

Cornerstones for Kids

# Workforce Planning Tool Kit: Evaluating Workforce Planning

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# Table of Contents

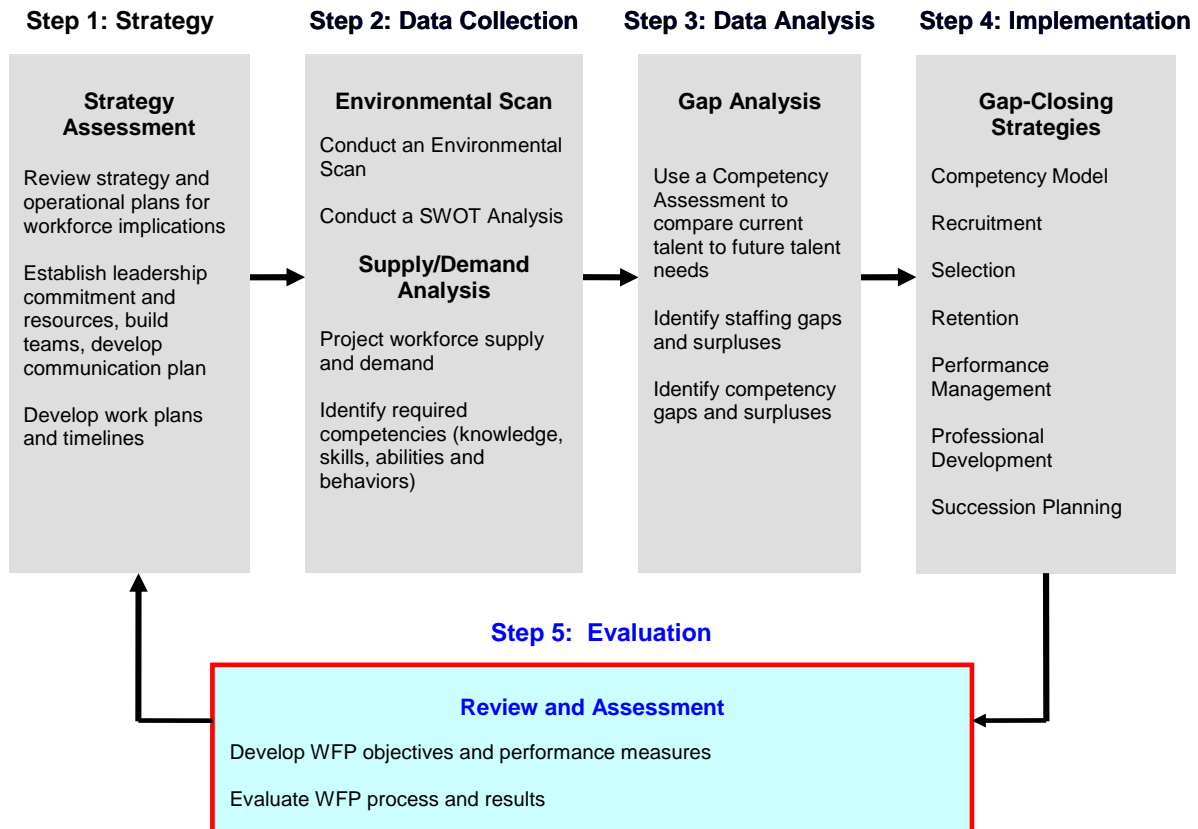
<b>Workforce Planning Evaluation – Overview.....</b>	<b>1</b>
<i>What’s in the Tool Kit?.....</i>	<i>2</i>
<i>Introduction to Workforce Planning.....</i>	<i>3</i>
<i>Introduction to WFP Evaluation .....</i>	<i>4</i>
<b>Tool 1 – Overview: Developing a WFP Evaluation Plan.....</b>	<b>6</b>
<i>Scope.....</i>	<i>6</i>
<i>Objectives.....</i>	<i>6</i>
<i>Performance Measures or Metrics.....</i>	<i>10</i>
<i>Resources.....</i>	<i>12</i>
<b>Tool 2 – Evaluating the Workforce Planning Process.....</b>	<b>13</b>
<b>Tool 3 – Evaluating Workforce Planning Results .....</b>	<b>16</b>
<i>Evaluating the Results of WFP Steps.....</i>	<i>16</i>
<i>Evaluating the Results of the Workforce Plan – the Gap-Closing Strategies .....</i>	<i>20</i>
<i>Recruitment .....</i>	<i>15</i>
<i>Employee Selection.....</i>	<i>16</i>
<i>Performance Management.....</i>	<i>17</i>
<i>Professional Development.....</i>	<i>18</i>
<i>Retention .....</i>	<i>19</i>
<i>Succession Planning .....</i>	<i>20</i>
<b>Tool 4 – Developing a <i>Lessons Learned</i> Program .....</b>	<b>28</b>

## Appendices

<b>Appendix A – OPM Workforce Planning Key Elements and Performance Indicators ..</b>	<b>31</b>
<b>Appendix B – Research Findings and Further Reading .....</b>	<b>32</b>

# Workforce Planning Evaluation – Overview

## Workforce Planning Steps



We designed this Tool Kit for public-sector and non-profit human services administrators and human resources professionals who want to take a comprehensive approach to addressing workforce issues. The information and guides in this Tool Kit can be used whether you employ an all public-sector and non-profit workforce, a contracted-out service delivery workforce, or a combination of private and public workforce. Similarly, this Tool Kit and the principles of the Workforce Planning model will work in agencies of all sizes – although you may have to modify slightly some of the concepts in a smaller organization.

The *Evaluation Tool Kit* will help you develop your strategy to measure the success of your agency’s workforce planning efforts. This Tool Kit covers Step 5 in our Workforce Planning (WFP) model, above. In this step, you’ll establish guideposts and map out an evaluation plan to measure the success of your planning efforts in order to build the workforce you need to accomplish your strategic objectives.

The *Evaluation Tool Kit* will help you:

- Monitor and review the process you used to implement your Workforce Planning strategy.
- Evaluate the success of the outcomes of each Workforce Planning step.
- Evaluate the success of the results of your Workforce Planning – your gap-closing strategies – and revise them as necessary.
- Develop a process for determining lessons learned.

### What's in the Tool Kit?

- A four-step [Evaluation Overview](#) with links to the appropriate tools.
- Instructions and hands-on tools to assist your agency in developing its Workforce Planning evaluation strategy.
- Sample Worksheets and Templates.
- Further reading and online resources.

### Evaluation Overview

To Complete This Step:	Use These Tools:
1. Identify Objectives and Performance Measures for your WFP Plan	<ul style="list-style-type: none"> <li>▪ <a href="#">Worksheet – Developing SMART Objectives</a></li> <li>▪ <a href="#">Measuring WFP Results – Sample Performance Measures</a></li> </ul>
2. Develop a plan to evaluate your WFP Process	<ul style="list-style-type: none"> <li>▪ <a href="#">Sample WFP Process Evaluation Plan – Project Management</a></li> </ul>
3. Develop a plan to evaluate the results of your WFP	<ul style="list-style-type: none"> <li>▪ <a href="#">Sample WFP Results Evaluation Plan – WFP Steps</a></li> <li>▪ <a href="#">Sample Strategy Evaluation Plan</a></li> <li>▪ <a href="#">Performance Measures for Gap-Closing Strategies</a></li> </ul>
4. Develop a process for determining lessons learned	<ul style="list-style-type: none"> <li>▪ <a href="#">Critical Questions: Lesson Learned Focus Group Meeting</a></li> </ul>



Throughout the Tool Kit, we've used this symbol to indicate the steps and tools listed in the overview table above.

## Introduction to Workforce Planning

Before walking through the process for developing an implementation and evaluation strategy for your workforce plan, it's constructive to establish a common foundation and understanding of Workforce Planning:

*Workforce Planning is the process of ensuring that an organization can achieve its mission by having the right people with the right skills in the right places at the right times.*

Operationally, Workforce Planning is a systematic process for identifying the human capital required to meet organizational goals and developing the strategies to meet these requirements.<sup>1</sup> Workforce Planning also includes the logical next step – identifying how to eliminate these talent gaps and develop the competencies needed for success.

