drawing on performance measurement data and information. The objective is to identify the competencies that will lead to the desired results.

6. Select competencies for the model by using the best research method available, given time and other resources available and the objectives of your effort. Options include a committee of experts, interviews, focus groups, or surveys. Consider:
   -- Involving current incumbents, supervisors of the positions, direct reports, managers over the function, partners and/or customers. Including all would be a 360 degree approach.
   -- Focusing on competencies exhibited by the best performers, using the behavioral incident interviewing approach.

7. Determine the relative importance of the competencies in terms of achieving desired results and decide whether to include all relevant competencies in the model or only the ones that most correlate with results.

8. Consider whether to define different levels of performance within each competency. You may want to determine desired target levels for each competency for each job. For example, you may decide that upper management should have a higher level of the "visionary" competency than mid-level managers. Therefore, you might identify four levels of attainment, assigning level four to upper management and three to mid-level managers. Then you would develop a series of behaviors or factors to establish the standards for each level.

III. Assess employee competencies (gap analysis)

Once the competency models have been identified, you need to determine the extent to which you have staff available who possess the needed competencies. You are building the supply pool of staff to replace those leaving key positions. This is done by performing an analysis of the gap between the employees' current competencies and the competency model for the target title, title series, or occupation. The gap analysis provides the data you will use to identify training and development resources needed, and make critical resource decisions.

1. Determine the employees' current competencies relative to the competency model. See Washington State's material on their website (http://hr.dop.wa.gov/workforceplanning/compasst.htm).

- -- Consider developing a survey to determine the employees' competency levels. This could be completed by the employee plus others, using a 360 approach or something somewhat narrower. The questions could consist of a rating of the level of performance/possession of each of the competencies in the model for the target occupation or title. Many vendors have developed survey tools to assist with this process, which can save you from having to do it all yourself.
- -- Consider drawing on data from the performance evaluation process if it is an effective process.

2. Conduct the gap analysis. The employee and supervisor should collaborate to perform the competency/gap analysis at least annually. The "gaps" would be the competencies with the lowest scores if you were using the survey approach. For example, "visioning" could be a competency needed for upper level managers. If the employee has difficulty seeing beyond current operations and, therefore, has difficulty visioning, this is a gap between the employee's competencies and the model.

IV. Develop strategies to address the gaps

At this step, use the results of the gap analysis to create a strategy to address the development needs identified.

1. Identify the needs by individuals as well as by groups needing the same or similar development. This will help you sort out general needs versus less common but important ones, as well as providing information to help you prioritize the needs.

2. Develop Individual Development Plans (IDPs) for employees who want to participate.
   - -- The IDP will usually be a multi-year plan. A complete IDP will usually be impossible to address in one year. However, you should determine some priority order on the competencies that are most important to address first, balancing that with available resources.
   - -- The employee and supervisor should collaborate at least annually to develop/revise the IDP.
   - -- The IDP would include strategies to develop the weak or missing competencies from the assessment. The employee and supervisor may identify other development opportunities to address as well.
   - -- Training and development activities could include challenging new assignments, working on special projects, job rotation, being mentored, classroom training, e-learning, book and journal reading, participation in professional organizations, etc.

3. For each employee or group of employees, identify the resources for addressing development needs.

-- These may be internal or external, and range in price. Keep in mind there is a price for the use of internal staff, which is staff time taken from other responsibilities. Include this in your comparison to the costs of external sources before making your decisions.
-- Don't limit yourself to in-house resources. Consider partnering with other parts of your agency or other agencies, which may benefit both organizations.
-- Don't undervalue non-classroom methods like on-the-job training or mentoring. These development resources often hit home more clearly on the application of learning and provide the opportunity for dialogue with the more experienced staff.

4. Keep a centralized record of employee competencies. A database that contains competency profiles for each employee can help you address development needs and manage the resources much more efficiently.
   -- Do your homework. Shop around and talk to the users of products.
   -- Be sure a system is designed for competencies rather than training histories.
   -- Identify IT (information technology) support needed for either creating or modifying a system plus maintaining it. All systems need in-house maintenance to some degree, no matter what vendors may tell you.
   -- Look for opportunities to partner with other units in your organization for IT support.
   -- Keep the system as simple as possible to provide the outputs you desire. While others may need systems that provide on-line registration and status reports, a simple spreadsheet may work for you.

V. Reassess competencies and evaluate return on investment (ROI)

This step involves reassessing staff competencies and performance to confirm improvement. Analyzing this information helps determine if the resources were effectively allocated.

1. To maximize the benefit of resources allocated to staff development, consider implementing some level of annual Return On Investment (ROI) analysis. The following includes Kirkpatrick's four analysis levels plus Phillips' ROI:
   Level 1: Were participants satisfied with their training?
   Level 2: Did learning occur and were new competencies developed?
   Level 3: Did participants exhibit new behaviors?
   Level 4: Did participants create beneficial results from their behavior?
   Level 5: Did participants create a monetary return on the investment?

   -- ROI= Gain (program benefit) minus the program cost divided by the cost, times 100 [ROI=(G-C)/Cx100].

-- Example:

$221,850 Gain (Agency cost savings, increased productivity and/or increased revenue)
Minus $61,886 Cost (For trainer, supplies, facilities, participant salaries for time expended, etc.)
=$159,964 Net Gain
Divided by $61,886
=2.58
Times 100 (to make it percent)
=258% ROI (5)

Utilize agency training and development staff and GOER as a resource, as well as consultants on contract through GOER.

2. Collect a wide range of data to determine how well the competency program is working. Ways to collect evaluation information include periodic discussions with managers, assessing impact on performance measures, conducting an environmental scan, and implementing levels 1-5 ROI tools. These can be used to assess the effectiveness and efficiency of the overall development effort as well as each training resource.

6. AGENCY EXAMPLE: NYS OFFICE OF THE STATE COMPTROLLER

The Office of the State Comptroller (OSC) is implementing a competency-based performance management process designed to ensure continued effective organizational performance. The new process will aid in workforce planning and development by making provision for the development and replacement of key people over time. The competency-based performance management process is an employee development strategy with three separate components.

1. Identification of the competencies that are needed to effectively perform in different roles at various levels of the Agency.

2. Assessment of employee competencies against predefined OSC standards to determine the level of competency employees currently possess and identify strengths and development opportunities. This is a collaborative effort that takes place in a conversation between employee and supervisor.

3. Identification of available training or on-the-job assignments that may be used to improve targeted competencies. Classroom training typically focuses on acquiring knowledge and skills. This process complements the Performance Achievement System (PAS), for which employees have been asked to identify job-related performance goals, job assignments, mentoring, and other on-the-job activities, which may be a part of the recommended training. OSC recognizes that taking a course in a particular subject does not mean that one has achieved the desired level of proficiency in a particular area; competencies must be demonstrated.

For more information, see OSC Competency-Based Performance Management on the NYS Workforce and Succession Planning website.
(http://www.goer.state.ny.us/workforce/agyinitiatives/osccompprog.html)

7. OTHER COMPETENCIES LINKS

State of Kansas
Http://www.da.state.ks.us/ps/subject/comp/
This website is for the State of Kansas Competency Model Project, providing a succinct overview of the Kansas competencies project.

State of Michigan
Http://www.state.mi.us/mdcs/OPE/ldrreport.htm
Leadership Development Final Report May 20, 1999. This includes an overall discussion of leadership development and leadership competencies.
Http://www.state.mi.us/mdcs/OPE/group3report.htm
Group Three Competencies Final Report March 6, 2001. This provides detailed information about their project and process. Of particular interest are the rating scales they used to rate competencies that contribute to success on the job and the process used to rank importance of the competencies. These scales would be useful models for those wanting to use focus groups or to design surveys.

Minnesota
Http://www.doer.state.mn.us/staffing/stf%2Dt%2Dbx/rskl%2Dinf.htm
Reskilling Information for Human Resource Professionals and Executive Managers. This article includes a discussion of what competencies are.

Washington State
Http://hr.dop.wa.gov/workforceplanning/wfpguide.htm#Assessing Competencies
This is a discussion of how to assess employee competencies, from the State of Washington Workforce Planning Guide.

Public Service Commission of Canada (comparable to US Office of Personnel Management)
Http://www.psc-cfp.gc.ca/publications/monogra/comp_e.htm
This provides information on a PSC survey of organizations in Canada to obtain information on developing competencies. The site has summary results of the survey and different practices used by organizations that developed their own competencies.
http://www.psc-cfp.gc.ca/research/personnel/comp_history_e.htm
This is a human resources/competencies timeline starting with the Romans and leading up to today.
http://www.psc-cfp.gc.ca/research/personnel/comp_ksao_e.htm
This is a discussion of the difference between competencies and KSAOs.

Northern Territory Government of Australia
http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries12.htm
Competency Based Assessment and Training
http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries08.htm
National Public Administration Competency Standards

National Skills Standards Board (NSSB)
Http://www.nssb.org/
The National Skills Standards Board (NSSB) is a coalition of leaders from business, labor, employee, education, community, and civil rights organizations, created in 1994 to build a voluntary national system of skill standards, assessment, and certification systems to enhance the ability of the United States workforce to compete effectively in a global economy. Though it does not provide management competencies, it focuses on knowledge skills and abilities needed in a broad range of employment areas categorized by manufacturing and service industries.

8. ENDNOTES

1. Timothy R. Athey and Michael Orth, "Emerging Competency Models of the Future." *Human Resources Management* 38: New York; (Fall 1999): 216 and Paul C. Green, *Building Robust Competencies: Linking Human Resource Systems to Organizational Strategies* (San Francisco: Jossey-Bass Publishers, 1999), 25-27.

2. William J. Rothwell, and John E. Lindholm. *"*Competency Identification, Modeling and Assessment in the USA*." International Journal of Training and Development*, (Oxford, UK 1999), 98

3. Robert Fitzpatrick. "*Review of Building Robust Competencies: Linking Human Resource Systems to Organizational Strategies*" by Paul C. Green. *Personnel Psychology* (Durham, Spring 2000) 248-249.

4. William J. Rothwell, *Effective Succession Planning: Ensuring Leadership Continuity and Building Talent From Within*, 2nd Edition, (New York: AMACOM, 2001), 169.

5. Jack J. Phillips, series editor and Patricia Pulliam Phillips, editor, *Measuring ROI in the Public Sector* (Virginia: ASTD, 2002), Chandler Atkins, "How a Pilot Study Launched Training ROI Evaluation: New York State Governor's Office of Employee Relations," 101-116.

9. FURTHER READING

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Spencer, Lyle M., Jr., and Signe M. Spencer. ***Competence at Work: Models for Superior Performance***. New York: John Wiley & Sons, Inc., 1993.

Whiddett, Steve, and Sarah Hollyforde. **The Competencies Handbook.** London: Institute of Personnel and Development, 1999.

10. WORKGROUP MEMBERS

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APPENDIX A

JOB ANALYSIS STEPS

1. Create a draft listing of important job components and associated knowledge/skills/abilities (competencies) by reviewing classification documents, job specifications, and other records describing the job and benchmarking other states and/or federal agencies. Job components are major activities, duties, functions, or responsibilities involved in performing the job.

2. Interview a sample of incumbents (conduct job audits) to verify and expand upon the draft of important job components and competencies.

3. Create a second draft of important job components and associated competencies based on the interviews.

4. Have subject matter experts review the second draft, and contribute additional information.

5. Create a third draft of important job components and associated competencies based on subject matter expert input.

6. Create a job analysis questionnaire from the third draft and distribute it to a representative sample of incumbents. The purposes of the questionnaire are to verify the accuracy of the information, to assess the relative importance of each job component and competency with respect to successful job performance, and to determine whether the competencies are brought to or acquired on the job.

7. Create a final draft of essential job components and linked competencies based on the compilation and analysis of completed job analysis questionnaires. Some competencies may link to multiple job components.

8. Determine appropriate testing tools for assessing the competencies.

9. Have subject matter experts review and approve the results.

APPENDIX B

LEADERSHIP AND MANAGEMENT COMPETENCIES LIST

The Competencies Workgroup created this listing, drawing heavily on the competency models cited in the Workgroup's report (see page 10). The competencies are offered for your use in constructing your own leadership and management competency models. Note that:

- It is not a comprehensive list but includes competencies that the Workgroup considered important.
- In many cases competencies overlap.
- Some competencies listed may also be used to group several competencies.
- The definitions are in the form of behavioral statements, wherever possible, to ground the competencies in observable behaviors.
- You may wish to create a summary definition from the bullets, delete bullets, or add your own to tailor the competencies for your own use.

Send questions and comments to workforce@goer.state.ny.us.

Competencies

Accountability

- Defines objectives and strategies to meet customer requirements and organizational goals and objectives.
- Manages performance to achieve expected results.
- Keeps informed of performance through face-to-face meetings, written communications, analytical reports, and performance measures.
- Keeps supervisor informed of progress, issues, and potential problems.
- Maintains a cost/effective balance of controls and risk-taking to ensure effective and efficient operation within budget.
- Identifies and addresses areas of weakness that may affect organizational performance.
- Takes full responsibility for results.

Analytical Thinking

- Approaches a situation or problem by defining the problem or issue; determining its significance; collecting data; using tools such as flow charts, Pareto charts, fish diagram, etc. to disclose meaningful patterns in the data; making inferences about the meaning of the data; and using logic and intuition to arrive at conclusions or decisions.
- Sees most of the forces, events, entities, and people that are affecting (or are being affected by) the situation at hand.
- Makes a systematic comparison of two or more alternatives.
- Notices discrepancies and inconsistencies in available information.
- Identifies a set of features, parameters, or considerations to take into account, in analyzing a situation or making decisions.
- Approaches a complex task or problem by breaking it down into its component parts and considering each part in detail.
- Weighs the costs, benefits, risks, and chances for success, in making a decision.
- Identifies many possible causes for a problem.
- Carefully weighs the priority of things to be done.

Building Trust

- Communicates an understanding of the other person's interests, needs and concerns.
- Makes and meets commitments that contribute to addressing the other person's interests, needs, and concerns.
- Identifies and communicates shared interests and goals.
- Identifies and communicates differences as appropriate.

- Addresses perceived harm to the other person by fully acknowledging any harm done, clarifying intentions, and finding a suitable remedy that affirms the value of the relationship.
- Uses a win-win approach to resolving conflicts or conducting negotiations.
- Develops, maintains, and strengthens partnerships with others inside or outside the organization who can provide information, assistance, and support.
- Demonstrates honesty, keeps commitments, and behaves in a consistent manner.
- Shares thoughts, feelings, and rationale so that others understand personal positions.
- Remains open to others' ideas and opinions even when they conflict with their own.

Change Management

- Demonstrates support for innovation and for organizational changes needed to improve the organization's effectiveness.
- Initiates, sponsors, and implements organizational change.
- Helps others to successfully manage organizational change.
- Facilitates the implementation and acceptance of change within the workplace.
- Acts as a champion for change.
- Develops, plans, and follows through on change initiatives.
- Accepts the ambiguity that comes with change activities.
- Encourages others to seek opportunities for different and innovative approaches to addressing problems and opportunities.
- Involves appropriate parties in changes.
- Encourages others to question established work processes or assumptions and challenges them to ask "why" until cause is discovered.
- Addresses change resistance and shows empathy with people who feel a loss as a result of change.
- Works cooperatively with others to produce innovative solutions.
- Facilitates groups or teams through the problem-solving and creative-thinking processes leading to the development and implementation of new approaches, systems, structures, and methods.
- Implements or supports various change management activities (e.g., communications, education, team development, coaching).
- Establishes structures and processes to plan and manage the orderly implementation of change.
- Helps employees develop a clear understanding of what they will need to do differently as a result of changes in the organization.

Coaching

- Clarifies responsibilities, authority, and expectations.

- Provides timely guidance and feedback to help staff accomplish a task or solve a problem.
- Provides guidance in how to strengthen knowledge and skills to improve personal and organizational performance.
- Provides new assignments and experiences to develop the employees' capability.
- Communicates effectively and develops subordinates.
- Conducts performance appraisal and feedback.
- Works with employee behavior problems.

Communicating in Writing

- Presents information, analysis, ideas, and positions in writing in a clear and convincing manner.
- Organizes written ideas clearly and signals the organization of the document to the reader (e.g., through an introductory paragraph or use of headings).
- Uses appropriate writing style consistent with organizational guidelines and norms.
- Tailors writing to effectively reach the intended audience.
- Uses graphics and other aids to clarify complex or technical information.
- Documents created include correct spelling, grammar and punctuation.
- Demonstrates a willingness to share ideas and perspectives and encourages others to do the same.

Communicating Orally

- Makes clear and convincing oral presentations(to individuals and groups) that achieve their purpose.
- Speaks clearly so that others can hear what is being said.
- Tailors oral communications, whether formal (e.g., speech) or informal, to the level and experience of the audience.
- Uses presentation software, graphics, and other aids to clarify complex or technical information.
- Organizes ideas in a clear, logical flow that can easily be followed by the audience.
- Maintains eye contact with all members/areas of the audience, unless cultural norms dictate not maintaining eye contact in individual communications.
- Listens effectively (see definition, page 39).
- Summarizes or paraphrases understanding of what listeners say in questions or comments to verify understanding and prevent miscommunication.
- Demonstrates a willingness to share ideas and perspectives and encourages others to do the same.

Conflict Management

- Recognizes differences of opinion, brings them out into the open for discussion, and looks for win-win solutions.
- Uses appropriate interpersonal styles and methods to reduce tension or conflict between two or more people.
- Finds agreement on issues and follows through on implementation.
- Deals effectively with others in an antagonistic situation.

Continual Learning

- Demonstrates an understanding of new information.
- Masters new technical and organization concepts and information.
- Builds on strengths and addresses weaknesses.
- Curious.
- Pursues self-development.
- Seeks feedback from others and is receptive to new ideas and perspectives.
- Seeks opportunities to master new knowledge.

Continual Improvement

- Stresses accountability and continuous improvement.
- Builds on ideas of others to come up with new ways to address organizational issues or problems.
- Generates creative new solutions and approaches to customer issues and organizational processes.
- Makes use of quality tools to improve processes.

Customer Focus

- Makes customers and their needs a primary focus of one's actions.
- Develops and sustains productive customer relationships.
- Readily readjusts priorities to respond to pressing and changing client demands.
- Quickly and effectively solves customer problems.
- Is accessible and provides prompt, attentive service.
- Talks to customers (internal or external) to find out what they want and how satisfied they are with what they are getting.
- Develops and maintains strong relationships with customers.
- Develops trust and credibility with the customer.
- Lets customers know he/she is willing to work with them to meet their needs.

- Finds ways to measure and track customer satisfaction.
- Presents a cheerful, positive manner with customers.
- Understands and is responsive to customers' objectives and needs.
- Goes the extra mile to satisfy customer needs and expectations.

Decision Making

- Makes timely and sound decisions.
- Identifies and understands issues, problems, and opportunities.
- Compares data from different sources to draw conclusions.
- Uses effective approaches for choosing a course of action or developing appropriate solutions.
- Takes action that is consistent with available facts, constraints, and probable consequences.
- Modifies decisions based on new information when appropriate.
- Takes calculated risks.
- Takes responsibility for decisions.
- Understands the impact and implications of decisions and provides feedback on outcomes.
- Creates relevant options for addressing problems and opportunities and achieving desired outcomes.
- Includes others in the decision-making process as warranted to help make the most appropriate decision and to gain buy-in.

Delegation

- Assigns decision-making and work functions to others in an appropriate manner to maximize organizational and individual effectiveness.
- Clearly communicates the parameters of the delegated responsibility, including decision making authority and any required actions, constraints, or deadlines.
- Provides appropriate support and acts as a resource depending on the situation and capabilities of the employee.
- Establishes procedures to keep informed of issues and results of delegated responsibilities.

Developing Others

- Uses appropriate methods and a flexible interpersonal style to help others develop their capabilities.
- Provides helpful, behaviorally specific feedback to others.
- Shares information, advice, and suggestions to help others to be more successful.

- Provides effective coaching.
- Gives people assignments that will help develop their abilities.
- Regularly meets with employees to review their development progress.
- Recognizes and reinforces people's developmental efforts and improvements.
- Expresses confidence in others' ability to be successful.
- Participates in opportunities to enhance knowledge and skills in others.
- Helps others learn new systems, processes, or programs.
- Collaboratively works with direct reports to set meaningful performance objectives.

Emotional Intelligence

- Demonstrates an ability to control and filter emotions in a constructive way.
- Exhibits consideration of the feelings of others when/before taking action.
- Demonstrates recognition of the various psychological and emotional needs of people.
- Expresses feelings clearly and directly.
- Balances feelings with reason, logic, and reality.
- Demonstrates an appreciation of the differences in how others feel about things.

Empowering Others

- Gives people latitude to make decisions based on their level and area of responsibility and level of knowledge and skills.
- Encourages individuals and groups to set their own goals consistent with organizational goals.
- Provides resources and support needed.
- Encourages groups to resolve problems on their own; avoids prescribing a solution.

Entrepreneurship

- Actively seeks out and identifies opportunities to develop and offer new products and services within or outside the organization.
- Proposes innovative business deals to customers, suppliers, and business partners.
- Initiates actions that may involve deliberate risk to achieve a recognized benefit or advantage.
- Stays abreast of government, business, industry, and market information that may reveal opportunities for innovative products and services.
- Also see *Innovation*.

Establishing Focus/Setting Direction

- Acts to align own unit's goals with the strategic direction of the organization.
- Ensures that people in the unit understand how their work relates to the organization's mission.
- Ensures that everyone understands and identifies with the unit's mission.
- Ensures that the unit develops goals and a plan to help fulfill the organization's mission.
- Uses effective techniques to define outcomes and expectations.

Exercising Self-Control and Being Resilient

- Keeps functioning effectively under critical and tight deadlines, heavy workloads, and/or other pressures.
- Can effectively handle several challenging problems or tasks at once.
- Maintains self-control when personally criticized (vs. criticizing ideas), verbally attacked or provoked.
- Maintains a sense of humor under difficult circumstances.
- Deals effectively with pressure and stress.
- Maintains focus and intensity and remains optimistic and persistent, even under adversity.
- Recovers quickly from setbacks.
- Effectively manages own behavior and time, including balancing work and personal life.

Facilitation

- Uses group skills to lead the group to consensus, effectively solve problems, and accomplish tasks.
- Exhibits behaviors and techniques that enhance the quality of group processes.
- Evokes participation and creativity from others.
- Effectively distinguishes process from content.

Fiscal Management

- Develops program and resource plans and budgets for projects, or units.
- Understands the relationship of the budget and resources to the strategic plan.
- Monitors expenditures and resources to ensure spending is within allotments, or makes appropriate modifications.

- Complies with administrative controls over funds, contracts, and procurements, to preclude fraud or mismanagement of government resources.
- Monitors and verifies ongoing cost effectiveness.

Flexibility

- Makes effective decisions and achieves desired results in the midst of major changes in responsibilities, work processes, timeframes, performance expectations, organizational culture, or work environment.
- Picks up on the need to change personal, interpersonal, and professional behavior quickly based on the demands of the project, customer, or solution.
- Re-evaluates decisions when presented with new information.
- Readily integrates changes midstream into work processes and outputs.
- Is able to see the merits of perspectives other than his or her own.
- Demonstrates openness to new organizational structures, procedures, and technology.
- Switches to a different strategy when an initially selected one is not working and not worth the investment to try to make it work.
- Maintains effectiveness when experiencing major changes in work tasks or the work environment.
- Shifts gears comfortably.
- Makes decisions and acts without having to have every detail clear.

Getting Results

- Takes risks in improving products and services, while holding self and others accountable.
- Finds or creates ways to measure performance against goals.
- Seeks to accomplish critical tasks with measurable results.
- Strives for excellence in performance by surpassing established standards.
- Has a strong sense of urgency about solving problems and getting work done.
- Develops clear and challenging but achievable personal and organizational goals.
- Identifies and pursues desired outcomes for projects and meetings.
- Continues to work toward achievement of goals in the face of obstacles.
- Shows a significant level of effort, persistence, and time commitment to achieve goals.
- Takes extraordinary measures to solve problems and get work done when the situation calls for it.
- Doesn't allow mistakes, failure, and other personal crises to undermine results.

Influencing Others

- Presents facts, analysis, and conclusions or solutions in a way that demonstrates command of content; factors in perspectives and interests of the audience; and shows what's in it for them or what meets the common good.
- Appropriately, involves others in a process or decision to ensure their support.
- Offers trade-offs or exchanges to gain commitment.
- Structures situations (e.g., the setting, persons present, sequence of events) to create a desired impact and to maximize the chances of a favorable outcome.
- Works to make a particular impression on others.
- Identifies and targets efforts to influence the real decision makers and those who can influence them.
- Seeks out and builds relationships with others who can provide information, intelligence, career support, potential business, and other ways to help.
- Takes a personal interest in others (e.g., by asking about their concerns, interests, family, friends, hobbies) to develop relationships.
- Presents information or data that has a strong effect on others as evidenced by their reactions to it.
- Uses language and examples that speak to the issues, experience and organizational level of the audience.
- Uses stories, analogies, or examples that effectively illustrate a point.
- Uses graphics, overheads, or slides that display information clearly with high impact.
- Gains the support of others in meeting objectives by acknowledging their resistance and fears; addressing their questions and concerns; and accommodating them to the extent possible without undermining the effort.

Initiative

- Identifies what needs to be done and takes action before being asked, when the situation requires it.
- Does more than what is normally required in a situation.
- Seeks out others involved in a situation to learn their perspectives.
- Takes independent action to change the direction of events.
- Takes prompt action to accomplish objectives and achieve goals beyond what is required.

Innovation

- Is receptive to new ideas and adapts to new situations.
- Exhibits creativity and innovation when contributing to organizational and individual objectives.

- Takes calculated risks.
- Seeks out opportunities to improve, streamline, re-invent work processes.
- Helps others overcome resistance to change.
- Thinks expansively by combining ideas in unique ways or making connections between disparate ideas.
- Explores numerous potential solutions and evaluates each before accepting any, as time permits.
- Targets important areas for innovation and develops solutions that address meaningful work issues.
- Develops new products or services, methods or approaches.
- Sponsors the development of new products, services, methods, or procedures.
- Develops better, faster, or less expensive ways to do things.
- Creates a work environment that encourages creative thinking and innovation.
- Adapts best practices and processes to the work unit.

Interpersonal Skills

- Considers and responds appropriately to the needs, feelings, and capabilities of different situations.
- Relates well with others.
- Maintains confidentiality.
- Demonstrates consistency and fairness.
- Anticipates and resolves confrontations, disagreements, and complaints in a win-win way.
- Is tactful, compassionate and sensitive, and treats others with respect.
- Provides timely and honest feedback in a constructive and non-threatening way.

Listening

- Provides feedback on what was heard.
- Responds to statements and comments of others in a way that reflects understanding of the content of what was said and the accompanying emotion expressed.
- Asks clarifying questions when understanding is incomplete to assure the speaker of the commitment to understanding what was said.
- Persists in seeking understanding despite obstacles.

Maintaining Personal Credibility/Meeting Ethical Standards

- Does what he or she commits to doing.
- Respects the confidentiality of information and concerns shared by others.
- Is honest and forthright with people.

- Provides frank, open, and accurate feedback while avoiding destructive comments.
- Has calm and steady demeanor.
- Works through interpersonal conflicts to ensure problems are addressed and relationships are strengthened.
- Carries his or her fair share of the workload.
- Takes responsibility for own mistakes; does not blame others.
- Conveys a command of relevant concepts, facts, and information in matters involved in.
- When confronted with ethical dilemmas, acts in a way that reflects relevant law, policy and procedures, agency values, and personal values.

Managing Performance

- Sets clear goals for the employees and the work unit.
- Works with employees to set and communicate performance standards that are specific and measurable.
- Supports employee efforts to achieve job and organizational goals (e.g., by providing resources, removing obstacles, acting as a buffer).
- Establishes and maintains formal and informal methods to track employees' progress and performance (e.g., status reports, managing by walking around).
- Provides specific performance feedback, both positive and corrective, as soon as possible after the event or action.
- Deals firmly and promptly with organizational performance problems by working with staff to diagnose problems, develop solutions, and monitor progress while keeping upper level management informed.
- Deals firmly and promptly with employee performance problems by establishing facts of behavior with the employee, setting expectations, monitoring behavior/performance, and taking disciplinary action when the behavior warrants it.
- Develops performance expectations and performance agreements with direct reports.
- Evaluates priorities to ensure the 'true' top priorities are handled satisfactorily.

Managing Risk

- Takes stances or makes decisions that involve personal risk, but which are judged advantageous to the individual and agency.
- Takes actions in which the benefits to the efficiency and effectiveness of service delivery are weighed against potential risks.
- Establishes prevention and detection internal controls which address potential risks of inefficiency, ineffectiveness, fraud, abuse or mismanagement with reasonable assurance (i.e., meet cost/benefit criteria).

- Creates a positive internal control environment by demonstrating support for the agency's internal program through behavior, presentations, and discussions.
- Handles risk and uncertainty.

Negotiating

- Confirms agreement on the facts.
- Confirms understanding of others' perspectives and wants.
- Clearly presents own perspective and wants.
- Achieves "win-win" outcomes by identifying common interests, clarifying differences, and achieving consensus or compromise.

Organizational Communications

- Ensures that others involved in a project or effort are kept informed about developments and plans.
- Ensures that important information from management is shared with employees and others as appropriate.
- Shares ideas and information with others who might find them useful.
- Uses multiple channels or means to communicate important messages (e.g., memos, newsletters, meetings, email, intranet).
- Keeps manager informed about progress and problems.
- Establishes communication plans and/or systems to ensure that communications fully support the work of the organization.
- Ensures that regular, consistent communication takes place within area of responsibility.

Partnering/Networking

- Develops networks and builds alliances.
- Participates in cross-functional activities to achieve organizational objectives.
- Collaborates across internal and external agency boundaries to meet common objectives.
- Keeps support areas like budget and HR informed of program priorities, needs, and issues, in pursuit of responsive service.

Political Skill

- In taking action, demonstrates an understanding and consideration of how it will impact stakeholders and affected areas in the organization.

- Makes remarks and gestures in politically charged situations that move the group or situation toward a productive outcome.
- Uses the "informal" organization to obtain information or accomplish something when the formal organization can't meet the need, without creating problems with the formal organization.

Project Management

- Ensures support for projects and implements agency goals and strategic objectives.
- Seeks and documents customer needs and ensures and measures customer satisfaction.
- Defines outcomes and expectations based on customer requirements.
- With staff, develops a workplan with tasks, timeframes, milestones, resources, and dependencies.
- Uses resources efficiently and manages effectively within budget limits.
- Ensures quality and quantity standards are met.
- Anticipates potential problems and institutes controls and contingency plans to address them.
- Monitors project progress and evaluates performance.
- Responds effectively to unforeseen problems.
- Identifies improvement areas and resolves barriers to task completion.
- Sets deadlines in a way that gets commitment from all parties involved.

Providing Direction

- Provides structure.
- Identifies a clear, motivating, challenging vision, and direction.
- Builds architecture to implement that vision and direction and empowers and enables organizational members to carry out and implement that vision.
- Aligns staff to goals, delegates effectively, motivates others, gives clear direction, and initiates projects or actions.
- Sets long- and short-term goals.

Providing Motivational Support

- Recognizes and rewards people for their achievements.
- Acknowledges and thanks people for their contributions in completing work and meeting customer needs.
- Expresses pride in the group and encourages people to feel good about their accomplishments.

- Finds creative ways to make people's work rewarding.
- Signals own commitment to process by being personally present and involved at key events.
- Identifies and promptly tackles morale problems.
- Gives talks or presentations that energize groups.
- Provides training and development activities.
- Provides challenging and enriching assignments that employees enjoy and learn from.

Solving Problems

- Approaches a situation or problem by defining the problem or issue.
- Determines the significance of problems.
- Collects data, distinguishing between relevant and irrelevant data.
- Uses tools such as flow charts, Pareto charts, fish diagram, etc. to disclose meaningful patterns in data.
- Makes inferences about the meaning of the data.
- Uses logic and intuition to arrive at decisions or solutions to problems that achieve the desired outcome.
- Also see *Analytical Thinking*.

Systems Thinking

- Implements solutions to organizational problems and develops organizational or service delivery systems in a way that factors in or encompasses the interactions of all of the systems and organizational entities involved.
- Provides analysis of problems and issues that accounts for the interactions of all systems and organizational entities involved over time.

Technical Credibility

- As technical legal and policy issues arise within the workforce, communicates understanding, interest, and commitment to addressing them.
- Appropriately applies procedures, requirements, regulations, and policies to related service delivery or regulatory activities.
- Develops program goals, objectives and strategies that are feasible and desirable in clear recognition of technical policies, issues, and limitations.
- Hires managers/supervisors who taken together provide an appropriate mix of technical and managerial expertise.
- Addresses organizational technical training and development needs.

Technology Use/Management

- Understands and uses basic technology as a tool in staff communication (e.g., email, scheduling, etc.).
- Understands technology well enough to make management level decisions on purchasing equipment, software, and other IT related expenses.
- Explores technological options for program operations.
- Explores new applications or enhancements with appropriate IT staff to assist staff in carrying out responsibilities and to provide better services to customers.
- Is creative and visionary in the application of technology to improve services and productivity.
- Encourages staff development and training for new IT applications.
- Proficient in using appropriate personal computer software and agency communication systems.
- Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness.
- Develops strategies using new technology to enhance decision making.
- Understands the impact of technological changes on the organization.

Thinking Strategically

- Formulates strategies that are achievable, cost-effective, and address organizational goals by themselves or in coordination with other strategies.
- Formulates strategies that take organization's strengths and weaknesses into account.
- Researches, interprets, and reports on long-term customer/client trends for the purpose of formulating policy and strategy.
- Provides analysis of policy issues, develops program proposals, and develops plans that address long-term customer and stakeholder needs and concerns.

Valuing and Leveraging Diversity

- Values diversity as exhibited in hiring choices, assignments made, teams formed, and interaction with others.
- Shows respect for people regardless of race, gender, disability, lifestyle, or viewpoint.
- Actively seeks out different viewpoints and leverages the benefits of different perspectives.
- Seeks to understand the perspective of others when he or she disagrees with them, and responds appropriately.
- Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound organizational results.

- Fosters an environment in which people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
- Recruits, develops and retains a diverse, high quality workforce.
- Develops and uses measures and rewards to hold self and others accountable for promoting and achieving diversity in respect to women, ethnic groups, and others in hiring and utilizing and developing staff.

Visioning

- Communicates a clear, vivid and relevant description or picture of where the organization should be three, five, or ten years out.
- Expresses the vision in a way that resonates with others as demonstrated by their words and actions.
- Builds a shared vision with others.
- Influences others to translate vision to action.

APPENDIX C: BACKGROUND OF THE WORKGROUPS

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (http://www.goer.state.ny.us/workforce or http://www.cs.state.ny.us/workforce) as they are completed. In addition to Competencies, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Staff Development
- Mentoring
- Management Mobility
- Knowledge Management and Transfer

Workforce and Succession Planning

Recruitment and Exams

- OMH is pursuing options to address recruitment and retention in critical titles. The initial focus is on titles which have traditionally been difficult to fill or for which there are shortages of qualified candidates such as nurses, psychiatrists, pharmacists, information technology titles, teachers, etc. Initiatives include requesting appropriate salary enhancements; obtaining increased flexibility through modifications to minimum qualifications or use of new titles; and, more focused recruitment activity.
- SED has a strategic recruitment plan to recruit and attract candidates to meet the specific needs of the various programs of the Department. Recruitment is for examinations as well as for opportunities that do not require use of a Civil Service eligible list. As part of this effort and for entry-level professional traineeships, SED conducts on-campus recruitment at historically African-American colleges.
- Working with the Department of Civil Service, SED conducts examinations for positions for which it is difficult to recruit on continuous recruitment and decentralized basis.
- NYSDOL was the pilot agency to first use the computer-based Civil Service examination for entry-level Auditors and Accountants.
- NYSDOL makes active use of its Employment Service web-based Job Bank and the America's Job Bank web site to recruit candidates for hard-to-fill entry-level vacancies
- NYSDOL is requesting increased minimum salaries in recruiting for the titles of Safety and Health Inspector and Boiler Inspector in Hempstead, Long Island.
- NYSDOL's Personnel Office piloted with the Department of Civil Service to develop and administer a PC-based performance test as a component of the examinations for the titles Unemployment Insurance Reviewing Examiner and Labor Services Representative, the most populous professional title in a major organizational program in the agency. The economies garnered for such a large recruitment effort clear a path toward the exams being offered more often or for spot recruitments when eligible lists become exhausted in certain key locations.
- Tax has developed a comprehensive recruitment program for auditors, accountants and IT professionals through a partnership between HR and program managers. The plan uses web technology and direct outreach to colleges and universities. Recruitment materials advertise the benefits of State employment, living in New York and specific benefits of employment with the Tax Department. See Tax's careers opportunity page on their web site: http://www.tax.state.ny.us/empopps.

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Scope

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Department of Civil Service

Workforce and Succession Planning

OVERVIEW OF THE WORKGROUPS

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- Recruitment and Selection
- Retiree Resources
- Retention
- Competencies
- Staff Development
- Mentoring
- Management Mobility
- Knowledge Management and Transfer

Click on the the highlighted and underlined workgroups to see the reports now available on the website.

Send questions and comments to nbk@cs.state.ny.us

Workforce and Succession Planning

Report of the Retiree Resources Workgroup September 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

Contents

Purpose Statement

In the years to come, the population of New York will change dramatically; population trends suggest that by 2015, one in five New Yorkers will be 60 or older. Similarly, the number of immigrants will continue to grow. Each will be customers or clients of one or more State government agencies and will have special needs for information and services.

The same predictors of population change tell us that employers will be challenged to provide the services these customers require; customer needs will strain a limited labor pool. Not surprisingly, the characteristics of the population-at-large are shared by the State government work force: many state employees are retirement eligible, will be retiring, and are not likely to be replaced at an equal pace. Finding qualified candidates may be difficult in a wide range of occupations since the number of available workers is declining.

As such, it is important for State government to consider alternative recruitment mechanisms, including the use of State employees who have retired. The Retiree Resource Work Group was convened to:

- Learn how State employee retirees are now being utilized by agencies and share what we learned;
- Understand agencies' views of the future need for this alternative labor pool;
- Understand the barriers as well as the inducements to hiring retirees; and,

- Suggest means to overcome those barriers.

In the context of this report, "retiree" is defined as a former employee who is now receiving benefits under any program administered by the New York State Employees' Retirement System. As such, this includes, but is not limited to, employees of State agencies, SUNY, CUNY, local governments, and school districts. A glossary of terms can be found in Appendix A. The definitions include: Retiree, Section 211; Section 212; The Two Year Bar; The Lifetime Bar; and Social Security Employment.

Workgroups

Link to a downloadable PDF version of the Retiree Resources Report (207KB)

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Methodology and Preliminary Findings

The group designed and developed a survey that was distributed to agencies to gather information on their practices, attitudes, and issues in hiring State retirees. The survey focused on: return to work options, use of Section 211 and 212, agency interest, employee interest, appointment mechanisms, work schedules, outreach to retirees, and hiring practices.

Forty-four surveys were sent out and 42 were returned.

Summary Analysis

- 40 agencies reemploy retirees (many use retirees for several purposes):
  - 7 agencies hire retirees for seasonal jobs
  - 8 agencies hire retirees for emergency fill ins
  - 11 agencies hire retirees for training successors
  - 25 agencies hire retirees for special projects
  - 18 agencies hire retirees as subject experts
  - 2 agencies hire retirees as expert witnesses
  - 14 agencies hire retirees for a variety of other reasons
- How often retirees are hired is based on why they are hired:
  - seasonals return every year
  - others are hired for various lengths of time
- Outreach to employees from agencies varies:
  - 21 agencies do not reach out to employees for Section 211 or 212 employment
  - 19 agencies do reach out to employees for Section 211 or 212 employment
- Those who do reach out hire retirees for emergency fill ins, hard-to-fill positions, and special projects.
- Most retirees hired back are hired in the same location. However, the title that they fill is usually different from the original title they had prior to retirement.
- The earnings limitation has not inhibited 26 agencies' ability to hire retirees. However, the earnings limitation does impact some specific higher paying professional titles such as psychiatrists, physicians, engineers, and technology

personnel.

- Most retirees are hired on a part-time basis and work until the monetary cap is reached.
- Retirees are hired by contract, on an hourly basis, or per diem.
- Motivation for retirees to come back to work includes the desire to remain productive, earn additional money, and make a gradual transition to full retirement.
- Eighteen agencies believe that the freeze waiver process inhibits hiring retirees.
- All 40 agencies believe that an expedited freeze waiver process would be beneficial to all.
- All 40 agencies who reemploy retirees reported that there is little resistance by their managers or unions to hire retirees.

The results of the survey prompted the group to seek more detail from eight agencies that routinely hired retirees. We conducted two focus groups. They were composed of a cross section of types of agencies and included the Department of Agriculture and Markets, Division of the Budget, Education Department, Office of Mental Health, Department of Motor Vehicles, Office of the State Comptroller, State University of New York, and Department of Taxation and Finance.

Each agency representative was sent a list of specific questions based on that agency's responses to the survey. Each agency prepared a short presentation that answered the questions posed and then entertained questions from the retiree resources group and from the other agency representatives present. The information gathered from the focus groups forms the basis for this report.

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Workforce and Succession Planning

Work Group Report - September 2002

Permitting New York State to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

> *In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.*

Contents

Part I: Overview

Our Scope and Methods

Our goal was to develop recommendations that would permit New York State, as a single employer, to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

Our work group explored several strategies for fostering management mobility, interviewed New York State managers whose careers have crossed functions and agencies, and assessed how the State's Civil Service laws and system promote or hinder management mobility.

Management mobility, therefore, can be an important tool in workforce and succession planning and management. Additionally, we studied the federal government's Senior Executive Service (SES) as a model of executive leadership development and commissioned a panel of experts - all former federal executives - through the National Academy of Public Administration to answer a series of questions posed on the structure, results, and potential for replication of the SES.

In a key comment, the experts told us: "Mobility for mobility's sake will lead to failure." Indeed, we observed that promoting management mobility is not an end in itself, but it can be an important tool for developing managers and for succession planning.

What is Management?

Positions in which employees:

- Set policies; exercise overall responsibility for execution of these policies; and/or direct individual departments, bureaus, or regional offices; or,
- Are empowered to manage the resources of an organizational segment, such as a section or unit.

What Is Mobility?

Movement across functional areas or between field and central office within a single State agency, and/or movement from one State agency to another.

