UNIVERSITY OF ILLINOIS
URBANA-CHAMPAIGN • CHICAGO • SPRINGFIELD

Human Capital Strategy

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Susan Balmes, UIC

Monica Carney, UIC

Tammy Craig, UIS

Karen Deering, UA

Marci Fanti, UIC

Dana Gillon, UIUC

Lori Giordano, UIS

Tiy Goddard, UIUC

Nick Haubach, UI Hospital

Stephen Holz, UI Hospital

Rebecca Jones, UIS

Darlene Kendall, UIC

Tony Kerber, UA

Toni Langdon, UIS

Kim Morris Lee, UIC

Janice Marvel, UIS

Gail Rooney, UIUC

Kathryn Seybert, UIUC

Mary Jo Smith, UI Hospital

Gale Stafford, UIUC

Wayne Stahl, Project Director

Melissa Stein, UA

Regina Stevenson, UIUC

Deb Stone, UIUC

Pam Voitik, UIUC

Executive Summary

The human capital strategy project is based on the recommendations from the final report of the Administrative Review and Restructuring Human Resources Management (ARR-HR) Subcommittee (June 8, 2010). One of the recommendations called for a "supportive human capital strategy to be developed. Such a strategy should be grounded in job analysis so that the content of the position, the title of the position and the required qualifications and competencies are all well understood. Such job analysis is also fundamentally essential to creating rational approaches to salary administration and professional development."[1] A second recommendation called for a human capital strategy for academic professionals. "Areas which need to be reviewed carefully include the total compensation for academic professionals, professional development and career advancement."[2] The report goes on to state that, "{Academic Professionals} APs are critical to the everyday functions performed at the university and to the future success of a transformed University. They are described as 'a workforce that breaks through traditional barriers that is flexible, self-directed, multidisciplinary, and able to adapt to the changing needs of the University.'"[3]

Strategy

The human capital strategy project team kicked off its work in December 2011. Meeting on average of twice per month, the team completed the strategy in February 2013. The strategy has three components:

1. The first addresses scope and principles, links to the University's vision and mission and research consisting of a literature search and strengths, weakness, opportunity, and threat (SWOT) analysis, all of which resulted in a proposed human capital strategy and model tailored for the University.
2. The second component contains recommendations.
3. The third component of the human capital strategy is the appendix and references section which includes material that could be built upon in the implementation of the recommendations. Implementation of the recommendations will be based on the action taken by the human resource leadership team, the sponsoring organization for the strategy.

Strategy - Development Process

Meetings were held with a sample of academic professional, civil service, assistant and associate dean stakeholders at the three campuses to solicit input and to share the developments and progress of the document. Suggestions were incorporated into the writing of the strategy document as it was developed. Additional meetings with several campus executives were held to communicate the progress of the human capital strategy. Elements of the human capital strategy were also provided as input to the human resources strategy for the Chicago campus.

[1] "Administrative Review and Restructuring Human Resources Management Subcommittee Final Report," June 8, 2010, p. 5.

[2] "Administrative Review and Restructuring Human Resources Management Subcommittee Final Report," June 8, 2010, p. 12.

[3] "Administrative Review and Restructuring Human Resources Management Subcommittee Final Report," June 8, 2010, p. 5.

Strategy – Scope

The scope of this human capital strategy includes all civil service staff, all academic professionals, and faculty who have responsibility supervising one or more academic professionals, civil service persons or student employees. Faculty scope is limited for this strategy because of the unique nature of faculty with internal and external systems in place to oversee their development, careers, and compensation. It is recognized that at some point in time, the appropriate academic leadership may wish to extend the human capital strategy to include all faculty, or to develop a separate strategy for them.

For the purposes of this report, human capital is: what people know, how people interact, how committed people are to the organization, and the work people do that drives an organization toward achieving its strategic objectives. The guiding principles for the creation of our human capital model are:

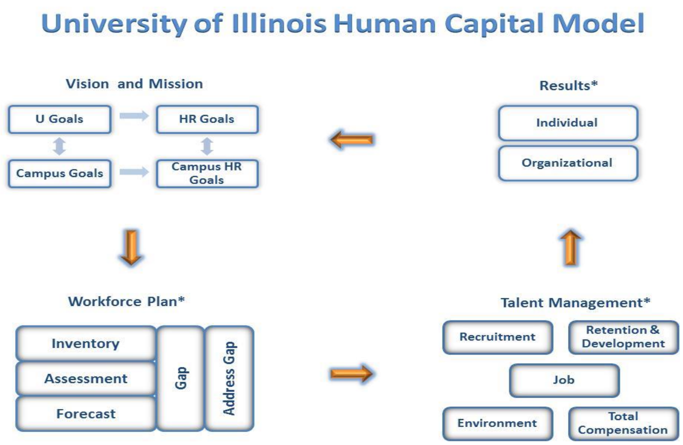
- Human Capital Management is a fundamental component of strategic business management. Human Capital Management is guided by and directed toward fulfillment of the university's and each campus's strategic mission, vision, and values. Human capital considerations are reflected when designing and implementing operational policies and practices.
- People are viewed at the University of Illinois as assets whose value to the university can be enhanced through investment. As with any investment, the University of Illinois' goal is to maximize the value of its people to increase operational effectiveness and efficiency, and add greater value to students, parents, and other stakeholders.
- A university-wide competency model provides a common base to implement a human capital strategy. Competencies are a guide for employees to support the university in achieving its goals. As an operational tool, the competency model is used to build and sustain the university's pool of leaders through recruiting, hiring, development, retention, and succession policies and practices targeted for leaders with identified characteristics and work experiences.
- Performance management systems, including pay and other meaningful incentives, link performance to results.
- Individuals interact, support, and learn from each other as a means of contributing to the high performance of their peers, colleges, units and the university as a whole.
- The organizational structure should support high performance in the workplace.
- Talent management only "works" if all leaders, managers, and employees are responsible for hiring, engaging, developing, and retaining top talent. HR enables these efforts by developing and providing tools, templates, processes, systems, analyses, and training to help leaders, managers and employees be more effective in their talent management responsibilities. But the ownership rests with line management.[4]

Human Capital Model

The model proposed by the human capital strategy project team is based on a literature search, educational human capital models and research conducted by the human capital institute. The model is comprehensive, covering university human resources and campus human resources. The strategy model begins with an understanding of the organization's vision, mission and goals. With this information and each organization's goals, units can formulate

[4] Human Capital Institute, Human Capital Strategist Workshop Participant Guide, Chicago, February 6-7, p. 162

their workforce plan and share the data with their colleagues so that efficient utilization of resources can be achieved. The work force plan is supported by talent management systems that support the units in areas of recruitment, retention and development, job creation, compensation and environment. It culminates with the results that we expect to see on an individual and organizational basis.



Desired Results

The desired results from the implementation of the human capital strategy through this model are broken down into individual and organizational results.

Employees should be expected to:

- Perform at a high level;
- Be engaged and satisfied;
- Continuously work on skill and professional development;
- Demonstrate continuous performance improvement;
- Thoughtfully engage change;
- Operate as providers of solutions and be entrepreneurial in spirit.

The University and its organizations should be expected to:

- Align strategic human capital with its organizational mission and goals;
- Value employees as appreciable assets;
- Create results-oriented organizational culture;
- Provide for leadership continuity and succession planning;
- Create a culture of continuous improvement;
- Proactively address changing workforce demographics and trends;
- Have competitive compensation programs;
- Provide career and development opportunities.

Recommendations

The recommendations that follow the human capital strategy and model are grouped into eight categories. There are a total of fifteen recommendations and four additional process oriented recommendations for consideration. These include:

Strategy

1. Oversight and continuation of the human capital strategy.
2. Continuous Improvement.

Civil Service

1. Modernization of the State Universities Civil Service System.

Career Development

1. Create comprehensive career paths for university employees as appropriate for job families.

Compensation

1. Create a comprehensive compensation plan, policies, and practices for all employee groups by campus.

Human Capital Measures

1. The University should collect, evaluate, and report HR workforce metrics.
2. Create an exit interview program.

Human Resources Information System Initiatives

1. Conduct the research and analysis to identify potential technology solutions which would support one or more components of the Human Capital Strategy.

Performance Management

1. Bullying.
2. Defined grievance and mediation/dispute resolution process for academic professionals.

Professional Development and Training

1. Create a collaborative work group with human resource training and development skills to support requests from the human resources leadership team and to propose initiatives supported by that leadership team.
2. Create or foster programs that will promote development of employees who lead and support human resource work.
3. Supervisory and management development.
4. Onboarding program standards.
5. Promotions.

During the discussions additional process oriented recommendations were identified for consideration. They include:

1. Separation process
2. Recruitment pre-screening
3. Faculty with employee supervision responsibilities
4. Proficiency

Appendices

As the human capital strategy team conducted its literature search, SWOT analysis, and deliberations on the recommendations, we discovered documentation that should be considered by the implementation teams. The third and final component of the human capital strategy consists of work that has been done or is in development within the university. Other documentation contains draft policies that tie directly back to the recommendations. The intent for providing this information is to help the implementation teams get a head start on their work.

Introduction

The Administrative Review and Restructuring Human Resources Management (ARR-HR) Subcommittee Final Report, June 8, 2010, recommended that a "supportive human capital strategy be developed. Such a strategy should be grounded in job analysis so that the content of the position, the title of the position and the required qualifications and competencies are all well understood. Such job analysis is also fundamentally essential to creating rational approaches to salary administration and professional development."[5] With respect to academic professionals, the report goes on to state that: "APs are critical to the everyday functions performed at the university and to the future success of a transformed University. They are described as 'a workforce that breaks through traditional barriers that is flexible, self-directed, multidisciplinary, and able to adapt to the changing needs of the University.'"[6][7]

In describing the university's current state, the ARR-HR final report stated the following:

> "…we lack a comprehensive human capital strategy to guide that investment and ensure optimal performance of our human resources and of our human resources organizations."
>
> "The development and implementation of a human capital strategy will provide for more efficient achievement of university strategy, would be essential to greater alignment and greater effectiveness between University strategy and HR service delivery, and will address the void that currently exists."

A second recommendation called for a human capital strategy for academic professionals. "Areas which need to be reviewed carefully include the total compensation for academic professionals, professional development and career advancement."[8]

This proposed strategy and model are tailored for the University of Illinois and presented to the Human Resource Leadership Team for review and approval.

The Team

The project was set up with a project team and an advisory team with the project team doing the work and the advisory team providing input to the development of the document. The teams were identified by the human resource leadership team and the project director, who was named by the Executive Director and Associate Vice President of Human Resources. Initially, the project and advisory teams met separately. When work groups were created to develop specific parts of the strategy and recommendations, they included the project team and advisory team members. As the work evolved, the teams melded into one overall project team.

The human resource leadership team served as the steering team and sponsors. During the development of this strategy the HR leadership team consisted of:

Maureen Parks, Executive Director and Associate Vice President for Human Resources
Elyne Cole, Associate Provost for Human Resources, UIUC

[5] "Administrative Review and Restructuring Human Resources Management Subcommittee Final Report," June 8, 2010, p. 5.
[6] "Administrative Review and Restructuring Human Resources Management Subcommittee Final Report," June 8, 2010, p. 5.
[7] "A Report on the Status of Academic Professionals", UIUC…..
[8] "Administrative Review and Restructuring Human Resources Management Subcommittee Final Report," June 8, 2010, p. 12.

Robert Crouch, Assistant Vice President for Human Resources, UIC
Robert Lael, Acting Director of Human Resources, UIS (until February 1, 2013),
Laura Alexander, Senior Director of Human Resources, UIS (Beginning February 4, 2013),
Jami Painter, Assistant Vice President for Employee Relations and Human Resources
Katie Ross, Director, HR Administration
Eric Smith, Assistant Vice President for Equal Opportunity and Human Resources
Mary Jo Smith, Senior Human Resources Director, University of Illinois Hospital & Health Sciences System

Expectations of the team from the University:

- Supervisors of project team members will support and recognize them for their volunteer work on the project.
- The university will continue with the commitment to the completion and implementation of the human capital strategy, even as administrative leadership at the university or campus levels may change.
- Funding will be available to carry out the key priorities recommended in the strategy.
- Executive champions will sponsor the implementation of recommendations in the strategy.
- Members of the project and advisory teams are expected to proactively communicate the progress of the human capital strategy, to solicit feedback from their colleagues and constituent groups, and provide that input to the development of the human capital strategy.
- The successful implementation of this strategy rests in large part on unit engagement and managers carrying out their supervisory responsibilities.

Human Capital Definition

Human capital is:

- what people know,
- how people interact,
- how committed people are to the organization, and
- the work people do,

that drives an organization toward achieving its strategic objectives.

Human Capital Strategy Definition

A human capital strategy is the determination of the right mix of human capital for the short-term and projected needs of the organization based on workforce planning data and talent management systems and programs.

Scope

The team's assignment is generally broad in scope, and the team's recommendations reflect the breadth of the assignment. Excluded from the scope of the assignment are certain categories of employees and matters related to unionization and collective bargaining. Items in this document do not usurp the policies and procedures for all employee work groups across all campuses.

The decision was made that this team's work should address human capital strategy in general, while recognizing that collective bargaining agreements negotiated by the university in accordance with its legal obligations may vary and restrict the university's options, with respect to the employees covered by particular collective bargaining agreements.

Academic Professionals and Civil Service

Academic Professional employees and Civil Service employees are included in the scope of this report. This comes from recommendations that were undertaken as goals for University Human Resources for FY12. The Administrative Review and Restructuring Subcommittee for Human Resources recommended the development of a human capital strategy for academic professionals. An additional recommendation called for the creation of a university human capital strategy not limited to academic professionals. These recommendations serve as the basis for determining the scope of employees included in the human capital strategy.

Faculty and Other Academic (as defined by the U of I Statutes)[9] Staff

Faculty employment, both tenure-track and non-tenure track, is generally not included in the scope of this report. The rationale for this decision is based on the formal and informal structures in place to attend to the development and success of faculty. These structures reside within the departments, colleges, academic administration, and through the governance of their respective professional disciplines. Faculty employment is unique, and is supported by internal and external systems that oversee faculty development, careers, and compensation. It is recognized that at some point in time, the appropriate academic leadership may wish to extend the human capital strategy to include all faculty or to develop a separate strategy for them. For these reasons, faculty employment is generally not included in the scope of this report.

However, it is important to recognize that some faculty members have roles that include management and supervision of academic professional or civil service employees. For those purposes – where faculty members have managerial or supervisory touch points with academic professionals and civil service employees – the recommendations contained in this report are intended to apply also to faculty and other academic staff.

Graduate Employees, Student Employees, and Hourly or Temporary Employees

It is recognized that graduate teaching and research assistants, student hourly employees and other temporary hourly employees provide valuable services in support of the university and while their roles may be recurring needs for the university, they individually are transient to them and therefore not included in scope.   Therefore, the following categories of employment are outside of the scope of this report:

- Graduate teaching/research/assistants
- Student hourly employees
- Temporary hourly employees

The University of Illinois has employees throughout the world with the concentration residing in Illinois, specifically within the areas of Chicago, Urbana/Champaign (including U of I Extension staff throughout the state), Springfield, Peoria and Rockford. This strategy is primarily focused on the employees residing in these metropolitan areas and to the extent possible, the remainder of the State of Illinois. Because of logistics, special needs and other circumstances, individuals employed by the University of Illinois in other states and throughout the world may be included, in principle, if not in the specifics of the implementation of the strategy.

Compliance and Mandates

The human capital strategy upholds the University's compliance with internal requirements and external mandates. It is the intent of this strategy and the implementation of it to support compliance in all areas.

[9] The University policy can be found at: http://www.bot.uillinois.edu/statutes

University of Illinois Mission, Vision, and Values[10]

A successful human capital strategy is tied to the organization's strategy. At the time of the development of this human capital strategy, the University of Illinois mission, vision and values are stated below. This strategy is intended to support the University of Illinois' mission, vision and values.

Mission

The University of Illinois will transform lives and serve society by educating, creating knowledge and putting knowledge to work on a large scale and with excellence.

Vision

To create a brilliant future for the University of Illinois in which the students, faculty and staff thrive and the citizens of Illinois, the nation and the world benefit, a future in which the University of Illinois is the recognized leader among public research universities in:

- Teaching, scholarship and service
- Engagement and public service
- Economic development
- Arts and culture
- Global reach
- Athletics

Values

In all that the University does, we will:

- Aim High
- Strive to control our destiny
- Be accountable for our actions and exercise responsible stewardship
- Be inclusive, treat each other with dignity and respect and promote citizenship
- Value excellence, quality and service
- Foster innovation and creativity

[10] Appendix 1, page 40 contains the human resources leadership team's strategic directions for FY13.

SWOT Analysis

By combining the attributes of a Strengths, Weaknesses, Opportunities, and Threats (SWOT) and environmental scan, a work group from the HCS team developed a framework to collect and assess the data collected. The format that evolved consisted of a SWOT outline with subcategories identified with an environmental scan. The subcategories were also derived from the internal studies/reports from the literature search, and discussions within the work group. By combining the elements of a SWOT analysis and an environmental scan, we were able to strengthen the scope of the analysis.

With the framework in place, the work group developed a questionnaire that went to all of the members of the HCS team. Team members were encouraged to talk with their colleagues and solicit feedback. The questionnaires were reviewed and summarized by the work group and draft results were shared with the team and constituent groups. At an all-day meeting in May 2012, the team reviewed and made changes to the summary below.

There are many facets to a SWOT analysis. Often, and it is true here, a subject or part of it will belong in more than one category. For example, a weakness is often also an opportunity for improvement. We have noted these duplications by showing those bulleted items in bold font. Placement of subjects was determined by the dominant relationship of the subject to an overall strength, weakness, opportunity, or threat.

Strengths

Environmental

- Reputation as a significant research and educational institution while continuing to move up in rankings at the college level.
- Global stature of the University.
- Campus safety (Springfield, Urbana).
- Environment conducive to learning.

External Factors

- University hosted sports, educational and cultural events contribute to the attraction and retention of employees.
- Community service.

Employee

- University of Illinois has vast intellectual resources.
- The Chicago campus has a culturally diverse group of students, employees, faculty, and constituents.
- Diverse workforce representing a wide variety of academic disciplines.

Economic

- Current benefits (FY12).
- SURS (FY12).
- Current compensation package.
- Current employees generally view employment in the public sector as strength; with greater job security and a strong benefits package.
- Our current pension program is a strength.

Technology

- Medical Center/College of Medicine utilizes current and up to date systems which other industries or smaller companies may not have access to.
- Medical Center/College of Medicine processes has been streamlined to ensure that procedures/practices remain consistent across the Medical Center and College of Medicine.

Employee Development

- Some units and organizations are organizing professional development around competencies.
- Some units and organizations are implementing succession planning.
- Alternative work schedules are offered in some departments.
- Continuing education and tuition waivers.
- Opportunities for staff training and professional development.

Legal/Compliance

- Civil Service defined grievance process.
- Compliance and regulatory bodies serve an important role in ensuring safety and adhering to standards, providing a framework for how we function and has helped us develop new procedures in response (Medical Center/College of Medicine).

Compensation

- **Attractive total compensation package.**

Weaknesses[11]

Environmental

- University of Illinois is structured in a way that makes its operations siloed. Units develop their own systems, processes, priorities, etc., which can be an inherent flaw in the shared governance model.
- **Morale.**
- **Inconsistent application of exit interviews.**
- Alignment between HR service delivery and University strategy.
- Communication and collaboration to share best practices have been hindered by decentralization.
- Lack of diversity in the student body (Springfield, Urbana).
- The University does not yet have a unified, strong and cohesive culture that spans all three of its main campuses.
- Difficulty transferring from same job to different campuses or departments.
- Stability of one's unit as the result of academic review and restructuring and campus program review.
- Competing priorities between each campus and with central administration.

Employee

- Loss of institutional knowledge from potentially large number of retirees in FY12.
- Differences in jobs has become blurred (Springfield).
- **Workforce demographics and diversity.**
- Inequalities in position, qualifications, title and compensation.
- Defined career paths.
- Internal employment mobility.
- Costs associated with a heavily unionized workforce are a burden for the University.
- Policies and guidelines are not consistently implemented across campus (telecommuting, flexible work schedules, etc.).

Economic

- Financial condition and debt of the state.
- National debt.
- Unfunded state and federal mandates.
- **Salary compression.**
- **Compensation equity.**

[11] Many weaknesses are also documented as opportunities for improvement. They have been bold faced to designate that they are both a weakness and an opportunity so that they are not listed twice.

- Competitive wages.
- State's funding of the university.
- Recruitment may be impacted by increasing student tuition and fees.
- Inconsistent application of compensation for merit increases.
- Pension reform.

Technology
- **Parts of talent acquisition electronic processes/systems.**
- **Talent separation electronic processes/systems.**
- **Compensation electronic processes/systems.**
- **Performance management processes/systems.**
- **Talent management electronic processes/systems.**
- **Benchmarking and compliance electronic processes/systems.**
- Multiple systems to support employee development.
- No systems or processes to accurately and consistently collect performance or exit interview data.

Employee Development
- Training opportunities.
- Professional development opportunities for academic professionals.
- Lack of communication across campuses and units for staff development.
- Multiple programs, some overlapping, to support employee development.
- Inconsistent use of performance management tools, templates, and systems.
- Career planning/paths are not well-defined, particularly for AP employees. No formal process exists to identify and foster career advancement and growth for high performing employees.

Legal/Compliance
- State University Civil Service Act imposes an outdated and cumbersome civil service classification system.
- Compliance and regulatory bodies limit our decision-making authority.
- Negative audit findings have resulted in the conversion of many AP jobs.
- Bumping/seniority system for civil service employees elicits intense concern from units across campus and has the potential to disrupt the productivity of the institution.
- **AP governance process (Springfield)**

Compensation
- No clear job leveling.
- Salaries can vary greatly within each campus and are often below national and regional salary levels.
- Pay is often unrelated to performance.

Opportunities

Environmental
- Increase diversity (Springfield, Urbana).
- University Strategy (last one developed in 2005, needs to be updated especially in light of the new leadership changes).
- Campus governance.
- Shared governance.
- Campus structure and organization to address the future (Springfield).
- Repair reputation of central administration in light of admissions scandal, law school scandal, and recent ethical concerns from the president's office.
- Branding to promote strengths and unique facets for all three campuses.
- Upcoming retirements present opportunities to impact institutional culture and bring new ideas (**also a weakness & threat** in loss of institutional knowledge appropriate staffing levels).
- Shared governance.

- Focus on creating a unified mission and vision, while recognizing that each campus is unique.

External Factors
- Promote expertise for educational events.
- Improve community service and cultural and educational events.

Employee
- Upcoming retirements open up career opportunities.
- Increase diversity (Springfield, Urbana).
- Alternative work arrangements and schedules.
- Eliminate misperceptions of AP vs. CS status.
- Promote succession planning.

Economic
- Leverage existing and create new opportunities for funding streams.
- Equity and consistency of compensation.
- Equitably apply pay for performance.
- Equity and consistency of titles for like work.
- Improve support for child care.
- Increase family friendly policies such as lactation rooms, domestic partner benefits.
- Adopt UIUC's early retirement payout option (Chicago).
- Provide low cost incentives, such as discounted parking or gym rates.
- Implement bi-weekly pay for AP's.
- Employment in the public sector often provides greater job security and a strong benefits package. This can remain a strong retention and recruitment tool (Medical Center/College of Medicine).

Technology
- Use technology to attract and manage talent including hiring, performance management, tracking professional development, compensation trends and self-service.
- Medical Center/College of Medicine processes and systems have been streamlined to ensure that procedures/practices remain consistent across Medical Center and College of Medicine.
- Medical Center/College of Medicine look to continually improve and upgrade systems based on the campus' changing needs, technological advances, etc.

Employee Development
- Expand New Employee Orientation (Springfield).
- Make performance evaluations mandatory and electronic.
- AP's use performance evaluations as a basis of merit salary increases.
- Mandatory training for supervisors.
- Increase utilization of LLEAP (Chicago).
- Develop and implement exit interviews.
- Continue to expand award and recognition programs.
- Informal methods of professional development.
- Leadership training and managerial development.
- Expanding training and development activities for staff.

Threats

Environmental
- State's economic environment.
- State's political climate.
- Chicago metropolitan location can pose a threat to campus security and safety.

External Factors

- State University Civil Service System (SUCSS) conversion of Academic Professionals.
- Mandates and compliance.
- Changes in the SUCSS system and its authority in hiring practices present a threat because it lessens independence and flexibility of our institution to determine and fulfill its needs.
- The CS classification system is antiquated, rooted in outdated processes that are overly cumbersome and time consuming.

Employee Development

- Performance management.
- Some departments do not support development of staff, regardless of budget concerns.

Economic

- SURS calculation change.
- Illinois legislation changes impacting employee pension and benefits.
- University's funding from the state.
- State legislation to remove benefits such as the tuition reimbursement program.
- The attempt to eliminate the 50% tuition waiver is an erosion of benefits and a threat to attracting future employees.

Compensation

- Negative changes to the total compensation package.

Literature Search

Members of the Human Capital Strategy project team reviewed materials from a wide range of resources both internal and external to the university, with themes identified within each.

The internal documents focused on surveys, reports, studies, and other types of reports that were generated within the university over approximately a seventeen year period. Much was written about the university's employee workforce, focusing mainly on academic professionals. Consistent themes emerged from this material.

The literature external to the university comes from public and private industry sources including studies, surveys, whitepapers, and best practices. This literature covered approximately a ten year period and is also summarized by themes that emerged in the literature search. For a summary of the recommendations from the internal reports, see Appendix 2, page 41.

Internal Surveys and Reports

We identified five surveys and reports that are germane to the human capital strategy. The first report dates back to August 1995, issued by Reginald W. Gomes and focused on the "academic professional personnel system." In March 2002, the Employment Development Task Force issued a report that included recommendations and human resource policies as well as a review of the Big Ten "Plus" institutions on employment development policies. Within a five year period, three surveys were conducted; two focused on academic professionals and one that also included civil service employees. The survey covering the combined employee groups was conducted by university administration and was reported in July 2007. Both Urbana/Champaign and the Chicago campuses surveyed academic professionals, reporting results in February 2008 and June 2011 respectively. The response rates indicate a strong interest in the survey topics.

Table 1

Organization	Date	Number of Respondents	Response Rate
University Admin.	July 2007	848	86%
Urbana/Champaign	February 2008	1,864	43%
Chicago	June 2011	1,210	32.4%

From these studies and reports, a pattern emerges that is consistent across time and changing economic circumstances. The first pattern focuses on the development of the individual employee for the good of individual and organizational performance. Within this pattern, three inter-related and inter-dependent opportunities were identified: professional, skills/knowledge, and career development. The facets of development, coupled with performance management, represented the majority of interest by those surveyed. There was also interest in compensation, equity, and recognition, but these topics paled by comparison. The patterns are summarized below.

Development

Employees want to better themselves. Generally speaking, they seek challenges, want to learn, and desire avenues for career growth. These thoughts are expressed in the surveys and reports over the past seventeen years.

Professional Development

Professional development is differentiated from skills and knowledge in that it focuses on soft skills, academic courses/degrees and management/leadership training. Supervisory training was identified as a need in the UA Needs Assessment (Organizational Needs Assessment, p. 20). It was suggested that supervisory/management training be mandatory (UIUC AP Survey, p. 8). Recommendations from the UIUC AP survey for professional development included (UIUC AP Survey, p. 8-9):

- Create and foster mentoring programs.
- Cultivate leadership, creativity, innovation, teamwork, conflict resolution, problem solving, emotional intelligence, and strategic thinking.
- Funding for professional development and continuing education.
- Supervisory training.
- Mandatory training.
- Policies supporting development.

Career Development

The perception by the respondents to the UIC survey is that career paths have not been identified for their positions (75.3%) and a comparable number of respondents (74.8%) indicated that they were not aware of career paths at the University (Owens and Anad, p. 33). This is equally important to the academic professionals at Urbana/Champaign where less than half (41.8%) of the respondents indicated that they were promoted during their tenure at Illinois and "three-quarters of the respondents indicated there is no clearly identified career path for someone of their education and skills, neither in their unit nor at Illinois" (UIUC AP Survey, p. 16). In the Chicago study, 82.1% of the respondents stated that opportunities for advancement are "very or extremely important" (Owens and Anad, cover letter, p. 3). Concern for career development by those who do not have supervisory responsibilities (39% of the respondents) was focused on non-management career paths (UIUC AP Survey, p. 21-22).

In 1995, the Gomes Report stated that, "It should be made possible to promote academic professional personnel from outside a unit to positions within that unit if these positions have greater responsibilities and higher salaries than the positions previously occupied by the individuals being promoted" (Gomes Report, p. 8). This position was echoed in the 2007/08 survey at Urbana/Champaign (UIUC AP Survey, p. 9). There remain different policies for internal promotions that are applied inconsistently within and across the campuses (UIC Survey Research Laboratory, p. 3).

The advantages of academic professional roles are the flexibility to develop unique requirements, responsibilities, and titles to meet the unique needs of the University. This is also a disadvantage. For example, it can lead to inequity in titles, work responsibilities, and compensation (Owens and Anad, p. 3).

The respondents to the Urbana/Champaign study provided recommendations for improving career development. These included:

- Automated tool linked to Banner that would help map careers with jobs, skills, knowledge, and competencies.
- Career assistance.
- Rotational, job shadowing programs.
- Opportunities for advancement.
- Provide Career services for employees.

Skills and Knowledge Development

Data from the surveys and reports indicate that the primary interest was professional and career development. Yet, it should be noted that there were some crossovers into what may or may not be considered professional development, e.g. knowledge of Banner. Respondents to the surveys recognized that there is a need for practical, operational skills ranging from using computer applications to equipment, procedures, and safety compliance. Some suggestions expanded beyond the traditional to include ESL and literacy classes, providing opportunities before 9:00 am and after 5:00 pm (EDTF, p. 8). Along these lines was the desire to provide opportunities for individuals who could not take advantage of non-university, external programs such as workshops, conferences, certifications, and so on (EDTF, p. 4).

Considering the scope of this human capital strategy, it is important to consider the full range of development opportunities that may be needed to prepare the workforce to execute the university and related organizational strategies.

Barriers to Development

Sometimes development opportunities are not readily available for a variety of reasons. In other circumstances they are available, but the support of supervisors or budget issues has come between the opportunity and the employee. In one survey, 65% of the academic professionals responded that they had 'little or no information' about professional development opportunities (Owens and Anad, p. 14). The Mercer study in 2005/06 illustrated the diverse and independent offerings were provided without coordination, universal access, and sometimes narrowly targeted communication of the offerings. The success of development programs requires availability of opportunities and support of the employee to participate in the opportunity, followed by an assessment process to monitor the effectiveness and efficiencies of the programs to ensure success for both the individual and organization.

Performance Management

It appears that most of the civil service and academic professional employees participate in an annual performance appraisal, as nearly 80% of the respondents to the UIUC survey in 2007/08 indicated this was the case. However, the responses from the UIUC survey indicate that the "effectiveness of performance management system" could be improved (UIUC AP Survey, p. 22). A suggestion was made to separate career discussions and performance appraisals. This is interesting when considering that less than half (44%) of respondents in the UIUC survey indicated that they receive a performance appraisal and career discussion (UIUC AP Survey, p. 16).

Compensation and Benefits

Many of the studies and reports focused on compensation programs that are fair, equitable, and consistently applied. In the Urbana/Champaign survey, 62.7% of the academic professionals responding indicated that "their starting salary was fair with respect to their position and duties" (UIUC AP Survey, p. 16). Nearly 20% "of the academic professional titles for Urbana/Champaign, including campus and university administration, were 'unique professional titles'" (UIUC AP Survey, p. 118). Several references in the Gomes report suggested that there should be periodic salary studies "(every three to five years) on a campus-wide basis for assessing the equity and fairness of academic professional pay scales" (Gomes Report, p. 8).

Anxiety Factors

In the Chicago survey of academic professionals, 82% of the respondents reported being "'very or extremely concerned' that SURS will not have funding to pay their pensions when they retire" (Owens and Anad, p. 5). Also reflected in the Chicago survey were concerns about the conversion of academic professionals to civil service roles by the State University Civil Service System (SUCSS).

External Surveys and Reports

The overall theme of the reports and surveys reviewed recognized that while many organizations do a great job of defining what needs to be done, most cannot show how the work force contributes to organizational goals or adds value to the organization. Human Resource Officers have discovered that the answers they need are often in information they already collect. [12] The challenge is using that information to gain insight into workforce strengths and vulnerabilities, risk, performance, and productivity.[13]

Many authors of the reports and surveys offer business solutions and technology to assist organizations with developing successful strategies for managing their human capital. SAS, a leader in business intelligence and analytical software and services, offers their Human Capital Intelligence software as a way to align the human capital and organizational plans in a truly strategic way.[14] Sabre Systems, Inc. assists clients in applying technology and business solutions to resolve issues, and work more efficiently while maintaining their core workload and competitive advantage.[15] Automated Data Processing, Inc. (ADP) offers the widest range of HR, payroll, tax, and benefits administration solutions from a single source[16]. In 2011-2012, the Society for Human Resource Management (SHRM),

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[12] Tactical to Strategic: Transforming Government's Chief Human Capital Officer, SAS White Paper, 2008

[13] Ibid.

[14] Ibid.

[15] Sabre Systems Inc. – White Paper, Bradford Blevins, May 2006 New York, New York, "An Approach to Human Capital Strategy Implementation Planning."

[16] ADP Automated Talent Management: The New Strategic Imperative for Performance Efficiency, March 2010.

issued a customized Human Capital Benchmarking Report as a tool to help organizations evaluate decisions and activities that affect their human capital.[17]

In each of these analyses, several factors were identified and deemed vital to any framework used as a solution to the ongoing human capital needs by today's organizations. Factors believed to drive human capital measures are people, work, structure and shape, growth and development, promotion and selection, and incentives.[18]

Core Elements of Human Capital

Realities require human capital officers and operational managers to manage human capital in a more sophisticated and strategic way. To survive, and thrive, managers must gain a more holistic view of the work force – comprehensive understanding of organizational issues and how human capital strategies can be implemented – to support an organization's mission.[19]

With readily available technology from systems that are already in place across the organization and from third-party data, organizations can make confident and timely decisions to strategically manage the work force in alignment with organizational goals.[1] The most common areas identified in the various analyses as critical to managing human capital are people, growth and development, and retention. IDC MarketScape identified core elements of human capital as follows:[20]

- Recruiting
    - Recruiting is defined here as the capabilities needed to manage job openings and potential candidates for those openings. Public organizations have generally found it difficult to compete with the private sector.
- Retention
    - Employee performance management (performance appraisals, feedback, establishment and tracking of goals).
    - Career and succession planning.
    - Compensation (management of salary planning, equity, benefits, bonus, merit pay, etc.).
- Learning
    - Assessment of skills gaps, prescription of learning and development activities to fill those gaps, and delivery of learning content.

Specific opportunities for organizations include:

- Providing individual development programs.
- Increasing employee engagement and aligning the goals and interests of individuals with those of the organization.
- Providing employee training courses to address skill gaps, achieve individual goals, and prepare for future roles.
- Addressing experienced employees retiring, leaving critical gaps in leadership and institutional knowledge.
- Retaining both younger workers and mature skilled workers.[21]

[17] SHRM. "Customized Human Capital Benchmarking Report," spring 2011.

[18] Sabre Systems Inc. – White Paper, Bradford Blevins, May 2006 New York, New York, "An Approach to Human Capital Strategy Implementation Planning."

[19] Tactical to Strategic: Transforming Government's Chief Human Capital Officer, SAS White Paper, 2008.

[20] IDC MarketScape: Worldwide Integrated Talent Management 2010 Vendor Analysis, IDC, 2010.

[21] Tactical to Strategic: Transforming Government's Chief Human Capital Officer, SAS White Paper, 2008, p. 1.

Principles and Elements of Successful Human Capital Strategies

We reviewed below several particularly useful discussions contained in the literature.

In September 2000, the Office of the United States Comptroller General issued a self-assessment checklist on human capital for government agency leaders. The check list was divided into five components representing strategic planning (mission, vision, values), organizational alignment (integration of human capital strategies with core business), leadership (continuity, succession planning), talent (recruitment, retention), and performance culture (empowerment, motivation).[22] For each of these components, seven unifying considerations were identified that can be applied to and are important considerations for any human capital strategy. They are:[23]

1. All aspects of human capital are interrelated.
2. Trust requires transparency.
3. Merit principles and other national goals still apply.
4. Constraints and flexibilities need to be understood.
5. Fact-based human capital management requires data.
6. Use of best practices requires prudent decision making.
7. Attention to human capital must be ongoing.

The result of a 2-day symposium sponsored by the GAO in 1995 was the development of principles for managing people based on the demand for faster, cheaper, and better service delivery.[24] Some of these are consistent with the Administrative Review and Restructure committee report. The participants at the symposium believed that eight principles should be "treated as a whole and that effective human resource management and effective business practices are inseparable."[25]

Eight Principles for Managing People (GAO):

1. Value people as assets rather than as costs.
2. Emphasize mission, vision, and organizational culture.
3. Hold managers responsible for achieving results instead of imposing rigid, process-oriented rules and standards.
4. Choose an organizational structure appropriate to the organization rather than trying to make "one size fit all."
5. Integrate human resource management into the mission of the organization.
6. Treat continuous learning as an investment in success, rather than as a cost to be minimized.
7. Pursue an integrated approach to information management.
8. Provide sustained leadership that recognizes change as a permanent condition, not a one-time event.