This is particularly important in human services agencies where the introduction of new reforms, changing expectations, refocused program emphasis, new client populations, and the demand to become “outcome oriented” may require the workforce to have new and different skills and competencies.

Workforce Planning is more critical than ever today, to prepare agencies for the workforce crisis that is being created by profound demographic shifts. At the macro level, for example, there are more than 80 million baby boomers in the United States today, accounting for almost 28 percent of our nation's population. As these boomers begin to retire in large numbers, the entire nation will face a workforce crisis because there are only 40 million in the population to replace the baby boomers.

Moreover, as the nation's population and workforce increasingly diversify, agencies will need to adapt their cultures, management and human resources approaches to this diversity. The agencies that do this in a carefully planned way will succeed in attracting and retaining talent. Those that don't evolve face the very real risk of failing to achieve their mission, and their potential.

### Baby Boomers and Public-Sector Workforce Planning

The crisis of retiring “baby boomers” will hit government first because public sector workers are, on average, older than private sector workers. Plus, most public servants can retire earlier than their private sector colleagues. It is anticipated that over one million baby boomer human service workers will be eligible for retirement.<sup>1</sup> But the workforce challenge is not simply about the overall worker shortage. Many of the baby boomer retirees will be the public sector's most experienced and talented leaders. As these people leave the workforce, agencies will need to retain and transfer their knowledge. To succeed, public sector agencies must build their leadership pipelines now.

<sup>1</sup> *CPS Human Resource Services. 2006. [Workforce Planning Overview](#). See also: *CPS Human Resource Services. 2005. [Building the Leadership Pipeline in Local, State and Federal Government](#).**

<sup>1</sup> National Academy of Public Administration. May 2000. *Building Successful Organizations: A Guide to Strategic Workforce Planning*. [www.napawash.org/publications.html](http://www.napawash.org/publications.html).

It's important to keep in mind that WFP is not a one-time event; it's about developing competencies to address workforce issues over time. Agencies that commit to the development of a workforce plan will gain a thorough understanding of their current workforce and will identify the competencies that will move the agency forward. Workforce planning puts the agency "one step ahead", resulting in informed staffing decisions that benefit the agency in both the short term and long term. More importantly, it helps recognize the most effective and efficient use of employees in creating a workforce that is and will continue to be flexible and responsive.

## Introduction to WFP Evaluation

The overarching objective of evaluation is to answer the question: *"Did we accomplish what we said we were going to with the amount of resources (time, money and people) we said we were going to use to do Workforce Planning?"*

The evaluation process is a critical component of the planning process – it's important to establish the performance measures and evaluation process at the beginning of Workforce Planning. By doing so, you'll be able to assess not only whether your workforce plan is meeting its goals, but also how effective the planning process itself has been.

The Evaluation process will help you:

- Gauge the effectiveness of implementing workforce planning, strategies and actions in your organization.
- Identify WFP results.
- Summarize your accomplishments.
- Identify lessons learned.
- Make adjustments to assumptions, strategies and action plans going forward.

### **Workforce Planning: How Step 5 Fits**

In the Evaluation Step, you'll establish guideposts and map out an evaluation plan to measure the success of your Workforce Planning. Through evaluation, you'll assess not only whether the outcomes of your Workforce Planning are successful, but also how effective the actual planning process has been. Evaluation allows you to make adjustments to your assumptions and strategies, and revise the Action Plans you developed by completing WFP Steps 1-4.

## *Establishing Goals and Evaluating Results*

An integral component of your implementation Work Plan is to establish clear Workforce Planning goals and the performance measures necessary to evaluate their success. Evaluating results and making adjustments are implicit in Workforce Planning. If an organization does not systematically review the success of its Workforce Planning efforts, it runs the risk of not responding to changes that occur incrementally – from within or due to unanticipated external impacts.

The evaluation process is much easier, more comprehensive, and more accurate if you incorporate it into your workforce plan from the beginning. Establishing a Workforce Planning Steering Team whose responsibilities include developing an evaluation process will ensure that your Workforce Planning Project Team will know what it is tasked with and what will be measured.

It is as important to conduct ongoing evaluation of your Workforce Planning process as it is to conduct a SWOT, Supply and Demand and Gap Analyses before you begin implementing strategies. Agencies often jump directly to implementing gap-closing strategies without understanding their underlying workforce issues; this leads to ineffective strategies and wasted resources. Completing the SWOT, Supply and Demand and Gap Analyses is a developmental process that puts the tools in place to do ongoing planning, and action to have a high quality workforce. Conducting an evaluation of the Workforce Planning process is another step towards the same objective.

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## Tool 1 – Overview: Developing a WFP Evaluation Plan

In putting together your WFP Evaluation Plan, you will map out how you'll actually measure the success of your Workforce Planning – the success of both the *planning process itself* and the *results of the process*. To do this, you will identify:

1. The *scope* of your workforce plan.
2. The *objectives* you hope to accomplish with your workforce plan and each WFP step.
3. The *performance measures* you'll use to evaluate the success of your workforce planning process and its outcomes.
4. The *resources* you'll use to accomplish your WFP objectives.

### Scope

In developing your WFP strategic plan, you will have identified the overall scope of your WFP efforts, including:

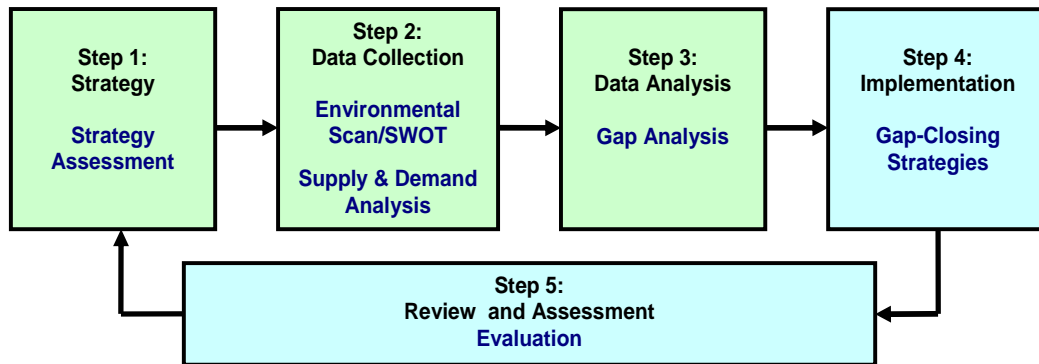
- How extensive your plan will be and how long it will take to implement. Your Workforce Planning model may be implemented agency wide, in a specific unit of your agency or for a specific job classification.
- Keeping your strategies to a manageable number and prioritize them so that you can focus your agency's resources on the most important strategies first.

### Objectives

Workforce Planning evaluation requires that you examine both the WFP *process* and the *results* of the process. The types of Workforce Planning objectives that you'll evaluate fall into these two categories.

1. **WFP Process Objectives.** These objectives largely measure the *Project Management* aspects of Workforce Planning. Examples of these include:
  - We will complete our WFP implementation within 18 months.
  - No more than two percent of the overall hours to implement the Workforce Plan will come from external/contract staff.
  - We will only use external/contract staff for WFP Step 1 – Strategic Planning.
  - Manager-level and above staff should have real-time knowledge of where they fit into WFP implementation and whether the WFP process is on track.
2. **WFP Results Objectives.** In measuring the *results* of your workforce plan, you'll examine both the results of *specific WFP steps*, and the *end results of the entire plan*. The diagram below illustrates each WFP step. In the case of Workforce Planning, the end results of the entire plan are also the results from Step 4 – Implementing your Gap-Closing Strategies.

### Workforce Planning Steps



Examples of results objectives include:

- **Strategy (Step 1):** We will integrate Workforce Planning fully into the agency's overall strategic planning process.
- **Data Collection (Step 2):** We will project staffing needs for frontline workers for the next three fiscal years.
- **Data Analysis (Step 3):** We will identify new job competencies to meet our organizational goals.
- **Gap-Closing Strategy (Step 4):** We will reduce frontline staff turnover by ten percent within one year of completing implementation of our workforce plan.
- **Gap-Closing Strategy (Step 4):** We will improve job fit among juvenile justice workers – we will train existing staff and hire new staff whose skills are better aligned with the work they actually do.



