# State of Washington
# Human Resource Management Report

## Statewide Rollup
## October 2010 Reporting Period
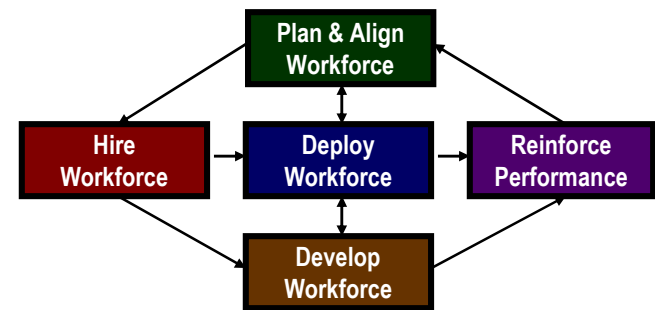
Plan & Align Workforce

Hire Workforce

Deploy Workforce

Reinforce Performance

Develop Workforce

**HR**
State of Washington

# ABOUT THIS REPORT

The **Statewide HR Management (HRM) Report** includes enterprise-level measurements, comparisons, and analysis (including analysis of agency-level reports).  It is based on a roll-up of the agencies' annual HRM Reports that are submitted to the Department of Personnel.  Based on these findings, the Governor, Cabinet, and Department of Personnel identify successes, challenges, and strategies to improve state government workforce management.

"Statewide" refers to the Executive Branch of government only.  It does not include Legislative, Judicial, or Higher Ed agencies.  For measure information that is obtained from agency HRM Reports, "Statewide" refers only to those 36 Executive Branch agencies with more than 100 employees who are required to submit an annual HRM Report.
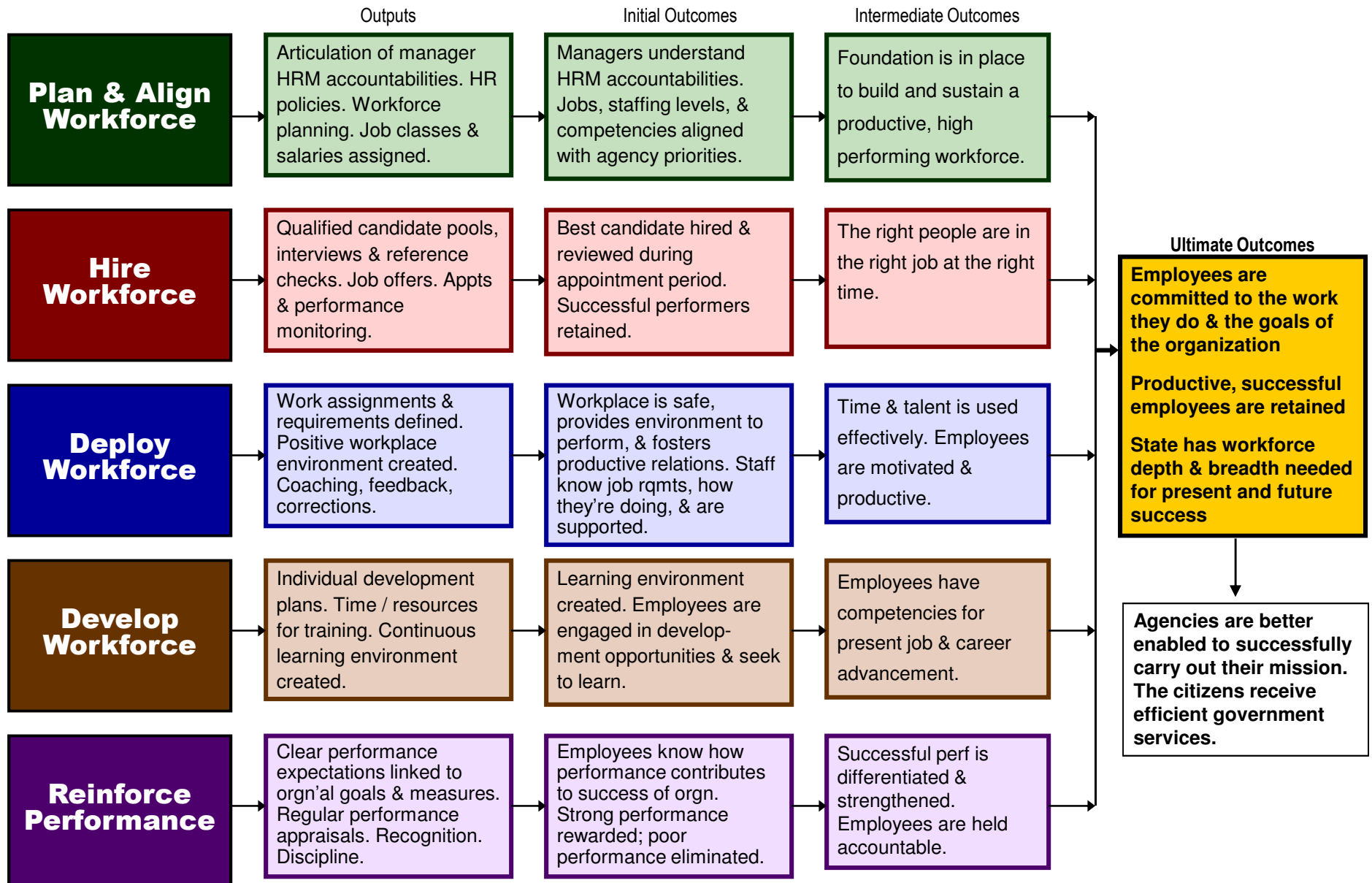
The 2010 HRM Report is based on revised and updated reporting criteria, which in some sections may show a significant change from previous reports.  Updates were made in the reporting criteria for the following sections:

- Types of Appointments
- Separations During Review Period
- Overtime
- Sick Leave
- Turnover
- Disciplinary Actions
- Diversity Profile

Detailed information on reporting criteria changes are available on the DOP website at:

HR Management Performance & Accountability / What's In the Data Query?

# Managers' Logic Model for Workforce Management

| | Outputs | Initial Outcomes | Intermediate Outcomes | |
|---|---|---|---|---|
| **Plan & Align Workforce** | Articulation of manager HRM accountabilities. HR policies. Workforce planning. Job classes & salaries assigned. | Managers understand HRM accountabilities. Jobs, staffing levels, & competencies aligned with agency priorities. | Foundation is in place to build and sustain a productive, high performing workforce. | |
| **Hire Workforce** | Qualified candidate pools, interviews & reference checks. Job offers. Appts & performance monitoring. | Best candidate hired & reviewed during appointment period. Successful performers retained. | The right people are in the right job at the right time. | **Ultimate Outcomes** <br><br> **Employees are committed to the work they do & the goals of the organization** <br><br> **Productive, successful employees are retained** <br><br> **State has workforce depth & breadth needed for present and future success** |
| **Deploy Workforce** | Work assignments & requirements defined. Positive workplace environment created. Coaching, feedback, corrections. | Workplace is safe, provides environment to perform, & fosters productive relations. Staff know job rqmts, how they're doing, & are supported. | Time & talent is used effectively. Employees are motivated & productive. | |
| **Develop Workforce** | Individual development plans. Time / resources for training. Continuous learning environment created. | Learning environment created. Employees are engaged in develop-ment opportunities & seek to learn. | Employees have competencies for present job & career advancement. | Agencies are better enabled to successfully carry out their mission. The citizens receive efficient government services. |
| **Reinforce Performance** | Clear performance expectations linked to orgn'al goals & measures. Regular performance appraisals. Recognition. Discipline. | Employees know how performance contributes to success of orgn. Strong performance rewarded; poor performance eliminated. | Successful perf is differentiated & strengthened. Employees are held accountable. | |

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# Executive Summary

| Performance Measure | Status | Comments |
|---|---|---|
| **PLAN & ALIGN WORKFORCE** | | |
| Management profile [a] | WMS - 6.7%; All Managers - 8.1% | Statewide WMS control point = 7.5% |
| % employees with current position/competency descriptions [a] | 84.3% | |
| **HIRE WORKFORCE** | | |
| Average Time to Hire Funded Vacancies [b] | 56.5 avg days to hire | |
| Candidate quality ratings [b] | 82.2% cand. interviewed had competencies needed  95.8% mgrs said they were able to hire best candidate | |
| Hiring balance [b] | 4,168 promotions; 3,228 transfers; 2,789 hires/rehires; 321 layoff list/other appts | |
| Number of separations during post-hire review period [b] | 588 | |
| **DEPLOY WORKFORCE** | | |
| Percent employees with current performance expectations [a] | 82.2% | |
| Overtime usage: (monthly average) [b] | 4.0 hours (per capita); 27.3% of employees received OT | Based on those eligible to receive OT |
| Sick leave usage: (monthly average) [b] | 6.5 avg sick leave hrs used (per capita); 236 avg sick leave hrs balance | |
| # of non-disciplinary grievances [b] | 661 grievances | |
| # of non-disciplinary appeals & Dir's Reviews filed [b] | 55 appeals, 49 Director's reviews | |
| **DEVELOP WORKFORCE** | | |
| Percent employees with current individual development plans [a] | 81.0% | |
| **REINFORCE PERFORMANCE** | | |
| Percent employees with current performance evaluations [a] | 83.4% | |
| Number of formal disciplinary actions taken [b] | 311 | |
| Number of disciplinary grievances and appeals filed [b] | 261 grievances; 16 appeals | |
| **ULTIMATE OUTCOMES** | | |
| Turnover percentages (leaving state service) [b] | 8.3% | |
| Diversity Profile [a] | 51% female; 18% persons of color; 71% 40+; 3% with disabilities | |
| 2009 Employee survey overall average rating | 3.84 on a scale of 1 to 5 (37,882 survey responses) | No change from FY09 Rollup Report |