True or False? A Manager is a Manager is a Manager?
Can generic management competencies - such as leadership, coaching, and customer orientation - outweigh technical knowledge in providing managerial direction to any agency operation. The Management Mobility Group explored this fundamental question. [See the Report of the Competencies Workgroup.]

Why Is It Important?

Federal human resources managers and executives identified "limited mobility" as a barrier to growing leaders in the public sector, according to the study "Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders," by the National Academy of Public Administration.

According to this report, three pillars of leadership development are **varied job assignments, education and training, and self-development**. "Being required to produce results in varied positions and contexts is critical to leader development," according to the report. "Pace-setting programs intentionally rotate high-potential candidates across functions, organizational elements, and geographic regions for development purposes… The most visible trend in developing leaders is a strong shift in emphasis toward this type of on-the-job approach."

How Does State Government Influence Manager Mobility?

We identified individual and systemic characteristics that contribute to management mobility, as well as significant systemic obstacles that we don't expect to disappear. While there are no quick fixes, there are numerous strategies that State agencies have already employed and others that can be explored.

Demonstrated top-level executive commitment is essential to ensure the success of agency-wide efforts. We have observed this to be the case in strategies implemented at Department of Health (DOH), Department of Motor Vehicles (DMV), Department of Public Service (DPS), Office of Real Property Services (ORPS), and the Department of Taxation and Finance (DTF). We also recognize that starting small is a valid option; many of these strategies can be implemented on a division, bureau, or team level, depending for their success on the support of a team leader, division director, or other mid-level manager.

Mentoring Report - PDF version (220KB)

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Workforce and Succession Planning

Report of the Employee Retention Workgroup - September 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

INTRODUCTION

An effective Employee Retention Program is a systematic effort to create and foster an environment that encourages employees to remain employed by having policies and practices in place that address their diverse needs.

Employee Retention Workgroup Definition

The way it was...in the past, New York State jobs were considered desirable and sufficient candidates could be found to fill most critical jobs. Moreover, once employed, workers would often spend their entire careers in State service. In areas where there was turnover, new employees could be recruited easily.

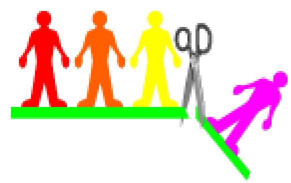
The way it is...today there is a high demand in the public and private sectors for workers in critical areas such as health care, information technology, engineering, accounting, and auditing. The supply of qualified workers is limited and good workforce planning requires a twofold approach of aggressive recruitment and innovative retention strategies. Retention policies need to focus on elimination of unwanted turnover.

Unwanted turnover is expensive.

Costs to the employer can include separation benefits, lost productivity, recruitment costs, training costs, and diminished services as new employees get up to speed.

In their book, Retaining Valued Employees, Griffeth and Hom 2001 report that turnover costs can run as high as 200 percent of the exiting employee's salary, depending on his or her skill level.(1) According to the newsletter of the International Association of Professionals in Employment Security, "When a valuable employee leaves, it costs the employer money - possibly up to a third of the employee's annual salary." (2) Differences between the two estimates may be due to the worker groups used as a reference, e.g., executives vs. hourly workers. While other sources differ on costs to employers, they generally agree that costs can be substantial.

Separation Costs



- Exit interview
- Administrative and paperwork costs
- Disbursement of benefits to separating employees
- Diminished productivity of remaining personnel

Replacement Costs

- Job advertisements
- Recruitment activities
- Administrative processing
- Entrance interviews
- Applicant selection
- Testing
- Travel and moving expenses (in certain situations)

Conclusion

Due to the unique nature of New York State services to the public, additional costs need to be considered, including the potential for diminished services to the public.

Frequently, high turnover areas include health and safety and technology jobs. These are positions which often require higher levels of training and education. Service naturally falls off when new employees need to be trained.

"...when a mental health professional leaves, his or her clients are reassigned to other professionals" (Hom, 1992). As a consequence, the employing organization must assume the clerical costs of transferring client records, the cost of the time spent by the supervisor to explain the client's background, and the cost of the time spent by other mental health professionals to learn the history of clients newly assigned to them." (3)

Today New York State agencies need to adopt effective retention strategies to assure they have the personnel needed to efficiently and effectively deliver mandated services. In order to assess retention strategies used by New York State today, State employee focus groups were assembled to discuss the topic.

Workgroups

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Workforce and Succession Planning

Report of the Mentoring Work Group September 2002

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What is Mentoring?

Mentoring is defined as "a deliberate pairing of a more skilled or more experienced person with a less skilled or less experienced one, with the mutually agreed goal of having the less skilled person grow and develop specific competencies."

(Source: *Beyond the Myths and Magic of Mentoring by Margo Murray, pg. xiii*)

Mentoring is a process by which the mentor and protégé work together to discover and develop the protégé's knowledge, skills, and abilities, usually in a particular area. The mentor acts as a teacher, coach and advisor, offering knowledge, wisdom, insight, or perspective that is especially useful to the protégé's personal and professional development.

In addition to formal mentoring programs, the focus of this report, mentoring also occurs in organizations on an informal basis - through a supervisor's daily contact with staff; through interactions with peers; and, through observation of someone who has succeeded in an area where we wish to excel. In some instances, we are the mentor, helping to guide others, and in some we are the protégé, learning from those around us. So, in addition to formal mentoring programs, there are ample opportunities in the workplace to mentor and be mentored on an informal basis.

Why is Mentoring an Effective Tool?

The organizational benefits of mentoring extend to the protégé, the mentor, and the organization itself.

The benefits to the protégé are obvious: mentoring contributes to a protégé's personal growth, professional maturity, career development, and leadership/managerial skills. Mentoring can also be used to expand opportunities for women and minorities who have traditionally faced roadblocks in moving up the corporate ladder by having them work closely with other managers and supervisors.

The benefits to the mentor are just as real, if less obvious. Being a mentor can contribute to the mentor's own personal and professional growth. As the mentor coaches and guides the protégé, he or she stays focused on the skills, characteristics, and styles that are valued by the organization and needed to succeed. Being a mentor also identifies you as someone of professional distinction who can serve as an example and role model for others. A mentor can also learn from the protégé knowledge and questions.

Finally, mentoring is an effective succession planning strategy that benefits the organization in numerous ways. Mentoring programs can be valuable tools in recruitment, retention, knowledge transfer, and workforce development. Mentoring can also contribute to the promotion of diversity in an organization.

In summary, mentoring programs offer a relatively low-cost opportunity to serve the needs of the protégé, the mentor, and the organization as a whole. Many studies have supported the benefits of mentoring programs.

What Does it Take to be a Good Mentor?

The following qualities are valuable for mentors to possess:

- Good listening and communication skills
- Good social skills/people oriented
- Genuine interest in helping others/supportive
- Good coaching and feedback skills
- Willingness and ability to commit time and energy to the mentoring relationship
- Knowledge and experience in a particular field and willingness to share this with the protégé
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- Respect of colleagues, respect for others
- Commitment to personal and professional development for self and others
- Belief in agency mission, vision, and values
- Ability to maintain confidentiality
- Ability to motivate others
- Achievement oriented
- Patience
- Integrity

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The following qualities are valuable for protégé's to possess:

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- Commitment and desire to learn
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Can Succession Planning Be Done Under Fiscal Constraints?

This question comes up often. Some think that workforce and succession planning is a waste of time when few jobs are being filled. Why plan if we can't fill jobs? Workforce and succession planning aren't just about preparing for the automatic replacement of employees who leave or retire. The concepts are broader.

Succession planning is about identifying critical positions and preparing to move people into those jobs, often to replace employees who are leaving. This needs to be done even though appointments may be delayed by budget restrictions. Workforce planning involves evaluating the current and anticipated work of the organization and then designing or re-designing jobs to fit the needs of the agency. Many agencies are re-assessing the work they do and re-evaluating the knowledge, skills and abilities needed by employees due to changes in technology, services provided, etc. It is about matching the workforce to the work that needs to be done.

Having said this, there are those who say: "Why do succession planning when everyone has to take a test anyway? You'll never know who will be at the top of the list." It's true; you will need to use eligible lists for competitive class positions and your succession planning needs to take this into account. It's not a matter of picking and developing a successor, hoping he or she will be reachable on the eligible list. You need to implement an approach that provides opportunities for development to all qualified employees on a voluntary or universal basis.

There are costs in time and effort associated with workforce and succession planning. But having the right staff in the right place at the right time who are properly trained should translate into a fiscal return and improved organizational performance. As such, workforce and succession planning are a long-term investment that continues to be worthwhile regardless of the waxing and waning of budgets. Who can argue with staff being well prepared for the challenges of agency strategic initiatives and the ever-changing world in which we work?

Workforce and Succession Planning

The Difference Between Workforce Planning and Succession Planning

This is an effort to distinguish between Workforce and Succession Planning.

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.

Both workforce and succession planning are critical to the health of any organization. Workforce planning involves addressing staffing needs by:

- Linking human resources planning with strategic planning-assuring that human resources are aligned with the agency/division's strategic goals and priorities;
- Understanding how agency/division functions will change over time;
- Understanding how changes in functions will affect job requirements;
- Understanding how the workforce is changing in terms of demographics, skills, interests and performance;
- Understanding how well the current workforce is prepared for future job requirements and identifying potential gaps;
- Developing strategies, including recruitment, retention, training, etc, to address staffing needs based on the gaps.

Succession planning is a subset of workforce planning in which critical positions are targeted and staff prepared to qualify for the targeted positions. The process mirrors to a large extent the workforce planning process and all of the above must also be considered when planning for succession to leadership and other critical positions. To assure consistent succession, agencies/divisions must:

- Assess the potential for vacancies in leadership and other key positions;
- Assess the readiness of current staff to assume these positions;
- Develop strategies to address these needs based on the gaps including mentoring, formal training in leadership and supervisory skills, working with staff to navigate the Civil Service System to assure appropriate promotional pools, developing strategies to retain current and potential staff, etc.

At any given time, an agency should be doing both workforce and succession planning. Focusing on agency and organizational unit levels to create training and development programs will ensure truly qualified candidate fields for their titles and occupations. Agencies will also be focused on hard-to-fill titles involving external recruitment.

Department of Civil Service

Workforce and Succession Planning

Report of the Retiree Resources Workgroup September 2002

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Purpose Statement

In the years to come, the population of New York will change dramatically; population trends suggest that by 2015, one in five New Yorkers will be 60 or older. Similarly, the number of immigrants will continue to grow. Each will be customers or clients of one or more State government agencies and will have special needs for information and services.

The same predictors of population change tell us that employers will be challenged to provide the services these customers require; customer needs will strain a limited labor pool. Not surprisingly, the characteristics of the population-at-large are shared by the State government work force: many state employees are retirement eligible, will be retiring, and are not likely to be replaced at an equal pace. Finding qualified candidates may be difficult in a wide range of occupations since the number of available workers is declining.

As such, it is important for State government to consider alternative recruitment mechanisms, including the use of State employees who have retired. The Retiree Resource Work Group was convened to:

- Learn how State employee retirees are now being utilized by agencies and share what we learned;
- Understand agencies' views of the future need for this alternative labor pool;
- Understand the barriers as well as the inducements to hiring retirees; and,

- Suggest means to overcome those barriers.

In the context of this report, "retiree" is defined as a former employee who is now receiving benefits under any program administered by the New York State Employees' Retirement System. As such, this includes, but is not limited to, employees of State agencies, SUNY, CUNY, local governments, and school districts. A glossary of terms can be found in Appendix A. The definitions include: Retiree, Section 211; Section 212; The Two Year Bar; The Lifetime Bar; and Social Security Employment.

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Report of the Competencies Work Group September 2002

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A key ingredient in any workforce or succession planning effort is knowing the capabilities and qualities, or competencies, people need to have to be successful in their jobs. Using competencies, we can determine whether employees are prepared to move to the next level in the organization or laterally to another functional area. And if they are not prepared, competencies can help identify the training and development activities needed to prepare them.

There is a nationwide trend toward using competencies as the basis for human resource systems. A few New York State agencies are beginning to use competencies, mainly for management development. However, the area of competencies is relatively new to most agencies. The Competencies Work Group was formed in January 2002 to provide agencies with information to help them sort out whether developing competencies would be useful and, if so, to provide some guidelines on how to proceed. While this report discusses competencies generally, the emphasis is on leadership and management competencies within a succession planning context.

- Section 1 introduces the concepts of competencies and how they are used.
- Sections 2, 3, and 4 cover the specifics of developing competency models and the resources available for developing them.
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Work Group Report - September 2002

Permitting New York State to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

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Our goal was to develop recommendations that would permit New York State, as a single employer, to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

Our work group explored several strategies for fostering management mobility, interviewed New York State managers whose careers have crossed functions and agencies, and assessed how the State's Civil Service laws and system promote or hinder management mobility.

Management mobility, therefore, can be an important tool in workforce and succession planning and management. Additionally, we studied the federal government's Senior Executive Service (SES) as a model of executive leadership development and commissioned a panel of experts - all former federal executives - through the National Academy of Public Administration to answer a series of questions posed on the structure, results, and potential for replication of the SES.

In a key comment, the experts told us: "Mobility for mobility's sake will lead to failure." Indeed, we observed that promoting management mobility is not an end in itself, but it can be an important tool for developing managers and for succession planning.

What is Management?

Positions in which employees:

- Set policies; exercise overall responsibility for execution of these policies; and/or direct individual departments, bureaus, or regional offices; or,
- Are empowered to manage the resources of an organizational segment, such as a section or unit.

What Is Mobility?

Movement across functional areas or between field and central office within a single State agency, and/or movement from one State agency to another.

True or False? A Manager is a Manager is a Manager?
Can generic management competencies - such as leadership, coaching, and customer orientation - outweigh technical knowledge in providing managerial direction to any agency operation. The Management Mobility Group explored this fundamental question. [See the Report of the Competencies Workgroup.]

Why Is It Important?

Federal human resources managers and executives identified "limited mobility" as a barrier to growing leaders in the public sector, according to the study "Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders," by the National Academy of Public Administration.

According to this report, three pillars of leadership development are **varied job assignments, education and training, and self-development**. "Being required to produce results in varied positions and contexts is critical to leader development," according to the report. "Pace-setting programs intentionally rotate high-potential candidates across functions, organizational elements, and geographic regions for development purposes… The most visible trend in developing leaders is a strong shift in emphasis toward this type of on-the-job approach."

How Does State Government Influence Manager Mobility?

We identified individual and systemic characteristics that contribute to management mobility, as well as significant systemic obstacles that we don't expect to disappear. While there are no quick fixes, there are numerous strategies that State agencies have already employed and others that can be explored.

Demonstrated top-level executive commitment is essential to ensure the success of agency-wide efforts. We have observed this to be the case in strategies implemented at Department of Health (DOH), Department of Motor Vehicles (DMV), Department of Public Service (DPS), Office of Real Property Services (ORPS), and the Department of Taxation and Finance (DTF). We also recognize that starting small is a valid option; many of these strategies can be implemented on a division, bureau, or team level, depending for their success on the support of a team leader, division director, or other mid-level manager.

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Part II - Barriers and Contributors

Contributors to management mobility include:

- For employees, knowing what positions are available. State Jobs
- For employers, knowing how to find the right candidate pool [Networks, Skills inventory]
- Networking through personal contacts, membership in professional organizations [Networks]
- Broad-based knowledge of State government operations http://www.albany.edu/~aspa, http://www.nysapa.org
- Willingness to move outside one's area of technical expertise
- Willingness to change work location and/or agency
- Knowledge of the agency, policy, or program area New York State Homepage
- Section 52.6 status and other broad transfer determinations [Civil Service Law]
- Support of management mobility from State and department executives
- Support of State executives for changes to control agency rules, policies, and procedures needed to facilitate mobility
- Job shadowing, project jobs, mentoring and rotational assignments used to identify and develop management talent [Project teams, Mentoring]
- Formal management development training courses, conferences, seminars [Management/Leadership training]
- Title consolidation of management titles across agency organization [Title consolidation]

Barriers to management mobility include:

- Managers like to appoint people they know
- Union concerns about members' loss of direct-line promotional opportunities
- Perception that managers who didn't "grow up" through the technical ranks cannot manage a technical organization [Competencies]
- Lack of universally offered formal management training and/or other development opportunities
- Taking on a new role may be difficult if it has a large impact on one's responsibilities outside of work

- Lack of support from subordinate and/or co-workers
- Lack of subordinate technical expertise that could otherwise permit manager to leave one area and move to another
- Control agency structural or situational constraints impacting fiscal, budgetary, and personnel decisions, e.g., budget freeze
- State workforce reductions may force more work on existing managers, reducing time available for grooming new managers
- Lack of organizational support for managers moving between department silos or to a new agency
- Resistance to title consolidation
- Lack of credit for on-the-job experience in the scoring of Civil Service examinations

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Part III - Using Existing Tools

Not only do we encourage the full exploration of each of the contributors to management mobility, but we also believe that "ramps" might be built over some of the barriers.

Existing strategies for increasing management mobility include using the following tools that individually or collectively facilitate the movement of managers across agency boundaries:

1. The Battery tests
2. Civil Service Law
3. Control agency experience
4. Internal consultants
5. Loaned executives
6. Management/Leadership training
7. Peer reviews
8. Professional organizations and networks
9. Project teams
10. Skills inventory
11. Title consolidation

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Part III - Using Existing Tools

8. Government Professional Organizations and Networks

Professional networks help managers broaden their understanding of statewide issues, learn other ways to "do business," and develop inter-agency contacts. This broader network of colleagues can be very useful to tap when issues arise or when you desire to recruit from outside your agency. Examples of such organizations include:

Agency Advisory Group

Fiscal management representatives from State agencies, convened by the Office of the State Comptroller. Contact Deputy Comptroller Ruth Walters at rwalters@osc.state.ny.us

American Society for Public Administration (ASPA), Empire State Capital Area Chapter (ESCAC)

National professional, non-profit membership association dedicated to promoting excellence in public service.
http://www.albany.edu/~aspa

American Payroll Association

Membership association for payroll professionals.

American Society for Training and Development (ASTD), Hudson Mohawk Chapter

International membership organization of workplace learning professionals.

Association of Certified Fraud Examiners (ACFE), Albany Chapter

Membership organization that promotes improved fraud detection and deterrence through expansion of knowledge and inter-personal contacts, networking opportunities, and support for investigators.

Association of Government Accountants (AGA), New York Capital Chapter

International membership organization for public sector accountants.

Capital Leadership Alumni

Graduates of the Albany-Colonie Chamber of Commerce Capital Leadership program.
http://www.ac-chamber.org/comminvolve/caplead.cfm

CapNet

Seminar series for women in the public and private sectors, sponsored by State Senator Mary Lou Rath during the legislative session. Contact Senator Rath at rath@senate.state.ny.us

Employee Relations Advisory Council (ERAC)

Advisory to the Governor's Office of Employee Relations and sponsor of annual labor relations training conference.

Financial Management System (FMS) Users Group

State agencies using FMS, the financial management system run by the Department of Correctional Services. Contact Tom Johnston at TLJohnston@docs.state.ny.us

Government Finance Officers Association (GFOA)

Membership association of public and private sector government finance professionals throughout New York State.

Information Systems Audit and Control Association (ISACA) Hudson Valley Chapter

International membership organization on IT governance, control and assurance.

Institute of Internal Auditors (IIA), Albany Chapter

Membership organization that promotes professional growth and development of internal auditors.

Interagency Committee on Electronic Data Processing (ICEDP)

Association of New York State information resource managers. http://www.icedp.org

International Personnel Management Association (IPMA)

Non-profit membership organization for the public sector human resource field.

Leadership Classroom Alumni

Graduates of the New York State Leadership Classroom management training program. http://www.goer.state.ny.us/Train/organizational/leadershipclassroom.html

New York State Affirmative Action Advisory Council

State agency equal employment opportunity and affirmative action officers.

New York State Forum for Information Resource Management

Network of public officials and state government organizations concerned with information management.

New York State Personnel Council

Created by Executive Order in 1954 to improve personnel and employee relations policies.

New York State Training Council

Voluntary organization with liaisons to each State agency that advocates and supports the training and development of the State's workforce.

Organization Development Learning Network (ODLN)

State agency training and organization development professionals. For information, contact Deb Berg at dberg@goer.state.ny.us

Payroll Users Group

Partnership between the OSC Bureau of State Payroll Services and agency payroll system users working to advise the bureau, improve payroll processing performance and support the payroll profession in State government. Contact Kathy Cooke at kcooke@osc.state.ny.us

Project Management Users Group

Office for Technology convenes this group monthly. Contact Brenda Breslin at Brenda.Breslin@oft.state.ny.us

Retired Public Employees Association (RPEA)

Membership organization of current and former State and local government employees.

Society for Human Resource Management (SHRM)

Worldwide personnel membership association.

State Academy of Public Administration (SAPA)

Association of invited Fellows established in 1974 to provide a forum for dialogue on critical public administration issues in New York State.
http://www.nysapa.org

Training Directors Roundtable

Voluntary association of the most senior training manager from each State agency.

Women's Government Network (WGN)

State government women meet monthly to exchange ideas.
Contact: Kelly Lopez, bdlope@budget.state.ny.us

Women In Technology International (WITI), New York Tech Valley Chapter

International membership organization dedicated to advancing women through technology.

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Why Is It Important?

Federal human resources managers and executives identified "limited mobility" as a barrier to growing leaders in the public sector, according to the study "Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders," by the National Academy of Public Administration.

According to this report, three pillars of leadership development are **varied job assignments, education and training, and self-development**. "Being required to produce results in varied positions and contexts is critical to leader development," according to the report. "Pace-setting programs intentionally rotate high-potential candidates across functions, organizational elements, and geographic regions for development purposes… The most visible trend in developing leaders is a strong shift in emphasis toward this type of on-the-job approach."

How Does State Government Influence Manager Mobility?

We identified individual and systemic characteristics that contribute to management mobility, as well as significant systemic obstacles that we don't expect to disappear. While there are no quick fixes, there are numerous strategies that State agencies have already employed and others that can be explored.

Demonstrated top-level executive commitment is essential to ensure the success of agency-wide efforts. We have observed this to be the case in strategies implemented at Department of Health (DOH), Department of Motor Vehicles (DMV), Department of Public Service (DPS), Office of Real Property Services (ORPS), and the Department of Taxation and Finance (DTF). We also recognize that starting small is a valid option; many of these strategies can be implemented on a division, bureau, or team level, depending for their success on the support of a team leader, division director, or other mid-level manager.

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Part IV - New Ideas

In addition to promoting the widespread use of existing tools, we suggest that New York State explore the potential of creating statewide capacity in:

1. Internal management consulting capacity.
2. Cadres of project managers.
3. Formal peer advisory panels.
4. Management skills inventory.
5. Management job clearinghouse.
6. Loaned executive program.

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Report of the Knowledge Management/Transfer Work Group - November 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

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Report of the Retiree Resources Workgroup September 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

Contents

Purpose Statement

In the years to come, the population of New York will change dramatically; population trends suggest that by 2015, one in five New Yorkers will be 60 or older. Similarly, the number of immigrants will continue to grow. Each will be customers or clients of one or more State government agencies and will have special needs for information and services.

The same predictors of population change tell us that employers will be challenged to provide the services these customers require; customer needs will strain a limited labor pool. Not surprisingly, the characteristics of the population-at-large are shared by the State government work force: many state employees are retirement eligible, will be retiring, and are not likely to be replaced at an equal pace. Finding qualified candidates may be difficult in a wide range of occupations since the number of available workers is declining.

As such, it is important for State government to consider alternative recruitment mechanisms, including the use of State employees who have retired. The Retiree Resource Work Group was convened to:

- Learn how State employee retirees are now being utilized by agencies and share what we learned;
- Understand agencies' views of the future need for this alternative labor pool;
- Understand the barriers as well as the inducements to hiring retirees; and,

- Suggest means to overcome those barriers.

In the context of this report, "retiree" is defined as a former employee who is now receiving benefits under any program administered by the New York State Employees' Retirement System. As such, this includes, but is not limited to, employees of State agencies, SUNY, CUNY, local governments, and school districts. A glossary of terms can be found in Appendix A. The definitions include: Retiree, Section 211; Section 212; The Two Year Bar; The Lifetime Bar; and Social Security Employment.

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Link to a downloadable PDF version of the Retiree Resources Report (207KB)

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Agency Practices on Hiring Retirees

Rationale

Agencies hire retirees to support both ongoing operational needs and the implementation of new initiatives. Their decisions are most often driven by the desire or need to tap into the knowledge and expertise of a former employee; however, the desire to recruit for hard-to-fill positions, to fill temporary seasonal positions or for special projects (such as Y2K) also provides a rationale to tap this skilled resource.

Statutory Limitations

Agencies must recognize the implication of re-employment on State retirees' pension benefits. Restrictions on employment of retirees are set forth in Sections 211 and 212 of the Retirement and Social Security Law. These sections of law provide a means to mitigate or eliminate the impact on retirement benefits when agencies choose to hire retirees.

In order for a retired person to be employed in the public service, the prospective employer must submit a written request for approval to the Civil Service Commission demonstrating that:

1. The person is duly qualified.
2. There is a need for the person's services
3. Other qualified persons are not readily available
4. Employment is in the best interests of the government.

(See http://assembly.state.ny.us/leg/?cl=104&a=22).

Section 211 allows an agency to rehire a retiree without diminution of benefits or limits income by use of a formula tied to the value of the pension benefit and the proposed salary. Section 211 is used to hire professional staff for special projects, for knowledge transfer, and in significant emergency situations, but is also commonly used as an alternative recruitment mechanism to hire retired law enforcement professionals into peace and police officer positions in New York State agencies.

Section 212, which sets a cap on income, is primarily utilized to provide clerical support, to perform seasonal work, and to provide vacation and weekend coverage for both support and professional permanent staff. Those employed under Section 212 are generally paid a fixed hourly rate. Section 212 has been used in some situations where retirees could provide a means to bridge the gap during periods of fiscal uncertainty.

Recruitment Methodology

Although most agencies feel there is a need to formally advise retiring staff of re-employment opportunities, most do not have a mechanism to do so. Information is informally dispersed, usually by word of mouth.

If an agency's need is for specific knowledge and expertise or to fill difficult to recruit for positions, most organizations contact former employees directly. It is not common practice for agencies to recruit retirees from other agencies or to recruit them for a type of work they did not previously perform.

Schedules

The schedules worked by rehired employees vary. Some work flexible schedules depending on the agency's and their needs. Others work fixed schedules, which may be influenced by the salary earnings cap.

Future Trends

Agency representatives understand that demographic trends over the next decade will increasingly impact recruitment from typical sources. They are open to and interested in a variety of solutions to meet those needs. Among the areas of interest are the use of virtual offices and telecommuting, which would allow agencies to attract retirees who have relocated to other parts of the country. Similarly, agencies are interested in sharing best practices so that the recruitment of retirees can be timely and effective.

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Challenges

In reviewing the survey and focus group responses, it was evident to the Retiree Resources Group that hiring a retiree is not a simple process. Some of the most common barriers agencies encounter are listed below:

Information

- Lack of awareness on the part of agencies and employees about the opportunities for and benefits of post-retirement employment
- Although information on post-retirement employment is available from a variety of sources, currently, there is no distribution of this information to employees prior to their separation from State service.

Data Bank

- Lack of an accessible, centralized data bank containing retiree contact information and a skills inventory.
- No systematic way of collecting and sharing agency experiences, strategies, successes, and failures in recruiting and hiring retirees to facilitate hiring them for a particular job.

Sections 211 and 212

- Lack of a simple comprehensive explanation of Sections 211 and 212 of the Retirement & Social Security Law for human resource professionals, supervisors, employees, and retirees.
- The current earnings formula for Section 211 of the Retirement and Social Security Law inhibits the ability to hire many professional-level retirees.
- The calculation formula and the resulting earnings cap in Section 212 of the Retirement and Social Security Law inhibits the amount of time many professional level retirees can spend on a return-to-work assignment.

Control Agencies

- Fiscal constraints limit filling or establishing positions for a limited duration, even though in the long run this saves money.
- The current classification process and structure limits options for agencies to hire a retiree (See Areas to Explore, Control Agencies, for recommendations to make the process more useful).

Individual Agencies

- Reluctance on the part of some agencies to allow flexible working arrangements and telecommuting, alternatives that are particularly appealing to retirees.
- Need for agencies to understand that tapping into retiree resources can help maintain continuity when historical knowledge goes out the door.
- Some agencies lack appreciation for retiree skills, which are often transferable to a wide range and level of duties.
- Currently, most agencies do not have long range plans that factor in the utilization of retirees for succession planning and knowledge transfer, "crunch" periods, and special projects.

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Areas to Explore

Sections 211 and 212 of the Retirement and Social Security Law were enacted to place appropriate restrictions on the rehiring of former public employees. The law reflects the recognition that, under most circumstances, it is inappropriate for a former public employee to receive a publicly-funded pension and be simultaneously employed by a publicly-funded governmental agency.

By their language, these sections of law also recognize that in some circumstances no adequate labor pool exists to perform duties essential to the delivery of government services. In such circumstances, retirees may perform the required work.

The Retiree Resource Work Group embraces the philosophy inherent in these statutes. We also recognize, however, that hiring skilled retirees can help State agencies provide necessary services during times of crisis at a reduced rate, with little or no additional training and without creating an unnecessary, permanent employment relationship.

If current trends continue, it is incumbent upon State government to seek creative ways to meet its labor needs. Retirees provide a significant resource to us, and to the people we serve, one which should not be overlooked.

Based upon considerable review, exploration with several New York State agencies and projections of future trends, the Retiree Resource Work Group suggests the following recommendations:

Information

- Establish a New York State website for retirees (job listings, benefits, aging, health information). http://www.colorado.edu/HumRes/retirees, http://www.princeton.edu/hr/policies/employment/213.htm
- Establish a joint labor/management communication mechanisms for publicizing opportunities for retirees to return to work.
- Identify ways to increase manager and employee understanding of Sections 211 and 212 (brochures, staff development, leadership forums, and posters).

Data Bank

- Develop a statewide retiree skills bank for ongoing and special needs, e.g., disaster relief. http://www.doc.state.nc.us/NEWS/cnews/0004/reup.html, http://hr.dop.wa.gov/geninfo/retire-rehire.htm

Sections 211 and 212

- Explore whether the limits imposed by the earnings formula used for Section 211 are realistic in light of the need agencies will experience for skilled retirees. This can be done by applying the formula to a range of hypothetical salaries and then asking the question: Is it reasonable to expect that retirees will be willing to return given this limit on their earnings?
- Learn how the earnings cap in Section 212 (currently $25,000) is determined. Ascertain if this is an arbitrary figure of if it is based on some reasonable formula.
- Use an annual maximum number of work hours in lieu of an annual earning cap for Section 212 hires to address salary needs in several titles. http://www.wa.gov/DRS/member/5937faq.htm

Control Agencies

- When fiscal conditions restrict hiring generally, allow expedited and/or blanket waivers for re-hiring retirees as a strategy for addressing critical needs while achieving cost savings.
- Grant a waiver on the basis of an annualized FTE that could be shared by a rotating pool of retirees.
- Redefine the duration of temporary six-month positions to allow their use as needed within one fiscal year rather than being limited to six consecutive months.
- Create a generic Civil Service job title for employment of retirees, e.g., Knowledge Transfer Specialist, Special Program Assistant, etc.
- Revise OSC salary rules for employment of State retirees to permit hiring State retirees at the hourly rate of their former position if they are doing work at their former level.
- Create incentives not otherwise available to attract retirees to return to work, e.g., benefit coverage including dental insurance, hearing coverage, vision coverage, health insurance premium reduction. http://www.businesswire.com/webbox/bw.030101/210602360.htm
- Establish enhanced flexible scheduling and phased retirement programs. http://www.businesswire.com/webbox/bw.030101/210602360.htm

Individual Agencies

- Increase use of job shadowing to further knowledge transfer.
- Adopt a virtual office and/or telecommuting program. http://www.govexec.com/jobs
- Include information on employment of State retirees in agency exit interviews and separation packages. http://www.doc.state.nc.us/NEWS/cnews/0004/reup.html

New York State Government is composed of talented, knowledgeable, and dedicated individuals. Many of these employees have recently, or will soon be, retired. It is hoped that agencies will benefit from the material and sources provided in this report, and that they will consider, explore, and expand upon ways to utilize this valuable human resource.

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Appendix A - Definitions

Retiree

In the context of the report, "retiree" is defined as a former employee who is now receiving benefits under any program administered by the New York State Employees Retirement System. As such, this includes, but is not limited to, employees of State agencies, SUNY, CUNY, local governments, and school districts. (See definition provided in Article 7, Section 210a of the Retirement and Social Security Law).

Section 211

A section of the New York State Retirement and Social Security Law which with certain restrictions, allows a public employee to return to public employment without diminution of his/her retirement benefit in response to a specific, hard-to-fill recruitment need. (See definition provided in Article 7, Section 210a of the Retirement and Social Security Law).

Earnings are unlimited unless the retiree returns to a former employer. A "former employer" is any public employer that paid a salary or compensation at any time during the two years before retirement, provided the retirement allowance is based in part on that salary and/or service.

Earnings from work for a former employer are subject to a set limit, which is the difference between the Option 0 retirement allowance and the retiree's final salary. (Option 0 is the basic retirement allowance. It provides for the payment of the maximum benefit each month; payments cease at death.) If the retiree earns over the limit, the Retirement System will recover any retirement allowance overpayment and/or, in some cases, suspend the retirement allowance.

In most cases, use of Section 211 also requires the approval of the Civil Service Commission (OSC Working After Retirement). See Appendix C for more information.

Section 212

Under Section 212, a State retiree may return to public employment, earn up to the annual amount set by law, and continue to receive his or her retirement allowance in response to a specific, hard-to-fill recruitment need. In 2002, the amount is $20,000; in 2003, $25,000. (See definition provided in Article 7, Section 210a of the Retirement and Social Security Law).

Beginning the calendar year a retiree turns 65, earnings are generally not limited by Section 212. Under the age of 65, a retiree who earns more than the Section 212 limit during a calendar year must pay back to the Retirement System an amount equal to the retirement allowance received after the mandated limit was reached. If the retiree continues to work, the retirement allowance is suspended. The age limit was lowered from 70 to 65 in 2002. (http://nysosc3.osc.state.ny.us/retire/members/workingafterretirement-members.htm) See Appendix C for more information.

The Two-Year Bar

The so-called "revolving door" prohibits State employees from appearing or practicing before their former agency for a period of two years. The restrictions of the two-year bar apply to appearing, practicing or working on matters before an employee's former agency while in the employ of another employer. As such, the two-year bar will generally not prohibit a State retiree from returning to work as an employee of his or her former agency or any other State agency; it will affect a retiree being hired as a consultant or through the auspices of another employing entity. For more information check the New York State Ethics Commission website.

Lifetime Bar

The lifetime bar prohibits former State employees from appearing before any agency or being paid for work on matters or transactions in which they were directly concerned and personally participated while working in State government. This rule prohibits appearances before any government body, including the State Legislature, Congress, and federal, State and local executive branch agencies, where an appearance relates to a matter on which the employee worked while with the State. Again, the lifetime bar will generally not prohibit a State retiree from returning to work as the employee of a department or agency of the State, however, it may affect a retiree being hired as a consultant or through the auspices of another employing entity.For more information check the New York State Ethics Commission website.

Social Security

Employment following retirement can, depending on the age of the retiree, impact the social security benefits received. For more information check this site.

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Appendix B - Bibliography

Generic Interest - Employer Need for Retirees to Return to Work

- Times Union, Albany, New York. 3/24/02. A Graying Pool of Workers (General information on employers needing to rely on older workers and what public employers are doing) Reprinted with permission of Knight Ridder/Tribune Information Services.
- http://www.freep.com/voices/columnists/erdz27_20000827.htm (Prediction that around 2010 there will be a national "go back to work" campaign aimed at senior citizens)
- The Graying Of Government Workers (Graying of government workers with younger applicants moving faster into the private sector)
- Companies Trying To Retain Would-Be Retirees (National Center for Policy Analysis article on would-be retirees being asked to consider staying on the job)
- Survey Finds Seniors Want To Work (National Center for Policy Analysis article on finding seniors want to work)
- Seniors at work: What retirement? (Article by consultant at William M. Mercer, Inc., a human resources consulting firm)

What Other States and Employers Are Doing

- Retirees Find Life Richer with Part-Time Work (North Carolina Department of Correction Retired Employee Utilization Program and description of the process)
- Government Code, Subchapter G, §824.602: Provisions Related to the Employment of Retired Educators (Employment of retired educators in Texas with no loss in pension)
- http://www.wa.gov/DRS/member/5937faq.htm (Post-Retirement Employment Law passed by the State of Washington)
- http://www.utsystem.edu/ohr/policies/returnretirees.pdf ( ) (Human Resources policy of the University of Texas on compensation of retirees returning to work)
- Welcome Retirees (Website welcoming retirees, discussing employment opportunities, giving information to those ready to retire, and retiree perks)
- http://hr.dop.wa.gov/geninfo/retire-rehire.htm (State of Washington website on employment of retirees)
- http://www.calpers.ca.gov/about/career/afterretirement.htm (State of California website for retirees to search for work as a retired annuitant with the State of

California; to create and store a resume for employers to view; to contact state agencies; and to review the rules of working after retirement)

- 2.13 Employment of University Retirees (Princeton University policy item on rehired retirees as casual or regular employees)
- Greenblat, Alan, "Maine Hires Retirees." Governing: Washington, D.C. (August 2002) 48

Retiree Recruitment Ideas

- Adecco Survey Finds that Benefits Influence Retirees Aged 55-70 to Return to Work (Adecco survey showing that benefits influence retirees to return to work)
- GovExec.com (US Government website with section on telecommuting policy)
- Retirees Find Life Richer with Part-Time Work (North Carolina Department of Correction Retired Employee Utilization Program and description of the process)
- Society for Human Resource Management - Online (December, 2001 Article on work place trends - Phased Retirement, Exit Strategies)
- http://www.calpers.ca.gov/about/career/afterretirement.htm (State of California website for retirees to search for work as a retired annuitant with the State of California; to create and store a resume for employers to view; to contact state agencies; and to review the rules of working after retirement
- Welcome Retirees (Website welcoming retirees, discussing employment opportunities, giving information to those ready to retire, and retiree perks)

New York State/Federal Publications for Retirees Interested in Returning to Work

- NYS Office of the State Comptroller Related Links (NYS website with information for retirees - aging, health insurance, deferred compensation, etc)
- NYS Office of the State Comptroller Retirement System Publications (NYS website with a variety of publications for retirees including explanations of Sections 211 and 212)
- NYS Department of Civil Service (NYS website with publication on retired employees and health insurance benefits)
- New York State Ethics Commission (Publication on ethics regulation and other excerpts from the NYS Public Officers Law)
- Socail Security Online (Social Security information on retirement)

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Appendix C - SUNY Procedures for the Reemployment of Retired Public Employees

This document is provided for your information with the following caveat: It details the policy and procedures for the utilization of Section 211 and 212 by the State University of New York (SUNY). Certain information contained in it is generic and some applies specifically to SUNY recruitment processes.

Background

Section 150 of the Civil Service Law of New York State mandates that retired State or local employees may not be rehired by the State or a political subdivision and receive pension benefits while employed. Sections 211 and 212 of the Retirement and Social Security Law do provide for exceptions to this rule.

Section 212 allows a retired state or local government employee to earn up to $25,000 on a calendar year basis and continue to receive full pension benefits. There is no earnings limit for persons age 65 or older. Retirees reemployed under Section 212 do not need advance approval; the Employees' Retirement System (ERS) and the Teachers Retirement System (TRS) send all retirees a mailing each year which includes a form on which to report Section 212 earnings for the previous year. (Note: Retired persons must file a statement with the retirement system electing to apply Section 212. See http://assembly.state.ny.us/leg/?cl=104&a=22).

Section 211 provides a waiver to the earnings limitation of $20,000 ($25,000 in 2003). The NYS Civil Service Commission may grant waivers under Section 211 for retired employees to be employed in positions in the classified service. The Presidents of State University of New York campuses may grant waivers under Section 211 for retired employees to be employed in positions in the unclassified service of the State University of New York, the professional service at the statutory colleges of Alfred and Cornell, and the unclassified service of the Community Colleges. However, certain criteria must be met in order to grant a waiver under the statute. Those criteria are:

1. the retired person is duly qualified, competent, and physically fit for performance of the duties of the position in which the retiree is to be employed;
2. that there is a need for the retiree's service in such position;
3. that there are not readily available for recruitment persons qualified to perform the duties of such position; and
4. the employment of the retiree is in the best interest of the government.

The clear intent of the law is to restrict the circumstances in which an individual can simultaneously receive both a salary and a pension from the State. This is important to avoid any appearance of impropriety. Thus, it is incumbent upon all campuses to ensure that requests for Section 211 waivers are limited to those cases where no other alternative (such as hiring a new employee or training an existing employee) is available.

Knowledgeable, older workers are a tremendous asset to the State, and campuses are encouraged to consider ways in which these individuals can provide their expertise and experience on a voluntary basis. However, the legal requirements must be complied with when hiring individuals who have previously retired from government employment.

In order to comply with the statutory requirements, before resorting to hiring a retiree pursuant to Section 211, the prospective employer must conduct a search to determine whether there are "readily available for recruitment persons qualified to perform the duties" of the position. In addition, the request that is submitted to the Civil Service Commission or the campus president must, at a minimum:

1. describe the duties of the position to be filled;
2. set forth the qualifications required of any individual to fill that position;
3. describe the recruitment efforts which have been undertaken;
4. certify that the recruitment efforts failed to locate any qualified non-retired individuals to fill the position;
5. certify that the retiree is duly qualified, competent, and physically fit to perform the duties of the position; and
6. explain why the employment of the retiree is in the best interests of the government service, including why the position cannot be filled through the transfer or training of existing State personnel.

Under Section 211 of the Retirement and Social Security Law, waivers may be granted for periods up to two years. As noted above, however, requests for such waivers should be made only rarely, and should be sought only for the time period that is absolutely necessary. If a request must be made to renew the employment of any individual after the completion of the two-year period, a new application with the necessary information must be submitted, and the prospective employer must again attest that no qualified persons are available for recruitment other than the retiree. A new search should be conducted before that attestation is made.

If a retiree exceeds their earning limit under Section 212 and does not receive approval under Section 211, their pension may be reduced.

Definition of Retiree

For the purpose of Section 211/212, a retiree is a person who is receiving a service retirement from ERS, TRS, or a NYC Public Retirement System. A member of the Optional Retirement Program (ORP) who separated from service at normal retirement age (55, or 50 in an incentive program) or older and has 10 years of service will be considered a retiree if they have received a retirement incentive or have begun to withdraw funds from their pension, either through annuitization or cash withdrawal.