## Worksheet – Developing SMART Objectives

Thinking carefully about what you'd like to accomplish and setting SMART goals will help you develop a successful Evaluation Plan. SMART is a common acronym which describes the characteristics of effective goals or objectives including:

- S – Specific
- M – Measurable
- A – Achievable
- R – Relevant
- T – Time-bound

The tables below show examples of SMART goals for WFP Project Management and for Gap-Closing Strategies:

- **WFP Project Management Objective:** We will use external/contract staff only for WFP Step 1 – developing Strategic Plan; no more than two percent of the overall hours to implement the Workforce Plan will come from external/contract staff. Contract staff will help us complete our Strategic Plan within nine weeks of initiating WFP process.

SMART Characteristic	SMART WFP Project Management Objective	
	No	Yes
S – Specific	We will rely on internal staff for implementing most of the WFP steps.	We will use external/contract staff for WFP Step 1 only.
M – Measurable	We will limit the use of external/contract staff.	No more than 2% of total man hours necessary to implement WFP will come from external/contract staff.
A – Achievable	We will not use/plan for use of contract staff unless necessary and then only on an ad hoc, as-needed basis.	We will (plan to) use contract staff for WFP Strategic Planning.
R – Relevant	HR and upper management will conduct panel interviews to hire contract staff.	We will use external/contract staff only for WFP Step 1 – developing Strategic Plan.
T – Time-bound	The Strategic Planning will be completed first.	The Strategic Plan will be completed within nine months of initiating WFP process.

- **Gap-Closing Objective:** We will reduce frontline staff turnover by ten percent within one year of completing implementation of our workforce plan.

SMART Characteristic	SMART Gap-Closing Objective	
	No	Yes
S – Specific	Reduce turnover.	We will reduce frontline staff turnover.
M – Measurable	Reduce turnover significantly.	We will reduce frontline staff turnover by 10 percent.
A – Achievable	None of the newly-hired workers will leave the agency.	We will reduce overall frontline staff turnover by 10 percent.
R – Relevant	We will lower frontline staff turnover to below that for administrative support workers.	We will reduce frontline staff turnover by ten percent within one year of completing implementation of our workforce plan.
T – Time-bound	Reduce turnover quickly.	We will reduce turnover within 1 year of completing implementation of workforce plan.

## Performance Measures or Metrics

In evaluating *results*, it's helpful to group performance measures into three categories: *Numbers or Counts*, *Outcomes* and *Attitudes*.

Typically, organizations don't include *Attitudes* in their performance measures, but it's an important metric for gauging the success of your WFP efforts. A common method for capturing attitudes is to use surveys. Three examples include:

- Surveying your hiring supervisors each year about their experiences and attitudes about the past year's recruitment, hiring, retention, promotion, and other WFP efforts.
- Conduct an annual review of staff exit interviews to help you understand why employees leave your agency. For examples and guidelines on how to develop exit interviews, see the [Turnover Tool Kit](#).
- Conduct focus groups or staff surveys to determine changes in job satisfaction, the effectiveness of training in helping employees feel better prepared to do the job, turnover intentions, morale, etc.

The table below illustrates some examples of the four types of performance measures for monitoring the outcomes of WFP steps and Gap-Closing Strategies.



## Measuring WFP Results – Sample Performance Measures

Performance Measure Type	Performance Measures for Results of WFP Step	Performance Measures for Results of Workforce Plan (Gap-Closing Strategies)
<b>Numbers or Counts</b>	<ul style="list-style-type: none"> <li>▪ <b>Gap Analysis:</b> Number of positions in agency where a competency gap exists</li> <li>▪ <b>Strategy:</b> Number of members on WFP Team</li> <li>▪ <b>External Scan:</b> Number of sources for collecting external workforce data</li> <li>▪ <b>SWOT Analysis:</b> list of agency's top 5 strengths, weaknesses, opportunities, threats relating to the workforce</li> </ul>	<ul style="list-style-type: none"> <li>▪ Number of staff who received training</li> <li>▪ Number of new qualified applicants in the hiring pool</li> <li>▪ Number of college recruitment sessions we conducted in the 1st six months of year</li> </ul>
<b>Outcomes</b>	<ul style="list-style-type: none"> <li>▪ <b>Internal Scan:</b> IT department's capacity to provide useful WFP data/ improved data collection – develop automated workforce demographic report</li> <li>▪ <b>SWOT Analysis:</b> Able to improve agency's areas of weakness. How?</li> </ul>	<ul style="list-style-type: none"> <li>▪ Percentage reduction in unwanted turnover among frontline workers</li> <li>▪ Frontline staff better prepared to serve their clients. How?</li> <li>▪ Able to fill vacancies faster? By how much?</li> </ul>
<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ <b>Strategy:</b> Union, university partners and others feel they have a stake in WFP strategy</li> </ul>	<ul style="list-style-type: none"> <li>▪ How do staff feel about the changes we've implemented with WFP?</li> <li>▪ Do managers believe their staff are better prepared to do their jobs?</li> </ul>

For more examples of Workforce Planning performance measures by the US Office of Personnel Management, see Appendix A – OPM Workforce Planning Key Elements and Performance Indicators.

## Resources

- It's crucial to identify who will be responsible for each of your WFP outcomes, and where you'll need coordination among different parts of your organization or with different agencies.
- Identify the people and skills required and available to develop and implement your workforce plan, and for the planning process over time.
- Determine what other resources (databases, websites, structured templates, sample plans) are currently available and what you'll need to build from scratch.
- Pay close attention to technology and automation issues early in your WFP process, including defining system requirements and standardization issues. Other key automation issues you'll need to address early include:
  - Who are the users?
  - Who is going to update the database?
  - What skills will those updating the database need?
  - How often should updates be done?

## *Funding*

Implementing your Workforce Planning objectives should be an integral part of your agency's budget process. This should include dedicating the funds necessary from year to year to implement the gap-closing strategies you've identified. Workforce Planning provides a sound basis to justify budget and staffing needs.

In order to ensure that your Workforce Planning continues to be funded, you'll need to demonstrate that the benefits of WFP outweigh any costs incurred. One way to gauge how much Workforce Planning will cost is to ask other agencies what it cost them to conduct their WFP efforts.

You can also use the data and information you gather during the Assessment Phase to determine how expensive it would be to *not* implement Workforce Planning. For example, you can calculate how much unwanted turnover is costing your agency, and then determine how much it would cost to develop specific turnover-reduction strategies. By comparing the two, you'll be able to calculate a basic "return" on your Workforce Planning investment. (See the [Turnover Tool Kit](#) for more details on how to do this.)

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## Tool 2 – Evaluating the Workforce Planning Process

A large part of evaluating the process of Workforce Planning is monitoring the *Project Management* aspects of WFP implementation. This requires tracking the “who, what, where, when, how and how much” of your plan.

This kind of process evaluation is continuous and will occur at multiple levels:

1. **Overall WFP Process** – the WFP Steering Team and agency leadership along with the WFP Project Manager will monitor and evaluate the success of the overall WFP process. This is the big-picture perspective of whether Workforce Planning is moving along on time, with the right amount of resources, and within budget limits.
2. **WFP Steps** – the WFP Project Manager along with the Project Teams will monitor and evaluate how successful the processes are for completing each WFP step. They’ll report this information to the WFP Steering Team.
3. **WFP Tactics** – the Workforce Planning Sub-Teams will monitor and evaluate their processes for completing the WFP Tactics/tasks. They’ll report this to Team Leaders and the WFP Project Manager.

For each WFP Step and at each level of review, the *types* of Project Management elements you’ll be evaluating are essentially the same. These Project Management elements include monitoring:

- **Time** – Are the WFP tactics, steps, plan on schedule? Are we meeting our deadlines? How many man hours is it taking to complete each? Internal staff hours versus external contract hours?
- **Money** – Is the budget for completing WFP tactics, steps, plan adequate? Are we over budget?
- **People** – Do we have adequate numbers of staff working on implementation? Do we have staff with the right skills to complete process of implementation? Are the staff who have the skills we need available and willing to assist with implementation?
- **Other Resources/Tools** – Do we have the technology, capacity to implement WFP tactics, steps, plan?