Those eight principles for managing people are similar to the principles of human capital management identified by HireSmart, LLC for private industry. The similarities are consistent for both public and private industries and reinforce the importance of data-driven information as well as linking organizational strategy with human capital strategy. Some of the differences are the focus on profits and value creation but these can be linked to efficiencies and better customer service value in the nonprofit sector.

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[22] United States General Accounting Office (GAO), "Human Capital: A Self-Assessment Checklist for Agency Leaders, September 2000, Version 1, GAO/OCG-00-14G Human Capital, p. 10.

[23] Ibid, p. 11-12.

[24] Ibid, p. 28.

[25] Ibid.

According to HireSmart, the principles of Human Capital Management are:[26]

1. Human capital strategy requires solid facts, measures, and processes to gain leverage from its people.
2. Technology advances are the catalysts for new approaches to human capital management.
3. Business models and human capital strategies must match.
4. Floor-to-cost reduction, but no ceiling to value creation.
5. Find key points of leverage for increased profits.
6. Human capital is a value-producing asset, not a cost to be minimized, reduced, or reined in.
7. New tools used to analyze how key outcomes are affected by human capital attributes and practices.
8. Drive value by identifying and focusing on what's important.

In 1999, the Government Accounting Office was asked to identify common principles (best practices) that underlay human capital strategies and practices in the private sector. Nine private sector organizations were recognized in the literature as being innovative or effective in strategically managing their human capital. They were: Federal Express, IBM, Marriott, Merck and Co., Motorola, Sears, Southwest Airlines, Weyerhaeuser, and Xerox. Their findings included:[27]

- Treat human capital management as fundamental to strategic business management. Integrate human capital considerations when identifying mission, strategic goals, and core values of the organization.
- Integrate human capital functions staff into management teams. Include human capital leaders as full members of the top management team, rather than isolating them to provide after-the-fact support. Expand the strategic role of human capital staff beyond that of providing traditional personnel administration services.
- Leverage the internal human capital function with external expertise. Seek outside expertise from consultants, professional associations, and other organizations, as needed.
- Hire, develop, and sustain leaders according to leadership characteristics identified as essential to achieving specific missions and goals.
- Communicate a shared vision that all employees, working as one team, can strive to accomplish. Promote a common understanding of the mission, strategic goals, and core values that a team must achieve.
- Hire, develop, and retain employees according to competencies. Identify the competencies – knowledge, skills, abilities, and behaviors – needed to achieve high performance of mission and goals, and build and sustain the organization's talent pool through recruiting, hiring, development, and retention policies and practices.
- Use performance management systems, including pay and other meaningful incentives, to link performance to results.
- Support and reward teams to achieve high performance. Foster a culture in which individuals interact and support and learn from each other as a means of contributing to the high performance of their peers, units, and the organization as a whole.
- Integrate employee input into the design and implementation of human capital policies and practices. Empower employees by making them stakeholders in the development of solutions and new methods of promoting and achieving high performance of organizational missions and goals.
- Measure the effectiveness of human capital policies and practices. Identify the performance return on human capital investments.

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[26] "Human Capital Management: Vital and Tactical Planning" HireSmart, LLC Human Capital Solutions, 2008.

[27] United States General Accounting Office (GAO), "Human Capital: A Self-Assessment Checklist for Agency Leaders, September 2000, Version 1, GAO/OCG-00-14G Human Capital.

In a 2008 whitepaper on moving from tactical to strategic human capital in the federal government, lessons learned about the elements of a successful human capital strategy and those elements that contribute to the fulfillment of a successful human capital strategy were highlighted.[26]

- Align the human capital strategy with organizational goals by leveraging workforce analytics.
- Proactively respond to changing workforce demographics and trends.
- Address workforce demands at every stage of the talent life cycle.
- Identify, assess and mitigate workforce risks.
- Plan for agency, compliance, governance, and administration change.
- Synchronize financial and operational workforce strategies.

That same paper also identified the following as obstacles for the human capital function to make this strategic transformation:[28]

- HR may have a tactical mindset, thus it lacks the necessary skills to make the cultural shift to becoming more strategic.
- Employee loyalty is at an all-time low; organizations need veterans and champions now more than ever.
- The strategy needs to be proactive to be effective.
- Lack of a holistic view of the workforce. Sub-optimal systems that don't answer the tough workforce questions.
- Redefine the role of the Chief Human Capital Officer and empower HR teams with the decision support they need to bolster organizational goals and gain a seat at the executive table.

Human Capital Strategy Models

We looked at 23 models from higher education, consulting firms, government, and the private sector. Most of the models cover the themes that include recruitment, performance, development, compensation, and rewards. Other themes that were mentioned, but less frequently, included environment (external drivers impacting an organization), assessment, career, and succession planning. Process was identified from different points of view such as process improvement, business process, and organization process. Most of the models depicted a graphical representation of themes. Only a few illustrated human capital strategy models as a process.

In January 2001, the United States General Accounting Office (GAO) identified strategic human capital management as a government-wide high-risk area.[29] Subsequently, the US Comptroller's office issued a report that outlined a model for human capital in government agencies. In this report, concern is expressed about "human capital shortfalls eroding the ability of many agencies, and threatening the ability of others, to economically, efficiently, and effectively

[28] Tactical to Strategic: Transforming Government's Chief Human Capital Officer, SAS White Paper, 2008.

[29] United States General Accounting Office (GAO). "A Model of Strategic Human Capital Management," GAO-02-373SP, March 2002, p. 4. See also: U.S. General Accounting Office, High-Risk Series: An Update, GAO-01-263 (Washington, D.C.: Jan. 2001).

perform their missions."[30] The report identified four challenges faced by the federal government at that time. They included:[31]

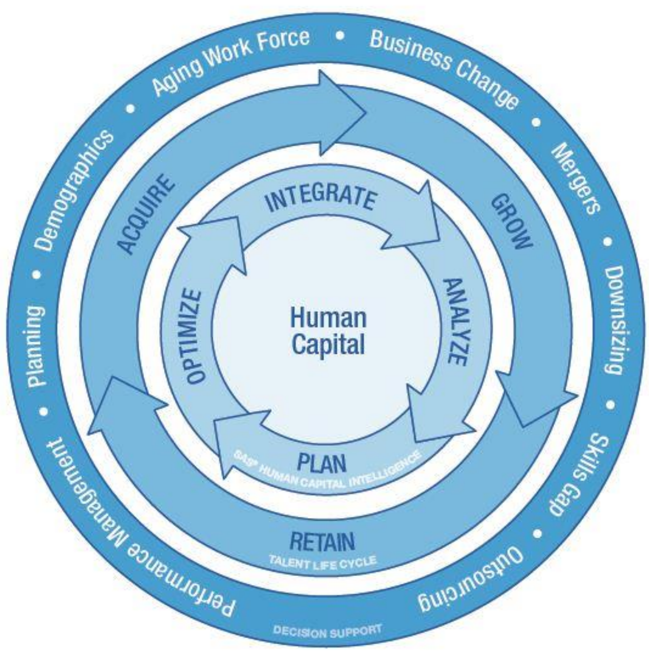
1. Leadership, continuity, and succession planning.
2. Strategic human capital planning and organizational alignment.
3. Acquiring and developing staffs whose size, skills, and deployment meet agency needs.
4. Creating results-oriented organizational cultures.

Many of the federal government's agencies now have human capital strategies.

One model to manage the work force in a more strategic way was developed by SAS Human Capital. This model is designed to:[32]

- Integrate organizational data to gain a holistic view of the workforce.
- Analyze workforce conditions to identify trends, risks and skills gaps, and align the work force with current and future goals.
- Plan a human capital strategy that aligns with the organization's mission and goals.
- Optimize the work force with the ability to model and perform "what if" scenarios under various conditions and constraints.

SAS HUMAN CAPITAL MODEL



[30] Ibid., See also: U.S. General Accounting Office, Performance and Accountability Series—Major Management Challenges and Program Risks: A Government-wide Perspective, GAO-01-241 (Washington, D.C.: Jan. 2001). In addition, see the accompanying 21 reports (numbered GAO-01-242 through GAO-01-262) on specific agencies.

[31] Ibid.

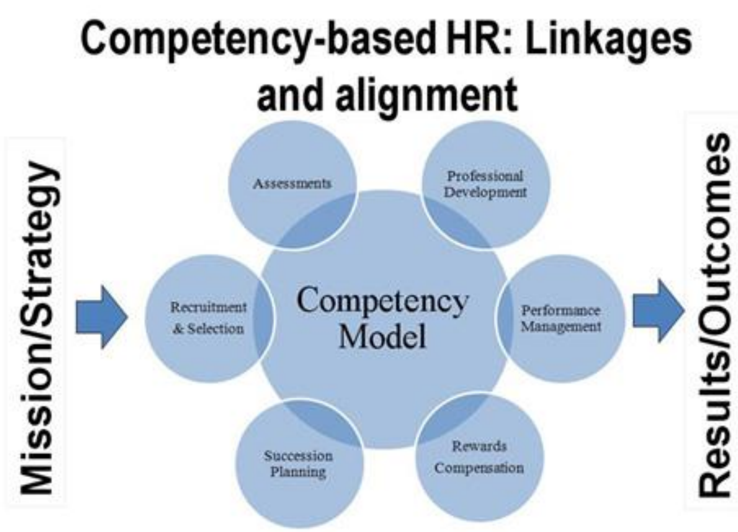
[32] From Tactical to Strategic: Transforming Government's Chief Human Capital Officer, SAS White Paper, 2008.

Two other models are similar in design, concept, and theme: (1) The Ohio State University – Extension Human Resources model called "Competency-based HR: Linkages and Alignment;" and (2) the Human Capital Institute (HCI) model. These models are graphical depictions of human capital themes and processes that begin with strategy on the left and conclude with results. In the middle is a circle with themes frequented by most of the other models: recruitment, development, performance, compensation and rewards. Both models included assessments, but the Ohio State model identified succession planning as a separate theme.

One other important difference between the Ohio State model and HCI is workforce planning. This was unique to HCI and represents their starting point in the circular model. The Ohio State model starts instead with "Recruitment and Selection" after strategy.

Below are the Ohio State University and HCI's models. They are presented here because they capture the majority of the themes from the 23 models. Both represent a model and process that begins with strategy and ends with assessment of results.

THE OHIO STATE UNIVERSITY - EXTENSION HUMAN RESOURCES



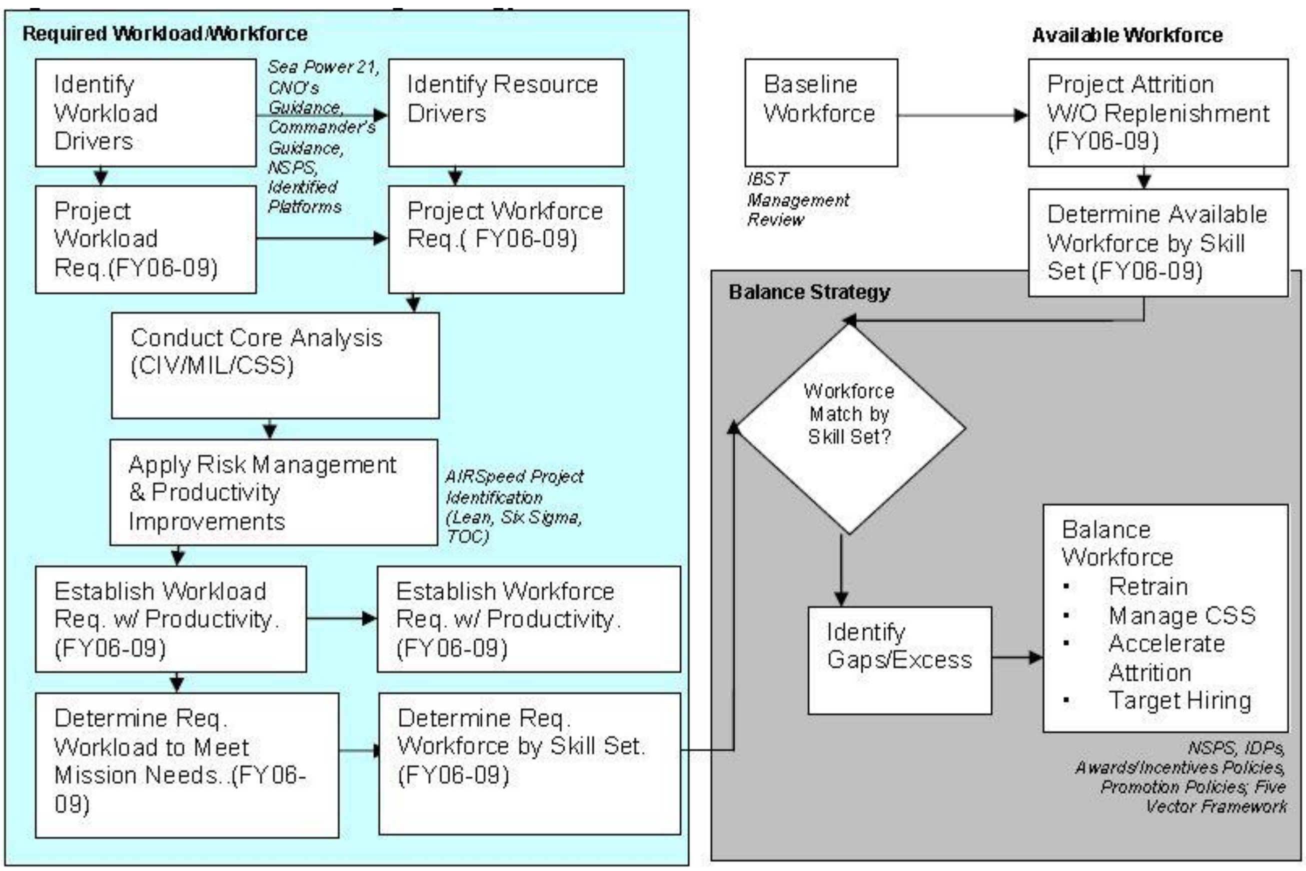
HUMAN CAPITAL INSTITUTE

One other model, from Sabre Systems, Inc., addresses workforce analytics. The Sabre model, pictured below, identifies workload and workforce projections as important for developing an effective and efficient human capital strategy. It creates three components beginning with an identification of the required workload/workforce, followed by an inventory of the available workforce, and ending with the management of the gaps to balance workforce needs.

The three components are described below.

- Required Workload/Workforce involves a full understanding and inclusion of the initiatives and policies set forth in the strategy.
- Available Workforce needs to be compared to the required workforce, including an analysis of the current workforce; projects workforce attrition without replenishment; and projects available workforce by skill set.
- Workforce Balance Strategy includes determining if the Available Workforce by skill set matches the Determined Workforce by skill set. Gaps and/or excess of workforce resources will be balanced through a variety of actions such as retraining, accelerating attrition, and targeting hiring.

SABRE WORKFORCE BALANCING STRATEGY[33]



Reference: NAVAIR Strategic Performance Plan, 2005; Department of the Navy Human Capital Strategy (HCS) Implementation Plan, May 2005; Five Vector Model By Series OOA1 DBG, NAVAIR 2005; CNO Guidance 2005

[33] Blevins, Bradford. "An Approach to Human Capital Strategy Implementation Planning – Whitepaper." Sabre Systems, Inc., New York, New York, May 2006, p. 4.

Human Capital Model for UI

Based on its review of the internal and external reports and literature and best practices, the team proposes a Human Capital Model for the University of Illinois. The principles, graphic depictions, and outcomes of the proposed model are discussed below. Here is a proposed model to address the human capital strategy for the University of Illinois.

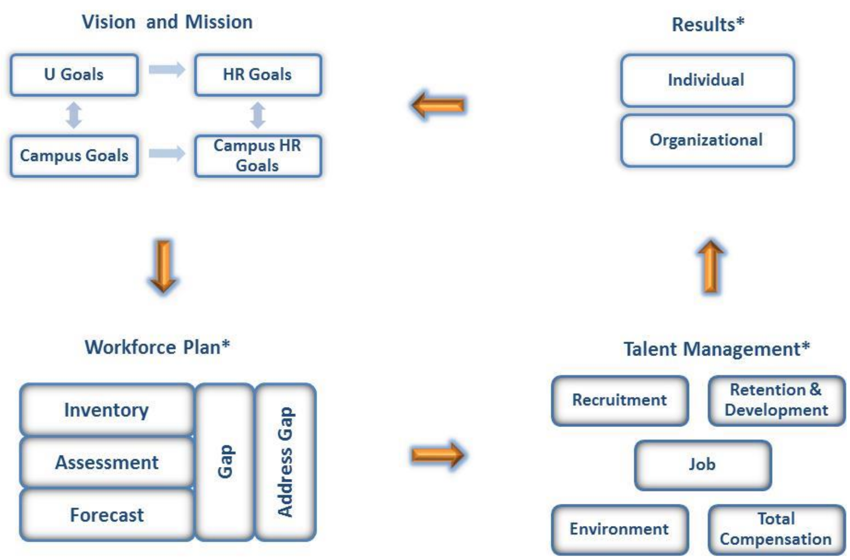
Principles

- Human Capital Management is a fundamental component of strategic business management. Human Capital Management is guided by, and directed toward, fulfillment of the university's and each campus's strategic mission, vision, and values. Human capital considerations are reflected when designing and implementing operational policies and practices.
- People are viewed at the University of Illinois as assets whose value to the university can be enhanced through investment. As with any investment, the University of Illinois' goal is to maximize the value of its people to increase operational effectiveness and efficiency, and add greater value to students, parents, and other stakeholders.
- A university-wide competency model provides a common base to implement a human capital strategy. Competencies are a guide for employees to support the university in achieving its goals. As an operational tool, the competency model is used to build and sustain the university's pool of leaders through recruiting, hiring, development, retention, and succession policies and practices targeted for leaders with identified characteristics and work experiences.
- Performance management systems, including pay and other meaningful incentives, link performance to results.
- Individuals interact, support, and learn from each other as a means of contributing to the high performance of their peers, colleges, units and the university as a whole.
- The organizational structure should support high performance in the workplace.
- Talent management only "works" if all leaders, managers, and employees are responsible for hiring, engaging, developing, and retaining top talent. HR enables these efforts by developing and providing tools, templates, processes, systems, analyses, and training to help leaders, managers and employees be more effective in their talent management responsibilities. But the ownership rests with the line.[34]

[34] Human Capital Institute, Human Capital Strategist Workshop Participant Guide, Chicago, February 6-7, p. 162

Model

University of Illinois Human Capital Model

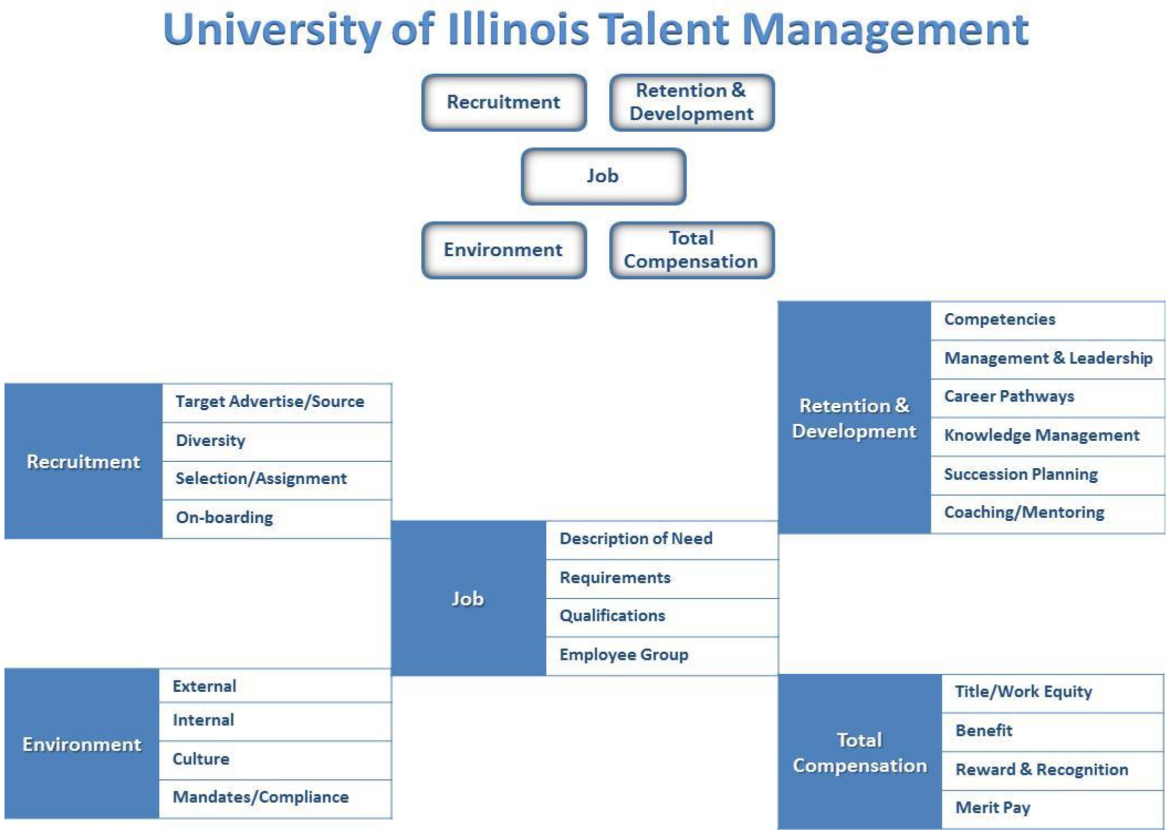


University of Illinois Workforce Plan

Inventory	Current Knowledge and Skills
	Current Capacity
	Current work

Assessment	Performance Appraisal
	Career Plans
	Standard Assessment Tools

Forecast	Projected Work
	Projected Gaps/Needs
	Projected Capacity



Desired Results from the University of Illinois Human Capital Model

The desired results from the implementation of the human capital strategy through this model are broken down into individual and organizational results.

Employees should be expected to:

- Perform at a high level;
- Be engaged and satisfied;
- Continuously work on skill and professional development;
- Demonstrate continuous performance improvement;
- Thoughtfully engage change;
- Operate as providers of solutions and be entrepreneurial in spirit.

The University and its organizations should be expected to:

- Align strategic human capital with its organizational mission and goals;
- Value employees as appreciable assets;
- Create results-oriented organizational culture;
- Provide for leadership continuity and succession planning;
- Create a culture of continuous improvement;
- Proactively address changing workforce demographics and trends;
- Have competitive compensation programs;
- Provide career and development opportunities.

Recommendations[35]

The following proposed recommendations are presented to the Human Resources Leadership Team for their consideration. There are a total of fifteen recommendations grouped into eight categories and four additional process oriented recommendations. The effort and investment required to successfully implement the recommendations vary as widely as do the nature of the recommendations.

With the comprehensiveness of the human capital model the team could have added many additional recommendations but instead concentrated on those issues that were consistent with the project scope, previous employee questionnaires, and topics that are critically important to academic professionals and civil service employees at this time.

This strategy and the human capital model established the framework for ongoing review and for determining additional recommendations for the University's human capital.

Strategy

Oversight and Continuation of the Human Capital Strategy

Human capital measures, like all of the recommendations in this strategy, are best driven by an ongoing effort of university and campus administrators who are stewards of the resources required to implement this strategy. We recommend adopting the human capital strategy as an integral part of the overall human resource strategy, and regularly monitoring and updating it as appropriate. The implementation of this strategy should reside with campus leadership and the human resource leadership team.

Continuous Improvement

The university should institute a program to instill a culture of continuous improvement.

Rationale

- Declining state-level financial support requires that many units on campus get more done with less funding and fewer staff. Doing so will demand greater collaboration and sharing between campus units, as well as improvements to our work processes.
- One way to create more effective, efficient and standardized work processes on campus is through new or improved centralized IT applications and services. However, making changes to work processes through wide-scale innovations in campus IT (e.g., Banner) typically takes years to implement. Therefore, it takes years to see the anticipated cost savings and improved service quality.
- Furthermore, changes to work processes, if perceived as top-down initiatives being "forced" on staff, often lead to *decreased motivation to change* among the frontline staff, according to recent research by University of Illinois, College of Business faculty ("Job Autonomy, Trust in Leadership, and Continuous Improvement" by Anand & Chhajed, 2012).

[35]Campus HR is defined as each respective campus HR organization and Employee Relations/Human Resources for University Administration in the Recommendations and Appendix.

- Given the drawbacks of relying exclusively on centrally-administered IT applications or other ways to promote standardized work processes in a "top-down" manner, we need a program to promote more frequent improvements to work processes and practices that are developed and implemented locally by the frontline staff. Such a program could be very effective, given that frontline staff often have the most accurate information on how work gets done and where improvements can be made quickly in an incremental way.
- Support for this idea comes from research by faculty in the College of Business on the Urbana campus: Gopesh Anand & Dilip Chhajed. Their research has established that successful continuous improvement initiatives emphasize (1) the role of leaders as coaches (2) creating a balance of top-down goals with bottom-up improvements (3) preserving the sense of autonomy that workers have over their day-to-day work environment (Anand & Chhajed 2012).

Impact

Continuous improvement programs can create a shift in mindset and behaviors in frontline employees and their supervisors by emphasizing local responsibility for improvement instead of relying on top-down process changes for groups. The expected impact of this program for continuous improvement would be:

- Creative, innovative and forward-thinking mindsets and behaviors in our staff.
- Systematic improvements to work practices on a regular basis.
- Improved quality of services provided to students, faculty and other staff members.
- Increased motivation to take proactive measures locally that support the campus goals.

Implementation

- The HR leadership team will charge a team to develop and implement a training program for leaders of campus units in (1) building trust (2) coaching, guiding and mentoring staff (3) pushing people out of their comfort zone into a learning zone, (4) preserving the sense of autonomy that groups need over their day to day work environment.

Civil Service

Modernization of State Universities Civil Service System

Work with government leaders, legislators, the State Universities Civil Service System, employee groups, and other state schools to establish a vision of the future for the State Universities Civil Service System. The goal is to work together to improve the system so that it serves the best interests of all stakeholders[36].

Rationale

The flexibility needed in hiring the right employee is critical to a strong workforce. Some examples are:

- The current requirements hinder the ability to attract people from other states, and therefore the University of Illinois is at risk of losing jobs to other states.
- The State Universities Civil Service Act applies to every state university in Illinois, and generally imposes its requirements uniformly across every campus of each of the state universities. This impairs the ability of individual campuses to address employment matters that are unique to, or of particular concern to, an individual campus.
- In many areas, for example, in information technology, health care, and research, the nature of work and the allocation of duties among personnel are evolving rapidly. The process of classifying positions under the Civil Service Act is time-consuming and cumbersome, and does not permit ready and timely modernization and real-time adjustments to classifications. It imposes time constraints, procedural obstacles, and substantive limits that hinder the university's efficiency and competitiveness. A large number of civil service job specifications are outdated and condensed.
- The Act imposes strict and complex seniority requirements that negatively impact simple management decisions such as reorganizing a work area to make it more efficient. These requirements force a cascading series of "bumps" by which more senior employees displace less senior employees, generally without regard to actual competency of employees to perform particular jobs they "bump" into and without regard to performance history and disciplinary status of the employees who displace other employees.
- The Act imposes testing requirements that can severely hinder hiring the best, most competitive candidates. While a resume review can satisfy the testing requirement for some classifications, for many classifications every applicant is required to take an examination that is dictated by the Civil Service System.
    - Scheduling of exams can be time-consuming and rigid, imposing additional hurdles on applicants, the most qualified of whom may be encouraged to apply to other employers.
    - Content of exams is controlled by the Civil Service System. Although input is sought from the universities that use the classification for which an exam is being developed, the process of obtaining the input, creating the exam, validating it, and implementing it is time-consuming. Many exams are

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[36] The federal government has been active in civil service reform under the Obama Administration. Two good resources to consider with this recommendation are: "End to End Hiring Initiative," United States Office of Personnel Management, 2008 and Mautner, Elizabeth A. Krobot, Zbynek, and Biggert, Tim. "A New Day for the Civil Service," Unites States Office of Personnel Management, November 10, 2011. These materials will be available through the electronic version of this strategy.

outdated or inadequate to meet the present-day needs of the classifications they are intended to support.

- Rule of Three
  - The Act imposes rigid ranking requirements based on tests, permitting the university to hire only from among the top three candidates by test score, regardless of other indications of superiority of other, lower-ranking candidates. The university is not permitted to interview any candidates other than the top three. If interviews reveal that the candidates in the top three are not acceptable, the university's only choices are 1) to hire one of the unacceptable candidates; 2) to cancel the search without making a hire; or 3) cancel the search without making a hire until additional candidates are placed onto the register who might outrank the candidates who were previously at the top of the register.
  - For the new "customized" civil service classifications, i.e., the HR Associate, IT Associate, Business Administrative Associate and Accounting Associate, the Rule of 3 is interpreted as the top 3 "banded" scores. Candidates' credentials are reviewed and scored as 100, 90, 80, or 70. Thus, if there are 30 candidates on the register who are scored as 100, 30 candidates who are scored as 90, and 30 candidates who are scored as 80, the unit gets all 90 candidates and must interview **all** of them, instead of being able to sort through the candidates and pick the most qualified to interview.
- Maintaining lists of applicants (employment registers).
  Names of candidates generally remain on the employment registers until they are removed. The process for removing names to keep the registers current is time-consuming and does not reflect the realities of the present-day employment market.

Impact

- Reform of the Act is one component of the university's efforts to gain and hold the forefront in its teaching, research, public service, and economic development. Higher education and health care are highly competitive and must be supported by modern hiring and employment practices.
- Modernizing civil service will enable the university to compete more effectively in the market for the best, brightest, and most creative workers.
- Reforming the complex "bumping" requirements will enable the university to limit the disruption of operations and the expense of regular displacement of employees from one area to another.
- Disruption to the university's operations and roadblocks to improvements may be removed or mitigated.

Implementation

Success of this effort would likely require careful, transparent coordination with, and involvement by, all stakeholders at every stage.

Career Development

Create comprehensive Career Paths for University Employees as Appropriate for Job Families

Develop comprehensive career advancement paths as appropriate. This recommendation is linked with comprehensive compensation and titling review as well as promotion of internal candidates where appropriate.

Rationale

The reasons for this recommendation are multifaceted. Institutionally, the university needs to develop a strong talent pipeline to support succession planning and long-term growth. The Survey of APs, which is conducted periodically by UPPAC and other related groups, consistently reports "career advancement" to be a top job-related concern among the majority of APs on all campuses. While there are progression opportunities outlined in the State Universities Civil Service System, there are opportunities for improvement, particularly with the new designations changing career paths to another civil service line or to an AP position.

This recommendation supports several of the Human Capital Strategy model's guiding principles:

- "…people are viewed as assets whose value to the University of Illinois can be enhanced through investment. As with any investment, the University of Illinois' goal is to maximize the value of its people to increase operational effectiveness and efficiency, and add greater value to students, parents, and other stakeholders."
- Investments in employees building careers inside the Academy lead to better succession planning and support UI's personnel as a whole to respond to shifting priorities and demands.
- "Talent management only 'works' if all leaders, managers and employees are responsible for hiring, engaging, developing and retaining top talent. HR can develop tools, templates, processes and systems to help leaders, managers and employees be more effective in their talent management responsibilities. But the ownership rests with the line in all high performance cultures."
- Developing comprehensive career advancement paths at the institutional level would be a very useful tool that unit line staff in all areas can use in real time to provide parameters for individual and staff professional development timelines and goals.
- In addition, this recommendation leverages existing job analysis activities (FAQ C2)[37] and UI's move toward more rational compensation and professional development planning (C3).
- "The job analysis process will enable the development of an objective, rational, consistent job hierarchy that orders positions within discipline (e.g. Grant administration, Academic Support, Finance, etc.) and role (e.g. Manager, Individual Contributor) in rank order. As a result, we will be able to identify the relationships between jobs, determine the appropriate pay levels of jobs (e.g. create salary structures or the like), identify the training opportunities necessary in order to move vertically (within discipline) from one job level to the next, or horizontally to the next job (across disciplines)."

Impact

- Retention of institutional knowledge due to retention of staff.
- Higher employee engagement, resulting in higher commitment and performance.

[37] Frequently Asked Questions (FAQs) about the Civil Service Audit, Job Analysis, Exemptions and Conversions (UIC): http://www.uic.edu/depts/hr/UIC_Civil_Service_Audit_Job_Analysis/FAQs/Job_Analysis_FAQs.pdf

- Better support for job competency modeling.
- Better succession planning and more internal promotions, resulting in high employee satisfaction, better organizational preparation, and more efficiency.

Implementation

- Establish a taskforce representing stakeholder groups that represent each of the three campuses, and groups responsible for cross-campus coordination and collaboration. These groups would include the AP Task Force, UPPAC, civil service advisory groups, and campus HR. Some changes may be implemented locally to each campus, and some may be reviewed for system-wide modifications. Appendix 3, page 47 contains a presentation on IT career progression from CITES at Urbana/Champaign campus.
- This taskforce may identify units appropriate for a pilot program that would examine the practices of units that have already completed job analysis and competency modeling processes. Implementing Pilat at Chicago has become a time consuming and slow process that has also become very expensive. Lessons learned from this experience need to be understood by the taskforce for career development.
- The taskforce may also identify units and positions with high turnover and/or willingness to engage in this process.
- Integrate with other recommendations, such as the employment of a compensation specialist and review of AP titles.
- Review best practices of units that have defined AP career paths and advancement procedures in place.
- Build templates for reasonable pathing efforts, which include mission and goal statements consistent with flexibility, titling, and key features of the AP employment category.
- There will be HRIS considerations. For example, data from the job analysis system may be useful to support this activity.

Compensation

Create a comprehensive compensation plan, policies, and practices for all employee groups by campus.

Rationale

- Job documentation and evaluation, titling, compensation framework, career opportunities, etc., are not consistently applied and in some cases are not done at all.
- Job titles should reflect the level of responsibilities, authority, discretion, and skill required of the positions for which they are used.
- Inadequate support for pay practices exposes the university to inquiry and investigation by regulators that have responsibility to enforce equal pay laws, and might expose the university to enforcement actions and liability under those laws.
- The university does not presently have an articulated or consistent policy regarding use of the market to set pay for its positions.

Impact

- Enhance compliance with federal and state laws.
- Provide consistency campus-wide in positions and titles with like work.
- Support strategic workforce planning.
- Promote skill and capability building.
- Provide alignment with the external market.
- Enable employees to plan and map career possibilities.

Implementation

- Establish a cross campus task force to work with consultants or faculty experts, if needed, to develop and implement a pilot compensation program. Then based on lessons learned and improvements made to the original pilot, implement a roll out plan for a compensation program across the university.
  - Review and gather information
  - Support by appropriate focus groups, training, auditing, and control mechanisms.
- Acquire staff specialized in compensation for each campus.
- Review compensation planning activities based on the lessons learned from the efforts in Chicago and CITES at Urbana, as well as other initiatives within the university and peer institutions. Then build a pilot compensation plan, and test it before making large scale changes. Appendix 4, page 56 contains a presentation on job hierarchy and career leveling from the Chicago campus.

Human Capital Measures

The University should Collect, Evaluate, and Report HR Workforce Metrics

University and campus human resources offices should be responsible for collaboratively defining and consistently collecting, evaluating and reporting metrics that will support human capital strategy decision making, specifically for workforce and succession planning.

Rationale

Measures of human capital are important to understand our current workforce and in our workforce planning to meet the university's mission and goals. Human resource and finance information systems such as Banner, NESSIE, and HireTouch enable us to collect and report on employee data. Unfortunately, they do not collect all of the information that we need for workforce and succession planning. The data we currently collect does not give us information on the work environment or employee's attitudes, which are often reasons for staying or leaving. Human resources need this data so that it can better plan for future resource needs. This requires a sustainable organization to take responsibility for defining and reporting on the measures consistently across all of the universities campuses. The university should collect, evaluate, report on and communicate HR workforce metrics to be used in decision making processes.

- Identify, capture, analyze, and report data that our current systems are not collecting.
- Better and more comprehensive data collecting will lead to better decision making as it applies to workforce and succession planning.
- Consistently apply definitions and reporting of the data across departments and campuses where some of the information is currently, but not consistently collected.

Impact

- The new data may be used to assess the workforce environment and monitor trends.
- The new data may provide information for better informed decisions about workforce and succession planning.
- Data on existing practices such as selection, recruiting, employee development may determine their viability and impact. Data analysis may also assist in defining appropriate allocation of resources.

Implementation

- Human resource leadership should determine the types of data needed that are not collected by existing systems, prioritize the gaps and put a plan into place to begin accessing the data needed for its strategic planning. Appendix 5, page 77 contains a workforce metrics proposal.

Create an exit interview program.

Rationale

- Identify reasons people are transferring between units within the university or leaving the University.
- Provide the University with a reality check – highlighting weaknesses and validating strengths.
- Data gathered from exit interviews will help campuses identify common issues/challenges and address problems.