Special rules apply to persons receiving a disability pension from a retirement system. They are not covered by Section 211/212. Other laws limit how much a disability pensioner may earn with the same or different employer. The rules are quite complex. If you are considering hiring a disability pensioner, you should check with the system from which they retired to determine their earnings limit prior to making an offer.

Definition of Earnings

Earnings for purposes of the earnings limit calculation are amounts actually earned in the year in question. Earnings do not include money earned in a prior year and received in the current year. Example: an employee retires on December 31, 2001 and in January 2002, receives a lump sum payment for unused vacation. That payment does not have to be included in 2002 earnings because it was earned in 2001.

In the year of retirement, earnings refers only to money earned after the date of retirement. Example: if an employee retires on September 1, 2002, only earnings for the period September - December, 2002 count towards the earnings limit.

Earnings in private employment (ex: the SUNY Research Foundation) do not count towards the earnings limit.

Earnings paid on Form 1099 count towards the earnings limit.

Re-Employment with the Same/Different Employer - Limited vs. Unlimited Earnings

Under Section 211, retirees re-employed by the same employer from which they retired are subject to an earnings limitation. Retirees re-employed by a different employer are not subject to an earnings limitation.

For this purpose, all New York State agencies, including SUNY campuses, are considered one employer. Other entities are generally considered separate and distinct employers. For example, each school district is a separate employer. So is each local government, public authority, Board of Cooperative Educational Services, and public benefit corporation. Each community college is considered a separate employer, except that in most cases, a community college and its sponsoring county are considered the same employer (exception: Corning and Jamestown Community Colleges are considered independent). City University of New York is considered a separate employer. Here are some examples:

- A retiree from a SUNY campus is re-employed at the same campus - earnings are limited.
- A retiree from the NYS Dept. of Transportation is re-employed at a State-operated campus - earnings are limited.
- A retiree from the NYS Dept. of Transportation is re-employed at a community college - earnings are not limited.
- A retiree from Monroe County is re-employed at Monroe Community College - earnings are limited.
- A retiree from a public school is reemployed at a SUNY campus (State-operated or community college) - earnings are not limited.

If a retiree was primarily employed by another employer but employed on a part-time basis at a SUNY campus, earnings will be limited if the campus employment occurred within two years of the employee's retirement date, and if the employee's pension is based in part on the campus service.

Some examples:

- A retiree from a school district also taught until the date of retirement at a SUNY campus (State-operated or community college). Anyone in this situation should have had their SUNY service reported to TRS, so earnings are limited.
- A school district employee retired in 2001. He/she last taught at a SUNY campus in 1995, and now wants to be re-employed by that campus. Earnings are unlimited.
- A NYC firefighter who taught on an adjunct basis at a SUNY campus wants to be re-employed at the same campus. As the firefighter would have been in the NYC Fire Department Pension Fund, and could not possibly have participated in that system at SUNY, the earnings are unlimited.

Questions about whether a given employee's earnings are limited should be referred to the retirement system from which they retired or to the SUNY University-wide Benefits Manager for ORP retirees.

Calculation Of Earnings Limitation

When an earnings limitation applies, it is calculated as follows:

1. Determine the salary the employee would be making if they had not retired. To do this, take the employee's base pay as of their retirement date and add any salary increases they would have received had they not retired. Include across-the-board increases but not discretionary increases.Note: if the employee was employed by two or more employers, salaries from all employers should be combined.
2. If the employee was in ERS/TRS, ask ERS/TRS to provide the final average salary.
3. Subtract from whichever is higher in 1 or 2 above, the employee's highest possible pension option. In ERS/TRS, this is the option 0 amount. In the ORP, assume the employee began annuity income upon retirement and selected a single life annuity with no guaranteed period. In all cases, this figure is provided by the retirement system.
4. Round the result up to the next multiple of $500.

Note: Sometimes ERS and TRS are not able to provide final pension figures at the time you ask. They may still be in the process of calculating the employee's pension. In that case, they will give you estimated figures. It is important to follow up in several months to request the final figures. Estimated figures will almost always be on the low side, so make sure the employee stays well under the earnings limit until you can obtain final figures.

If an employee's service will continue beyond the period specified on the original UP-211 and a new UP-211 is to be submitted, it may be necessary to contact the retirement system again to see if there are adjustments to the pension figures. ERS and TRS provide Cost of Living Adjustments (COLAs) to retirees age 62 or older and retired for five (5) or more years. If an employee might be eligible for a COLA, you should contact the retirement system to update pension figures at the time a new UP-211 is submitted. Pension figures in the ORP are based on a hypothetical annuity starting date and do not need to be updated.

Pension Membership

Employees rehired under Sections 211 and 212 may not rejoin their previous retirement system or elect to participate in a new retirement system. They may, however, participate in a tax-deferred savings program.

Effective Date of Reemployment

There are no regulations requiring a person be off the payroll a certain amount of time before being reemployed. However, the Office of State Comptroller (OSC) will not pay a retiree a lump sum payment for unused vacation unless they are off the payroll for at least one day.

Procedures for Processing Form UP-211 for Unclassified Service Employees

UP-211s may be approved for up to two years at a time. As the earnings limits are by calendar year, it is preferable that UP-211s be submitted by calendar year rather than academic year.

1. Determine if a UP-211 is necessary. If the employee will earn less than the Section 212 limit ($20,000 in 2002), a UP-211 is not necessary. If the employee will earn less than the Section 212 limit with one employer, but the combined total salary with multiple employers will exceed the Section 212 limit, then a UP-211 should be completed.
   If the employee is over age 70 or will turn 70 during the year in question, their earnings are unlimited under Section 212 and a UP-211 is not necessary.
2. Determine if the employee's salary is limited under Section 211. The employee's salary is limited if they are returning to work for the same employer. See above for definition of "same employer." If the salary is limited, the employee can only earn in post-retirement employment the difference between the salary they would be making had they not retired and their highest possible pension option.
3. Make sure the form is filled out completely. Information about final salary needs to be provided only when the salary is limited.
4. If the salary is not limited, the form is ready for approval by the president.
5. If the salary is limited, send a request to the appropriate retirement system for information. For ERS and TRS, ask them to provide the final average salary and the Option 0 pension amount. The final average salary may be used in place of the final salary if it is higher. For the Optional Retirement Program, ask TIAA-CREF to provide a calculation of the income available from a single life annuity with no guaranteed period, effective on the date of retirement or the first day of the following month if the retirement was mid-month. In performing this calculation, TIAA-CREF is to include all ORP money (including that transferred to an Alternate Funding Vehicle), but not the employee's tax-deferred annuity contributions.Note: if the employee is receiving a pension from two retirement systems, requests for information should be sent to both.
6. When information is received from the retirement system, complete the appropriate boxes on the UP-211, and calculate the Section 211 limit. It is rounded up to the next multiple of $500. If the employee's anticipated salary is higher than the Section 211 limit, the employee's salary must be reduced to the limit. The UP-211 is now ready for the president's approval.
7. If the pension figure is "estimated," follow up to recheck with the retirement system in several months.

8. Once the form has been signed, a copy should be sent to ERS or TRS for members of those systems. For members of the ORP, a copy should be sent to the Office of University-wide Human Resources, SUNY System Administration. A copy should also be sent to the employee.

(Editor's note: We have deleted Information on contacts in the ERS and SUNY.)

Reemployment of Classified Service Employees under Section 211

Approval of the reemployment of classified service employees under Section 211 rests with the NYS Civil Service Commission. State-operated campuses should refer to the State Personnel Management Manual, Advisory Memorandum #99-06 and form CSC-1. Community Colleges should use form CSC-20. Questions on procedures should be referred to the Department of Civil Service which interprets Section 211 very strictly.

For more information, contact SUNY Personnel Office at (518) 443-5192.

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Department of Civil Service

Workforce and Succession Planning

Appendix D - Work Group Members

Lori Csontos	Department of Civil Service
Deborah Dammer	Department of Taxation and Finance
Janet Leahey-Daniels	Office for the Aging
Mercy Dugan-White	Division of Budget
Kathleen Economides	Office of Mental Health
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RETIREE RESOURCES

Report of the Retiree Resources Workgroup

Sponsored by:

NYS Department of Civil Service
George C. Sinnott, Commissioner

NYS Governor's Office of Employee Relations
George H. Madison, Director

George E. Pataki, Governor

September 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

Retiree Resources

The Retiree Resources Work Group Report
September 2002

Contents

Purpose Statement

In the years to come, the population of New York will change dramatically; population trends suggest that by 2015, one in five New Yorkers will be 60 or older. Similarly, the number of immigrants will continue to grow. Each will be customers or clients of one or more State government agencies and will have special needs for information and services.

The same predictors of population change tell us that employers will be challenged to provide the services these customers require; customer needs will strain a limited labor pool. Not surprisingly, the characteristics of the population-at-large are shared by the State government work force: many state employees are retirement eligible, will be retiring, and are not likely to be replaced at an equal pace. Finding qualified candidates may be difficult in a wide range of occupations since the number of available workers is declining.

As such, it is important for State government to consider alternative recruitment mechanisms, including the use of State employees who have retired. The Retiree Resource Work Group was convened to:

- Learn how State employee retirees are now being utilized by agencies and share what we learned;
- Understand agencies' views of the future need for this alternative labor pool;
- Understand the barriers as well as the inducements to hiring retirees; and,

- Suggest means to overcome those barriers.

In the context of this report, “retiree” is defined as a former employee who is now receiving benefits under any program administered by the New York State Employees’ Retirement System. As such, this includes, but is not limited to, employees of State agencies, SUNY, CUNY, local governments, and school districts. A glossary of terms can be found in Appendix A. The definitions include: Retiree, Section 211; Section 212; The Two Year Bar; The Lifetime Bar; and Social Security Employment.

Methodology and Preliminary Findings

The group designed and developed a survey that was distributed to agencies to gather information on their practices, attitudes, and issues in hiring State retirees. The survey focused on: return to work options, use of Section 211 and 212, agency interest, employee interest, appointment mechanisms, work schedules, outreach to retirees, and hiring practices.

Forty-four surveys were sent out and 42 were returned.

Summary Analysis

- 40 agencies reemploy retirees (many use retirees for several purposes):
  - 7 agencies hire retirees for seasonal jobs
  - 8 agencies hire retirees for emergency fill ins
  - 11 agencies hire retirees for training successors
  - 25 agencies hire retirees for special projects
  - 18 agencies hire retirees as subject experts
  - 2 agencies hire retirees as expert witnesses
  - 14 agencies hire retirees for a variety of other reasons

- How often retirees are hired is based on why they are hired:
  - seasonals return every year
  - others are hired for various lengths of time

- Outreach to employees from agencies varies:
  - 21 agencies do not reach out to employees for Section 211 or 212 employment
  - 19 agencies do reach out to employees for Section 211 or 212 employment

- Those who do reach out hire retirees for emergency fill ins, hard-to-fill positions, and special projects.

- Most retirees hired back are hired in the same location. However, the title that they fill is usually different from the original title they had prior to retirement.

- The earnings limitation has not inhibited 26 agencies' ability to hire retirees. However, the earnings limitation does impact some specific higher paying professional titles such as psychiatrists, physicians, engineers, and technology personnel.

- Most retirees are hired on a part-time basis and work until the monetary cap is reached.

- Retirees are hired by contract, on an hourly basis, or per diem.

- Motivation for retirees to come back to work includes the desire to remain productive, earn additional money, and make a gradual transition to full retirement.

- Eighteen agencies believe that the freeze waiver process inhibits hiring retirees.

- All 40 agencies believe that an expedited freeze waiver process would be beneficial to all.

- All 40 agencies who reemploy retirees reported that there is little resistance by their managers or unions to hire retirees.

The results of the survey prompted the group to seek more detail from eight agencies that routinely hired retirees. We conducted two focus groups. They were composed of a cross section of types of agencies and included the Department of Agriculture and Markets, Division of the Budget, Education Department, Office of Mental Health, Department of Motor Vehicles, Office of the State Comptroller, State University of New York, and Department of Taxation and Finance.

Each agency representative was sent a list of specific questions based on that agency's responses to the survey. Each agency prepared a short presentation that answered the questions posed and then entertained questions from the retiree resources group and from the other agency representatives present. The information gathered from the focus groups forms the basis for this report.

Agency Practices on Hiring Retirees

Rationale

Agencies hire retirees to support both ongoing operational needs and the implementation of new initiatives. Their decisions are most often driven by the desire or need to tap into the knowledge and expertise of a former employee; however, the desire to recruit for hard-to-fill positions, to fill temporary seasonal positions or for special projects (such as Y2K) also provides a rationale to tap this skilled resource.

Statutory Limitations

Agencies must recognize the implication of re-employment on State retirees' pension benefits. Restrictions on employment of retirees are set forth in Sections 211 and 212 of the Retirement and Social Security Law. These sections of law provide a means to mitigate or eliminate the impact on retirement benefits when agencies choose to hire retirees.

In order for a retired person to be employed in the public service, the prospective employer must submit a written request for approval to the Civil Service Commission demonstrating that:

1. The person is duly qualified.
2. There is a need for the person's services
3. Other qualified persons are not readily available
4. Employment is in the best interests of the government.

(See http://assembly.state.ny.us/leg/?cl=104&a=22).

Section 211 allows an agency to rehire a retiree without diminution of benefits or limits income by use of a formula tied to the value of the pension benefit and the proposed salary. Section 211 is used to hire professional staff for special projects, for knowledge transfer, and in significant emergency situations, but is also commonly used as an alternative recruitment mechanism to hire retired law enforcement professionals into peace and police officer positions in New York State agencies.

Section 212, which sets a cap on income, is primarily utilized to provide clerical support, to perform seasonal work, and to provide vacation and weekend coverage for both support and professional permanent staff. Those employed under Section 212 are generally paid a fixed hourly rate. Section 212 has been used in some situations where retirees could provide a means to bridge the gap during periods of fiscal uncertainty.

Recruitment Methodology

Although most agencies feel there is a need to formally advise retiring staff of re-employment opportunities, most do not have a mechanism to do so. Information is informally dispersed, usually by word of mouth.

If an agency's need is for specific knowledge and expertise or to fill difficult to recruit for positions, most organizations contact former employees directly. It is not common practice for agencies to recruit retirees from other agencies or to recruit them for a type of work they did not previously perform.

Schedules

The schedules worked by rehired employees vary. Some work flexible schedules depending on the agency's and their needs. Others work fixed schedules, which may be influenced by the salary earnings cap.

Future Trends

Agency representatives understand that demographic trends over the next decade will increasingly impact recruitment from typical sources. They are open to and interested in a variety of solutions to meet those needs. Among the areas of interest are the use of virtual offices and telecommuting, which would allow agencies to attract retirees who have relocated to other parts of the country. Similarly, agencies are interested in sharing best practices so that the recruitment of retirees can be timely and effective.

Challenges

In reviewing the survey and focus group responses, it was evident to the Retiree Resources Group that hiring a retiree is not a simple process. Some of the most common barriers agencies encounter are listed below:

Information

- Lack of awareness on the part of agencies and employees about the opportunities for and benefits of post-retirement employment

- Although information on post-retirement employment is available from a variety of sources, currently, there is no distribution of this information to employees prior to their separation from State service.

Data Bank

- Lack of an accessible, centralized data bank containing retiree contact information and a skills inventory.

- No systematic way of collecting and sharing agency experiences, strategies, successes, and failures in recruiting and hiring retirees to facilitate hiring them for a particular job.

Sections 211 and 212

- Lack of a simple comprehensive explanation of Sections 211 and 212 of the Retirement & Social Security Law for human resource professionals, supervisors, employees, and retirees.

- The current earnings formula for Section 211 of the Retirement and Social Security Law inhibits the ability to hire many professional-level retirees.

- The calculation formula and the resulting earnings cap in Section 212 of the Retirement and Social Security Law inhibits the amount of time many professional level retirees can spend on a return-to-work assignment.

Control Agencies

- Fiscal constraints limit filling or establishing positions for a limited duration, even though in the long run this saves money.

- The current classification process and structure limits options for agencies to hire a retiree (See Areas to Explore, Control Agencies, for recommendations to make the process more useful).

Individual Agencies

- Reluctance on the part of some agencies to allow flexible working arrangements and telecommuting, alternatives that are particularly appealing to retirees.

- Need for agencies to understand that tapping into retiree resources can help maintain continuity when historical knowledge goes out the door.

- Some agencies lack appreciation for retiree skills, which are often transferable to a wide range and level of duties.

- Currently, most agencies do not have long range plans that factor in the utilization of retirees for succession planning and knowledge transfer, “crunch” periods, and special projects.

Areas to Explore

Sections 211 and 212 of the Retirement and Social Security Law were enacted to place appropriate restrictions on the rehiring of former public employees. The law reflects the recognition that, under most circumstances, it is inappropriate for a former public employee to receive a publicly-funded pension and be simultaneously employed by a publicly-funded governmental agency.

By their language, these sections of law also recognize that in some circumstances no adequate labor pool exists to perform duties essential to the delivery of government services. In such circumstances, retirees may perform the required work.

The Retiree Resource Work Group embraces the philosophy inherent in these statutes. We also recognize, however, that hiring skilled retirees can help State agencies provide necessary services during times of crisis at a reduced rate, with little or no additional training and without creating an unnecessary, permanent employment relationship.

If current trends continue, it is incumbent upon State government to seek creative ways to meet its labor needs. Retirees provide a significant resource to us, and to the people we serve, one which should not be overlooked.

Based upon considerable review, exploration with several New York State agencies and projections of future trends, the Retiree Resource Work Group suggests the following recommendations:

Information

- Establish a New York State website for retirees (job listings, benefits, aging, health information). http://www.colorado.edu/HumRes/retirees, http://www.princeton.edu/hr/policies/employment/213.htm

- Establish a joint labor/management communication mechanisms for publicizing opportunities for retirees to return to work.

- Identify ways to increase manager and employee understanding of Sections 211 and 212 (brochures, staff development, leadership forums, and posters).

Data Bank

- Develop a statewide retiree skills bank for ongoing and special needs, e.g., disaster relief. http://www.doc.state.nc.us/NEWS/cnews/0004/reup.html, http://hr.dop.wa.gov/geninfo/retire-rehire.htm

Sections 211 and 212

- Explore whether the limits imposed by the earnings formula used for Section 211 are realistic in light of the need agencies will experience for skilled retirees. This can be done by applying the formula to a range of hypothetical salaries and then asking the question: Is it reasonable to expect that retirees will be willing to return given this limit on their earnings?

- Learn how the earnings cap in Section 212 (currently $25,000) is determined. Ascertain if this is an arbitrary figure of if it is based on some reasonable formula.

- Use an annual maximum number of work hours in lieu of an annual earning cap for Section 212 hires to address salary needs in several titles. http://www.wa.gov/DRS/member/5937faq.htm

Control Agencies

- When fiscal conditions restrict hiring generally, allow expedited and/or blanket waivers for re-hiring retirees as a strategy for addressing critical needs while achieving cost savings.

- Grant a waiver on the basis of an annualized FTE that could be shared by a rotating pool of retirees.

- Redefine the duration of temporary six-month positions to allow their use as needed within one fiscal year rather than being limited to six consecutive months.

- Create a generic Civil Service job title for employment of retirees, e.g., Knowledge Transfer Specialist, Special Program Assistant, etc.

- Revise OSC salary rules for employment of State retirees to permit hiring State retirees at the hourly rate of their former position if they are doing work at their former level.

- Create incentives not otherwise available to attract retirees to return to work, e.g., benefit coverage including dental insurance, hearing coverage, vision coverage, health insurance premium reduction. http://www.businesswire.com/webbox/bw.030101/210602360.htm

- Establish enhanced flexible scheduling and phased retirement programs. http://www.businesswire.com/webbox/bw.030101/210602360.htm

Individual Agencies

- Increase use of job shadowing to further knowledge transfer.

- Adopt a virtual office and/or telecommuting program. http://www.govexec.com/jobs

- Include information on employment of State retirees in agency exit interviews and separation packages. http://www.doc.state.nc.us/NEWS/cnews/0004/reup.html

New York State Government is composed of talented, knowledgeable, and dedicated individuals. Many of these employees have recently, or will soon be, retired. It is hoped that agencies will benefit from the material and sources provided in this report, and that they will consider, explore, and expand upon ways to utilize this valuable human resource.

Appendix A – Definitions

Retiree	In the context of the report, "retiree" is defined as a former employee who is now receiving benefits under any program administered by the New York State Employees Retirement System. As such, this includes, but is not limited to, employees of State agencies, SUNY, CUNY, local governments, and school districts. (See definition provided in Article 7, Section 210a of the Retirement and Social Security Law, http://assembly.state.ny.us/leg/?cl=104&a=22).
Section 211	A section of the New York State Retirement and Social Security Law which with certain restrictions, allows a public employee to return to public employment without diminution of his/her retirement benefit in response to a specific, hard-to-fill recruitment need. (See definition provided in Article 7, Section 210a of the Retirement and Social Security Law, http://assembly.state.ny.us/leg/?cl=104&a=22). Earnings are unlimited unless the retiree returns to a former employer. A "former employer" is any public employer that paid a salary or compensation at any time during the two years before retirement, provided the retirement allowance is based in part on that salary and/or service. Earnings from work for a former employer are subject to a set limit, which is the difference between the Option 0 retirement allowance and the retiree's final salary. (Option 0 is the basic retirement allowance. It provides for the payment of the maximum benefit each month; payments cease at death.) If the retiree earns over the limit, the Retirement System will recover any retirement allowance overpayment and/or, in some cases, suspend the retirement allowance. In most cases, use of §211 also requires the approval of the Civil Service Commission. (http://nysosc3.osc.state.ny.us/retire/members/workingafterretirement-members.htm) See Appendix C, page 17, for more information.
Section 212	Under §212, a State retiree may return to public employment, earn up to the annual amount set by law, and continue to receive his or her retirement allowance in response to a specific, hard-to-fill recruitment need. In 2002, the amount is $20,000; in 2003, $25,000. (See definition provided in Article 7, Section 210a of the Retirement and Social Security Law, http://assembly.state.ny.us/leg/?cl=104&a=22). Beginning the calendar year a retiree turns 65, earnings are generally not limited by §212. Under the age of 65, a retiree who earns more than the §212 limit during a calendar year must pay back to the Retirement System an amount equal to the retirement allowance received after the

mandated limit was reached. If the retiree continues to work, the retirement allowance is suspended. The age limit was lowered from 70 to 65 in 2002. (http://nysosc3.osc.state.ny.us/retire/members/workingafterretirement-members.htm) See Appendix C, page 17, for more information.

The Two-Year Bar

The so-called "revolving door" prohibits State employees from appearing or practicing before their former agency for a period of two years. The restrictions of the two-year bar apply to appearing, practicing or working on matters **before** an employee's former agency while in the employ of another employer. As such, the two-year bar will generally not prohibit a State retiree from returning to work as an employee of his or her former agency or any other State agency; it will affect a retiree being hired as a consultant or through the auspices of another employing entity. For more information check the New York State Ethics Commission website: http://www.dos.state.ny.us/ethc/rdr.html

Lifetime Bar

The lifetime bar prohibits former State employees from appearing **before** any agency or being paid for work on matters or transactions in which they were directly concerned and personally participated while working in State government. This rule prohibits appearances before any government body, including the State Legislature, Congress, and federal, State and local executive branch agencies, where an appearance relates to a matter on which the employee worked while with the State. Again, the lifetime bar will generally not prohibit a State retiree from returning to work as the employee of a department or agency of the State, however, it may affect a retiree being hired as a consultant or through the auspices of another employing entity.

For more information check the New York State Ethics Commission website: http://www.dos.state.ny.us/ethc/rdr.html

Social Security

Employment following retirement can, depending on the age of the retiree, impact the social security benefits received. For more information check this site: http://ssa-custhelp.ssa.gov

Appendix B - Bibliography

Generic Interest - Employer Need for Retirees to Return to Work

- Times Union, Albany, New York. 3/24/02. A Graying Pool of Workers (General information on employers needing to rely on older workers and what public employers are doing) Reprinted with permission of Knight Ridder/Tribune Information Services.

- http://www.freep.com/voices/columnists/erdz27_20000827.htm (Prediction that around 2010 there will be a national "go back to work" campaign aimed at senior citizens)

- http://www.ncpa.org/pd/economy/pd122399c.html (Graying of government workers with younger applicants moving faster into the private sector)

- http://www.ncpa.org/pd/economy/pd010401c.html (National Center for Policy Analysis article on would-be retirees being asked to consider staying on the job)

- http://www.ncpa.org/pd/economy/pd090299b.html (National Center for Policy Analysis article on finding seniors want to work)

- http://www.cnn.com/2001/CAREER/trends/01/23/seniors/ (Article by consultant at William M. Mercer, Inc., a human resources consulting firm)

What Other States and Employers Are Doing

- http://www.doc.state.nc.us/NEWS/cnews/0004/reup.html (North Carolina Department of Correction Retired Employee Utilization Program and description of the process)

- http://www.tea.state.tx.us/taa/comm031402.html (Employment of retired educators in Texas with no loss in pension)

- http://www.wa.gov/DRS/member/5937faq.htm (Post-Retirement Employment Law passed by the State of Washington)

- http://www.utsystem.edu/ohr/policies/returnretirees.pdf (Human Resources policy of the University of Texas on compensation of retirees returning to work)

- http://www.colorado.edu/HumRes/retirees (Website welcoming retirees, discussing employment opportunities, giving information to those ready to retire, and retiree perks)

- http://hr.dop.wa.gov/geninfo/retire-rehire.htm (State of Washington website on employment of retirees)

- http://www.calpers.ca.gov/about/career/afterretirement.htm (State of California website for retirees to search for work as a retired annuitant with the State of California; to create and store a resume for employers to view; to contact state agencies; and to review the rules of working after retirement)

- http://www.princeton.edu/hr/policies/employment/213.htm (Princeton University policy item on rehired retirees as casual or regular employees)

- Greenblat, Alan, "Maine Hires Retirees." *Governing:* Washington, D.C. (August 2002) 48

Retiree Recruitment Ideas

- http://www.businesswire.com/webbox/bw.030101/210602360.htm (Adecco survey showing that benefits influence retirees to return to work)

- http://www.govexec.com/jobs (US Government website with section on telecommuting policy)

- http://www.doc.state.nc.us/NEWS/cnews/0004/reup.html (North Carolina Department of Correction Retired Employee Utilization Program and description of the process)

- http://www.shrm.org/hrmagazine (December, 2001 Article on work place trends - Phased Retirement, Exit Strategies)

- http://www.calpers.ca.gov/about/career/afterretirement.htm (State of California website for retirees to search for work as a retired annuitant with the State of California; to create and store a resume for employers to view; to contact state agencies; and to review the rules of working after retirement)

- http://www.colorado.edu/HumRes/retirees (Website welcoming retirees, discussing employment opportunities, giving information to those ready to retire, and retiree perks)

New York State/Federal Publications for Retirees Interested in Returning to Work

- http://www.osc.state.ny.us/retire/links.htm (NYS website with information for retirees - aging, health insurance, deferred compensation, etc)

- http://www.osc.state.ny.us/retire/pamphlts.htm (NYS website with a variety of publications for retirees including explanations of Sections 211 and 212)

- http://www.cs.state.ny.us (NYS website with publication on retired employees and health insurance benefits)

- http://www.dos.state.ny.us/ethc/ethics.html Publication on ethics regulation and other excerpts from the NYS Public Officers Law)
- http://www.ssa.gov/ (Social Security information on retirement)

Appendix C - SUNY Procedures for the Reemployment of Retired Public Employees

This document is provided for your information with the following caveat: It details the policy and procedures for the utilization of Section 211 and 212 by the State University of New York (SUNY). Certain information contained in it is generic and some applies specifically to SUNY recruitment processes.

Background

Section 150 of the Civil Service Law of New York State mandates that retired State or local employees may not be rehired by the State or a political subdivision and receive pension benefits while employed. Sections 211 and 212 of the Retirement and Social Security Law do provide for exceptions to this rule.

Section 212 allows a retired state or local government employee to earn up to $25,000 on a calendar year basis and continue to receive full pension benefits. There is no earnings limit for persons age 65 or older. Retirees reemployed under Section 212 do not need advance approval; the Employees' Retirement System (ERS) and the Teachers Retirement System (TRS) send all retirees a mailing each year which includes a form on which to report Section 212 earnings for the previous year. *(Note: Retired persons must file a statement with the retirement system electing to apply Section 212. See* http://assembly.state.ny.us/leg/?cl=104&a=22*).*

Section 211 provides a waiver to the earnings limitation of $20,000 ($25,000 in 2003). The NYS Civil Service Commission may grant waivers under Section 211 for retired employees to be employed in positions in the classified service. The Presidents of State University of New York campuses may grant waivers under Section 211 for retired employees to be employed in positions in the unclassified service of the State University of New York, the professional service at the statutory colleges of Alfred and Cornell, and the unclassified service of the Community Colleges. However, certain criteria must be met in order to grant a waiver under the statute. Those criteria are:

1. the retired person is duly qualified, competent, and physically fit for performance of the duties of the position in which the retiree is to be employed;
2. that there is a need for the retiree's service in such position;
3. that there are not readily available for recruitment persons qualified to perform the duties of such position; and
4. the employment of the retiree is in the best interest of the government.

The clear intent of the law is to restrict the circumstances in which an individual can simultaneously receive both a salary and a pension from the State. This is important to avoid any appearance of impropriety. Thus, it is incumbent upon all campuses to ensure that requests for Section 211 waivers are limited to those cases where no other alternative (such as hiring a new employee or training an existing employee) is available.

Knowledgeable, older workers are a tremendous asset to the State, and campuses are encouraged to consider ways in which these individuals can provide their expertise and experience on a voluntary basis. However, the legal requirements must be complied with when hiring individuals who have previously retired from government employment.

In order to comply with the statutory requirements, before resorting to hiring a retiree pursuant to Section 211, the prospective employer must conduct a search to determine whether there are "readily available for recruitment persons qualified to perform the duties" of the position. In addition, the request that is submitted to the Civil Service Commission or the campus president must, at a minimum:

1. describe the duties of the position to be filled;
2. set forth the qualifications required of any individual to fill that position;
3. describe the recruitment efforts which have been undertaken;
4. certify that the recruitment efforts failed to locate any qualified non-retired individuals to fill the position;
5. certify that the retiree is duly qualified, competent, and physically fit to perform the duties of the position; and
6. explain why the employment of the retiree is in the best interests of the government service, including why the position cannot be filled through the transfer or training of existing State personnel.

Under Section 211 of the Retirement and Social Security Law, waivers may be granted for periods up to two years. As noted above, however, requests for such waivers should be made only rarely, and should be sought only for the time period that is absolutely necessary. If a request must be made to renew the employment of any individual after the completion of the two-year period, a new application with the necessary information must be submitted, and the prospective employer must again attest that no qualified persons are available for recruitment other than the retiree. A new search should be conducted before that attestation is made.

If a retiree exceeds their earning limit under Section 212 and does not receive approval under Section 211, their pension may be reduced.

Definition of Retiree

For the purpose of Section 211/212, a retiree is a person who is receiving a service retirement from ERS, TRS, or a NYC Public Retirement System. A member of the Optional Retirement Program (ORP) who separated from service at normal retirement age (55, or 50 in an incentive program) or older and has 10 years of service will be considered a retiree if they have received a retirement incentive or have begun to withdraw funds from their pension, either through annuitization or cash withdrawal.

Special rules apply to persons receiving a disability pension from a retirement system. They are not covered by Section 211/212. Other laws limit how much a disability pensioner may earn with the same or different employer. The rules are quite complex. If you are considering hiring a disability pensioner, you should check with the system from which they retired to determine their earnings limit prior to making an offer.

Definition of Earnings

Earnings for purposes of the earnings limit calculation are amounts actually earned in the year in question. Earnings do not include money earned in a prior year and received in the current year. Example: an employee retires on December 31, 2001 and in January 2002, receives a lump sum payment for unused vacation. That payment does not have to be included in 2002 earnings because it was earned in 2001.

In the year of retirement, earnings refers only to money earned after the date of retirement. Example: if an employee retires on September 1, 2002, only earnings for the period September – December, 2002 count towards the earnings limit.

Earnings in private employment (ex: the SUNY Research Foundation) do not count towards the earnings limit.

Earnings paid on Form 1099 count towards the earnings limit.

Re-Employment with the Same/Different Employer – Limited vs. Unlimited Earnings

Under Section 211, retirees re-employed by the same employer from which they retired are subject to an earnings limitation. Retirees re-employed by a different employer are not subject to an earnings limitation.

For this purpose, all New York State agencies, including SUNY campuses, are considered one employer. Other entities are generally considered separate and distinct employers. For example, each school district is a separate employer. So is each local government, public authority, Board of Cooperative Educational Services, and public benefit corporation. Each community college is considered a separate employer, except that in most cases, a community college and its sponsoring county are considered the same employer (exception: Corning and Jamestown Community Colleges are considered independent). City University of New York is considered a separate employer. Here are some examples:

- A retiree from a SUNY campus is re-employed at the same campus – earnings are limited.
- A retiree from the NYS Dept. of Transportation is re-employed at a State-operated campus – earnings are limited.
- A retiree from the NYS Dept. of Transportation is re-employed at a community college – earnings are not limited.

- ♦ A retiree from Monroe County is re-employed at Monroe Community College – earnings are limited.
- ♦ A retiree from a public school is reemployed at a SUNY campus (State-operated or community college) – earnings are not limited.

If a retiree was primarily employed by another employer but employed on a part-time basis at a SUNY campus, earnings will be limited if the campus employment occurred within two years of the employee's retirement date, and if the employee's pension is based in part on the campus service.

Some examples:

- ♦ A retiree from a school district also taught until the date of retirement at a SUNY campus (State-operated or community college). Anyone in this situation should have had their SUNY service reported to TRS, so earnings are limited.
- ♦ A school district employee retired in 2001. He/she last taught at a SUNY campus in 1995, and now wants to be re-employed by that campus. Earnings are unlimited.
- ♦ A NYC firefighter who taught on an adjunct basis at a SUNY campus wants to be re-employed at the same campus. As the firefighter would have been in the NYC Fire Department Pension Fund, and could not possibly have participated in that system at SUNY, the earnings are unlimited.

Questions about whether a given employee's earnings are limited should be referred to the retirement system from which they retired or to the SUNY University-wide Benefits Manager for ORP retirees.

Calculation Of Earnings Limitation

When an earnings limitation applies, it is calculated as follows:

1) Determine the salary the employee would be making if they had not retired. To do this, take the employee's base pay as of their retirement date and add any salary increases they would have received had they not retired. Include across-the-board increases but not discretionary increases.

   Note: if the employee was employed by two or more employers, salaries from all employers should be combined.

2) If the employee was in ERS/TRS, ask ERS/TRS to provide the final average salary.

3) Subtract from whichever is higher in 1 or 2 above, the employee's highest possible pension option. In ERS/TRS, this is the option 0 amount. In the ORP, assume the employee began annuity income upon retirement and selected a single life annuity with no guaranteed period. In all cases, this figure is provided by the retirement system.

4) Round the result up to the next multiple of $500.

   Note: Sometimes ERS and TRS are not able to provide final pension figures at the time you ask. They may still be in the process of calculating the employee's pension. In that case, they will give you estimated figures. It is important to follow up in several months to request the final figures. Estimated figures will almost always be on the low side, so make sure the employee stays well under the earnings limit until you can obtain final figures.

   If an employee's service will continue beyond the period specified on the original UP-211 and a new UP-211 is to be submitted, it may be necessary to contact the retirement system again to see if there are adjustments to the pension figures. ERS and TRS provide Cost of Living Adjustments (COLAs) to retirees age 62 or older and retired for five (5) or more years. If an employee might be eligible for a COLA, you should contact the retirement system to update pension figures at the time a new UP-211 is submitted. Pension figures in the ORP are based on a hypothetical annuity starting date and do not need to be updated.

Pension Membership

Employees rehired under Sections 211 and 212 may not rejoin their previous retirement system or elect to participate in a new retirement system. They may, however, participate in a tax-deferred savings program.

Effective Date of Reemployment

There are no regulations requiring a person be off the payroll a certain amount of time before being reemployed. However, the Office of State Comptroller (OSC) will not pay a retiree a lump sum payment for unused vacation unless they are off the payroll for at least one day.

Procedures for Processing Form UP-211 for Unclassified Service Employees

UP-211s may be approved for up to two years at a time. As the earnings limits are by calendar year, it is preferable that UP-211s be submitted by calendar year rather than academic year.

1. Determine if a UP-211 is necessary. If the employee will earn less than the Section 212 limit ($20,000 in 2002), a UP-211 is not necessary. If the employee will earn less than the Section 212 limit with one employer, but the combined total salary with multiple employers will exceed the Section 212 limit, then a UP-211 should be completed.
   If the employee is over age 70 or will turn 70 during the year in question, their earnings are unlimited under Section 212 and a UP-211 is not necessary.

2. Determine if the employee's salary is limited under Section 211. The employee's salary is limited if they are returning to work for the same employer. See above for definition of "same employer." If the salary is limited, the employee can only earn in post-retirement employment the difference between the salary they would be making had they not retired and their highest possible pension option.

3. Make sure the form is filled out completely. Information about final salary needs to be provided only when the salary is limited.

4. If the salary is not limited, the form is ready for approval by the president.

5. If the salary is limited, send a request to the appropriate retirement system for information. For ERS and TRS, ask them to provide the final average salary and the Option 0 pension amount. The final average salary may be used in place of the final salary if it is higher. For the Optional Retirement Program, ask TIAA-CREF to provide a calculation of the income available from a single life annuity with no guaranteed period, effective on the date of retirement or the first day of the following month if the retirement was mid-month. In performing this calculation, TIAA-CREF is to include all ORP money (including that transferred to an Alternate Funding Vehicle), but not the employee's tax-deferred annuity contributions.

   Note: if the employee is receiving a pension from two retirement systems, requests for information should be sent to both.

6. When information is received from the retirement system, complete the appropriate boxes on the UP-211, and calculate the Section 211 limit. It is rounded up to the next multiple of $500. If the employee's anticipated salary is higher than the Section 211 limit, the employee's salary must be reduced to the limit. The UP-211 is now ready for the president's approval.

7. If the pension figure is "estimated," follow up to recheck with the retirement system in several months.

8. Once the form has been signed, a copy should be sent to ERS or TRS for members of those systems. For members of the ORP, a copy should be sent to the Office of University-wide Human Resources, SUNY System Administration. A copy should also be sent to the employee.

(Editor's note: We have deleted Information on contacts in the ERS and SUNY.)

<u>Reemployment of Classified Service Employees under Section 211</u>

Approval of the reemployment of classified service employees under Section 211 rests with the NYS Civil Service Commission. State-operated campuses should refer to the State Personnel Management Manual, Advisory Memorandum #99-06 and form CSC-1.

Community Colleges should use form CSC-20. Questions on procedures should be referred to the Department of Civil Service which interprets Section 211 very strictly.

For more information, contact SUNY Personnel Office at (518) 443-5192.

Appendix D - Work Group Members

Lori Csontos	Department of Civil Service
Deborah Dammer	Department of Taxation and Finance
Janet Leahey-Daniels	Office for the Aging
Mercy Dugan-White	Division of Budget
Kathleen Economides	Office of Mental Health
Lisa Fitzmaurice	Division of Budget
Steven R. Hurley	Department of Health
Maureen Nyilis, Team Leader/Facilitator	Governor's Office of Employee Relations
Renee Rosa	Department of Health
Marylyn Sullivan	Division of Criminal Justice Services

Appendix E – Background on the Workgroups

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website, http://www.goer.state.ny.us/workforce or http://www.cs.state.ny.us/workforce as they are completed. In addition to Retiree Resources, the workgroups included:

- Recruitment and Selection
- Retention
- Competencies
- Staff Development
- Mentoring
- Management Mobility
- Knowledge Management and Transfer

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EMPLOYEE RETENTION

Focus Groups

The Employee Retention Workgroup conducted focus groups to gather information relating to existing agency retention efforts, reasons for resignation, and ideas for future retention strategies. We agreed that focus groups would be a manageable effort that would provide an opportunity for open dialogue with a diverse group of State employees. Participants would be able to provide us with informed opinions reflecting their unique roles and experiences within their agencies.

Human resources managers were asked to nominate candidates from their agencies to participate in the groups. Nominated candidates belonged to one of three selected groups:

- Human resource and affirmative action professionals.
- Public Management Interns (PMIs).
- Program managers, who are responsible for providing a variety of services to the State of New York.

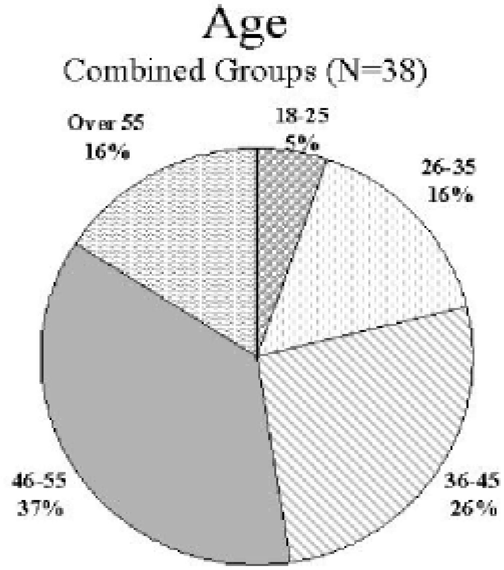
Using employee retention articles, researched and collected through library catalogue and Internet searches, we developed standard questions for use with each of the three groups. Two categories of questions were developed:

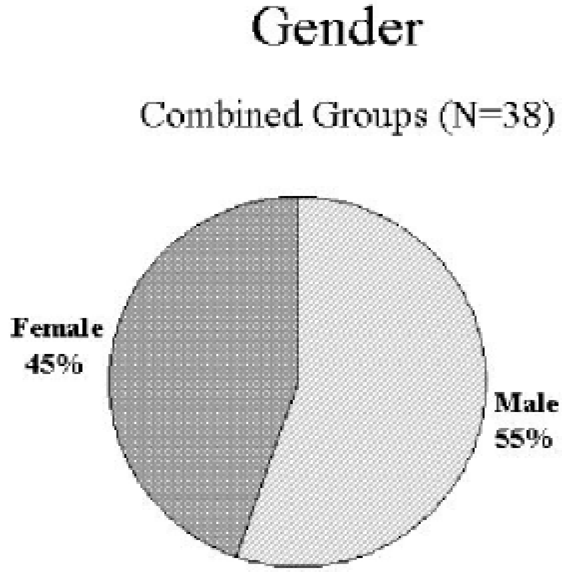
- **Open-ended questions**, which allowed for facilitated discussion to share experiences and opinions on what works and what doesn't work in retaining employees (see Appendix 1).
- **Written questionnaires**, which asked participants to score/rate various workplace retention strategies and to evaluate the retention environment in their workplaces (see Appendix 2).