On the following pages is a [Sample WFP Process Evaluation Plan](#) that illustrates how you can evaluate these Project Management elements. The Project Management performance measures are applicable to any WFP step and tactic.

In our sample, we use WFP Step 1 (Strategy), and the tactic of linking an agency’s strategic plan to the workforce plan. It includes some of the performance measures you might use to monitor this step.



## Sample WFP Process Evaluation Plan – Project Management

Workforce Planning Step	Tactics	Person(s) Responsible	Timetable	Status	Evaluation Level	Performance Measure by Type
<b>Develop Strategy for Implementing WF Plan</b>	<b>Link workforce plan to agency's strategic plan</b>	Steering Team & WFP Project Manager			<b>Overall WFP Process</b>	<b>Time:</b> <ul style="list-style-type: none"> <li>▪ Total man-hours to date on WFP implementation?</li> <li>▪ In-house staff hours to date?</li> <li>▪ External/contract staff hours to date? What percentage of total hours is external?</li> <li>▪ Is WFP process on schedule?</li> </ul>
						<b>Money:</b> <ul style="list-style-type: none"> <li>▪ Implementation costs to date?</li> <li>▪ Are we on budget?</li> <li>▪ Will we need to reallocate funds?</li> </ul>
						<b>People:</b> <ul style="list-style-type: none"> <li>▪ Is agency's leadership fully committed to WFP process? Have they signed off on committing the necessary funds and other resources?</li> <li>▪ Has Steering Team sent WFP Status Memo reminding all of WFP importance &amp; deadlines?</li> <li>▪ Are staff and management able to complete tasks; committed to process; meeting deadlines?</li> </ul>
						<b>Other Resources/Tools:</b> <ul style="list-style-type: none"> <li>▪ IT department assisting WFP Teams in designing/storing e-tools &amp; reports?</li> <li>▪ Have we collected, analyzed monitoring data and integrated it back into WFP implementation process?</li> </ul>

Workforce Planning Step	Tactics	Person(s) Responsible	Timetable	Status	Evaluation Level	Performance Measure by Type
<b>Develop Strategy for Implementing WF Plan</b>	<b>Link workforce plan to agency's strategic plan</b>	Steering Team and Workforce Planning Team	July-August	Started	<b>WFP Step</b>	<b>Time:</b> <ul style="list-style-type: none"> <li>Total hours to complete WFP step?</li> <li>Contract vs. in-house staff hours?</li> </ul>
						<b>Money:</b> <ul style="list-style-type: none"> <li>Total costs to complete WFP step?</li> <li>Did the step stay within the projected budget?</li> </ul>
						<b>People:</b> <ul style="list-style-type: none"> <li>Did Managers and Directors "buy in" to implementing WFP step?</li> <li>Did they meet their deadlines; provide staff with time to complete their WFP tasks?</li> </ul>
						<b>Other Resources/Tools:</b> <ul style="list-style-type: none"> <li>Are the tools we developed easily accessible and useful for future WFP efforts?</li> <li>Did we document/store what we did to complete WFP step?</li> </ul>

Workforce Planning Step	Tactics	Person(s) Responsible	Timetable	Status	Evaluation Level	Performance Measure by Type
<b>Develop Strategy for Implementing WF Plan</b>	<b>Link workforce plan to agency's strategic plan</b>	Steering Team and Workforce Planning Team	July-August	Started	<b>WFP Tactic</b>	<b>Time:</b> <ul style="list-style-type: none"> <li>Total man hours to complete WFP tactic?</li> <li>Contract vs. in-house staff hours?</li> </ul>
						<b>Money:</b> <ul style="list-style-type: none"> <li>Costs if any to develop tools; other costs to complete tactic?</li> </ul>
						<b>People:</b> <ul style="list-style-type: none"> <li>Are staff committed and directly involved in completing WFP tasks?</li> <li>Are they meeting their deadlines?</li> </ul>
						<b>Other Resources/Tools:</b> <ul style="list-style-type: none"> <li>Did we develop any WFP tools to complete this tactic?</li> <li>Save/make accessible these tools?</li> </ul>

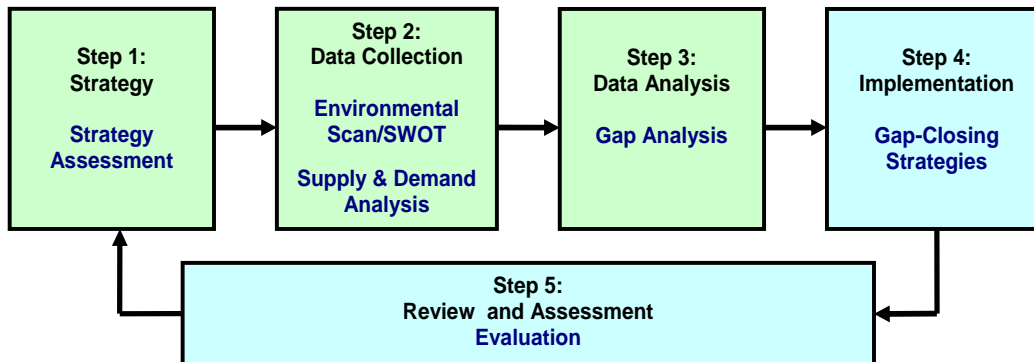
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## Tool 3 – Evaluating Workforce Planning Results

### Evaluating the Results of WFP Steps

It's important to evaluate the success of results of each step within the Workforce Planning process. By doing so, you'll be able to make assessments in real time about what changes to make, and to apply corrections quickly – well before the workforce plan is fully implemented.

#### Workforce Planning Steps



In the [Sample WFP Results Evaluation Plan](#), we selected some sample objectives for the WFP steps (see diagram above), and illustrate some performance measures useful for monitoring the success of the objective. You can group these performance measures into the three categories we introduced in Tool 1: *Numbers*, *Outcomes* and *Attitudes*.

The Results Evaluation Plan is based on a portion of the [WFP Implementation Work Plan](#) developed in [Step 1: Strategy](#).



## Sample WFP Results Evaluation Plan – WFP Steps

Tactic/Objective	Person(s) Responsible	Timetable	Status	Performance Measures (Evaluation)
<b>WFP Step 1: Develop Strategy for Implementing WF Plan</b>				
Build WFP Steering Team by September to include key leaders from required departments with required skills/time to manage WFP implementation.	Agency's Executive Team	September 2006	Completed	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> Agency has created the Steering Team.</li> <li>▪ <b>Outcome:</b> Members appointed an Executive Sponsor and accepted nominations for the Workforce Planning Steering Team</li> </ul>
Link workforce plan to agency's strategic plan	Steering Team and Workforce Planning Team	October 2006	Completed	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> Agency's strategic plan includes language on the connection between strategic plan and workforce plan</li> <li>▪ <b>Attitude:</b> Leadership has committed funds, resources to WFP implementation</li> <li>▪ <b>Outcome:</b> Steering Team has approved the Workforce Planning Team's plans based on agency's strategic plan</li> </ul>
<b>WFP Step 2: Conduct Internal/External Environmental Scan</b>				
Assess current workforce: gather demographic data from payroll and HRIS systems.	HR Director, IT Director	December 2006	Completed	<ul style="list-style-type: none"> <li>▪ <b>Number/Count:</b> Complete list of fields for demographic data (gender, age, years of service, etc.) for current workforce.</li> <li>▪ <b>Outcome:</b> IT dept has generated specified reports or provided access to Team to gather data</li> </ul>
Develop robust method for producing and maintaining updated reports on workforce demographics.	HR Director, IT Director	On-going	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> User-friendly access to HR information and ability to generate up-to-date reports on specified demographics</li> </ul>
<b>WFP Step 2: Conduct SWOT Analysis</b>				
Identify organization's strengths, weaknesses, opportunities, and threats	SWOT Project Manager and Sub-Team	February 2007	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> A comprehensive list of the organization's strengths, weaknesses, opportunities, and threats relating to the workforce</li> </ul>
Establish priorities and develop plan to address weaknesses and threats	SWOT Project Manager and Sub-Team	February 2007	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> A list of the organization's top 5 strengths, weaknesses, opportunities, and threats relating to the workforce</li> </ul>