- Information gathered will also allow for future improvements in units and among the campuses: creation of additional training and mentoring opportunities; clearer outline of discipline procedures; identification of leadership opportunities and career paths.
- Create new programs or enhance existing employee development programs, as appropriate.

Impact

- Help to reduce potential unintended turnover.
- Retain key employees and their institutional knowledge.
- Improve the workplace environment, policies and retention rate.

Implementation

- Develop a core set of exit interview questions that can be applied across departments and campuses.
- Develop an exit interview template that can be modified for additional questions germane to a department or campus.
- Make exit interview integral part of "off-boarding."
- Each unit HR contact, HR service center, or centralized HR office (depending on the organizational structure of the campus) should ensure that the exit survey is administered, results tracked and data is forwarded to campus HR. It is preferred that an internal (not from the same unit) or external third party conduct the interview.
- Core exit interview questions should be shared with senior HR leadership. Appendix 6, page 78 contains sample core exit interview questions.

Human Resources Systems Initiatives

Conduct research and analysis to identify potential technological solutions which would support one or more components of the Human Capital Strategy. Some of the solutions may enhance areas such as recruitment, performance management, career development, succession planning, learning and development, and compensation management.

Rationale

- The research and analysis would help to determine the University's needs for technology solutions.
- The effort would assist in determining the functional scope and requirements needed to support the Human Capital Management Strategy.

Impact

- The effort would provide the information the University needs to determine what the optimal technology solutions may be.

Implementation

- Human resource leadership should charter a cross-department and cross-campus team to complete the research and analysis.

Performance Management

Bullying

A bullying policy should be developed to complement existing policies, such as violence prevention in order to address such activity at the earliest time it is exhibited. See Appendix 7, page 81 for a proposed bullying policy. Bullying applies to protected and non-protected classes of employees. (For additional information on university policies protecting employees, see the Nondiscrimination Statement and the Statement on Sex Discrimination, Sexual Harassment, and Sexual Misconduct Statement on the self-service HR application NESSIE http://www.hr.uillinois.edu/university_equal_opportunity/).

Rationale

There are violence prevention policies and plans that are directed to situations where there is or could be the probability for imminent danger. Evidence of bullying is expected to be addressed by supervisors.

What the human capital strategy team found is that there is not a policy focused on actions, specifically bullying, which can be not only intimidating, create negative work environments, hurt performance and morale, but also could potentially accelerate to more aggressive behaviors.

Every individual is entitled to be treated with respect and to be free from bullying and harassment of all forms. All members of the university community are expected to behave in a manner which demonstrates proper regard for the rights and welfare of others.

Impact

- Foster and complement a positive work environment.
- Positive impact on morale.
- Further enhance safety and security in the workplace.
- Reinforces the commitment and interest of the University to provide a culture of inclusiveness and respect to all the employees.

Implementation

Upon approval of this recommendation, the human resource leadership team and EEO officers will charge a university-wide work group to determine the best course of action for the development and implementation of a uniform policy, with implementation by the campuses.

Defined Grievance and Mediation/Dispute Resolution Process for Academic Professionals

Define, develop and implement consistent and parallel grievance policy guidelines and mediation/dispute resolution procedures for academic professionals (see Appendix 8, page 83 for a proposed defined grievance and mediation/dispute process resolution process for academic professionals.)

Rationale

There are diverse policies and approaches to address grievances or mediation/dispute resolution for academic professionals for each of the three campuses. This recommendation is designed to formalize clearly defined, consistent policy guidelines to address workplace grievances, with the specific implementation processes to be defined by the Campus HR.

Impact

- Academic professionals will have the knowledge and a mechanism to address appropriate employment issues.
- Academic professionals will not feel isolated from the process to address their grievances and will know that there is recourse to be heard.
- Creates a "release valve" for addressing explosive issues.
- Reinforce the commitment of the University to academic professionals.

Implementation

Upon approval of these recommendations, the campus leadership team will charge a work group to examine current policies where they exist, identify gaps, inconsistencies and best practices and then recommend policy guidelines.

While the policy guidelines should be standard across the campuses and UA, the process for implementation of the guidelines may be individualized to each campus.

Professional Development and Training

Create a collaborative work group with human resource training and development skills to support requests from the human resources leadership team and to propose initiatives supported by that leadership team.

Rationale

- Improve professional development opportunities.
  - Leverage best in class programs across the university.
  - New programs to address existing gaps.
- Increase efficiencies and reduce costs through shared resources.
- Integrate university faculty in workshops and other relevant aspects of the development and delivery of training.

Impact

- Expand internal resources for career development.
- Expand opportunities for management development.
- Improve collaboration and implementation of best practices

Implementation

- Upon approval of this recommendation, the human resource leadership team will charge a work group that has human resources training and development skills to support requests from the human resources leadership team and to propose initiatives supported by that leadership team as appropriate.

Create or foster programs that will promote development of employees who lead and support human resource work.

Rationale

- Potential to improve service delivery.
- Foster better collaboration and communication among HR professionals.
- Share HR best practices, processes, tools and technologies to reduce duplication of effort and resources.

Impact

- Provides opportunities to raise the level of HR knowledge where appropriate across the university.
- Exposure to different campus practices, techniques and tools.
- Provides networking opportunities among and between campuses and HR professionals.
- Speeds up proficiency and efficiency by providing best practices and tools.
- Fosters greater communication among and between the campuses through the exchange of ideas, practices and techniques.
- Fosters a culture of continuous HR process improvement through exposure to other HR practices and techniques.

Implementation

- The human resources leadership team should charge a standing training and professional development committee (it may be the recommended collaborative work group previously referenced), to carry out this recommendation.
- This committee should consider the following in the development of programs for people doing HR work. See Appendix 9, page 85 for an example of an HR educational program administered at the UIUC campus.
  - Create an inventory of HR related tools and technologies throughout the institution.
  - Identify current campus initiatives and leverage those efforts to support best practices.
  - Use existing campus HR, off-campus and university committee meetings to communicate.
  - Establish framework for program opt-in and opt-out partnership assignment.
  - Utilize a clear communication plan identifying key groups of HR professionals so that information will be routinely shared.
  - Create a Human Resource Infrastructure Library (HRIL) to define the organizational structure(s) and skill requirements of an HR organization and a set of standard operational procedures and practices to allow HR to manage their operations and associated infrastructure.
  - Identify a best solution for implementing a repository to store and share information.
  - Each respective campus HR maintains the authority to promote and implement best practices.

Supervisory and Management Development

Establish a three-tiered management development model that is developed maintained and delivered collaboratively with and through Campus HR by the aforementioned collaborative work group reporting to the HR leadership team. These three tiers will consist of:

- Introduction to Management and Leadership
  - The first tier of the management development program, Introduction to Management and Leadership, is mandatory for all new first time managers or supervisors overseeing the work of one or more people. Urbana/Champaign, Chicago and University Administration already have offerings available for tier one.
- Preparation for Senior Management and Leadership (training modeled after the University Fellows program, (see Appendix 10, page 86 for a proposed academy for excellence in leadership and administration program).
- Executive management and leadership development.

Rationale

- This recommendation is based on the literature search and previous studies conducted at the university over the past 17 years.
- In addition to the literature, data gathered from grievance hearings at the university level (3), anecdotal data, and information collected from exit interviews indicate that there are opportunities for improving management/supervisory skills.
- Develop a culture of managerial competence through formal and informal outreach.

Impact

The university should expect positive benefits from this recommendation to include:

- Ability to recruit.
- Improve retention.
- Improve management performance.
- Enhance employee morale and engagement.

Implementation

The human resources leadership team should charge a standing training and professional development committee (it may be the recommended collaborative work group previously referenced), to carry out these recommendations. Appendix includes an approach for the three-tiered manager/supervisor development program and the proposal for the tier-two program to prepare middle managers for more senior level positions. See Appendix 11, page 89 for a proposed supervisory and management development program.

Onboarding Program Standards

The university should institute program standards for comprehensive on-boarding and training of new employees. On-boarding in this context is intended to mean more than routine processing of paperwork needed to support the employment. Rather, it is used to mean the new employee's comprehensive introduction and integration into the work, values, and culture of the organization, over a period of six to twelve months or longer. See Appendix 12, page 91 for a summary of the "Meet the Ambassadors Program from CITES at the Urbana/Champaign campus.

Rationale

- Efforts to engage employees can yield significant positive results for the organization at every stage of the employment life cycle.
- Organizations with a formal onboarding program have a higher level of engagement and productivity in new hires and more satisfied customers than organizations with informal or ad hoc onboarding programs[38].
- The employee's perception of the value of working for the employer may begin before the employee has even decided to seek a position with the employer.
- Even when training is thorough, the training should take advantage of the opportunity to shape the employment culture in directions that support the university's long-term strategy, mission, and goals.

Impact

The research on formal onboarding programs indicates the following outcomes for employers:

- Improved productivity.
- Increased engagement.
- Increased retention.
- Higher student/customer/client satisfaction.
- Reduce unintended training costs.
- Drive innovation.

[38] Aberdeen Group, "Onboarding: the missing link to productivity", 2012)

Implementation

- The human resources leadership team should charge a working group to carry out this recommendation.
- This work group should consider the following in its deliberations on proposing a solution.
  - Adopt a successful model (similar to Stanford) which includes a centrally hosted and maintained web page to communicate onboarding standards for managers.
  - The successful "Meet the Ambassadors" onboarding program can be replicated across all three campuses for any unit that wants to more effectively orient and align newcomers quickly to the social, cultural and values piece of work performance.
  - Adopt a best practice of a stay interview within the first 12 months.
  - Develop on-boarding guidance and training for supervisors and managers.
  - Create on-boarding support systems for new employees at every level.

Promotions

Create campus guidelines for internal promotions without a search. See Appendix 13, page 93 for a proposed policy on promotions.

Rationale

The goal of this recommendation is to articulate clear and consistent philosophy for internal promotions to newly created or higher level positions where the internal candidate is qualified, willing and able to assume a new role.

Impact

The implementation of this policy has the capacity to:

- Improve employee retention.
- Reduce overhead and costs associated with unnecessary searches.
- Improve morale.
- Broaden opportunities for qualified candidates.
- Break down barriers to internal promotions.

Implementation

The Human Resources Leadership Team will charge a team consisting of human resources and EEO members to review and recommend parallel and consistent philosophy. The recommended guidelines should include criteria for determining if and when an internal promotion or internal search process is appropriate.

Each campus human resources and EEO office will work together to ensure campus and regulatory compliance and that equal opportunities to apply for open positions are provided to all qualified candidates. Each campus will determine their specific procedures for implementing this policy.

Additional Suggestions for Consideration

We expanded our original recommendations to include the following which are more process oriented.

Separation Process

It is the expectation that each employee leaving the University whether to another UI campus or an external employer receives proper and timely information in order to make decisions regarding benefits, COBRA, SURS, return of equipment, keys, etc. During the course of our deliberations, it was apparent that there are variations in what and how separation information is communicated, and when it is communicated to the employee. The Human Capital Strategy Team believes that each Campus HR *has avenues to address the variances in the process and that they should reinforce the separation policy and procedures with those who are charged with processing separations***.**

Recruitment Pre-screening

The opportunity for units to prescreen large numbers of job applicants to narrow an applicant pool prior to onsite interviews is available to academic professional searches and to a lesser extent for civil service searches. During our team discussions, it was apparent that the prescreening process and available resources to assist the process may not be well known to all of the individuals participating in the search process. *The Human Capital Strategy Team believes that there are opportunities to communicate to search committees the viability and benefits of prescreening, and to provide suitable training for those who choose to use such a suitable resource. This recommendation should be followed up as appropriate.*

Faculty with Employee Supervision Responsibilities

The scope of the Human Capital Strategy includes faculty who supervise one or more employees to the extent that it identifies opportunities for faculty to participate in training that should prepare them in carrying out performance management, searches, coaching, career and professional guidance for their employees. Opportunities that may be developed from these recommendations should be extended to faculty in a supervisory role. To be effective, campus human resources should work with the deans and the appropriate academic administrators to engage faculty in developing supervisory skills in their specific areas of responsibility.

Proficiency

Job knowledge and skills vary widely across the university, with some being more impactful than others if not properly executed. For example, inaccurate use of a computer system may lead to inaccurate data in financial transactions, human resource practices, student admissions, or compromised laboratory safety, to name a few. Lack of appropriate job knowledge and skills could also negatively affect employee morale and retention. Each organizational unit within the University has the duty to define the job knowledge and skills that are both critical to the efficient operations of the unit and that require a specific level of demonstrated proficiency. It may be difficult for a campus centric organization to make these judgments for each unit and/or to administer a proficiency program applicable to all organizations within the University. However, the Human Capital Strategy Team encourages the universities' organizational units to determine the essential proficiencies that warrant measured assessment.

Appendix 1

Strategic Alignment with University Goals and Human Resources for FY 13

The human resource leadership team developed strategic directions in FY12 and modified them for FY13, the time period which the human capital strategy was developed. The intent of these directions is to provide the members and their respective organizations with the priorities to be addressed by human resources in addition to the specific campus and UA initiatives. These strategic directions have been shared with the President and his cabinet.

Focus Areas

1. Recruiting and Retention/Competitiveness.
    a. Pension and annuitants.
    b. Benefits.
    c. Use of search firms.
    d. Other legislative changes.
2. Civil Service Issues.
    a. Flexibility in recruiting.
    b. Employment protocols.
3. Turnover of Key Faculty and Staff.
    a. Succession Planning.
    b. Recruitment.
    c. Retention of knowledge and skills.
4. Improve level of service.
    a. Efficiency.
    b. Processes Improvement.
    c. Customer Service.
5. Compliance with HR related laws and mandates across all of university operations.
6. EEO/Hiring Process.
7. Human Capital Strategy.

Metrics

Appendix 1 is referenced in the strategy on page 4.

Appendix 2

Internal Surveys and Reports

University of Illinois Employee Studies FY 2001-2011

There were three significant studies of note that took place between 2006 and 2011. The first project was a needs assessment of employees working in the University Administration yielding a report on July 27, 2007. The second was "A Report on the Status of Academic Professionals," released on February 25, 2008 by an Academic Professional Task Force on the Urbana/Champaign campus. The most recent study was sponsored by the Academic Professional Advisory Committee representing AP's at Chicago. That report was issued in June 2011.

Survey of Academic Professionals: Summary and recommendations[39]

"During the 1997-98 and 1998-99 academic years, the academic professional advisory committees (APACs) on all three campuses conducted surveys of their constituents to determine the job-related issues of greatest concern to academic professionals." "Each of the three surveys contained a core set of identical questions to permit comparison across the three campuses."

1. Four issues emerged as the most significant for academic professionals:
    a. Professional development
        i. "A sizeable majority on all three campuses indicated support for a policy providing for release time from work with pay for professional development purposes" (Chicago 90%; Springfield, 92%; and Urbana, 88%).
        ii. "Support was high for a job exchange program to learn new job skills."
    b. Salary
    c. Advancement
    d. Training of supervisors
2. Job related concerns were identified as follows:
    a. Salary (77-79%)
    b. Advancement (54%)
    c. Retirement (53-59%)
    d. Job security (44-52%)
    e. Health insurance (38-49%)
    f. Continuing education (22-29%)
    g. Child care (6-28%)
3. Between 37% and 44% indicated that morale in their unit was more negative or much more negative than in the past five years.
4. Between 32% and 34 % of respondents felt more positive or much more positive in how their personal morale has changed in the past five years.
5. The majority felt valued in their positions: Chicago, 76%; Springfield, 81%; Urbana, 74%
6. The majority also felt secure in their positions: Chicago, 62%; Springfield, 63%; Urbana, 55%

[39] University Professional Personnel Advisory Committee, "Survey of Academic Professionals: Summary and Recommendations" October 2000. This report was imbedded in section 4 of the "Employment Development Task Force" University of Illinois at Chicago. March 2002.

Organizational Needs Assessment: Summary of the Findings and Recommendations, July 27, 2007[40]

The following are recommendations taken from the University Administration Needs Assessment Survey across all three campuses.

1. "Plan VPPA/CFO Town Hall meetings on each campus. Start with Town Halls in September 2007 to present results of the needs assessment and plans for implementation of strategic plans.
2. "Increase the priority of face-to-face communication (increase visibility) of senior management through group meetings, walk-arounds, etc."
3. "Establish an internal University Administration web site for referrals to existing web site information on organizational structure, goals, location of policies, training opportunities/materials, and manager resources."
4. "Kick off the DELTA (Distinguished Employee Leadership and Team Award) program, a University Administration employee recognition program."
5. "Support a mid-level manager network to share knowledge and make concrete recommendations on ways to increase collaboration across VPPA/CFO units."
6. "Coordinate training opportunities across VPPA/CFO units. Ask training units and specialists to propose a low-cost method of coordinating general training opportunities across organizations."
7. "Immediately consider longer term employees for roles in new projects, committees, and task forces other than business critical issues."
8. "Continue existing programs that offer performance appraisal training (e.g. OBFS). Start expansion of such programs across VPPA/CFO."
9. "Encourage unit heads to use existing services such as Employee Relations/Human Resources and existing policies and processes (such as performance appraisals) to address consistently poor performers."
10. "Provide supervisor training on poor performance issues."
11. "Make it a priority to share information with employees early and often on organizational structural issues and changes."
12. "Implement a unified University Administration strategic plan. Share with employees how organization and department level plans relate to the larger organizational plans to the University's plans."
13. "Establish a regular schedule of VP/Associate VP communications to employees, starting with one a semester. Include content such as strategic plan implementation, organizational initiatives, unit/employee accomplishments, changes initiated by employee feedback."
14. "Set up a University Administration portal to expand on the referral web site with content on strategic plan implementation, organizational initiatives, unit/employee accomplishments, opportunities for collaboration, etc."
15. "Establish employee recognition programs for VPPA/CFO units."

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[40] This entire section is quoted from "Organizational Needs Assessment: Summary of the Findings and Recommendations, July 27, 2007.

16. “Develop a succession planning process in University Administration, with links to employee career development and performance appraisals. Establish programs that support succession planning and career progression.”
17. “Support the Employee Relations/Human Resources office to develop an orientation program for new employees in VPPA/CFO units.”
18. “Initiate a project to address the issue of long-term employee disengagement. Include long-term employees on the project team.”
19. “Evaluate and revise the performance appraisal process. Work with unit heads to ensure that supervisors in BPPA/CFO units are consistently applying the new process, including training.”
20. “Start consistently rewarding and recognizing high performers.”
21. “Ask Employee Relations/Human Resources to develop a reporting process to define and track employee turnover in University Administration organizations.”
22. “Clarify the relationship between pay increases and performance appraisals and apply consistently across VPPA/CFO units.”
23. “Use an effective change management process to provide guidance on involving employees in change and how best to implement organizational change.”
24. “Provide supervisor/management training on how to lead through change and provide employee training on how to successfully weather transitions.”

A Report on the Status of Academic Professionals at UIUC February 25, 2008[41]

The following are recommendations taken from the AP study conducted at the Urbana campus.

1. “Create a forum for the academic professional community with a web site that becomes the focal point for career resources and self-improvement, allows for a quick survey of opinions from academic professionals, and enables an ongoing exchange of ideas. Populate the web site with resources about special interest groups, how to nominate a colleague for recognition, and programs outlined in the short – and long-term recommendations. The web site is proposed to be a centralized location for information geared specifically to the academic professional community.”
2. “Design and communicate a philosophy of compensation for academic professionals that clearly outlines such principles for academic professionals as base salaries for new hires, promotional increases, annual merit increases, and annual equity reviews for salaries. Explore options for supplemental meritorious pay, if/when applicable.”
3. “Address issues unique to part-time academic professionals, and in particular, determine if percentage appointments are sufficient to meet the needs of employing unit with a periodic review of appointments to resolve any associated issues. Review the University policy on notice of non-reappointment limitations for part-time academic professionals to determine if previous recommendations by the Council of Academic Professionals can proceed to the Board of Trustees.”

[41] This entire section is quoted from “A Report on the Status of Academic Professionals, February 25, 2008 by an Academic Professional Task Force.

4. "Share the Campus-wide strategic plan with presentations specifically targeting academic professionals to gather input and ideas on connections of academic professionals to the strategic plan."

5. "Add a component to the performance review process that relates the unit and University's strategic plans to the performance review, encouraging congruence between individual and institutional goals. Include suggestions for unit-determined, job specific criteria such as leadership, teamwork, customer service, and partnerships. The review should include core knowledge, skills, and abilities (KSAs) needed for the position. A professional development plan should be expected as part of the review as well. Require supervisory and employee training on their roles in performance reviews to instill a culture of self-evaluation and accountability, along with a full understanding of the entire process."

6. "Create a navigation tool that maps out a path for career advancement. Map the structure in the Banner Human Resource System with the industry standard of job families, showing how titles are used on this Campus and relate it to options for career progression. Early on, this tool could simply follow 20 academic professionals through their varied career paths showing the titles held as they moved through their career. Later, a more complex, system-wide tool could be developed that would walk academic professionals through possible career paths and titles."

7. "Increase recognition programs to acknowledge innovation, leadership, impact, and advancement at the Unit, College and/or Campus level and consider young career and mid-career awards, as well as awards tied to strategic initiatives. Continue with the Chancellor's Academic Professional Excellence (CAPE) Award for demonstrated excellence based on the criteria of work, personal, and professional contributions."

8. "Evaluate progress in improving the workplace for academic professionals by gathering climate information with online exit interviews for personnel moving around Campus or off-Campus to new positions."

9. "Create and foster a Campus-wide mentoring program that would be led by academic professionals in colleges and administrative units."

10. "Encourage academic professionals to get involved with their College and Campus committees, join and lead interest groups, develop volunteerism opportunities, and engage in social networking."

11. "Undertake a project to provide a documented clarification of statues, policies, and practices that talk about academics. Often, it is not clear how to interpret the Statue or policy as it applies to academic professionals. Unique interpretations have led to varied implementations across Campus.

12. "Expand the new employee orientation programs held in the fall to include winter, spring, and summer to accommodate the fact that academic professionals are hired throughout the year. Implement strategies to connect new academic professionals with their peers and the Campus."

13. "Design Campus-wide programs that cultivate academic professional excellence in leadership, creativity, innovation, teamwork, conflict resolution, problem solving, emotional intelligence, and strategic thinking."

14. "Institute and offer Campus-wide, self-directed career assistance with programs in self-assessment, building your resume, mock interviewing, and goal setting through Campus-based training programs."

15. "Design and implement rotational programs, job shadowing, and/or job sharing opportunities for existing employees to explore work in other units as part of a career advancement and assistance program."

16. "Develop a transfer assistance program for academic professionals who wish to pursue advancement by transferring to another unit or area of work. Cornell's QUEST program is an interesting model." http://www.ohr.cornell.edu/contacthr/rec/quest.html

17. "Institute a Campus-wide undergraduate internship program, similar to industry to recruit from our own rich pool of students to develop a diversified pool of new academic professionals that have a broad understanding and commitment to the University. As 33% of APs are 50 years of age or older and are eligible to retire in the next five years, an investment must be made in recruiting."

18. "Create talent search options for employing units to recruit academic professionals who wish to advance in their career. Currently, recruiting is ad hoc through personal networking and/or through the use of some discipline-specific group email distribution lists."

19. An electronic academic professional survey should be conducted every year or two by survey professionals to measure the success of programs and to ascertain progress on issues of concern to academic professionals."

Academic Professional Advisory Committee Survey of Academic Professionals at UIC June 10, 2011[42]

The following are recommendations taken from the AP study conducted at the Chicago campus.

1. "Retirement issues continue to top the list of concerns for Academic Professionals and recent proposed legislation has heightened campus concerns. Out of the survey respondents, 82% reported being "very or extremely concerned" that SURS will not have funding to pay their pensions when they retire."

   "It is recommended that the campus supplement existing efforts by publishing a bi-monthly or quarterly 'plain language update on SURS' that is distributed to all UIC annuitants and addresses the following questions in each issue:

   a. What is happening (funding issues, pending legislation, etc.?)
   b. What are the benefits and or risks?
   c. What is the campus doing about it?
   d. What can individual employees do about it?
   e. Who can employees contact if they have questions?"

   f. Retirement issues continue to top the list of concerns for Academic Professionals and recent proposed legislation has heightened campus concerns. Out of the survey respondents, 82% reported being "very or extremely concerned" that SURS will not have funding to pay their pensions when they retire.

2. "It is recommended that opportunities for low cost or no cost fringe benefits be explored and implemented."

   "The survey results suggest that these kinds of programs (telecommuting, flex time, etc.) are highly valued by employees. Of the survey respondents, 63% said the ability to work flexible hours is 'very or extremely important,' as well as the ability to telecommute (56%)."

3. "It is recommended that an expanded communication strategy be implemented to more broadly disseminate the impact and benefits of the final outcome of job analysis and what this means for academic professionals."

---

[42] This entire section is quoted from the Academic Professional Survey Advisory Committee cover letter to survey sponsors and UIC Academic Professional Community, June 10, 2011 attached to the "Survey of Academic Professionals: Final Report Study #1074, by Linda Owens and Sowmya Anand June 2011, UIC Survey Research Laboratory, College of Urban Planning and Public Affairs, p. 1-3.

"Inequity and inconsistency in titling, work responsibilities and compensation continue to be of major concern for AP's. More than 57% of the respondents were 'very or extremely concerned' that employees with comparable credentials, responsibilities and workloads have varying titles and levels of compensation across campus. While there is currently a comprehensive, campus-wide job analysis process underway to address these inequities and inconsistencies, the purpose is sometimes comingled and confused with the Civil Service Audit findings and conversations."

4. It is recommended that a campus-wide committee on Professional Development be established. This representative committee would be charged with defining gaps in training and professional development services and to present recommendations on how to close the gaps."

   "UIC has several professional development and training offices on campus. Although there are numerous classes and webinars available, the decentralized nature creates confusion since communications come from multiple offices and are delivered in multiple formats; there are multiple websites and multiple registration systems, etc. Of the AP's responding to the survey, 65% indicated that they have 'little or no information' about professional development opportunities while only 9% responded that they have 'a lot or a great deal of information.'"

Appendix 2 is referenced in the strategy on page 9.

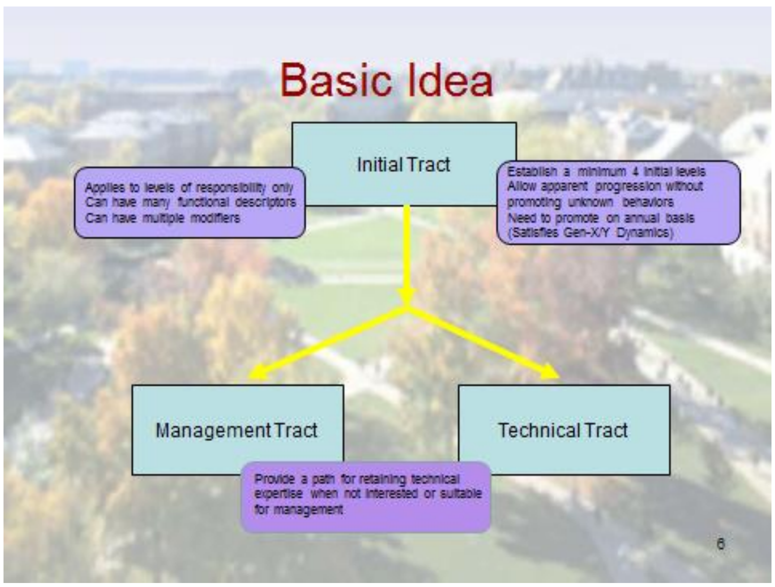
Appendix 3

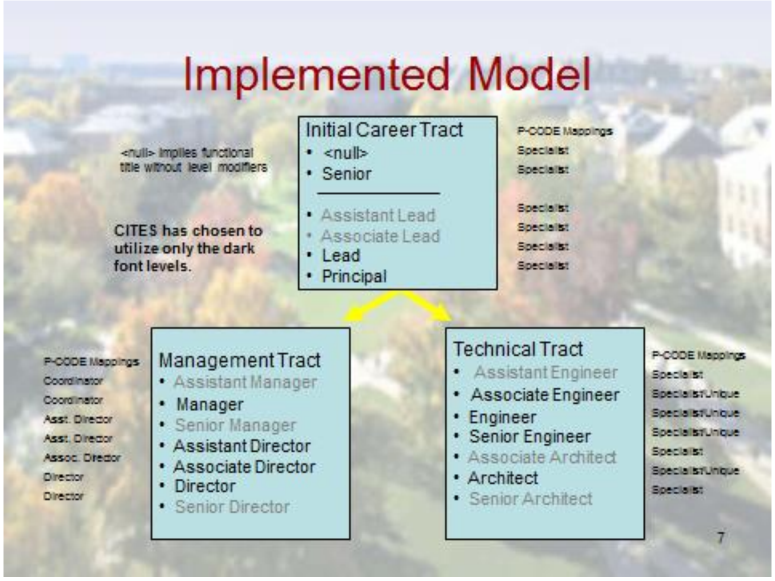
IT Career Progression, April 22, 2009


Why we are doing this – Drivers
From Employees Point of View
• Guide an employees' professional development (currently a disorganized effort)
• Identify learning & professional development opportunities for employees (aligned with career objectives)
• Provide for continual and progressive promotions and career advancement (Gen X/Y/ Millennial)
• Allow employees to take control of their career path and self-direct professional development
• Create mobility in IT positions across campus allowing employees to migrate to where their interest lies.
• Reconcile titles with industry providing an external frame of reference and a comparison basis for employees
3


Why we are doing this – Drivers
From the Organization's Point of View
• Retain good employees
• Build more effective teams
• Improve employee morale
• Facilitate hiring from outside campus (effectively access external industry IT labor pool)
• Provide an initial evaluation period for employees prior to promoting them to positions of authority
• Manage through Gen X/Gen Y/Millennial dynamics
• Adapt to changing needs
• Integrate learning recommendations with performance goals
• Assess managerial ability prior to promotion (Avoid Mr. Peter's principle)
4


Why we are doing this – Drivers
From the Campus IT Optimization Perspective
• Improve the permeability of the campus IT structure allowing talent to migrate to where it is needed
• Promote centralization of critical services by identifying critical skills across campus
• Increase job mobility by establishing consistent IT related titles and levels of responsibility
• Establish consistency in skill measurement and talent recognition across campus
5


Basic Idea
Initial Tract
Applies to levels of responsibility only
Can have many functional descriptors
Can have multiple modifiers
Establish a minimum 4 initial levels
Allow apparent progression without promoting unknown behaviors
Need to promote on annual basis
(Satisfies Gen-X/Y Dynamics)
Management Tract
Technical Tract
Provide a path for retaining technical expertise when not interested or suitable for management
6

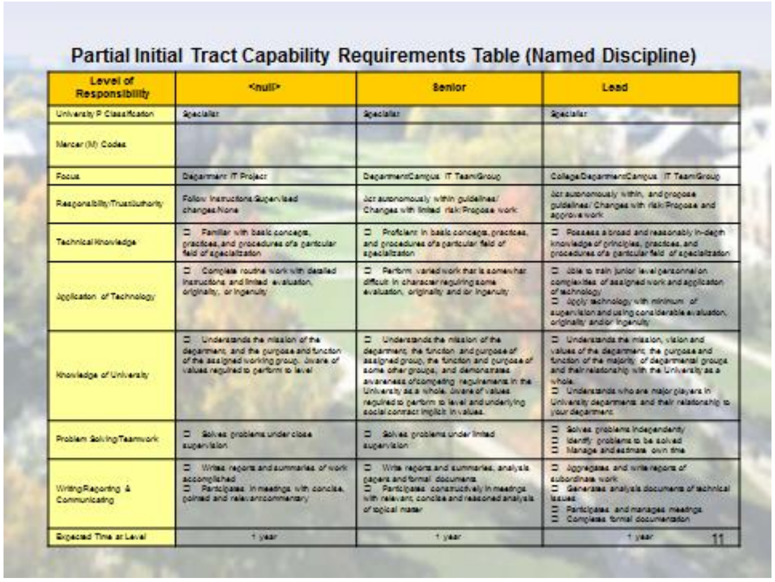


Implemented Model
<null> implies functional title without level modifiers
CITES has chosen to utilize only the dark font levels.
Initial Career Tract
• <null>
• Senior
• Assistant Lead
• Associate Lead
• Lead
• Principal
P-CODE Mappings
Specialist
Specialist
Specialist
Specialist
Specialist
Specialist
P-CODE Mappings
Coordinator
Coordinator
Asst. Director
Asst. Director
Assoc. Director
Director
Director
Management Tract
• Assistant Manager
• Manager
• Senior Manager
• Assistant Director
• Associate Director
• Director
• Senior Director
Technical Tract
• Assistant Engineer
• Associate Engineer
• Engineer
• Senior Engineer
• Associate Architect
• Architect
• Senior Architect
P-CODE Mappings
Specialist
Specialist/Unique
Specialist/Unique
Specialist/Unique
Specialist
Specialist/Unique
Specialist
7

Title Composition
• Do not confuse level of responsibility with functional responsibility
– Title composition can be multi-dimensional (knowledge, experience, etc.)
– Promotion and compensation structured on responsibility/trust/authority axis
• Position independent construction
– Examples:
• Senior Manager, Applications Development; Senior Software Development Manager
• Associate Director, Service Center, Associate Service Center Director
• Project Managers
– Primarily manage people (tasking point of view)
– Level equivalent with line managers
– Essential for effective matrix organization
• "Use title" Service Manager (use in conjunction with assigned role)
– Management of specific services removed from PAPE/Job Descriptions. Function is added as a "role", possibly with an administrative stipend.
– Managers manage people. "Service managers" administer systems
– Ongoing evolution
8


Tying it Together – The Progression Matrices
There are two (2) tables associated with each tract, a capability requirements table and a skill progression plan table.
The capability requirements table lists the capabilities required to perform at a given level of responsibility.
The skills progression table lists the skills that must be developed to promote to the specified level.
For a given discipline, there are a total of six (6) tables: 2 initial, 2 technical and 2 management. Some disciplines overlap at the management level.
A basic set of tables are developed and then customized for specific disciplines.
These tables provide a clear, concise, public and actionable set of criteria for an employee to judge and manage his/her own career progression.
9


Plan Tables
Capability Requirements
Matrix format per level of responsibility/trust/authority
Includes elements such as job focus (e.g., internal or external); specific responsibilities
Establishes minimum expectations at that level for critical skills or capabilities
Application of Technology
Problem Solving/Teamwork
Communications
University Knowledge
Establishes expected time at level
What you must 'know or do' to perform at level
Skill Progression Plan
Matrix format per level of responsibility/trust/authority
Progression components include:
Experience, education, self-development and demonstrated results
Establishes responsibility for assessment
Checklist of skills needed to perform effectively 'at level'
Public – everyone knows the progression
How to prepare for next level
10



Partial Initial Tract Capability Requirements Table (Named Discipline)

Level of Responsibility	<null>	Senior	Lead
University P Classification	Specialist	Specialist	Specialist
Mercer (M) Codes			
Focus	Department IT Project	Department/Campus IT Team/Group	College/Department/Campus IT Team/Group
Responsibility/Trust/Authority	Follow instructions/Supervised changes/None	Act autonomously within guidelines/ Changes with limited risk/Propose work	Act autonomously within, and propose guidelines/ Changes with risk/Propose and approve work
Technical Knowledge	☐ Familiar with basic concepts, practices, and procedures of a particular field of specialization	☐ Proficient in basic concepts, practices, and procedures of a particular field of specialization	☐ Possess a broad and reasonably in-depth knowledge of principles, practices, and procedures of a particular field of specialization
Application of Technology	☐ Complete routine work with detailed instructions and limited evaluation, originality, or ingenuity	☐ Perform varied work that is somewhat difficult in character requiring some evaluation, originality and/or ingenuity	☐ Able to train junior level personnel on complexities of assigned work and application of technology ☐ Apply technology with minimum of supervision and using considerable evaluation, originality and/or ingenuity
Knowledge of University	☐ Understands the mission of the department, and the purpose and function of the assigned working group. Aware of values required to perform to level	☐ Understands the mission of the department, the function and purpose of assigned group, the function and purpose of some other groups, and demonstrates awareness of competing requirements in the University as a whole. Aware of values required to perform to level and underlying social contract implicit in values.	☐ Understands the mission, vision and values of the department, the purpose and function of the majority of departmental groups and their relationship with the University as a whole. ☐ Understands who are major players in University departments and their relationship to your department
Problem Solving/Teamwork	☐ Solves problems under close supervision	☐ Solves problems under limited supervision	☐ Solves problems independently ☐ Identify problems to be solved ☐ Manage and estimate own time
Writing/Reporting & Communicating	☐ Writes reports and summaries of work accomplished ☐ Participates in meetings with concise, pointed and relevant commentary	☐ Write reports and summaries, analysis papers and formal documents ☐ Participates constructively in meetings with relevant, concise and reasoned analysis of topical matter	☐ Aggregates and write reports of subordinate work ☐ Generates analysis documents of technical issues ☐ Participates and manages meetings ☐ Completes formal documentation
Expected Time at Level	1 year	1 year	1 year