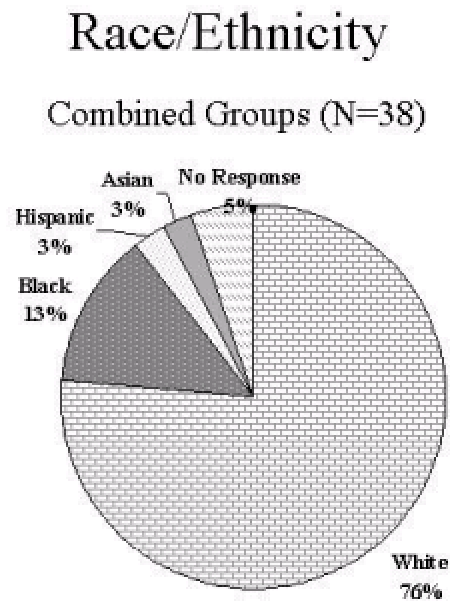
Data from the written questionnaires were compiled for a statistical analysis report while, the comments and discussions of the focus groups were captured by recorders for our narrative report.

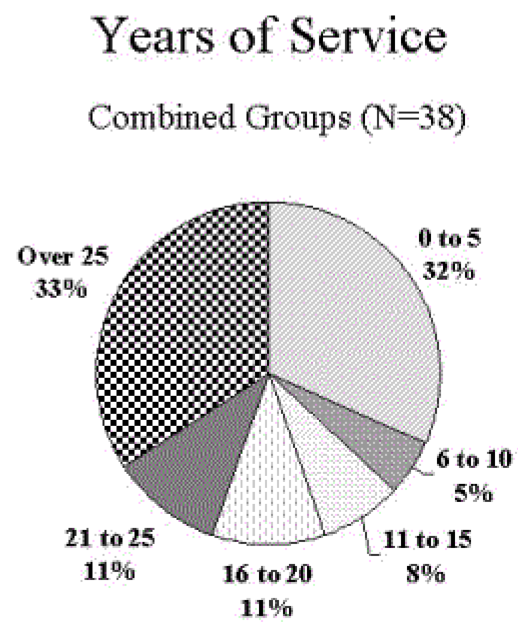
Demographic Makeup of the Focus Groups

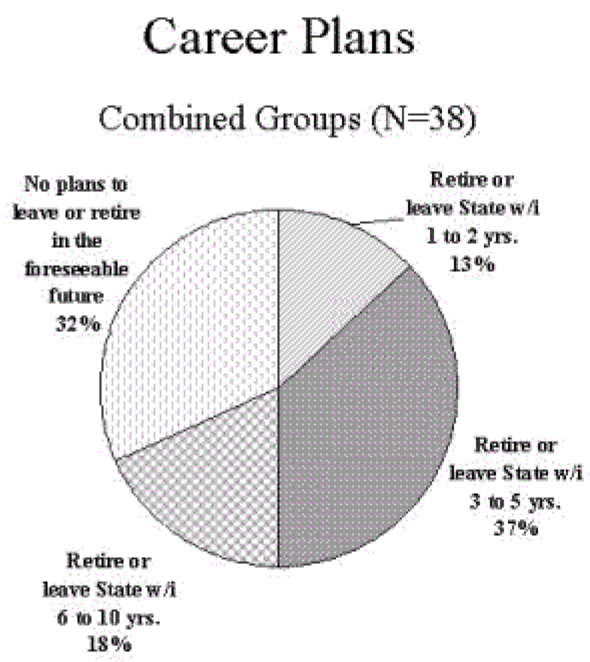
These tables reflect the demographic information of the 38 participants of the focus groups.


Age
Combined Groups (N=38)
Over 55
16%
18-25
5%
26-35
16%
36-45
26%
46-55
37%


Gender
Combined Groups (N=38)
Female
45%
Male
55%


Race/Ethnicity
Combined Groups (N=38)
Asian
3%
No Response
5%
Hispanic
3%
Black
13%
White
76%


Years of Service
Combined Groups (N=38)
0 to 5
32%
6 to 10
5%
11 to 15
8%
16 to 20
11%
21 to 25
11%
Over 25
33%


Career Plans
Combined Groups (N=38)
Retire or leave State w/i 1 to 2 yrs.
13%
Retire or leave State w/i 3 to 5 yrs.
37%
Retire or leave State w/i 6 to 10 yrs.
18%
No plans to leave or retire in the foreseeable future
32%

Open-ended Questions - Focus Group Results

A series of questions were used to guide the focus group discussion. A copy of these questions can be found in Appendix 1.

Are you aware of any retention efforts in your agency? If yes, give specific examples.

A little over 50 percent of respondents knew their agency had retention efforts. Training and development, mentoring, and compensation were three common themes shared by all groups on this topic. Responses included:

Human Resource Professionals:

- Mentoring program for new hires from the Professional Careers Test (PCT) list. Each division offers an overview of what they do for the employees.
- Share the "big picture" with staff.
- Supervisory discussion groups – talk with and mentor new supervisors to foster knowledge transfer.
- Exam planning incorporates expansion of potential promotion fields.
- Expanded use of Public Administration Transition Test (PATT) list (a transition opportunity from clerical to professional ranks).

Public Management Interns:

- Consultant offered program for computer or soft skills training for staff.
- Strategic Leadership Institute, Secretarial Institute, Information Technology Development Program.

Program Managers:

- "Learn Where You Earn" program.
- Intra and Inter Agency teams for cross-training rotational opportunities.

Focus group participants expressed how important these retention efforts are for retaining valuable staff. Individual agencies have crafted programs and opportunities to meet staff needs.

Employee Retention Workgroup Conclusion

Why do you stay with government?

Participants shared similar sentiments that reflect the positive attitudes most public servants have about their job. Comments commonly heard from all groups included:

- "I like my job".
- "I want to make a difference".
- "I believe in the mission of the agency".
- "I work for the money/benefits."

People genuinely want to make a difference. They believe strongly in the mission of their respective agencies and, therefore, support the overall mission of New York State. They have a deep respect for public service.

Employee Retention Workgroup Conclusion

What makes you think about leaving government?

Members of all groups shared similar negative sentiments that reflect the obstacles most public servants encounter throughout their career. Comments commonly heard from all groups included:

- Low salaries.
- Too much time in between tests.
- Career mobility issues (See Management Mobility report).
- Takes too long to earn a promotion.
- "Too much bureaucracy that prevents me from getting the job done."

The majority of participants shared these sentiments, but the PMIs were greatly concerned about their career mobility, and the amount of time that passes before promotion examinations are offered. Also, while salary may be listed by some as an incentive for State emplyment, geographical cost of living differences within the State often hinder retention of employees in critical positions like nurses, junior engineers, accountants, and auditors.

Summary of Focus Groups Participant Responses

Give us an example of someone who recently left your agency for an opportunity outside of New York State government. In your opinion, why did it happen?

Members of all groups shared similar ideas and examples of situations that caused a valued staff member to leave State service. Examples commonly shared by all groups included:

- Money/Salary issues.
- Lack of career mobility.
- Leaving for more money and greater incentives (nurses, who were listed as an example title, sought employment where they could have weekends off).
- Too much bureaucracy-creativity of individual was stifled.

Program Managers were especially dissatisfied with not being able to hire in tight fiscal times. This frustration leads to low staff morale, which is a prime reason individuals may seek other employment. Additionally, critical positions in State service often demand inflexible work hours and schedules. The desire to balance work with family is strong among State workers. When given the choice of State service vs. "family life," family comes first.

Summary of Focus Group Participant Responses

On a more positive note, one person shared an example of an individual who temporarily left State service then returned after realizing that he would not be able to have as satisfying a career in the private sector as he did when he worked for NYS.

Did they discuss with you what would have made them stay?

Members of all groups shared similar examples of accommodations or worklife improvements that would have encouraged a valued staff member to remain in State service. Examples commonly shared by all groups included:

- More money.
- Opportunity to take a leave and then possibly return.
- Additional training opportunities, so employee skill sets don't become outdated.
- The opportunity to work with new technology.

Younger employees identified generational differences between themselves and the tenured State workers. Items like rigid time and attendance rules and "old guard" bureaucracy do not appeal to the Generation X'ers lifestyle.

Again, money was a common theme shared by all groups. Training and opportunity for development was a close second. The PMI group expressed their desire for more training opportunities and the ability to use new and "future" technology in the workplace.

Employee Retention Workgroup Conclusion

Do you know of specific retention problems in your agency? Describe any issues.

Members of all groups identified the following:

Medical Titles (e.g., Nurses, Psychiatrists): There is a statewide shortage of individuals to fill these critical care roles. This creates a high demand for their expertise, which makes it difficult for New York State to retain qualified individuals at State salaries and work schedules.

Call Center Staff (various agency titles): Modern call centers are relatively new to New York State agencies. New technology allows for a high volume of calls to be answered, creating a high stress situation for individuals who are on the phones with the public on a daily basis.

Engineering Positions (Junior Engineer, Civil Engineer): The increasing amount of transportation engineering work currently available by private sector contractors and consultants influences recent college graduates to consider those employers as a more attractive option than State employment.

Other factors that adversely affect Agency retention strategies include:

- Work passed down as more people leave or retire: Without the ability to backfill vacant positions, the remaining staff have more work to do.
- Training availability: Employees need to keep their skill sets current in order to meet new job expectations for the 21st Century. Time constraints and availability of training don't always make this possible.

All represented agencies had specific areas, titles or functions for which they encountered difficulty in recruitment and retention. Even though there has been progress in geographical pay differentials, NYS is still having difficulty competing in New York City, Long Island and certain other parts of the State.

Employee Retention Workgroup Conclusion

What is unique about your agency's retention strategy?

Out of all the groups, no one indicated that their retention strategies were unique. Problems and obstacles for successful retention programs are universal throughout NYS agencies.

Employee Retention Workgroup Conclusion

What expectations did you have, when you first came to the State, that have not yet been met?

Human Resource Professionals:

- Advancement was not as easy for human resource professionals as it has been for their colleagues in the "program" areas. "The ability to advance within the ranks is difficult, timing and economic issues play a significant part."

PMIs:

- A number of PMIs stated that they assumed NYS would be on the cutting edge of technology. They were disheartened to find out that this was not the case.
- Many also expressed concern on how "slow" the "fast track" is.

Program Managers:

- Program managers also thought that career advancement was a slow process.

Aside from issues of advancement, most respondents feel their basic expectations on employment with NYS have been adequately met.

Are the reasons you stay with State government different from the reasons you came to State government?

Human resource professionals, PMIs and program managers stated:

- "Yes, I came for a job, found a career."
- "Yes, (I now have) a desire to serve the public trust."

All Focus Group members have a high degree of personal satisfaction in carrying out the duties and mission of their respective agencies.

Employee Retention Workgroup Conclusion

What type of work environment/organizational culture is most appealing to State workers?

Representatives from all groups mentioned agencies or environments where employees were made to feel as though they were a part of a team, or were stakeholders in the success of their agency.

Other tangible elements that appealed to employees include:

- Flex-time.
- The ability to work on "high profile" assignments.

Employees desire to work in a welcoming and positive environment where they feel they are equal partners in achieving the mission of the agency. The tangible benefits listed were examples of ways in which agencies could help employees achieve the "sense of belonging" they are looking for.

Employee Retention Workgroup Conclusion

What types of benefits are most important to the workforce?

Members of all groups shared similar comments on this topic. One member of the PMI group neatly summarized this section by stating, "…benefits depend on age – where you are in life will determine those benefits that are most important to you."

All groups mentioned the following examples:

- "Cafeteria style" benefits.
- Day care facilities.
- Money.
- Health insurance.
- Pension.

While many benefits are offered by NYS, they vary by bargaining unit.

Employee Retention Workgroup Conclusion

What type of skills, training and education benefits are important as a retention incentive?

Human resource professionals, PMIs and program managers all responded:

- Tuition reimbursement.
- Leadership development.
- Information Technology training.
- "How-to" for Civil Service test taking.

The desire for more or enhanced training was made evident by the focus group survey responses to this question. Like other benefits, many of these opportunities already exist in NYS. Tuition Reimbursement, for example, is available for all eligible NYS employees. However, differences in negotiated agreements (i.e., union contracts) limit the amount of reimbursement certain employees may receive.

Employee Retention Workgroup Conclusion

In what areas should control agencies work with labor and management to build the type of work environment needed to attract and retain today's workforce?

Representatives shared the following as examples of ways in which the control agencies can help to improve the current work environment:

- Better and faster way to earn promotions.
- Improve the career ladder structure.
- Improve the physical working environment.
- Enhance the PMI Program to allow for automatic advancement to the G-23 level.
- Change NYS Retirement Law, Sections 211/212 to accommodate returning retirees to public employment (See Retiree Resources workgroup report).

Focus Groups Summary

Employers need to determine WHO they should retain and HOW they can retain them. Experts advise that talented employees should be identified early and proactive steps should be taken to nurture and retain them.

In Effective Succession Planning, William Rothwell predicts that employers will seek integrated retention policies and procedures. These include:

- Development of early tracking procedures for promising new hires;
- Tracking of reasons for quits, especially among the high potential workers;
- On-going employee attitude surveys to provide information for successful retention strategies and to predict turnover;
- Tracking voluntary turnover by department then focus efforts on these problem areas; and
- Providing incentives for people to remain with the organization - these are not always financial.(4)

There is no one strategy to insure successful employee retention. Generally, a combination of factors influence an employee's decision to stay in a job. Those factors may differ for an individual depending on his or her age, family situation, the external job market, or job title. There are some factors, however, which seem to impact most employees and for which we found some effective strategies worth sharing.
(See Strategies for Consideration section).

Employee Retention Workgroup Conclusion

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Employee Retention Survey Summary

Introduction

As part of its data gathering efforts, the interagency Employee Retention Workgroup asked the focus group participants to complete a written survey about various aspects of state government. Survey questions were developed through a literature review, and many items in the Organizational Culture and Personal Satisfaction sections of the survey were adapted from Griffeth and Horn's Job Diagnostic Questionnaire (5). The survey asked respondents to rate the degree of importance or level of agreement with a number of statements related to:

- Benefits
- Retention strategies
- Organizational culture
- Personal and job satisfaction

One section of the survey collected demographic information, and the final section gave respondents an opportunity to provide general comments on any other areas related to retention that they felt were not addressed in the focus groups or on the survey. A copy of the survey can be found as an attachment to this report.

Since only the focus group participants completed the survey, the findings cannot be generalized to the entire State workforce. Rather, the results provide a snapshot of opinions from a small sample of individuals within three categories: human resource and affirmative action professionals, managers, and Public Management Interns (PMI's). We did find, however, that the opinions generated by this sample were consistent with certain themes found in the literature relating to retention.

Findings

A. Benefits

The first section of the survey asked respondents to rate the benefits of state employment on a scale from 1 to 5, where 1 = not very important and 5 = very important. The results are illustrated in Chart 1, which can be found in Appendix 3.

For human resource professionals, the retirement plan and health and related benefits were rated as most important, with means of 4.92, followed by leave benefits (4.54) and salary/compensation (4.46). The items with the lowest means, rated as least important by this group, were the LifeWorks resource and referral program (2.77) and the Employee

Assistance Program (3.08).

For managers, salary/compensation and health and related benefits were ranked the most important, with a mean of 4.73, followed by leave benefits and the retirement plan with a mean of 4.67. Items of least importance were the LifeWorks resource and referral program and the Employee Assistance Program, with means of 2.71 and 2.87 respectively.

For Public Management Interns, the retirement plan was rated as the most important benefit, with a mean of 4.86, followed by leave benefits and health and related benefits which both had a mean of 4.79, and salary/compensation which had a mean of 4.57. The lowest rated benefits were the Employee Assistance Program (2.92) and the LifeWorks resource and referral program (3.08).

When looking at the three groups combined, the items rated most important were health and related benefits (4.81) and the retirement plan (4.80) followed by leave benefits (4.67) and salary/compensation.(4.60). The items rated least important were the LifeWorks (2.85) and EAP programs (2.95).

B. Strategies

The next section of the survey asked respondents to indicate what retention strategies were being used in their agencies, and how important each strategy was to them, whether or not it was available. Complete results for this section can be found in in Appendix 4.

The three strategies rated most important to PMI's are: Education Opportunities (4.71), Training Opportunities - job related (4.64) and Training Opportunities - other (4.54). Wellness programs (2.92), On-site day care (2.91) and Voluntary Reduction in Work Schedule (3.58) were rated as least important. The importance of education and training benefits is not surprising, since one of the cornerstones of the PMI program is its emphasis on growth and development through a variety of training. Another reason this benefit may be important to PMI's is because they are generally younger and in an early phase of their career with State government.

For managers, job rotations and new assignments (4.20), training opportunities - job related (4.15), were rated as the most important retention strategies, followed in a tie by alternative work schedules, Voluntary Reduction in Work Schedules, and rewards and recognition, all with a mean of 3.93. The strategies rated as least important by this group are the Employee Suggestion Program (3.07), wellness programs (3.14) and on-site day care (3.21).

Human resource professionals rated training opportunities - job related (4.38), alternative work schedules (4.15), and education opportunities (4.00) as the three most important retention strategies. Wellness programs (2.92), annual performance appraisals (3.00) and the Employee Suggestion Program (3.15) were the lowest ranked retention strategies for this group.

C. Organizational Culture

This section asked respondents to rate their level of agreement or disagreement with a number of statements related to organizational culture on a scale of 1 to 5, where 1 = strongly disagree and 5 = strongly agree. Bar charts comparing the responses of each group for each statement can be found in Appendix 5.

Seventy-nine percent of PMI's and 73% of managers agreed or strongly agreed that employees are often given the opportunity to be part of task groups and assignments outside of their core job responsibilities. Only 39% of the human resource professionals agreed or strongly agreed with this statement.

Seventy-one percent of PMI's agreed that supervisors communicate effectively with employees. Sixty-nine percent agreed or strongly agreed that their agency has a culture that recognizes and values diversity, while another 23 % disagreed or strongly disagreed with that statement. While half of the PMI's agreed or strongly agreed that supervisors in their agencies discussed development plans with employees at least every six months, almost twenty-nine percent disagreed or disagreed strongly with that notion. About 29% were evenly divided at either end of the continuum as to whether their agency has a career development program that helps people become more aware of and responsible for their career development; another 43% of PMI's neither agreed nor disagreed with this statement.

Fifty-four percent of HR professionals strongly disagreed or disagreed that supervisors in their agencies discussed development plans with employees at least every six months. Forty-six percent of HR professionals strongly disagreed or disagreed that their agency has a career development program that helps people become more aware of and responsible for their own career development. Forty-six percent of HR professionals agreed or strongly agreed that working on a new project was an open process with few barriers; however, 31% disagreed strongly or disagreed with this statement.

Sixty-nine percent of HR professionals agreed or strongly agreed that their agency had a culture that recognizes and values diversity. Sixty-two percent also agreed or strongly agreed that employees in their agency are treated with fairness and respect.

D. Personal Satisfaction

The three groups were asked to rate how satisfied they were with various elements of the job on a scale from1 to 5, where 1 = not at all satisfied and 5 = very satisfied. The highest ranked items for each group are noted in the table below:

MANAGERS	HUMAN RESOURCE PROFESSIONALS	PUBLIC MANAGEMENT INTERNS
▪ The chance to help other people while at work (4.43) ▪ The amount of job security I have (4.43)	▪ The amount of job security I have (4.58)	▪ The chance to get to know other people while on the job (4.43) ▪ The degree of respect and fair treatment I receive from my boss (4.43) ▪ The safety of my work environment (4.43
▪ The amount of pay and fringe benefits I receive (4.36) ▪ The amount of independent thought and action I can exercise in my job (4.36)	▪ The degree of respect and fair treatment I receive from my boss (4.23) ▪ How secure things look for me in the future of my organization (4.23)	▪ The people I talk to and work with on the job (4.38)

• The feeling of worthwhile accomplishment I get from doing my job (4.29)	• The chance to help other people while at work (4.08) • The people I talk to and work with on the job (4.08)	• The amount of job security I have (4.29) • The chance to help other people while at work (4.29)

Public Management Interns were least satisfied with the availability of promotional opportunities. Fifty percent of them responded somewhat or very dissatisfied to this statement (mean 2.64). Thirty-six percent (mean 3.21) of PMI's indicated they were very or somewhat dissatisfied in response to the statement,"the degree for which I am fairly paid for what I contribute to my organization."

Twenty-one percent (mean 3.00) of managers indicated they were very or somewhat dissatisfied with the existence of established career ladders. Sixty-two percent (mean 2.85) of human resource professionals were very or somewhat dissatisfied with the availability of promotional opportunities. See Appendix 6 for the full results.

E. Career Plans

When asked about future career plans, half of the PMI's said they planned on retiring or leaving State employment within 3-5 years, and an additional 8% said they planned to leave state employment within 1-2 years. Another 8% said they planned to leave within 6-10 years. Roughly 33 % indicated that they had no plans to leave or retire from State employment within the foreseeable future. Reasons given for their intentions of leaving within 5 years included: salary, lack of promotional opportunity, the length of time it would take to get from a grade 18 to a 23 within their organization, and lack of meaningful professional development.

Since almost 60% of the PMI's surveyed indicated that they plan to leave within 5 years, it is important for the State to look at strategies to retain this group, considering the investment that is made in recruiting and training these individuals.

Thirty-one percent of managers indicated they would be leaving state employment within 3-4 years, and another 31% indicated they would retire or leave state employment within 6-10 years. Thirty-eight percent indicated that they have no plans to leave or retire state employment in the foreseeable future.

Of the three groups, human resource professionals had the highest percentage, 31%, who indicated they were going to leave or retire from State employment within 1-2 years. Another 31% plan to leave or retire within 3-5 years, and 14% said they would leave within 6-10 years. Only 23% stated they had no plans to leave or retire in the foreseeable future. The high percentage of intention to leave in this group is likely due to the ages of the respondents in this group: 46% are between the ages of 46 and 55, and another 31% are over 55. None of the respondents in this group were under the age of 35.

See Appendix 7 for the full results.

F. Demographics

Demographics were covered in the Focus Groups section of the report.

G. General Comments

This section gave respondents the opportunity to note any comments that they felt weren't addressed in the other sections of the survey. Very few comments were provided. It is likely that respondents voiced their comments during the focus group sessions.

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Existing Retention Factors

New York State agencies currently provide numerous benefits or practices attractive to employees. Some are negotiated benefits and some are optional and may vary by agency and bargaining unit.

This listing consists of strategies we identified through our readings, our discussions within our own agencies, and through recommendations from focus group participants:

Leave Benefits

- Annual leave
- Leave Donation Program
- Personal leave
- Sick leave
- Other leaves- jury duty, military, family medical leave

Alternate Work Schedules

- Alternate weekends off for certain 24/7 positions
- Compressed workweek (CWW)
- Flex schedules
- "Mutual agreements" within title to switch hours in shared function situations.
- Part-time/shared items
- Summer hours
- Voluntary Reduction in Work Schedule (VRWS)

Career Development and Training Opportunities

- State Education Department's College-At-Work Program
- Co-op programs/student assistants
- Education leave
- E-learning
- Employee self-development programs
- GOER sponsored training
- Job posting
- GOER's Leadership Forums

- GOER's Leadership Classroom
- Performance assessment-based testing for promotion opportunities
- GOER's Secretarial Institute
- Technical training
- Traineeships at various levels, in numerous titles and agencies (link to OTDA)
- Tuition reimbursement
- Union sponsored training

Rewards and Recognition

- Citation awards
- Cultural diversity activities and awards for service
- Employee recognition for volunteer activities at work and external to the organization
- Employee Suggestion Program and awards
- Excellence awards in career field
- Longevity service awards
- Management acknowledgment of employee college graduation
- GOER's Recognition Network
- Safety awards
- The "best of the best" awards within an organization
- Women's history awards
- GOER's Workforce Champions
- Service awards

Other

- Continuous Recruitment examinations and outreach
- GOER's Facilitation Exchange
- Geographic pay differentials
- Separation questionnaires and exit interviews
- Bring Your Child to Work Day activities and participation

Often employees cite retirement benefits, health benefits and leave benefits as most important. More information can be obtained at http://www.cs.ny.gov/ebd/welcome/login.cfm and http://www.osc.state.ny.us/retire/.

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Strategies for Consideration

In order to retain employees in occupations which are in high demand today, NYS would be wise to review its salary structure. Several State agencies have requested and received salary enhancements for in-demand titles throughout State government.

What People Want

"...people want to feel valued and valuable. They want to belong, to know that they, their work and their ideas matter. They want a diversity of challenges, and the ability to make decisions without excessive red tape. They want to feel connected to upper management, knowing they can share ideas with company decision makers." (http://www.businesspsychologist.com)(6)

Retention Strategies are a Joint Effort

In order to be effective, retention efforts require a joint effort on the part of control agencies, agency heads, managers, Human Resources, Training and Development, Organizational Development Offices, and unions/employee organizations.

Control Agencies are Key Players in Employee Retention

Identify, review, document, and publicize alternative retention policies, procedures and efforts. For example,

- offer rewards and recognition to employees who earn degrees or job related certifications,
- increase support of education benefits, including more tuition reimbursement,
- encourage flexibility in work schedules and telecommuting and provide guidance to agencies on how to do it.
- Take the lead in providing guidance and training on exit interviews and separation questionnaires to be used as tools to measure retention.
- Develop statewide policies to encourage retention efforts and to eliminate perceived bureaucratic roadblocks.
- Conduct a statewide NYS employee survey to determine types of employee benefits important to the workforce.
- Conduct a statewide salary review of critical NYS titles in comparison to other similar employers and adjust salaries to keep pace.
- Improve career mobility.

- Schedule more frequent promotion examinations.
- Promote based on performance and education as well as scores on written examinations in order to reward employee initiative.
  (e.g., performance assessment examinations, more training and experience evaluations)
- Set up a statewide task force to look at physical work environments.

Human Resources Can Proactively Identify Retention Concerns

- Conduct employee surveys, focus groups, and exit interviews.
- Develop targeted solutions geared toward individual agency concerns.
- Focus more attention on orientation, including providing realistic job previews for candidates for high turnover jobs.
- Develop follow-up meetings six months after initial orientation.
- Publicize the monetary value of employee benefits (possibly by statements sent out with paychecks).

Agency Heads/Managers Can Make Employee Retention a Priority

- Re-evaluate agency needs and focus on critical titles.
- Hold managers accountable for retention efforts by making it part of their performance plans.
- Invest in the future by providing up-to-date technology and resources to support it (i.e., technical support and training).
- Support flexibility in work schedules.
- Pay attention to management and communication styles to foster a positive work environment.
- Encourage open communication within the agencies.

Training and Development and/or Organizational Development Can Effect Change

- Provide more management training on retention issues.
- Provide training to support open communication.
- Provide more career development counseling to employees.
- Survey managers and staff on training needs and based on responses, develop classes to meet needs.

Individual Employees Have a Role in Retention

- Discuss concerns and needs openly with supervisors.
- Take responsibility for their own career development.

Employee Organizations/Unions Also Have a Role

- Work to improve the physical environment of workplaces.
- Help communicate training opportunity information to employees.

- Communicate training needs to managers.
- Encourage family-friendly policies like flex time, on-site daycare centers, and telecommuting.

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Workgroup Background

As part of the statewide initiative on Workforce and Succession Planning, the Employee Retention Workgroup was formed to:

- Collect information on useful retention strategies in the public and private sectors;
- Gather information on barriers to staff retention;
- Share retention initiatives on the New York State Workforce and Succession Planning Website; and,
- Offer suggestions on employee retention strategies for consideration by New York State agencies.

We identified positions that are hard to fill and positions where retention is a problem which provided us with some ideas for further research.

Group members then collected articles on employee retention through library catalogue and internet searches, some of which were summarized and shared with others in the group. Discussions of research results took place at bi-weekly meetings as we decided what resources were to be shared.

List of Workgroup Members	
Bob Blot	Office of the State Comptroller
Patricia Briggs	Office of Mental Retardation and Developmental Disabilities
Gregory Hurd	Office of the State Comptroller
Philip B. Hoar	Department of Civil Service
Sharon Nania	State Education Department
Donna Northrup	Workgroup Leader, Office of Mental Health
Doris L. Powell	Department of Transportation
Mark Stackrow	Facilitator, Governor's Office of Employee Relations

Acknowledgments: Special thanks to Irene Farrigan of the Office of Mental Health for her support during this project, Steve Masterson of the Office of the State Comptroller for facilitation, and Sonya Tucker of the State Education Department, for assistance in compiling data from the written survey.

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Notes

1. Roger W. Griffeth and Peter W. Hom, Retaining Valued Employees, Sage Publications, Inc., Thousand Oaks, CA, 2001, p. 2. (Return to text.)
2. Workforce Professional, International Professionals in Employment Security, January/February 2002. (Return to text.)
3. Griffeth and Horn, p. 14. (Return to text.)
4. William J. Rothwell, Effective Succession Planning: Ensuring Leadership Continuity and Building Talent From Within, 2nd Edition, (New York: AMACOM, 2001), p. 293-297. (Return to text.)
5. Griffeth and Horn, p. 230. (Return to text.)
6. "Successful Management: Keeping the best and the brightest", Business Psychology News, Vol. 98.2, BusinessPsychologist.Com (Return to text.)

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Articles

Abrams, Michael, "Raise Performance Bar for Manager to Retain Employee," Patient Care Staffing Report, May 2001, pp. 6-7. Reprints of article (PC105003) are available from http://www.corhealth.com/reprint.asp.

Farella, Carrie, "10 Ways to Nix the Nursing Shortage: Nursing Spectrum Asked You How to Save Our Profession," Nursing Spectrum, posted October 22, 2001. Summarizes suggestions from readers' essay contest.

Greene, Marnie E., "Beware and Prepare: the Government Workforce of the Future," Public Personnel Management, Volume 29, Issue 4, Winter 2000, p. 435. Discusses some of the most critical issues facing government workforce planners.

Joyce, Wendell, "Telecommute America Report: The Federal Flexible Workplace Pilot Project Work-at-home Component," General Services Administration, January 1993.

Jurkiewicz, Carole L., "Generation X and the Public Employee," Public Personnel Management, Volume 29, Issue 1,Spring 2000, p. 55. Discusses differences and similarities of Generation X and Baby Boomer employees in the public sector.

Wagner, Stacey, "Retention: Finders, Keepers," Training & Development, v 54 i8, August 2000, p. 64. "There are many things that organizations should and can provide to attract and retain workers. A broad mix goes into any successful recruitment and retention strategy." Employees place training and development near the top of the list.

Withers, Pam, "Retention Strategies That Respond to Worker Values," Workforce, Volume 80, Issue 7, July 2001, p. 36. Recommends several employee retention strategies that focus on employee values. Balance between employee's work and personal life; manifestation of the company's social responsibility; enhancement of the professional growth and development of employees.

Books

Griffeth, Roger W. and Peter W. Hom, Retaining Valued Employees, Sage Publications, Inc., Thousand Oaks, CA, 2001. The why and how of employee retention programs. Chapter summaries give a useful overview.

Nurse Recruitment and Retention Strategies 2001, COR Best Practices Series, Santa Barbara, CA 2002. Contains reports, abstracts and resources on the topic in a 48 pp. soft cover book. Contact COR Health LLC 805/564-2177 or www.corhealth.com.

Smith, Gregory, Here Today, Here Tomorrow: Transforming Your Workforce from High Turnover to High Retention, Dearborn Trade Publishing, Chicago, IL, 2001. Discusses causes for high turnover and strategies to improve retention.

Rothwell, William J., Effective Succession Planning: Ensuring Leadership Continuity and Building Talent From Within, 2nd Edition, AMACOM, New York, 2001. Comprehensive treatment of succession planning. Case study of development and retention of nursing personnel of special interest, pp. 48-52.

Wheeler, Kevin, "Five Ways to Control Turnover," http://www.promoplace.com/gardnerresources January 29, 2002.

Internet Links

NATIONAL ASSOCIATION FOR EMPLOYEE RECOGNITION A list of links to articles and programs promoting employee recognition strategies.

Johnson and Johnson - Health and Wellness Services Describes company's health and wellness benefits that help employees balance family and work life.

www.best-in-class.com/research/bestpracticespotlights/talent_retention_27.htm "Retaining Top Talent in a Competitive Market."

The State of California Telework – Telecommuting Program ( ) The State of California has developed a telework brochure to assist California's state agencies in setting up telecommuting programs.

Work and Family Reports A report by the California Work & Family Advisory Committee that identifies and makes recommendations to promote family friendly work policies and programs.

U.S. General Services Administration This site provides technical support, consultation, and research on areas that deal with telework.

Interagency Telework Site "Reports on a 'flexiplace' pilot program used by the Internal Revenue Service Information Technology Services office."

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Appendix 1: Focus Group Questions

1. Are you aware of any retention efforts in your agency? Yes/No

   Why do you stay with State government?What makes you think about leaving State government?

2. Give us an example of someone who recently left your agency for an opportunity outside of State government. In your opinion, why did it happen?

   Did they discuss with you specific reasons why they were leaving? Yes/No

   Did they discuss with you what would have made them stay?

3. Do you know of specific retention problems in your agency? Yes/No

   Describe the issues.

   What do you feel is unique about your agency's retention situation?

   What titles or job are hardest to keep people in? Why?

4. What were the expectations you had when you first came to work for the State that haven't been met?

   Are the reasons you are staying with State government different than the reasons why you first came to State government? Yes/No. Explain.

5. What type of work environment/organizational culture (e.g. supervisory style, work itself) is most appealing to employees in the State workforce?

   What types of benefits are most important to the workforce?

   What types of education, skill development and training opportunities are most attractive to employees?

   In what areas should control agencies (Civil Service, GOER, DOB) work with labor and management to build type of work environment needed to attract and retain today's workforce?

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Appendix 2: Employee Retention Survey

As part of the statewide initiative on Workforce and Succession Planning, the Interagency Retention Workgroup is gathering information on current agency retention efforts and ideas for future retention efforts. As part of this data gathering, we are asking that you complete this survey so we can find out your perception about various aspects of state employment. All responses will be kept confidential and reported in the aggregate only.

A. Benefits

Please rate the following benefits of state employment on a scale of 1 to 5, where 1 = not at all important and 5 = very important.

	NOT AT ALL IMPORTANT	NOT VERY IMPORTANT	NEUTRAL	SOMEWHAT IMPORTANT	VERY IMPORTANT
Salary/Compensation	1	2	3	4	5
Leave benefits (including sick, vacation, personal, paid holidays)	1	2	3	4	5
Retirement plan	1	2	3	4	5
Health and related benefits(health insurance, vision, dental, prescription)	1	2	3	4	5
Long-Term Care Insurance	1	2	3	4	5
Tuition Reimbursement	1	2	3	4	5
Deferred Compensation	1	2	3	4	5
Employee Assistance Program (EAP)	1	2	3	4	5
LifeWorks (resource and referral)	1	2	3	4	5
Other (specify):	1	2	3	4	5

B. Strategies

Please indicate if any of the following strategies are available in your agency. Then rate how important each item is to you, whether it's available or not, on a scale from 1 to 5 where 1 = not at all important and 5 = very important.

	AVAILABLE?		NOT AT ALL IMPORTANT	NOT VERY IMPORTANT	NEUTRAL	SOME-WHAT IMPT.	VERY IMPORTANT
	YES	NO					
Alternative Work			1	2	3	4	5

Schedule (AWS)							
Voluntary Reduction in Work Schedule (VRWS)			1	2	3	4	5
Telecommuting/Work at Home			1	2	3	4	5
Wellness Programs			1	2	3	4	5
Mentoring/Coaching			1	2	3	4	5
Job Rotation and New Assignments			1	2	3	4	5
Help with career planning			1	2	3	4	5
On-site day care			1	2	3	4	5
Rewards and recognition (e.g., service awards, employee of the year)			1	2	3	4	5
Employee Suggestion Program			1	2	3	4	5
Education opportunities			1	2	3	4	5
Training opportunities - job related			1	2	3	4	5
Training opportunities - other (e.g., Franklin Covey, personal development,etc.)			1	2	3	4	5
Annual Performance Appraisal			1	2	3	4	5
Other (specify):			1	2	3	4	5

C. Organizational Culture

Please rate the following statements on a scale of 1 to 5, where 1 = strongly disagree and 5 = strongly agree.

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE
Supervisors in my agency sit down with employees and discuss their development plans at least every 6 months.	1	2	3	4	5
Employees are often given the opportunity to be part of task groups and assignments outside their core job responsibilities.	1	2	3	4	5
My agency has a career development program that helps					

people become more aware of and responsible for their own career development.	1	2	3	4	5
Working on a new projector assignment is an open process with few barriers.	1	2	3	4	5
Supervisors communicate effectively with employees.	1	2	3	4	5
My agency has a culture that recognizes and values diversity.	1	2	3	4	5
There is an environment of openness and trust in my agency.	1	2	3	4	5
Employees in my agency are treated with fairness and respect.	1	2	3	4	5
Supervisors spend a good deal of time listening to employees' ideas.	1	2	3	4	5
Supervisors have a style that empowers people to take responsibility and authority.	1	2	3	4	5

D. Personal Satisfaction

Please rate the following statements on a scale of 1 to 5, where 1 = very dissatisfied and 5 = very satisfied.

	VERY DISSATISFIED	SOMEWHAT DISSATISFIED	NEITHER DISSATISFIED OR SATISFIED	SOMEWHAT SATISFIED	VERY SATISFIED
Opportunities for personal growth and development in my job.	1	2	3	4	5
The feeling of worthwhile accomplishment I get from doing my job.	1	2	3	4	5
The amount of independent thought and action I can exercise in my job.	1	2	3	4	5
The amount of challenge in my job.	1	2	3	4	5
The amount of					

job security I have.	1	2	3	4	5
How secure things look for me in the future of my organization.	1	2	3	4	5
The amount of pay and fringe benefits I receive.	1	2	3	4	5
The degree to which I am fairly paid for what I contribute to my organization.	1	2	3	4	5
The people I talk to and work with on my job.	1	2	3	4	5
The chance to get to know other people while on the job.	1	2	3	4	5
The chance to help other people while at work.	1	2	3	4	5
The degree of respect and fair treatment I receive from my boss.	1	2	3	4	5
The amount of support and guidance I receive from my supervisor.	1	2	3	4	5
The overall quality of the supervision I receive in my work.	1	2	3	4	5
The safety of my work environment.	1	2	3	4	5
The availability of promotional opportunities.	1	2	3	4	5
The existence of established career ladders.	1	2	3	4	5
Opportunities to learn new things from my work.	1	2	3	4	5

E. Career Plans

As you think to the future, which of the following best describes your career plans at this time?

☐ Retire or leave State employment within 1-2 years

☐ Retire or leave State employment within 3-5 years

☐ Retire or leave State employment within 6-10 years

☐ No plans to retire or leave State employment in the foreseeable future

What are the specific factors that will contribute to the answer you selected to the question above?

F. Demographics

Please provide us with the following demographic information (All responses will be kept confidential and reported in the aggregate only):

- Age group: ☐ 18-25 26-35 ☐ 36-45 ☐ 46-55 ☐ over 55
- Gender: ☐ Male ☐ Female
- Race/Ethnicity: ☐ White ☐ Black ☐ Hispanic ☐ Asian ☐ Native American ☐ Other
- Years of Service: ☐ 0-5 ☐ 6-10 ☐ 11-15 ☐ 16-20 ☐ 21-25 ☐ over 25
- Grade Level: ______
- Bargaining Unit: ☐ PEF ☐ CSEA ☐ NYSCOBA ☐ M/C
- Civil Service Title: ____

G. General Comments

Please note any other comments you have that weren't addressed in the sections above:

Thank you for completing the survey!