a) Data as of 6/30/10

b) Data from 7/1/2009 through 6/30/2010

# Plan & Align Workforce

**Outcomes:**

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

**Performance Measures:**

**Management profile**

Percent employees with current position/ competency descriptions

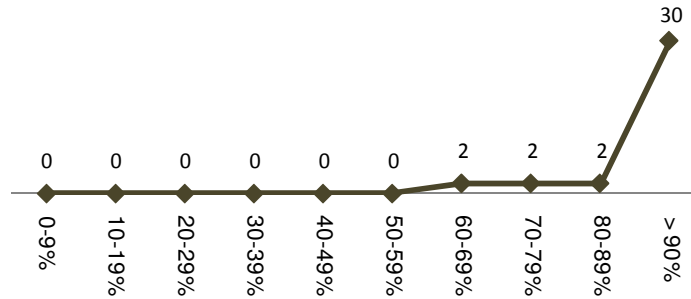Agency Priority: High-5 , Med-8, Low-23, N/A-0

## Management Profile

| Profile | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| WMS headcount | 4,655 | 4,715 | 4,522 | 4,303 |
| % of workforce that is WMS | 7.2% | 7.0% | 6.9% | 6.7% |
| Managers headcount* | 5,389 | 5,514 | 5,375 | 5,183 |
| % of workforce that are mgrs | 8.4% | 8.2% | 8.2% | 8.1% |
| Total workforce headcount** | 64,411 | 66,886 | 65,279 | 63,874 |

\* "Managers" refers to those employees coded as managers only.
** Includes permanent and non-permanent employees in executive branch, general government agencies.

### WMS Headcount Trend
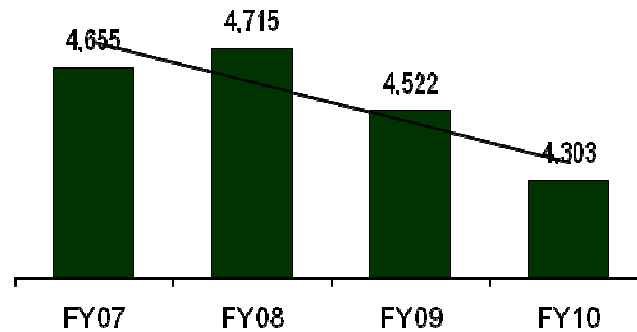


### WMS Management Type
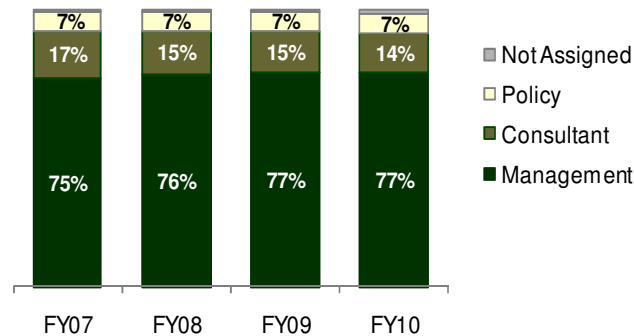


Data as of 6/30/2010
Source: DOP HRMS Business Intelligence

**Analysis:**

- WMS and Managers headcounts continued to show steady declines in FY10:
  - WMS headcount declined by 219
  - Managers headcount declined by 192

- The overall percent of the workforce that is WMS continued to decline and is currently at 6.7% - well below the biennial 7.5% statewide cap.

**Action Steps:**

- DOP is leading the effort to implement administrative process changes to WMS during Fall/Winter of FY11; the goal is to create accountability, greater consistency, and transparency across the enterprise.

- In October 2010, DOP presented an implementation plan through the HR Governance process and agencies using WMS identified their WMS coordinators.

- Changes to rules for administrative processes were approved at the November 2010 Director's meeting with an effective date of April 2011.

- DOP will train WMS coordinators in Nov/Dec 2010. Training will include guidance on the types of positions that should/should not be included in the WMS and all process changes.

- DOP will continue to monitor WMS usage on a monthly basis and review any requests for control point revisions.

## Plan & Align Workforce

**Outcomes:**

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

**Performance Measures:**

Management profile

**Percent employees with current position/ competency descriptions**

# Current Position/Competency Descriptions

**Percent employees with current position/competency descriptions = 84.3%\***

*Based on 43,864 of 52,061 reported employee count.  Applies to employees in permanent positions, both WMS & GS

### Number of Agencies with over 90% Current Position Descriptions

| Range | Value |
|-------|-------|
| 0-9% | 0 |
| 10-19% | 0 |
| 20-29% | 0 |
| 30-39% | 0 |
| 40-49% | 0 |
| 50-59% | 0 |
| 60-69% | 2 |
| 70-79% | 2 |
| 80-89% | 2 |
| > 90% | 30 |

### Percent of Employees with Current Position Description Comparison

| FY06 | FY07 | FY08 | FY09 | FY10 |
|------|------|------|------|------|
| 67.0% | 92.6% | 89.7% | 92.7% | 84.3% |
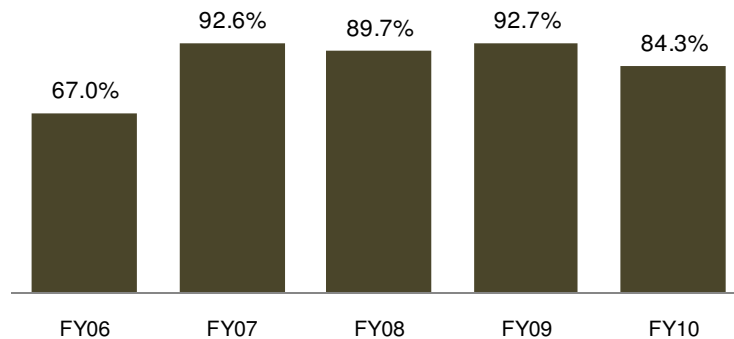
**Analysis:**

- Statewide, this measure has decreased by 8.4%.

- 39% of agencies reported a 100% completion rate. A 27% increase from FY09.

- 4 agencies reported double digit improvements on this measure from FY09:
  - ↑OAH  28% - from 69% to 97%
  - ↑DRS  22% - from 45% to 67%
  - ↑DFW  16% - from 80% to 96%
  - ↑DOH  12% - from 79% to 91%

- 3 agencies reported a double digit decline from FY09:
  - ↓DSHS  28% - from 88% to 60%
  - ↓AGR  17% - from 91% to 74%
  - ↓ESD  12% - from 100% to 88%

- Agencies cited competing workload issues (layoff activity, agency restructuring, and budget reductions) as the biggest impact on keeping employee position descriptions current.

**Action Steps:** (What, by whom, by when)

- DOP is preparing a new position/competency description form with an estimated release date of mid-February 2011.

Data as of 6/30/2010
Source:  Agency October 2010 HR Management Reports – 36 agencies reporting

# Hire Workforce

**Outcomes:**

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

**Performance Measures:**

**Time-to-hire vacancies**

**Candidate quality**

Hiring Balance (proportion of appointment types)

Separation during review period

# Time-to-Hire / Candidate Quality

Agency Priority:  High-8 , Med-9, Low-19, N/A-0

## Time-to-Hire Funded Vacancies

**Average number of days to hire**\*:  56.5 (compared to 56 days in FY09)

**Number of vacancies filled**:        4,746

\*Equals # of days from the date the hiring supervisor informs the agency HR Office to start the process to fill the position, to the date the job offer is accepted.

Agency Priority:  High-9 , Med-11, Low-12, N/A-4

## Candidate Quality

**Of the 6,736 candidates interviewed for vacancies, how many had the competencies (knowledge, skills, & abilities) needed to perform the job?**

Number = 5,534   Percentage = 82.2% (compared to 76% in FY09)

**Of the candidates interviewed, were hiring managers able to hire the best candidate for the job?**

Hiring managers indicating "**yes**":

Number = 1,084     Percentage = 95.8%

Hiring managers indicating "**no**":

Number =  53     Percentage = 4.2%

NOTE:  Percentages are based on 1,137 responses to the Candidate Quality survey by managers.