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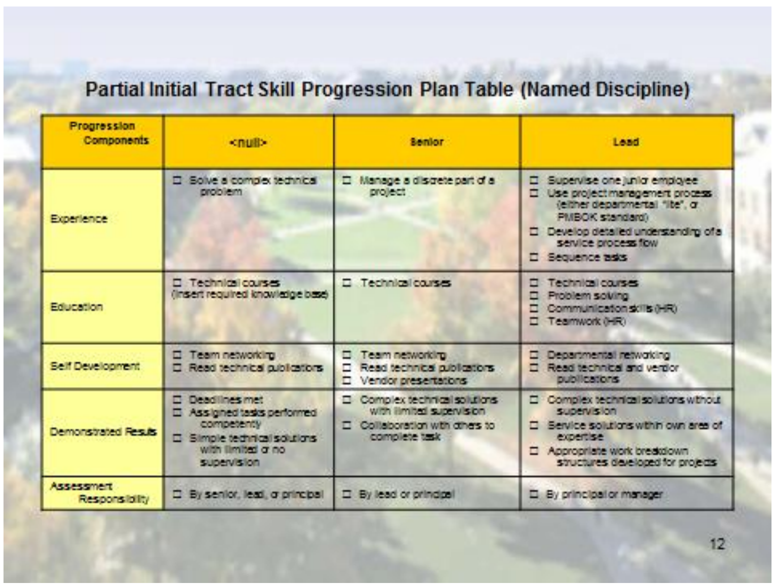

Partial Initial Tract Skill Progression Plan Table (Named Discipline)

Progression Components	<null>	Senior	Lead
Experience	☐ Solve a complex technical problem	☐ Manage a discrete part of a project	☐ Supervise one junior employee ☐ Use project management process (either departmental "lite", or PMBOK standard) ☐ Develop detailed understanding of a service process flow ☐ Sequence tasks
Education	☐ Technical courses (insert required knowledge base)	☐ Technical courses	☐ Technical courses ☐ Problem solving ☐ Communication skills (HR) ☐ Teamwork (HR)
Self Development	☐ Team networking ☐ Read technical publications	☐ Team networking ☐ Read technical publications ☐ Vendor presentations	☐ Departmental networking ☐ Read technical and vendor publications
Demonstrated Results	☐ Deadlines met ☐ Assigned tasks performed competently ☐ Simple technical solutions with limited or no supervision	☐ Complex technical solutions with limited supervision ☐ Collaboration with others to complete task	☐ Complex technical solutions without supervision ☐ Service solutions within own area of expertise ☐ Appropriate work breakdown structures developed for projects
Assessment Responsibility	☐ By senior, lead, or principal	☐ By lead or principal	☐ By principal or manager

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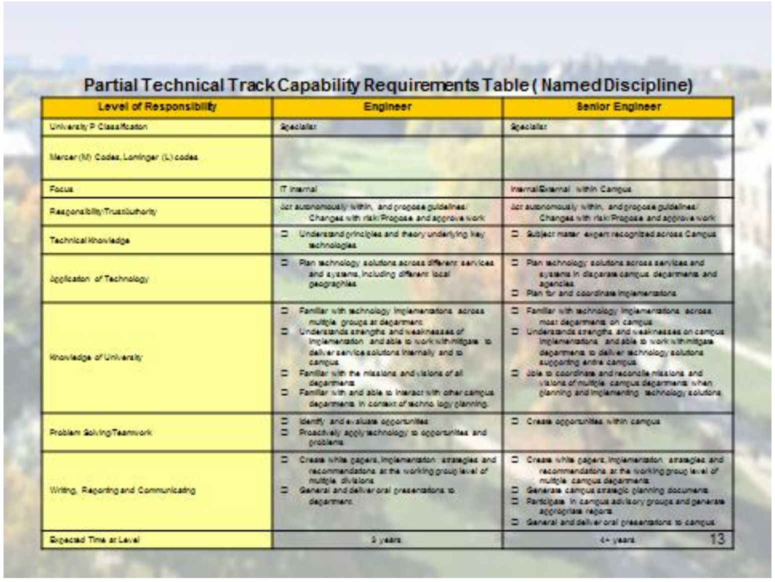

Partial Technical Track Capability Requirements Table (Named Discipline)

Level of Responsibility	Engineer	Senior Engineer
University P Classification	Specialist	Specialist
Mercer (M) Codes, Lominger (L) codes		
Focus	IT Internal	Internal/External within Campus
Responsibility/Trust/Authority	Act autonomously within, and propose guidelines/ Changes with risk/Propose and approve work	Act autonomously within, and propose guidelines/ Changes with risk/Propose and approve work
Technical Knowledge	☐ Understand principles and theory underlying key technologies	☐ Subject matter expert recognized across Campus
Application of Technology	☐ Plan technology solutions across different services and systems, including different local geographies	☐ Plan technology solutions across services and systems in disparate campus departments and agencies ☐ Plan for and coordinate implementations
Knowledge of University	☐ Familiar with technology implementations across multiple groups at department ☐ Understands strengths and weaknesses of implementation and able to work with/mitigate to deliver service solutions internally and to campus ☐ Familiar with the missions and visions of all departments ☐ Familiar with and able to interact with other campus departments in context of techno logy planning.	☐ Familiar with technology implementations across most departments on campus ☐ Understands strengths and weaknesses on campus implementations and able to work with/mitigate departments to deliver technology solutions supporting entire campus ☐ Able to coordinate and reconcile missions and visions of multiple campus departments when planning and implementing technology solutions
Problem Solving/Teamwork	☐ Identify and evaluate opportunities ☐ Proactively apply technology to opportunities and problems	☐ Create opportunities within campus
Writing, Reporting and Communicating	☐ Create white papers, implementation strategies and recommendations at the working group level of multiple divisions ☐ General and deliver oral presentations to department	☐ Create white papers, implementation strategies and recommendations at the working group level of multiple campus departments ☐ Generate campus strategic planning documents ☐ Participate in campus advisory groups and generate appropriate reports ☐ General and deliver oral presentations to campus
Expected Time at Level	3 years	4+ years

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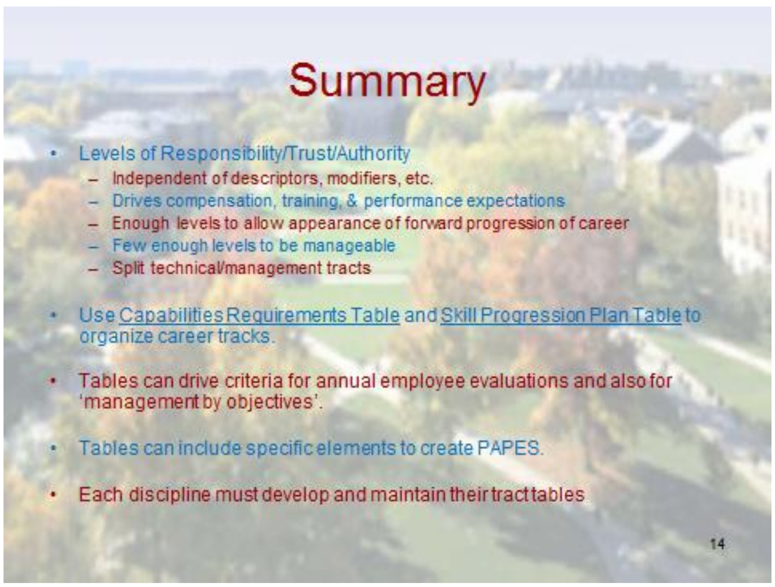
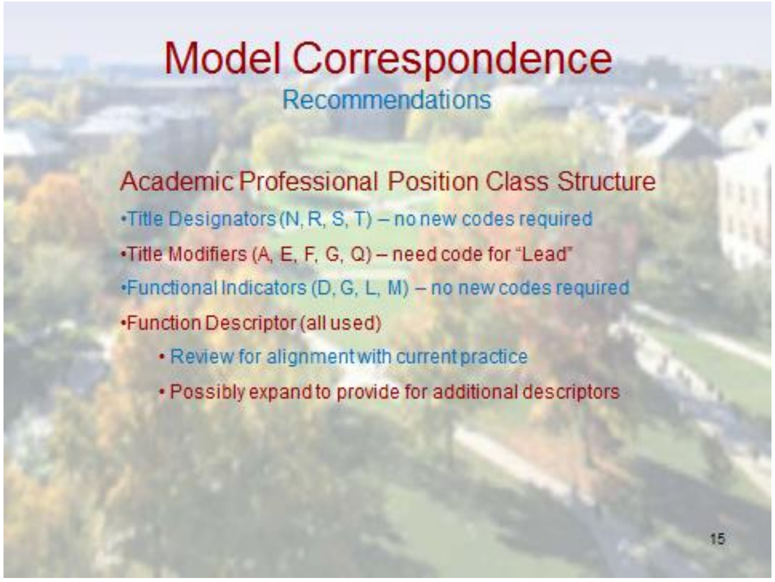
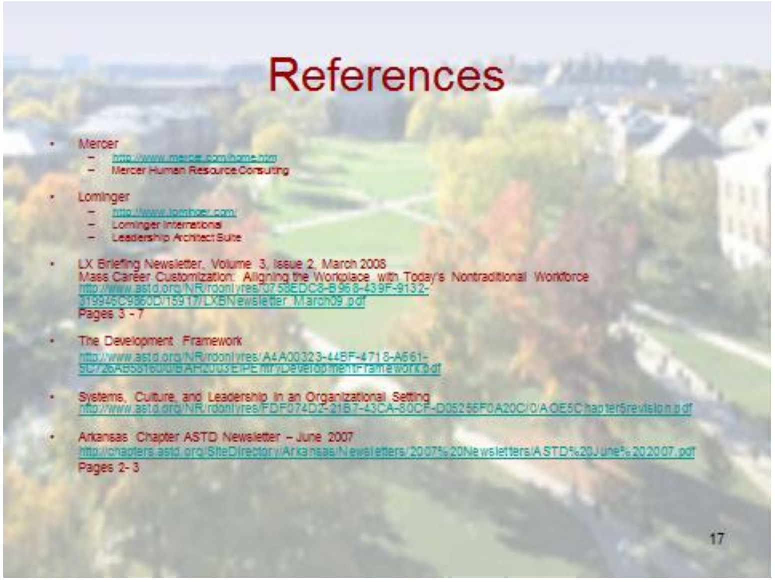



Model Correspondence
Recommendations
Academic Professional Position Class Structure
•Title Designators (N, R, S, T) – no new codes required
•Title Modifiers (A, E, F, G, Q) – need code for "Lead"
•Functional Indicators (D, G, L, M) – no new codes required
•Function Descriptor (all used)
• Review for alignment with current practice
• Possibly expand to provide for additional descriptors
15


Supporting Material
• Employee Cohorts
– Baby Boomers (1946 – 1964)
• Expectation of paying dues
• "My work defines me"
– Generation "X" (1965 – 1980)
• Attention and rewards must occur quickly
• Disdain for politics and bureaucracy
• No expectation of job security
• Values challenging work, freedom to manage work time, feedback and recognition
• Works hard for jobs they believe in [entrepreneurial]
– Generation "Y" (1976 – 2001)
• Technically savvy, digital and multicultural
• Premium on workplace culture, peer oriented, loyal
• Attuned to own value in job market – mobile
• Instant gratification
• Entitlement to benefits not yet earned
• Casual and professional
– Millennial (1982 – present)
• Have sense of entitlement and expect praise and constant feedback
• Sheltered – Expectation of having problems resolved for them
• Confident and goal-oriented. Believe that they are "right". Team oriented expecting egalitarian leadership
• Respectful of authority and non-questioning. Believe in social rules and structures
From Business Week, Cal State Fullerton Career Center, Spectrum Knowledge, Neil Howe and William Strauss Millennials Rising
16

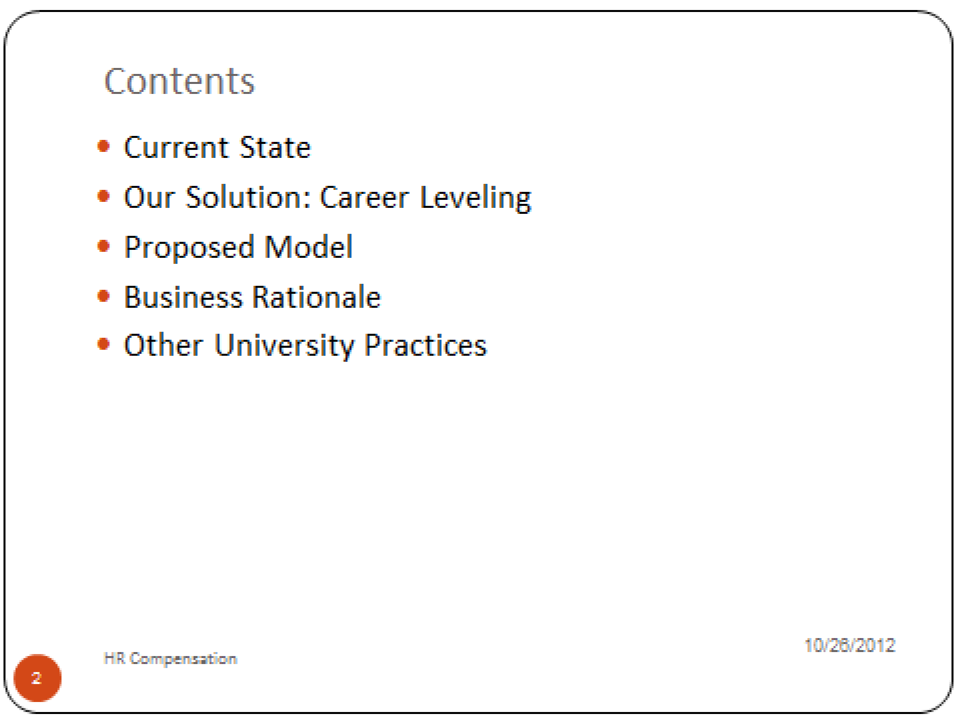


Appendix 3 is referenced in the strategy on page 28.

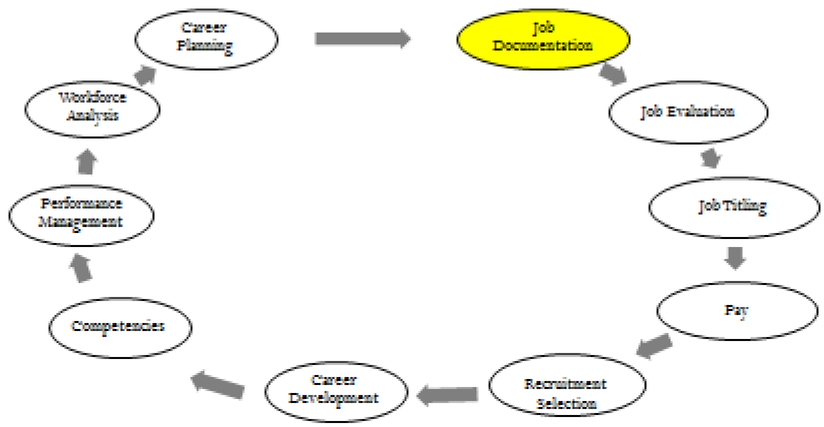
Appendix 4

Job Hierarchy and Career Leveling

This material is printed with permission from Joe Fowler of UIC HR Compensation Department.



Focus should be on the integration of all these programs that address organization and employee needs



Towers Perrin's Career Map

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Lessons Learned

- Process takes longer than anticipated
  - Job descriptions
  - Consistency check
  - Department review (30 days)
- SUCSS is challenging
  - Minimal and inconsistent guidance
  - Mapping to civil service specs problematic
  - Many specs outdated, condensed
  - Specialty factors
- Larger cultural change
  - Strong bias against civil service
  - Varying department buy-in
  - No departmental accountability
  - Gamesmanship
- Lack of completed ancillary programs or processes
  - Titling convention
  - HRIS – currently not tracking changes
  - Online job library
  - Replacing PAPE process

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Our Solution: Career Leveling

5

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Career Leveling Model

UIC's process combines the development of job families, disciplines and job documentation to create a job model that provides a progression of Civil Service and AP positions that are supported by market practices

This model includes unit management participation in mapping job requirements to positions, and provides a consistent approach to defining and classifying jobs, career opportunities and pay framework campus-wide.

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Career Leveling Defined

- A market driven job classification approach where job families, disciplines and levels found in professionally-accepted salary surveys form the foundation of a job and pay structures
- A predefined job hierarchy formed by increasing levels of responsibility, scope, autonomy, knowledge, and experience

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Job Families and Disciplines

Definitions:

•Families - Groups of jobs with similar characteristics, occupational category or functional area that require similar education and technical skills.

•Disciplines –Further breakdown of a job family into subcategories

Purpose:

•To create a framework of career paths within specialized skill sets

Examples:

Job Family	Job Disciplines
Human Resources	Compensation
	Labor & Employee Relations
	Training
Information Technology	Application Development
	Database Design & Analysis
	Network Planning

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Job Levels

Definition:

Distinct and discernable broad steps in a career path representing meaningful and significant differences in responsibility, accountability and competency as defined by common market practices

Purpose:

Clarify career requirements and facilitate the use of consistent criteria used to rank jobs across job families

Example:

Associate Programmer, Intermediate Programmer, Sr. Programmer

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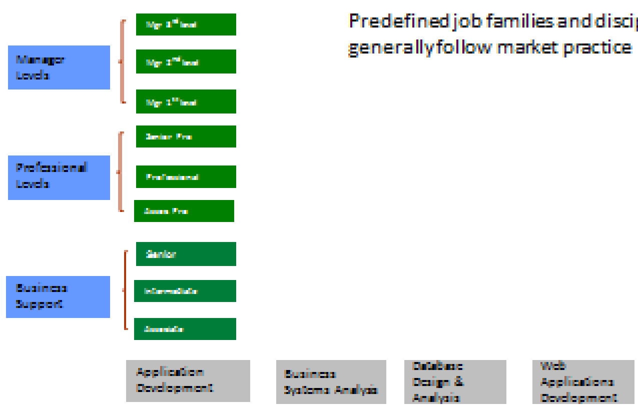
Information Technology Job Family Example

Predefined job families and disciplines generally follow market practice



Job Disciplines

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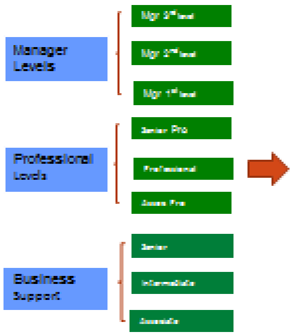
Leveling: Job Progression Recognize the development of skills within a functional area

UIC defined progression from one level by skills and knowledge, problem-solving, and years of experience



	Associate	Intermediate	Senior
Discretion	Follows instructions and procedures; requires general supervision for most tasks.	Interprets policy and exercises discretion and independent judgment on most tasks. Works under broad supervision.	Regularly exercises discretion and independent judgment involving complex tasks. Works under minimal supervision.
Knowledge	Applies a fundamental understanding of a specific professional or technical discipline within a function.	Demonstrates a broad working knowledge of discipline-specific principles. May have detailed knowledge in a specific area.	Demonstrates comprehensive knowledge of principles. Has detailed knowledge of several areas within the function. May serve as "lead" to others
Problem-Solving	Solves routine problems and works on problems of limited scope. Follows standard practices and procedures.	Performs varied work and works on problems of moderate scope and complexity.	Performs work that is substantially varied and complex. Works on problems of diverse scope which require in-depth analysis.

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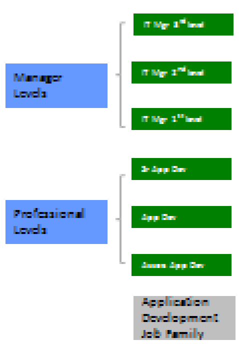
Leveling: Job Progression Link to market data

Levels are aligned to market data and the development of grades



		Grade		
Survey Level	Market Median	Min	Mid	Max
M3 - Director	$135	$108	$135	$162
M2 - Manager	$94	$75	$94	$113
M1 - Supervisor	$85	$68	$85	$102
P3 - Career	$75	$60	$75	$90
P2 - Intermediate	$60	$48	$60	$72
P1 - Entry	$50	$40	$50	$60

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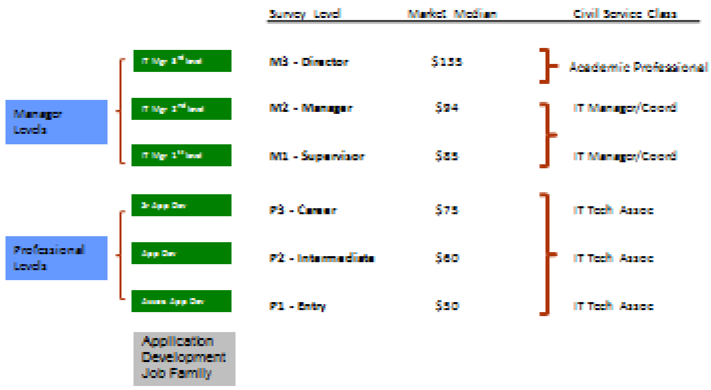
Leveling - Defined

Levels aligned to SUCSS classifications



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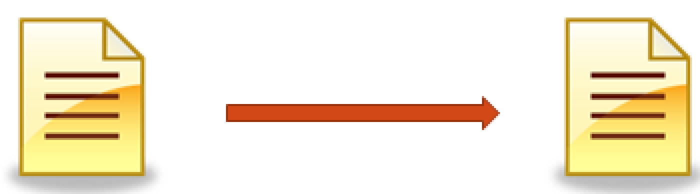
Former Matching Process

- Job description is matched broadly to Civil Service classification



Job Description
Sr Institutional Research Analyst

Civil Service Classification
Institutional Research Data Coord

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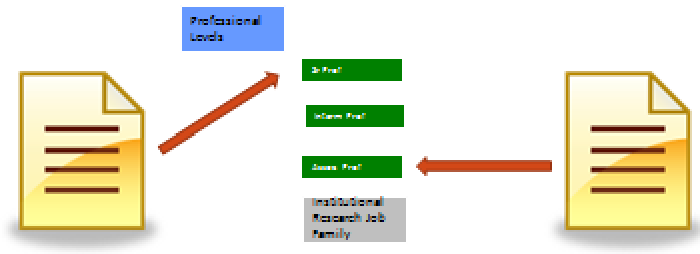
New Matching Process

- Job description matched to level.



Job Description

Sr Institutional Research Analyst

Civil Service Classification

Institutional Research Data Coord

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Advantages for the University

- Ensures federal and state law compliance
- Provides campus-wide consistency in positions and titles
- Simplifies the position approval process
- Allows strategic workforce planning
- Promotes skill and capability building
- Provides a foundation for HR programs
- Provides for a calculation of ROI and alignment with external market

Advantages for the Employee

- Paths to other career opportunities are better defined
- Provides a framework for thoughtful personal career planning and development
- Consistency in levels and titles

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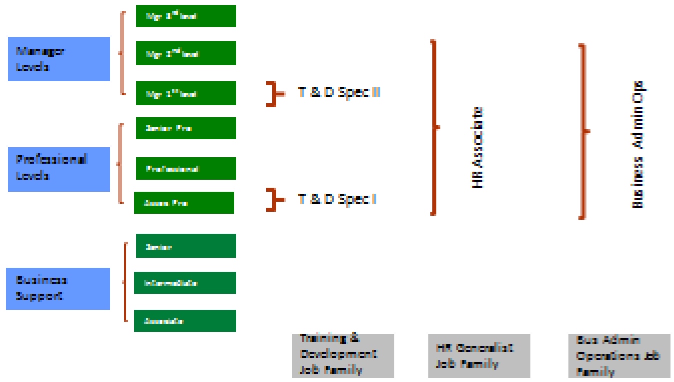
Challenges – Mapping to SUCCS Classifications



Job Disciplines

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Challenges – Change Management

- Introducing consistent titles
- Introducing pay guidelines
- Introducing transparency
- Inconsistent senior management support
- Integrating AP and CS
- Introducing limits to autonomy and authority
- Expanding overtime eligible population

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UIC's Proposed Model

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UIC Job Families

- Academics, Instructional Service, Teaching
- Academic Support
- Administration
- Athletics
- Business & Finance
- Campus Operations & Protection
- Clinical Programs & Services
- Communications, Public Relations, Marketing
- Engineering & Architecture
- Health Care
- Human Resources
- **Information Technology**
- Legal, Compliance, Risk Management
- Research Development & Services
- Space & Facilities Management

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Information Technology

- **Subfamily**

IT Development

Designs, develops, modifies, adapts, and implements short and long term solutions to IT needs through new and existing applications, systems architecture, network systems and applications infrastructure. Reviews systems requirements and business processes; codes, tests, debugs and implements software solutions

- Disciplines
  - Application Development
  - Application Development Support
  - Business Systems Analysis
  - Cloud Computing
  - Database Design & Analysis
  - Database Warehousing/Mining
  - Enterprise Resource Planning
  - Internet/Web Application Development
  - IS Security Development
  - IT Architecture (Systems Design)
  - Network Architecture Design
  - Network Planning & Implementation
  - Systems Software Development
  - Systems Software Quality Assurance & Testing

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Information Technology

- **Subfamily:**

IT Administration

Manages IT infrastructure within an organization including the physical network as well as server applications and software. Configures, installs, maintains, and upgrades server applications and hardware

- Disciplines
  - Computer Systems Administration
  - Database Administration
  - Email Administration
  - IS Disaster Recovery/Business Continuation
  - IS Security
  - IT Asset Management
  - IT Help Desk Support
  - IT Onsite Support
  - IT Outsourcing Management
  - IT Risk Management
  - IT Training/Documentation
  - Network Control/Administration
  - Voice Communications
  - Website Administration

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Discipline Descriptions

- Application Development
  - Designs, codes, tests, debugs, documents, implement and maintains software applications
  - Creates, analyzes, and/or modifies program logic for new and existing applications, ensuring system improvements
- Business Systems Analysis
  - Evaluate new applications and identify system requirements.
  - Evaluate new IT development and evolving business requirements and recommend appropriate system alternatives and/or enhancements
  - Act as liaison between IT and academic units to develop and implement new system and/or enhance existing systems
  - Prepare and facilitate appropriate communication plan to academic unit on system enhancements or appropriate alternatives
- Internet/Web Application Development
  - Design and develop user friendly, aesthetically attractive internet/web pages and applications using a variety of languages, platforms and streaming devices such as HTML, Java, PHP, JavaScript MP3 etc.
  - Code, test and debugs applications as appropriate

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Job and Employee Mapping Process

- **ACCC Management reviews defined job families, sub-families, and disciplines**
- ✓ Use thumbnail definitions of disciplines provided by Compensation
- ✓ Descriptions are brief and not meant to capture every duty of a job

- **Are all major job functions represented?**
- ✓ What other major specialty areas/disciplines would you suggest?
- ✓ Are some disciplines unnecessary due to our campus environment or organizational structure?

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• Designate the family, subfamily and discipline for each employee's position within the newly defined job sub-family and discipline

- ✓Select the discipline that represents the majority (>50%) of the employee's responsibilities.
- ✓Discipline descriptions are meant to provide a brief overview of the position and are not meant to capture every duty. If it generally describes the bulk of the position, select it.
- ✓Some jobs are 'blended' and represent a mix of disciplines. Match employee to multiple disciplines that represent at least 20% of the job.
- ✓Ensure that the employee has the necessary skills for the discipline.
- ✓Not all of our positions will have a match. These non-benchmarks will be addressed later.
- ✓We are not looking at levels – that's a later step.

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The Business Rationale

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Competitive Comparison

	UIC	University of Michigan	University of Iowa	University of Minnesota
Compensation Philosophy		✓	✓	✓
Salary Ranges	for CS	✓	✓	✓
Job Families		✓	✓	✓
Job levels		✓	✓	✓
Standard Job Descriptions		✓	✓	✓
Titling Convention		✓	✓	✓
Market Data Philosophy		✓	✓	✓
Compensation Policies		✓	✓	✓
Position in Range Guidelines		✓	✓	✓
Promotions		✓	✓	✓
Market adjustments		✓	✓	✓
Merit Matrix		✓	✓	✓
Pay for Performance Philosophy		✓	✓	✓
Systems Platform - job codes		✓	✓	✓
Website	limited	✓	✓	✓

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What's the benefit for Stakeholders?

Stakeholder	Current Process	Revised Methodology
Chancellor	SUCSS compliance, diminished labor union noise	SUCSS compliance, less union noise, ROI, FLSA & OFCCP compliance
Deans/Unit Heads		Ownership Hiring autonomy
Managers	CS training for managers	Transparency No black box Employee engagement
Unit HR		Preapproved job descriptions Fairness
AP Employees-those not converting		Career progression Employee Satisfaction Skills development
CS Employees – current		Benefits of a defined career structure
CS Employees – converting from AP	Less hours "Permanency"	

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Employer and Employee View – Reasons to Leave

Rank	Top-Performing Employees	Employees	Employers
1	Stress levels (42%)	Stress levels (40%)	Base pay (53%)
2	Work/life balance (32%)	Base pay (28%)	Career development opportunities (49%)
3	Promotion opportunity (29%)	Promotion opportunity (26%)	Promotion opportunity (43%)
4	Career development opportunities (25%)	Work/life balance (25%)	Relationship with supervisor/manager (41%)
5	Incentive pay opportunity (20%)	Trust/confidence in sr. management (23%)	Work/life balance (23%)

Percentage reporting element as one of the top three reasons employees consider leaving an organization.

29 HR Compensation Watson Wyatt, *Global Strategic Rewards Report*, 2007/2008 10/26/2012

What Matters to Employees

Attraction Drivers*	Retention Drivers**	Engagement Drivers**
Competitive base pay	Career development	Leadership
Vacation/paid time off	Leadership	Image
Competitive health care benefits	Empowerment	Career development
Convenient work location	Supervision	Empowerment
Flexible schedule	Pay and rewards	Customer focus

*Source: Towers Watson 2010 Global Workforce Study – U.S.
**Source: Towers Watson Normative Database – U.S.

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What matters to different workforce segments

Attraction Drivers	Gen Y	Boomers	Hi Potentials
Competitive Base Pay	1	1	1
Vacation/paid time off	2	3	10
Career advancement opportunities	3	-	2
Convenient work location	4	4	7
Flexible schedule	5	9	4

Source: Towers Watson 2010 Global Workforce Study – U.S.

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What's in it for the UIC? Workforce planning

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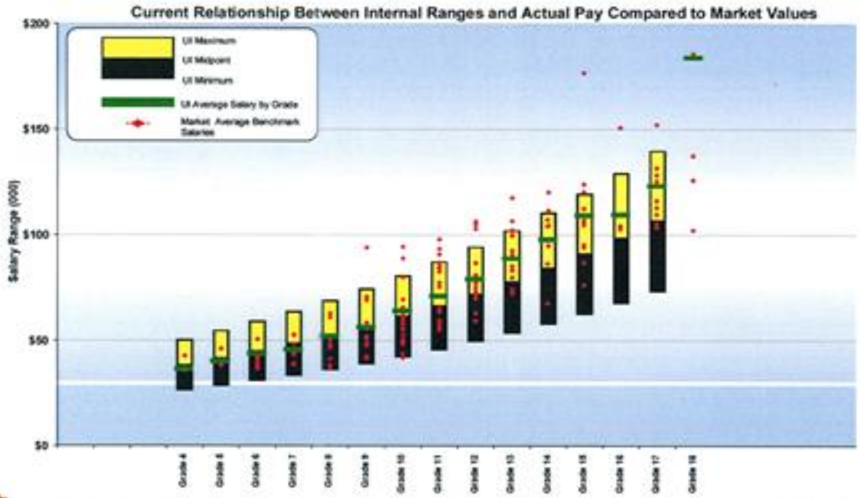
What's in it for UIC? Roadmap for ROI



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OFCCP - Office of Federal Contract Compliance Programs

Prohibits organizations from having policies and programs that result in systemic wage discrimination

- New Regulations – June, 2006
  - Identify "similarly situated employee groups" (SSEGs)
  - Make SSEGs large
  - Perform self-audit annually
  - Investigate disparities
  - Make data available to OFCCP during compliance review

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OFCCP and UIC

- What constitutes “similarly situated”?
  - Director of Admin Operations
  - Director of Human Resources
  - Director titles used freely

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Other University Practices

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Benchmarking to Peer Institutions

- University of Iowa – Comp and classification system review in '07
  - "Many employees are grouped into broadly defined job classes which hinders internal equity and market competitiveness
  - The tool used to assign job classes to levels, the point count system, is not well understood by managers and hinders the credibility of the classification and compensation system
  - Job classes assigned to the same level are often paid very differently in the marketplace

  Created job classes and levels to support career development, market pricing and compensation administration
- University of Minnesota - Comp and classification system review in '08
  - "Job evaluation system does not meet current needs"
  - "No defined promotional ladders/career tracks"
  - "Job classes assigned to the same level are often paid very differently in the marketplace"

  Recommendation: "Improve …by organizing classifications into job families, job series, and job levels"
- Penn State
  - Current program based on job families (e.g. IT), disciplines (e.g. Systems Applications) and levels

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Project Plan

		UIC	University of Michigan	University of Iowa	University of Minnesota
Discover	Establish Steering Committee		x	x	x
	Planning/Orientation with Steering Committee		x	x	x
	Stakeholder Interviews/Input		x	x	x
	Research Competitors/Best Practices		x	x	x
	Develop Philosophy		x	x	x
	Develop Project Goals and Design Parameters	Partially	x	x	x
	Clarify Business Case	Partially	x	x	x
	Conduct Focus Groups		x	x	x
	Change Management Plan		x	x	x
	Detailed Project Plan		x	x	x
Design	Job Families and Disciplines	Partially	x	x	x
	Job Class Toolkit		x	x	x
	Leveling Definitions		x	x	x
	Define Market and Data Sources	ad hoc	x	x	x
	Compile Market Data		x	x	x
	Price Benchmark Jobs		x	x	x
	Develop Salary Structure	for CS	x	x	x
	Assign Jobs to levels		Done locally	x	Done locally
	Establish Salary Ranges	for CS	Done locally	x	Done locally
	FLSA testing		x	x	x
	OFCCP Review		x	x	x
	Address Administration Topics		x	x	x
Delivery	Develop Implementation Plan	Partially	x	x	x
	Train HR		x	x	x
	Train Managers	Partially	x	x	x
	Communicate to Employees	Partially	x	x	x

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University of Michigan
Job Classification System
Project Timeline

Discover Phase
1+ Yrs / 2001-2002

- Information gathering/analysis – best practices
- Consulting support RFP (Towers Watson / $1.0 mil)
- Formal project team structure (e.g. Steering Committee, Unit "Readiness Coordinators") *
- Define deliverables (turnkey system)

Design Phase
2+ Yrs / 2002-2004

- Career families
- Market titles
- Competencies
- Website(s)
- Career bands
- Systems platform
- Job roles
- Data sources
- Job descriptions

Deliver Phase
2 Yrs / 2004-2006

- Compensation
- Philosophy/Principles
- Classification framework
- Market JD's and pay references
- Employee Job "Mapping" principles
- Implementation/maintenance tools (e.g. software platform, processes, roles/ responsibilities*)
- Employee information "Packets"
- Training
- Ongoing Calibration

* Approximately 50 project teams and additional "sub-teams".

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University of Minnesota
Job Classification System
Project Timeline

Analysis & General Recommendations
2 Yrs / 2006-2008

- Consultant RFP (Sibson)
- Working Group training
- Interviews, focus groups, literature review
- Problem statements
- Root cause analysis
- Data sources
- Benchmark best practices
- Provide recommendations:
  - -Classifications/Career paths
  - -Promotional criteria
  - -Salary ranges/mkt data
  - -Administrative clarity
  - -Clarify mgt role

Develop Phase
2+ Yrs / 2008-2011

- Outside resources - ($900k for contract employees)
- Job description template
- New job evaluation tool(s)
- Job Families
- AP vs. CS - Differentiators
- Website
- Systems platform
- FLSA testing
- Data source application decisions

Deliver Phase
8 -12 Months per Job Family *

- 17 job family teams – HR & functional leadership
- Classification framework
- Market JD's and Pay References
- Implementation/Maintenance tools (e.g. software platform, processes, roles/responsibilities, leveling tools)
- Employee information "Packets"
- Training / communication
- Refine process/timeline – ongoing 4 concurrent job family teams

* 1 cross-functional team per job family. Team structures: Executive (steering) and Project Teams ; 4 execs & 8-12 project team members. Extrapolates to ~ 3+ yrs.

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University of Iowa
Job Classification System
Project Timeline

Current State Analysis
1+ Yrs / 2007-2008

- Consulting support RFP - (Buck)
- Information gathering
- Problem analysis
- Clarify business case
- Commit to redesign

Planning
1 Yr / 2008-2009

- Establish steering committee
- Orient/Plan/Train steering committee
- Solicit stakeholder input
- Develop philosophy, goals & design parameters
- Clarify deliverables
- Create high-level project plan (Buck)

Internal Valuation and Leveling
1 Yr / 2009-2010

- Develop Job:
  - -Classification structure/ definitions
  - -Classification toolkit
  - -Classifications
  - -Leveling conventions

Market Pricing
1Yr / 2009-2010

- Define/Assign market segments
- Compile market data sources
- Mkt price benchmark jobs

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University of Iowa
Job Classification System
Project Timeline

Pay Delivery & Administration
1 Yr / 2010

- Develop prototype
- Design structure
- Assign jobs to levels
- Establish pay ranges
- Address admin issues

Int'l Valuation & Leveling
1 Yr / 2010-2011

- Develop Job:
  - -Classification structure
  - -Classification definitions
  - -Classification toolkit
  - -Classifications
  - -Leveling conventions

Implementation
6 Mos/2010-2011*

- Develop:
  - -Implementation plan
  - -Training plan
  - -Communication plan

* Program rollout began 10/2011. Goal is to complete in time to accommodate 7/2012 pay cycle.