Tactic/Objective	Person(s) Responsible	Timetable	Status	Performance Measures (Evaluation)
<b>WFP Step 2: Conduct Supply/Demand Analysis</b>				
Conduct Division Surveys – collect internal data about projected resource requirements – by February.	Supply/Demand Project Manager and Sub-Team	February 2007	Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> All Division Surveys received</li> </ul>
Analyze turnover data	Supply/Demand Project Manager and Sub-Team	March 2007	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> Turnover reports including specified fields completed by IT on quarterly basis</li> </ul>
<b>WFP Step 3: Conduct Gap Analysis and Identify Gap-Closing Strategies</b>				
Conduct a Staffing Assessment	Supply/Demand Project Manager and Sub-Team	March 2007	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> List of the positions where agency has a staffing gap</li> </ul>
Conduct a competency Assessment	Supply/Demand Project Manager and Sub-Team	March 2007	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> List of competencies where agency has competency gaps</li> </ul>
Based on competency gap assessment, develop a competency model for child welfare worker	HR Director and Gap-Closing Implementation Sub-Team	April 2007	Not Started	<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> Competency model for child welfare worker completed, including plans for recruitment, performance management and professional development</li> </ul>

The Results Evaluation Plan doesn't represent a complete list of Objectives and Performance Measures. However, the questions below will help you determine whether the tactics you used to accomplish your objectives produced the desired results.

### *Step 1: Develop Strategy*

- Is Workforce Planning fully integrated into the agency's overall strategic planning process?
- Is agency's leadership fully committed to workforce planning?
- Does agency's leadership understand the relationship between strengthening the workforce and achieving the agency's strategic objectives?
- Does agency's top leadership understand what it must do to support and strengthen the workforce?
- Does agency's top leadership take workforce issues into account when embarking on a new initiative or program change?
- Have we involved the union, university partners, and other stakeholders in our Workforce Planning strategy?

### *Step 2: Data Collection*

- Environmental Scan: Did the internal and external scans provide a sound foundation for our workforce planning process?
- Did our environmental scans provide us with useful information? If not, why not?
- Did the SWOT analysis help build on the organization's strengths and overcome the weaknesses and threats?
- Were we aware of our organizational strengths and opportunities so that we could capitalize on them to their fullest extent?
- Did the SWOT analysis provide us with useful information?
- Were our supply and demand projections accurate?
- If our projections were inaccurate, what was the reason? What did we miss? Or fail to anticipate?
- Was our workforce planning process compromised (i.e., delayed, derailed, etc.) by organizational weaknesses or external threats that we hadn't prepared for?
- Did we spend time gathering information we didn't use or need?
- Did we fail to gather information that would have been useful?
- Of the external data we collected, what was most useful?
- Did the "internal" environmental scan provide us with useful information?
- Of the internal data we collected, what was most useful?
- What information was most helpful to our WFP process?
- Did we make effective use of all the information we gathered through the SWOT analysis?

- Did we face barriers (i.e., IT systems, staff time, raw data, etc) in collecting the data we needed?
- Did we take steps to make the data collection process easier for “the next time around?”

### *Step 3: Data Analysis*

- Did we identify the “right” competencies for staff?
- Did the process we used to identify competencies work well?
- Did we identify the “right” competencies for staff?
- Did the process we used to identify competencies work well?
- Supply/Demand and Gap Analysis: Did we accurately project our staffing needs? Have we identified the right competencies to meet our organizational goals?
- Did we accurately forecast gaps/surpluses for each classification that we reviewed?
- Were our forecasts for staffing gaps/surpluses accurate? If not, why?
- Did we appropriately identify the competency gaps/surpluses for each classification that we reviewed?
- Did we appropriately integrate the information gathered during the environmental scan and SWOT analysis into our overall Gap Analysis?
- Did we make the time and resources available for a thorough analysis?

## **Evaluating the Results of the Workforce Plan – the Gap-Closing Strategies**

Each Gap-Closing Strategy implemented by your agency is intended to address one or more issues identified in the earlier steps of the Workforce Planning process. However, unless you are able to evaluate the results of each strategy, you will not know with certainty if your approach is actually accomplishing what you intended.

In the [Sample Strategy Evaluation Plan](#) we use an example of a specific Gap-Closing Strategy and illustrate some performance measures useful for monitoring the results. We grouped the performance measures into the three categories we introduced in Tool 1: *Numbers*, *Outcomes* and *Attitudes*. In addition, we added the Project Management measure of *Cost* to illustrate how you can measure the financial impact of the strategy.

The Sample Strategy Evaluation Plan is based on a portion of the [Sample Action Plan](#) developed in [WFP Step 1: Strategy](#).



## Sample Strategy Evaluation Plan – Evaluating Results of a Specific Gap-Closing Strategy

<b>Key Challenge</b>	<ul style="list-style-type: none"> <li>▪ Agency has not been able to consistently keep all child welfare vacancies filled. Also projects a huge surge (33 positions) of new positions needing to be filled immediately following budget authorization.</li> <li>▪ The current workforce shows deficiencies in the critical competencies of Adaptability, Collaboration and Communications (specifically writing skills).</li> </ul>		
<b>Action Plan Goal(s)</b>	<ol style="list-style-type: none"> <li>1. <b>Improve recruitment process so that there is a larger and better-qualified applicant pool.</b></li> <li>2. Validate the competencies critical for the Child Welfare Caseworker. Preliminary identification of competencies completed during Supply/Demand Analysis.</li> <li>3. Strengthen selection process in order to select highly qualified employees.</li> <li>4. Address competency deficiencies by introducing new performance management system.</li> </ol>		
<b>Executive Sponsor or Department Director</b>		<b>Date</b>	

Action Strategies How will we address our key challenges?	Tactics/Tasks Required Specifically, how will the strategy/objective be accomplished? List the individual steps needed to achieve the goal	Person(s) Responsible Identify who is responsible to see that each task is completed	Additional Resources Identify any additional resources that are needed to complete the task	Timetable Specify when each task will be completed	Status Not Started Started Completed	Performance Measures/Milestones What measure will we use to determine successful completion of action items?
<b>1) Improve recruitment process to attract more and better-qualified applicants to have a better pool from which to select new employees.</b>	Implement online recruiting	Recruitment/ Selection Specialist				<ul style="list-style-type: none"> <li>▪ <b>Number:</b> Increase no. of total applicants by X per vacancy</li> <li>▪ <b>Number:</b> At least four qualified applicants (w/ required degrees) for each vacancy</li> <li>▪ <b>Outcome:</b> Length of time to fill vacancies reduced by 3 weeks</li> </ul>
	Partner with local School of Social Work to develop Stipend Program	HR Director				<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> Stipend program developed and implemented.</li> <li>▪ <b>Cost:</b> Cost per hire reduced by x % for Stipend Program employees who stay at least 1 year</li> </ul>
	Develop/implement strategy for campus recruitment/job fairs	Recruitment/ Selection Specialist				<ul style="list-style-type: none"> <li>▪ <b>Number:</b> Attract X number of new graduates as applicants</li> <li>▪ <b>Number:</b> Attend x number of campus recruitments next year</li> </ul>
	Train supervisors and employees on the new process.	Assistant HR Director				<ul style="list-style-type: none"> <li>▪ <b>Outcome:</b> Training completed</li> <li>▪ <b>Outcome:</b> Length of time to fill vacancies reduced by 3 weeks</li> </ul>



## Performance Measures for Gap-Closing Strategies

The tables below identify types of performance measures useful for evaluating the primary WFP Gap-Closing Strategies: [Recruitment](#), [Selection](#), [Performance Management](#), [Professional Development](#), [Retention](#) and [Succession Planning](#). We grouped the performance measures into the three categories we introduced in Tool 1: *Numbers*, *Outcomes* and *Attitudes*. In addition, we added the Project Management measure of *Cost* to illustrate how you can measure the financial impact of the strategy.