## Analysis:

Time to Hire:

- FY09 and FY10 experienced a hiring freeze for all non critical positions.  As a result, Time-to-Hire and Candidate Quality data does not reflect a "typical" hiring year.  Impacts of the hiring freeze may include:
  - o "Quick hires" performed by agencies attempting to hire employees prior to the implementation of the hiring freeze.
  - o Longer than average days to hire due to exemption process.
  - o Larger candidate pools, resulting in longer screening time.
- In the FY09 HRM Statewide Rollup report, DOP had an action item to research data inconsistency issues related to the time-to-hire measure.  The ability to track and report time-to-hire was a requirement in the RFP for the  new enterprise Online Recruiting System (OLRS) that was implemented in July 2010:
  - o **Status:**  Limited recruitment activity due to the hiring freeze has limited the amount of data available for this measure.  DOP will have more complete data for the next reporting cycle.

Candidate Quality

- The candidate competency rating increased by 6.2% from FY09.  This can be attributed to the larger candidate pools and availability of skilled workers due to the economic situation.
- The overall Candidate Quality response rate from hiring managers compared to the number of vacancies filled was only 24% for all reporting agencies.

**Action Steps:** (What, by whom, by when)

- Agencies reported they intend to use the new Online Recruiting System  (OLRS) to more closely monitor time-to-hire and candidate quality trends.
- Agencies indicated they have seen a decrease in hiring manager responses to Candidate Quality and are taking steps (memos, making survey a requirement, etc) to ensure hiring managers are completing this information in OLRS.

Data Time Period: 7/1/2009 through 6/30/2010
Source: Agency October 2010 HR Management Reports – 36 agencies reporting

# Hire Workforce

**Outcomes:**

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.
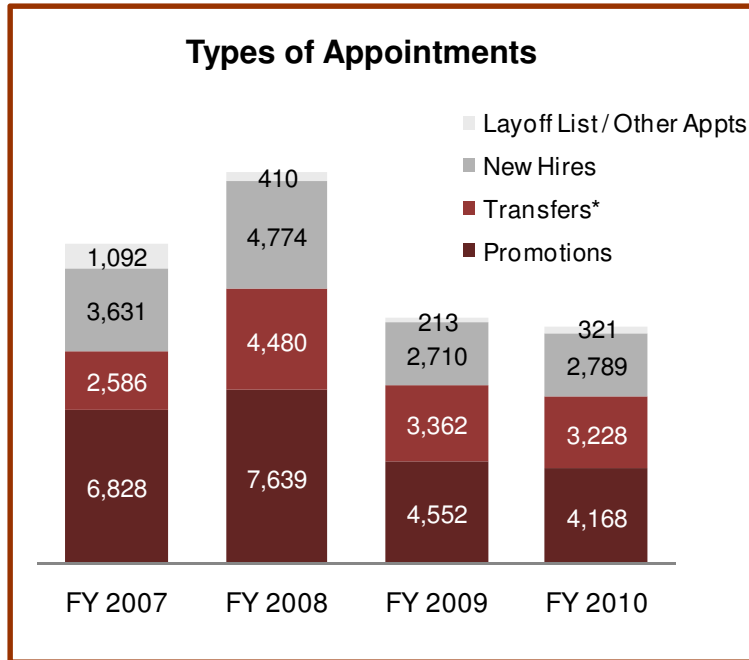
**Performance Measures:**

Time-to-hire vacancies

Candidate quality

**Hiring Balance (proportion of appointment types)**

Separation during review period

# Hiring Balance

### Types of Appointments



Legend:
- Layoff List / Other Appts
- New Hires
- Transfers*
- Promotions

FY 2007: 1,092 / 3,631 / 2,586 / 6,828
FY 2008: 410 / 4,774 / 4,480 / 7,639
FY 2009: 213 / 2,710 / 3,362 / 4,552
FY 2010: 321 / 2,789 / 3,228 / 4,168

*Note: Transfers include inter-agency and intra-agency transfers

**Analysis:**

*NOTE: The 2010 HRM Report is based on revised and updated reporting criteria which may show a significant change in types of appointments from previous reports.*

▪ Total appointments by Fiscal Year:

**FY07:** 14,137 | **FY08:** 17,303 | **FY09:** 10,837 | **FY10:** 10,506

▪ The types of appointments that occurred in FY10 reflect the emphasis agencies are placing on promoting and/or moving existing employees rather than seeking an exception to hire as a result of the hiring freeze.

▪ 73% (7,717) of appointments were internal; transfers, promotions, or appointments from the layoff list.

**Action Steps:** (What, by whom, by when)

▪ Action steps agencies indicated they are taking to address appointments include:

  o Continue to recruit employees with exceptional qualifications.

  o Outreach to the state layoff list and transition pool.

  o Be fiscally conservative regarding the use of FTEs by conducting rigorous reviews of requests to fill vacancies.

  o Ensure newly hired employees have the tools and resources necessary to be successful.

Data Time Period: 7/1/2009 through 6/30/2010
Source: HRMS Business Intelligence

## Hire Workforce

**Outcomes:**

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

**Performance Measures:**

Time-to-hire vacancies

Candidate **quality**

**Hiring Balance** (proportion of appointment types)

**Separation during review period**

# Separations During Review Period

|  | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| **Total Probationary Separations** | **668** | **709** | **676** | **437** |
| Voluntary | 435 | 467 | 381 | 229 |
| Involuntary | 233 | 242 | 295 | 208 |
| **Total Trial Service Separations** | **222** | **242** | **180** | **151** |
| Voluntary | 197 | 222 | 143 | 97 |
| Involuntary | 25 | 20 | 37 | 54 |
| **Total Separations** | **890** | **951** | **856** | **588** |

**Analysis:**

*NOTE: The 2010 HRM Report is based on revised and updated reporting criteria which may show a significant change in separations during review period from previous reports.*

- The total number of separations dropped 31% between FY09 and FY10. This decrease occurred primarily in probationary separations (down 268).

- Voluntary separations were down 198; Involuntary separations were down 70.

- Of the 588 separations:
  - 55% (326) were voluntary
  - 45% (262) were involuntary

**Action Steps:** (What, by whom, by when)

- Action steps agencies are taking to address separations during review period include:
  - Continue to employ the use of exit interviews to determine why they are leaving.
  - Managers and supervisors will utilize probationary and trial service periods to appropriately coach and counsel new employees.

## Deploy Workforce

**Outcomes:**

Staff know job expectations, how they're doing, & are supported.
Workplace is safe, provides environment to perform, & fosters productive relations.
Employee time and talent is used effectively.
Employees are motivated.

**Performance Measures:**

**Percent employees with current performance expectations**

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)
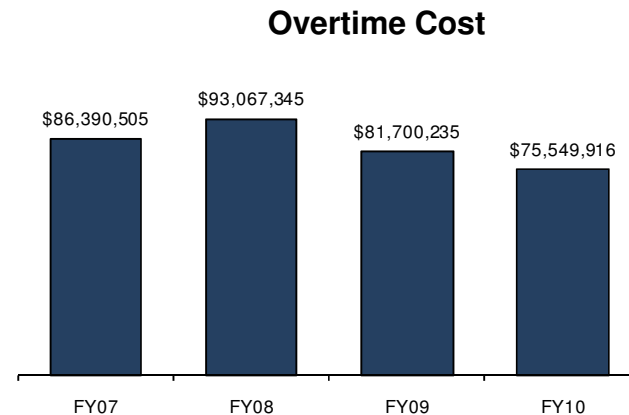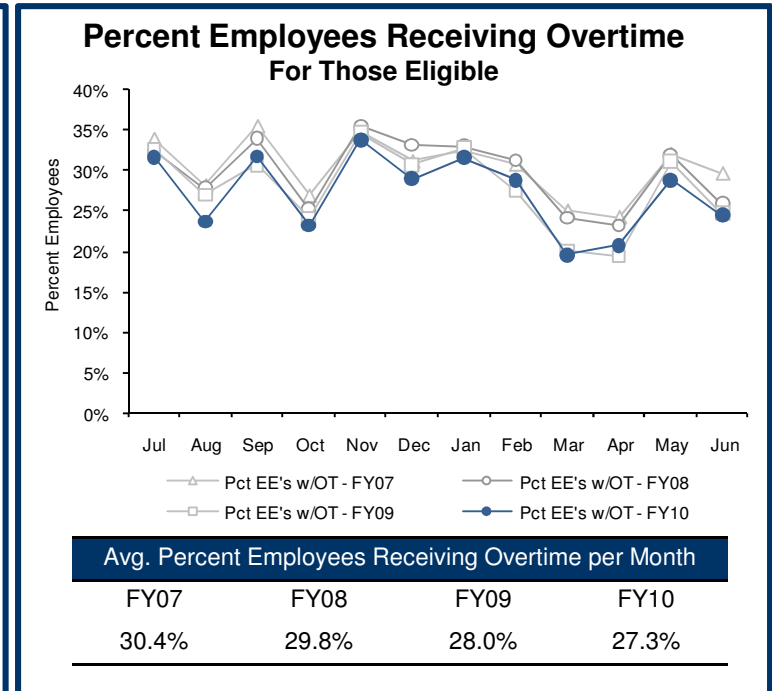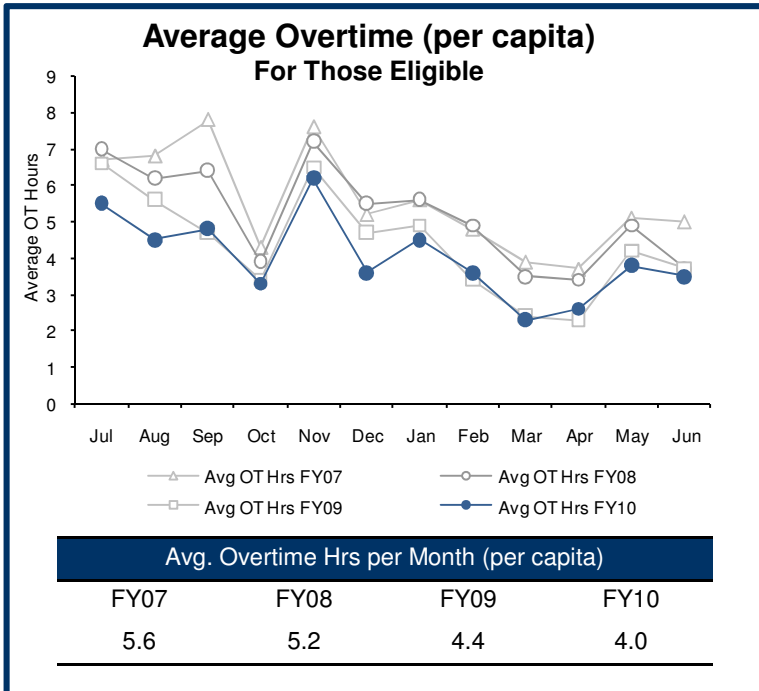
# Current Performance Expectations