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Appendix 4 is referenced in the strategy on page 29.

Appendix 5

Workforce Metrics Proposal

Objective

The university should use the data gathered to assess workforce environment, monitor trends and employee movement within the university, and adjust the appropriate human resource employment programs accordingly. The data may be used in the decision making process to discontinue, revise, or create new programs in support of employee engagement, professional development, mentoring, succession planning or other appropriate aspects of professional development and training.

Expectations

Under the direction of the human resource leadership team, decisions will be made on what metrics to capture, as well as when and how to capture these metrics. Some examples include workforce demographics, stay surveys, exit interviews, and climate surveys.

Impact

Appropriate metrics will enable the human resource leadership team to provide input to and exert influence on legislation that impacts our employees so that we may remain competitive in the hiring and retention of higher education faculty, academics and professional employees. This approach may also provide information on programmatic changes enabling human resources to focus on key programs.

Implementation

Upon approval of this proposal, the human resource leadership team will determine the appropriate next steps.

Appendix 5 is referenced in the strategy on page 30.

Appendix 6

Sample Core Exit Interview Questions for Potential Exit Interview Survey

(These will be the standard questions used although each campus will have the opportunity to tailor the questions/survey to their specific needs)

1. General Information:
    a. Name
    b. Position
    c. Department
    d. Length of Service - University
    e. Length of Service - Department/Unit
    f. Last day of Work
    g. Supervisor/Manager
2. Employee Group:
    a. Temporary
    b. AP
    c. CS
    d. Faculty
3. What led to your decision to leave the University of Illinois? Please check all that apply.
    a. Personal
    b. Retirement
    c. Contract non-renewal/reduction in workforce
    d. Working conditions
    e. Salary
    f. Non-competitive benefits
    g. Failed mandatory probationary period
    h. Management
    i. Returning to school
    j. Termination
    k. Career advancement/change
    l. Dissatisfied with University culture
    m. Dissatisfied with job
    n. Lack of job security
    o. Other
4. Please rate the supervision in your department:

	Excellent	Good	Fair	Poor
Provided feedback on my performance				
Treated me fairly with respect and courtesy				
Led by example				
Helped me solve problems				
Was available when I needed assistance or guidance				
Followed and enforced policies and procedures fairly				
Provided positive feedback and recognition				
Resolved complaints and problems in a timely and fair manner				
Provided career development and training opportunities				
Comments:				

5. Please rate your working conditions:

	Excellent	Good	Fair	Poor
My work area was appropriate given the nature of my work				
I had adequate tools to complete my work (computer, phone, etc.)				
My work schedule was convenient				
Overtime requirements were reasonable and manageable				
Relationships with coworkers				
Relationships with customers				
Atmosphere and morale				
Comments:				

6. Please rate the following:

	Excellent	Good	Fair	Poor
University policies and procedures				
Salary program/increases				
Advancement opportunities				
Campus training and development programs				
Vacation leave, sick leave, holidays				
Benefits (health, dental, vision)				
Retirement (SURS, 403(b), etc.)				
Life insurance, disability, etc.				

7. Have you accepted another position?
    a. Yes or No

8. If yes, what type of environment will you be working in?
    a. Other unit within the same University of Illinois campus
    b. Other University of Illinois campus
    c. Other University within Illinois
    d. Other University outside of Illinois
    e. Other educational institution
    f. Public sector
    g. Private sector
    h. Self-employed

9. If you are leaving the University of Illinois, will you be doing similar work?
    a. Yes or No

10. What did you like best about working at the University of Illinois (Campus)?

11. What did you like least about working at the University of Illinois (Campus)?

12. May we share your feedback with your former department?
    a. Yes or No

13. What are the most important criteria for selecting a job? Please select all that apply.
    a. A good boss
    b. Strong benefits package
    c. Flexible working environment
    d. Good relationships with coworkers
    e. Competitive salary
    f. Professional development opportunities
    g. Training opportunities
    h. Recognition for skills, contributions and accomplishments
    i. Up to date technology

14. Would you recommend the University of Illinois (Campus) to a friend or relative as a good place to work?
    a. Yes or No

We value your feedback and welcome any further comments you wish to share. We will use this information to help improve work procedures and/or the environment on campus.

Appendix 6 is referenced in the strategy on page 31.

Appendix 7

Proposed Principles Regarding Bullying

It is the policy of the University of Illinois to promote an environment that is free of bullying and which protects the dignity of all students, staff and visitors. This policy describes university standards for managing incidents of bullying. It also establishes procedures for handling related complaints or incidents of policy violations. This policy applies to all university personnel, students, vendors, contractors, consultants, guests and others who do business with the University. It applies on University property and at off-campus locations where University business is conducted. The University will not tolerate bullying behavior directed toward any member of the university community or to any person on university property.

The University Code of Conduct establishes guidelines for professional conduct by those acting on behalf of the University including executive officers, faculty, staff, and other individuals employed by the University using University resources or facilities, and volunteers and representatives acting as agents of the University. The Code of Conduct establishes that those acting on behalf of the University have a general duty to conduct themselves in a manner that will maintain and strengthen the public's trust and confidence in the integrity of the University and take no actions incompatible with their obligations to the University. An anti-bullying policy fits well within the guidelines and context of the Code of Conduct and would be an important addition in defining inappropriate conduct and consequences, as well as bringing awareness to a widespread issue.

It is the policy of the University of Illinois to promote an environment that is free of bullying and which protects the dignity of all students, staff and visitors, in connection with the University's Code of Conduct.

Objective

It is the policy of the University of Illinois to promote an environment that is free of bullying and protects the dignity of campus constituents. However, if bullying is present, the University will take immediate corrective action.

Expectations

Every individual is entitled to be treated with respect and to be free from bullying and harassment. All members of the university community are expected to behave in a manner which demonstrates proper regard for the rights and welfare of others. Violations of this policy are subject to disciplinary action up to and including termination in accordance with University policy.

Principles

This policy applies to all University programs, events and facilities, including, but not limited to, student services, educational programs and employment. University employees and students conducting university business at a location off-campus (i.e. business trips, internships, etc.) are also subject to the provisions of this policy.

Definition

Bullying is behavior that is:

- Intentional.
- Targeted at an individual or group.
- Repeated.
- Hostile or offensive.

- Creates an intimidating and/or threatening environment which produces a risk of psychological and/or physical harm.

Bullying behavior may take many forms, including, but not limited to, physical, oral, or written acts or behaviors. It may also manifest as excluding behavior such as ignoring or dismissing individuals or groups. Hostile behaviors include, but are not limited to, behaviors that are harmful or damaging to an individual and/or property. Behaviors that are intimidating, threatening, disruptive, humiliating, sarcastic, or vicious may also constitute hostile behavior. Offensive behaviors may include, but are not limited to, inappropriate behaviors such as abusive language, derogatory remarks, insults, or epithets. Other offensive behaviors may include the use of condescending, humiliating, or vulgar language, swearing, shouting or use of unsuitable language, use of obscene gestures, or mocking. These examples of behavior may occur in person, one on one or in groups, or through the use of vehicles such as the internet, email, social networking sites, telephone, etc. All of the examples above may amount to bullying, particularly when the conduct is coupled with the inappropriate exercise of power or authority over another person. The examples listed are not meant to be all encompassing.

Implementation

Upon approval of this recommendation, the human resource leadership team will charge a work group to determine the best course of action for implementation of a uniform policy across campuses, where none exists.

Resources

- http://cfweb.ewu.edu/policy/PolicyFiles/EWU_901_04.pdf
- http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/
- http://www.claflin.edu/docs/policies-procedures/400-03.pdf?sfvrsn=0
- http://www.westfield.ma.edu/prospective-students/campus-life/student-handbook/student-life-policies/anti-bullying-mobbing-and-harassment-policy/
- http://facultysenate.tamu.edu/Attachments/2010-2011/0610/FS.0614.L.P&W-Bullying%20Policy.pdf
- http://law.utoledo.edu/safeschools/pdf/Model%20Policy.pdf

Appendix 7 is referenced in the strategy on page 33.

Appendix 8

Proposed Principles for Defined Grievance and Mediation Process for Academic Professional Staff Policy

Each campus should adopt a grievance resolution model for academic professional employees comprised of several different grievance and mediation/dispute resolution policies and procedures that include but are not limited to:

- Grievance procedures for Academic Professionals, except those based upon salary equity, discrimination and/or sexual harassment – that encompass the following types of issues:
  - The behavior of individuals and/or the circumstances of employment in the context of the contract of employment.
  - Generalized concepts of good management practice, such as those which require that employees be adequately informed of their duties and of the quality of their performance via an established written performance review process.
  - Generalized concepts of appropriate considerations applicable to a professional employment environment. Such considerations foster a spirit of mutual respect and cooperation and reduce conduct that impedes employee productivity and creativity.
- A salary equity grievance policy and procedures based upon gender, race, color, national origin, or religion (may include other protected classes).
- A separate and voluntary mediation/dispute resolution program that may be used at any time to resolve differences between employees, or employees and their supervisors. Use of such a program during an-ongoing grievance case would suspend continuation of such grievance timelines during the mediation/dispute resolution process.
- Consistency across the campuses in the policy and procedures (e.g. filing deadlines) for filing grievances based upon discrimination and/or sexual harassment.

Objective

The objective of this policy is to ensure that academic professionals on each campus have formal, clearly defined, and consistent policies and procedures to address workplace grievances through vehicles such as, but not limited to, a voluntary mediation/dispute resolution process.

In addition, voluntary mediation/dispute resolution programs may be established in concert with or as an alternative to an existing grievance process. Grievance procedures, administrative proceedings, and potential litigation may be considered adversarial in nature. They may promote acrimony, lingering discontent, and diversions of university resources. Mediation is based on the premise that it effects an agreement or reconciliation between two or more participants. Mediation may offer academic professionals as well other academics and civil service employees (where not defined by collective bargaining agreements) a neutral, confidential environment, free of coercion and the fear of retaliation, in which to resolve differences. [1]

Expectations

The expectation is that the three campuses will collaborate on and establish best practices through research and review of existing grievance policies and procedures that may exist, whole or in part, on one or more of the three campuses. This exercise will result in the development and implementation of mediation/dispute resolution policies and procedures in concert with or in addition to what currently exists on the campuses.

Impact

Metrics may be used to assess the impact of established, consistent grievance policies. Assessment may include a comparison of grievances filed vs. successful resolution through mediation; numbers of grievances resolved through mediation vs. escalation to litigation; the intangible impact of defined dispute resolution /mediation procedures on employee satisfaction and retention.

Implementation

Upon approval of these recommendations, each campus is charged to work together on the examination of current policies where they exist, to identify gaps and inconsistencies, and to establish clear, comprehensive, and practicable grievance policies and procedures, including staffing and relevant funding, across the campuses.

[1] Faculty may want to incorporate mediation/dispute resolution procedures into the faculty grievance policy if not already addressed in it; however, a mediation program can also be utilized whether or not it is incorporated into a grievance policy.

Appendix 8 is referenced in the strategy on page 33.

Appendix 9

University of Illinois at Urbana-Champaign Campus Human Resources Academy™

The Campus Human Resources Academy™ was established in 2010 by central campus Human Resources (HR) offices under the leadership of the Associate Provost for Human Resources. Its purpose is to connect employees responsible for HR functions throughout the Urbana campus to each other and the campus HR offices, resulting in more efficient and accurate application of HR principles and procedures, and long-run cost savings.

OBJECTIVES: To provide wide-reaching opportunities for employees responsible for HR on the Urbana campus to do the following:

- Receive critical policy and procedural updates.
- Facilitate communication and services specific to the Urbana campus.
- Network with each other.
- Learn about institutional, national, and global trends in HR.
- Discuss solutions that benefit the entire campus.

TARGET AUDIENCE: Employees responsible for HR based on the Urbana campus who fulfill critical roles serving the Urbana-Champaign campus' more than 150 units housed in the 16 colleges, instructional units, research centers, institutes, and numerous supporting units such as Student Affairs, Facilities & Services, and CITES:

16 colleges and instructional units, more than 150 research centers and institutes, and numerous supporting units such as Student Affairs, Facilities & Services, and CITES:

- *Operational*: Key individuals with HR systems access who process searches, handle paperwork, and execute HR activities within their units.
- *Functional*: Central HR or departmental personnel who advise units for key HR moves, including filling vacancies, completing reorganizations, issuing T-contracts, planning for succession, and carrying out discipline actions.
- *Strategic*: Leaders with decision-making authority and primary responsibility for human capital decisions in their units and departments.

PROGRAM OFFERINGS:

Brown Bags: These informal networking events offer a venue for HR employees across campus to connect, share concerns, gather ideas and identify resources among themselves for everyday challenges. These events also offer an optimal setting for central HR units to issue updates and gather feedback on "Hot Topic" issues. (Program length=1 to 1.5 hours)

Coffee Breaks: These are the same as the Brown Bags but slightly longer (Program length=2 hours)

Workshops & Special Events: These events assist HR employees in gaining further knowledge and skills practice in areas that central Urbana/Champaign campus HR offices identify as most relevant. (Program length=half-day to full or multi-day)

Newsfeed: This newsletter will be sent to all HR Contacts (or employees that have HR responsibilities) on a routine basis. The newsletter will be sent electronically and could include the following sections:

- Explanation of the Campus Human Rresources Academy™ and its "Community of Practice" approach.
- Brown Bag(s) recap along with links and important information.
- People Spotlight.
- HR Opportunities (locally, regionally and nationally).
- Articles addressing HR topics that are seasonally or cyclically relevant.
- Did You Know? (Information about HR services and resources).

Appendix 9 is referenced in the strategy on page 36.

Appendix 10

Proposed Program to Reinstate University Administrative Fellows Program

From 2001 to 2010, the University Administrative Fellows Program (UAFP) provided professional development for employees, across the three campuses and university administration, aspiring to middle and executive level higher education administrative positions within the University of Illinois. Review and feedback sessions were held with each class of fellows. This input led to the development of a revised program, not implemented, the "Academy for Excellence in Leadership and Administration" which is summarized below.

Introduction

The Academy for Excellence in Leadership and Administration (AELA, Academy) will leverage the best of the University of Illinois's world class faculty from Chicago, Springfield, and Urbana and connect university business practices with faculty resources. Through relationships built across the University, the Academy will use the knowledge of university executives, academic theory and practical applications to foster an environment where leaders can emerge.

The Academy can accommodate twenty-four participants in any given eighteen month class. Participants meeting the curriculum requirements will receive a certificate through the UIUC College of Business. Candidates for the Academy must be in mid-career level positions and possess the desire and passion to contribute to the success of the university. They must demonstrate values that are consistent with those of the university and have the characteristics and personality that are exemplary of superior leadership.

Mission

Foster and sustain a culture of competent, dynamic, and transformational leadership at all levels throughout the University of Illinois.

Goals

The goals of the Academy for Excellence in Leadership and Administration (AELA) focus on the individual development of UI staff and the transmission of inter-institutional knowledge. The AELA goals are:

- Create opportunities for internal succession planning for emerging leaders.
- Teach and provide opportunities to develop and implement best practices associated with leadership roles and responsibilities.
- Develop key resources for the University through a network of leaders that are capable of successfully executing strategic plans and accomplishing strategic goals.
- Enable leaders at all levels the agility to react quickly to our rapidly changing economic and social environment.

Curriculum Summary

The curriculum consists of six integrated components. Topics included in each of the components are identified in the sample curriculum at the end of this summary.

University Organization	Leadership
University Operations	Management
Research Project	Professional Development

The curriculum will be supplemented by three programs:

1. A reading program will offer insights into current literature related to the Academy topics. Reviews of the literature will be integrated throughout the eighteen month curriculum.
2. Short research projects will be led in teams of Academy class members. Research will be driven by the interests of the teams and requests from administrative units from across the University.
3. A mentoring program will be offered to Academy members. Mentoring can offer insights into the university operation, its formal and informal culture. Mentors can also be good sounding boards to test ideas, discuss issues, and career ideas. The program will be established and supported by the Academy but mentor meetings will occur outside of the formal Academy sessions.

Benefits of Proposed Program

The proposed academy could begin in FY10. The university would benefit from the following beginning in fall 2009:

- Increased collaboration with faculty at all three campuses.
- Awarding of a certificate from the UIUC College of Business.
- Continued investment in key university employees.
- Development for succession planning programs.
- Development of future university leaders.

PROGRAM ORGANIZATION

Maureen Parks, Executive Director and Associate Vice President for University Human Resources, is the executive sponsor of the Academy. An Advisory Board oversees that the program goals are met and a Curriculum Advisory Board assists with the development of the eighteen month curriculum. The staff is led by Wayne Stahl, Program Director, with Jackie Hunter serving as Administrative Coordinator, and a graduate hourly to assist. The relationships are illustrated in the structure below.

Selection

Program Application Method

1. Anyone can apply.
2. Sub-committee representing the Board and Curriculum Advisory Committee screen the nominations from the full list of applicants.

Implications

1. May get a large number of candidates, some of which may not be qualified, resulting in rejections due to space limitations and a lack of qualifications, causing confusion in the reason for not getting in the class.
2. Broader participation.
3. Documentation supporting the candidates is likely to get easier because the initiative will come from the candidates themselves, versus high-level people from the campuses.

Application Documentation

1. Resume.
2. Letter from the candidate indicating:
    a. Their interest and qualifications for acceptance into the program.
    b. Expectations.
    c. Career Goals.

    d. A description of a professional experience in which the candidate took a leadership role, including examples of how the candidate was or was not effective, as well as what the candidate learned from the experience.
3. Letter of support and commitment from immediate supervisor.
4. Letter of support and commitment from next highest level supervisor.

Evaluation Criteria

1. Evidence of potential for attaining higher levels of management with commensurate increasing levels of responsibility.
2. Values consistent with the values of the University.
3. Individual characteristics and personality consistent with superior leadership principles.
4. Highly engaged.
5. Possess the desire and passion to contribute to the success of the University.
6. Candidates must be in a mid-career level position.

Other Considerations

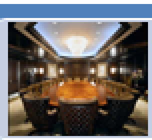
1. Diversity makeup.
    a. Gender.
    b. Race.
    c. Location.
    d. Disciplines/Units.

Appendix 10 is referenced in the strategy on page 36.

Appendix 11

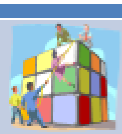
Proposed Model for Supervisory and Management Development

Three Tiered Development Model



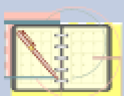
Executive Management and Leadership Development

- Executive Management



Preparation for Senior Management and Leadership

- Middle Management



Introduction to Management and Leadership

- Entry Level Management

Tier One

Introduction to Management and Leadership Goals

- Improve the rate of success of employees transitioning to their first managerial role.
- Improve the level of manager/leader performance.
- Develop managers for successful leadership roles.
- Prepare individuals to transition to first time supervisory positions or first time middle management positions.
- Promote racial and gender diversity by increasing the visibility of minorities and women.

Tier Two

Preparation for Senior Management Goals

- Create opportunities for emerging leaders.
- Provide opportunities to develop and implement best practices associated with leadership roles.
- Develop key resources for the University through a network of leaders that are capable of successfully executing strategic plans and accomplishing strategic goals.
- Facilitate agility with the participants so that they can react quickly to our rapidly changing economic and social environment.
- Promote racial and gender diversity by increasing the visibility of minorities and women.

Tier Three

Executive Management & Leadership Goals

- Improvement in specific knowledge or skill area based on performance review and feedback.
- Improve performance gap in specific area by contracting for external expertise as appropriate.
- Professional development to enhance strength.
- Promote racial and gender diversity by increasing the visibility of minorities and women.

Appendix 11 is referenced in the strategy on page 37.

Appendix 12

Meet the Ambassadors Program (CITES - Gale Stafford)

Like many campus units, we often observe our new hires adapting and learning at vastly different rates at CITES. This leads to varied performance in new hires in their first year. After interviewing a number of new hires, I saw that they did not have enough insight and understanding into "how things get done" in our large and complex organization, located within an even larger and more complex campus. Knowing "how things get done" seems to depend on knowledge of the organization's informal rules, knowledge of the organization's structure, as well as an understanding of the political, social dynamics and the history of our unit. I created the "Meet the Ambassadors" program as an attempt to connect our new hires with our core values, the key people, and the culture and unwritten rules of our organization. Feedback from all our 2012 "Ambassadors" program graduates indicates the program has been remarkably successful. All of our program graduates have strongly recommended that we continue the program to benefit our future new hires.

How the "Meet the Ambassadors" program at CITES works

- Nine distinct units in our organization.
- Each unit has two ambassadors.
- Ambassadors are selected by the unit director.
- Ambassadors are chosen based on 3 factors: (1) they should be especially good citizens at work. (2) They should embody and communicate the values we want to communicate to new hires. (3) They should have at least a few years of experience working in our organization.

Logistics: our process

1. We kick off this Ambassadors program about once every 10-12 weeks when we have a sufficient number of new hires "queued up."
2. The Ambassadors program facilitator starts things off by notifying all the Ambassadors in the organization that a new round of new hires will be setting up meetings with them.
3. Each new hire in the "batch" gets assigned randomly to a group of nine ambassadors by the facilitator (i.e., one ambassador from each unit). A spreadsheet is used to conduct the random assignment or "matchmaking" of new hires with ambassadors.
4. Each new hire gets basic information from the facilitator on each ambassador that was assigned to them. The information provided includes the following: ambassador name, their work group, title, and ambassador's contact info.
5. The new hire gets materials explaining the ambassador's program goals, and a set of simple instructions on how to complete the program. In short, you set up meetings, talk with ambassadors, take notes on what you learned, and meet with the entire group of new hires to share what you learned.
6. The instructions provided to new hires also include a set of five "conversation starter" questions that can be used as a way to interview their ambassadors and learn more about their unit. These are suggested and not required.
7. The new hire go forward with scheduling 30-minute meetings with each of their ambassadors. This gives the new hire an opportunity to get proficient with our calendaring features in Exchange 2010.
8. After 4 weeks, almost all new hires will have completed their meetings with their assigned ambassadors. The following week, the new hires will meet with the Ambassadors program facilitator to share what they learned and, as program graduates; provide an assessment of the program's effectiveness. The facilitator takes notes on feedback received from the now-graduating new hires.
9. The Ambassador's program facilitator completes this round of the program by preparing a brief report that organizes the feedback into learning such as "social culture", "logistics", "professional learning and advancement".

10. The report is shared with the Ambassadors and all unit directors in our organization to communicate the value created by the program. This has a motivating effect because the Ambassadors see how much the new hires learned from them. This report also shows the unit directors how important the program so they will continue to support their ambassadors to participate in it.

Appendix 12 is referenced in the strategy on page 37.

Appendix 13

Proposed Principles for Promotions

Guiding Principle

The University of Illinois supports internal promotions.

Objective

The objective of this policy is to provide an avenue for internally qualified candidates to be promoted.

Expectations

Each campus human resources and EEO office should work together to ensure that compliance obligations are met and that equal opportunities to apply for open positions are provided to all qualified candidates. Each campus HR office should develop clear policies and guidelines for in-place promotions and promotions to open positions within units. Each campus HR office will determine their procedures for implementation.

Impact

A clear and consistently applied process will improve transparency. The implementation guided by this principle has the capacity to:

- Reduce overhead and costs associated with searches that are not needed.
- Improve morale and retention.
- Broaden opportunities for qualified employees.

Implementation

Upon approval of this recommendation, the HR leadership team will charge a team consisting of human resources and EEO members to review and recommend the process flow, definition of each step and criteria for determining when a vacant position may be eligible to be filled through promotion from within the unit or through an internal search process.

Appendix 13 is referenced in the strategy on page 38.

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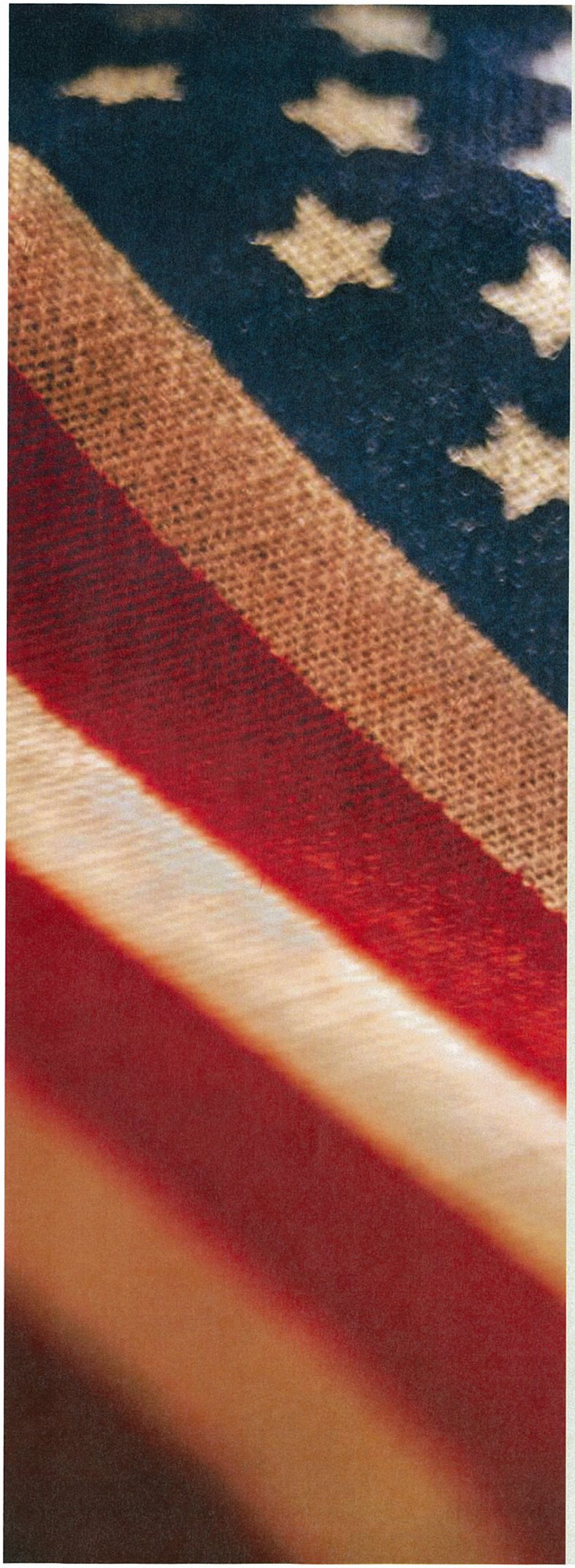
End-to-End Hiring Initiative

See document below.



UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

END-TO-END HIRING INITIATIVE

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

CHCO COUNCIL

Working for America

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Preamble

The End-to-End (E2E) Hiring Roadmap is a product of the partnership between the Office of Personnel Management and the Chief Human Capital Officers Council Subcommittee for Hiring and Succession Planning. This new approach to Federal hiring is designed to focus on the applicant: his or her expectations, needs and interests. One of the challenges facing Federal agencies is how to attract and recruit qualified individuals by meeting their expectations for user-friendly application procedures, clear communication about the hiring process and an engaging orientation experience. The E2E Hiring Roadmap puts into practice the principles underlying the following Pledge to Applicants.

Pledge to Applicants*

We recognize that a Government's most important asset is its people. To attract talented people to the service of the Nation, we believe the application process should enable rather than deter job seekers. To that end, we will work to ensure a process that reflects these principles.

1. A user-friendly application process that is not unduly burdensome or time consuming.

2. Clear, understandable job announcements and instructions for applying.

3. Timely and informed responses to questions about the requirements and the process.

4. Prompt acknowledgement that their application has been received.

5. Regular updates on the status of their applications as significant decisions are reached.

6. A timely decision-making process.

* The "Pledge to Applicants" can be found on the first page of the Delegated Examining Operations Handbook, the principle guide for HR specialists. It can be found at www.opm.gov/deu/Handbook_2007/DEO_Handbook.pdf.

CHAPTER 1 – BACKGROUND

In the next five years, the Federal Government will lose a significant portion of its valued workforce through attrition, primarily due to retirement. The Government's ability to replace this loss of skills and experience with new talent will depend on our capability to efficiently and effectively recruit, hire and retain high performing employees.

There is broad agreement that the current competitive hiring process could be improved. Applicants regularly report confusion about differences among agencies' application processes, complex application requirements that are difficult to meet, and lack of communications from the agencies as to the hiring process and the applicant's status. Human Resources (HR) professionals express frustration at a perceived lack of managerial commitment to participate fully in the key elements of hiring such as workforce planning and delays in decision making that slows the process. Managers complain that HR policies and procedures are unclear, overly bureaucratic and non-responsive to their needs.

These combined frustrations make it more difficult for the Federal Government to hire qualified employees in the stiff competition for the top talent.

Past attempts to address hiring processes have taken a component-by-component (or stovepiped) approach. Based on these previous experiences and agencies' current hiring needs, OPM decided to take a new, comprehensive and integrated approach to Federal hiring. In 2008, OPM launched four initiatives, all designed to honor the Pledge to Applicants by transforming the hiring experience for applicants, managers and HR. These initiatives are:

- Streamlined job opportunity announcement: In early April, OPM created a new job announcement template for Governmentwide entry-level accounting and secretarial vacancies. Since April, OPM has collaborated with the Federal Acquisition Institute, along with the Chief Information Officer Council, and Patent and Trade Office, and the Chief Financial Officer Council (to name a few) in developing additional streamlined job announcements for the acquisition, information technology, patent and trademark, and law enforcement communities. The new templates reduce the length and complexity of traditional announcements–OPM's model is now approximately four pages written in plain language and eliminates the additional requirement, beyond the resume, for further explaining the applicants' knowledge, skills and abilities (KSAs).

- Centralized repository of qualified applicants for the acquisition community: OPM brokered an agreement across major agencies and organizations involved in recruitment for the Governmentwide mission critical occupations (for example: Contract Specialist). The agreement creates a centralized repository of qualified applicants for entry-level acquisition positions. Participating agencies will be able to draw from this central repository for immediate placement of individuals who have already been certified as qualified for these positions. Currently, participants include DOD, the Federal Acquisition Institute (FAI) OPM and others.

- Senior Executive Service (SES) Pilot: OPM initiated a two-pronged approach to hiring at the Government's highest levels: one approach provides for ascertaining that the applicant possesses Executive Core Qualifications (ECQs) based solely upon his or her resume and the other approach stays more in line with traditional hiring by requiring the applicant to demonstrate possession of ECQs in a more narrative form. This new practice, which has been implemented as a pilot, will allow OPM to determine whether more streamlined job announcements for its executive leadership will result.

- End-to-End (E2E) Hiring Initiative: OPM joined with the Chief Human Capital Officers Council Subcommittee for Hiring and Succession Planning to transform Federal hiring by strategically integrating and reengineering its five components: workforce planning, recruitment, hiring process, security and suitability and orientation.

This document presents the E2E Hiring Roadmap. The Roadmap explains each of the five components of hiring, shows how the five are strategically integrated, provides step-by-step implementation instructions and establishes key Governmentwide measures for effective hiring. The Roadmap is designed to transform the competitive hiring process for applicants from outside the Federal Government while still complying with applicable law.

The E2E Roadmap begins with Workforce Planning. Workforce planning is a systematic process for identifying the human resources required to meet an agency's mission and goals and developing strategies to meet these requirements. This includes: 1) determining the number as well as the skills (and proficiency level) of required workers and where and when they will be required; 2) identifying actions that must be taken to attract, develop and retain the number and types of workers the agency requires. Workforce planning is also an essential tool for aligning human resource requirements through workforce shaping with budget decisions so organizations can meet their strategic objectives.

The second component of the E2E Roadmap is Recruitment. Recruitment is an on-going process requiring attention even at times when the agency is not "actively" seeking to fill jobs. Recruitment strategies should be directly informed by workforce planning in order to target anticipated talent requirements. Posting a job opportunity announcement is not a substitute for the more focused recruiting that agencies need to undertake to fill positions with the best qualified applicants. It is essential that agencies use all of the tools available to ensure a sufficient pool of qualified and diverse applicants.

The third component of the E2E Roadmap is the Hiring Process. Effectively attracting and evaluating candidates, while following merit system principles and meeting veterans' preference requirements, drives the components within the hiring process. It is imperative that the HR servicing office and line management engage in hiring as a collaborative process with open communications and shared accountability. Advanced planning, the effective use of technology and clear and continuous communication are keys to an effective hiring process.

The fourth component of the E2E Roadmap is Security and Suitability. Suitability is the process by which the character and conduct of applicants and employees are assessed to assure that their Federal employment will protect the integrity and promote the efficiency of the Federal service. The security clearance process includes investigating and adjudicating the background of applicants and employees to determine their eligibility for access to classified information, as appropriate.

The fifth and final component of the E2E Roadmap is Orientation. Orientation is the agency's effort to acculturate a new employee into the organization. As with any new relationship, how the agency treats a new employee during the first interactions leaves a lasting impression. It is the responsibility of every agency to inform and educate new Federal employees about the civil service, their specific organization, their duties and responsibilities and the pay and benefits aspects of Federal employment. This is based on the assumption that the sooner a new employee experiences the benefits of a comprehensive and well-implemented orientation program, the sooner the employee will become a contributing member of that organization and the more likely that individual is to stay with the agency.

Together, these five components create a strategic hiring process that is focused on positive outcomes for applicants, hiring managers and human resources officials. The outcome measures that accompany the Roadmap will be used by OPM and the CHCO Council to assess Governmentwide progress toward the initiative's goal to ensure the Federal hiring process is clear, communicative and effective.

CHAPTER 2 – METHODOLOGY

The End-to-End Hiring Initiative was launched in February 2008 as a partnership between the Office of Personnel Management (OPM) and the Chief Human Capital Officers Council (CHCO Council) Subcommittee for Hiring and Succession Planning. The goal of the initiative is to improve the overall experience for applicants and hiring officials in the Federal hiring process by:

- Designing a roadmap for hiring end-to-end, from workforce planning through the first year of a new employee's orientation.

- Integrating all aspects of hiring to attract qualified candidates, keep applicants well informed of the hiring process and acculturate new employees to agency mission.

The End-to-End Hiring Initiative focused on competitive hiring for applicants from outside of the Federal Government, which is governed by Title 5 of the United States Code and OPM regulations interpreting and applying Title 5.

<u>Initiative Steps and Results</u>

OPM published the End-to-End Hiring Initiative as an Operational Goal in the 2008 Addendum to the agency's Strategic and Operational Plan. The goal states, "Collaborate with one or more pilot agencies to design an end-to-end hiring model by April 1, 2008; implement and evaluate the model by July 1, 2008; and issue a Governmentwide standard by September 1, 2008."

Collaborate with one or more pilot agencies to design an end-to-end hiring model by April 1, 2008:

OPM kicked off the initiative in February 2008 with a one-day conference of the CHCO Council Subcommittee on Hiring and Succession Planning, along with other stakeholders, including the Partnership for Public Service, the Corporate Leadership Council, Young Government Leaders, the Government Accountability Office and the Merit Systems Protection Board. During the meeting, several agencies presented efficient and effective hiring processes which served as the foundation for developing the five components of the E2E Roadmap (Workforce Planning, Recruitment, Hiring, Security and Suitability and Orientation). During this initial meeting, the group also set the parameters for defining a successful hiring process.

After the February session, an interagency workgroup comprised of several CHCO Council Hiring and Succession Planning Subcommittee member agencies met on a weekly basis to design the E2E Roadmap and associated outcome measures.

Goals established by the E2E Hiring working group included:

- Develop specific standards for each component of the E2E Roadmap in order to measure effectiveness.

- Develop efficient and effective solutions to the E2E processes and procedures in an effort to further reduce the time to hire for both the applicant and the manager.

- Work with Federal agencies to pilot and refine the E2E Roadmap by conducting gap analysis on current practices and processes, providing assessment and evaluation and issuing formal recommendations and standards on the E2E process.

- As a companion to the issued standards, develop a "user's guide" that provides the "who, what, when, why and how" to all aspects of E2E hiring processes and procedures. The user's guide will include tools, scripts, tips, successful practices and other support elements that agencies can integrate into their own hiring processes and procedures.

The working groups first thoroughly assessed the processes and procedures of the five key components to determine the current facts and perceptions of Federal hiring. They identified the policy drivers and developed measures of performance for each area.

In analyzing each component, the working group assessed the procedures, mechanisms, process or procedural gaps, sequencing of sub tasks and any successful or promising practices. The working group identified several areas within each component where efficiencies might be realized while enhancing that component's outcome. The working group then analyzed all components together as an integrated, systemic whole. They found several key linkages, for example, the root cause for less than optimal results in a particular component was often affected by one or more of the other components. In addition, the working group identified strategic "threads" that link the five components. One example is the Career Patterns initiative, in which agencies use workforce planning to identify needed occupations and the career patterns that relate to these occupations. The Career Patterns thread carries the results of this analysis forward into the other components of E2E hiring: recruitment efforts targeted to these career patterns, job opportunity announcements that advertise attractors for people in these career patterns, communications during security and suitability processes to manage expectations for these employees and an orientation process that addresses the specific concerns and expectations of employees exhibiting these career patterns. Other strategic threads were identified to assure clear integration of the five components of hiring.