### Recruitment

Objective	Type of Performance Measure	Performance Measure
Improve recruitment strategy attract more and better-qualified applicants so that you have a better pool of applicants from which to select new employees.	<b>Numbers/Counts</b>  To the extent possible, it is best to compare the numbers/quality of applicants both before and after you've implemented your recruitment strategy/s.	Numbers from pre- & post-implementation: <ul style="list-style-type: none"> <li>▪ The number of applicants per month</li> <li>▪ The number of applicants per month possessing specific degrees desired by your agency such as a MSW, BSW, or degree in Criminal Justice.</li> <li>▪ The number of applicants with a specific type of experience</li> <li>▪ The number (or percentage) of applicants "screened" into the interview process</li> <li>▪ Qualified applicants per vacancy</li> <li>▪ The number of job fairs attended</li> </ul>
	<b>Outcomes</b>	<ul style="list-style-type: none"> <li>▪ Reduced length of time to fill a vacancy</li> <li>▪ New employees are a "better fit" for the job (survey new employees six months after hire, and compare job-satisfaction survey results of those hired before and after the intervention).</li> <li>▪ New employees are less likely to leave the job within the first year (compare retention rates for one year between groups of employees hired before and after the intervention.)</li> </ul>
	<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Compare recruitment costs (advertising, job fairs, salary of recruiters, etc.) per applicant (or per qualified applicant) before and after intervention. NOTE: Although total costs may increase after the intervention, the cost per qualified applicant may decrease.</li> <li>▪ Identify the relationship, if possible, between recruiting better applicants and reduced turnover (and therefore reduced recruitment costs).</li> <li>▪ If using a "stipend program" compare the turnover/retention data of those receiving the stipend and those who are not. (Calculating the cost of one turnover is important to this analysis – see the <a href="#">Turnover Tool Kit</a> for methodology for calculating turnover costs.)</li> </ul>
	<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ Survey hiring supervisors to determine if applicant pool has improved or not.</li> <li>▪ Survey newly hired employees to determine if they are satisfied with the job or otherwise a "good fit."</li> </ul>

## Employee Selection

Objective	Type of Performance Measure	Performance Measure
Implement competency-based selection strategy to select and retain employees who have the experience and competencies to excel on the job.	<b>Numbers/Counts</b>	<ul style="list-style-type: none"> <li>▪ Number of employees hired</li> <li>▪ Track the race, ethnicity, gender, age, and disability status of new hires to determine if you are hiring a more diverse workforce.</li> </ul>
	<b>Outcomes</b>	<ul style="list-style-type: none"> <li>▪ Determine whether newly hired employees are providing better client service               <ul style="list-style-type: none"> <li>• After employees hired under the new process have enough experience to become fully functional, select a sample of employee hired under the old process and a sample hired under the new process.</li> <li>• Compare the two groups of employees based on objective measures such as timeliness standards in completing investigations.</li> <li>• Compare the annual performance evaluations of the two groups. (see <a href="#">Tomorrow's Vacancies – Today's Priority</a>)</li> </ul> </li> </ul>
	<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Compare the cost of hiring a new employee under the new process with the cost of hiring under the old process. (see <a href="#">Tomorrow's Vacancies – Today's Priority</a>)</li> <li>▪ Determine the cost-benefit of the new hiring process. If the new hiring process results in lower turnover, compare the per-hire cost with the savings from reduced turnover. If you can place a dollar value on the improved quality of new hires, it can be compared with per-hire costs.</li> </ul>
	<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ Ask supervisors and managers involved in the hiring process if they believe the new process results in hiring better qualified employees.</li> <li>▪ Survey supervisors to determine their satisfaction with new hires</li> <li>▪ Survey the staff that provides new-worker training to see they observe a difference between the employees coming through training hired under the new process as contrasted with the old process.</li> </ul>

## Performance Management

Objective	Type of Performance Measure	Performance Measure
Implement competency-based performance management process to improve employee performance by clearly articulating what is expected of employees, providing constructive feedback, and formulating development plans for continuous growth.	<b>Numbers/Counts</b>	<ul style="list-style-type: none"> <li>▪ The percentage of employee evaluations completed on time</li> <li>▪ Measure the average evaluation score (e.g., if using a 1 to 5 scale to evaluate performance on competencies) for all employees (by work unit, by office, department-wide) over time.</li> </ul>
	<b>Outcomes</b>	<ul style="list-style-type: none"> <li>▪ Determine if employee objectives are aligned with agency's strategic outcomes</li> <li>▪ Are agency-driven objectives (e.g., reducing the average length of stay in foster care) improving over time? Note: We acknowledge the difficulty of isolating the impact of one variable on such outcome measures. Such outcome measures will be the result of hiring better employees, better training, improved policy, enhanced automation systems, etc.</li> </ul>
	<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Determine the cost of implementing the new performance system.</li> <li>▪ Determine the cost/benefit of specific performance-management interventions, such as a "pay-for-performance" system (See <a href="#">Performance Pays</a>)</li> </ul>
	<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ Survey supervisors to determine their views about the new performance evaluation system. Is it measuring the right things? Does it facilitate providing constructive feedback to employees?</li> <li>▪ Survey employees to determine their views about the new performance evaluation system.               <ul style="list-style-type: none"> <li>• Do they see the connection between their objectives and the agency's strategic direction</li> <li>• Do they feel they better understand what's expected of them?</li> <li>• Do they understand how feedback on the competencies allows them to develop themselves?</li> <li>• Do they see the value in having an Individual Development Plan (IDP)?</li> </ul> </li> </ul>

## Professional Development

Objective	Type of Performance Measure	Performance Measure
Implement competency-based professional development strategy to provide developmental resources and opportunities to employees – consistent with their Individual Development Plans – in order to strengthen their current performance and future potential.	<b>Numbers/Counts</b>	<ul style="list-style-type: none"> <li>▪ The number of developmental resources made available to strengthen each competency (e.g., the number of new books, videos, web-based courses, training courses)</li> <li>▪ The number of employees creating <a href="#">an Individual Development Plan (IDP)</a></li> </ul>
	<b>Outcomes</b>	<ul style="list-style-type: none"> <li>▪ The number of employees using learning resources (books and videos checked out of the learning library) participating in classes (both web-based and classroom)</li> <li>▪ The number of employees successfully completing their IDPs</li> <li>▪ Tracking the performance evaluation scores by competency area of a sample of employees who focused on those competencies in their IDPs in prior years.</li> </ul>
	<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Per-participant cost for web-based courses</li> <li>▪ Per-participant cost for classroom training</li> </ul>
	<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ Participant evaluations after the completion of specific courses</li> <li>▪ Participant evaluation of books, videos and other learning resources</li> <li>▪ Survey employees and supervisors to determine if appropriate learning resources are available to meet needs identified in IDPs.</li> </ul>

## Retention

Objective	Type of Performance Measure	Performance Measure
Implement competency-based retention strategy as a multifaceted approach to retain high-performing employees who have the experience and competencies to excel on the job.	<b>Numbers/Counts</b>  see <a href="#">Turnover Tool Kit</a> for examples of turnover	<ul style="list-style-type: none"> <li>▪ The number of employees who leave the agency during the year</li> <li>▪ The annual turnover rate (the number of employees who leave during the year divided by the average number of employees on the payroll during the year)</li> <li>▪ The turnover rate of employees during the first year of employment</li> <li>▪ Number/percentage of employees by years-of-service intervals (e.g., Less than 1 year, 1 to 3 years, 3 to 5 years, 5 to 10 years, etc.)</li> </ul>
	<b>Outcomes</b>	<ul style="list-style-type: none"> <li>▪ Tracking turnover rates over time</li> <li>▪ Tracking retention rates over time</li> <li>▪ Measuring the impact of a specific turnover-retention intervention such as a Realistic Job Preview (RJP) (See the <a href="#">RJP Tool Kit</a>)               <ul style="list-style-type: none"> <li>• Determine impact of RJP on decision to applicant decisions to continue with the application process</li> <li>• Determine impact of RJP on “early turnover”</li> </ul> </li> </ul>
	<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Determine the cost of employee turnover (See <a href="#">Turnover Tool Kit</a>)</li> <li>▪ Determine the cost effectiveness of specific turnover-reduction interventions (See example of the cost-benefit analysis in the <a href="#">RJP Tool Kit</a>)</li> </ul>
	<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ Conduct employee attitude survey to determine if retention strategies are having an impact on job satisfaction.</li> <li>▪ Conduct survey to determine if RJP had an impact on job satisfaction and turnover intention. (See <a href="#">RJP Tool Kit</a>)</li> </ul>