**Percent Employees with Current Performance Expectations = 82.2%***

*Based on 41,904 of 50,967 reported employee count.  Applies to employees in permanent positions, both WMS & GS

### Number of Agencies with over 90% Current Performance Expectations

| Range | Value |
|-------|-------|
| 0-9% | 0 |
| 10-19% | 0 |
| 20-29% | 0 |
| 30-39% | 0 |
| 40-49% | 0 |
| 50-59% | 1 |
| 60-69% | 2 |
| 70-79% | 1 |
| 80-89% | 7 |
| >90% | 25 |
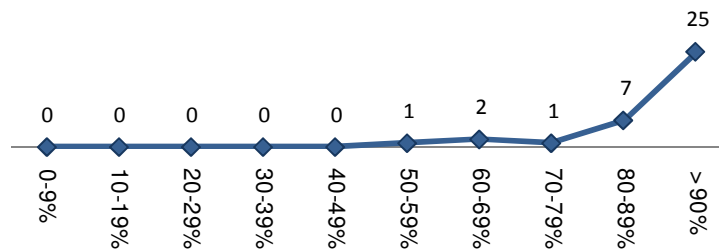
### Percent Employees with Current Performance Expectations Comparison

| FY06 | FY07 | FY08 | FY09 | FY10 |
|------|------|------|------|------|
| 64.0% | 80.2% | 77.1% | 76.1% | 82.2% |
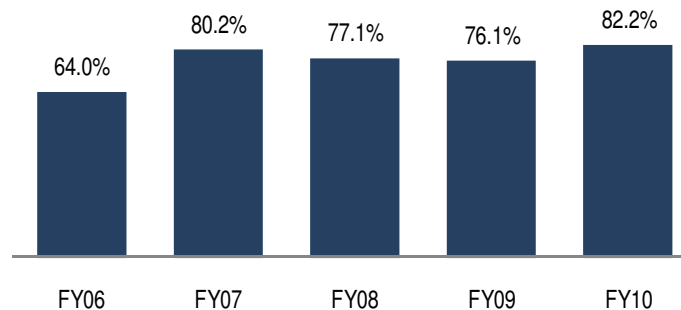
**Analysis:**

- Statewide, this measure increased by 6.1%.

- 33% of agencies reported a 100% completion rate for this measure - a 33% increase from FY09.

- 4 agencies reported a double digit improvement on this measure:
  - ↑ OAH  37% - from 61% to 98%
  - ↑ DOH  29% - from 67% to 96%
  - ↑ DFW  14% - from 53% to 67%
  - ↑ DSHS  15% - from 52% to 67%

- 2 agencies reported a double digit decline from FY09:
  - ↓ DRS  21% - from 78% to 57%
  - ↓ AGR  12% - from 92% to 80%

- Agencies cited competing workload issues (layoff activity, agency restructuring, and budget reductions) as the biggest impact on keeping performance expectation documents current.

- 50% of agencies consider having current performance expectations  a high priority performance measure.

**Action Steps:** (What, by whom, by when)

- DOP will continue to offer training for managers and supervisors.

Data as of 6/30/2010
Source:  Agency October 2010 HR Management Reports – 36 agencies reporting

## Deploy Workforce

**Outcomes:**

Staff know job expectations, how they're doing, & are supported. Workplace is safe, provides environment to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

**Performance Measures:**

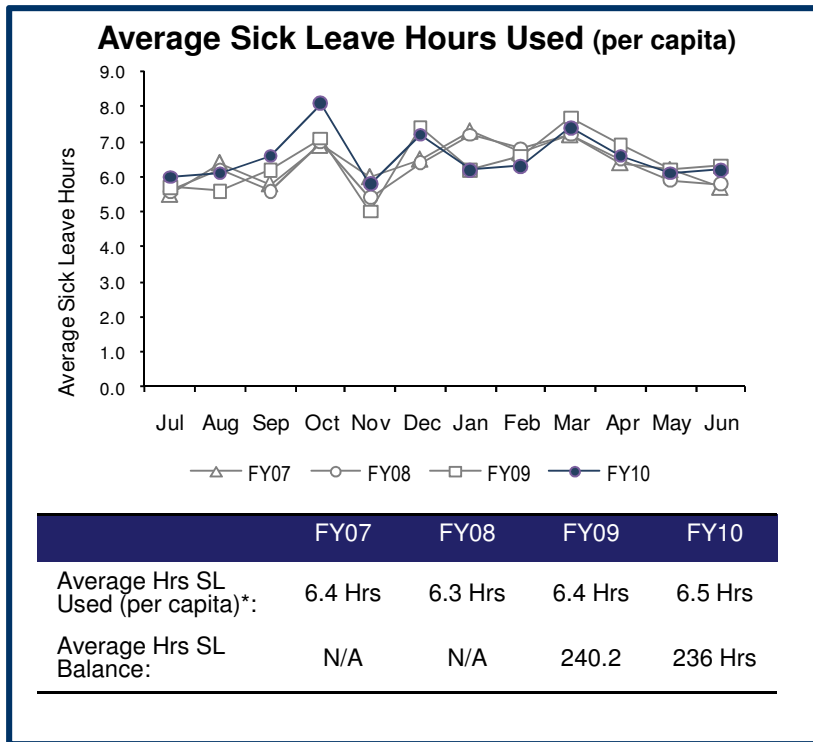Percent employees with current performance expectations

**Overtime usage**

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

# Overtime Usage

### Average Overtime (per capita)
**For Those Eligible**



Legend:
- Avg OT Hrs FY07
- Avg OT Hrs FY08
- Avg OT Hrs FY09
- Avg OT Hrs FY10

| Avg. Overtime Hrs per Month (per capita) | | | |
|---|---|---|---|
| FY07 | FY08 | FY09 | FY10 |
| 5.6 | 5.2 | 4.4 | 4.0 |

### Percent Employees Receiving Overtime
**For Those Eligible**



Legend:
- Pct EE's w/OT - FY07
- Pct EE's w/OT - FY08
- Pct EE's w/OT - FY09
- Pct EE's w/OT - FY10

| Avg. Percent Employees Receiving Overtime per Month | | | |
|---|---|---|---|
| FY07 | FY08 | FY09 | FY10 |
| 30.4% | 29.8% | 28.0% | 27.3% |

### Overtime Cost



| FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|
| $86,390,505 | $93,067,345 | $81,700,235 | $75,549,916 |

**Analysis:**

- Paid overtime decreased 8% ($6.2 million) in FY10.
- DOT, DOC, DSHS, DNR, & WSP accounted for 87% of Overtime Costs.
- 27.3% of overtime eligible staff received overtime pay – a decrease of 0.7% from FY09.
- Statewide average overtime hours per month (per capita) dropped 0.4 hrs from FY09.

**Action Steps:** (What, by whom, by when)

- Agencies indicated they closely monitor and report overtime usage and look for ways to manage the workload without incurring OT costs.

Data Time Period: 7/1/2009 through 6/30/2010
Source: HRMS Business Intelligence

## Deploy Workforce

**Outcomes:**

Staff know job expectations, how they're doing, & are supported. Workplace is safe, provides environment to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

**Performance Measures:**

Percent employees with current performance expectations

Overtime usage

**Sick leave usage**

Non-disciplinary grievances/appeals filed and disposition (outcomes)

# Sick Leave Usage

**Average Sick Leave Hours Used (per capita)**



|  | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| Average Hrs SL Used (per capita)*: | 6.4 Hrs | 6.3 Hrs | 6.4 Hrs | 6.5 Hrs |
| Average Hrs SL Balance: | N/A | N/A | 240.2 | 236 Hrs |

\* Average SL Hrs Used does not include DOL, DOR, L&I, and LCB due to unavailability of data in HRMS.