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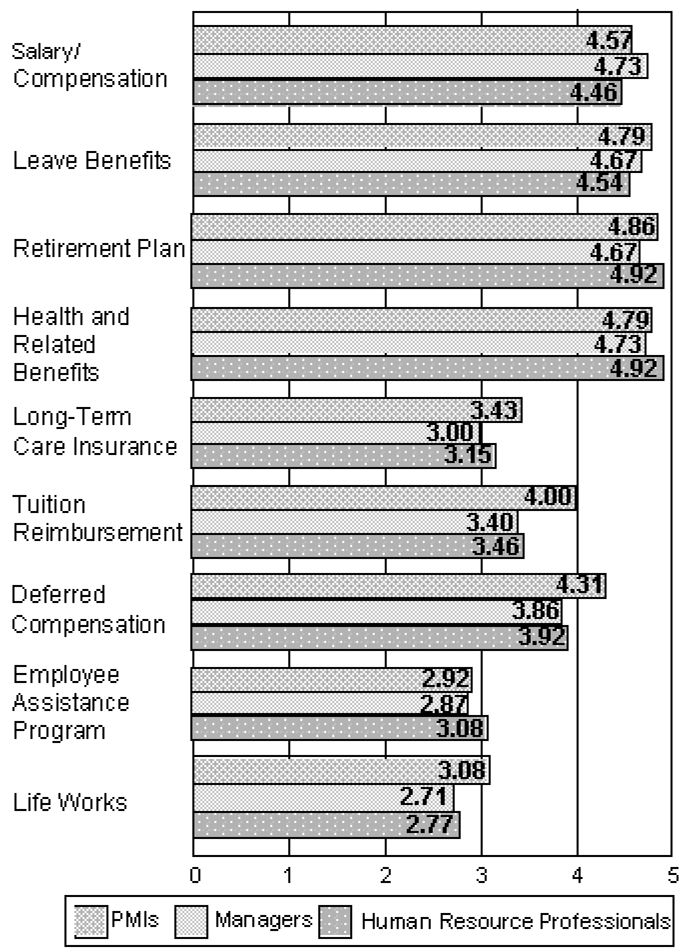
Appendix 3: Survey Responses - Benefits

How important to you are the following benefits? (Scale from 1 to 5, least to most important)



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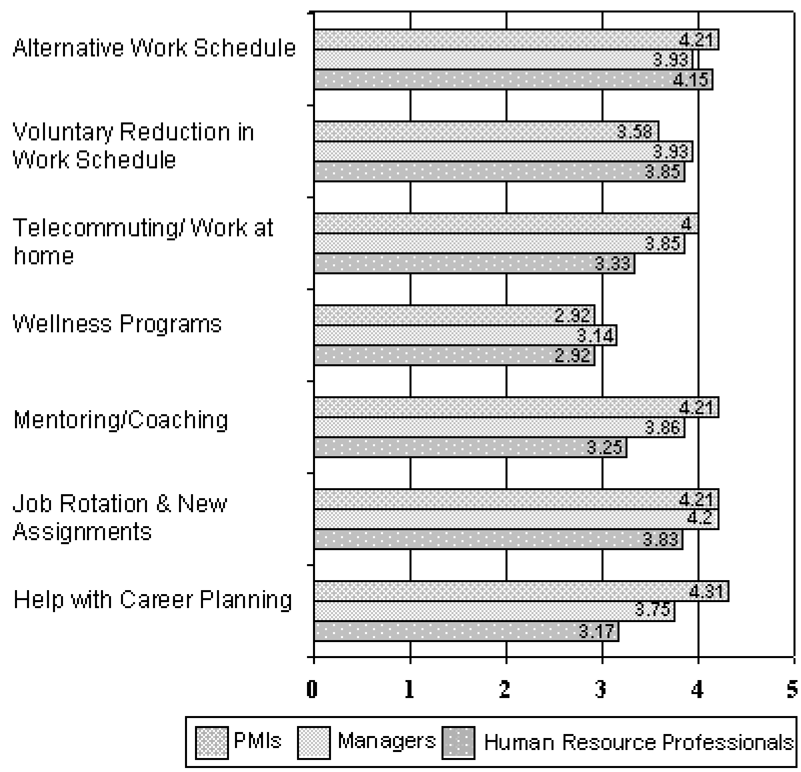
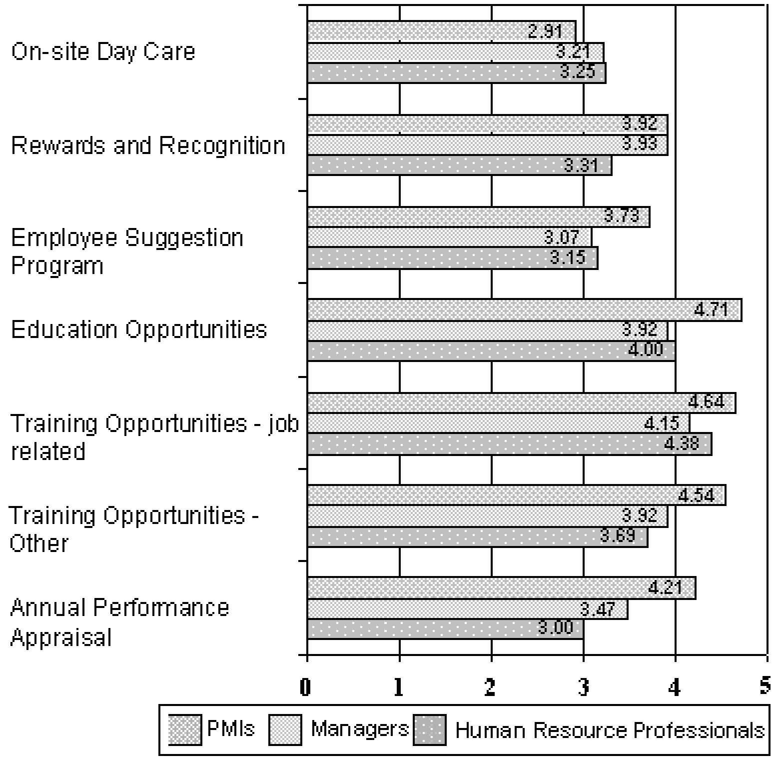
Appendix 4: SurveyResponses - Strategies

How important to you are the following strategies?
(Scale from 1 to 5, least to most important)





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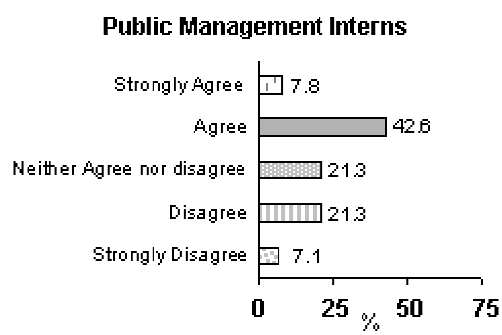
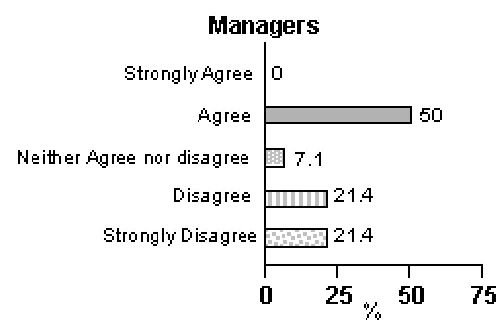
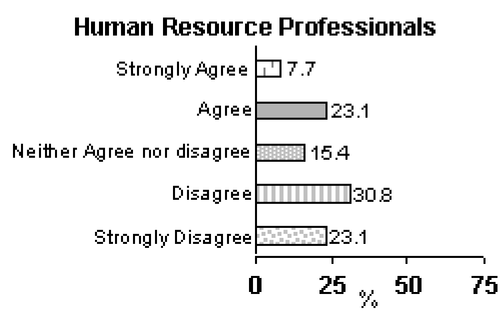
Appendix 5: Survey Responses - Organizational Culture

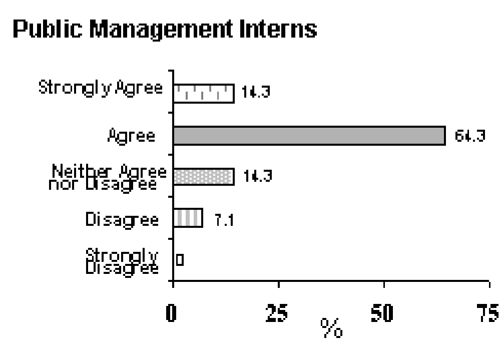
Supervisors sit down with employees to discuss development plans

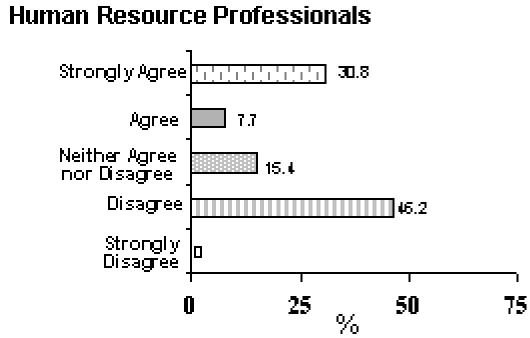




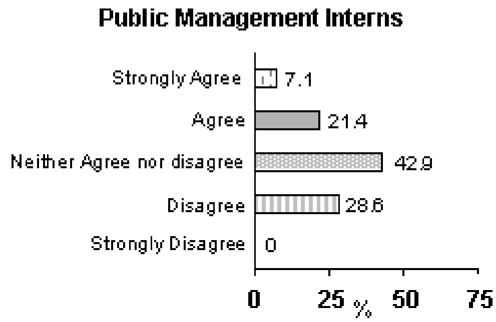


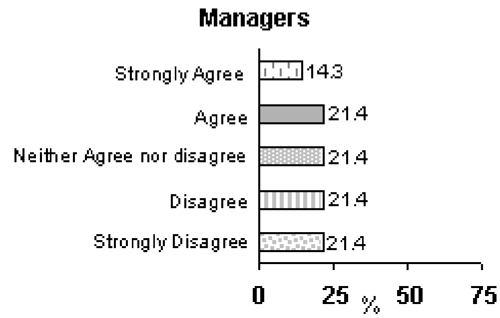
Employees are often given the opportunity to be part of task groups and assignments outside their core job responsibilities.

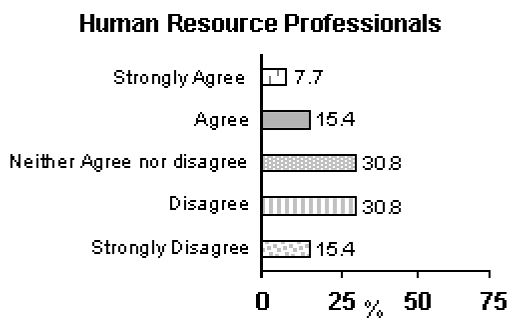




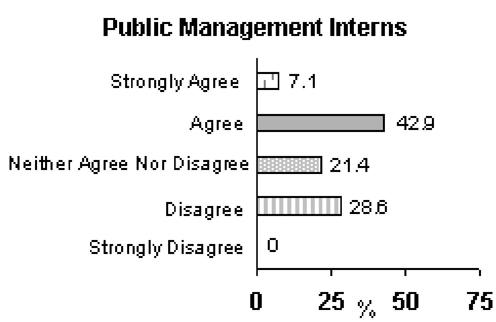
My agency has a career development program that helps people become more aware of and responsible for their own career development.

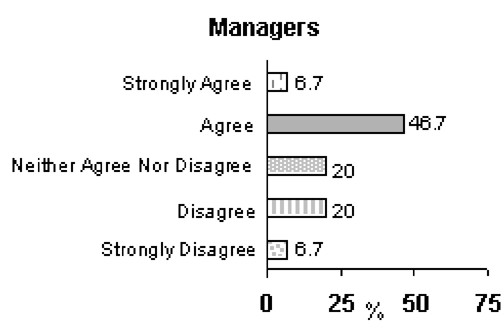


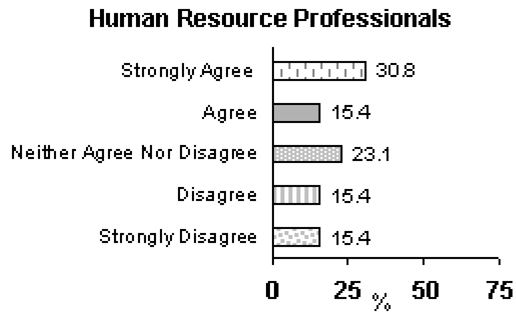




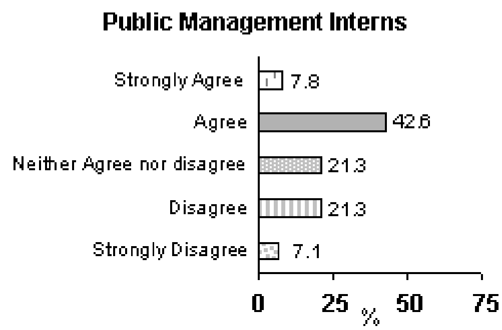
Working on a new project or assignment is an open process with few barriers.

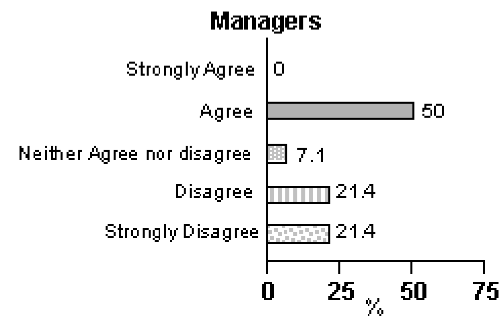


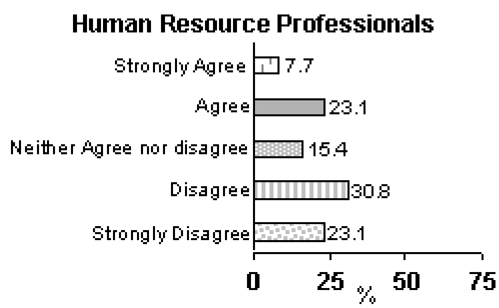




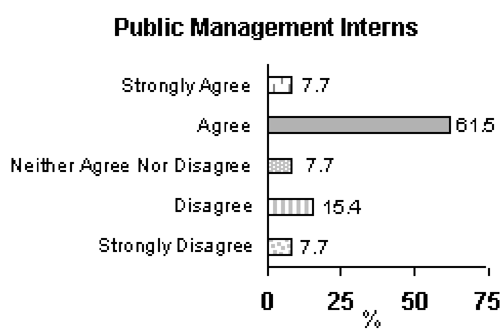
Supervisors communicate effectively with employees.

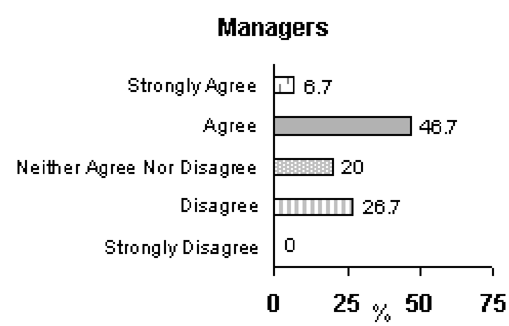


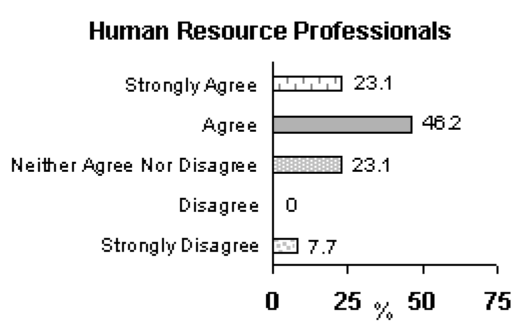




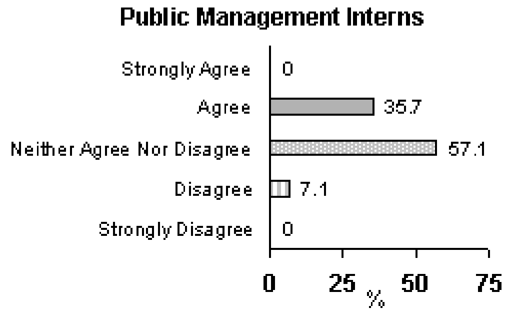
My agency has a culture that recognizes and values diversity.

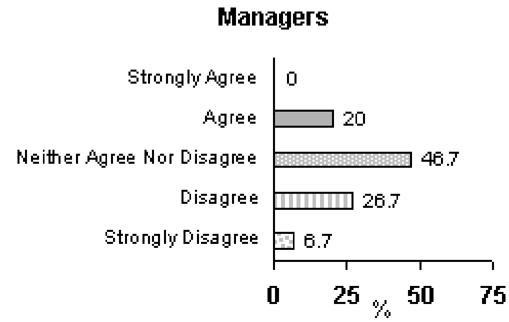


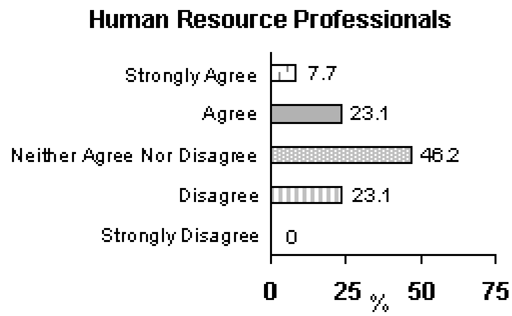




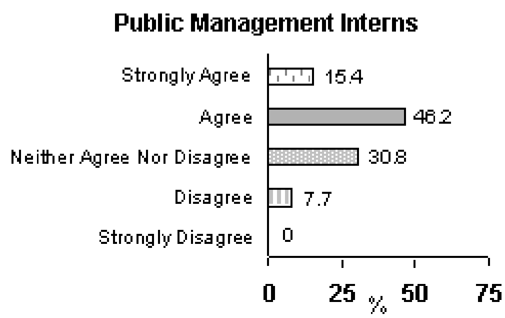
There is an environment of openness and trust in my agency.

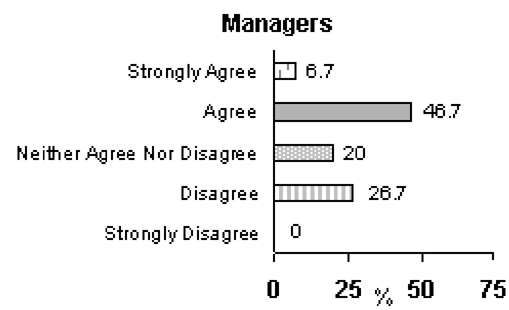




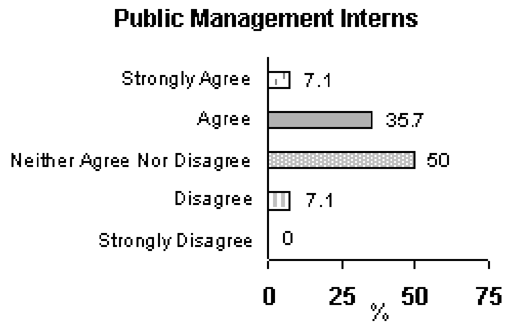


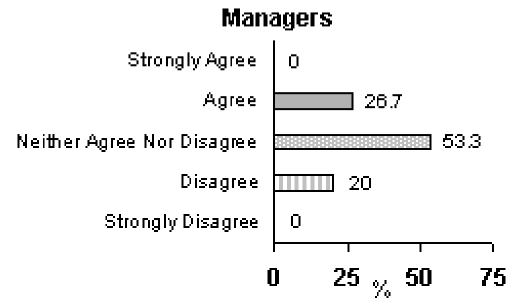
Employees in my agency are treated with fairness and respect.

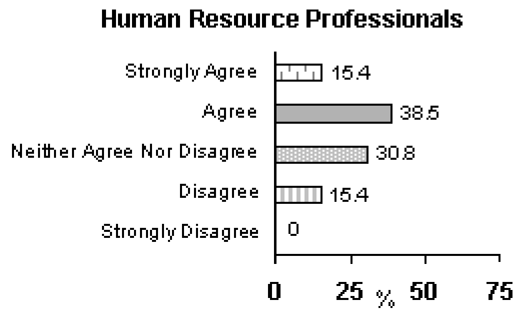




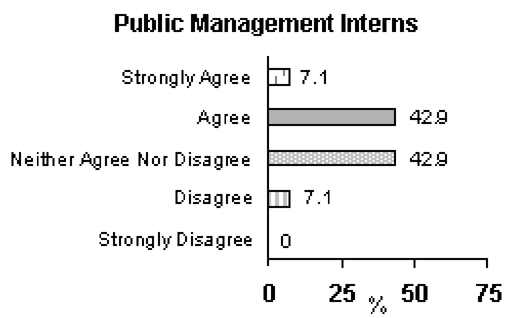
Supervisors spend a good deal of time listening to employees' ideas.

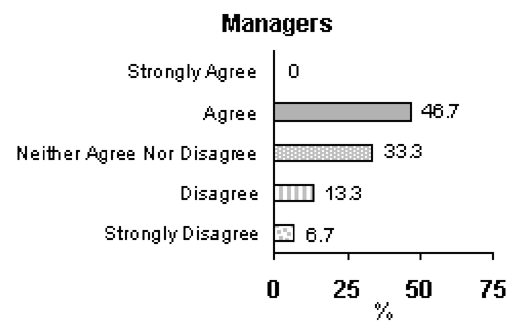


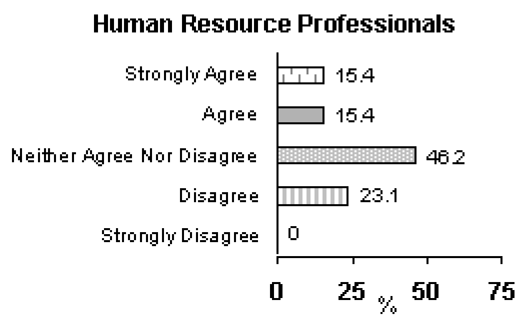




Supervisors have a style that empowers people to take responsibility and authority.







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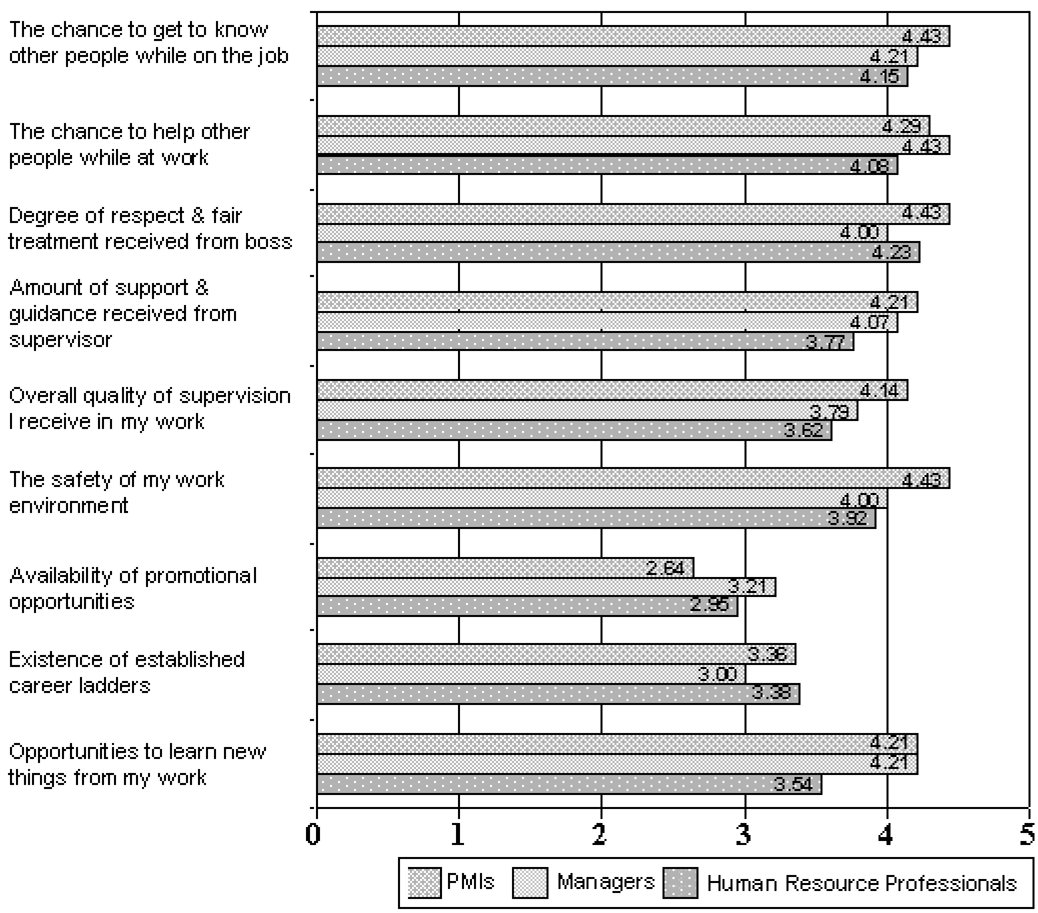
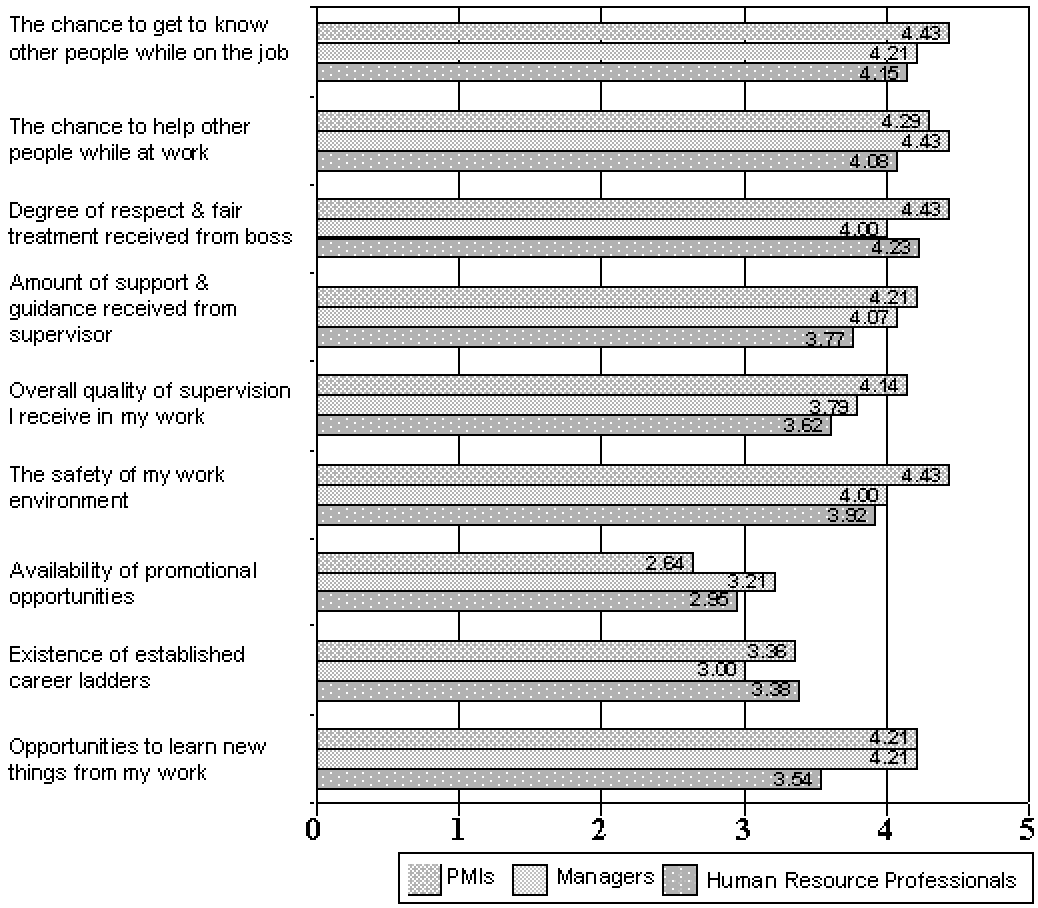
Appendix 6: Survey Responses - Personal Satisfaction

(Scale from 1 to 5, least to most important)





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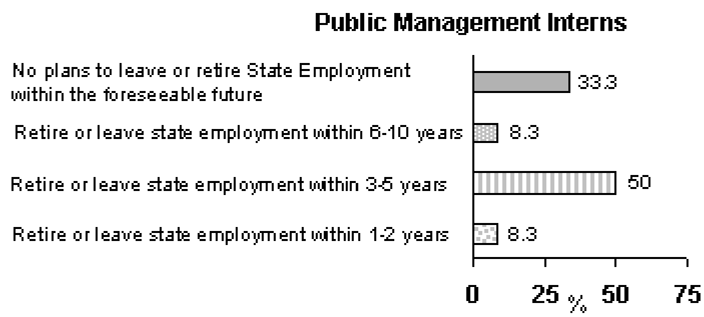
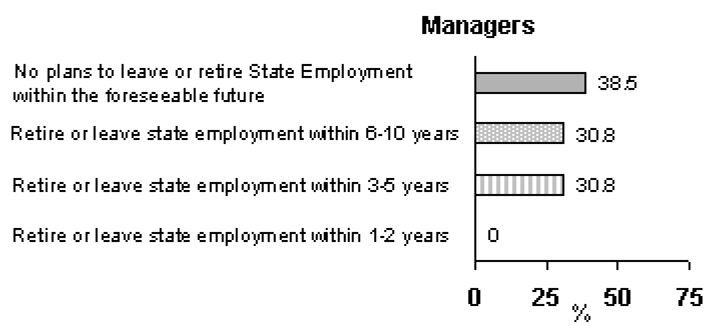
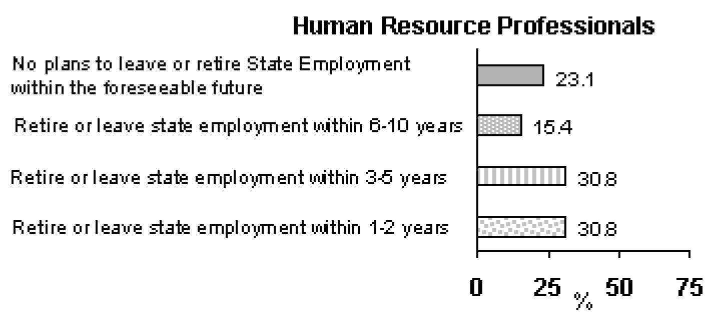
Workforce and Succession Planning

Appendix 7: Survey Responses - Career Plans

As you think to the future, which of the following best describes your career plans at this time?







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M E N T O R I N G

Report of the Mentoring Workgroup

Sponsored by:

NYS Department of Civil Service
George C. Sinnott, Commissioner

NYS Governor's Office of Employee Relations
George H. Madison, Director

George E. Pataki, Governor

September 2002

In issuing this report, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented.

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INTRODUCTION TO MENTORING

What is Mentoring?

Mentoring is defined as "a deliberate pairing of a more skilled or more experienced person with a less skilled or less experienced one, with the mutually agreed goal of having the less skilled person grow and develop specific competencies."

(Source: Beyond the Myths and Magic of Mentoring by Margo Murray, pg.xiii)

Mentoring is a process by which the mentor and protégé work together to discover and develop the protégé's knowledge, skills, and abilities, usually in a particular area. The mentor acts as a teacher, coach, and advisor, offering knowledge, wisdom, insight, or perspective that is especially useful to the protégé's personal and professional development.

In addition to formal mentoring programs, the focus of this report, mentoring also occurs in organizations on an informal basis – through a supervisor's daily contact with staff; through interactions with peers; and, through observation of someone who has succeeded in an area where we wish to excel. In some instances, we are the mentor, helping to guide others, and in some we are the protégé, learning from those around us. So, in addition to formal mentoring programs, there are ample opportunities in the workplace to mentor and be mentored on an informal basis.

Why is Mentoring an Effective Tool?

The organizational benefits of mentoring extend to the protégé, the mentor, and the organization itself.

The benefits to the **protégé** are obvious: mentoring contributes to a protégé's personal growth, professional maturity, career development, and leadership/managerial skills. Mentoring can also be used to expand opportunities for women and minorities who have traditionally faced roadblocks in moving up the corporate ladder by having them work closely with other managers and supervisors.

The benefits to the **mentor** are just as real, if less obvious. Being a mentor can contribute to the mentor's own personal and professional growth. As the mentor coaches and guides the protégé, he or she stays focused on the skills, characteristics, and styles that are valued by the organization and needed to succeed. Being a mentor also identifies you as someone of professional distinction who can serve as an example and role model for others. A mentor can also learn from the protégé's knowledge and questions.

Finally, mentoring is an effective succession planning strategy that benefits the **organization** in numerous ways. Mentoring programs can be valuable tools in recruitment, retention, knowledge transfer, and work force development. Mentoring can also contribute to the promotion of diversity in an organization.

In summary, mentoring programs offer a relatively low-cost opportunity to serve the needs of the protégé, the mentor, and the organization as a whole. Many studies have supported the benefits of mentoring programs. Some highlights are as follows:

That Does it Take to be a Good Mentor?

The following qualities are valuable for mentors to possess:

- Good listening and communication skills
- Good social skills/people oriented
- Genuine interest in helping others/supportive
- Good coaching and feedback skills
- Willingness and ability to commit time and energy to the mentoring relationship
- Knowledge and experience in a particular field and willingness to share this with the protégé
- Ability to use professional network and resources to help the protégé
- Respect of colleagues/respect for others
- Commitment to personal and professional development for self and others
- Belief in agency mission, vision, and values
- Ability to maintain confidentiality
- Ability to motivate others
- Achievement oriented
- Patience
- Integrity

What Does It Take to be a Good Protégé?

The following qualities are valuable for protégés to possess:

- Commitment to and sense of responsibility for self-development
- Commitment and desire to learn
- Willingness to accept constructive feedback
- Willingness to take risks
- Positive attitude
- Ability to set goals, and a desire to achieve them
- Willingness to take initiative in the mentoring relationship
- Personal vision and sense of desired career path
- Ability to assess/evaluate self

- Patience
- Self-management skills
- Good listening and communication skills
- Willingness to commit time and energy to the mentoring relationship
- Ability to work independently and as part of a team
- Openness to change and experimentation

Ten Tips for a Successful Mentoring Program

1. **Identify a clear purpose for offering a mentoring program and make sure the program design supports it.**

    < Some examples of program purpose include:

    - Assist the agency with succession planning activities
    - Increase retention of valuable employees
    - Improve representation of women and minorities in management positions
    - Enhance morale and productivity
    - Facilitate knowledge transfer

    Consider supporting your purpose with a program mission statement.

    * *Helpful Note: A needs assessment can identify areas within the organization that would benefit from a mentoring program and can help to define the program purpose.*

2. **Enlist the support of top management to ensure a successful program.**

    < Management support lends credibility to the program.

    - Experienced staff are more likely to volunteer as mentors if they see that agency management values their participation.

    - Potential protégés will be attracted to a program that is endorsed by agency management.

    Consider holding a program "kick off" meeting hosted by the Commissioner or top agency official.

3. **Establish measurable goals and objectives for the mentoring program so that it can be monitored and evaluated.**

    < Setting clear goals will help you measure the success of the program and point to areas where improvement may be needed.

4. Develop guidelines for the operation of the program in your agency.

< Identify the targeted audience.

- Will the program be open to all agency staff or tailored to particular groups where a need has been identified?

< Develop a plan for the recruitment and screening of mentors/protégés that includes specific selection criteria.

< Outline the documentation requirements of the program.

** Helpful Note: Programs can range from informal to extremely structured. Some form of documentation is recommended to allow the agency to assess the effectiveness of the mentoring relationships.*

Consider piloting the program in one part of your organization before rolling it out to the entire agency. This can provide a working model to use in refining program guidelines and requirements.

***5.* Publicize the program broadly to insure that all eligible employees are aware of and informed about mentoring opportunities.**

< Announce the program in agency newsletters, on bulletin boards, and on employee accessed Intranet sites and electronic bulletin boards.

< Hold informational meetings for employees interested in becoming mentors or protégés.

< Highlight the benefits of the mentoring relationship to both mentors and protégés to encourage participation in the program. These include:

- Mentors are able to pass on knowledge and share valuable insights and may also benefit from the fresh perspective of their protégé.

- Protégés can focus on career goals and gain networking contacts within the organization that will aid their future development.

6. Offer training to mentors and protégés to provide a solid foundation for the relationship and help participants identify strategies for achieving success.

< Once mentoring partners have been matched, joint training exercises offered just prior to or at the beginning of the formal mentoring period can be a great ice breaker. They can give the participants a chance to focus on their goals and objectives and develop a plan for reaching them.

< Resource and reference materials should be made available throughout the mentoring period to provide insights and ideas to strengthen the experience for program participants.

Consider this training an investment in the success of your mentoring program.

7. Define mutual expectations for the mentoring relationship and provide the appropriate mechanisms to allow participants to achieve their goals.

< Both mentor and protégé should know their roles and responsibilities and should have a clear picture of the purpose of the relationship.

Consider implementing a written contract or agreement between mentor and protégé.

* *Helpful Note: Realize that goals or objectives may change as the mentoring relationship develops; build enough flexibility into the program to allow for changes in course.*

8. Set a specific duration for each mentoring relationship with definite beginning and end dates.

< The time frame should be long enough to allow the participants to achieve their desired goals and objectives but not so long that the relationship becomes superfluous for either party.

- The mentoring relationship should provide the protégé with a network of contacts that will allow them to function effectively in the organization once formal mentoring has ended.

@ ***Time Flies: A good mentoring relationship may continue on an informal basis beyond the formal end date of the program.***

9. Design and implement an evaluation and monitoring process to insure that the program is meeting intended objectives both for the organization and for the participants.

< Monitor the program for its relevancy to the goals of the organization and adherence to the stated program purpose or mission.

- Elicit frequent feedback from program participants to use as a gauge of program success or to identify areas for improvement.

< Provide a mechanism for mentors and protégés to assess the progress of the relationship at predetermined points in the program.

Flexibility is the key! The mentoring relationship should be dynamic and participants must have the freedom to continually reevaluate their progress as they move toward their objectives.

10. Recognize the accomplishments of mentors and protégés and value the contributions they make to your organization.

< Hold a luncheon or other gathering at the close of a mentoring program to recognize the participants and their accomplishments.

Consider instituting an annual award to be presented to the mentor/protégé who has demonstrated excellence or has made a significant contribution to the organization as a result of their participation in the program.

Summaries of Mentoring Programs that Exist in NYS Agencies

A number of New York State agencies have established formal Mentoring Programs to enhance the development and quality of work life for their employees. Following are brief overviews of these programs:

NYS Department of Correctional Services

Contact: John Maloy
nysdocs_trainingacademy@cs.com
(518) 489-9072

Purpose: The Department of Correctional Services Training Academy has a specialized mentoring or "counselor" program which links experienced Correction Officers with Correction Officer Trainee recruits to help them transition from civilian to Correction Officer.

Process: The program is administered by the Division of Training. Mentors/counselors are assigned to each recruit by the Correction Officer Recruit Sergeant at the Academy. Counselors are available to the Correction Officer Recruits at all times during their eight weeks of training. The counseling is extended for another three weeks during on-the-job training.

NYS Department of Economic Development

Contact: John Bryan
(518) 292-5102

Purpose: The purpose of the Department of Economic Development's mentoring program is to facilitate the transition of qualified Department clerical and secretarial employees into the professional ranks. Employees can move into the title of Economic Development Program Specialist 1 (G-18) after successfully passing a competitive examination and completing a two-year training program.

Process: As a part of the training program, each Economic Development Specialist Trainee is assigned a mentor. This mentor (a Senior Economic Development professional) is charged with advising the trainee on professional development, assisting in on-the-job training, and consulting with the Supervisor and Division Director on work assignments and performance evaluations. Often the trainee will identify a senior professional that he or she would like as a mentor. The Human Resources Office is responsible for monitoring the trainee's development program. Trainees provide progress updates at scheduled intervals. The relationship lasts for two years.

NYS Department of Health

Contact: Norma Nelson OR Rhonda Cooper
nnn01@doh.state.ny.us rsc02@doh.state.ny.us
(518) 402-0935 (518) 452-6826

Purpose: The Department of Health's mentoring program is voluntary and open to any DOH employee interested in developing their skills. In addition to the Main Office in Albany, off-site locations participating in the program include the Buffalo, Rochester, New York City, and New Rochelle offices. The program will be used in the Department's succession/workforce planning efforts. The program is administered by the Department's Intra-Agency Task Force on Women's Issues.

Process: Mentors and protégés interested in participating should complete and submit an application and resume. The committee then matches the protégé with a mentor who offers skill sets requested or works in an area of interest. The program is monitored through two feedback sessions per year and includes a graduation/luncheon ceremony at the conclusion of the program. In addition, there are two forms the protégés are asked to complete after each meeting with their mentors. One involves what was gained from the meeting and the other outlines expectations for future meetings. This information is used at the mid-point of the program to evaluate strengths and weaknesses.

See http://www.goer.state.ny.us/workforce/agyinitiatives/dohacademy.html#dohmentor for DOH mentoring program forms.

NYS Insurance Department

Contact: Anne Marie Morrell
amorrell@ins.state.ny.us
(212) 480-7133

Purpose: The purpose of the mentoring program is to coach and motivate new examiner trainees (G-14 and G-16) during their two-year training program, which includes required classes, seminars, and on-the-job training. The mentoring program is intended to help new professional staff adjust to the rigors of the program and make them an integral part of the Department.

Process: Experienced examiners are asked to volunteer to participate in the mentoring program. New trainees and mentors are matched based on the first assignment that the trainee receives. (Note: Trainees rotate among four different bureaus over a two-year period.) Mentors must be permanently assigned to the home office so that they can interact with the protégés when they need assistance. Finally, a mentor may not directly supervise a protégé. Mentors attend a workshop conducted by the training office. While the training office provides ongoing guidance to the mentors, it is up to the individual mentors and protégés to develop their relationships.

NYS Department of Motor Vehicles

Contact: Kenneth Rose
krose@dmv.state.ny.us
(518) 474-0686

Purpose: The purpose of the Department of Motor Vehicles' program is to mentor newly hired professional staff. This target group was selected in recognition of the need for workforce succession planning.

Process: The program is available to recently hired and recently promoted entry-level professional staff. The mentors invited to participate are all senior managers (M-2 and above) who have significant program responsibilities. Mentors and their protégés are in different organizational units. There is no formal orientation or training program for the mentors. Mentors are asked to continue a relationship with their protégé for one year, but frequency of meetings and activities are left up to the mentor.

NYS Department of Public Service

Contact: Janice Nissen
Janice_Nissen@dps.state.ny.us
(518) 486-2626

Lilli Carroll
Lilli_Carroll@dps.state.ny.us
(518) 486-9025

OR

Peggy May
Peggy_May@dps.state.ny.us
(518) 486-1542

Purpose: The purpose of the Department of Public Service's mentoring program is to assist employees in pursuing their goals by providing a mechanism to enhance skills in their current job or explore career alternatives. The program is open to all employees across the State at all grade levels.

Process: The mentoring program, as it currently exists, is employee driven. Employees submit an application form that describes what knowledge, skill, or ability (KSA) they are seeking to strengthen or what topical area they wish to explore. Human Resources reviews the application and, if the KSA's the employee is seeking is most appropriately acquired through mentoring, develops a list of potential mentors and contacts them to determine if they are interested and available. A Steering Committee supports the program and assists in identifying mentors. Both mentors and protégés attend a half-day training session and agree on a mentoring contract outlining how objectives will be met. Supervisors of protégés must sign off on the protégé's application and mentors and protégés are encouraged to involve the protégé's supervisor when developing the mentoring contract. The work schedule for mentor/protégé meetings or protégé assignments must be approved by the protégé's supervisor.

NYS Department of Transportation

Contact: Kay Champagne
kchampagne@gw.dot.state.ny.us
(518) 485-8554

Purpose: DOT's mentoring program is voluntary and presently open to all main office personnel. The goal of the program is to assist in the development of employee skills, techniques and perspectives, and to help develop managers and leaders within DOT. The program provides guidance in career planning, personal development and help in achieving the Department's corporate goals.

Process: Mentors and protégés are partnered on a one-to-one basis (mentors with certain skills/experiences are matched to protégés who have identified a related desire to attain those skills/experiences), and work together to set goals and identify activities that will assist the protégés in meeting their goals. The duration of the mentoring relationship is determined by the partners. The Employee Development Unit offers developmental opportunities throughout the course of the program that benefits both the mentors and protégés with their working relationships. As mentors, agency leaders take responsibility, not only for preparing their successors, but also for creating an environment where employees can work on organizational issues that challenge them to grow. Mentors use good coaching and mentoring skills to assist in creating this type of environment.

Also see http://www.goer.state.ny.us/workforce/agyinitiatives/dotmentor.html.

Advice From Experienced Agencies

New York State agencies that operate formal mentoring programs offered these words of wisdom to agencies considering establishing a mentoring programs.