## Succession Planning

Objective	Type of Performance Measure	Performance Measure
Implement competency-based succession planning strategy to develop a pool of high-potential employees and managers who will be capable of stepping into higher level positions as middle- and upper-level managers leave their positions.	<b>Numbers/Counts</b>	<ul style="list-style-type: none"> <li>▪ The number of employees who are given enhance development opportunities as part of the succession planning process.</li> <li>▪ The number any types of developmental opportunities offered under the succession planning program (e.g., training, job-rotations, developmental assignments, etc.)</li> <li>▪ The number of middle/upper management jobs filled by participants in the succession planning process.</li> </ul>
	<b>Outcomes</b> (See <a href="#">Leadership Pipeline</a> )	<ul style="list-style-type: none"> <li>▪ Compare the number of promotions received by those participating in the succession planning program with a control group</li> <li>▪ Compare the average salary increase of those participating in the succession planning program with a control group</li> <li>▪ Using a 360 performance assessment tool, evaluate the competencies of the succession-planning program participants both before and after participation in the program.</li> </ul>
	<b>Costs</b>	<ul style="list-style-type: none"> <li>▪ Determine the cost of the Succession-planning program</li> <li>▪ Determine per-participant costs</li> <li>▪ Compare program and/or per-participant costs to the cost of an “outside recruitment” to fill an upper-management vacancy</li> </ul>
	<b>Attitudes</b>	<ul style="list-style-type: none"> <li>▪ Survey participants about the value of the succession planning program</li> <li>▪ Survey all employees to determine their views about the program (e.g., value of the program, fairness of the program, etc.)</li> </ul>

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## Tool 4 – Developing a *Lessons Learned* Program

Every project your agency undertakes demands substantial concentration and focus, creativity in problem solving, and a wide range of practical skills. However, unless your agency makes a specific effort to retain the knowledge and experience learned on one project, much of the value will be lost. Establishing a *lessons learned* process will help your agency learn from its mistakes and apply new knowledge and experience to other projects.

A WFP *lessons learned* program can be as simple as having your Executive Sponsor conduct focus group meetings with the Steering Team and the Workforce Planning Project Team. Your Sponsor can prepare a written report from the results of the meetings to share with the rest of the agency.

### ➤ Tip:

#### **Conducting Successful *Lessons Learned* Focus Group Meetings**

- Send focus group questions to participants in advance of the meeting to allow them to prepare for the meeting.
- Ensure that all participants understand that the focus group meetings will not be “blame storming” sessions.
- Remind participants that the meetings are an honest attempt to learn from the mistakes made in the WFP process, and to identify transferable successes.
- Remind participants that everyone makes mistakes and that as a learning agency your goal is to improve your WFP skills.

On the next two pages you’ll find a set of critical questions for a WFP lessons learned focus group meeting ([Critical Questions: Lesson Learned Focus Group Meeting](#)). Also, you’ll find tips and templates for conducting meetings in the [Environmental Scan and SWOT Analysis Tool Kit](#).



## Critical Questions: *Lesson Learned* Focus Group Meeting<sup>2</sup>

1. What did we do right?
2. What things mattered the most on this project?
3. What things surprised us on the project that weren't in our plan?
4. What things did we anticipate happening that didn't?
5. Where could we improve?
6. What mistakes did we successfully avoid making?
7. What should we experiment with on our next workforce planning project?

<sup>2</sup> From Dobson, Michael S. 2003. *Streetwise Project Management: How to Manage People, Processes, and Time to Achieve the Results you Need*. Avon, MA: Adams Media Corporation.

8. What did we learn by doing workforce planning?
9. What could we automate or simplify that we do repetitively in workforce planning?
10. What other value could we extract from the workforce planning project?
11. What skills did we need that were missing on this project?
12. What skills do we anticipate we will need to continue to improve our workforce planning process?
13. What value did we get from a formal workforce planning process?
14. What value did we not get from the formal workforce planning process that we could strive for next time?

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## Appendix A – OPM Workforce Planning Key Elements and Performance Indicators<sup>3</sup>

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<sup>3</sup> US Office of Personnel Management. HCAAF Resource Center.  
[www.opm.gov/hcaaf\\_resource\\_center/3-4.asp](http://www.opm.gov/hcaaf_resource_center/3-4.asp)  
*Workforce Planning: Key Elements and Suggested Performance Indicators.*  
[www.opm.gov/hcaaf\\_resource\\_center/assets/sa\\_wp\\_kepi.pdf](http://www.opm.gov/hcaaf_resource_center/assets/sa_wp_kepi.pdf)