**Analysis:**

- Average sick leave hours used per month, per capita remained steady between 6.3 and 6.5 hrs.

- FY10 showed the highest average hours of sick leave used per month for the past four fiscal years at 6.5 hours per month:
  - o FY10 sick leave hour balances dropped an average of 4.2 hours.

**Action Steps:** (What, by whom, by when)

- For those agencies considering Sick Leave Usage a high priority, actions include:
  - o Workplace wellness programs.
  - o Provide supervisors with guidance related to monitoring leave use and hours of work.
  - o Implement medical leave verification to reduce/eliminate sick leave abuse.

## Deploy Workforce

**Outcomes:**

Staff know job expectations, how they're doing, & are supported. Workplace is safe, provides environment to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

**Performance Measures:**

Percent employees with current performance expectations

Overtime usage

Sick leave usage

**Non-disciplinary grievances/appeals filed and disposition (outcomes)**

# Non-Disciplinary Grievances (represented employees)

## Number of Non-Disciplinary Grievances Filed
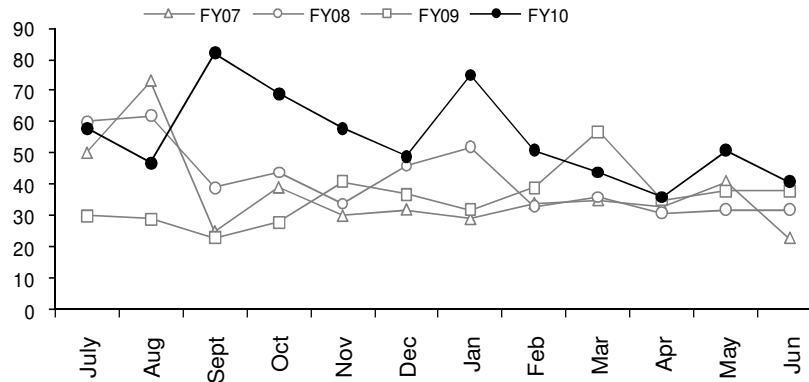


## Non-Disciplinary Grievances By Type

| Type | Number | % of Total |
|---|---|---|
| Non-Discrimination | 86 | 13.0% |
| Leave | 66 | 10.0% |
| Hours of Work | 56 | 8.5% |
| Bid System | 55 | 8.3% |
| Overtime | 54 | 8.2% |
| Compensation | 41 | 6.2% |
| Performance Evaluation | 32 | 4.8% |
| Hiring & Appointments | 26 | 3.9% |
| Union Activities | 20 | 3.0% |
| Safety | 18 | 2.7% |
| Seniority | 16 | 2.4% |
| Personnel Files | 15 | 2.3% |
| Reasonable Accommodation | 15 | 2.3% |
| All Others | 161 | 24.4% |

**Analysis:**

- Non-disciplinary grievances increased 55% from FY09 (427) to FY10 (661).

- 90% were settled within the agency.

**Action Steps:** (What, by whom, by when)

- Action steps agencies are taking to address Non-Disciplinary Grievances include:

  o Continue to fairly and accurately interpret and apply civil service rules for all employees.

  o Continue to foster a good working relationship with the union.

  o Continue to work toward satisfactory resolution of grievances at the lowest level possible.

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**Non-Disciplinary Grievance Disposition\***
(Outcomes determined during time period listed below)

✓ 366 grievances settled or withdrawn during this time period

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✓ 85% (313) settled or withdrawn at the lowest level

✓ 5% (17) settled or withdrawn at the agency head level

✓ 9% (34) settled at pre-arbitration

✓ 1% (2) filed to arbitration

Data Time Period: 7/1/2009 through 6/30/2010
Source: Labor Relations Office

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## Deploy Workforce

**Outcomes:**

Staff know job expectations, how they're doing, & are supported. Workplace is safe, provides environment to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

**Performance Measures:**

Percent employees with current performance expectations

Overtime usage

Sick leave usage

**Non-disciplinary grievances/appeals filed and disposition (outcomes)**

# Non-Disciplinary Appeals (mostly non-represented employees)

| Filings for DOP Director's Review | |
|---|---|
| Job Classification | 40 |
| Rule Violation | 9 |
| Name Removal from Layoff List | 0 |
| Exam Results or Name Removal from Applicant/Candidate Pool, if DOP did assessment | 0 |
| Remedial Action | 0 |
| **Total Filings for DOP Director's Review:** | **49** |

| Filings with Personnel Resources Board | |
|---|---|
| Job Classification | 29 |
| Other Exceptions to Director Review | 1 |
| Layoff | 24 |
| Disability Separation | 1 |
| Non-Disciplinary Separation | 0 |
| **Total Filings with Personnel Resources Board:** | **55** |

**There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.**

## Director's Review Outcomes



Withdrawn 13%
Modified 3%
Reversed 4%
Untimely 3%
No Jurisdiction 8%
Affirmed 69%
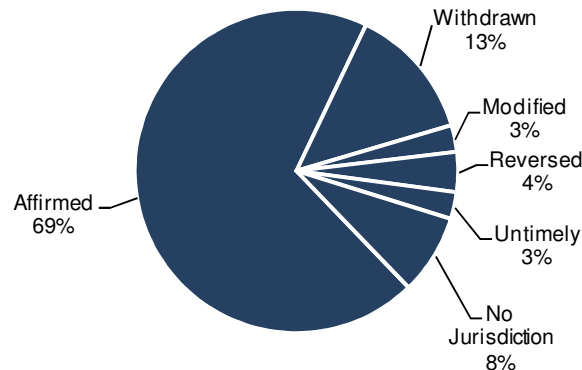
**Total Director's Review Outcomes: 75**

## Personnel Resources Board Outcomes



Dismissed 5%
Reversed 24%
Modified 2%
Affirmed 28%
Withdrawn 41%
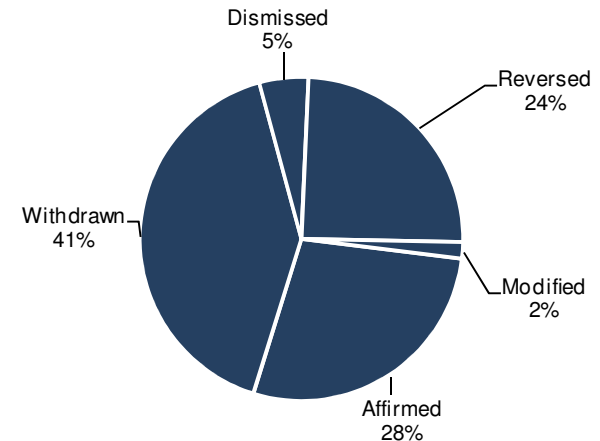
**Total Personnel Resources Board Outcomes: 61**

Data Time Period: 7/1/2009 through 6/30/2010
Source:  Department of Personnel

14

## Develop Workforce

**Outcomes:**

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

**Performance Measures:**

**Percent employees with current individual development plans**

# Individual Development Plans

**Percent employees with current individual development plans = 81.0%\***

*Based on 41,212 of 50,870 reported employee count.  Applies to employees in permanent positions, both WMS & GS

### Number of Agencies with over 90% Current Individual Development Plans

| Range | Value |
|-------|-------|
| 0-9% | 0 |
| 10-19% | 0 |
| 20-29% | 0 |
| 30-39% | 0 |
| 40-49% | 0 |
| 50-59% | 2 |
| 60-69% | 3 |
| 70-79% | 1 |
| 80-89% | 8 |
| > 90% | 22 |
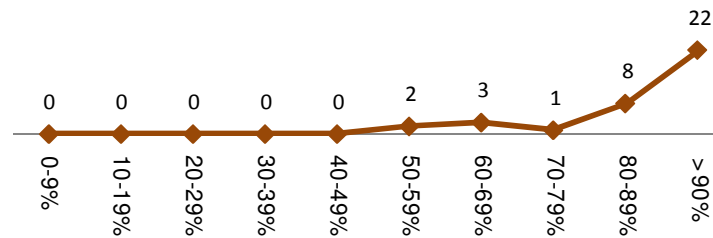
### Percent Employees with Current Individual Development Plans Comparison

| FY06 | FY07 | FY08 | FY09 | FY10 |
|------|------|------|------|------|
| 64.0% | 85.3% | 76.9% | 76.6% | 81.0% |
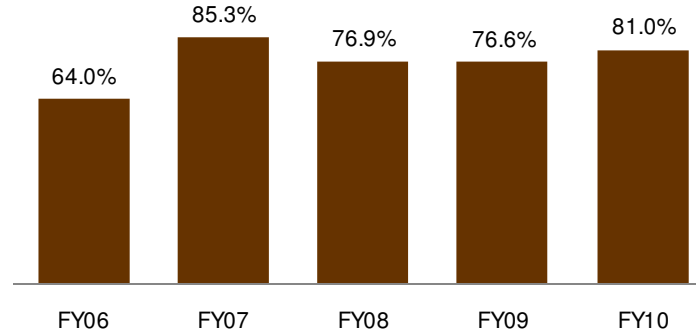
**Analysis:**

- Statewide, this measure increased by 4.4%.
- 2 agencies reported a double digit improvement on this measure:
  - ↑ DOH   29% - from 67% to 96%
  - ↑ DSHS   15% - from 52% to 67%
- 31% of agencies reported a 100% completion rate - a 22% improvement from FY09.
- 3 agencies reported double digit declines:
  - ↓ AGR   12% - from 92% to 80%
  - ↓ DRS   21% - from 78% to 57%
  - ↓ LNI   19% - from 88% to 69%
- Agencies cited competing workload issues (layoff activity, agency restructuring, hiring freeze, and budget reductions) impacted the timely completion of PDPs.
- Agencies noted that due to budget constraints, training & development opportunities were focused on 'low-cost' activities or have been reduced and/or put on hold.