< Be clear about your purpose for offering a mentoring program and make sure the program design supports it. Involve others in the design and think about how it should be positioned in the overall training and development options offered to employees.

< Mentoring relationships are most successful when they are voluntary. To the extent possible, ensure that participants are committed to the process and are willing and able to devote the extra time and effort that is sometimes necessary.

< Recognize that many mentoring relationships do not succeed because participants experience work conflicts that drain the ability of either the mentor or protégé to devote sufficient time and energy to the relationship. This cannot always be avoided. However, if participation is actively encouraged and valued by top management and/or the program is tied to agency initiatives such as succession planning, it may lessen the likelihood that there will be drop-outs due to work demands.

< Keep things simple and informal for both the mentors and protégés. Don't invent a process that will get in the way.

< Allow creativity in how learning objectives are met. Consider job shadowing, special assignments, teleconferencing, field trips, reading, “homework”, and daily “problem area” chats as mentoring tools.

< Have top leadership support the program through their participation and through advocating its usefulness at meetings and other forums.

< Have participants support program participation by giving testimonials. These testimonials can be used to recruit future mentors and protégés.

< If mentoring is to be successful, it must be viewed by top managers as a legitimate development activity. A written learning agreement is helpful. It should specify the learning objectives and activities to the extent practical.

< Supervisory support is critical. It should be built into the program with management supporting both mentoring and the supervisor’s legitimate work needs. Involve supervisors by letting them, know about the program, inviting them to orientations, encouraging protégés to share their mentoring agreements with them and getting their feedback on how the program is working from their perspective.

< A meeting schedule should be agreed to by the mentor and protégé. Protégés should not be passive and wait for the mentor to approach them. Likewise, mentors should not expect that protégés to bear all responsibility for initiating contact.

< Many experienced employees are reluctant to volunteer to become mentors. They have technical expertise but don’t feel comfortable in the “mentoring role.” When they realize they have been working in informal mentoring roles (as both manager and protégé) throughout their careers and when they have the proper training and encouragement, they become much more willing to officially become mentors.

< The administrator of the mentoring program should be able to troubleshoot. If a mentoring relationship is not working, be prepared to assist in a resolution.

< Where possible and appropriate, bring the employee organizations and unions on board early in program development to gain their support.

OTHER MENTORING PROGRAMS AND RESOURCES

Mentoring Workgroup members found some useful and interesting information on mentoring programs outside of New York State agencies. Following are some links to web sites you might find helpful along with a brief summary of what they contain.

Federal Department of Transportation Mentoring Program

The Federal Department of Transportation administers a "Pass It On" Mentoring Program designed to give their employees the opportunity to receive career guidance from role models from any organization or operating administration in the Department. Federal DOT employees may apply on-line to be a mentor or mentee. In addition to information specific to their program, the DOT web site contains extensive general information on mentoring including a detailed Mentoring Handbook and Mentoring Facts. www.mentor.dot.gov

U.S. Coast Guard

The U.S. Coast Guard initiated a mentoring program in 1991 after a leadership study found that mentoring is a major factor in retaining personnel in an organization. Since its inception, the Coast Guard's program has undergone some refinement and is now partnering with the federal Department of Transportation in the One DOT Mentoring Program. Under the program, employees wishing to participate have the opportunity to match across organizational lines. The Coast Guard web site contains, among other general information, a Mentoring Training Guide that can be used as a training tool for organizations starting a mentoring program. The site also includes a Power Point presentation that can be downloaded and used to give training courses. www.uscg.mil/hq/g-w/g-wt/g-wtl/mentoring.htm

Oak Ridge National Laboratory

The Oak Ridge National Laboratory (a science and technology laboratory that is part of the U.S. Department of Energy) web site has information on mentoring, including a slide show on mentoring. This slide show covers topics such as the story/origin of mentoring; characteristics of formal and informal mentoring; reasons for mentoring; benefits of mentoring; roles and responsibilities; and characteristics of mentors and protégés. www.ornl.gov/HR_ORNL/mentoring/index.htm

National Institute of Standards and Technology

The NIST is a non-regulatory federal agency located within the U.S. Department of Commerce. This web site features information on mentoring, including: the history of mentoring; what mentoring is, and what it is not; the benefits of mentoring; characteristics of good mentors and protégés; and tips for protégés. www.nist.gov/admin/diversity/handbook02.htm

Federal Department of Labor

The U.S. Department of Labor web site contains information on mentoring individuals with disabilities. Included on this web site is information on why mentoring people with disabilities is important, benefits of mentoring people with disabilities, and mentoring tips. www.dol.gov/odep/media/reports/ek00/mentoring.htm

New York State Training Council Mentor-Protégé Program

The New York State Training Council (NYSTC) is a not-for-profit organization that advocates and supports the training and development of the State's workforce to achieve organizational effectiveness. This "Community of Practice" organization is an association of training administrators from New York State agencies who meet regularly to share ideas and experiences and address issues of mutual concern and interest. The NYSTC provides a Mentor-Protégé Program as a professional development opportunity for its members. The Mentor-Protégé Program is a way for those who are new to the field of training and organizational development, or are interested in exploring a new field of interest within that discipline, to team up with experienced practitioners. www.nystc.org Select: Mentor-Protégé Program.

Delaware State Personnel Office

The Delaware State Personnel Office provides a Mentoring Program aimed at offering and supporting "a vehicle which promotes the expansion of professional knowledge, skills, and abilities in all areas of careers development and assists in the creation of opportunities for employees of the State of Delaware to achieve more." www.delawarepersonnel.com/diversity/documents/mentor.htm

Oklahoma State Mentor Program

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City of Tempe, Arizona

This article, on the City of Tempe, Arizona's web site, provides information on what mentoring is, why someone should get a mentor, how to get a mentor, and how to be a mentor. www.tempe.gov/hrben/docs/eap%20connection%201100.htm

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Peer Resources

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Other Web Resources

- "Mirror-Image Mentoring" - This article from the Society for Human Resources Management discusses conscious and unconscious bias, and discrimination in mentoring programs. www.shrm.org/hrmagazine/articles/default.asp?page=0300segal.htm

- This ERIC Digest looks at "new forms of and perspectives on mentoring and the kinds of learning that result from mentoring relationships." www.ed.gov/databases/ERIC_Digests/ed418249.hmtl

- "Mentoring" - The Society for Human Resources Management's web site contains a Whitepaper by David Hutchins which provides a general overview of mentoring. www.shrm.org/whitepapers/documents/61303.asp

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The Governor's Office of Employee Relations offers a two-day training program on Mentoring for New York State Employees through the Workforce Development Opportunities Program. In this workshop, participants learn how to become an inspiring and competent mentors They recognize the power and positive consequences for both mentors and protégés, by using effective communication and listening skills to gain rapport and model behaviors. www.goer.state.ny.us/Train

SUGGESTED READING/BIBLIOGRAPHY

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Barbian, Jeff, “The Road Best Traveled,” *Training* (May 2002): 38 - 42.

Bell, Chip R. *Managers as Mentors: Building Partnerships for Learning*. San Francisco: Berrett- Koehler Publishers, Inc., 1998.

Daugherty, Duane, “Wanted: A Mentor to Advance Your Career,” *Supervisory Management*, (January 1995): 4-5.

Kaye, Beverly, and Betsy Jacobson, “Reframing Mentoring,” *Training & Development*, (August 1996): 44-47.

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Peters, Helen, “Peer Coaching for Executives,” *Training & Development* (March 1996): 30-41.

Shea, Gordon F. *Mentoring*, Menlo Park, CA: Crisp Publications, Inc., 2002.

The Public Management Institute (PMI) Guide Part 3 - Mentor Guide

These books, articles and workbooks are available from the GOER Lending Library.

BACKGROUND OF WORKGROUP INITIATIVE

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before for burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (http://www.goer.state.ny.us/workforce or http://www.cs.state.ny.us/workforce) as they are completed. In addition to Mentoring, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Competencies
- Staff Development
- Management Mobility
- Knowledge Management and Transfer

ABOUT THE MENTORING WORKGROUP

Summary of the Mentoring Workgroup's Efforts

The Mentoring Workgroup was charged with studying the use of mentoring programs for employees. Following is a chronology of the steps taken in support of this effort:

- A questionnaire was developed and administered to obtain information about mentoring programs which exist in New York State agencies. New York State agencies were contacted by telephone and asked whether or not they had a mentoring program for their employees. Those agencies which indicated that they had a mentoring program were asked to complete and return a detailed questionnaire outlining their program. The results of this survey are summarized in the "Mentoring Programs in New York State Agencies" section of this report.

- A search of the Internet was conducted to determine what information existed on mentoring programs elsewhere. A search of the Internet for mentoring programs, in general, primarily yielded information on mentoring programs for disadvantaged youth or those connected with educational institutions. Very little information on mentoring programs for employees was found.

  The workgroup then searched the web portals of all fifty states as well as many federal agencies to determine whether or not they contained information on mentoring programs. Information which the workgroup thought would be useful to State agencies is outlined in the "Other mentoring Programs and Resources" section of this report. Brief summaries of the contents of each web site and links are provided.

- Workgroup members conducted a literature search to locate books and articles on mentoring which would be good resources for agencies considering such programs. A Suggested Reading List is provided as part of this report.

- Workgroup members summarized useful information about mentoring in general. This information is contained in the "Introduction to Mentoring" section of this report.

List of Workgroup Members

The Mentoring Workgroup members were:

Erica Behan, NYS Department of Transportation

Ellen Donovan, NYS Department of Health

Lynn Heath, Workgroup Leader, NYS Office of Mental Health

Mary Ellen Pugliano, NYS Department of Motor Vehicles

Ken Spitzer, NYS Office of the State Comptroller

Mark Stackrow, Workgroup Facilitator, NYS Governor's Office of Employee Relations

Acknowledgments: Special thanks to Chuck Parmentier of the Office of Mental Health, for development of the "Ten Tips for a Successful Mentoring Program" Section; Hasna Kaddo of the Office of Mental Health, for formatting the report; and, Irene Farrigan of the Office of Mental Health, for providing support to the workgroup.

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Mentoring Programs in New York State Agencies

A number of New York State agencies have established formal Mentoring Programs to enhance the development and quality of work life for their employees. Following are brief overviews of these programs:

NYS Department of Correctional Services

Contact: John Maloy
nysdocs_trainingacademy@cs.com
(518) 489-9072

Purpose: The Department of Correctional Services Training Academy has a specialized mentoring or "counselor" program which links experienced Correction Officers with Correction Officer Trainee recruits to help them transition from civilian to Correction Officer.

Process: The program is administered by the Division of Training. Mentors/counselors are assigned to each recruit by the Correction Officer Recruit Sergeant at the Academy. Counselors are available to the Correction Officer Recruits at all times during their eight weeks of training. The counseling is extended for another three weeks during on-the-job training.

NYS Department of Economic Development

Contact: John Bryan
(518) 292-5102

Purpose: The purpose of the Department of Economic Development's mentoring program is to facilitate the transition of qualified Department clerical and secretarial employees into the professional ranks. Employees can move into the title of Economic Development Program Specialist 1 (G-18) after successfully passing a competitive examination and completing a two-year training program.

Process: As a part of the training program, each Economic Development Specialist Trainee is assigned a mentor. This mentor (a Senior Economic Development professional) is charged with advising the trainee on professional development, assisting in on-the-job training, and consulting with the Supervisor and Division Director on work assignments and performance evaluations. Often the trainee will identify a senior professional that he or she would like as a mentor. The Human Resources Office is responsible for monitoring the trainee's development program.

Trainees provide progress updates at scheduled intervals. The relationship lasts for two years.

NYS Department of Health

Contact: Norma Nelson OR Rhonda Cooper
nnn01@doh.state.ny.usrsc02@doh.state.ny.us
(518) 402-0935 (518) 452-6826<

Purpose: The Department of Health's mentoring program is voluntary and open to any DOH employee interested in developing their skills. In addition to the Main Office in Albany, off-site locations participating in the program include the Buffalo, Rochester, New York City, and New Rochelle offices. The program will be used in the Department's succession/workforce planning efforts. The program is administered by the Department's Intra-Agency Task Force on Women's Issues.

Process: Mentors and protégé s interested in participating should complete and submit an application and resume. The committee then matches the protégé with a mentor who offers skill sets requested or works in an area of interest. The mentor and protégé then complete the Mentor/Protégé Agreement. The program is monitored through two feedback sessions per year and includes a graduation/luncheon ceremony at the conclusion of the program. The protégé s are asked to complete a form after each meeting with their mentors. One involves what was gained from the meeting and the other outlines expectations for future meetings. This information is used at the mid-point of the program to evaluate strengths and weaknesses.

NYS Insurance Department

Contact: Anne Marie Morrell
amorrell@ins.state.ny.us
(212) 480-7133

Purpose: The purpose of the mentoring program is to coach and motivate new examiner trainees (G-14 and G-16) during their two-year training program, which includes required classes, seminars, and on-the-job training. The mentoring program is intended to help new professional staff adjust to the rigors of the program and make them an integral part of the Department.

Process: Experienced examiners are asked to volunteer to participate in the mentoring program. New trainees and mentors are matched based on the first assignment that the trainee receives. (Note: Trainees rotate among four different bureaus over a two-year period.) Mentors must be permanently assigned to the home office so that they can interact with the protégé s when they need assistance. Finally, a mentor may not directly supervise a protégé . Mentors attend a workshop conducted by the training office. While the training office provides ongoing guidance to the mentors, it is up to the individual mentors and protégé s to develop their relationships.

NYS Department of Motor Vehicles

Contact: Kenneth Rose
krose@dmv.state.ny.us
(518) 474-0686

Purpose: The purpose of the Department of Motor Vehicles' program is to mentor newly hired professional staff. This target group was selected in recognition of the need for workforce succession planning.

Process: The program is available to recently hired and recently promoted entry-level professional staff. The mentors invited to participate are all senior managers (M-2 and above) who have significant program responsibilities. Mentors and their protégé s are in different organizational units. There is no formal orientation or training program for the mentors. Mentors are asked to continue a relationship with their protégé for one year, but frequency of meetings and activities are left up to the mentor.

NYS Department of Public Service

Contact: Janice Nissen
Janice_Nissen@dps.state.ny.us
(518) 486-2626 Lilli Carroll OR Peggy May
Lilli_Carroll@dps.state.ny.us
Peggy_May@dps.state.ny.us
(518) 486-9025 (518) 486-1542

Purpose: The purpose of the Department of Public Service's mentoring program is to assist employees in pursuing their goals by providing a mechanism to enhance skills in their current job or explore career alternatives. The program is open to all employees across the State at all grade levels.

Process: The mentoring program, as it currently exists, is employee driven. Employees submit an application form that describes what knowledge, skill, or ability (KSA) they are seeking to strengthen or what topical area they wish to explore. Human Resources reviews the application and, if the KSA's the employee is seeking is most appropriately acquired through mentoring, develops a list of potential mentors and contacts them to determine if they are interested and available. A Steering Committee supports the program and assists in identifying mentors. Both mentors and protégé s attend a half-day training session and agree on a mentoring contract outlining how objectives will be met. Supervisors of protégés must sign off on the protégé's application and mentors and protégés are encouraged to involve the protégé's supervisor when developing the mentoring contract. The work schedule for mentor/protégé meetings or protégé assignments must be approved by the protégé's supervisor.

NYS Department of Transportation

Contact: Kay Champagne
kchampagne@gw.dot.state.ny.us
(518) 485-8554

Purpose: DOT's mentoring program is voluntary and presently open to all main office personnel. The goal of the program is to assist in the development of employee skills, techniques, and perspectives, and to help develop managers and leaders within DOT. The program provides guidance in career planning, personal development, and help in achieving the Department's corporate goals.

Process: Mentors and protégés are partnered on a one-to-one basis (mentors with certain skills/experiences are matched to protégés who have identified a related desire to attain those skills/experiences), and work together to set goals and identify activities that will assist the protégés in meeting their goals. The duration of the mentoring relationship is determined by the partners. The Employee Development Unit offers developmental opportunities throughout the course of the program that benefits both the mentors and protégés with their working relationships. As mentors, agency leaders take responsibility, not only for preparing their successors, but also for creating an environment where employees can work on organizational issues that challenge them to grow. Mentors use good coaching and mentoring skills to assist in creating this type of environment.

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Other Mentoring Programs and Resources

Mentoring Workgroup members found some useful and interesting information on mentoring programs outside of New York State agencies. Following are some links to web sites you might find helpful along with a brief summary of what they contain.

Federal Department of Transportation Mentoring Program

The Federal Department of Transportation administers a "Pass It On" Mentoring Program designed to give their employees the opportunity to receive career guidance from role models from any organization or operating administration in the Department. Federal DOT employees may apply on-line to be a mentor or mentee. In addition to information specific to their program, the DOT web site contains extensive general information on mentoring including a detailed Mentoring Handbook and Mentoring Facts.

U.S. Coast Guard

The U.S. Coast Guard initiated a mentoring program in 1991 after a leadership study found that mentoring is a major factor in retaining personnel in an organization. Since its inception, the Coast Guard's program has undergone some refinement and is now partnering with the federal Department of Transportation in the One DOT Mentoring Program. Under the program, employees wishing to participate have the opportunity to match across organizational lines. The Coast Guard web site contains, among other general information, a Mentoring Training Guide that can be used as a training tool for organizations starting a mentoring program. The site also includes a PowerPoint presentation that can be downloaded and used to give training courses. New Web-based Mentoring Program

Oak Ridge National Laboratory

The Oak Ridge National Laboratory (a science and technology laboratory that is part of the U.S. Department of Energy) web site has information on mentoring, including a slide show on mentoring. This slide show covers topics such as the story/origin of mentoring; characteristics of formal and informal mentoring; reasons for mentoring; benefits of mentoring; roles and responsibilities; and characteristics of mentors and protégés. Mentoring Presentation Index

National Institute of Standards and Technology

The NIST is a non-regulatory federal agency located within the U.S. Department of Commerce. This web site features information on mentoring, including: the history of mentoring; what mentoring is, and what it is not; the benefits of mentoring; characteristics of good mentors and protégés; and tips for protégés. NIST Pilot Mentoring Program

Federal Department of Labor

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Workforce and Succession Planning

Ten Tips for a Successful Mentoring Program

1. **Identify a clear purpose for offering a mentoring program and make sure the program design supports it.**
   - Some examples of program purpose include:
     - Assist the agency with succession planning activities
     - Increase retention of valuable employees
     - Improve representation of women and minorities in management positions
     - Enhance morale and productivity
     - Facilitate knowledge transfer

   Consider supporting your purpose with a program mission statement.

   Helpful Note: A needs assessment can identify areas within the organization that would benefit from a mentoring program and can help to define the program purpose.

2. **Enlist the support of top management to ensure a successful program.**
   - Management support lends credibility to the program.
     - Experienced staff are more likely to volunteer as mentors if they see that agency management values their participation.
     - Potential protégés will be attracted to a program that is endorsed by agency management.

   Consider holding a program "kick off" meeting hosted by the Commissioner or top agency official.

3. **Establish measurable goals and objectives for the mentoring program so that it can be monitored and evaluated.**
   - Setting clear goals will help you measure the success of the program and point to areas where improvement may be needed.

4. **Develop guidelines for the operation of the program in your agency.**
   - Identify the targeted audience.

- Will the program be open to all agency staff or tailored to particular groups where a need has been identified?

- Develop a plan for the recruitment and screening of mentors/protégés that includes specific selection criteria.
- Outline the documentation requirements of the program.

Helpful Note: Programs can range from informal to extremely structured. Some form of documentation is recommended to allow the agency to assess the effectiveness of the mentoring relationships.

Consider piloting the program in one part of your organization before rolling it out to the entire agency. This can provide a working model to use in refining program guidelines and requirements.

5. **Publicize the program broadly to insure that all eligible employees are aware of and informed about mentoring opportunities.**

   - Announce the program in agency newsletters, on bulletin boards, and on employee accessed Intranet sites and electronic bulletin boards.
   - Hold informational meetings for employees interested in becoming mentors or protégés.
   - Highlight the benefits of the mentoring relationship to both mentors and protégés to encourage participation in the program. These include:
     - Mentors are able to pass on knowledge and share valuable insights and may also benefit from the fresh perspective of their protégé.
     - Protégés can focus on career goals and gain networking contacts within the organization that will aid their future development.

6. **Offer training to mentors and protégés to provide a solid foundation for the relationship and help participants identify strategies for achieving success.**

   - Once mentoring partners have been matched, joint training exercises offered just prior to or at the beginning of the formal mentoring period can be a great ice breaker, they can give the participants a chance to focus on their goals and objectives and develop a plan for reaching them.
   - Resource and reference materials should be made available throughout the mentoring period to provide insights and ideas to strengthen the experience for program participants.

   Consider this training an investment in the success of your mentoring program.

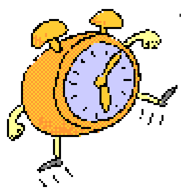
7. **Define mutual expectations for the mentoring relationship and provide the appropriate mechanisms to allow participants to achieve their goals.**

   - Both mentor and protégé should know their roles and responsibilities and should have a clear picture of the purpose of the relationship.

   Consider implementing a written contract or agreement between mentor and protégé.

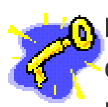
Helpful Note: Realize that goals or objectives may change as the mentoring relationship develops; build enough flexibility into the program to allow for changes in course.

8. **Set a specific duration for each mentoring relationship with definite beginning and end dates.**
   - The time frame should be long enough to allow the participants to achieve their desired goals and objectives but not so long that the relationship becomes superfluous for either party.
     - The mentoring relationship should provide the protégé with a network of contacts that will allow them to function effectively in the organization once formal mentoring has ended.



Time Flies: A good mentoring relationship may continue on an informal basis beyond the formal end date of the program.

9. **Design and implement an evaluation and monitoring process to insure that the program is meeting intended objectives both for the organization and for the participants.**
   - Monitor the program for its relevancy to the goals of the organization and adherence to the stated program purpose or mission.
     - Elicit frequent feedback from program participants to use as a gauge of program success or to identify areas for improvement.
     - Provide a mechanism for mentors and protégés to assess the progress of the relationship at predetermined points in the program.



Flexibility is the key! The mentoring relationship should be dynamic and participants must have the freedom to continually reevaluate their progress as they move toward their objectives.

10. **Recognize the accomplishments of mentors and protégés and value the contributions they make to your organization.**
    - Hold a luncheon or other gathering at the close of a mentoring program to recognize the participants and their accomplishments.

Consider instituting an annual award to be presented to the mentor/protégé who has demonstrated excellence or has made a significant contribution to the organization as a result of their participation in the program.

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Ken Spitzer, NYS Office of the State Comptroller

Mark Stackrow, Workgroup Facilitator, NYS Governor's Office of Employee Relations

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The Management Mobility Work Group stands ready to assist the State of New York in expanding the use of existing tools and applying the new ideas to how we do the State's business mindful of our diminishing managerial resources.

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Department of Civil Service

MANAGEMENT MOBILITY

Report of the Management Mobility Workgroup

Sponsored by:

NYS Department of Civil Service
George C. Sinnott, Commissioner

NYS Governor's Office of Employee Relations
George H. Madison, Director

George E. Pataki, Governor

September 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

MANAGEMENT MOBILITY

Permitting New York State to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

Contents

Part I: Overview

Our Scope and Methods

Our goal was to develop recommendations that would permit New York State, as a single employer, to build, sustain, and access a pool of managers capable of leading administrative and/or program operations in any State agency.

Our work group explored several strategies for fostering management mobility, interviewed New York State managers whose careers have crossed functions and agencies, and assessed how the State's Civil Service laws and system promote or hinder management mobility.

Management mobility, therefore, can be an important tool in workforce and succession planning and management. Additionally, we studied the federal government's Senior Executive Service (SES) as a model of executive leadership development and commissioned a panel of experts – all former federal executives – through the National Academy of Public Administration to answer a series of questions posed on the structure, results, and potential for replication of the SES. www.opm.gov/ses

In a key comment, the experts told us: "Mobility for mobility's sake will lead to failure." Indeed, we observed that promoting management mobility is not an end in itself, but it can be an important tool for developing managers and for succession planning.

What is Management?

Positions in which employees:

- set policies; exercise overall responsibility for execution of these policies; and/or direct individual departments, bureaus, or regional offices; or,
- are empowered to manage the resources of an organizational segment, such as a section or unit.

What Is Mobility?

Movement across functional areas or between field and central office within a single State agency, and/or movement from one State agency to another.

True or False? A Manager is a Manager is a Manager?

Can generic management competencies – such as leadership, coaching, and customer orientation – outweigh technical knowledge in providing managerial direction to any agency operation? The Management Mobility Group explored this fundamental question.

Why Is It Important?

Federal human resources managers and executives identified "**limited mobility"** as a barrier to growing leaders in the public sector, according to the study "Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders," by the National Academy of Public Administration.

According to this report, three pillars of leadership development are **varied job assignments, education and training,** and **self-development**. "Being required to produce results in varied positions and contexts is critical to leader development," according to the report. "Pace-setting programs intentionally rotate high-potential candidates across functions, organizational elements, and geographic regions for development purposes…The most visible trend in developing leaders is a strong shift in emphasis toward this type of on-the-job approach."

How Does State Government Influence Manager Mobility?

We identified individual and systemic characteristics that contribute to management mobility, as well as significant systemic obstacles that we don't expect to disappear. While there are no quick fixes, there are numerous strategies that State agencies have already employed and others that can be explored.

Demonstrated top-level executive commitment is essential to ensure the success of agency-wide efforts. We have observed this to be the case in strategies implemented at Department of Health (DOH), Department of Motor Vehicles (DMV), Department of Public Service (DPS), Office of Real Property Services (ORPS), and the Department of Taxation and Finance (DTF). We also recognize that starting small is a valid option; many of these strategies can be implemented on a division, bureau, or team level, depending for their success on the support of a team leader, division director, or other mid-level manager.

Part II: Barriers and Contributors

Contributors to management mobility include:

- For employees, knowing what positions are available.
  (State Jobs NY- http://statejobsny.goer.state.ny.us/)
- For employers, knowing how to find the right candidate pool (See Government Professional Organizations and Networks, page 12, and Skills Inventory, page 16.)
- Networking through personal contacts, membership in professional organizations (See Government Professional Organizations and Networks, page 12.)
- Broad-based knowledge of State government operations (www.albany.edu/~aspa, www.nysapa.org)
- Willingness to move outside one's area of technical expertise
- Willingness to change work location and/or agency
- Knowledge of the agency, policy, or program area (http://www.state.ny.us/) Section 52.6 status and other broad transfer determinations (See Civil Service Law, page 6)
- Support of management mobility from State and department executives
- Support of State executives for changes to control agency rules, policies, and procedures needed to facilitate mobility
- Job shadowing, project jobs, mentoring, and rotational assignments used to identify and develop management talent (See Project Teams, page 15.)
- Formal management development training courses, conferences, seminars (See Management/Leadership Training, page 10)
- Title consolidation of management titles across agency organization (See Title Consolidation, page 17)

Barriers to management mobility include:

- Managers like to appoint people they know
- Union concerns about members' loss of direct-line promotional opportunities
- Perception that managers who didn't "grow up" through the technical ranks cannot manage a technical organization
- Lack of universally offered formal management training and/or other development opportunities
- Taking on a new role may be difficult if it has a large impact on one's responsibilities outside of work
- Lack of support from subordinate and/or co-workers

- Lack of subordinate technical expertise that could otherwise permit manager to leave one area and move to another
- Control agency structural or situational constraints impacting fiscal, budgetary, and personnel decisions, e.g., budget freeze
- State workforce reductions may force more work on existing managers, reducing time available for grooming new managers
- Lack of organizational support for managers moving between department silos or to a new agency
- Resistance to title consolidation
- Lack of credit for on-the-job experience in the scoring of Civil Service examinations

Part III: Using Existing Tools

Not only do we encourage the full exploration of each of the contributors to management mobility, but we also believe that "ramps" might be built over some of the barriers.

Existing strategies for increasing management mobility include using the following tools that individually or collectively facilitate the movement of managers across agency boundaries:

1. The Battery tests
2. Civil Service Law
3. Control agency experience
4. Internal consultants
5. Loaned executives
6. Management/Leadership training
7. Peer reviews
8. Professional organizations and networks
9. Project teams
10. Skills inventory
11. Title consolidation

1. The Battery Tests

The Battery tests assess supervisory and managerial competencies, which are common across most State agencies.
http://www.cs.state.ny.us/announ/mainpages/promotestbatteryguide.pdf

2. Civil Service Law: Administrative Transfer (Section 52.6)

The Civil Service Law (CSL) has long recognized the benefits of management mobility to the State. Section 52.6 of the CSL allows "voluntary transfer, without further examination, between administrative titles in the same or related or collateral specialties which have substantially equivalent tests or qualifications." The occupational categories of law, personnel, budget, methods and procedures, management, and records analysis, and administrative research have been defined as administrative for the purposes of this section of the Law (State Personnel Management Manual, S. 1840).

Section 52.6 recognizes that there are significant commonalities among managerial positions and allows an individual who has already demonstrated management competencies to move between managerial positions. As such, this section of the Law is a successful, proven management mobility tool. If you are interested in exploring the applicability of this section of the Civil Service Law, contact your human resources office.

3. Control Agency Experience

Work experience in New York State’s control agencies is valuable experience because of the broad knowledge base and perspective that is offered by such assignments. “Graduates” of these agencies move out into program agencies such that, at any given time, there are likely to be more “former” control staff at work elsewhere in State government than there are at work within control agencies.

In New York, these control agencies include: the Division of the Budget (DOB), the Department of Civil Service (DCS), Governor’s Office of Employee Relations (GOER), and the Office of the State Comptroller (OSC). Expertise gained by control agency staff includes:

- **Access**: Former control agency staff frequently have entrée to all levels of staff in their former agency, providing invaluable connections for their new agency.

- **Content Knowledge**: An understanding of the central functions of State government helps a manager to identify and act on opportunities to solve fiscal, personnel, program, or policy problems with “win-win” solutions. These functions include: the Executive Budget process, the State Civil Service and related personnel systems, and the Central Payroll and Accounting Systems.

- **Visibility**: Budget examiners, staffing representatives, and auditors assigned to oversee program agencies are visible to and have access to a broad network of contacts at all levels across State agencies, in the Governor’s Office, and in the Legislature.

- **Big Picture:** Control agency work often encompasses both detailed technical knowledge and overall policy objectives, facilitating an understanding of how State government works, intergovernmental linkages, legislative issues, union and advocate concerns, and the press.

- **Breadth of Experience**: Control agency staff often have the opportunity to work on a broad range of agency and functional assignments, exposing them to varied policy matters.

- **Communications Expertise**: Control agency staff must be able to analyze and summarize competing issues through quick and thorough oral and written communication to decision makers. For example, staff in DOB and DCS must juggle multiple agency assignments and competing priorities. They are routinely assigned "quick turnaround" issues - requiring them to rapidly assess critical information needs, find accurate and timely information, and draft succinct memos.

4. Internal Consultants

Instead of relying on external vendors for consulting services, many agencies are using existing State expertise in a consulting capacity. Advantages include fiscal savings, built-in access and knowledge of State government, and improved employee marketability and morale. Employee participation in these work efforts provides several benefits, including: the agency perspective is represented, the agency has a better opportunity to be an early beneficiary of the work (e.g., pilot group for new system), the employee is exposed to tools and approaches for addressing agency challenges, and the employee's own resume is enhanced.

Examples include:

- **Train-the-Trainer**: GOER relies heavily on this mechanism to roll out statewide training through existing training staff.

- **Interagency work groups:** Interagency work opportunities occur with some frequency throughout the year. Some of these work groups evolve from central service/control agencies seeking input and assistance on issues and/or systems. Others evolve from a common professional interest such as human resources, information technology, or financial management systems. Current examples include:

  - **Workforce and Succession Planning Workgroups**: Department of Civil Service and Governor's Office of Employee Relations. http://www.goer.state.ny.us/workforce/workgroups/workgroupoverview.html

  - **School Health Infrastructure Team (SHIFT)**: Health Department. An inter-agency collaboration focusing on strengthening State, regional and local support for comprehensive school health and wellness. http://www.emsc.nysed.gov/rscs/chaps/SHIFT/SHIFThomepage.htm

  - **Project 2015**: State Office on Aging. State agencies examine the impact the aging of the Baby Boomer generation may have on State services in the years to come. http://www.aging.state.ny.us/explore/index.htm

  - **Work Group on Intergovernmental Information Systems**: Office for Technology. A State and local government task force that identifies effective State-local information systems. http://www.ctg.albany.edu/

- **Quality Communities Interagency Task Force**: Department of State. Chaired by the Lt. Governor to inventory key local, State and federal programs, gather public comment and develop recommendations designed to enhance local community development efforts throughout New York State. http://www.dos.state.ny.us/

- **Commercial Vehicle Information Systems and Networks (CVISN)**: A partnership among DTF, DMV, DOT, State Police and Thruway, to manage an assortment of inter-dependent projects, originated by the federal government, designed to create safer and more efficient operation of commercial vehicles. http://www.jhuapl.edu/cvisn/

- **EAP Cluster Group**: One example is an association of nine agencies (DPS, Aging, Education, Higher Ed, Law, Parks, DMV, OGS, and Parole) and Legislative Bill Drafting that shares ideas regarding EAP issues, activities and resources, and topic presenters for noontime seminars. http://www.eap.lmc.state.ny.us/

- **e-Grants Project**: Office of the State Comptroller and Office for Technology. A collaborative effort to increase opportunity, efficiency, and accountability in New York State's grant making processes. http://www.egrants.state.ny.us

- **Youth Development Team of Partners for Children**: A statewide collaboration between State and nonprofit agencies to incorporate elements of youth development in State agency policies, programs, and services. http://www.nyspartnersforchildren.org/teen.htm

In Part IV of this report, we recommend expanding the internal consulting capacity within New York State.

5. Loaned Executive Programs

Depleted of senior managers in key program areas, a State agency might want to consider a loaned executive approach. Examples include:

- Faced with the retirement of federal information technology managers, the Office of Personnel Management established a program to encourage private sector companies to loan information technology managers for interim periods. http://www.opm.gov/

- Similarly, New York State has periodically relied on senior advisors from private industry to share their experience and facilitate or lead State initiatives.

In Part IV of this report, we recommend expanding the loaned executive capacity in New York State.

6. Management/Leadership Training

There are several excellent ongoing programs designed to strengthen employees' management and leadership capabilities in diverse arenas, as well as introduce employees to the broad workings of State government. They include:

- **Leadership Classroom**— Helping State government managers understand and develop their leadership capabilities. Priority is given to M/C employees. The program includes two full week residential sessions, generally in the fall and a project to apply learning back at the workplace. Key sponsor: GOER. http://www.goer.state.ny.us/Train/organizational/leadershipclassroom.html

- **Leadership Forums**—a series of generally half-day seminars held throughout the year to introduce mid- and senior-level managers to leadership trends, challenges, and tools to achieve organizational excellence. Sessions are open to everyone, with priority given to M/C employees in the event of over subscription. Key sponsor: GOER http://www.goer.state.ny.us/Train/training/leadershipforums.html

- **Essentials of Public Administration in NYS**—a competitive yearlong program of nine half-day seminars for emerging managers presented by top practitioners and academics. Key sponsors are the American Society for Public Administration (ASPA), the State Academy of Public Administration (SAPA), Nelson Rockefeller College of Public Affairs and Policy at the State University of New York at Albany, and the Organization of Management and Confidential Employees (OMCE). http://www.albany.edu/~aspa

- **Workshops for Supervisors/Managers**—a series of classes held throughout the year to strengthen entry- to mid-level managerial skills and broaden professional horizons. Classes are of varying lengths and held throughout the State. Key sponsors: the Governor's Office of Employee Relations (GOER), the Civil Service Employees Association (CSEA), the Public Employees Federation (PEF), the NYS Department of Civil Service (DCS), and NYS Training Council. http://www.goer.state.ny.us/Train/training/index.html, http://www.nystc.org/

- **Capital Leadership**—a yearlong program aimed at individuals who have demonstrated leadership and want to strengthen professional awareness of and ties to the Capital Region community. Program consists of a two-day opening session, nine full-day sessions in the field, and an outside project. Key sponsor: Albany-Colonie Regional Chamber of Commerce http://www.ac-chamber.org/comminvolve/caplead

- Other programs are held by individual State agencies throughout the year. Small agencies that may not be able to afford to hold such programs could seek to informally collaborate with other State agencies and/or contact GOER for help in connecting with another State agency that offers the class and may have openings.

7. Peer Reviews

Peer Reviews bring the proverbial "many hands" (or eyes or minds) together to provide a greater comfort zone for decision making. Recognizing that managerial experience will be in shorter supply in the near and mid-term, peer reviews can provide both a testing ground for ideas and for refining options in decision making.

Over the next several years, succession management issues will become paramount in many agencies. As senior managers exit, new managers will be appointed, but in many cases may not have the equivalent work experiences of the managers they replace. How do we ease this transition, providing support for new managers to grow into their newly assumed responsibilities? Convening peer reviews is one idea.

Where will peer reviews come from? In many instances, the more experienced counterparts come from both other program areas in an agency and from other agencies. Conceivably, peers might be found in other branches or levels of government or even in special circumstances from constituencies served.

The key to this concept is not, of course, to enlarge the decision-making circle. Instead, peer reviews provide new managers the opportunities to test ideas, “think out loud,” refine options, and through the process reach more informed decisions.

Example of peer reviews within New York State:

- The Office for Technology convenes State information technology managers to review agency plans for IT procurements to ensure that the plans are comprehensive and fit an overall State IT strategy.

- A more familiar example of peer review occurs informally when a manager calls upon peer managers – perhaps over coffee – to review a program initiative to assure a “comfort zone” that program plans are well thought out and fit within a larger agency agenda or capacity to deliver.

In Part IV of this report, we recommend expanding the peer review capacity in New York State.

8. **Government Professional Organizations and Networks**

Professional networks help managers broaden their understanding of statewide issues, learn other ways to "do business," and develop inter-agency contacts. This broader network of colleagues can be very useful to tap when issues arise or when you desire to recruit from outside your agency. Examples of such organizations include:

Agency Advisory Group
Fiscal management representatives from State agencies, convened by the Office of the State Comptroller. Contact Deputy Comptroller Ruth Walters at rwalters@osc.state.ny.us

American Society for Public Administration (ASPA), Empire State Capital Area Chapter (ESCAC)
National professional, non-profit membership association dedicated to promoting excellence in public service.
http://www.albany.edu/~aspa

American Payroll Association
Membership association for payroll professionals.
http://www.nyscracapa.org/

American Society for Training and Development (ASTD), Hudson Mohawk Chapter
International membership organization of workplace learning professionals.
www.astdhudsonmohawk.org

Association of Certified Fraud Examiners (ACFE), Albany Chapter
Membership organization that promotes improved fraud detection and deterrence through expansion of knowledge and inter-personal contacts, networking opportunities, and support for investigators.
http://www.acfe.cjb.net/

Association of Government Accountants (AGA), New York Capital Chapter
International membership organization for public sector accountants.
http://www.home.nycap.rr.com/aganycap/home.html

Capital Leadership Alumni

Graduates of the Albany-Colonie Chamber of Commerce Capital Leadership program.
http://www.ac-chamber.org/comminvolve/caplead.cfm

CapNet
Seminar series for women in the public and private sectors, sponsored by State Senator Mary Lou Rath during the legislative session. Contact Senator Rath at rath@senate.state.ny.us.

Employee Relations Advisory Council (ERAC)
Advisory to the Governor's Office of Employee Relations and sponsor of annual labor relations training conference.

Financial Management System (FMS) Users Group
State agencies using FMS, the financial management system run by the Department of Correctional Services. Contact Tom Johnston at TLJohnston@docs.state.ny.us

Government Finance Officers Association (GFOA)
Membership association of public and private sector government finance professionals throughout New York State.
http://www.nysgfoa.org/

Information Systems Audit and Control Association (ISACA) Hudson Valley Chapter
International membership organization on IT governance, control and assurance.
http://www.iscahv.org/

Institute of Internal Auditors (IIA), Albany Chapter

Membership organization that promotes professional growth and development of internal auditors.
http://www.theiia.org/albany/

Interagency Committee on Electronic Data Processing (ICEDP)
Association of New York State information resource managers.
http://www.icedp.org/

International Personnel Management Association (IPMA)
Non-profit membership organization for the public sector human resource field.
http://www.albany-ipma.org/

Leadership Classroom Alumni
Graduates of the New York State Leadership Classroom management training program.
http://www.goer.state.ny.us/Train/organizational/leadershipclassroom.html

New York State Affirmative Action Advisory Council
State agency equal employment opportunity and affirmative action officers.
http://www.nysaac.org/

New York State Forum for Information Resource Management
Network of public officials and state government organizations concerned with information management.
http://www.nysfirm.org/

New York State Personnel Council
Created by Executive Order in 1954 to improve personnel and employee relations policies.
http://www.cs.state.ny.us/personnelcouncil/

New York State Training Council
Voluntary organization with liaisons to each State agency that advocates and supports the training and development of the State's workforce.
http://www.nystc.org/

Organization Development Learning Network (ODLN)
State agency training and organization development professionals. For information, contact Deb Berg at dberg@goer.state.ny.us

Payroll Users Group
Partnership between the OSC Bureau of State Payroll Services and agency payroll system users working to advise the bureau, improve payroll processing performance and support the payroll profession in State government. Contact Kathy Cooke at kcooke@osc.state.ny.us

Project Management Users Group
Office for Technology convenes this group monthly. Contact Brenda Breslin at Brenda.Breslin@oft.state.ny.us

Retired Public Employees Association (RPEA)
Membership organization of current and former State and local government employees.
http://www.rpea.org/

Society for Human Resource Management (SHRM)
Worldwide personnel membership association.
http://www.shrm.org/

State Academy of Public Administration (SAPA)
Association of invited Fellows established in 1974 to provide a forum for dialogue on critical public administration issues in New York State.
http://www.nysapa.org/

Training Directors Roundtable
Voluntary association of the most senior training manager from each State agency.
http://www.nystc.org/

Women's Government Network (WGN)
State government women meet monthly to exchange ideas.
Contact: Kelly Lopez, bdlope@budget.state.ny.us

Women In Technology International (WITI), New York Tech Valley Chapter
International membership organization dedicated to advancing women through technology.
http://www.witi.com/

9. Project Teams

Among the many succession management issues that are raised by the pending retirements of a third or more of the State workforce are a host of problems that are typically described as knowledge management and knowledge transfer. In many technical disciplines and titles, exiting civil servants take with them skills that are in short supply.