Implement and evaluate the model by July 1, 2008:

From April through June 2008, CHCO Council subcommittee pilot agencies continued collaborating with OPM on a process to test and improve the E2E Roadmap. Each component of the Roadmap was piloted in at least one agency and in some cases multiple agencies piloted one component to enable comparison of experiences. To launch the pilot process, agencies conducted gap analyses between their "as-is" and the "to-be" processes and procedures delineated in the Roadmap and created implementation plans for testing the new processes and procedures. The pilot agencies also established baselines against several of the outcome measures identified by the workgroup for the E2E Roadmap.

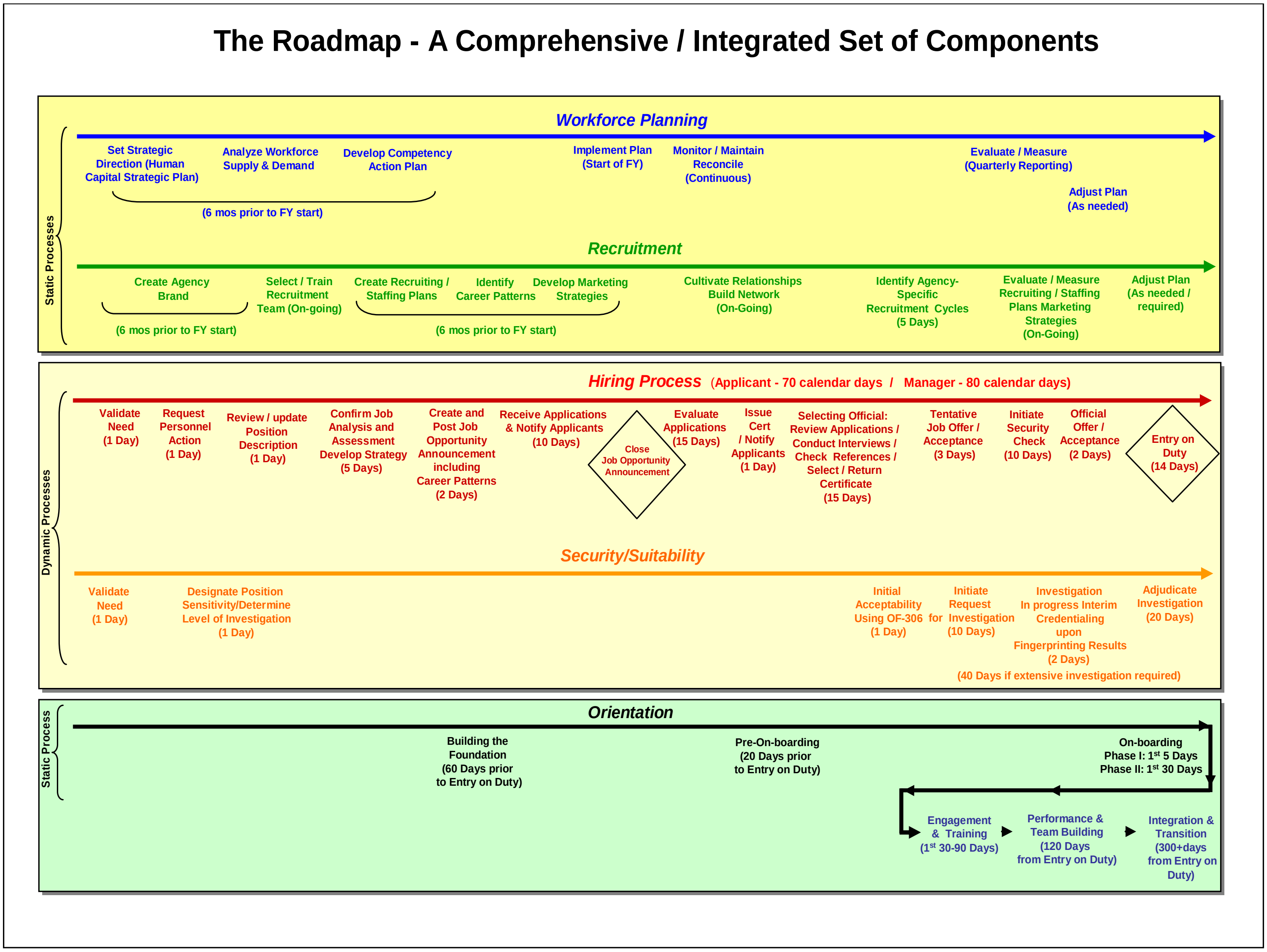
Midway through the pilot process, agencies assessed the implementation results, identifying successes, challenges and any gaps in policy, process or procedure. The working group analyzed these assessment results and incorporated pilot agency recommendations and lessons learned into the Roadmap.

During the pilot phase, the five component workgroups further developed the E2E Roadmap components, researching promising practices and creating a step-by-step guide for implementing each component. Workgroup and pilot agencies met every two weeks to discuss the interrelatedness between the developing model and the implementation testing. The result of this effort is the Roadmap contained in this document.

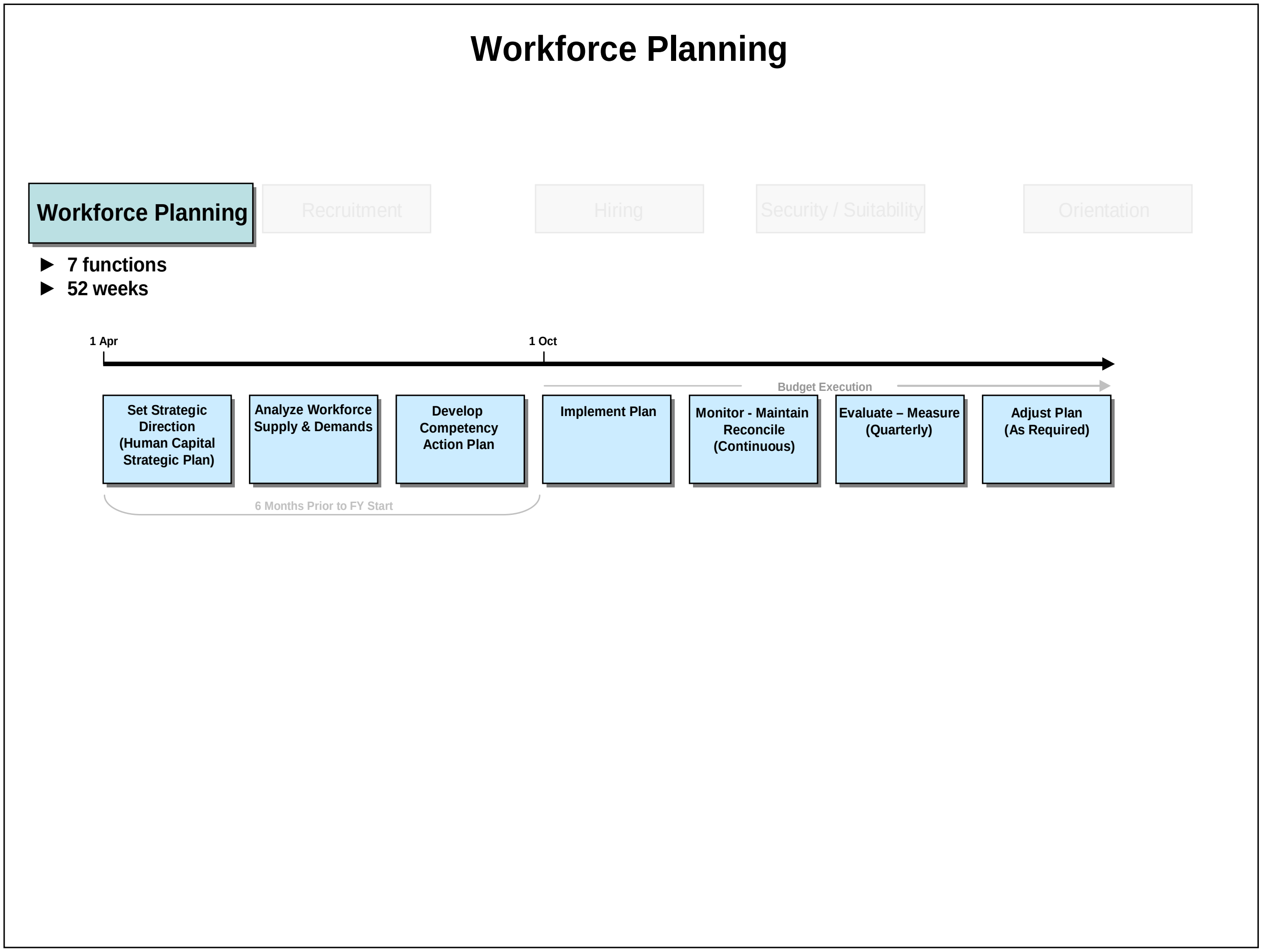
Issue a Governmentwide standard by September 2008:

To ensure that the Federal human resource community had the opportunity to comment on the Roadmap, OPM disseminated the draft to all the CHCO Council agencies on July 2, including additional representatives from the small agency community. Thirteen agencies responded with constructive feedback including specific suggestions for changes to the document. Based on this feedback, the Roadmap was revised and reviewed with the interagency working group. The final version was shared with the CHCO Council's Hiring and Succession Planning Subcommittee for approval prior to its Governmentwide dissemination on September 1, 2008.

CHAPTER 3 – THE E2E HIRING ROADMAP



WORKFORCE PLANNING ROADMAP



OVERVIEW

Workforce planning is a major component of strategic human capital management. It is defined as the systematic process for identifying and addressing the gaps between the workforce of today and the human capital needs of tomorrow. Workforce planning is based upon a set of workforce analyses which provide insight into how agencies can align their workforce to meet human capital goals and objectives that link to the agency's mission and strategic objectives.

Effective workforce planning enables the organization to: 1) link workforce requirements directly to the agency's mission and strategic and annual business plans; 2) develop a comprehensive picture of where gaps exist between competencies the workforce currently possesses and future competency requirements; 3) identify and implement gap reduction strategies, especially for mission critical occupations; 4) make decisions about how best to structure the organization and deploy the workforce; and 5) identify and overcome internal and external barriers to accomplishing strategic workforce goals.

Identifying workforce requirements requires a top-down approach beginning with the agency's strategic objectives. Analysis must include consistent, reasoned criteria and methods for determining and validating the positions' required skills, grades, types and locations.

The development of practical workforce strategies to include recruiting, retention and shaping requires the participation of executive leadership, management, employees, and agency staff responsible for financial management and acquisition as well as human resources. A good workforce planning process also will have a comprehensive communication plan and change management mechanisms in place as tools to allow agency personnel to adjust recruiting and retention strategies relative to possible changes in mission and/or resourcing.

Workforce planning is also an essential tool for aligning budget allocations to human resources requirements so organizations can meet their strategic objectives. The workforce planning process has multiple steps and is a continuous, cyclical process that must begin well before the new budget execution cycle. The workforce planning process is designed for execution in sequence as each step informs the next. For practical purposes it is necessary to begin some steps prior to completion of the next step, and to align execution of steps with the budget planning and execution timeline.

Workforce planning is an essential piece of the hiring process. But it is not a stand alone component; as previously stated, it must be correctly done up front if the other four components of the hiring process are to be effective. Once the workforce planning phase is complete, it must be effectively managed as it will impact the subsequent related hiring components.

ASSUMPTIONS

- Workforce planning is used as the keystone to an effective and efficient recruiting and hiring program

- Workforce planning is an ongoing process tied to budgetary decision making

- Agency Strategic Plan is current

- Agency has dedicated workforce planners who are trained and competent on use of workforce analysis

- Workforce planning is conducted in concert with other agency staff functions (budget, human resources, operations, logistics, facilities, information technology (IT), other)

- The current workforce competencies are validated. If competencies are not validated, additional time will be needed to adequately develop, assess and validate the competency model

- There will be variation in the time needed to accomplish tasks due to the following:
    - Executive interest and message to agency, workgroup, etc.
    - Expertise in workforce planning
    - Size of agency

CHALLENGES

- Inadequate analysis tools or systems

- Lack of workforce planning competencies and expertise

ELEMENTS AND TASKS

Set Strategic Direction (6 months prior to beginning of fiscal year (FY), 4-6 weeks duration) - Align the workforce planning process with the agency's strategic plan, annual performance and business plans and work activities.

Ownership: Executive and mid-level management, Human Resources Office

- Obtain leadership commitment to include champion at executive level

- Set mission, vision and objectives with emphasis on integrating agency and component level organization perspectives

- Identify organizational direction and ensure that all supporting plans and documentation link to workforce planning efforts:
    - Agency Strategic Plan
    - Human Capital Plan
    - Recruitment Plan (agency branding efforts, staffing plan, Career Patterns analysis, hiring flexibilities, incentives)
    - Succession Plan (mission critical occupations, key leader)
    - Career Pattern analytical tool

- Identify roles and responsibilities:
    - Define and integrate Human Resources as a strategic partner
    - Have a process for soliciting and receiving input from line managers, team leaders and key workforce planning staff

- Identify current processes and conduct risk assessment to include barrier analysis.

- Develop Workforce Planning System and Processes:
  - Workforce Plan should be completed 90 days prior to fiscal year.
  - Workforce plan is integrated with the budget cycle (year of execution and at least one budget year).
  - Ensure workforce requirements are appropriately prioritized and all necessary funding and resources are in place to execute the plan and document unfunded requirements and impacts.

- Identify desired results of workforce planning system:

  - Make the business case for workforce planning.

- Set measures for organizational performance.

<u>Best Practice:</u> Create a Strategic Workforce Planning Team made up of key personnel from different organizational levels.

<u>Analyze Workforce Data and Identify Skill Gaps (6 months prior to beginning of FY</u>**)** - Analyze the current workforce and then compare needs against available skills.

Ownership: Managers, Human Resources Office

- Analyze current state of workforce to answer two basic questions, “Who works for the organization today?” and “What skills, and at what strength and proficiency levels, exist in the organization’s current workforce?”

- Conduct baseline assessment:
  - Population: total workforce, organizational composition, series, grade/band, etc.
  - Workforce projections: accessions/separations, transfers, retirement, turnover/attrition, termination, retention.
  - Consider the many variables regarding workforce demographics.

- Analyze future state of the workforce:
  - Develop workforce requirements (this becomes the foundation for developing the position descriptions).
  - Future considerations, such as labor trends, market shifts, economic factors, educational trends, technology changes, competitive sourcing, hard to fill jobs, bench strength of workforce and reorganizations.
  - Develop forecast models of both best case scenarios and worst case scenarios.
  - Identify mission critical occupations such as; IT, Human Resources Management and Acquisition.

    - Complete the Career Patterns checklist to ensure agency talent needs are identified.
- Conduct workforce competency assessment (the identified competencies are derived from job analysis):
    - Review mission, strategy and trend data to develop competency models for mission critical occupations.
    - Work with senior agency and program leadership to refine and select strategic competencies.
    - Review positions to identify where those competencies are required.
    - Assess current workforce against required competencies, including desired proficiency levels for each position.
    - Use competency assessment results to analyze the gaps between current workforce and identified needs.
        - Use "future state" analysis to consider evolution of current workforce into the future, including changes in demand and supply.
        - The results of this phase will help develop strategies to manage the future workforce to meet mission requirements.
        - Validate and utilize assumptions for scenario building.
    - Forecast hiring needs by number and occupation (skill) and develop strategies for a proactive approach to meeting projected vacancies.
    - At this point, agencies may:
        - Get pre-approval from upper management for proactive recruitment to required/approved levels of hiring.
        - Develop a system for tracking hiring against vacancies as per the approved hiring plan.

- Complete job analysis (performed in the Workforce Planning process by the Human Resources Office).
    - Create position description.
- Assess risk level and sensitivity level for the position.

<u>Develop Competency Action Plan (6 months prior to beginning of FY)</u> - Identify strategies to close gaps, plans to implement the strategies and measures to assess strategic progress

Ownership: Manager, Human Resource Office

- Develop plan to close competency gaps:
    - Create strategies, implementation actions and timelines to close the gaps.
    - Identify plan stakeholders and responsibilities (who does what and when).
    - Identify critical success factors, measures and risks.
    - Identify strategies to close competency gaps including recruitment, training, redeployment, mentoring and other initiatives.
    - Set milestones against which to periodically assess the plan to ensure objectives are being achieved.

- Develop Human Resources infrastructure and program support to implement the actions.
    - Recruitment Plan: agency branding efforts, staffing plan, identify Career Patterns, identify hiring flexibilities, incentives.

- Develop communications strategy.

> **Tip:** The workforce plan will include a number of strategies for addressing talent management issues. For instance agencies may choose to close competency gaps through recruitment, training and development, business process reengineering, etc, all of which may require a separate action plan that includes associated resourcing issues.

Implement (beginning of FY) - Ensure human and fiscal resources are in place, roles are understood and the necessary communication and coordination occur to execute the plan and achieve strategic objectives.

Ownership: Managers, Human Resources Office

- Develop an implementation strategy for the workforce plan:
  - Ensure that all roles are clarified
  - Establish timelines and milestones
  - Provide for accountability as appropriate

- Communicate the workforce plan (continuous–not a one-time effort).

- Obtain organizational buy-in:
  - Executive level buy-in
  - Consider using pilot initiatives to test innovative methods and approaches as well as manage change
  - Establish reconciliation mechanism to compare the plan against actual results during implementation
  - Revise based on feedback from managers, workforce and other stakeholders

Monitor (during workforce plan implementation) - Observe, review and monitor program activities and internal and external developments that may affect the action plan

Ownership: Managers, Human Resources Office

- Monitor progress against milestones and measures

- Adjust plan as needed to address new workforce issues resulting from changes in mission priorities or resourcing posture

- Assess for continuous improvement purposes

TIP: The following questions may help to determine effectiveness of the strategies:
- Are there any needed adjustments to the plan and strategies?
- Were the strategies completed?
- Are the assumptions of the need and supply analysis still valid?
- Have there been any new workforce and organizational issues that have occurred?
- Did you meet your projected business outcomes?

<u>Evaluate (quarterly)</u> - Assure linkage of workforce planning to accountability system and processes

Ownership: Managers, Human Resources Office

- Assess outcomes against indicators to determine success, lessons learned and failures
- The agency's plan is evaluated by internal stakeholders for effectiveness and to determine if adjustments are required
- Address new workforce and organizational issues
- Monitor progress against milestones
- Assess for continuous improvement purposes

<u>Adjust Plan (as required)</u> - Make adjustments to plan to address all relevant issues

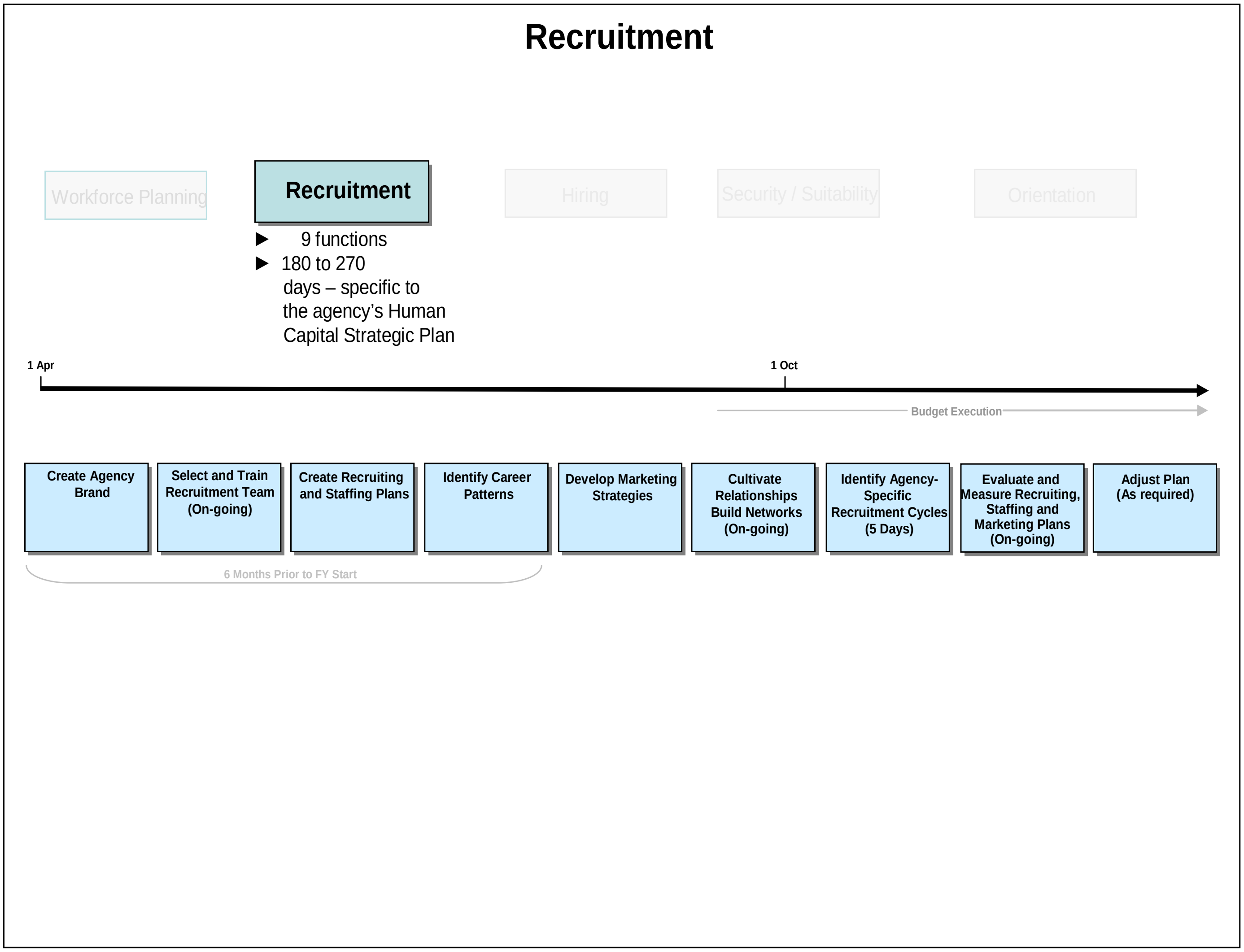
Ownership: Managers, Human Resources Office

MEASURES

Percentage of managers reporting they have the information needed to make effective decisions regarding staffing requirements.

Percentage of annual staffing projection (number and required competencies) achieved (Source: Annual Human Capital Management Report and Systems, Standards and Metrics, Mission Critical Occupation Resource Chart).

RECRUITMENT ROADMAP



OVERVIEW

Effective recruitment in high-performing organizations occurs when management owns the process and human capital efforts are tied to the agency's mission and program goals. The agency's recruiting and workforce planning efforts must be based on the understanding of the talent challenges, hiring needs, required skills and competencies and a comprehensive strategic human capital plan. Hiring priorities and overall recruitment strategies must be outlined and approved in the workforce planning process.

Recruitment is an on-going process which requires attention and resources, even when agencies are not "actively" seeking to fill jobs. Posting a job opportunity announcement is not a substitute for the more focused recruiting agencies should undertake to fill positions with highly qualified applicants. Passive recruitment strategies have proven ineffective in attracting the best qualified and most diverse pool of candidates. Agencies with a proactive recruitment model focused on building talent pipelines, cultivating and maintaining partnerships, monitoring recruiting activities and sharing accountability will be more successful in securing top talent.

Recruitment budgets in most agencies have remained steady or decreased. Agencies must ensure their recruitment teams have the necessary training, tools and support to maintain or increase the quality of hires while working within the constraints of limited resources. In order to develop a solid, efficient recruiting plan after first identifying, validating and prioritizing workforce requirements, it must bedetermined where the highest payoff can be realized and targeting those areas/institutions first. Developing employment branding and identifying strategic recruitment activities in the up-front phase of the workforce planning process will better position agencies to achieve greater results in recruiting top quality hires.

To assess and improve the way the Federal Government is attracting the right talent, agencies should solicit feedback from new hires with no prior civil service experience for assessing the reasons they chose to work for the agency, as well as their job search and hiring experience.

ASSUMPTIONS

- Recruitment is:
  - Based on merit principles
  - A critical management function
  - An ongoing process requiring constant management and adjustments based on changes in the organization's mission or resources

- Complies with statutes and regulations

- Accords with the "Pledge to Applicants"

- Strong commitment and support from senior-level officials and managers in the recruiting process at all levels

- Agencies' human capital initiatives include strategies to attract, recruit, develop and retain a diverse workforce

- Workforce Plan was developed and up-front planning activities were conducted
- Agencies promote their mission and career opportunities to potential applicants at all times, not just when filling jobs
- Full-time Equivalent (FTE) allocations and recruitment initiatives are aligned with the agency's strategic priorities and performance budget, and are funded within existing budgetary guidelines

CHALLENGES

- Resource constraints for recruiting activities (e.g., staff)
- Talent shortage in the job market and increased competition across Federal agencies for highly qualified talent
- Shortage of highly skilled human resources practitioners
- Existing technology/automation is not always used effectively, especially for tracking and reporting
- Inattention to recruiting process optimization due to lack of planning, staff, training and resources

ELEMENTS AND TASKS

Create or Refine Agency Brand (as necessary)

Ownership: Managers

Maximum number of calendar days: 6 months prior to fiscal year (in conjunction with workforce planning)

- Develop an agency "brand" and branding strategies to build credibility with employees and potential applicants. Large agencies may want to develop an agency brand in addition to brands for bureaus and component agencies
- Develop strategies to implement the brand; branding the job is also important
- Ensure brand execution on the website
- Create recruiting materials and e-recruiting tools that reflect the agency brand
- Conduct brand audit to understand the internal state of the brand (e.g., What do employees and new hires think about the agency brand? Does the agency have any "off-brand" recruiting materials? Are potential applicants aware of the brand?)

Helpful Hint: Large agencies may find it difficult to create a consistent brand that applies to all its components. Find a unified theme that best describes the mission of the agency. Also, consider how well the brand will translate across the country.

Select and Train Recruitment Team

Ownership: Managers, Human Resources Office

Maximum number of days: On-going.

- Create a recruiting toolkit for the recruitment team and "train the trainer" materials
- Select a cadre of effective and diverse recruiters with the right competencies to market the agency mission and its careers; recruitment teams should comprise a variety of career employees (e.g., managers, recent college graduates/new hires, human resources practitioners, "veterans" of the agency) who are in the kind of jobs for which the agency is recruiting
- Train recruiters on recruitment functions, protocols, roles and responsibilities in the recruiting process
- Designate an individual and/or committee to work with the recruitment faculty at colleges, universities, downsizing industries, military transition centers, or other institutions that might provide a source of qualified candidates
- Designate someone to identify and build relationships with professional organizations
- Review training materials frequently to ensure information is current

Helpful Hint: Include in your training program information on appointing authorities and recruitment, relocation, retention and other incentives.

Create Recruitment and Staffing Plans

Ownership: Managers, Human Resources Office

Maximum number of calendar days: 6 months prior to fiscal year.

- Align recruitment plan with the agency workforce plan, staffing acquisition plan, succession plan, affirmative employment plan, retention plan and other human capital initiatives

- Set an overall recruitment vision for the agency and articulate goals, objectives, expectations and accountability

- Request input from stakeholders in the development of recruitment strategies

- Identify skills gaps

- Create an evaluation plan

- Review career paths and utilize individual developmental plans

- Analyze retirement projections and exit interview survey data

- Analyze staffing needs

- Identify incentives, such as student loan repayments and recruitment and relocation incentives to attract high-quality candidates. Incentives must be aligned with the agency's strategic priorities and performance and funded within existing budgetary resources

- Establish a mechanism to communicate with stakeholders groups

- Select recruiting metrics (e.g., applicants per recruiting source, recruitment yield, high-quality candidate ratio) and establish measures for assessing the effectiveness of individual recruitment activities (e.g., qualified applicants return on investment (ROI), offers ROI, hires ROI)

- Identify talent pools and recruitment methods
    - Study labor market
    - Determine skills sets of talent pools
    - Determine positions needing additional sourcing
    - Identify recruiting sources:
        - Colleges and universities with strong undergraduate and/or graduate programs in relevant areas
        - Job fairs
        - Career placement offices
        - Professional organizations
        - Advertisements in professional association publications
        - In-person presentations at professional gatherings (e.g., luncheons, conferences)
        - Internet
        - Resume banks
        - Job announcements on listserv

- Job boards (e.g., private sources, as well as USAJOBS)
- Online forums (i.e., blogs)
- Industry-specific publications (advertise)
- Military transition centers and veterans organizations
- Employee referrals
- Applicant search firms
- State employment offices

- Determine internal and external applicant sources (both competitive and non-competitive).

Identify Career Patterns

Ownership: Managers

Maximum number of calendar days: 90 days prior to fiscal year (in conjunction with workforce planning).

- Develop strategies to connect employees to the career path they want to be on and identify Career Patterns dimension such as time in career, mobility, permanence and flexible arrangements. For information on the Career Pattern initiative refer to http://www.opm.gov/hcaaf_resource_center/careerpatterns/.

Helpful Hint: Market the competitive Federal benefits package (e.g. annual leave, sick leave, health insurance, retirement) and work-life programs to attract the next generation of Federal employees, as well as experienced workers with appropriate competencies.

Develop Marketing Strategies

Ownership: Managers, Human Resources Offices

Maximum number of calendar days: 90 days prior to fiscal year (in conjunction with workforce planning)

- Create or improve recruiting page on agency's website to communicate effectively with applicants
- Select job posting websites to reach desired talent; include non-traditional marketing as part of the overall recruiting efforts to reach out to a diverse applicant pool
- Improve and streamline job opportunity announcements to ensure the information is clear and understandable to applicants
- Provide a realistic job preview to applicants; employment branding must be in sync with what the job is really like
- Survey the new-hires who were a good fit in their jobs and organizations at milestone points throughout their first year in the position to gauge their satisfaction with agency recruiting strategies; obtain their suggestions on ways to attract high-quality applicants

Helpful Hint: Share proven recruitment strategies and marketing models that work for the agency with its departments/components; this approach will eliminate costly and inefficient practices in the agency; establish a central resource center facilitates intra-agency distribution of information.

Cultivate Relationships and Build Networks

Ownership: Managers

Maximum number of calendar days: On-going

- Establish relationships with community colleges, four-year colleges and universities and professional organizations to draw from a cross-section of society (including, for example, historically black colleges and universities, Hispanic-serving institutions, women's colleges and schools with international programs)
- Partner with professional organizations that reach out to diverse applicant pools
- Develop effective relationships with university career placement offices, faculty and student and alumni organizations and keep them informed of internship opportunities and vacancy announcements

- Provide colleges and universities with data on projected hiring needs and skills that will be on demand in the future so they can tailor their courses to address those needs; partner with targeted universities in curriculum design

- Develop recruitment strategies (or localized marketing efforts) to fill a particular skills gap (e.g., military transition centers to fill acquisition gaps)

- Host speaking engagements at local middle and high schools to educate students about your agency's mission and careers and grow the next generation of applicants

- Develop targeted recruitment strategies for specific skills needed (e.g., partnership with Federal Acquisition Institute).

Helpful Hint: Partner with student, employee and professional organizations to conduct workshops on how to apply for a Federal government job and/or provide materials online to help educate applicants

Identify Agency-Specific Recruitment Cycles

Ownership: Managers, Human Resources Office

Maximum number of calendar days: 5

- Determine recruitment cycles based on the recruitment and staffing plans

- Coordinate agency-wide recruitment activities to maximize communications with recruitment teams and avoid duplication of efforts

- Develop and implement an ongoing feedback process and evaluation on the recruiting system

Helpful Hints: Post the calendar of professional and collegiate recruiting events the recruitment team will attend during the fiscal year on the agency's career website; also, a well-managed Student Career Experience Program (SCEP) summer intern program provides available talent pool for entry- and career-level positions

Evaluate and Measure Recruitment, Staffing Plans and Marketing Strategies

Ownership: Managers, Human Resources Office

Maximum number of calendar days: On-going or within 60 days of event

- Implement metrics to monitor the effectiveness of the recruitment program
- Review results of recruitment activities and identify what recruitment sources led to a larger number of qualified hires
- Monitor attrition rate of new hires
- Conduct customer satisfaction surveys and evaluate ratings
- Share results of evaluations with senior management, recruitment team and other stakeholders to obtain recommendations
- Revisit recruitment plan and recruiting activities regularly to make necessary adjustments
- Provide feedback to career placement officers, school administrators, deans, faculty, professional organizations and alumni groups on recruitment initiatives and results
- Prepare recruiting budget projections
- Ensure hiring projections are realistic

Adjust Plans

Ownership: Managers, Human Resources Office

Maximum number of calendar days: As needed (required step)

- Adjust recruitment plan and recruiting activities based on evaluation/measures

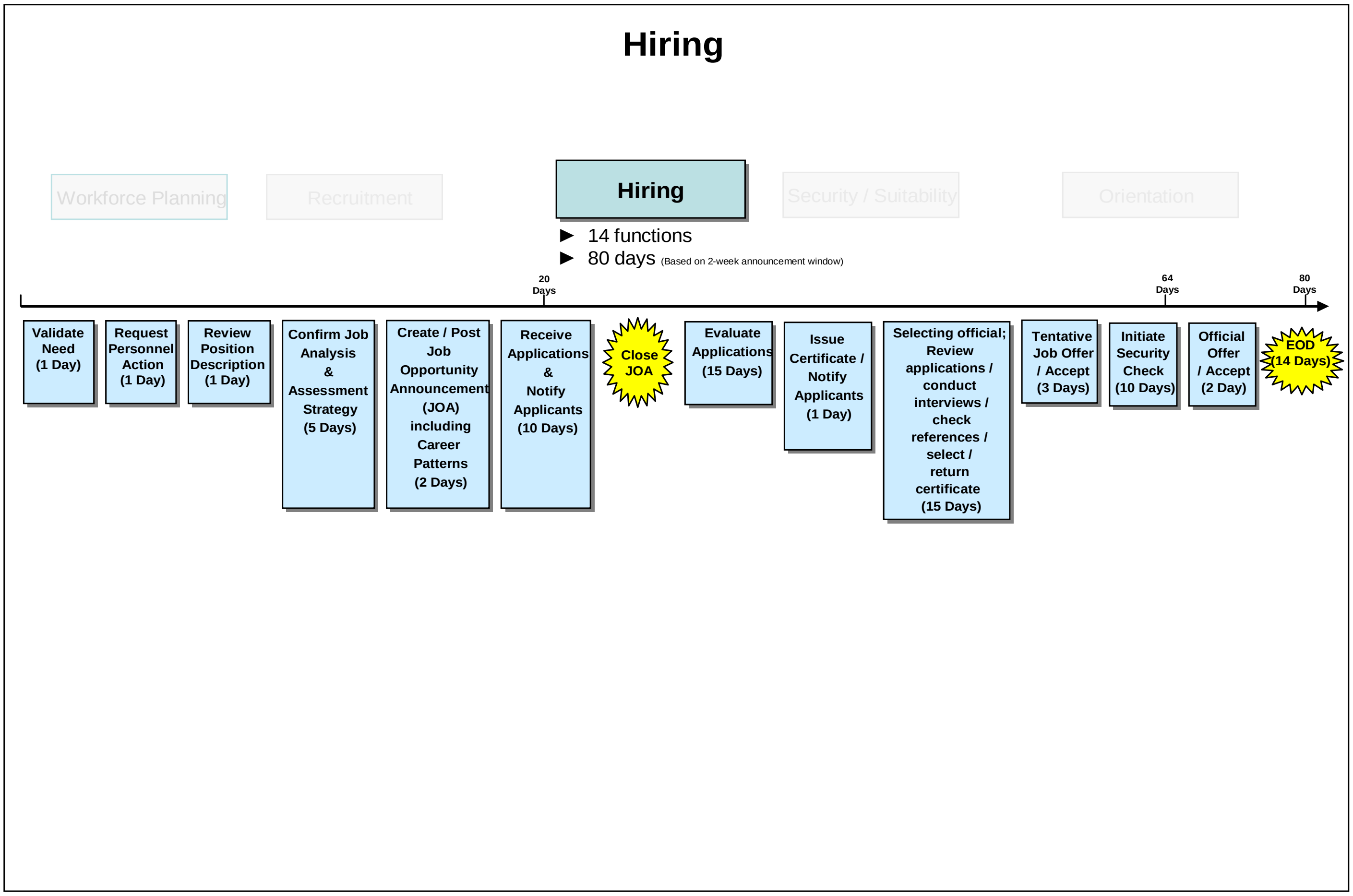
Orientation (refer to Orientation Process Roadmap)

MEASURES

Percent of applicants reporting hearing about the job from agency recruitment efforts (sources include the applicant survey (USAJOBS and/or agency survey))

Percent of new employees reporting hearing about the job from agency recruitment efforts (source: agency's New Hire Survey)

HIRING PROCESS ROADMAP*



* The number of days for each step within the 80-day Standard is based on agencies using E2E Roadmap as an integrated strategy and agency best practices. Agencies may need to adjust the number of days for each step within the 80-days based on their particular practices and procedures.