**Action Steps:** (What, by whom, by when)

- Action steps agencies are taking to address IDPs include:
  - o Re-emphasize their commitment  to 100%. completion rate and quality of PDPs.
  - o Implement on-line training.
  - o Increase developmental job assignments.

Data as of 6/30/2010
Source:  Agency October 2010 HR Management Reports – 36 agencies reporting

# Reinforce Performance

## Current Performance Evaluations

**Percent employees with current performance evaluations = 83.4%***

*Based on 42,240 of 50,626 reported employee count. Applies to employees in permanent positions, both WMS & GS

### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures:

**Percent employees with current performance evaluations**

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

### Number of Agencies with over 90% Current Performance Evaluations

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 0 | 0 | 0 | 0 | 1 | 2 | 1 | 6 | 26 |
| 0-9% | 10-19% | 20-29% | 30-39% | 40-49% | 50-59% | 60-69% | 70-79% | 80-89% | >90% |
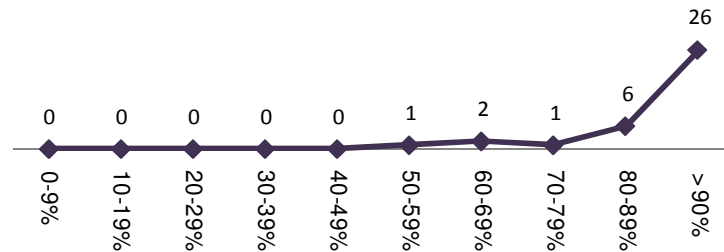
### Percent Employees with Current Performance Evaluations - Comparison

| FY06 | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| 63.0% | 84.3% | 78.6% | 79.3% | 83.4% |
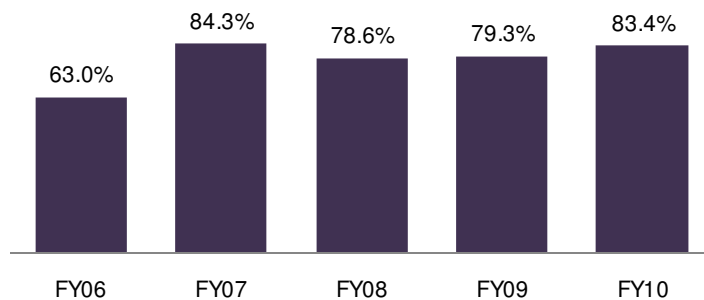
### Analysis:

- Statewide, this measure has increased by 4.1%.

- 33% of agencies reported a 100% completion rate for this measure – a 33% increase from FY09.

- 3 agencies reported a double digit improvement on this measure:
  - ↑ DOH 42% - from 52% to 94%
  - ↑ OAH 41% - from 59% to 100%
  - ↑ DSHS 14% - from 55% to 69%

- 3 agencies reported double digit declines:
  - ↓ DRS 21% - from 78% to 57%
  - ↓ WSSB 13% - from 94% to 81%
  - ↓ DFW 11% - from 80% to 69%

- Agencies cited leadership changes resulting from layoff activity had an impact on the timely completion of evaluations.

- Agencies that conducted interim reviews reported a 90% or higher percentage of current evaluations.

### Action Steps: (What, by whom, by when)

- Action steps agencies are taking to address evaluations include:
  - ○ Monitor compliance with this measure and report in agency GMAP.
  - ○ Provide PDP training for managers and supervisors.
  - ○ Create web-based training.

## Reinforce Performance

**Outcomes:**

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

**Performance Measures:**

Percent employees with current performance evaluations

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

# Formal Disciplinary Actions

**Disciplinary Action Taken**
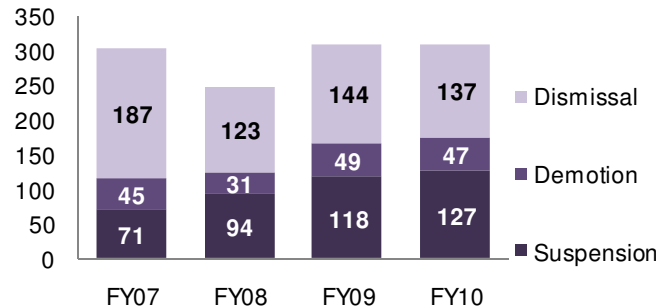


Data is not available for reduction in salary, which is also a form of formal disciplinary action.

| Most Common Issues Leading to Disciplinary Action in FY10 | # of agencies reporting |
|---|---|
| Attendance/leave-related | 18 |
| Inadequate/poor performance or failure to perform job duties | 15 |
| Misconduct / inappropriate comments & behavior | 13 |
| Misuse of state resources / ethics violation | 11 |
| Not following agency policy / drug & alcohol policy violations | 10 |

**Analysis:**

*NOTE: The 2010 HRM Report is based on revised and updated reporting criteria which may show a significant change in formal disciplinary actions from previous reports.*

- From FY06 – FY10, the most consistently reported issues leading to formal disciplinary action were:
  o Misuse of state resources /ethics violation.
  o Misconduct/Inappropriate comments and behavior.
  o Inadequate/poor performance.
  o Attendance/leave related.
  o Not following agency policy/procedures.

- 14% of reporting agencies indicated no formal disciplinary actions were taken in FY10.

**Action Steps:** (What, by whom, by when)

- Action steps agencies indicated they are taking to address disciplinary actions include:
  o Continue to appropriately apply corrective and disciplinary measures to correct inappropriate behavior.
  o Emphasize accountability for personal conduct and actions in conjunction with a training program.
  o Continue to provide training/updates to managers and supervisors on employment practices, just cause, corrective action, and the disciplinary process.

## Reinforce Performance

**Outcomes:**

Employees know how their performance contributes to the goals of the organization.  Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

**Performance Measures:**

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

# Disciplinary Grievances and Appeals

## Disciplinary Grievances
### (Represented Employees)

| | FY08 | FY09 | FY10 |
|---|---|---|---|
| | 204 | 198 | 261 |
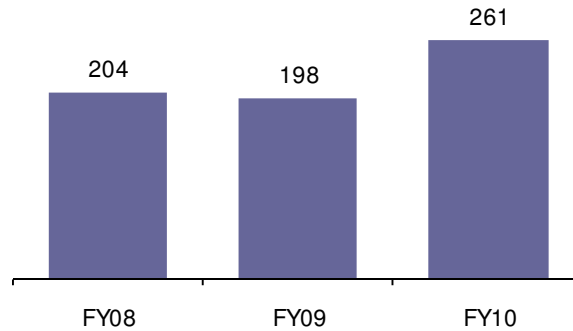
Data as of 7/1/2009 – 6/30/20010  Source:  OFM Labor Relations Office

## Disciplinary Grievances by Top Agencies for FY10

| Agency | Number | % of Total |
|---|---|---|
| DOC | 80 | 30.7% |
| DSHS | 76 | 29.1% |
| DOT | 22 | 8.4% |
| L&I | 16 | 6.1% |
| ESD | 14 | 5.4% |
| LCB | 14 | 5.4% |
| WSP | 8 | 3.1% |
| DOL | 6 | 2.3% |
| All Others | 25 | 9.6% |

## Disciplinary Appeals
Primarily Non-Represented Employees Filed with Personnel Resources Board (PRB)

■ FY08 - 19 Appeals   ■ FY09 - 27 Appeals   ■ FY10 - 16 Appeals

| | FY08 | FY09 | FY10 |
|---|---|---|---|
| Dismissal | 6 | 11 | 5 |
| Demotion | 6 | 9 | 7 |
| Suspension | 7 | 5 | 1 |
| Salary Reduction | | 1 | 2 |
| Other | | 1 | 1 |
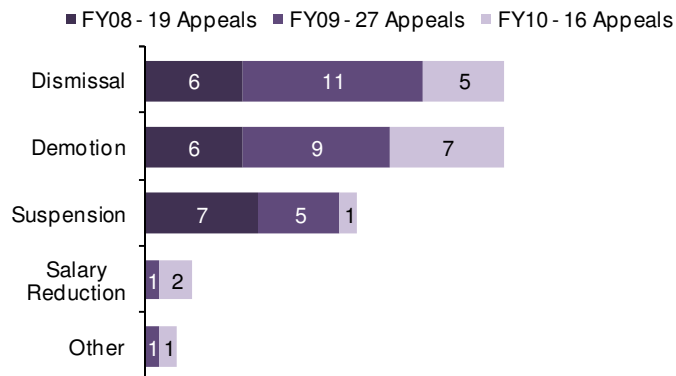
## Disposition (Outcomes) of Disciplinary Appeals (issued by the PRB) – FY10