In the context of project management, a shortfall of project managers can lead the State to place greater reliance on outside consultants who are often higher priced than their civil service counterparts. More importantly, this practice can impede the State's ability to manage and transfer knowledge to the extent that consultants "come and go."

To offset over-reliance on outside consultants in these projects, many State agencies are already developing a cadre of project managers and reaching across State agency lines to fill project roles. Examples include:

- **Project Management and Mentoring Program**: Office for Technology. A project management initiative that incorporates project skill development, certification, mentoring, and other knowledge, skills and abilities of project managers. http://www.oft.state.ny.us/pmmp/pmo.htm

- **GIS Project**: Department of Environmental Conservation. The project, managed by the Center for Technology in Government, identified and examined existing barriers to geographic information systems data sharing and coordination and developed specific recommendations for overcoming those barriers, and also created a new spatial data resource for New York State--the NYS Spatial Data Clearinghouse. http://www.ctg.albany.edu/projects/gis

10. Skills Inventory

A skills inventory system is particularly beneficial for identifying candidates for short-term projects that must be quickly implemented, or are of such a critical nature that government must recruit experienced managers with demonstrated ability. A skills inventory, therefore, becomes a very powerful tool to quickly and effectively get the right management talent in the right place when it is needed. As individual skills and skill levels are identified, they can be compared to future workforce management needs.

Agency-specific examples of skills inventory systems include:

- **Office of Real Property Services (ORPS)**:

  The agency-wide skills inventory of the Office of Real Property Services focuses on management and technical skills identified as important to the success of the agency. By tracking skill levels, management can strategically manage the training and development process to insure that needed skills will be in place prior to change efforts, and that priority will be given to using scarce training resources to meet the strategic needs of the agency. A skills inventory system enables agencies such as ORPS to build and nurture skills that are in short supply and divert resources from skill building in areas that may no longer be valued by the agency. This system is easily managed and provides management with the ability to easily identify employees with knowledge in particular areas or to serve on various teams and/or in-house projects.

- **Department of Taxation and Finance (DTF)**:

  A skills inventory system was utilized by DTF to assist in the placement of over 100 field employees whose jobs were being centralized in Albany. A skills inventory worklist was developed and completed by impacted employees. Employees' educational and experiential backgrounds were categorized and matched against minimum qualifications for jobs both within DTF and in other State agencies. DTF employees with an educational and/or experiential background in law enforcement were placed in Park Police positions in the Office or Parks, Recreation & Historic Preservation and employees with education training were offered teacher positions in Institutions. Skills were reviewed and placements made within a six-week period and allowed DTF to mitigate any layoffs as a result of position relocation.

In Part IV of this report, we recommend creation of a statewide skills bank.

11. Title Consolidation

Title consolidation is the process of combining separate but occupationally related titles into a more broadly defined class. It is a process that looks at jobs with an eye toward identifying their similarities and common characteristics in order to bring together and strengthen their core occupational foundation.

Title consolidation requires analyzing the existing title structure for the purposes of finding the common elements of positions determined to be occupationally related, focusing on these elements, and using them to create or update a class or classes of positions. Historically, the concept of title consolidation emerged from the realization that there were simply too many titles in the State's title and salary plan, that clear distinctions were lacking among levels in many title series, that too much reliance was placed on very narrow distinctions in job content and/or requirements in the classification of positions, and that many titles were developed specific to unique agency functions or around the qualifications of particular candidates.

Title consolidation is more than a classification issue. The testing, staffing, affirmative action, and labor relations requirements and implications must be taken into account in the title consolidation process, as well as the impact on employees and agency operations. The full pursuit and implementation of title consolidation both require and support:

- Enhanced flexibility and creativity in how candidates are tested, selected, and prepared for consolidation titles.

- A broader application of transfer and reemployment provisions.

- A greater commitment to employee development and training.

The title consolidation process can be initiated by an agency, an interagency work or interest group, such as the ICEDP, the Division of Classification and Compensation or by other divisions within the Civil Service Department. From a classification perspective, title consolidation involves two basic steps. First, a decision has to be made on which occupational area and titles should be considered for consolidation, and, second, what the new consolidated class or classes should look like. The other steps in the title consolidation process are:

1. Review the title and salary plan to identify occupationally related titles.

2. Cluster those titles that have similar duties and responsibilities – grade levels may vary. Gather any pertinent information, including existing job descriptions for these titles.

3. Determine the kinds and scopes of examinations, minimum qualifications, etc., used for the titles proposed for consolidation.

4. Develop draft classification standards for the consolidated title(s) for review.

5. Develop a draft proposal containing the classification, staffing and testing plans and issues, as well as the affirmative action implications associated with the title consolidation proposal, for review by all interested parties.

6. Present the final proposal to the Division of Classification and Compensation for classification and allocation of the new consolidated class or classes.

Examples of State agency consolidation of management title series include:

- **Department of Motor Vehicles: Motor Vehicle Program Manager**

  In 1990, DMV created the Motor Vehicle Program Manager title series to foster management mobility. Here 32 discrete manager titles were consolidated into a single series, ranging from M1 through M6. DMV recognized that their core programs (field operations, vehicle safety, driver licensing, etc.) shared a set of common knowledge, skills, and abilities that were more meaningful than the separate program disciplines that initially prompted the creation of unique titles in separate program areas. These common KSAs put a premium on communication skills and overall "knowledgeability" ("how to get things done"), while discounting technical expertise.

  Prior to the creation of the Program Manager series, DMV employed unique program specific titles like Director of MV Field Operations, Director of Driver Rehabilitation, or Director of the Office of Alcohol and Highway Safety. These and four other unique, program specific titles were merged into the single Program Manager 4 title. With this, DMV acknowledged that first and foremost a "manager is a manager" where broader program knowledge and mobility would better serve the agency and the managers themselves than the more narrowly defined former titles.

  Over time, the Program Manager series has provided the agency with overall program inter-connections that have discouraged "stovepipe" entrenchment. This has provided managerial flexibility for the agency and more career mobility for incumbent program managers. It has also encouraged key staff retention as mobility options expanded beyond a manager's immediate program responsibilities.

Currently, slightly more than half of DMV managers (M1 and above) are in the Program Manager series. The other titles reflect more traditional specialized areas of expertise, especially in Administrative and Legal program areas. Managers in these latter traditional title series have also benefited from the Program Managers series, having opportunities to transfer to or be appointed into Program Manager titles.

Given the ease of transfer among operational units at DMV, managers and aspiring managers often seek project roles to demonstrate their capabilities, recognizing that broader exposure can be obtained from projects and the experiences gained in multiple program areas enhance career opportunities more than reliance on mastery of a single program area. This too encourages internal mobility and key staff retention.

Clearly, some agencies possess unique skills and corresponding titles that justify specialized titles. Here, broad management title consolidation like the DMV model may not serve an agency's mission. Yet, in other cases, where program disciplines might not be as sharply defined, title consolidation might ease the succession management strains agencies will face.

- **Department of Public Service (DPS): Agency-wide Title Consolidation**

  DPS is nearing conclusion of an agency-wide effort to consolidate titles. The Department's goals were to strengthen its organizational ability to both address current workload needs and effectively achieve its long-term mission of transitioning key utility services to a competitive market. It views title consolidation as a key means to help lower organizational walls, increase management and employee flexibility, facilitate cross-training, ensure current Civil Service exam lists, and improve the timeliness of staff appointments. Administrative efficiencies benefiting both DPS and the Department of Civil Service include the need for fewer Civil Service exams and classification actions.

  In 1997, DPS had more than 250 titles. Later this year, the Department expects to be down to about 180 titles in total. Of particular note, competitive titles unique to the agency will have been reduced by more than 50 percent. From a management mobility perspective, one key initiative was consolidating the Department's M5 section manager titles across program assignments. DPS collapsed 19 M5 titles to seven titles, and then held one exam for all seven. While the Department's experience with the consolidated M5 titles is still limited, it is hoped over time that this initiative benefits both the agency and its employees.

- **Office of Real Property Services (ORPS): Consolidation of Management Titles**

  After consolidating 131 agency titles into two new title series (Real Property Analyst and Complex Real Property Appraiser), ORPS began in 1998 the process of consolidating manager titles into a Program Manager series, ranging from M3 to M6. As in DMV, the agency realized that transferability between operations was essential to both managers and employees, providing both with increased developmental and career opportunity. It also gave the agency the ability to more effectively deploy staff to align with changing priorities and needs associated with technological and organizational changes, and eliminated one-of-a-kind manager titles that no longer accurately described the work being done.

  While the need for some very specialized titles remains, particularly in the Information Technology area, the benefits derived from the Program Manager series are becoming evident as succession planning issues call for even greater flexibility and management mobility.

- **Department of Transportation (DOT): Consolidation of Civil Engineers Titles**

  In 1992, DOT Civil Engineering titles were consolidated into the "Transportation Management Title Series." The consolidation was later expanded to include program and administrative management positions, M-2 through M-7, such as Traffic and Safety, Landscape Architecture, Motor Equipment, Intermodal Transportation, Engineering Materials and Transportation Maintenance, among others.

  There were two main reasons for the consolidation of engineering titles:

  - Elimination of the parenthetics. Employees tended to get "stuck" in a series and were only considered for higher titles in that specialized title series; they were "stove piped;" and,

  - Streamlining of promotional opportunities: Promotion qualifications required service in a lower level specialized title. In order to maximize the promotion exams an employee could take, the parenthetics were dropped so all Civil Engineer 1's (CE1's) could take a CE2 exam and be considered for all CE 2 openings.

A skills inventory and passing score from the Battery exam are both required to qualify for these positions.

Part IV: New Ideas

In addition to promoting the widespread use of existing tools, we suggest that New York State explore the potential of creating statewide capacity in:

1. Internal management consulting capacity.
2. Cadres of project managers.
3. Formal peer advisory panels.
4. Management skills inventory.
4. Management job clearinghouse.
5. Loaned executive program.

1. Internal Management Consulting Capacity

By identifying a cadre of skilled managers and helping them to develop consultant skills, the State will have in place a group of professionals that will not only develop and reinforce its management resources, but also be able to build a network of relationships, coalitions, and alliances across the system to maximize our resources and provide better service. Unlike external consultants, State managers have the advantage of “really understanding the business” of State government.

Through using the skills of our most experienced managers as consultants rather than limiting them to leading their individual agencies, the State would be in a far better position to bridge individual agencies’ skills gaps while maximizing the use of State talent.

These individuals would be selected on the basis of possessing administrative and programmatic expertise in critical operating areas including: budgeting, fiscal management, personnel management, procurement, contract management, information technology, and program management.

Ideally, a series of consulting groups would be established under the auspices of one of the governing control agencies (DOB, DCS, GOER, OFT, OSC) with support from the associated professional associations (Personnel Council, Training Council). The control agency would serve as repository and administrator. Internal consultants would be placed “on retainer” to provide limited use consultative services to agencies losing key staff.

Such consulting may take many forms, from simply having managers available via phone or e-mail to help with one or two issues, to the establishment of a dedicated consultant service providing in-depth on-site expertise and knowledge transfer. Participants may, therefore, undertake this as a full-time assignment or perform consulting services “on the side” in addition to working on full-time assignments. Either way, the participating manager will benefit from exposure to the new organization’s mission, vision, strategic plan, culture, and associated management changes, while providing tangible benefits to the client agency.

Specific applications of internal consultants include:

- **Using Internal Expertise to Transition Critical Programs as Key Staff Retire**

  A cadre of certified experts on essential administrative and program subject matter areas can help manage State agencies' transitions through critical staff retirements. Services might take many forms including: telephone or email guidance on one or two issues, on-site knowledge transfer, and selection of permanent replacement.

- **Using Internal Expertise to do Business Process Re-Engineering (BPR)**

  An expert cadre of managers who also have a working knowledge of Business Process Re-Engineering (BPR) principles can serve as an inexpensive alternative to paid consultants when engaging BPR assessments. Experts might lead teams to develop cost- and time-saving technology replacements for paper-based systems, or design a path to assist the organization in improving a key service delivery area.

2. Cadres of Project Managers

In some agencies, senior staff frequently assume short-term management roles to direct a specific initiative or agency undertaking, and then revert back to former program roles. Other agencies, however, may not have a pool of project managers to draw from and there is no mechanism for identifying and recruiting capable project managers from other agencies.

Similarly, project managers seldom have a "career ladder" in project management to climb since, in many agencies, projects do not occur on a continuous basis. A successful project manager in a mid-sized project may never get the opportunity to transition to and manage a larger project unless the agency has successive projects on the schedule.

The breadth of work being done by State agencies results in multiple projects underway at any given time. Recognizing this—and the impending loss of "home-grown" talent through retirements—ought to foster receptivity to encouraging mobility among project managers.

Since project managers are, typically, in ad hoc temporary positions, there is no formal roster or list to draw from within an agency, and current practice often discourages the easy transfer of project managers from project to project or agency to agency. One option would be to establish a cadre of experienced and certified project managers, similar to the pool of "internal consultants" described above.

3. Peer Review Panels

Over the next several years, succession management issues will become paramount in many agencies. As senior managers exit, new managers will be appointed, but in many cases they will not have the equivalent work experiences of the managers they replace. How do we ease this transition, providing support for new managers to grow into their newly assumed responsibilities? Peer reviews is one answer.

Admittedly, some new managers may resist peer reviews, claiming that they have earned the right to make decisions and, inevitably, mistakes. Through a cycle of decisions and retrospective reviews of those decisions (and mistakes), managers ultimately obtain mastery through experience. In normal times with planned transitions of key staff and senior managers, this resistance can be tolerated, even encouraged.

Still, if the departure of senior managers is as wide and as abrupt as predicted, extraordinary strategies for smoothing transitions need to be considered. By assembling a group of peer managers (both within an agency, if available, and from outside an agency when not), new managers can be provided with a forum for assessing program options before reaching decisions.

For the agency itself, peer reviews can give additional assurance that new managers have had the opportunity to test ideas with more experienced colleagues and that more options were reviewed.

4 Management Skills Inventory

If management mobility is to become a reality, it is critical that key support mechanisms be in place. Perhaps the most significant of these is a skills inventory system that would enable agencies to quickly access a pool of NYS managers with particular skill sets. In addition, a skills inventory is an excellent method of assessing the capabilities of the workforce and, therefore, plays a critical role in succession planning.

Although there are several existing examples of skills databases in particular agencies (DTF and ORPS, as documented elsewhere in this report), the most effective application of this tool would be to the entire NYS management workforce. A centralized database, perhaps housed within one of the control agencies, would permit all agencies access to a great range of managers with particular skills sets. One need only to be reminded of the effects of September 11th to recognize how critical it can be to quickly identify needed skills.

5. Management Job Clearinghouse

One way in which government agencies can more efficiently recruit highly-skilled managers is by improving website advertising. With the new technology, various government agencies can access information to the general public relatively easy, depending on the complexity of their "Homepage" design. Most agency homepages provide a listing of jobs inherent to the specific work they do. However, the jobs listed are, generally, open competitive, requiring a variety of written and oral tests from Civil Service. "Non-competitive" and high-level managerial positions are seldom listed in any homepage.

The idea of State government having one centralized site for all agencies devoted to outside recruitment and marketing, in addition to the current web sites, could be very effective. State Jobs NY, which lists job opportunities, is a step in the right direction (http://statejobsny.goer.state.ny.us/). The centralized web site would function as a "resource information center" for all State agencies on existing vacant positions, which would appear listed by either order of disciplines, categories, salary, and other highly specialized requirements. Positions may also be listed by type, whether competitive, non-competitive, or exempt. A person would find 'accessible' information on all the positions currently available in NYS government under one single category (e.g., security, high level management) or discipline (i.e. engineering, psychology).

One advantage of having a "central site" with information on managerial positions is that managers across State agencies can reference information on career ladder opportunities they may be suited for or that may be worth exploring, with the understanding that such positions may require executive approval. Nonetheless, managers would be interested in and could potentially benefit from information on upward mobility.

A criterion to use in the design and layout of a major resource information center is that it would be easy to navigate through the use of direct links. Examples of these layouts are the homepages of the NYS Office of Mental Health (OMH) and the Department of Labor (DOL):

- Office of Mental Health's homepage links a job seeker to positions listed by disciplines (e.g., psychiatry, pharmacy), to individual job postings in designated geographical locations.

- The Department of Labor's page has a visible link titled "working in New York" that quickly takes job seekers to "finding a job" and to a "Career Zone," where jobs are listed by a "specialty" in alphabetical order. The page cross-posts with other employment boards like America's Job Bank, NationJob, Inc., providing a nationwide dissemination of information on single job postings.

In a recent Interagency Survey conducted by the Workforce Planning Recruitment and Selection Work Group, 78% of State agencies responded affirmatively that the State should have one centralized website devoted to outside recruitment and marketing. The respondents also suggested the Department of Civil Service as the best central broker for the advertising of all types of public employment.

6. Loaned Executive Program

The dire succession management scenarios projected for the next several years may prompt agencies to seek assistance from managers outside Executive agencies of State government. Possible contexts include: public-private partnerships; State-academia partnerships; State-local partnerships.

Much like an internal consulting program, a loaned executive program seeks to place the right manager in the right place at the right time, independent of current employment. Clearly, many details need to be worked out, but the pending loss of State managers would seem to call for some flexibility in standard recruitment and placement rules.

Part IV: Conclusion

The Management Mobility Work Group stands ready to assist the State of New York in expanding the use of existing tools and applying the new ideas to how we do the State's business mindful of our diminishing managerial resources.

Appendix A: Workgroup Members

Howard Bancroft	Division Probation and Correctional Alternatives
Lisa Frazzetta	Office of Mental Health
David Goodall	Department of Motor Vehicles
M. Kiaran Johnson	Department of Taxation and Finance
Kelly Lopez, Leader	Division of the Budget
Luz Molina	Department of Transportation
Donald Parker	Office of Real Property Services
Debra Renner	Department of Public Service
Audrey Seidman	Office of the State Comptroller
Nancy Kiyonaga, Facilitator	Department of Civil Service

Appendix B: Background of the Workgroups

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (http://www.goer.state.ny.us/workforce or http://www.cs.state.ny.us/workforce) as they are completed. In addition to Management Mobility, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Competencies
- Staff Development
- Mentoring
- Knowledge Management and Transfer

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Appendix A

Workgroup Members	
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Lisa Frazzetta	Office of Mental Health
Dave Goodall	Department of Motor Vehicles
Kiaran Johnson	Department of Taxation and Finance
Kelly Lopez, Leader	Division of the Budget
Luz Molina	Department of Transportation
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Part III - Using Existing Tools

10. Skills Inventory

A skills inventory system is particularly beneficial for identifying candidates for short-term projects that must be quickly implemented, or are of such a critical nature that government must recruit experienced managers with demonstrated ability. A skills inventory, therefore, becomes a very powerful tool to quickly and effectively get the right management talent in the right place when it is needed. As individual skills and skill levels are identified, they can be compared to future workforce management needs.

Agency-specific examples of skills inventory systems include:

- **Office of Real Property Services (ORPS):**

  The agency-wide skills inventory of the Office of Real Property Services focuses on management and technical skills identified as important to the success of the agency. By tracking skill levels, management can strategically manage the training and development process to insure that needed skills will be in place prior to change efforts, and that priority will be given to using scarce training resources to meet the strategic needs of the agency. A skills inventory system enables agencies such as ORPS to build and nurture skills that are in short supply and divert resources from skill building in areas that may no longer be valued by the agency. This system is easily managed and provides management with the ability to easily identify employees with knowledge in particular areas or to serve on various teams and/or in-house projects.

- **Department of Taxation and Finance (DTF):**

  A skills inventory system was utilized by DTF to assist in the placement of over 100 field employees whose jobs were being centralized in Albany. A skills inventory worklist was developed and completed by impacted employees. Employees' educational and experiential backgrounds were categorized and matched against minimum qualifications for jobs both within DTF and in other State agencies. DTF employees with an educational and/or experiential background in law enforcement were placed in Park Police positions in the Office or Parks, Recreation & Historic Preservation and employees with education training were offered teacher positions in Institutions. Skills were reviewed and placements made within a six-week period and allowed DTF to mitigate any layoffs as a result of position relocation.

In Part IV of this report, we recommend creation of a statewide skills bank.

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Part III - Using Existing Tools

9. Project Teams

Among the many succession management issues that are raised by the pending retirements of a third or more of the State workforce are a host of problems that are typically described as knowledge management and knowledge transfer. In many technical disciplines and titles, exiting civil servants take with them skills that are in short supply.

In the context of project management, a shortfall of project managers can lead the State to place greater reliance on outside consultants who are often higher priced than their civil service counterparts. More importantly, this practice can impede the State's ability to manage and transfer knowledge to the extent that consultants "come and go."

To offset over-reliance on outside consultants in these projects, many State agencies are already developing a cadre of project managers and reaching across State agency lines to fill project roles. Examples include:

- Project Management and Mentoring Program: Office for Technology. A project management initiative that incorporates project skill development, certification, mentoring, and other knowledge, skills and abilities of project managers. Project Management Office (PMO)
- GIS Project: Department of Environmental Conservation. The project, managed by the Center for Technology in Government, identified and examined existing barriers to geographic information systems data sharing and coordination and developed specific recommendations for overcoming those barriers, and also created a new spatial data resource for New York State--the NYS Spatial Data Clearinghouse

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Terminology

To understand knowledge management and knowledge transfer, it is helpful to examine distinctions between data, information, and knowledge.

Data is thought of as discrete, objective facts. Data is the raw material for creating information that by itself carries no judgment or interpretation, no meaning. (1)

Information is data that is organized, patterned and/or categorized. Nancy Dixon, author of Common Knowledge, describes information as data that has been sorted, analyzed and displayed, and is communicated through various means. (2) Davenport and Prusak, authors of Working Knowledge, describe information as "data that makes a difference." (3) Generally speaking, information changes the way a person perceives something thereby affecting judgment or behavior.

Knowledge is richer and more meaningful than information. Davenport and Prusak define knowledge as "a fluid mix of framed experience, values, contextual information, and expert insight that provides a framework for evaluating and incorporating new experiences and information." (4) Dixon describes knowledge as "meaningful links people make in their minds between information and its application in action in a specific setting." (5)

One gains knowledge through experience, reasoning, intuition, and learning. Because knowledge is intuitive, it is difficult to structure, can be hard to capture on machines and is a challenge to transfer. We often speak of a "knowledgeable person," and by that we mean someone who is well informed, reliable, and thoroughly versed in a given area of expertise. We expand our knowledge when others share their knowledge with us and we create new knowledge when we pool our knowledge together.

The Working Council of the Federal Chief Information Officers Council in its publication "Managing Knowledge at Work: An Overview of Knowledge Management" boils it down to the simplest terms, as shown in the following box:

Data	=	Unorganized Facts
Information	=	Data + Context
Knowledge	=	Information + Judgment

While it is useful to examine these concepts, it is best not to get caught up in the fine distinctions. One person's knowledge can be another's information. Even the experts don't agree on strict definitions and the terms are often used interchangeably because the differences are frequently a matter of degree. (6)

Knowledge exists on a continuum from explicit to tacit. At one end of the continuum is knowledge that can be laid out in procedures, steps, and checklists, - explicit knowledge. At the other end of the continuum is knowledge that is primarily in the heads of people - tacit knowledge. (7)

- Explicit knowledge is relatively easy to capture and store in databases and documents. It is shared with a high degree of accuracy. Explicit knowledge can be either structured or unstructured:
  - Structured - Individual elements are organized in a particular way or schema for future retrieval. It includes documents, databases, and spreadsheets.
  - Unstructured - The information contained is not referenced for retrieval. Examples include e-mail messages, images, training courses, and audio and video selections.
- Tacit knowledge is knowledge that people carry in their minds and is, therefore, difficult to access. Often, people are not aware of the knowledge they possess or how it can be valuable to others. Tacit knowledge is considered more valuable because it provides context for people, places, ideas, and experiences. Effective transfer of tacit knowledge generally requires extensive personal contact and trust.

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Overview

Knowledge Management (KM) is a systematic approach to finding, understanding, and using knowledge to achieve organizational objectives. Many organizations today are putting a great deal of emphasis on the discipline of knowledge management. They are developing tools, systems, and awareness among employees that capturing and sharing knowledge is an important organizational practice. Knowledge management creates value when knowledge is shared and reused. While KM is a systematic approach, many KM practices and strategies can be implemented without establishing a formal KM program. And often this is the best approach.

The goal of KM is not to manage all knowledge, but to manage the knowledge that is most important to the organization. It involves applying the collective knowledge and abilities of the entire workforce to achieve specific organizational objectives. It involves getting the right information to the right people at the right time, and helping people create and share knowledge and act in ways that will measurably improve individual and organizational performance.

The discipline of knowledge management has three major components:

- **People** - who create, share, and use knowledge, and who collectively comprise the organizational culture that nurtures and stimulates knowledge sharing.
- **Processes** - the methods to acquire, create, organize, share and transfer knowledge.
- **Technology** - the mechanisms that store and provide access to data, information, and knowledge created by people in various locations.

Managing knowledge consists of deciding

- **What** is to be shared.
- **With whom** it is to be shared.
- **How** it is to be shared.

Then it is a matter of **sharing** and **using** the knowledge.

The People Component

While all three elements are necessary for a successful Knowledge management venture, the people component is the most vital. Overall success is dependent upon people's willingness to share their years of accumulated knowledge so that others can reuse it. The willingness to share is heavily dependent upon building an atmosphere of trust. Trust, or lack of it, can make or break a KM effort.

Smaller organizations - those with fewer than 150 employees - have had an easier time adapting to KM than their larger counterparts. Generally, employees in smaller organizations share information more easily because they tend to know more co-workers, contact is easier and more frequent, and is most often face-to-face. In this atmosphere, there is a stronger sense of trust and connection to each other; thus, knowledge sharing is better facilitated. In larger organizations, knowledge sharing is more difficult because people are more apt to organize into small groups that tend to cluster their interactions among themselves. People across the organization are less likely to know each other; trust is harder to build among strangers. This does not mean that KM is impossible in large organizations. Rather, the organization must work toward creating an environment that fosters knowledge management as an organizational principle and stresses the importance of sharing information across organizational boundaries. Processes and technology become more important in larger organizations.

Being able to trust the source of information is critical. A well-respected member of the organization is likely to be looked to first for information, based on his or her expertise, rather than a newer or younger employee. Also, studies have shown that, in general, people will contact their co-workers before tapping into a database or calling technical support staff when they need knowledge.

The success of KM initiatives depends upon people's willingness to share knowledge and use the knowledge of others. The commonly held belief that knowledge is power can undermine knowledge sharing. Many people are reluctant to share knowledge because they fear they are relinquishing their power. This can translate into perceived lower marketability, job threat, and loss of organizational status. Low morale, conflict, and mistrust also act as barriers to people's willingness to share. Finally, people want credit for their ideas. If they suspect they will not be acknowledged, they will be more reluctant to share information.

Managers must be attuned to the organizational dynamics and act appropriately to ensure that negativity is minimized. Organizations must create an atmosphere that encourages and rewards KM. Some organizations acknowledge employees who have shared valuable knowledge at a recognition function or in some other public venue.

The Process Component

Organizations create and implement processes to acquire, create, organize, share, and transfer knowledge. These processes (more fully described under the strategies) include the following:

- Performing knowledge audits to determine and locate the knowledge that is needed.
- Creating knowledge maps to allow quick access to knowledge.
- Creating communities of practice or interest to share tacit knowledge.
- Collecting best practices and lessons learned to share knowledge.
- Managing content to keep knowledge current and ensure that the knowledge being retained is relevant.
- Telling stories to convey knowledge.
- Encouraging learning to facilitate the transfer and use of knowledge.

The Technology Component

Computer and telecommunications technology is probably how most organizations will choose to store and manage their information. It allows for easy access, reduces time and effort, and literally saves space.

Technology provides the means for people to gather, organize, store, and access explicit knowledge. It can also enable people to share their tacit knowledge without being face to face. It can increase the accessibility of knowledge, reduce the time and effort to record and keep it current, and facilitate interaction with citizens, customers, and stakeholders.

Networks and computers are able to connect people and store information that can be retrieved quickly. Technology can be used to research and point the seeker to a source for knowledge sharing. Chat rooms can be useful because of the interactivity. The information seeker can use the Internet to locate research documents and obtain information on the path to gaining knowledge.

There are many technological tools available to help facilitate knowledge transfer; however, they are beyond the scope of this research. The focus here is on more practical tools and strategies that do not require sophisticated technology.

In summary, knowledge transfer is the process of sharing knowledge between one person and another. Knowledge must be transmitted and absorbed/ learned before another person can use it. If knowledge is not absorbed, then knowledge is not transferred. To most effectively transfer knowledge, it is essential to have willing givers/providers and interested recipients.

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Strategies

There are many ways for an organization to identify, store, and transfer knowledge. Some strategies will work better in one organization than another. Some may not be appropriate for specific types of content. The challenge is to identify and develop complementary ways to further knowledge management and transfer in an organization. Each of the strategies listed below has or will have a link to more detailed information.

Apprenticeships, Internships, and Traineeships: Formal arrangements where an experienced person passes along knowledge and skill to a novice who, after a designated period of time, reaches the journey level. Examples in New York State include apprenticeships for occupations such as electricians, plumbers, and steamfitters; one-to-three year traineeships for computer programmers or administrative titles; and summer internships used by many State agencies.

Best Practices: The identification and use of processes and/or practices that result in excellent products or services. Best practices, sometimes called preferred practices, often generate ideas for improvements in other organizations or work units.

Communities of Practice: Groups of individuals who share knowledge about a common work practice over a period of time, though they are not part of a formally constituted work team. Communities of practice generally cut across traditional organizational boundaries. They enable individuals to acquire new knowledge faster. They may also be called Communities of Interest if the people share an interest in something but do not necessarily perform the work on a daily basis.

Documenting Processes: Developing a written or electronic record of a specific work process that includes the business case for the process, steps in the process, key dates, relationship to other processes that come before and after, key players and contact information, any required references and legal citations, back-up procedures, and copies of forms, software, data sets, and file names associated with the process. (More detailed account coming soon.)

Document Repositories: Collections of documents that can be viewed, retrieved, and interpreted by humans and automated software systems (e.g. statistical software packages). Document repositories add navigation and categorization services to stored information. Key word search capability is often provided to facilitate information retrieval. (More detailed account coming soon.)

Expert Interviews: Sessions where one or more people who are considered experts in a particular subject, program, policy, or process, etc. meet with others to share knowledge.

Expert interviews can be used in many ways, including capturing knowledge of those scheduled to leave an organization, conducting lessons learned debriefings, and identifying job competencies. The U.S. Navy videotaped a multi-day session where recent retirees reflected on the reasons for success and failure. The New York State Department of Motor Vehicles videotaped a meeting with a manager scheduled for retirement to capture ideas and answers to questions.

Job Aids: These are tools that help people perform tasks accurately. They include things such as checklists, flow diagrams, reference tables, decision tree diagrams, etc. that provide specific, concrete information to the user and serve as a quick reference guide to performing a task. Job aids are not the actual tools used to perform tasks, such as computers, measuring tools, or telephones.

Knowledge Audits: Knowledge audits help an organization identify its knowledge assets, including what knowledge is needed and available. They provide information on how knowledge assets are produced and shared, and where there is a need for internal transfer of knowledge. (More detailed account coming soon.)

Knowledge Fairs: These events showcase information about an organization or a topic. They can be used internally, to provide a forum for sharing information, or externally, to educate customers or other stakeholders about important information. Examples are Xerox's "Team Day," New York State Department of Taxation and Finance's TaXpo, and New York State Organization Development Learning Network's (ODLN) Share Fair.

Knowledge Maps and Inventories: These catalog information/knowledge available in an organization and where it is located. They point to information but do not contain it. An example is an Experts or Resource Directory that lists people with expert knowledge who can be contacted by others in need of that knowledge. (More detailed account coming soon.)

Learning Games: These structured learning activities are used to make learning fun and more effective, provide a review of material that has already been presented in order to strengthen learning, and evaluate how much learning has occurred.

Lessons Learned Debriefings: These debriefings are a way to identify, analyze, and capture experiences, what worked well and what needs improvement, so others can learn from those experiences. For maximum impact, lessons learned debriefings should be done either immediately following an event or on a regular basis, with results shared quickly among those who would benefit from the knowledge gained. Hewlett Packard refers to their lessons learned sessions held during and at the end of projects in order to share knowledge as "Project Snapshots." The U.S. Army calls them "After Action Reviews."

Mentoring: In mentoring, an experienced, skilled person (mentor) is paired with a lesser skilled or experienced person (protégé), with the goal of developing or strengthening competencies of the protégé. See the Mentoring and Competencies Workgroup Reports.

On-the-Job Training: Most organizations use some form of on-the-job training where an experienced employee teaches a new person how to perform job tasks. If this happens at random or with no consistent written materials or processes, it is called unstructured OJT. A system of structured OJT differs in that specific training processes are written; training materials and guides exist and are used consistently by all those who train; training is scheduled; records are kept of training sessions; and "trainers" are given training on how to do OJT, how to give feedback, and several other factors.

Storytelling: This involves the construction of fictional examples or the telling of real organizational stories to illustrate a point and effectively transfer knowledge. An organizational story is a detailed narrative of management actions, employee interactions, or other intra-organizational events that are communicated informally within the organization. When used well, story telling is a powerful transformational tool in organizations.

Training: Training encompasses a large variety of activities designed to facilitate learning (of knowledge, skills, and abilities or competencies) by those being trained. Methodologies can include: classroom instruction, simulations, role-plays, computer or web-based instruction, small and large group exercises, and more. It can be instructor-led or self-directed in nature. See the sites for GOER Training and Organizational Development , New York State Employee Resource Information Center , and New York State Training Council.

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Getting Started

The emphasis in this section is on implementing a major KM initiative, but much of what is offered applies to smaller scale efforts as well. Any major new initiative requires a culture shift, or in some cases, a complete change. KM is no different. Organizations are challenged to construct an environment where individual knowledge is revered, but also to articulate that sharing that knowledge with the entire organization is even more revered.

For organizations deeply rooted in tradition, initiating a culture change is a challenge. If the organization is unwilling to change its culture to embrace the concepts and systems of KM, chances are the effort will fail.

Implementing a KM system takes time and effort. Regardless of why an organization wants to do it (e.g., retirement, high turnover, or specialty technical knowledge), it is important that it has management support and units in which to experiment. Among the best candidates for KM are units that are experiencing difficulty and actively seeking ways to address it. Not only will there be an opportunity to test KM's applicability, but the affected units are likely to be receptive to testing the system.

The next step is to find resources (financial, technical, and human), conduct pilot tests, and share the lessons learned along the way. A good approach is to conduct multiple pilots using different strategies so that the results can be compared. Organizations can then determine what worked and what did not, and fine-tune their KM system. When an endeavor is successful, other units may be inclined to try it.

Implementation is more than just handing off the project to information technology specialists or external vendors who promise results if you use their software. As mentioned, KM relies on people first, then process, and then technology. Implementing KM is a broad endeavor that cannot be accomplished with equipment alone.

A KM effort also benefits from an in-house champion who is responsible for furthering the initiative and promoting its merits to management, as well as to all employees. He or she works with the organization to provide resources, offer support, and encourage people to participate.

Additional ideas to help introduce or expand knowledge management include:

- **Start with "high-value" knowledge** - Determine the organization's business processes where information and knowledge are critical. Business processes with low customer/stakeholder satisfaction, long cycle time, or high production costs could all be effective places to start a KM project. Attacking these problems, identifying their knowledge component, and using the business value of solving them as justification for KM efforts can prove to be an effective strategy.

- **Start on a small scale** - Conduct a pilot project, publicize the results, and let the success of the pilot create demand for additional KM projects.
- **Work along multiple fronts** - Effective projects address issues related to people, technology, and organizational structure in a coordinated, linked manner.
- **Leverage existing approaches** - Many organizations have active initiatives intended to improve their business performance and outcomes. KM can build upon and enhance these initiatives.
- **Provide help throughout the organization quickly** - Provide training, facilitation, and other help to people involved in KM projects. This will increase their understanding and commitment to managing knowledge, and address the importance of changing culture and behavior for managing knowledge.

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Measuring

Like any other organizational initiative, management must be able to measure the success of individual KM projects, and their impact on achieving organizational goals. Many KM initiatives begin as pilot programs. According to the U.S. Department of the Navy, these performance measures, or metrics, help to:

- Provide a target or goal for KM efforts.
- Develop benchmarks for future comparisons and for others to use.
- Guide and fine-tune the implementation process by providing feedback.
- Measure, retrospectively, the value of the initial investment decision (in terms of time, staff resources and money) and the lessons learned.
- Aid learning from the effort and developing lessons learned.
- Make a business case for implementation. (8)

Well-designed performance measures provide information on the efficiency and effectiveness of people, processes, and programs in aiding knowledge transfer, and offer a way to focus attention on desired behaviors and results.

The most important consideration in measuring knowledge transfer is determining what you need to measure. Since some knowledge is tacit, or implicit, its transfer cannot always be directly or precisely measured. If the value of the information is in being able to apply it in analogous situations, you will want to find out if the application has occurred.

As an example, consider a community of practice organized to discuss member experiences in using negotiation and mediation techniques. A member expresses concern about how a negotiation process was stalled when a new party would not accept agreements already reached. The group then shares their knowledge of how to prevent and address this kind of problem. You could measure whether members of the community of practice heard and understood what was shared. Of more value would be to determine at a later date whether members used this knowledge to craft proactive strategies to successfully prevent or address similar breakdowns. Anecdotal stories rather than hard data collection are more important in understanding the relative worth of the knowledge transfer and the overall usefulness of the community of practice.

The measurement of knowledge transfer often focuses on two aspects: whether there has been a transfer of knowledge that has meaning and value to the organization, and analysis of the KM strategies themselves, such as a community of practice.

It's important that appropriate metrics be used, focusing on the organization's goals, people, and specific KM initiative. No "cookbook" of standard procedures exists. For information on developing KM measures, see Appendix A: Building Knowledge Management Measures Using The Navy's Approach.

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Appendix A: Building Knowledge Management Measures Using the Navy's Approach

The Navy defines three different kinds of KM metrics (Metrics Guide, pg. 5).

Outcome metrics concern the impact of the KM project or initiative on the overall organization. They measure large-scale characteristics such as increased productivity.

Output metrics measure characteristics at the project or task level, such as the effectiveness of lessons learned information to future operations.

System metrics monitor the usefulness and responsiveness of supporting technology tools.

Measures should be actionable, providing a basis for making decisions, changing behavior, or taking action. Organizations should take care to develop a manageable and useful number of measures and assess the value of these measures to stakeholders. You do not have to measure everything - at some point it becomes overkill to do so.

The Navy developed a series of questions to guide its staff in defining, choosing and using performance metrics for KM initiatives (Metrics Guide, pg. 5):

1. What is the business objective? (Done prior to starting metrics)
2. What KM methods and tools will we use? (Done prior to starting metrics)
3. Who are the stakeholders and what do they need to know?
4. Which framework is best?
5. What should we measure?
6. How should we collect and analyze the measures?
7. What do the measures tell us and how should we change?

The first two questions have to do with project design. They are crucial to designing an effective approach to measuring success. Since the purpose of KM initiatives is to help an organization achieve its goals, a KM project must have a specific business objective. Metrics naturally flow from this objective.

Your choice of KM methods and tools is based on their perceived efficacy in meeting the business objectives of the project. Different KM methods and tools will be appropriate to different kinds of objectives. If, for example, your goal is to develop an experts' database to supply technical assistance to an operational program, it is unlikely you would establish an apprenticeship to do so. A particular type of KM tool will lend itself to particular kinds of performance measures. The effectiveness of a computerized experts' database (an outcome metric) might be measured by the number of "hits" it receives, or by anecdotal information on the usefulness of the database to a random selection of users.

The remaining five questions help to refine the process for choosing performance metrics.

Who are the stakeholders and what do they need to know?
(Metrics Guide, p.13)

It is important to identify who will use the performance measurement information. In conjunction with defining the business objective and KM methods up front, start developing a preliminary list of primary stakeholders. Brainstorm a list of all possible audiences for the measure. Then reduce the list to the critical audience. Avoid including so many people that it becomes too difficult to address all of their concerns and needs.

After preparing the final stakeholder list, determine their most important questions and the decisions they will make. This allows you to identify what information they need from the measures.

Which framework is best? (Metrics Guide, p. 14)

One of the key findings of the National Performance Review study of Best Practices in Performance Measurements is that metrics must be aligned with project objectives and organizational goals. A clear and cohesive conceptual framework helps to show the relationship among objectives, KM tools used, and measures. There are many ways to construct a framework. Descriptions of two frameworks follow. For information on other frameworks, consult one of the reference sources below.

- Flow diagrams can trace KM activities to impacts and related measures and can indicate how KM initiatives produce benefits. In the example below, the KM action is to establish a virtual community of practice (CoP). This produces an impact on the workgroup's process through the exchange of knowledge. The CoP process can be measured by its effect on participants, but to determine if the CoP was successful in meeting the business objectives of the initiative, desired end results must be delineated and measures designed to monitor them.

  See figure 3 on page 15 of http://www.don-imit.navy.mil/contentDownload.asp?theID=10292001SCA5524205

- Balanced scorecards combine financial measures with organizational measures. A traditional balanced scorecard integrates four related perspectives: those of customers, the workgroup (internal perspective), learning and growth, and financial. All four are linked to business objectives.

  See figure 5 on page 18 of http://www.don-imit.navy.mil/contentDownload.asp?theID=10292001SCA5524205

What should be measured? (Metrics Guide, p. 19)

The most important characteristic to consider when choosing or defining a KM performance measure is whether the metric tells if knowledge is being shared and used, and if use of the information improved operational efficiency or quality.

The American Productivity and Quality Center, in its report on "Measurement for

Knowledge Management," indicates that your choice of metric also depends on where you are in the lifecycle of the KM initiative. Each project goes through four phases: pre-planning, start-up, pilot project, and growth and expansion. In the **pre-planning phase**, you focus on process and risk analysis, strategy development, and projecting results. In the **start-up phase**, you want to generate interest and support for the KM initiative; so, you look for measures that indicate whether people are convinced the initiative is worthwhile (such as anecdotes, levels of participation, etc.). The **pilot project phase** concentrates on developing evidence of success and lessons learned that could be transferred to other initiatives. More definitive measures are needed, such as changes in business costs (reduced need for support and resources), cultural changes (increased sharing among groups), and the currency and usage of collected knowledge bases. Finally, in the **growth and expansion phase**, you need measures that reflect enterprise-wide benefits (best practices, performance evaluations, etc.).