OVERVIEW

The hiring process begins well before a job ever materializes. It effectively incorporates the full E2E experience, including numerous tasks associated with Workforce Planning, Recruitment, Security and Suitability and Orientation. The success of the hiring process is dependent on the effectiveness and efficiency of the workforce planning and recruitment components. By ensuring position descriptions are systematically reviewed for currency and relevance to ever-changing mission requirements, managers can proactively plan for vacancies and potential shifts in the composition of their workforce.

Effectively attracting and evaluating candidates drives many of the components within the hiring process. It is imperative that management coordinate and openly communicate with the Human Resources Office and vice-versa. Decisions such as use of the various hiring flexibilities, ranking procedures and assessment instruments should be discussed well in advanced of any job as part of an overall hiring strategy. Sound job analysis is imperative and establishes the foundation of any hiring effort, thereby impacting recruitment strategies, job announcements, qualification requirements and assessments.

The variety of application procedures and automated staffing tools used throughout Government significantly challenges developing a standard hiring process. However, even under these current conditions progress can be made. The hiring process consists of some very definitive steps based on legal and regulatory requirements based on clearly described merit principles. With advanced planning, as well as effective use of technology and communication tools, considerable improvement can be achieved.

ASSUMPTIONS

- The Federal Government's "Pledge to Applicants" is applied.

- The hiring process is designed for filling positions with new hires from outside the Federal Government into the competitive service under the agency's delegated examining authority (5 USC 1104(a)(2). It was not designed for filling positions under merit promotion procedures.

- Workforce planning and recruitment processes are completed (for example: positions are developed, validated, approved for resourcing, classified, position description is established and the appropriate assessment tools are developed prior to initiating the request for personnel action).

- Merit system principles are maintained. These principles are located at http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=browse_usc&docid=Cite:+5USC2301.

- Veterans' preference requirements are followed. Information on veterans' preference can be found on OPM's website at http://www.opm.gov/veterans/.

- The hiring process is designed for filling positions with open and close dates other than an open continuous announcement.

- Hiring flexibilities such as Direct-Hire Authority are outside of this process.

- An automated staffing system is in place and operational.

CHALLENGES

- Availability of trained human resources staff conducting various steps of the hiring process.

- Availability of managers dedicated to engage in the hiring process, beginning with reviewing workforce requirements, staffing and recruiting plans in order to select individuals best suited for the position.

- Obtaining buy-in on revised procedures from all stakeholders, including management officials, human capital practitioners, employees and the like.

ELEMENTS AND TASKS*

Validate the Need against the Workforce, Staffing and Recruiting Plans

Ownership: Manager

Maximum number of calendar days: 1

- Review workforce, succession and staff acquisition plans.

- Review recruitment plan to identify the resources and sources for recruitment.

- Understand the skills gap in the organization.

Request Personnel Action (RPA) to Fill Job

Ownership: Manager

Maximum number of calendar days: 1

- Create RPA (SF-52) to fill the position.

- Obtain approval of the RPA (SF-52).

* The number of days for each step within the 80-day standard is a suggested timeframe. Agencies may need to adjust the number of days for each step while keeping within the 80-day standard for end-to-end hiring.

Helpful Hint: Develop and use a "Hiring Contract" between the manager and the Human Resources Office that spells out each party's responsibility and timeframe for filling the job.

Review the Position Description

Ownership: Manager, Human Resources Office

Maximum number of calendar days: 1

- Review position description for currency and accuracy of the duties and occupation.
- Identify changes to the position.
- Verify risk level designation.
- Verify sensitivity level/clearance eligibility.

Helpful Hint: Use the Position Designation System developed by OPM when it is released in final form, to aid in determining sensitivity level/clearance eligibility. In the interim, continue to apply the current Position Designation System, to aid in determining sensitivity level/clearance eligibility.

Confirm Job Analysis and Assessment Strategy

Ownership: Manager, Human Resources Office

Maximum number of calendar days: 5

- Confirm Job Analysis:
  - Identify the critical duties and responsibilities of the job.
  - Identify the knowledge, skills and abilities (KSA) or competencies required to perform the duties and responsibilities of the job.
  - Identify KSAs/competencies to be included in the assessment strategy.
  - Identify factors that are important in evaluating eligibles.
  - Document the job analysis process for future use.
- Identify an Assessment Tool:

- Use an assessment tool based on:
  - KSAs/competencies identified in the job analysis.
  - Grade level of the position to be filled.
  - Validity of the assessment.
  - Expected number of applicants.
  - Resources such as raters and automated systems.
  - Time to develop.
  - Cost.

- Determine availability of an existing assessment tool or develop/procure a new tool such as:
  - Structured Interview.
  - Written Test.
  - Assessment Center.
  - Work Sample.
  - Crediting Plan/Rating Schedule.

- Choose a Ranking Method:
  - Determine method of ranking eligible candidates (hereafter "eligibles"), such as category rating or traditional ranking procedures (Rule of Three).

Helpful Hints:

- Use OPM's interactive Assessment Decision Tool to customize the assessment strategy based on specific competencies and other factors relevant to the hiring situation (e.g., volume of applicants, level of available resources). See http://apps.opm.gov/ADTadt/ADTClientMain.aspx.content .aspx?JScript=1.

- Refer to OPM's Assessment Decision Guide for additional information about the range of assessment tools (e.g., structured interview, work sample) at http://apps.opm.gov/adt/content.aspxJScript+1.

- Review OPM's Hiring Tool Kit at http://www.opm.gov/hiringtoolkit/.

- Develop a job analysis library covering mission-critical and frequently filled positions. OPM maintains a job analysis data base called "HR Manager" and it is updated periodically as occupational studies are completed. Access is limited to subscription holders.

- Develop assessment library covering mission-critical frequently filled positions.

- Use the Uniform Guidelines on Employee Selection Procedures when developing a new assessment. See http://www.usdoj.gov/crt/emp/uniformguidelines.html.

Create and Post a Job Opportunity Announcement including Identifying Career Patterns

Ownership: Human Resources Office

Maximum number of calendar days: 2

- Identify required items for a job announcement:
  - Agency name
  - Announcement number
  - Title of the position
  - Series
  - Grade(s) or equivalent and entrance pay
  - Open and closing dates (including cut-off dates, if any)
  - Duty location
  - Number of vacancies
  - Description of duties
  - Qualification requirements (including KSAs/competencies)
  - Basis for rating
  - How to apply
  - Ensure appropriate/adequate record keeping of all actions/transactions
  - Agency's definition of "well qualified" (Career Transition Assistance Program (CTAP), Interagency Career Transition Assistance Program (ICTAP) and Reemployment Priority List (RPL).
  - Information on how to claim Veterans' Preference
  - EEO Statement
  - Reasonable Accommodation Statement

- Identify optional items:
  - Recruitment/Relocation incentive opportunities
  - Alternative work schedules
  - Part-time employment and job sharing opportunities
  - Telework options
  - Employee benefits
  - Work/Life programs
  - Transit subsidy
  - Employee assistance programs
  - Incentive award opportunities
  - Development and training opportunities

- Identify security requirements:
  - Review the level of security required to perform the duties of the position.

- Identify Career Patterns for applicants based on workforce and recruitment planning process.

- Identify the length of time of process from applying to entering on duty.

- Post Job Opportunity Announcement:
  - Review agency public notice requirement/policy.
  - Post job opportunity announcement on OPM's USAJOBS website.

Helpful Hints:

- Develop and/or use standard job announcement templates for mission-critical and frequently filled positions. OPM developed standard job announcement templates for Secretary, Accountant, Accounting Technician and Contract Specialist for agency use. These templates can be found on USAJOBS (Employer Services), CHCO website at http://www.chcoc.gov/Transmittals/TransmittalDetails.aspx?TransmittalID=1354 and http://www.chcoc.gov/Transmittals/TransmittalDetails.aspx?TransmittalID=907 and the *Delegated Examining Operations Handbook* website at http://www.opm.gov/deu/DEOHmemos/index.asp.

- For Career Patterns Initiative refer to http://www.opm.gov/hcaaf_resource_center/careerpatterns/.

- Develop an automated staffing system that performs functions that generates job opportunity announcements (JOAs); posts JOAs on USAJOBS; accepts applications via Internet, phone, or fax; tracks applicant status and notification, etc. For more information on USA Staffing: The Automated Solution for Public Sector Hiring refer to http://www.opm.gov/hr/employ/products/services/usastaffing/usastaffing.asp.

<u>Receive Applications and Notify Applicants</u>

Ownership: Human Resources Office

Maximum number of calendar days: 10

- Use an automated staffing system that provides reasonable accommodation in the application and hiring process for individuals with disabilities.

- Take into account individuals who do not have internet access.

- Accept applications with supporting documentation only during the open period of the job announcement.

- Document receipt of applications by date stamping applications on hard copy applications or with electronic date markers.

- Notify applicants of receipt of their application.

> **Helpful Hint:** Develop an applicant tracking system to provide regular updates on the status of an application as significant decisions are reached. See the Government's "Pledge to Applicants."

Close Job Opportunity Announcement

Ownership: Human Resources Office

- Job Opportunity Announcement removed from USAJOBS based on the closing date.

Evaluate Applications

Ownership: Human Resources Office

Maximum number of calendar days: 15 calendar days

- Evaluate Applications:
  - Review applications for minimum qualification determination.
  - Review applications for selective placement factors, if any.
  - Review applications for quality ranking factors, if any.
  - Identify CTAP, ICTAP, or RPL eligibility:
    - Determine application meets "well-qualified" definition identified on job announcement.
  - Review applications for legal requirements (i.e., veterans' preference, citizenship, age, etc.).
  - If the job requires an OF-306 at the time of application, it may be necessary to screen applications to determine if there are issues that warrant referring the case for a suitability determination. If there are, suitability should be adjudicated, based upon a background investigation appropriate to the risk designation for the position. Similarly, it may be necessary to screen applicants to determine if they are eligible for the position, based upon the sensitivity designation, including consideration of requirements for access to classified information.
- Rate and rank applications:
  - Rate applications based on the assessment tool created for the position.
  - Apply veterans' preference, if appropriate.

    - Place eligibles in the appropriate ranking order (i.e., traditional ranking or category rating).

- Notify applicants of results of the qualification evaluation.

<u>Issue Certificate and Notify Eligibles</u>

Ownership: Human Resources Office

Maximum number of calendar days: 1

- Issue Certificate of Eligibles to selecting official:
    - Rank eligible candidates based on the ranking procedure identified in the job announcement.
    - Create a list of eligible candidates for review by the selecting official.

- Notify eligible candidates who were not referred on the certificate:
    - Notify applicants of the status of their applications whether they were determined eligible or ineligible for the position.

<u>Review Applications, Schedule and Conduct Interviews, Check References, Make Selection and Return Certificate</u>

Ownership: Manager

Maximum number of calendar days: 15

- Review Applications of eligible candidates on the certificate:
    - Determine the best eligible candidates for the position based on a review of the applications/resumes and all appropriate documents by the selecting official.

- Schedule and conduct interviews:
    - Determine and follow agency policy on interviewing eligibles.
    - Schedule and conduct interviews either by the selecting official or panel.
    - Develop interview questions specific to the position.
    - Train individuals, including supervisor or manager, if a structured interview is being conducted as part of the assessment process.
    - Identify best candidate(s) for the position based on the interview process.
    - Check references, verify current and/or previous employment, conduct reference checks of current and/or previous supervisors and conduct personal reference checks of individuals identified by the candidate.

- Sign and return certificate:
    - Sign and return certificate identifying the selected individual for the position.

Helpful Hint: Develop standard operating procedures (SOP) on reviewing applications, conducting interviews, checking references, making a selection and returning the certificate. These SOPs must be in compliance with the appropriate laws and regulations such as veterans' preference.

Tentative Job Offer and Acceptance

Ownership: Human Resources Office, Security Office

Maximum number of calendar days: 3

- Audit certificate for compliance with laws and regulations.
- Extend a tentative job offer to selectee.
- Solicit, review and verify information from selectee such as DD-214, college transcripts, OF-306, *Declaration for Federal Employment*, etc. if not already provided with the initial application.
- Notify remaining eligibles that a selection was made.

Initiate Investigation at the Appropriate Level for the Position to be Filled

Ownership: Human Resources Office, Security Office

Maximum number of calendar days: 10

- Refer to the Security and Suitability Roadmap.

Official Offer and Acceptance

Ownership: Human Resources Office

Maximum number of calendar days: 2

- Allow selectee to accept or decline job offer and make necessary arrangements with current employer.

Enter on Duty

Ownership: Human Resources Office

Maximum number of calendar days: 14

- Allow selectee to return necessary forms for entry on duty such as information necessary for background investigation and the like.

- Orientation Roadmap begins.

MEASURES

Percent of employees hired within 80 days as described in the Hiring Process Component of the E2E Model (source: Hiring Timeline Data).

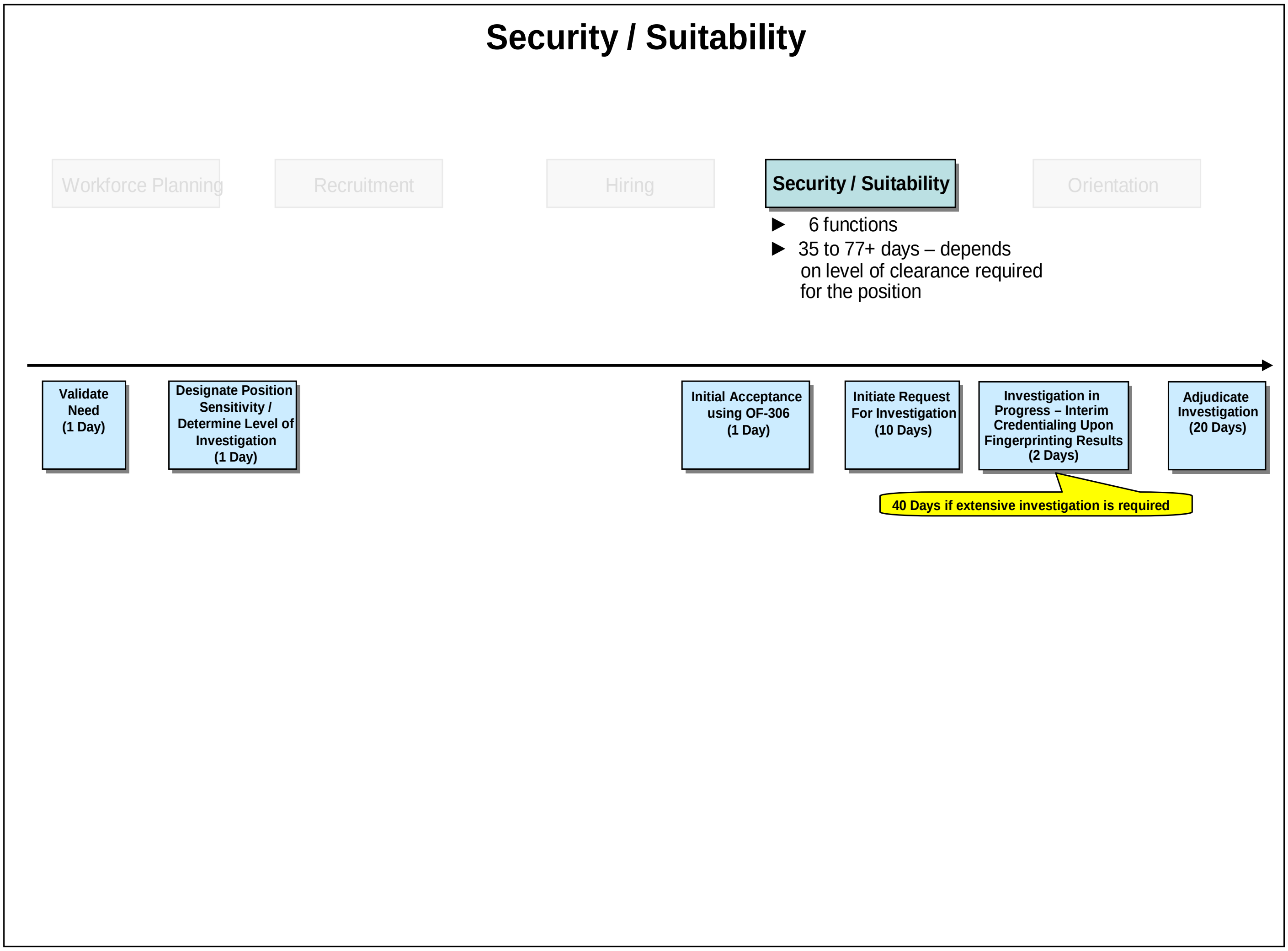
Percent of applicants who indicated they were able to obtain information on current status of their application (source: New Hire Survey).

Percent of new employees reporting regular communications throughout the entire process (re: expectations for the hiring process) (source: New Hire Survey).

Percent of managers reporting that they were referred applicants with the talent needed to perform the job (source: CHCO Manager Survey).

Percent of new hires reporting satisfaction with the hiring process (source: New Hire Survey).

SECURITY AND SUITABILITY ROADMAP



OVERVIEW

Suitability is a set of criteria by which the character and conduct of applicants and employees are assessed to assure that their Federal employment will protect the integrity and promote the efficiency of the Federal service. The security clearance criteria includes investigating and adjudicating the background of applicants and employees to determine their eligibility for access to classified information, as appropriate.

ASSUMPTIONS

- This suitability and security criteria are for competitive service and career SES appointments.
- The proposed Position Designation System will include a tool to assist simplifying the current process of position designation.
- Current, on-going reform efforts to align investigative and adjudicative processes may require adjustments to the investigation types associated with particular position designations.
- At least ninety percent of all initial applications will require 40 days or less to complete the investigation.
- Agencies will reduce the timeframe for submission of the investigative package

ELEMENTS AND TASKS

Validate Need for new position against the Workforce, Staffing and Recruiting Plans.

Ownership: Managers

Maximum number of calendar days: (refer to Hiring Process Roadmap)

Confirm Accuracy/Reconcile Position Description

Ownership: Managers, Human Resources Office

Maximum number of calendar days: (refer to Hiring Process Roadmap)

Designate Position using OPM-provided Position Designation System which will automatically Determine Level of Investigation Commensurate with Position Designation

Ownership: Human Resources Office or Security Office with input from Managers

Maximum number of calendar days: 1

Best Practice: Managers provide input to the office designating the position.

- Designate the sensitivity level for the position, which triggers the investigative requirements for the position in relation to the national security assessment required by 5 CFR part 732.

- Designate the risk level for the position. Suitability investigative requirements pursuant to 5 C.F.R. part 731 vary according to the position's potential for adverse impact to the efficiency or integrity of the service.

- Designations must not be influenced by the cost of the investigation entailed.

Note: Ongoing initiatives of the Joint Reform Team may impact current investigative solutions.

<u>Identify candidate and extend offer of employment</u>

Ownership: Human Resources Office

Maximum number of days: (Refer to Hiring Roadmap)

- Offer may be conditional based on subsequent determinations that the person is suitable for Federal employment and that the person’s appointment is clearly consistent with the interests of the national security at the sensitivity level designated.

- Offer may be conditional based upon a subsequent finding that the person is eligible to have access to classified information at the required level.

<u>Review the candidate’s Declaration for Federal Employment (required for new employees), Optional Form (OF) 306.</u> Look for issues that might be considered a basis for finding an individual unsuitable for Federal employment. Agencies have the discretion to decide who will have the responsibility for reviewing the Declaration for Federal Employment; however, this important step should not cause delays and may require increased communication between field locations, HR and Security offices (depending on agency structures).

Ownership: Human Resources Office or Security Office

Maximum number of calendar days: Refer to Hiring Process Roadmap

- If issues relating to material, intentional false statement or deception or fraud in examination or appointment appear to be present, refer to OPM.

- If issues relating to failure to testify as required pursuant to 5 C.F.R. § 5.4 appear to be present, refer to OPM.

- If suitability issues involving something other than those mentioned above, the agency should refer to OPM's suitability referral guidelines to determine whether the case should be referred to OPM, or adjudicated under the agency's delegated suitability authority.

<u>If examination of the OF-306 is favorable, determine if there is a current investigation and/or adjudication that may satisfy investigative or adjudicative requirements under reciprocity rules and whether a valid Federal identity credential can be verified.</u>

Ownership: Human Resources Office and Security Office

Maximum number of calendar days: 1 day, if there is a decision that can be reciprocally accepted. If the decision is not reciprocally accepted, the maximum number of days can extend to 6 months or more, as agencies respond to file requests from other agencies with varying response times.

- Security office will search Clearance Verification System (CVS) and OPM Security/Suitability Investigations Index (SII) for investigations.

- The planned enhancements to CVS include display of HSPD-12 credential information.

<u>If no current investigation, Initiate Request for Investigation</u>

Ownership: Security Office

Maximum number of calendar days: 10

- Agency ensures candidate has completed appropriate investigative questionnaire using the Electronic Questionnaire for Investigations Processing (e-QIP) and provided certification and releases. e-QIP is the most efficient means for submitting investigative requests.

- If OPM is the investigative service provider, agency completes Agency Use Block and indicates whether advance results of FBI National Criminal History Check (fingerprint check) or advance results of National Agency Check (NAC) are desired (for interim personal identification verification credential issuance, advance employment determination and/or interim clearance determination).

- Agency reviews the OF-306 and resumes to assess consistency with investigation request questionnaire; material, intentional false statement or deception in examination or appointment is reported to OPM FISD Suitability Adjudications Branch.

If OPM will be the investigative service provider, agency submits investigative request package in accordance with OPM guidance contained in publication INV-15 (formerly IS-15) "Requesting OPM Personnel Investigations." If new request for investigation has been initiated, agency may make an interim credentialing consistent with Governmentwide guidance. Interim clearance decisions and interim appointment decisions can also be made at this point.

Ownership: Security Office or Adjudicating Official

Maximum number of calendar days: 3 (if favorable results of NAC or Fingerprint check)

- Requires appropriate identity source documents from applicant and results of NAC or Fingerprint check.

- Agency will utilize "Final Credentialing Standards for Issuing Personal Identity Verification Cards under HSPD-12" released by OPM July 31, 2008 or any successor standards that may be issued in the future. These standards apply to Executive agencies under E.O. 13467. Where a credentialing determination is not automatic based on reciprocity, the agency may make either an interim credentialing determination or a single and final credentialing determination, as described in the Standards.

The employee may enter on duty if the agency desires, in advance of investigation completion and final adjudication, depending on position sensitivity and whether pre-appointment investigative requirements may be temporarily waived.

Ownership: Human Resources Office and Security Office

Maximum number of calendar days: (refer to Hiring Process Roadmap)

- Waiver of the pre-appointment investigative requirement for Sensitive positions is restricted as described in 5 CFR 732.202. Note: waivers may be granted for Critical-Sensitive positions or Noncritical-Sensitive positions. The pre-appointment investigative requirement may not be waived for appointment to positions designated Special-Sensitive.

OPM screens completed investigations for jurisdiction regarding issues that could result in debarment from Federal employment.

Ownership: OPM

Maximum number of calendar days: 1-21 days, depending on type of investigation

- If such indicators are present, OPM retains report of investigation, makes suitability adjudication and notifies agency of results.

- If unfavorable adjudication by OPM, OPM notifies agency and notifies individual of appeal rights to the Merit Systems Protection Board.

<u>If investigation not retained for adjudication by OPM, then Adjudicate Investigation</u>

Ownership: Agency Adjudicating Official

Maximum number of days for Clearance Adjudication - 90% within 30 days (FY08), 90% within 20 days (FY09 and beyond); Maximum number of days for suitability determination-only has not been stipulated but may be defined as reform initiatives align security and suitability processes.

- The "Credentialing, Suitability and Security Clearance Decision-Making Guide" released by OPM in January 2008 may assist in agency decision-making.

- The agency suitability and/or security adjudication provides the *de facto* final personal identification verification credentialing determination.

<u>If favorable adjudication and employee has not yet entered on duty, Employee Enters on Duty</u>

Ownership: Human Resources Office

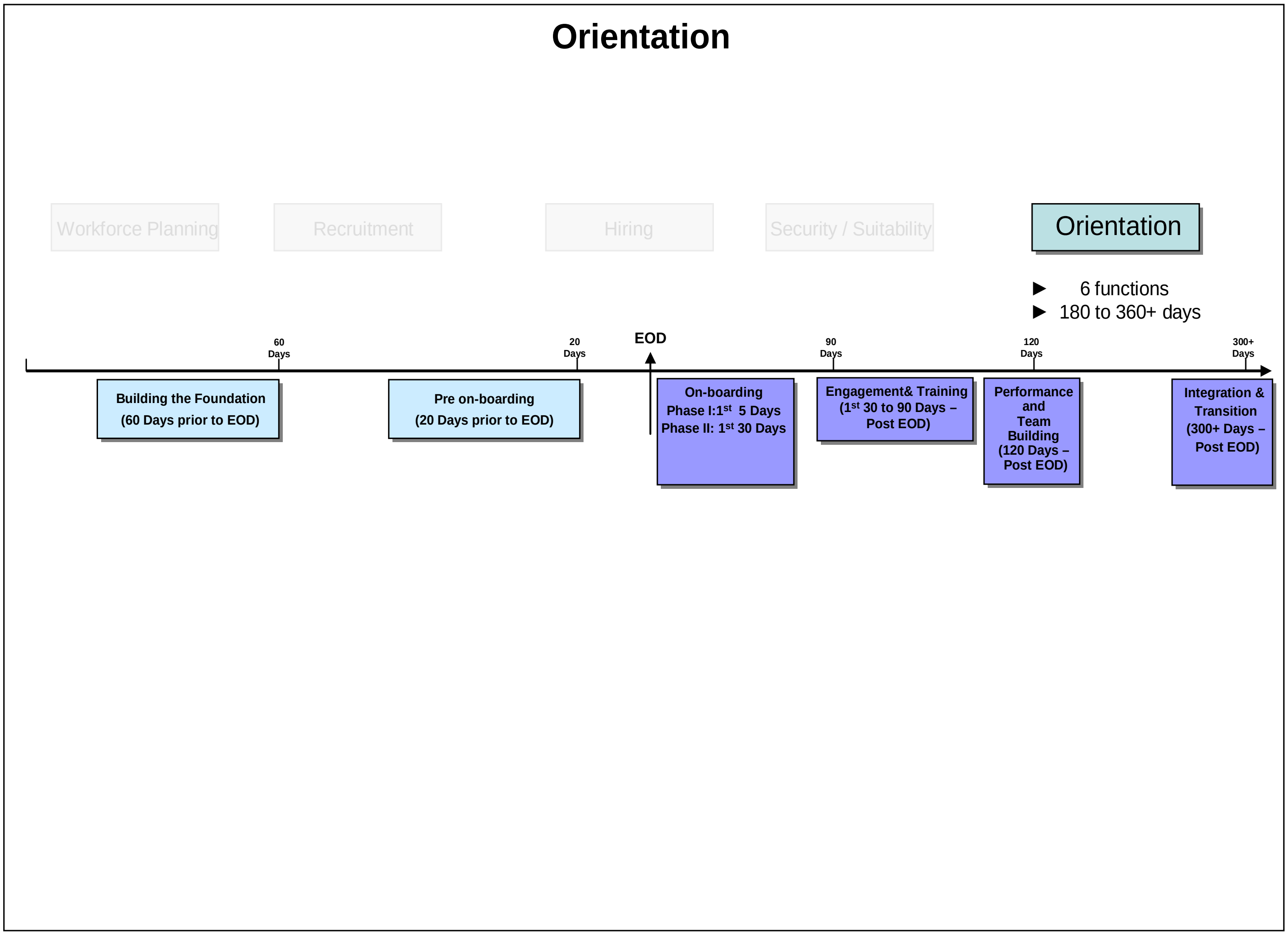
Maximum number of days: (refer to Hiring Process Roadmap)

<u>MEASURES</u>

Compliance with Metrics defined in the Intelligence Reform and Terrorism Prevention Act.

Achievement of e-Clearance milestones set by the Office of Management and Budget.

NEW EMPLOYEE ORIENTATION PROCESS ROADMAP



OVERVIEW

The Orientation Process is a method of educating new Federal employees about the civil service, their specific organization (its mission, culture, structure, systems and resources), the duties of their job, responsibilities of serving as a Federal employee and benefits. Its purpose is to minimize the amount of time it takes a new employee to be a full contributor to the agency and to maximize the likelihood that the new employee will fit well. Specifically, orientation should ensure new employees are a part of the organization, conduct themselves appropriately and understand the "big picture" of the organization. It should also provide knowledge, skills and information the employees will need to perform their jobs effectively.

Orientation is a process that is ongoing and may last up to a year. It is designed to anticipate the needs and concerns of new employees, as well as provide vital information to directly accelerate employee productivity. The process involves a series of developmental and acculturating activities that are planned and then delivered at stages matching employees' information and skills gaps.

The orientation process benefits both the organization and the individual. By providing new employees with detailed information about the organization and their jobs, they will be able to work independently and contribute to their organization in a shorter time period. They will also gain insight into what makes organizational systems more effective and efficient.

An effective orientation process assures new employees they made the right career choice in joining the organization, they will experience greater job satisfaction and they will receive the necessary foundation to progress in their careers. Employees will have a sense of belonging and will have a clear understanding of how their jobs impact the organization. A good orientation process is designed to show immediate dividends because employees are highly engaged from the beginning of their employment and retention rates for new hires should increase.

ASSUMPTIONS

- Orientation is an ongoing process, not a one-day program
- Senior-level officials and managers representing other parts of the agency are involved in the orientation process
- The immediate supervisor takes the lead in orienting new employees
- Information and activities are delivered at relevant and opportune stages of a new employee's first year
- The orientation process utilizes a wide range of training delivery methods (e.g., lectures, on-the-job training, technology-based training, site visits, rotations, etc.)

- Activities of the orientation process are open to existing employees, where appropriate

CHALLENGES

- Available resources and other outside factors (e.g., employee availability, supplies, work station, IT support)

- Limited managerial, executive and supervisory involvement in the process

ELEMENTS AND TASKS

Building the Foundation - occurs prior to the arrival of new employees

Ownership: Manager, Human Resources Office

- Define roles and responsibilities

- Develop the orientation process based on information contained in this Roadmap

- Develop and test a notification process to assure that the information about new hires is received and communicated in a timely fashion

- Train supervisors, sponsors/buddies, HR specialists and recruiters on the agency's orientation process and their roles in the process

- Train recruiters on how to link mission accomplishment to the positions they are recruiting for in an effort to build excitement and sense of impact that the new employee will have

Tip: Before the orientation process is implemented, the agency should establish an organization-wide plan for communication and coordination around the arrival of each new employee. This requires agreement on the duties and responsibilities of each participant in the process.

Pre-Engagement - occurs through the interview process; provides information directly to the job candidate; ensures the manager has complete orientation information.

Ownership: Human Resources Office, Manager

For the job candidate:

- Prior to the interview, suggest to interviewees they should review specific components of the agency's website to learn about the organization's history, mission and strategic plan

- During the interview process, include information about the agency's culture, work assignments and job expectations, specifically, what will the person actually do and how it aligns with the agency's mission

- During the interview, explain to the interviewees what it means to serve the American public and the role the agency plays in the Federal Government

- Provide interviewees with realistic understanding of the interview process and timeline; provide a distinct time when they should hear back from the organization

- Determine interviewees' expectations of the position as compared to the actual position to determine if they are a good fit

For the manager:

- Develop manager checklist and make sure it is in the New Employee Orientation binder

Potential Practice: Manager's New Employee Orientation binder should have a checklist of needed supplies to ensure everything is provided to the employee on his/her first day.

Pre-Boarding - occurs 14-21 days prior to the arrival of the new employees (after selection of employee).

Ownership: Human Resources Office, Manager

- HR ensures the supervisor and all appropriate personnel are aware of the new employees start date

- Call and congratulate new employee, confirm start date and answer any questions

- Send pre-arrival information (including videos, DVDs, Strategic Plans, Federal childcare information) and forms (e.g., health benefits, TSP) to new employee. Identify someone, possibly an HR Specialist who they can contact if needed. This may be called a "welcome kit." ***Forms should be completed before employee arrives***

- Identify a sponsor or buddy for the new employee and have him/her call the employee prior to arrival to welcome him/her aboard

- Communicate regularly to ensure the new employee continues to be engaged and excited about the position

- Make sure the new employee understands what will happen the first day and what time the supervisor will meet with him/her

- Alert current staff of the new employee's arrival and discuss the person's role, skills and where the individual will sit

- Prepare new employee's workspace, including phone, computer, email and access to systems or equipment necessary for productivity

- Order and stock supplies for new employee

Potential Practice: Have an automated system for employees to complete forms on-line and have new employees bring hard copies of the forms with them on the first day. This will save time and help streamline the in-processing part of day one orientation.

Day One

- Supervisor meets and personally welcomes new employee, before initial in-processing if possible

- Conduct in-processing by knowledgeable staff who can answer new employees' questions

- Conduct a formal swearing-in ceremony

- Conduct tour of building and provide information on neighboring resources (e.g., gyms, banks, places to eat

- Introduce new employee to staff members

- Take new employee to lunch (if allowable)

- Provide time for new employee to settle in the work space and environment
- Provide copies of work unit's manuals, procedures, work samples, etc.
- Conduct end of day debrief
- Provide new employee with a copy of the initial on-boarding evaluation form

Tip: If the group consists of new Federal employees and transferring employees, consider splitting the group at a certain point. Have all mandatory forms completed first and then permit the transferring employees to report to their new supervisors. Many of the forms may not be necessary for the transferred employee to complete.

Potential Practices: (1) Have a senior management official or experienced career employee available to greet new employees during orientation to congratulate them on their smart decision to accept employment with the agency; (2) provide a welcome letter from the Division head.

On-Boarding Phase I - occurs within the first 7 calendar days (supervisor's responsibilities).

Ownership: Manager, Human Resources Office

- Meet with the new employee and review the work area to make sure the individual has everything necessary to perform the job
- Provide information on agency policies and procedures as well as communicate the culture of the agency and the employee's specific work unit
- Provide detailed information about job assignments including copy of position description, performance expectations and agency goals
- Give first work assignment. To the extent possible, make sure it is meaningful
- Provide applicable mandatory training relating to the Constitution, ethics, computer security, the No Fear Act, safety and agency-specific training
- Discuss probationary period expectations
- Discuss telework and work schedule options (if any)
- Establish work schedule

- Introduce office sponsor/buddy (meet with sponsor as necessary)

<u>On-Boarding Phase II</u> - occurs within first 30 days (supervisor's responsibilities).

Ownership: Manager

- Provide information on Governmentwide policies and regulations impacting the performance of official duties (e.g., Hatch Act, ethics)
- Outline the importance and relationship of the employee's job to the mission and priorities of the organization
- Conduct training needs assessment
- Discuss and issue performance standards and provide 30-day feedback session
- Provide employee with knowledge of organizational resources (e.g., historical files, knowledge management system)
- Discuss business continuity, shelter-in-place and emergency plans

<u>Potential Practice:</u> Schedule time for the new employee to discuss with other employees about their work and how the individuals will work together.

<u>Engagement and Training</u> - occurs within 30-90 days

Ownership: Manager

- Review the results of the training needs assessment with the employee and develop an individual development plan
- Provide information about training opportunities
- Hold a brown bag lunch or arrange for the new employee to meet with agency head or other senior level official to hear first hand about the agency's strategic priorities
- Assess orientation process and provide feedback, through dialogue and the 90-day new employee survey
- Conduct informal performance review

- Conduct individual and/or group developmental activity

<u>Potential Practices:</u> (1) Utilize Web-based training applications to support mandatory training where appropriate; (2) Hold a brown bag discussion with an attorney regarding ethics; (3) Include a shadowing assignment of an executive employee.

<u>Performance and Teambuilding</u> - up to 180 days

Ownership: Manager

- Conduct mid-year performance review after employee has been on board 90 days (if the employee is hired after the first three months of the annual performance period)

- Conduct individual and/or group developmental activity

<u>Integration and Transition -</u> up to 300-365 days

Ownership: Manager

- Continue individual and/or group developmental activity

- Conduct an end of year performance evaluation

- If employee is on probationary period, determine if employee's performance and conduct are sufficient to retain

- Provide a certificate indicating the employee has completed the new employee orientation process with a note of congratulations from a Senior Executive

- Discuss the orientation process; solicit recommendations for improvements

- Determine employee first year satisfaction and engagement from Annual Employee Survey

<u>Throughout the Process</u>

Ownership: Manager and Human Resources Office

- Reinforce what it means to serve the American public

- Reinforce the agency's mission and culture

- Communicate the employee's value to mission accomplishment

- Conduct periodic performance checks and discussions

- Provide training to develop skills or insight into the workings of the organization based on the individual development plan and work assignments

- Provide mandatory Governmentwide or agency-specific training

- Encourage the new employee to provide insight into how to make the organization more effective and efficient

- Be sensitive to ways to help a new employee fit into the informal, as well as the formal networks and information channels of the agency and workgroup

- Assess the new employee’s need for history, context, how-to information, procedures, etc. and provide that information to help acclimate to the agency

MEASURES

Percentage of employees reporting satisfaction with the orientation process (per new hire survey).

Percentage increase in retention rates (1-year and 2-year per Central Personnel Data File).