Withdrawn 68%
Affirmed 11%
Dismissed 21%
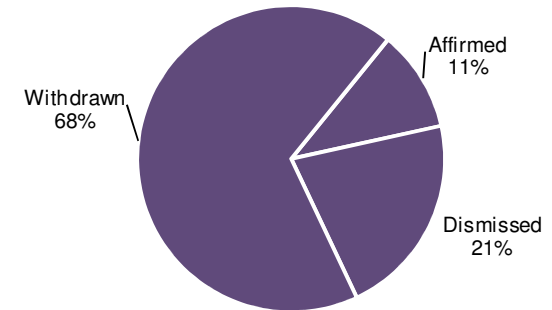
**Total Disciplinary Appeal Outcomes:  28***

* There is no one-to-one correlation between the filings and the outcomes displayed in the charts above. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Data Time Period: 7/1/2009 through 6/30/2010
Source: Dept of Personnel

# ULTIMATE OUTCOMES

## Turnover Rates

**Outcomes:**

Employees are committed to the work they do and the goals of the organization.

Successful, productive employees are retained.

The state has the workforce breadth and depth needed for present and future success.
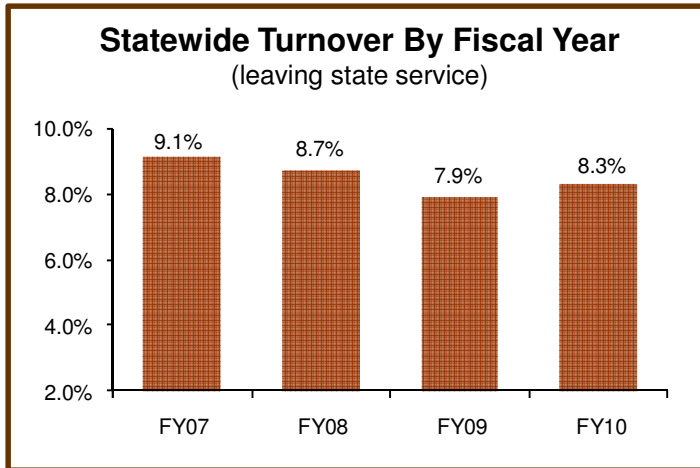
**Performance Measures:**

**Turnover rate: key occupational categories**

Workforce Diversity Profile

Employee Survey Information

### Statewide Turnover By Fiscal Year
(leaving state service)



### Layoff-Related Actions



■ Separations ■ Layoff actions not resulting in separation

### Statewide Turnover By Type
(leaving state service)

| | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| Resignation | 5.8% | 5.4% | 4.2% | 4.2% |
| Retirement | 1.8% | 2.1% | 1.9% | 2.1% |
| Dismissal | 0.3% | 0.1% | 0.2% | 0.2% |
| Layoff | 0.1% | 0.1% | 0.4% | 0.8% |
| Other | 1.1% | 1.0% | 1.2% | 1.0% |

Note: Movement to another agency is not included in results

**Analysis:**

- Turnover has increased by 0.4% since FY09. This increase was due to an increased percent of retirements and layoffs.

- Layoffs rose significantly (74%) from FY09 due to the statewide reduction of the workforce. Of the total layoff-related actions:
  - 205 were laid off as a result of lack of funds.
  - 705 accepted an appointment change as a result of layoff and 233 took a demotion in lieu of layoff.

**Action Steps:** (What, by whom, by when)

- Action steps agencies are taking to address turnover include:
  - Conduct exit interviews and use the information as a tool to manage future turnover.
  - Identify and develop strategies that will promote retention, thereby retaining qualified staff.
  - Improve/refine our recruitment process so we hire the right individual for the job.
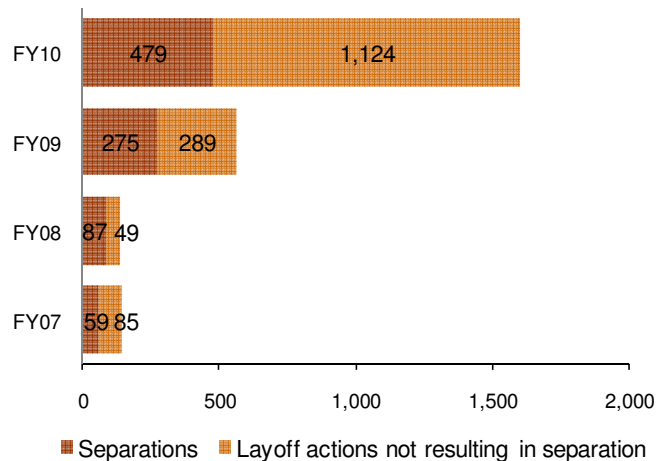
Data Time Period: 7/1/2009 through 6/30/2010
Source: HRMS Business Intelligence

# Workforce Diversity Profile

## ULTIMATE OUTCOMES

**Outcomes:**

Employees are committed to the work they do and the goals of the organization.

Successful, productive employees are retained.

The state has the workforce breadth and depth needed for present and future success.

**Performance Measures:**

Turnover rates and types

Turnover rate: key occupational categories

**Workforce Diversity Profile**

Employee Survey Information

## Diversity Profile

| | WA State FY07 | WA State FY08 | WA State FY09 | WA State FY10 |
|---|---|---|---|---|
| Female | 51% | 51% | 51% | 51% |
| Persons with Disabilities | 4% | 4% | 4% | 3% |
| Vietnam Era Vets | 5% | 5% | 5% | 5% |
| Disabled Veterans | 2% | 2% | 2% | 1% |
| Persons Age 40 & older | 70% | 69% | 70% | 71% |
| Persons of Color | 18% | 18% | 18% | 18% |

### FY10 Diversity Profile by Race/Ethnicity



- White 82%
- Black 5%
- Hispanic 5%
- Native American 2%
- Asian 6%

Comparison to FY09 shows no change in Diversity Profile by Race/Ethnicity percentages

Data as of 6/30/2010
Source: HRMS Business Intelligence

*NOTE: DOP began integrating agency and institution affirmative action (AA) reporting requirements into the annual HR Management Report. This is an interim measure until new affirmative action reporting requirements are developed and new affirmative action availability data is made available. It is estimated the interim reporting requirements will be in place in 2012.*

A summary of agency HR Management AA reports on **impacts of prior strategies**, **key current issues**, and **future strategies** are summarized on the next slide.

**General Analysis:**

- Beginning in FY10, the Diversity Profile now reflects both permanent and non-permanent employees. Past reports included permanent state employees only.

- 38% of reporting agencies indicated their workforce representation remains stable.

- 88.9% of reporting agencies consider diversity a medium to high priority for their agency.

- Persons with Disabilities and Disabled Veterans experienced a 1% decrease from FY09 to FY10. Comparing Turnover and Hires for the last 4 fiscal years showed that percent Turnover remained relatively steady for these groups, while the percent New Hires/Rehires dropped in FY10. This may be an impact of the hiring freeze.

| Turnover | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| Persons with Disabilities | 4.5% | 4.5% | 4.1% | 4.5% |
| Disabled Veterans | 2.0% | 1.7% | 1.6% | 1.8% |

| New Hires/Rehires | FY07 | FY08 | FY09 | FY10 |
|---|---|---|---|---|
| Persons with Disabilities | 1.3% | 1.3% | 1.3% | 0.8% |
| Disabled Veterans | 0.8% | 0.8% | 0.7% | 0.1% |

# ULTIMATE OUTCOMES

**Outcomes:**

Employees are committed to the work they do and the goals of the organization.

Successful, productive employees are retained.

The state has the workforce breadth and depth needed for present and future success.

**Performance Measures:**

Turnover rates and types

Turnover rate: key occupational categories

**Workforce Diversity Profile**

Employee Survey Information

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The following section is a summary of common responses provided by agencies to address their Affirmative Action strategies:

**Impact of Prior Strategies:**

*What happened as a result of the affirmative action strategies detailed in the last approved affirmative action plan or update?*

- **Hiring Freeze/RIFs/Budget Reductions**:  Approximately 28% of the reporting agencies indicated the hiring freeze, reductions in force (RIFs), or budget reductions have had an impact on implementing their prior affirmative action strategies.  Many agencies indicated they could not implement strategies to recruit or otherwise increase their diverse workforce due to these impacts.  One agency reported their diversity outreach specialists was laid off due to budget reductions.