A combination of quantitative and qualitative measures is helpful. Quantitative measures provide hard data to evaluate performance between points, or to spot trends. For example, you might measure the increase in the number of people accessing a particular knowledge database. Qualitative measures provide context and meaning for quantitative measures. Anecdotes about how knowledge gained from the database helped to solve a critical problem illustrate the impact of the database on the organization's work products.

How should we collect and analyze the measures? (Metrics Guide, p. 23)

As you identify the measures you will use, you will also need to develop a process for collecting the data. These can include automated data collection systems, manual counts, estimates or surveys, interviews, focus groups, agency/organization documents, observing meetings, etc.

Once data have been collected, they should be analyzed within the framework chosen to ensure that they are correlated with the objectives of the initiative and aligned with business goals. It should be noted whether the measures are direct or indirect indicators of effects to avoid having the team and stakeholders misconstrue the results or have unrealistic expectations of performance.

What do the measures tell us and how should we change?
(Metrics Guide, pg. 25)

Ask why you had a particular result and look for ways to improve the KM project. Go back to the original plans and assumptions to see if they need to be modified and then build consensus on what should be changed, how to change it, and when to introduce the changes. Finally, update the measures and framework to make sure they are tightly coupled to the new KM plans.

To give you an idea of the kinds of metrics you might employ, see pages 67-68 in the Metrics Guide. (Please note: These examples include KM strategies that are technological in nature, like web portals, which were outside the scope of this study.)

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Supporting

Many factors contribute to the chances of successful implementation of knowledge transfer strategies, and/or a full KM initiative. Some things take years to develop; others are simpler and easier to put in place. Some may already be in place in your organization; others may present challenges.

Organizational Culture

- Executives support and encourage knowledge-creating activities.
- Efforts are taken to develop leaders who foster knowledge sharing, build an atmosphere of trust where sharing is valued, and make promotions based in part upon demonstrated sharing.
- The organization recruits and hires people who sought and applied knowledge in school and on the job.
- The organization hires employees with whom they would like to work and share knowledge.
- Sharing and using knowledge is encouraged and nurtured.
- Collaboration is the norm.
- Employees understand knowledge management and its value to them.
- Continuous learning for individuals and the organization is encouraged.
- Staff are flexible, forward looking, open to change, and seek continuous improvement.
- Leaders and staff take time to reflect upon and learn from experiences.
- Performance reviews incorporate sharing and use of knowledge.
- The organization recognizes and rewards employees who share knowledge. It does not reward or promote employees who hoard knowledge or negatively compete with others.

Relationships

- Staff are willing to share and reuse knowledge.
- Personal relationships encourage sharing knowledge of high value.

Rewards and Incentives

- Meaningful, long-term incentives are tied in with the evaluation and compensation systems, and highly visible short-term incentives are in place to motivate employees to create, share, and use knowledge.

- Individuals and teams are rewarded for promoting knowledge management when they:
    - Capture team discussions and decisions.
    - Mentor.
    - Document lessons learned.
    - Make tacit knowledge explicit.

Trust

- People know and trust the source of the knowledge. People more frequently contact someone they know before searching the corporate database or data warehouse. Technology is an important enabler to success of KM, but people make or break it.
- People share what they have when they believe others will share their knowledge with them.
- Trustworthiness starts at the top. Upper management's behavior defines the norms and values of the organization.
- Trust can be visible. People must get credit for knowledge sharing.

Senior Leadership Support

Senior leadership:

- Provides resources and encourages employees to share knowledge.
- Offers incentives to encourage sharing and use of knowledge.
- Identifies barriers that inhibit sharing and commits to overcome them.
- Endorses and supports KM through:
    - Articulating knowledge-sharing strategies.
    - Embedding KM into standard operating practices.
    - Allocating financial and human resources to KM.
    - Monitoring the value of knowledge management.
    - Identifying links to increased productivity and achievement of objectives.
- Promotes success stories.
- Maintains KM/KT alignment with organizational goals.
- Models desired behavior.
- Sends messages about the importance of KM and organizational learning to the success of the organization.
- Clarifies what type of knowledge is most important to the organization.

Technical and Organizational Infrastructure

- The organization uses technologies that are knowledge-oriented, such as group use software programs and the World Wide Web, and people have the skills to use them.
- Technologies for desktop computing and communications are available to all staff and they have standardized word processing, presentation software, etc. so documents can be exchanged easily.

- Staff use videoconferencing technology.
- There is an established set of roles, organizational structures, and skills that benefit individual projects (e.g., project managers, project management tools).

Link KM to Organizational Effectiveness, Efficiency, Or Overall Value

- The use of KM results in improved service or products, and/or the attainment of goals and objectives.
- The use of KM results in improved cycle time, customer satisfaction, reducing the number of phone calls, or other organizational goals or objectives.

Clarity of Vision and Language for Knowledge Management

- The organization has clarity of its overall purpose and for its KM initiative.
- The organization has terminology (e.g., "knowledge," "information," "learning," and "organizational learning") to help staff understand and incorporate knowledge sharing on a regular basis.

Some Level of Knowledge Structure

- A glossary of technical terms exists for staff to refer to for increasing their understanding of KM concepts.
- There is a process for getting new terms defined as part of the project management or organization structure.

Multiple Strategies for Knowledge Transfer

- Multiple strategies should reinforce each other.
- Contributors to knowledge repositories get together face-to-face on a regular basis. This builds trust and is useful in developing structures and resolving issues.

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Apprenticeships, Internships, and Traineeships

Definition

Apprenticeships, internships, and traineeships are formal arrangements where a person gains practical experience or knowledge by working for a prescribed period of time under the supervision of more experienced workers.

Apprentices, interns, or trainees typically have basic skill sets or competencies, such as analytical skills, but lack the specialized competencies necessary for the job. In some situations, specialized education may be required. For example, to be eligible for a New York State traineeship in the accounting profession, a person must have a certain number of college credits in accounting.

New York State fills many entry-level positions through traineeships, which fall into two broad categories. Transition traineeships are designed to help clerical and secretarial employees already in State service to move into professional or paraprofessional positions. There are also entry-level professional traineeships open to State employees and the general public for candidates who meet the traineeship qualifications and are reachable on the eligible list. New York State provides both paid and unpaid internships for students.

Benefits

Apprenticeships, traineeships, and internships provide a structured means for passing on specific knowledge and skills required for success in a particular job or profession. Because they take place at an actual job site, they provide ready access to people who are experienced in the job and to hands-on learning opportunities. Since they are typically one to three years in length, over time, participants learn to take on assignments of increasing complexity and difficulty. The structure provides the necessary support and resources to successfully perform at the journey level.

Obstacles

New York State agencies must request and obtain approval from the Department of Civil Service and the Division of the Budget to create apprenticeships, traineeships, and internships. Agencies must commit the resources needed for incumbents to succeed, including the staff time to assist in learning necessary skills. Supervisors must not only have mastered the job, but must also know how best to help the apprentice, trainee, or intern to gain required knowledge and skills.

When to Use

Apprenticeships, traineeships, and internships are valuable when it takes a long period of time to learn the specific skills needed for a particular job. They are typically used at an entry level into a profession.

How to Use

New York State agencies must obtain approval from the Department of Civil Service and the Division of the Budget. In the request, they must identify the critical job competencies to be mastered in each six-month period and identify what methodologies (on-the-job training, formal training, etc.) will be used to develop them.

For these arrangements to be successful, the organization must commit to providing the necessary resources, including the staff time of experienced workers. Also, there must be ongoing feedback to the learners on their progress in mastering required skills.

Resources

Career Mobility Office - Information on career mobility in New York State
Title and Salary Plan
StateJobsNY - Information on job vacancies in NYS government.
StateJobsNY - Internship Lisitngs -Listing of internship opportunities. Note that agencies may offer opportunities without listing them on this site.
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Best Practices

Definition

"Best practices" are ways of doing business, processes, methods, strategies, etc. that yield superior results. They have been implemented and honed over time to a point where they are viewed as exemplary and should or could be adopted by others. A formal "benchmarking" process is often used to identify best practices. A full description of this technique is beyond the scope of this document, however, there are many books and other resources on the subject.

Benefits

Identifying and sharing best practices is an important way to incorporate the knowledge of some into the work of many. Organizational structures tend to promote "silo" thinking where particular locations, divisions, or functions focus on maximizing their own accomplishments and rewards, keeping information to themselves and thereby sub-optimizing the whole organization. The mechanisms are lacking for sharing of information and learning. Identifying and sharing best practices helps build relationships and common perspectives among people who don't work side by side.

Best practices can also spark innovative ideas and generate suggestions for improving processes, even if a practice can't be used in its entirety. The process of identifying them can also benefit employee morale. By highlighting or showcasing people's work, employees get organization-wide recognition for their work.

Obstacles

Sometimes employees are reluctant to share their methods with others. Information can be seen as a source of power and some people hoard it. A more likely reason for not sharing is reluctance to say that something is the "best way." The "not-invented-here" syndrome could negatively affect the adoption of a method created by a different workgroup. Documenting and storing descriptions of best practices can be a challenge. If storage is to be in written form, a database or other shared file system, the practice needs to be described in enough detail for all to understand. Often, written descriptions are the starting point for transfer, with employees using site visits and other forms of communication to learn. Keeping best practice information current is important. Since organizations are constantly finding ways to improve processes and products, a "best practice" could become obsolete.

When to Use

The technique of identifying and sharing best practices can be done at any time. It can be especially important when looking for ways to improve results of important or significant processes. In today's environment of tight budgets and rapid change, identifying ways to improve effectiveness and efficiency are crucial.

How to Use

There are many approaches to identifying and sharing best practices, ranging from a formal organization-wide initiative with staff assigned to researching, documenting, and creating a database to more informal ways such as talking at the water cooler (sometimes the most effective approach!).

One "in between" approach involves management identifying the results they want to improve, determining the parameters of a process that should be studied, and then chartering a team to conduct the study. A sample of people involved in the process should:

- Thoroughly review and document the current process.
- Identify organization(s) that have exemplary practices or processes that produce high results.
- Explore the "best practices."
- Generate possible ways to improve their process.
- Recommend or select changes to be implemented.
- Arrange for implementation of the changes.
- Evaluate the results of the changes.

Another approach some organizations use is to encourage employees to learn from others within the organization through annual or periodic best practices or benchmarking conferences. The Office of Vocational and Educational Services to Individuals With Disabilities (VESID), part of the State Education Department, brings together staff from throughout the State to learn from each other. They showcase and share best practices through both formal and informal presentations or workshops. They focus on processes they have developed or refined that achieve desired results. They sometimes also invite experts from other states to share their best practices.

Another technique VESID uses is posting best practices on its intranet. Content areas include leadership, management and internal controls, including risk assessments and corrective actions for each of its offices. VESID also uses a team to provide support to district offices where a quality assurance review has identified problem areas. The team helps develop an action plan to address issues and shares tools and resources others have found effective.

Some organizations recognize teams that have been particularly successful in accomplishing their objectives. Their process and results are often showcased at internal conferences, or through knowledge fairs (See Knowledge Fairs, pg.). GOER's Workforce Champions Award program is an example of a statewide recognition effort for identifying and sharing best practices across agencies. (See WorkForce Champions.)

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Communities of Practice

Definition

A Community of Practice (COP) is a group of individuals sharing a common working practice over a period of time, though not a part of a formally constituted work team. They generally cut across traditional organizational boundaries and enable individuals to acquire new knowledge faster. For example, at the Department of Public Service, a group of employees who are actively involved in multi-party, multi-issue settlement negotiations began a monthly discussion group at which they explored process issues, discussed lessons learned, and shared tools and techniques. COPs can be more or less structured depending on the needs of the membership.

Benefits

Communities of practice provide a mechanism for sharing knowledge throughout one organization or across several organizations. They lead to an improved network of organizational contacts, supply opportunities for peer-group recognition, and support continuous learning, all of which reinforce knowledge transfer and contribute to better results. They are valuable for sharing tacit (implicit) knowledge.

Obstacles

To be successful, COPs require support from the organization(s). However, if management closely controls their agendas and methods of operation, they are seldom successful. This is more of an issue for communities of practice within organizations.

When to Use

Communities of practice can be used virtually anywhere within an organization: within one organizational unit or across organizational boundaries, with a small or large group of people, in one geographical location or multiple locations, etc. They can also be used to bring together people from multiple agencies, organized around a profession, shared roles, or common issues.

They create value when there is tacit information that, if shared, leads to better results for individuals and the organization. They are also valuable in situations where knowledge is being constantly gained and where sharing this knowledge is beneficial to the accomplishment of the organization's goals.

How to Use

There are different kinds of COP. Some develop best practices, some create guidelines, and others meet to share common concerns, problems, and solutions. They can connect in different ways: face-to-face, in small or large meetings, or electronically.

An organization or group of practitioners needs to decide which kind of community is best for it by determining what knowledge people need to share, how closely connected the community is, and how closely knowledge needs to be linked with people's everyday jobs. The supporting organization(s) needs to be willing to make resources available to the community. These resources include supporting employees' ability to participate at COP events as well as providing logistical and other support. Public and private entities that have created communities of practice say they work best when they set their own agenda and focus on developing members' capabilities. Management should not dictate. Smaller, more informal COPs will likely have fewer constrictions and less need for support.

Following are guidelines to consider in forming a COP:

A. Determine the community's purpose.

Link the community's purpose to the profession or organization's goals and objectives. Communities can be formed as:

1. Helping communities that provide a forum for members to help each other solve everyday work problems.
2. Best practice communities to develop and disseminate best practices, guidelines, and procedures for member use.
3. Knowledge stewarding communities to organize, manage, and steward a body of knowledge from which community members can draw.
4. Innovation communities for creating breakthrough ideas, knowledge, and practices.

B. Clarify roles and responsibilities.

Roles can include the following, especially for larger, more formal COPs:

1. Functional Sponsors: sponsors need to believe in the value of knowledge sharing. They encourage community growth and commitment of agency resources, act as champion for the community within the organization, and work with community leaders to resolve issues.
2. Core Group: a subset of the community, consisting of knowledgeable and experienced community members (subject matter experts) to assist with start-up of the group and to provide ongoing organizational support.
3. Community Leaders: active members of the community who help to focus the community, plan and schedule meetings and events, represent the community within the organization, manage day-to-day activities, etc.
4. Members: membership should be voluntary. Members will continue to be actively engaged to the extent the community meets their needs, but the expectation must be set that members participate in community discussions, activities, and work.
5. Facilitator to guide the community's process: facilitators provide process expertise, assist with the use of process tools, and help to create and maintain a collaborative environment.
6. Logistics Coordinator: coordinates calendars, schedules meetings and events, coordinates facilities, and arranges for equipment.

Other roles to consider include functional support staff and a project historian. Functional support staff help to arrange for databases to store and share community knowledge and establish mechanisms for on-line sharing of information through such tools as chat rooms or discussion lists. The project historian documents project decisions and events for reuse by the agency.

C. Identify community members.

Membership is voluntary but it is recommended that individuals who could learn from each other and have a stake in the community's success be identified and cultivated. Employees, who are seen as experts or as trusted information sources, add value to the community and efforts should be made to recruit them.

D. Devise mechanisms for communication and collaboration.

There can be a combination of face-to-face meetings and events, instant messaging or chat rooms, shared databases, videoconferencing, etc.

E. Hold an initial community workshop to engage member interest and stimulate continued involvement.

At this meeting, the community's purpose should be clarified as follows:

- Work should begin on building member relationships.
- Ground rules should be decided and roles explained.
- Methods for creating, capturing, and sharing knowledge should be discussed.
- Consensus should be reached on the highest priority knowledge needs.

F. Check community progress to identify and resolve any barriers that impede the community's success.

This is often a function of the community leader and core group.

Resources

NAVSEA Community of Practice Practitioner's Guide, U.S. Department of the Navy, Version 1.0a, May 2001. NAVSEA Community of Practice Practitioner's Guide, U.S. Department of the Navy, Version 1.0a, May 2001. (Accessed 11/21/02)

Wenger, Etienne C, and William M. Snyder, "Communities of Practice: The Organizational Frontier," Harvard Business Review, January-February 2000, p. 139?145.

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Expert Interviews

Definition

Expert interviews are sessions where one or more people who are considered experts in a particular subject, program, process, policy, etc., meet with others to share their knowledge. The format of the sessions can range from an informal one-on-one meeting to a larger group session with a panel of experts. Sessions can be audio or videotaped or even transcribed if the subject is highly technical. The experts can come from within an organization or from the outside.

Benefits

Expert interviews are a way of making tacit knowledge more explicit. A person can describe not only what was done but why, providing context and explaining the judgment behind the action. Interviews are often easier for the experts than having them write down all the details and nuances. Learners can ask questions and probe more deeply to ensure understanding.

Obstacles

Making time for these sessions is probably the biggest challenge for both the experts and the learners. If the session is more formal with a large group of learners, some may be intimidated and need coaching.

When to Use

Expert interviews can be used in many situations. The best place to begin is with people who have unique knowledge developed over a long period and who have the potential for leaving the organization soon. The next step might be to identify mission critical processes or programs where only one or two staff have a high level of technical knowledge.

How to Use

This process is probably most effective when someone facilitates the experience, setting the stage with participants, facilitating the exchange of any information prior to the interview, and handling scheduling or other logistics.

Identify the people and knowledge you want to start with, both the experts and the learners. Discuss with the experts the reasons for the interviews, who will be involved, and what you would like to focus on. If the learner needs to prepare for the session, the expert can identify how to do this and what resource materials would be helpful. It is also essential to ask the learners what they think they would like to know from the experts. If they have specific questions, provide these to the expert in advance so he or she can be prepared.

If the session is more formal, with larger numbers of experts and learners, a facilitator can help keep the session focused and on time. If the interview is a one-on-one meeting, a facilitator is probably not needed.

If audio or videotaping, arrangements should be made in advance and equipment tested to ensure both experts and learners can be heard on tape.

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Job Aids

Definition

A job aid can take many forms, but basically it is a document that has information or instruction on how to perform a task. It guides the user to do the task correctly and is used while performing the task, when the person needs to know the procedure.

A job aid can be as simple as a sticker on an answering machine that describes how to access messages. Types of job aids include:

- Step-by-step narratives or worksheets sequencing a process.
- Checklists, which might show items to be considered when planning or evaluating.
- Flow charts, leading the user through a process and assisting the user to make decisions and complete tasks based on a set of conditions.
- Reference resources, such as a parts catalog or telephone listing.

Benefits

Job aids are usually inexpensive to create and easy to revise. Using job aids can eliminate the need for employees to memorize tedious or complex processes and procedures. When a job aid is easy to access, it can help increase productivity and reduce error rates.

Obstacles

Job aids need to be written clearly and concisely, with nothing left to interpretation. They also need to be updated and kept current. Finding the time to create job aids can be a challenge; however, creation of good job aids produces benefits over the long term.

How to Use

Consult with knowledgeable users to identify what job aids to develop. Create job aids that include only the steps or information required by the user. Keep the information and language simple, using short words and sentences. Don't include background information or other information extraneous to actual performance of the task; put that in another location. Use graphics or drawings, when appropriate, to more clearly demonstrate detail.

Use bold or italicized text to highlight important points. Use colors to code different procedures or parts of a process. Make sure the job aid can be easily accessed and is sturdy. A laminated wall chart hung near where a task is performed can be consulted more quickly than a piece of paper stored in a file.

When to Use

Job aids are most appropriate for tasks that an employee does not perform frequently, or for complex tasks. Tasks with many steps that are difficult to remember, or tasks that, if not performed correctly cause high costs, can benefit from having readily accessible job aids. Also, if a task changes frequently, a job aid would save time and reduce the chance for errors.

Job aids can be a good supplement to classroom training. Users can learn tasks in a classroom but will likely need something to rely on when on the job.

Resource

Russell, Susan, "Create Effective Job Aids," American Society for Training & Development Info-Line, Issue 9711, November 1997.

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Knowledge Fairs

Definition

A knowledge fair is an event designed to showcase information about an organization or a topic. It can be organized in many ways using speakers, demonstrations, or more commonly, booths displaying information of interest to the attendees. One example is the Xerox Corporation's annual "Team Day" that showcases the work of various quality-improvement teams. Two New York State examples are described below.

Benefits

A large amount of information can be made available and attendees can focus specifically on what they are interested in learning. Attendees can interact directly with the presenters, getting immediate answers to their specific questions. They also can establish contacts for further exploration of topics if needed.

Attendees often network with one another and booth developers' often strengthen their teamwork. Knowledge fairs also provide opportunities to draw attention to best practices and recognize employee and team achievements.

Obstacles

Depending on the scope and size of the event, it can require a large amount of staff time for creating booths, putting information together to display, and for organization and logistics. The costs for space, materials, and resources can be high. The potential exists for participants to become overwhelmed with information.

When to Use

Consider a knowledge fair when there is a lot of information to share with a lot of people and participants need a broader perspective, as well as an opportunity to interact on a one-on-one basis on specific topics. A knowledge fair is an alternative to traditional presentations when more interactive experiences are desirable.

New York State Examples

"TaXpo"

In 1999, the Tax Department used a large basement room in one of their buildings on the State Office Building Campus to hold a Knowledge Fair with more than 75 booths showcasing the work of organizational units across the entire department. Unit or office employees created and staffed their own booths. All employees were invited to attend, including employees from district offices away from Albany, where the event was held. Staff visiting the fair had the opportunity to ask questions and develop their understanding of what the various organizational units did and how they fit into the larger picture of accomplishing the mission of the department. See Appendix B, page 55, for Commissioner Roth's memo to all Tax employees and Appendix C, page 56, for a list of the 75 booths and sample descriptions of four booths.

Organization Development Learning Network "Share Fair"

The Organization Development Learning Network (ODLN) is a community of practice supported by the Governor's Office of Employee Relations. It is "an organization development (OD) peer learning group that shares experience and generates knowledge to improve New York State agency performance."

The group was formed in 2000 and held its first meeting in October of that year. In order to familiarize those attending with what OD is and the kinds of things that OD can do for an organization, a "share fair" was held. Smaller in scope and simpler than TaXpo, this event used tables in a large meeting room to display various materials relating to OD initiatives. Staff from the various agencies answered questions and explained what they did and how it contributed to accomplishing their agency's mission and improving organizational performance. See Appendix D for the Share Fair descriptive brochure.

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Learning Games

Definition

A game is a type of structured learning activity used to make learning fun. It can provide a review of material that has been presented to strengthen the learning or evaluate how much learning has occurred. Games can also be used to:

- Help people prepare for learning by testing current levels of knowledge.
- Apply a newly learned skill.
- Learn as they play the game.
- Practice what has been presented to reinforce the learning.

Benefits

Games improve knowledge transfer by:

- Increasing participation among all involved.
- Improving the learning process by creating an environment where people's creativity and intelligence are engaged.
- De-stressing learning by making it fun.
- Addressing the different ways in which different people best learn - through movement, hearing, and seeing.
- Adding variety to a training program, which helps to keep people actively involved.

Obstacles

- When games are used as an end in themselves and not a means towards an end, they waste time and can hamper learning.
- Using too many games can destroy learning effectiveness.

When to Use

Games are usually used in conjunction with other learning methodologies, such as presentations and discussions. When you use them, or if you use them at all, depends on the learning you are trying to convey and whether games will help you meet your learning objectives.

Games used at the beginning of a program can measure existing knowledge and build immediate interest in the training material.

Games used during a program can help people discover the learning themselves (which strengthens recall and commitment), practice using new knowledge or skills, or reinforce initial learning.

Games used near the end of a program can test knowledge gained and people's ability to apply it in their work settings.

How to Use

For games to be effective, they must:

1. Be related to the workplace by providing knowledge, reinforcing attitudes, and initiating action that is important to job success.
2. Teach people how to think, access information, react, understand, and create value for themselves and their organizations.
3. Be enjoyable and engaging without being overly simplistic or silly.
4. Allow for collaboration between learners.
5. Be challenging but not unattainable.
6. Permit time for reflection, feedback, dialog, and integration. In other words, games should be debriefed.

Examples of games:

- Quizzes
- Scavenger hunts
- Quiz show games, including those modeled on television game shows such as Jeopardy or Family Feud
- Board games, such as GOER's Supervision Central
- "Name that" games
- Sports-related games
- 20 questions

Resource

Meier, Dave, The Accelerated Learning Handbook: A Creative Guide to Designing and Delivering Faster, More Effective Training Programs, McGraw-Hill, New York, 2000.

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Lessons Learned Debriefings

Definition

Session(s) conducted at the completion of a project or activity, or at strategic points during a project or work team's ongoing work, where members of the team or group evaluate the process used and the results. They identify what was done right and what could be done better the next time.

Benefits

These sessions identify and capture the things that went well and the things that could be improved so that team or work group members are aware of and can use the broader team/group's learning in their future projects or work activities. Results can also be shared with future teams or other work groups so they can learn from the experiences of others.

Obstacles

Making the time to conduct lessons learned debriefing sessions and documenting the results are the biggest challenges.

When to Use

The sessions should be done as soon as possible after the completion of the project or activities, but no more than 30 days later. They could also be done at any strategic point during a project.

How to Use

Lessons learned sessions work best when they are done as a formal review session in a functional meeting room, using facilitator(s), and an assigned note taker.

- Develop ground rules for the session, e.g. listen for understanding, respect others' contributions, no blaming, full participation, etc.
- Include appropriate people such as:
  - Project sponsor.
  - Project or work unit manager.
  - Project team or work unit staff.
  - Customers.
  - Stakeholder representatives, including the manager with responsibility for the project oversight.

Other appropriate executive management.
- Others, depending on the nature of the project or work, e.g., maintenance, information systems, technical services, and operations staff.

- Make sure lists of lessons learned are process-oriented and are directed toward improving the work process, not individual performance.
- Make sure feedback is constructive.
- Describe specific behavior and its effect.
- Be non-judgmental.
- Identify actions and behaviors that would be more effective.
- Recognize positive contributions.

See Lessons Learned Form.

Debriefing Process Alternative A

Have groups of 6-10 people answer the following questions and consolidate responses for all the groups. You may want to consider the commonality or strength of agreement on the responses. Select questions from the following or develop your own questions. Open-ended questions usually elicit the best responses.

- What worked best on the project or activity?
- What could have been better on the project or activity?
- How can we improve the methodology to better assist in the successful completion of future projects or work activities?
- What parts of the project or work resulted in meeting the specified requirements and goals? What helped assure these results?
- What parts did not meet specifications and goals? What could have been done to ensure that these were met?
- How satisfied was the customer(s) with results? What was particularly good? What could have been done to improve customer satisfaction?
- Were cost budgets met? Why or why not? What helped or hindered staying within budget?
- What contributed to the schedule being met? What hindered it?
- What appropriate risks were identified and mitigated? What additional risks should have been identified and/or what additional actions should have been taken to mitigate risks?
- What communications were appropriate and helpful? What additional communications would have been helpful?
- How did the project or activity management methodology work? What worked particularly well? What could have been done to improve it?
- What procedures were particularly helpful in producing deliverables? What could have been improved? How could processes could be improved or streamlined?

Debriefing Process Alternative B

- Develop, post, and use a list of 8-10 items or objectives considered most important for success. The team leader or work unit leader and facilitator could develop this list ahead of time or with participants at the beginning of the session. Possible items to help keep the discussions focused include:

- Customer expectations are met
- All specifications are achieved
- Completed on time
- Completed within budget
- Return on investment achieved
- Organizational goals are met
- Positive experience for project or workgroup members

- Identify how well these items were accomplished (fell short, met, exceeded expectations)
- Identify actions that contributed to or hindered the accomplishment of each of these objectives. See below for a possible meeting notes template. [Link to possible template for Alternative B.]

Debriefing Process Alternative C

- Identify 8-10 major strategies, activities, or processes that helped the project or work unit and 8-10 major problems encountered during the project or activity and what could be done to address or prevent the problems in the future.
- Responsibilities:
    - Project or work unit manager:
        - Make all arrangements.
        - Ensure right people are present.
        - Make sure necessary materials and documentation are available.
        - Communicate results to the right people throughout the organization.
    - Facilitator:
        - Typical facilitation responsibilities.

Role of surveys

Surveys can also be used instead of or to supplement a meeting.

- Consider getting professional assistance in developing and administering a survey to a large group or to people outside the organization .
- The survey could be written questionnaires which could be mailed or administered during a meeting.
- Consider how it should be administered and to whom (sponsor, team or workgroup, customer representatives, consumers and/or other stakeholders).
- Goals:
    - Review product delivered against baseline requirements and specifications.
    - Determine how well the needs of the customer have been met.

Determine whether the product or service was delivered effectively and efficiently.

- Determine what could be improved.

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On-The-Job Training

Definition

On-the-job training is any kind of instruction that takes place at the actual job site and involves learning tasks, skills, or procedures in a hands-on manner. It can be informal, such as when a person asks a co-worker to show how to perform a task, or part of a more formal structured OJT system. If part of a structured system, there are usually prescribed procedures for training that specify the tasks and skills to be learned and that sequence the activities to build on knowledge already acquired. There are also administrative processes requiring both trainer (sometimes called a coach) and trainee to certify that a particular task or skill has been mastered. Structured OJT is usually more effective than informal; however, informal can also be valuable.

Benefits

On-the-job training can be very effective because someone skilled in performing the tasks does the training (the coach). With training done on the actual job site, it may not reduce productivity as much as taking a person off site to a classroom setting.

The cost is usually the coach's and employee's time. If a more structured approach is being taken, there are costs associated with training coaches and developing checklists and other materials. However, those costs can be amortized over time and over the number of trainees who use them.

Obstacles

Sometimes informal OJT can be a problem if the training objectives are not clearly stated and understood. If the training is presented in an off-the-cuff manner, it might not be taken seriously enough. Also if the person doing the training is not adequately prepared, the training could be confusing and the time wasted.

When to Use

Consider the following when deciding whether to use structured OJT:

- When equipment and/or materials needed to perform the job are not replicable in a classroom environment.
- When instruction needs to take place in small chunks so that taking the person away from the job site is not an efficient use of time.
- When the number of people needing instruction is too small to efficiently organize a classroom session.

- When showing someone how to do something using real work is the most effective way of teaching.

How to Use

One-on-one training should not be presented in a vacuum, but as part of an overall training program that might include some classroom instruction, job aids (e.g., check lists - see Job Aids), manuals, and demonstrations.

A. Preparation

☐	Analyze the job to figure out the best way to teach.
☐	Make a list of the tasks and associated knowledge and skills.
☐	Break the job tasks into steps and note the key factors that relate to each step.

B. Present the process

☐	Put the employee at ease.
☐	Find out what the employee already knows about the job.
☐	Tell the employee the importance of the job or task and how it fits into the larger picture of what the employee does.
☐	Show the employee how to perform the task and describe what you are doing.
☐	Stress the key points and use appropriate job aids.
☐	Completely instruct one point at a time, at a rate slow enough for the employee to understand.

C. Test the performance

☐	Have the employee perform the job while you observe.
☐	Have the employee show you how he or she does each step of the job and describe what is being done.
☐	Ask questions and offer advice.
☐	Continue until you are satisfied that the employee knows the job or task(s).

D. Follow up

☐	Tell the employee who to go to for help.
☐	Check on the employee as often as you feel necessary.
☐	Encourage questions.
☐	Have employee perform independently with normal supervision.

Resources

Broadwell, Martin M., Supervisor and On-the-Job Training, 3rd Ed., Addison-Wesley, Reading, MA 1986.

Levine, Charles I., "On-the-Job Training," American Society of Training and Development Info-line, Issue #9708, August 1997.

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Storytelling

Definition

Storytelling uses anecdotal examples to illustrate a point and effectively transfer knowledge. There are two types:

- Organizational stories (business anecdotes) are narratives of management or employee actions, employee interactions, or other intra-organizational events that are communicated within the organization, either formally or informally.
- Future scenarios create a future vision for the enterprise that describes how life will be different once a particular initiative, change, etc. is fully implemented. They provide a qualitative way of describing the value of the initiative even before it starts.

Benefits

- Stories capture context, which gives them meaning and makes them powerful.
- We are used to stories. They are natural, easy, entertaining, and energizing.
- Stories help us make sense of things. They can help us understand complexity and assist us in seeing our organizations and ourselves in a different light.
- Stories are easy to remember. People will remember a story more easily than a recitation of facts.
- Stories are non-adversarial and non-hierarchical.
- Stories engage our feelings and our minds and are, therefore, more powerful than using logic alone. They complement abstract analysis.
- Stories help listeners see similarities with their own backgrounds, contexts, fields of experience, etc., and, therefore, help them to see the relevancy of their own situations.
- Stories can be a powerful transformational tool. Stories of transformation were coined "springboard stories" by Stephen Denning.

Obstacles

Stories are only as good as the underlying idea being conveyed. Since stories are usually orally presented, the person telling the story must have good presentation skills.

When to Use

Stories are seldom used alone, but rather they are combined with other approaches such as quantitative analysis, best practices, knowledge audits, etc. They impart meaning and context to ideas, facts, and other kinds of knowledge derived from other knowledge management tools.

Stories can be used to support decision making, aid communications, engage buy-in, or market an idea or approach. If being used to illustrate the value of a way of thinking, or explaining an idea, they are best used at the outset, to engage the listener and generate buy-in.

How to Use

In using storytelling, the message, plot, and characters must be considered. Determine what underlying message is to be conveyed (examples: importance of organizational goals, impact on an individual of a change effort, end-benefits associated with a change effort, how a process works, and so on). How does the story illustrate the underlying message (plot)? Who was involved in the story (characters)?

Think about the audience for the story. To whom is the story aimed? What will each audience listening to the story do with the story's message? What message will be told to each audience? How do we tell each desired story?

Four different structures for using stories have been developed (from The Springboard, by Stephen Denning):

- Open with the springboard story, and then draw out its implications.
- Tell a succession of stories. The telling of multiple stories can help enhance the chances that the audience will co-create the follow-up. Two examples: You want to describe the benefits of a proposed change effort. Tell a story that only partly serves your purpose, and then extrapolate with an anecdote (e.g., a future scenario) that describes how the story will play out when the change effort is fully in place. Or, tell a series of related stories that, taken together, illustrate various ways in which the change effort is leading to payoffs for colleagues.
- Accentuate the problem. Start with describing the nature of a problem, tell the story, and draw out the implications.
- Simply tell the story. This is useful when time is very limited and you want to plant a seed.

The story should:

- Be relatively brief and have only enough detail for the audience to understand it. Too much detail and the listener gets caught up in the explicit story and not its message.
- Be intelligible to a specific audience so it hooks them. It must be relevant to them.
- Be inherently interesting, maybe because the problem presented is difficult, the "old" way of resolving the problem won't work, there is tension between characters in the story, there are unexpected events, or an element of strangeness exists.
- Embody the idea you are trying to convey and provide an easy mental leap from the "facts" of the story to its underlying message.
- Have a positive ending, to avoid people being caught up in a negative, skeptical frame of mind.
- Have an implicit change message, especially if the audience is skeptical or resistant, since the audience can then discover the change message on their own and,

therefore, make it their own idea

- Feature a protagonist with which the audience can identify.
- Deal with a specific individual or organization.
- Have a protagonist who is typical of the organization and its main business.

True stories are generally more powerful than invented stories, and can serve as jumping off points for future scenario stories. Stories should be tested on individuals or small groups before being tried on large groups or in high-risk settings.

The stories must be simple, brief, and concise. They should represent the perspective of one or two people in a situation typical of the organization's business, so that the explicit story is familiar to the audience. Similarly, the story should be plausible; it must ring true for the listener. It needs to be alive and exciting, not vague and abstract. By containing a strange or incongruous aspect, the listener can be helped to visualize a new way of thinking or behaving. Stories, therefore, should be used to help listeners extrapolate from the narrative to their own situations.

Finally, storytellers must believe in the story (own it) and tell it with conviction. Otherwise, the audience will not accept it.

Resources

Denning, Stephen, The Springboard: How Storytelling Ignites Action in Knowledge-Era Organizations, Butterworth-Heinemann, Woburn, MA, 2001.

Metrics Guide for Knowledge Management Initiatives, United States Department of the Navy Chief Information Officer, August 2001. <http://www.don-imit.navy.mil/tools_and_downloads.asp?type=project&recID=17>(PDF for downloading) (Note: This document may not be accessible to the visually impaired.) (Accessed 11/21/02)

Poage, James L., "Designing Performance Measures to Tell a Story: Applying Knowledge Management Principles," presented to the Federal CIO Council, Knowledge Management Working Group, November 1, 2000. <http://www.km.gov/documents/measures/measures.ppt()> (Accessed 11/21/02)

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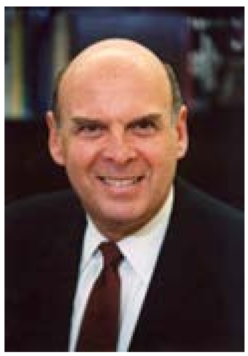
Appendix B: Letter From Tax & Finance Commissioner Arthur J. Roth to all Tax Employees Re: TaXpo



To All Tax Employees:

Welcome to TaXpo! This event is an opportunity for us to celebrate our successes and learn more about each other. I invite each and everyone of you to see what we do; find out who we are; and to ask questions!!

TaXpo is the result of the efforts of many of your colleagues. I extend my sincere thanks to the TaXpo Design Team and Project Team for their work in creating this event. Thanks to those of you who created and staffed the more than seventy-five booths. Thanks to those of you who opened up your workplace for tours because your fellow employees asked to see what you do. Thanks to the artists and performers who set the scene and mood of TaXpo. And thanks to former Commissioner Urbach who had the vision to change the way we work.

TaXpo is for you. At the 1997 and 1998 Strategic Planning Conferences, you made it clear to us that you wanted:

- training to be more effective;
- tools to be more efficient; and,
- a better understanding of how the department works so that together you could do your jobs better.

I hope when you leave TaXpo today, you are as proud of what we can do as I am. I hope you share the knowledge you've gained with your co-workers who were unable to attend TaXpo. I hope at least one thing you saw here today will spark an idea which you and your team can implement back at your work site. I can only imagine what the future of Taxation and Finance will be when all of our ideas become reality.

Sincerely,

Arthur J. Roth
Commissioner

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Association of State Tax Examiners (ASTE)

"The Association of State Tax Examiners, Inc.'s purpose is to protect and advance the interests and welfare of its members to maintain and promote professional standards of conduct, knowledge and proficiency and to aid in efforts to improve tax administration and procedure."

Kathleen Sheridan	Ross Izzo
Margaret Gardner	Joyce Smolinsky
Michael Bond	Katherine Caywood
Judy Clark	Linda Goot
John Shiely	Alan Tamaroff
Geraldine Werking	Christine Mondore
Jacqueline Bender	Sharon Drosky
Carol Ambuhl	

Audit Division - Corporation Tax Bureau

"The Corporation Tax Bureau's booth shows the Department who we are, how our work gets done and what our products are. Our Booth's focus is on how other departmental areas can work with us in delivering better products and services."

Al Dashnaw	Jim Fortune
Bonnim Tanzman	Terry O'Neil
Sean Dunleavy	Wendy Nelson
Cherry Conover	Brian Haas
Dawn D'Arcangelo	Jean Karins
Jennifer LeBlanc	Karen McWilliams

Audit Division - Income Tax Bureau

"Did you ever see an income tax case on the system and wonder what the adjustments were? Come visit us at the Income Tax booth where Desk Audit and Field Audit Management will answer this and many more burning questions."

Richard Arnold	George Mata
Margaret Blais	Marianna Denier

Audit Division - Sales Tax Bureau

"Come visit the Sales Tax Audit Bureau booth. Our booth contains entertaining and informative exhibits, both inside and out, that provide TaXpo visitors with a better understanding of the many functions of the bureau. Our exhibit may even talk to you about what is taxable and what is non-taxable. You may participate in a team challenge or

Jane Casillo
Lisa Porpa
Joanne Irish
Geri Bielecki
Neal Moore
Christine Kilmartin
Mary Walsh

Angela Pettes
Brian Kirschenbaum
Mary Colatosti
Lisa Rullo
Charlene Donald
Mike Nead
Ken Stewart

just peruse our booth to learn more about how we select audits, where sales tax audit revenues are distributed, and the special projects we undertake to collect use tax."

Joe Macchio
Robert Murray
Holly Jennings
Stephen Doud

Robert Pilatzke
Megan Lawrence
Diane Binck
Rosemarie Corigliano

Descriptions about the following booths were also included in the brochure:

Audit Division - TTTB
Binghamton District Office
Buffalo District Office
Bureau of Fiscal Services (BFS) Bureau of Internal Audit and Quality Control
Bureau of Conciliation and Mediation Services (BCMS)
Capital Region District Office
Chicago District Office
CISA Advisory Board
Commissioner
Communications/Legislative Affairs/Business Ambassador/Peak Hiring
Compliance and Audit
Systems Division (CASD)
CPA Advisory Committee
CSEA
Dragon Speaks Naturally
Employee Assistance Program (EAP)
Electronic Value Transfer (EVT)
General Services Available on Notes/Intranet
Information Systems Management (ISM)
Internal Affairs
Internet in DTF
IPA Interface
IRS/Disclosure
Management Services Bureau (MSB)
Manhattan District Office
Metropolitan District Office
Nassau District Office
New York City Finance
Office of Counsel (OOC)
Office of Tax Enforcement - (PATB)
Office of Tax Enforcement - Revenue Crimes Bureau (RCB)
Office of Tax Policy Analysis (OTPA)
One-Stop for Commercial Vehicles
Operations Support Bureau (OSB)
PEF
PIT Protest
Processing Division

Queens District Office
Rochester District Office
SMARRT Group
Suffolk District Office
Syracuse District Office
Tax Compliance Division -Call Center
Tax Compliance Division -Field Services
Tax Compliance Division -Special Collections
Tax Processing Managers Association
TaXpo Future
TaXpo on the Intranet
TaXpo Slide Presentation
Tours Sign-up
TQM Best Practice
TQM Communication
TQM General/Classes
TQM Rewards and Recognition
TQM Tools & Resources
TQM Training
Treasury
Utica District Office
Westchester District Office

For additional information, please contact Deb Dammer, Director of Human Resource Management, NYS Department of Taxation and Finance, phone 457-2786 or Deborah_Dammer@tax.state.ny.us

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Workforce and Succession Planning

Appendix E: Workgroup Members

Tricia Casella-Evans	Department of Civil Service
Joe Hilton	Office of the State Comptroller
Nancy Kiyonaga	Department of Civil Service
Gen Lentlie	Department of Transportation (Retired)
Janice Nissen	Department of Public Service
Judy Thomson	Leader, Office of the State Comptroller
Deborah Berg	Facilitator, Governor's Office of Employee Relations

Also see Overview of the Workgroups.

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Department of Civil Service