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's workforce planning system includes a workforce analysis process that:</i>	
<ul style="list-style-type: none"> <li>• Identifies mission-critical occupations and competencies essential to achieving strategic goals</li> <li>• Analyzes current strengths and weaknesses regarding mission-critical occupations and competencies</li> <li>• Identifies competency gaps and deficiencies, including current and future competency needs and losses due to voluntary attrition</li> <li>• Systematically defines the size of the workforce needed to meet organizational goals</li> <li>• Uses workforce planning reports and studies in conjunction with the best practice benchmarks to determine the most effective work levels, workloads, and resources for efficient functioning</li> <li>• Bases decisions related to restructuring, redeployment, and reorganization on current empirical and workforce analysis</li> <li>• Conducts risk assessments to minimize adverse impacts on workforce due to restructuring</li> <li>• Documents and assesses key supporting functions of all business areas</li> <li>• Regularly evaluates customer/citizen needs and incorporates these needs into workforce plans, organizational goals, and functions</li> </ul>	<p><b><u>Effectiveness Indicators</u></b></p> <ul style="list-style-type: none"> <li>• Studies indicate which occupations and competencies are essential to achieving the agency's strategic goals.</li> <li>• Mission-critical occupations and competencies are identified in the agency's strategic plan and/or performance plan, and its strategic human capital plan.</li> <li>• A methodology exists for determining mission-critical occupations and competencies based in part on professional qualifications (e.g., certifications, licenses).</li> <li>• Trends in mission-critical occupations are analyzed in terms of the following suggested factors in order to continually adjust the agency's recruitment and retention strategy to its current state of need: <ul style="list-style-type: none"> <li>– Number and distribution of positions by pay plan/grade or pay band/series and geographic location</li> <li>– Average age</li> <li>– Average length of service</li> <li>– Diversity trends</li> <li>– Average grade/band</li> <li>– Retirement eligibility (current and expected)</li> <li>– Turnover (e.g., separations, resignations, transfers, retirements)</li> <li>– Surpluses in occupations and competencies.</li> </ul> </li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's workforce planning system includes a workforce analysis process that:</i>	<ul style="list-style-type: none"> <li>• Competency and/or staffing models have been developed and there is analysis of gaps between the current and desired competencies for mission-critical occupations.</li> <li>• Documentation indicates workforce analysis occurs on a periodic basis and is used to drive human capital policy and decisions.</li> <li>• The agency uses a documented, systematic strategic workforce planning process that addresses the following issues: <ul style="list-style-type: none"> <li>– The link to the agency's strategic plan and the strategic human capital plan</li> <li>– The link to the agency's annual performance/business plan</li> <li>– Work activities required to carry out the goals and objectives of the strategic plan (long term) and performance plan (short term)</li> <li>– How to structure the organization (e.g., determine what must be done for continuance of Government operations, determine necessary layers, streamline functions, consolidate organizational elements) and its work processes/workflow to carry out work activities</li> <li>– How to continually update the process to reflect mission changes, technology advances (e.g., e-Government), funding levels, competitive sourcing, and other change drivers</li> <li>– Analysis and assessment of the current workforce (e.g., skills, demographics, attrition) to meet long-term and short-term goals and objectives</li> </ul> </li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's workforce planning system includes a workforce analysis process that:</i>	<ul style="list-style-type: none"> <li>– Workforce analysis including indicators such as size and distribution of workforce (including Senior Executive Service (SES)) by grade, series, geographic locations, types of positions occupied, pay plan, veteran representation, etc.</li> <li>– How to develop current employees, recruit to fill long-term and short-term goals, and provide for continuity of leadership through succession to key positions</li> <li>– How to minimize the adverse impact on the workforce in restructuring the organization and its work processes.</li> <li>• The agency uses multi-faceted techniques to close competency gaps within the organization (e.g., strategic recruitment, mid-career hiring, training).</li> <li>• The agency conducts regular assessment of its need for, and deployment of, executive resources.</li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<p><i>The agency's workforce planning system includes a workforce analysis process that:</i></p> <ul style="list-style-type: none"> <li>• Forecasts future business changes in the work of the agency and how the changes will affect the workforce</li> <li>• Regularly tracks established performance measures, workforce trends, and technological advances to ensure updated models for meeting citizen and organization needs.</li> </ul>	<p><b><u>Effectiveness Indicators</u></b></p> <ul style="list-style-type: none"> <li>• Line managers and key staff, including HR, consider and prepare for possible workforce changes in areas such as mission/goals, technology, program additions or deletions, functions, and outsourcing initiatives.</li> <li>• The agency's strategic plan and/or performance plan and its strategic human capital plan reflect forecasts of the human capital implications of future business plans, including expectations and trends concerning: <ul style="list-style-type: none"> <li>– Future workload and staffing needs</li> <li>– Workforce demographics in mission-critical occupations</li> <li>– Changing competency requirements</li> <li>– Industry benchmarking for similar occupations</li> <li>– Availability of competencies within applicable labor markets.</li> </ul> </li> <li>• The forecast is shared widely and used within the agency by those who are responsible and accountable to meet human capital needs.</li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<p><i>The agency's workforce analysis process is based on sources of information such as:</i></p> <ul style="list-style-type: none"> <li>• Current workforce demographic and competitive sourcing studies</li> <li>• Descriptive and documented plans and processes for hiring, recruiting, employment, and retention efforts</li> <li>• Past agency assessments and workforce data</li> <li>• Information about anticipated changes related to e-Government and competitive sourcing, goals, and objectives.</li> </ul>	<p style="text-align: center;"><b><u>Effectiveness Indicators</u></b></p> <ul style="list-style-type: none"> <li>• Information systems are in operation which provide human capital data to all appropriate management levels to guide planning, analysis, and decision making. Data integrity is maintained through quality control checks.</li> <li>• The agency conducts and uses management studies to: <ul style="list-style-type: none"> <li>– Eliminate work and interfaces that add no value</li> <li>– Assess the organization's deployment strategies, including identification of situations where competitive sourcing is the most appropriate means to meet their strategic objectives.</li> </ul> </li> <li>• Staffing data showing trends in appointments, promotions, conversions, separations, and retirements are analyzed regularly, and management decisions regarding workforce deployment are based on documented data.</li> <li>• Turnover indicators (e.g., transfers, retirements, and separations in each of the last several years, overall, and by professional, administrative, technical, clerical, and other occupations) are monitored regularly.</li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's workforce planning system includes an organizational structuring process that:</i>	
<ul style="list-style-type: none"> <li>• Utilizes functional analysis to determine appropriate organizational and physical structure</li> <li>• Clearly organizes the agency staffing plan by workflow, organizational initiative, and functional area</li> <li>• Anticipates change in citizen needs by continuously monitoring the evolution of needs, trends, and events affecting workforce planning</li> <li>• Avoids excess organizational layers</li> <li>• Reduces redundant operations</li> <li>• Analyzes internal workforce statistics (e.g., ratio of managers to workforce, distribution of workforce), data, and trends to make the most efficient choices for workforce deployment.</li> </ul>	<p><b><u>Effectiveness Indicators</u></b></p> <ul style="list-style-type: none"> <li>• Documentation of analyses of organizational functions shows review, planning, design, and, if applicable, implementation and outcome of efforts to realign the workforce.</li> <li>• Functional analyses and data analyses result in specific targets for workforce redeployment, which are reflected in the strategic human capital plan and the workforce plan.</li> <li>• The benefits of proposed changes to the structure and/or the workforce mix are quantified and incorporated into the budget submissions.</li> <li>• Duplications in support areas such as communications, legislative affairs, budget, and personnel and/or duplications in program areas are reduced and programs are streamlined and consolidated wherever possible.</li> <li>• Analysis of data includes statistics such as ratio of administrative jobs (e.g., administrative officer, budget analyst, budget clerk, management analyst, personnel clerk, personnel professional, support services specialist) to the workforce, distribution of administrative jobs by organizational component and geographic location, and trends in numbers and proportions of administrative jobs.</li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's workforce planning system includes an organizational structuring process that:</i>	
	<ul style="list-style-type: none"> <li>• A model organization has been developed that:                             <ul style="list-style-type: none"> <li>– Reflects the numbers of employees needed and their appropriate skill and grade or pay band/level mix</li> <li>– Identifies key leadership positions</li> <li>– Includes specific recruiting and training/development activities.</li> </ul> </li> </ul> <p><b><u>Compliance Indicator</u></b></p> <ul style="list-style-type: none"> <li>• The agency appropriately applies pertinent regulations and statutes to group or individual deployment-related actions as specified in the Talent Management system (Voluntary Early Retirement Authority (VERA), Voluntary Separation Incentive Payments (VSIP), Transfer of Function (TOF), etc.).</li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's organizational structuring process demonstrates that it:</i>	
<ul style="list-style-type: none"> <li>• Includes statistics regarding number of supervisors, their series and grade/pay band, geographic location, and ratio of supervisors to employees</li> <li>• Obtains the mix of supervisory and non-supervisory positions to best meet customer needs</li> <li>• Documents the need for redirecting supervisory positions and the planned program design and assessment for the implemented changes</li> <li>• Addresses impediments to restructuring by analyzing solutions found within the current environment</li> <li>• Uses a documented change management strategy.</li> </ul>	<p><b><u>Effectiveness Indicators</u></b></p> <ul style="list-style-type: none"> <li>• Analysis of data includes statistics related to the number of supervisors, their geographic and organizational location, their series and grades/pay bands, the ratio of supervisors to employees, percent of supervisors in grades GS-12-15 or equivalent, etc.</li> <li>• Supervisory needs are clearly tied to the workflow process and the organizational structure resulting in a staffing plan that indicates the necessary number of supervisors by functional area.</li> <li>• The agency has documented the need to redirect supervisory positions, designed and implemented a program to support their redeployment, and developed an evaluation process to determine if the anticipated outcomes are being achieved.</li> <li>• Impediments are identified and solutions to overcome impediments within the current environment (e.g., title 5 and/or other appropriate systems) are identified and documented.</li> <li>• Through consultation with the Office of Personnel Management (OPM), the agency makes a sound business case for any waivers, exemptions, or regulatory or legislative relief needed to overcome barriers.</li> <li>• The agency has a documented change management strategy, where appropriate, to overcome barriers and facilitate restructuring/culture change efforts.</li> <li>• The agency's restructuring, redeployment, and reorganization decisions are substantiated with empirical evidence.</li> </ul>

<b>WORKFORCE PLANNING</b>	
<b>KEY ELEMENTS</b>	<b>SUGGESTED PERFORMANCE INDICATORS</b>
<i>The agency's organizational structuring process demonstrates that it:</i>	
	<ul style="list-style-type: none"> <li>• Agency records indicate that, during restructuring, redeployment, and reorganizing, operational disruption is minimized through the use of:               <ul style="list-style-type: none"> <li>– Effective internal and external communication plans</li> <li>– Retraining</li> <li>– Reassignment</li> <li>– Placement assistance</li> <li>– Relocation allowances</li> <li>– VERA and VSIP where appropriate.</li> </ul> </li> </ul>

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## Appendix B – Research Findings and Further Reading

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