- **Outreach and Retention strategies**:  While many agencies have suggested their prior strategies have been impacted by the hiring freeze/RIFs/budget issues, some have found success through various, targeted, outreach or retention strategies.  Some of these strategies include:

  Outreach
  o  Participating in and attending diversity targeted recruitment events, advertising, and targeted website postings.
  o  Active partnerships with diverse community and professional organizations.
  o  Utilizing the Supported Employment Program.
  Retention
  o  Offering internal developmental growth and career advancement opportunities.
  o  Continuing or implementing diversity training and sharing information internally about different cultures and lifestyles.
  o  Establishing core values that set expectations for respectful relationships.

**Key Current Issues:**

*What are the key affirmative action issues that the agency or institution intends to address moving forward?*

- **Succession Planning**:  Succession planning continues to be a key issue for some agencies.  One agency reported 82% of their workforce is over 40 years old and 41% of their workforce is approaching retirement.  Another agency reported 20% of their current workforce is eligible to retire in 2011.

- **Hiring Freeze/RIFs/Budget Reductions**:  Agencies are reporting an adverse impact of the hiring freeze and RIFs on establishing diverse groups within their agency and limiting participation in in-person outreach events.

- **Statewide, Persons with Disabilities/Disabled Veterans**:  Both Persons with Disabilities and Disabled Veterans dropped a percentage point since FY09.  19.4% of reporting agencies reported a drop in Persons with Disabilities and 22.2% reported a drop in Disabled Veterans.

- **Other issues** related to hiring and retaining a diverse workforce reported by agencies include:
  o  Need for increased qualified diverse applicant pools.
  o  Actual hires not reflective of diverse applicant pools.
  o  For specialized skills, must compete with outside organizations for limited number of qualified diverse candidates.
  o  Develop strategies for diversifying management positions.

Data as of 6/30/2010
Source:  Agency October 2010 HR Management Reports – 36 agencies reporting

## ULTIMATE OUTCOMES

**Outcomes:**

Employees are committed to the work they do and the goals of the organization.

Successful, productive employees are retained.

The state has the workforce breadth and depth needed for present and future success.

**Performance Measures:**

Turnover rates and types

Turnover rate: key occupational categories

**Workforce Diversity Profile**

Employee Survey Information

# Workforce Diversity Profile, continued…

**Future Strategies:**

*What are the agency's or institution's primary strategies to address these key issues?*

- The majority of the reporting agencies indicated they will continue to monitor efforts and progress.

- Due to budget constraints, agencies are seeking low-cost and innovative ways to continue outreach and recruitment efforts. Approaches include:
  - o Utilizing social media, partnering with college/university internship programs and career centers, partnering with DOP and professional and community based organizations, and utilizing the Careers.wa.gov website.
  - o Some agencies do not anticipate filling many positions over the next year due to the economic climate so they will be focusing efforts on retention strategies, including training and cultivating a culture of respect within their organization.

- Succession Planning:  To address the issue of increasing numbers of employees eligible to retire and an aging workforce, succession planning and upward mobility strategies are being created.

- Persons with Disabilities/Disabled Veterans:  To address issues of under-representation of Persons with Disabilities and Disabled Veterans, agencies are developing strategies including:
  - o Periodically resurvey to accurately report workforce data.
  - o Partnering with DVA, ESD/DVOP, DOP and the Military Department to recruit Vietnam-Era Veterans and Disabled Veterans.

- Diversity Advisory Committees:  Most agencies mention establishing or re-establishing Diversity Advisory Committees (DAC) or utilizing their current DACs to help continue building agency culture. Some agencies have integrated the Diversity.wa.gov website into their diversity program.

# ULTIMATE OUTCOMES

## Outcomes:

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

## Performance Measures:

Turnover rates and types

Turnover rate: key occupational categories

Workforce Diversity Profile

**Employee Survey Information**

## Employee Survey Ratings

| Question | 4/06 Avg | 11/07 Avg | 10/09 Avg | Change 07-09 |
|---|---|---|---|---|
| 1) I have the opportunity to give input on decisions affecting my work. | 3.50 | 3.56 | 3.58 | +.02 |
| 2) I receive the information I need to do my job effectively. | 3.80 | 3.77 | 3.84 | +.07 |
| 3) I know how my work contributes to the goals of my agency. | 4.12 | 4.14 | 4.21 | +.07 |
| 4) I know what is expected of me at work. | 4.28 | 4.25 | 4.31 | +.06 |
| 5) I have opportunities at work to learn and grow. | 3.59 | 3.66 | 3.60 | -.06 |
| 6) I have the tools and resources I need to do my job effectively. | 3.76 | 3.75 | 3.80 | +.05 |
| 7) My supervisor treats me with dignity and respect. | 4.29 | 4.29 | 4.33 | +.04 |
| 8) My supervisor gives me ongoing feedback that helps me improve my performance. | 3.72 | 3.76 | 3.80 | +.04 |
| 9) I receive recognition for a job well done. | 3.34 | 3.43 | 3.47 | +.04 |
| 10) My performance evaluation provides me with meaningful information about my performance. | 3.39 | 3.45 | 3.52 | +.07 |
| 11) My supervisor holds me and my co-workers accountable for performance. | 4.14 | 4.11 | 4.11 | 0 |
| 12) I know how my agency measures its success. | 3.39 | 3.43 | 3.49 | +.06 |
| 13) My agency consistently demonstrates support for a diverse workforce. | N/A | 3.83 | 3.89 | +06 |
| Overall average | 3.78 | 3.80 | 3.84 | +.04 |
| Number of survey responses | 36,451 | 35,838 | 37,882 | |

Data as of October 2009
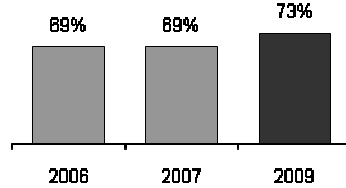Source: Statewide Employee Survey

## Analysis:

*NOTE: The following employee survey ratings and analyses were included in the 2009 HRM Report.*

- The State Employee Survey was administered during a 4-week period beginning in September 2009.

- A rating scale of 1 (lowest) to 5 (highest) was used.

- 68 agencies, boards, and commissions participated in the survey. 42 agencies had more than 50 respondents.

- 18 additional agencies participated in the 2009 survey.

- The overall average score for 2009 was 3.84, compared to 3.80 in 2007. This is a statistically significant increase.

- 37,882 employees took the survey, for a response rate of 59%.

- 75% of respondents were non-supervisory employees; 22% were supervisors. The geographic distribution of respondents was similar to the distribution of employees statewide.
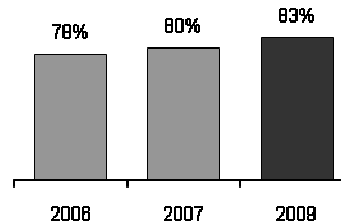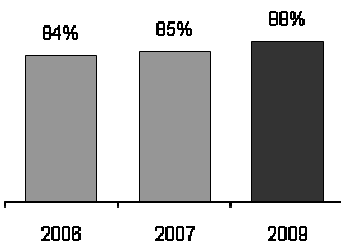
**Notes:**

- These charts reflect the sum of the 4 and 5 ratings for each question on the 2009 State Employee Survey (scale of 1 to 5, 5 is highest score).

- Scores improved on all questions, except #5 – I have opportunities at work to learn and grow. The cause of this decline is unclear. Budget restrictions over the past year reduced training and put a damper on career advancement. This may likely be a factor.

- The most improved question was #10 regarding performance evaluations, which went up by 5%. Many agencies have placed more emphasis on completing performance evaluations on time and improving the quality of those evaluations. 79% employees had current evaluations in 2009, compared to 63% in 2006.

- Question #9 (regarding recognition) and question #12 (knowing how agency measures success) are still the lowest scoring questions. However, both continue to see improvement.

**Charts:**

1. I have the opportunity to give input on decisions affecting my work.
   (2006: 54%, 2007: 58%, 2009: 59%)

2. I receive the information I need to do my job effectively.
   (2006: 69%, 2007: 69%, 2009: 73%)

3. I know how my work contributes to the goals of my agency.
   (2006: 78%, 2007: 80%, 2009: 83%)

4. I know what is expected of me at work.
   (2006: 84%, 2007: 85%, 2009: 88%)

5. I have opportunities at work to learn and grow.
   (2006: 57%, 2007: 61%, 2009: 59%)

6. I have the tools and resources I need to do my job effectively.
   (2006: 67%, 2007: 67%, 2009: 71%)

7. My supervisor treats me with dignity and respect.
   (2006: 81%, 2007: 82%, 2009: 84%)

8. My supervisor gives me ongoing feedback that helps me improve my performance.
   (2006: 62%, 2007: 64%, 2009: 66%)

9. I receive recognition for a job well done.
   (2006: 48%, 2007: 52%, 2009: 54%)

10. My performance evaluation provides me with meaningful information about my performance.
    (2006: 51%, 2007: 53%, 2009: 58%)

11. My supervisor holds me and my co-workers accountable for performance.
    (2006: 78%, 2007: 78%, 2009: 79%)

12. I know how my agency measures its success.
    (2006: 52%, 2007: 54%, 2009: 57%)

13. My agency consistently demonstrates support for a diverse workforce.
    (2007: 67%, 2009: 71%)