End to End Hiring Initiative Measures

Component	Measure	Standard	Data Source*
Workforce Planning	% of managers reporting they have the information needed to make effective decisions regarding staffing requirements		CHCO Manager Survey
	% of annual staffing projection (number and required competencies) achieved		Annual Human Capital Report and SSM MCO Resource Chart
Recruitment	% of applicants reporting hearing about the job from agency recruitment efforts		Applicant survey (USAJOBS and/or agency survey)
	% of new hires reporting hearing about the job from agency recruitment efforts		New Hire Survey
Hiring Process	% of employees hired within 80 days (hiring process component of end-to-end hiring model)		Hiring timeline data
	% of applicants who indicated they were able to obtain information on the current status of their application		Applicant survey - USAJOBS
	% of new employees reporting regular communication throughout the entire hiring process (re: expectation for the hiring process)		New Hire Survey
	% of managers reporting they were referred applicants with the talents needed to perform the job		CHCO Manager Survey
	% of employees reporting satisfaction with the orientation process		Applicant survey - USAJOBS
Security/Suitability	**Measures being developed by OPM and FISD**		TBD
	Compliance with metrics defined in the Intelligence Reform and Terrorism Prevention Act (IRTPA)		
	Achievement of e-Clearance milestones set by the Office of Management and Budget		
Orientation	% of new employees reporting satisfaction with the orientation process		New Hire Survey
	% increase in retention rates 1st and 2nd year		CPDF

*Data Source	Lead Developer
New Hire Survey: 90 days after EOD	Orientation workgroup
Applicant Survey	Hiring Process workgroup
CHCO Manager Survey	OPM
MCO Resource Chart	Agencies
Hiring Timeline Data	Agencies
CPDF	OPM

Appendix A – References

Workforce Planning

- The Chief Human Capital Officers Act of 2002, enacted as part of the Homeland Security Act of 2002 (Pub. L. No. 107-296) on November 25, 2002
- Workforce Flexibility Act of 2002

Recruitment

- Title 5, U.S.C., §§ 2301, 2302, 3327, 3330
- Recruitment, Selection and Placement (General) - 5 CFR Part 330
- Career Patterns Resource Center: http://www.opm.gov/hcaaf_resource_center/careerpatterns/

Hiring Process

- Title 5, U.S.C., §§ 1104(a)(2), 1302, 2301, 2302, 3301-3319
- 5 CFR Parts 1, 2, 3, 5, 7, 8, 210, 211, 212, 300, 310, 315, 316, 330, 332, 337, 338 and 339
- Merit System Principles: http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=browse_usc&docid=Cite:+5USC2301
- Veterans' Preference: http://www.opm.gov/veterans/
- Delegated Examining Operations Handbook: http://www.opm.gov/deu/Handbook_2007/DEO_Handbook.pdf
- Office of Personnel Management Assessment Decision Tool: http://apps.opm.gov/ADT/ADTClientMain.aspx
- Office of Personnel Management Hiring Tool Kit: http://www.opm.gov/hiringtool/kit/
- Uniform Guidelines on Employee Selection Procedures: http://www.usdoj.gov/crt/emp/uniformguidelines.html

- Standard Vacancy Announcement Templates: https://recruiter.usajobs.gov/login.asp?redirect=https%3A%2F%2Frecruiter%2Eusajobs%2Egov%2Findex%2Easp%3FWT%2Esvl%3Dnavservices

- Career Patterns Resource Center: http://www.opm.gov/hcaaf_resource_center/careerpatterns/

- USA Staffing: http://www.opm.gov/hr/employ/products/services/usastaffing/usastaffing.asp

Security and Suitability

- Title 5, U.S.C., §§ 1103-1104, 1302-1304, 3301-3302, 7301, 7312, 9101

- Title 50, U.S.C. §§ 435, 435b

- 5 CFR Parts 2, 5, 731, 732, 736

- Executive Orders 10450, as amended; 10577, as amended; 12968, as amended; 13467

- Intelligence Reform and Terrorism Prevention Act Legislative History: http://www.gpoaccess.gov/serialset/creports/intel_reform.html

- E-Clearance: http://www.opm.gov/egov/e-gov/e-clearance/

- e-QIP: https://www.opm.gov/e-qip/information.asp

- Investigations and Suitability Referrals: http://www.opm.gov/extra/investigate/

Orientation

- Probationary Period - 5 CFR 315 Subpart H

- Employee Performance - 5 USC §§ 4301-4305

- Employee Development - 5 CFR 410

- No Fear Act

Appendix B – Participants

Special Thanks. OPM would like to thank and acknowledge the support of the CHCO Council Subcommittee for Hiring and Succession Planning

A special thank you to the following Federal agencies who were especially giving of their time and insight in the development of this study and final Roadmap:

- Government Accountability Office
- Merit Systems Protection Board
- Office of Personnel Management
  - Office of the Director
  - Human Capital Leadership & Merit System Accountability Division
  - Strategic Human Resources Policy Division
  - Management Services Division
  - Human Resources Products and Services Division
- Nuclear Regulatory Commission
- Department of Housing and Urban Development
- Department of Defense
  - Department of Army
  - Department of Navy
- Department of Veterans Affairs
- Department of Energy
- Department of Treasury
- Social Security Administration

In addition, thank you to:

- Partnership for Public Service
- Corporate Leadership Council
- The Young Leader's Council

Appendix C – Way Ahead

The End-to-End Hiring Roadmap has been designed as a living document that will be refined as more is learned from agencies' implementation experiences. OPM and the CHCO Council will continue to partner in assisting agencies to implement the Roadmap. OPM is developing a resource guide that will be provided to agencies to support transformation of their hiring through Roadmap implementation. OPM's Human Capital Officers will work with agencies to conduct gap analyses of current hiring process against this Roadmap and will help agencies develop and implement strategies to work toward the Roadmap. The CHCO Council will host interagency forums and training academy sessions to share lessons learned and promising practices for Roadmap implementation.

During the first quarter of Fiscal Year 2009, agencies will establish baselines against the E2E measures and will report these baselines in their FY08 Human Capital Management Reports (HCMRs) due December 15, 2008. Agencies will set targets for improving on these baselines and will implement improvement plans through the remainder of FY 2009. Agencies will then report their progress in meeting their E2E targets in their FY 2009 HCMRs. Throughout this process, OPM will continue to partner with agencies to assist as needed with data collection, analysis, target-setting and improvement planning and implementation.

While the ultimate goal of the E2E Hiring Initiative is to transform Federal hiring across agencies and occupations, the transformation process is by its nature incremental. For this reason, agencies should identify the specific occupations, positions, or components that they want to focus on during the initial stages of reengineering and implementation. In addition, agencies should set attainable stretch targets for improvement that reflect their particular circumstances. For example, it is not expected that all agencies will immediately meet the 80-day timeline established in the Roadmap; however, it is expected that agencies will set aggressive improvement targets, will work toward them over the course of the program year and will evaluate their progress in order to continue moving toward the standards established in this Roadmap. As stated in the body of the document, this is the initial effort to develop an integrated hiring process that OPM recognizes will continue to evolve over time. Following release of the E2E Hiring Roadmap, OPM will work with the Subcommittee to establish milestones for continued efforts in implementation.

United States
Office of Personnel Management
1900 E Street, NW
Washington, DC 20415

A New Day for the Civil Service

See document below.

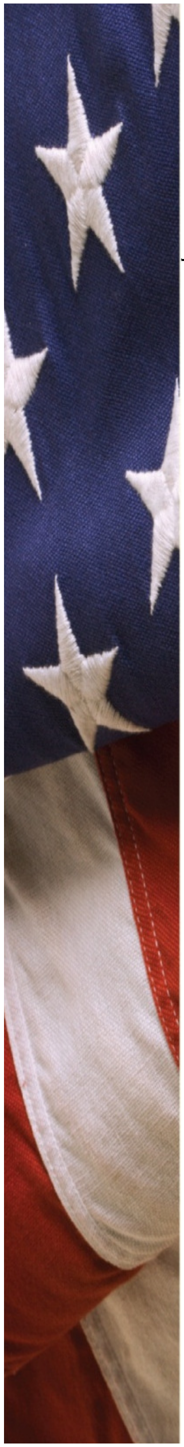
A New Day for the Civil Service

U.S. Office of Personnel Management
Human Resources Line of Business

Federal Human Resources Process Model

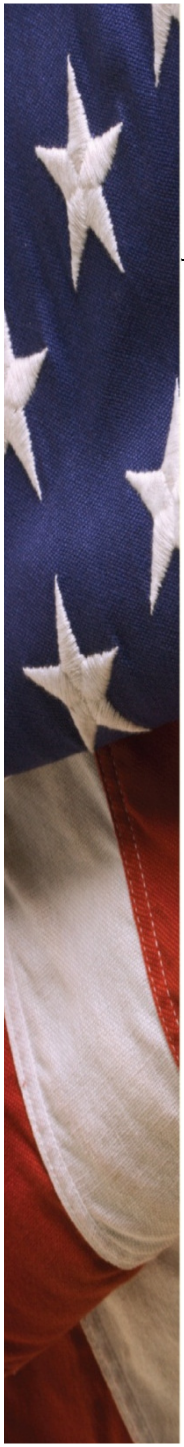
Elizabeth A. Mautner, Zbynek Krobot, Tim Biggert

November 10, 2011



Federal Human Resources Process Model
Agenda

- OPM Overview
- The Role of the HR LOB in Process Standardization
- HR LOB Business Reference Model (BRM)
- Practical Application of the BRM
- Business Value of Process Standardization



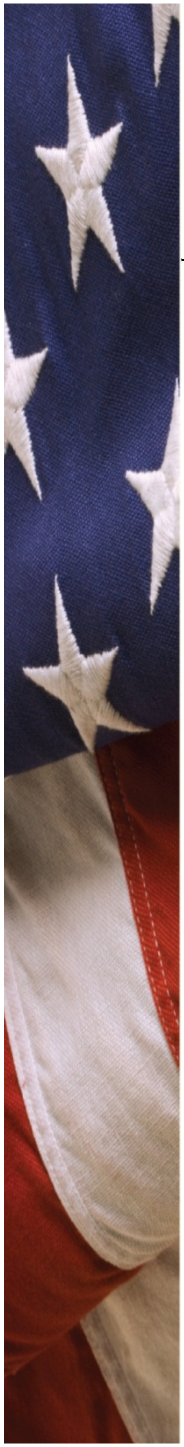
U.S. Office of Personnel Management

Mission, Vision and Overview

OPM Mission — Recruit, retain and honor a world-class workforce to serve the American people

OPM Vision — The Federal government will become America's model employer for the 21st century

- Central human resources agency for the Federal government:
  - HR advice and leadership
  - HR policy
  - Agency oversight
  - Merit system principles
- HR products and services to agencies on a reimbursable basis
- Direct services to Federal employees



U.S. Office of Personnel Management
Strategic Goals

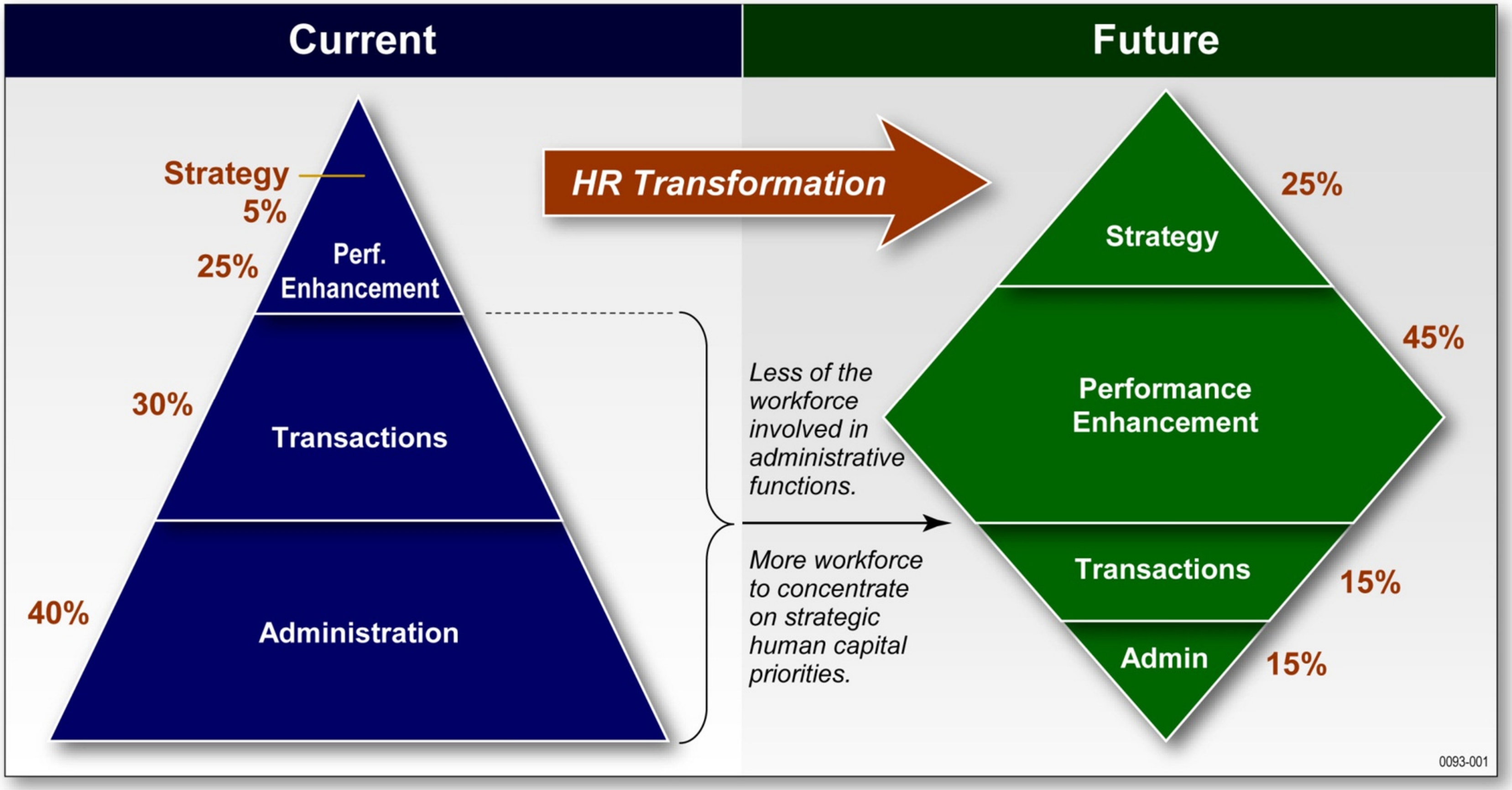
OPM's Strategic Plan 2010-2015 describes OPM's four strategic goals, which parallel the lifecycle of a Federal employee and have been designed to help OPM achieve its mission

Strategic Goal:	Goal Statement:
Hire the Best	Recruit and hire the most talented and diverse Federal workforce possible to serve the American people
Respect the Workforce	Provide the training, benefits, and work-life balance necessary for Federal employees to succeed, prosper, and advance in their careers
Expect the Best	Ensure the Federal workforce and its leaders are fully accountable and are fairly appraised while having the tools, systems, and resources to perform at the highest levels to achieve superior results
Honor Service	Ensure comparable recognition and reward for exemplary performance of current employees and honor the careers of Federal retirees

Human Resources Line of Business

The Push for Transformation

A major transformation is needed to enable HR staff to focus on strategic management of human resources and move away from the tasks that are administrative in nature



Federal Human Resources Process Model

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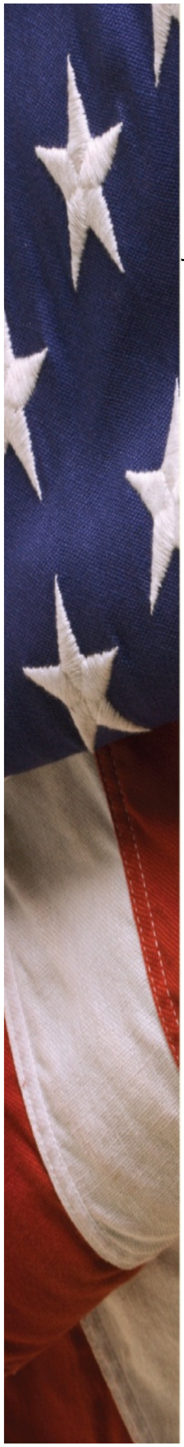
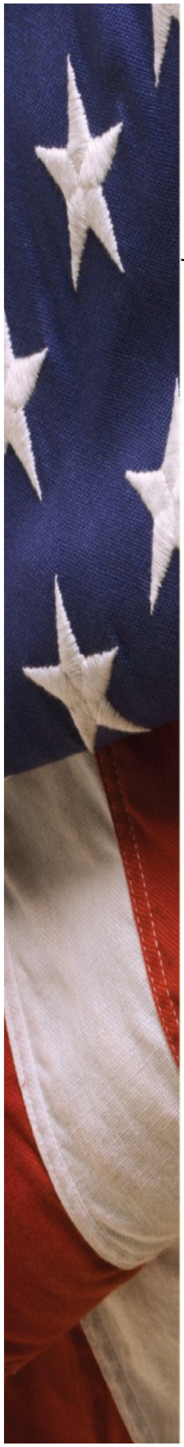


Human Resources Line of Business
Vision and Goals

Vision: Governmentwide, modern, cost-effective, standardized and interoperable HR solutions providing common, core functionality to support the strategic management of human resources

Goals:

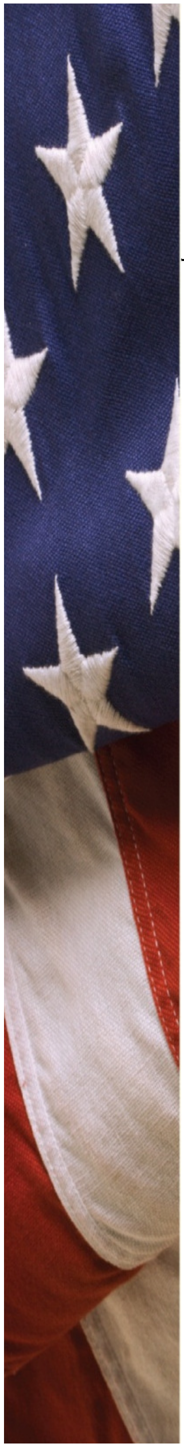
- Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management systems
- Achieve or increase cost savings/avoidance from human resource solution activities
- Improve customer service
- Improve the Governmentwide strategic management of human resources



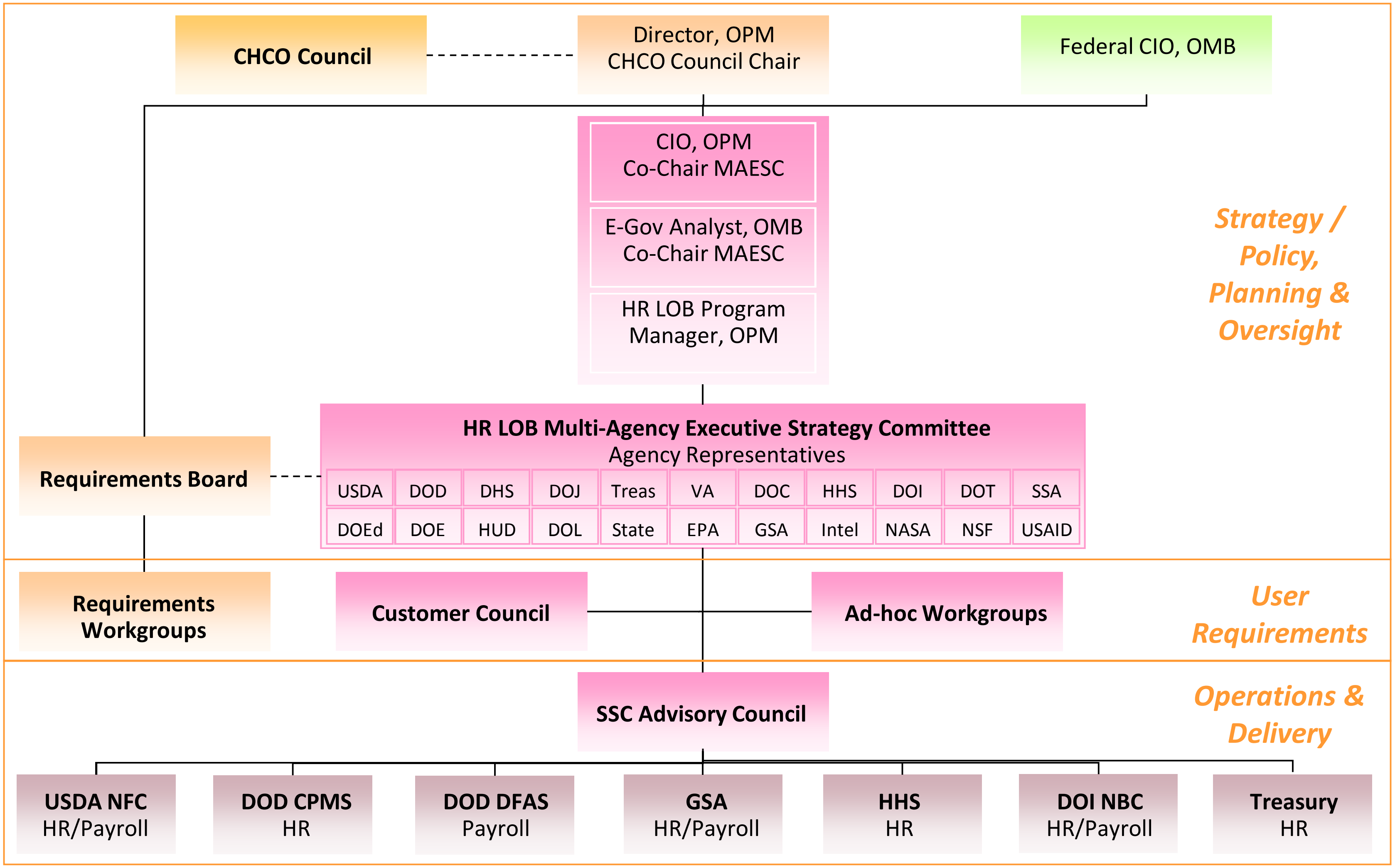
Human Resources Line of Business

HR LOB’s Focus and Role

- Support agencies’ selection of and migration to Shared Service Centers (SSCs)
- Monitor SSC capability
- Support SSC modernization and service enhancement efforts
- Support OMB’s plan for IT Reform
- Focus stakeholders on achieving the projected $1.3 billion HR LOB business case



Business Value of the BRM
HR LOB Governance & Stakeholders



Federal Human Resources Process Model

Agenda

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- Practical Application of the BRM
- Business Value of Process Standardization

HR LOB Business Reference Model

Drivers for Model Development

- **Lack of process standardization across the Federal government** – each agency had a different understanding of, and definitions for HR processes, activities, inputs, and outputs

- **Effort to centralize the HR function** – bring the Federal HR community together under the auspices of the new HR LOB governance structure

- **Different levels of automation** – some agencies operated with a high degree of automation for their HR operations while others operated largely manually

HR LOB Business Reference Model

BRM Development Methodology

Session 1	*# Participants*	*# Agencies Represented*
Business Reference Model v1	271	33

The BRM was validated through a two-part process

1. The first validation occurred through a series of workshops attended by Federal agency HR SMEs that took place from September through December 2004
   – validated the process diagrams in detail
   – devolved the sub-functions and documented processes and activities
   – documented the inter-relationships between processes, sub-functions and other lines of business
   – validated process definitions, inputs and outputs
   – produced an end-to-end view of the HR LOB processes using the HR Life Cycle as a framework
   – identified current agency process-enabling technology

HR LOB Business Reference Model

BRM Development Methodology

Session 2	*# Participants*	*# Agencies Represented*
Business Reference Model v2	47	14

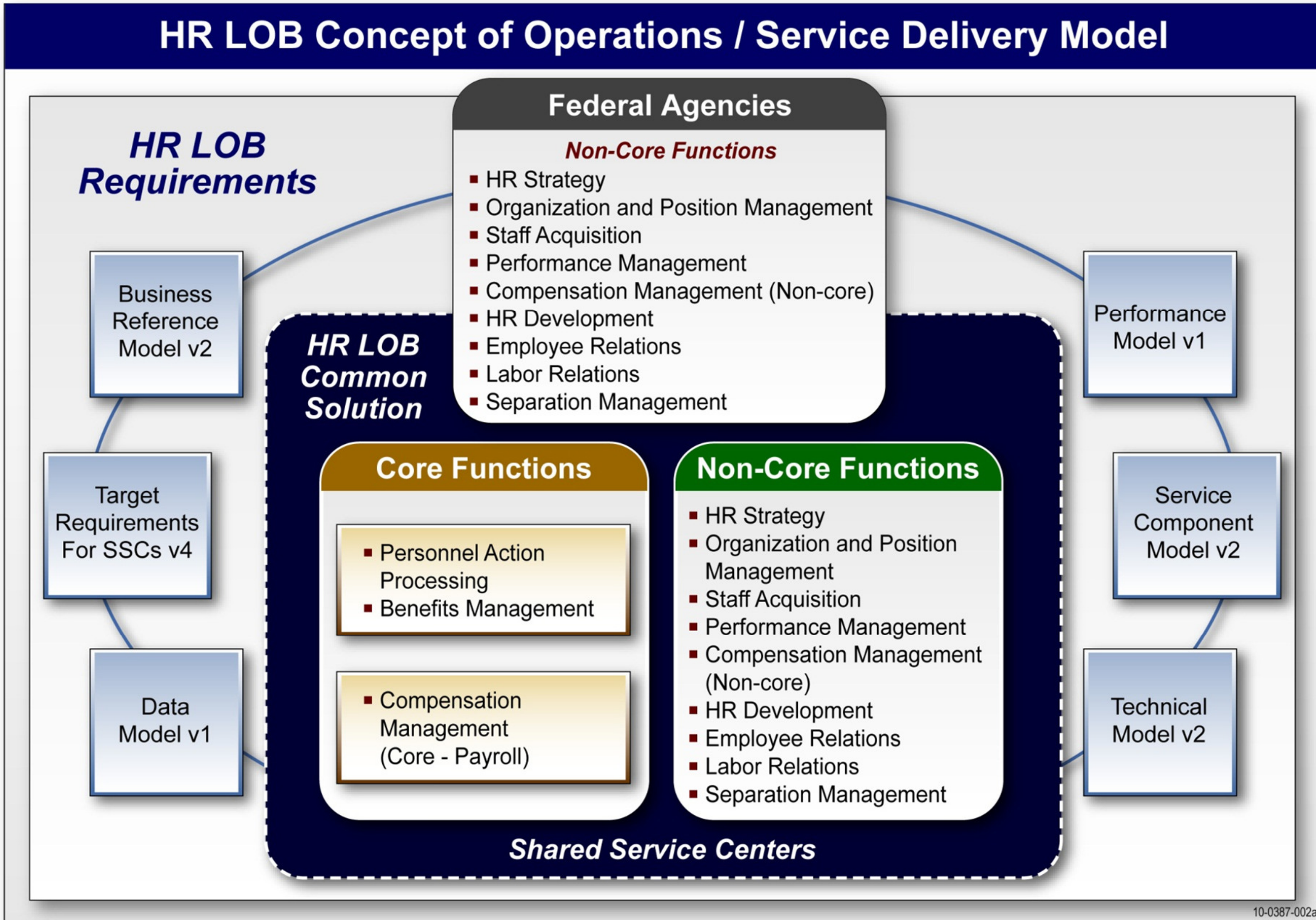
The BRM was validated through a two-part process

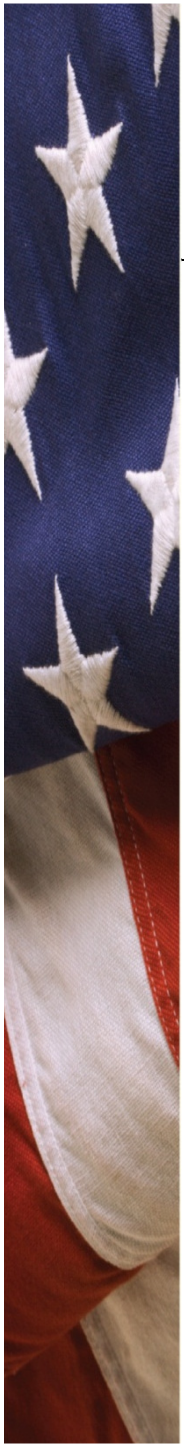
2. The second validation occurred through another series of workshops attended by Federal agency HR SMEs that took place from October and November, 2005
   - reviewed process diagrams and dictionaries for completeness and correctness
   - gave consideration to recommendations received prior to the workshop
   - considered the business process implications of topics that surfaced during the end-to-end walkthrough

The results were later used in the development of downstream Enterprise Architecture artifacts

HR LOB Business Reference Model

Concept of Operations – Functional View



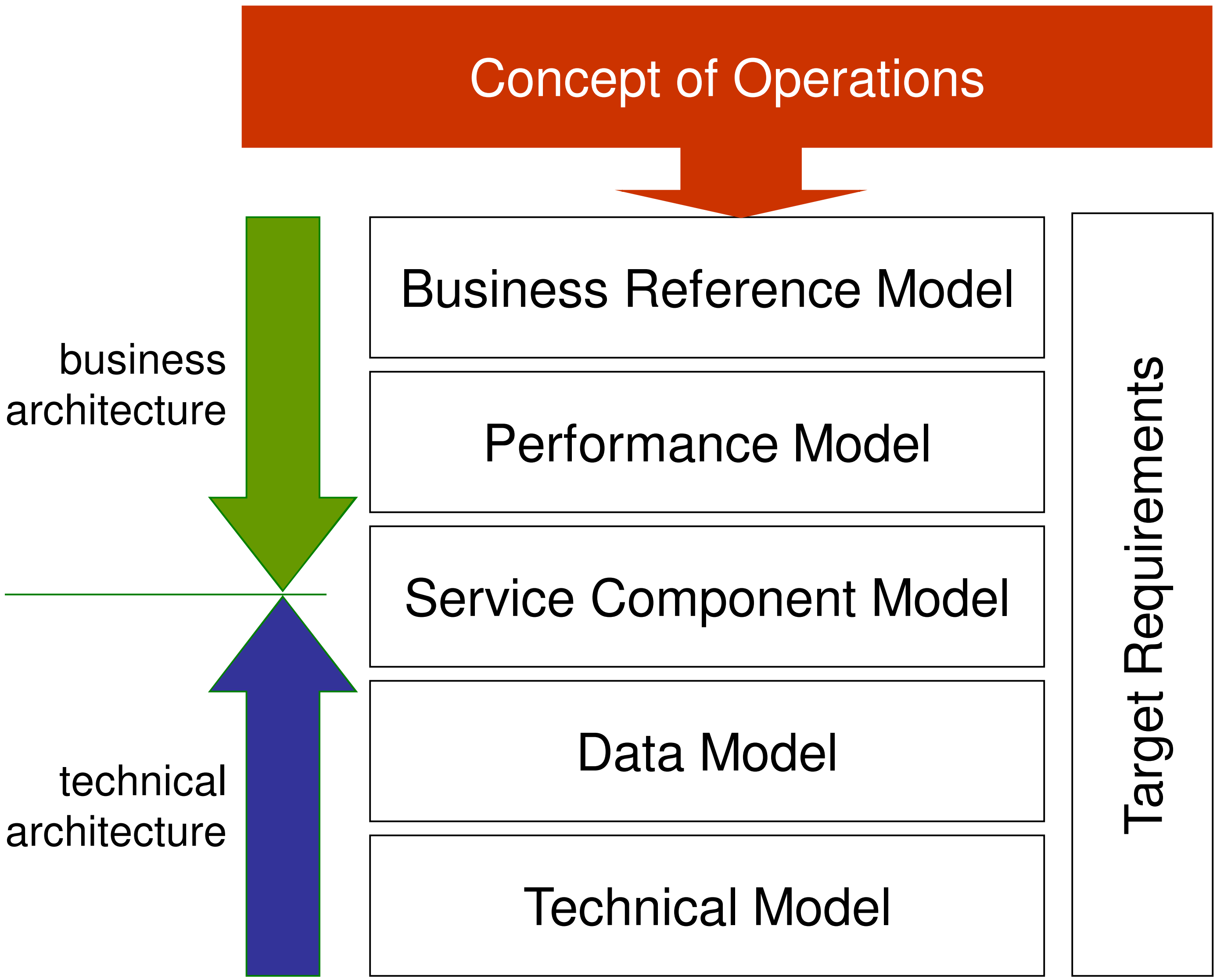


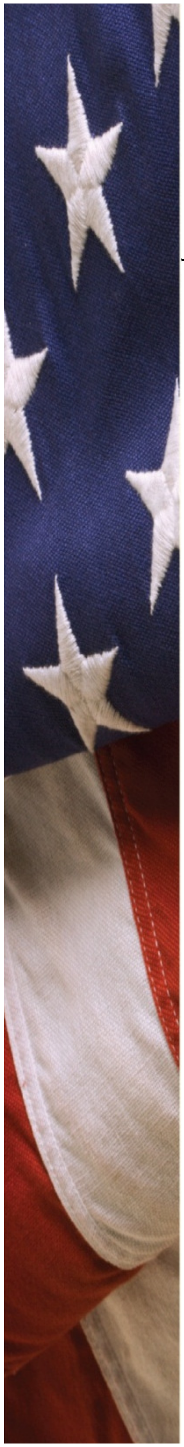
HR LOB Business Reference Model

Concept of Operations – Two Dimensions

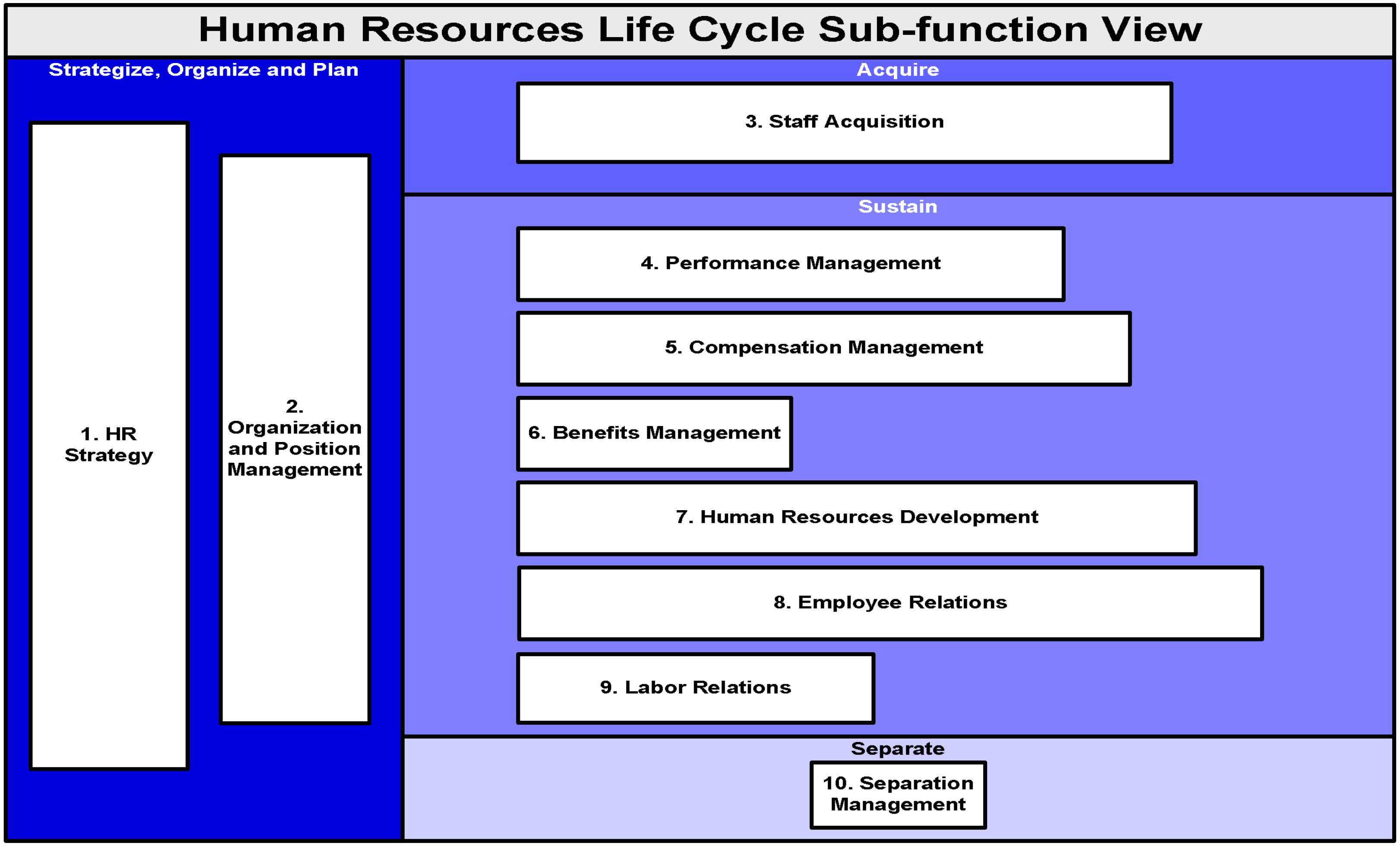
Dimensions	
Common Solutions	▪ Utilize shared service centers ▪ Achieve economies of scale ▪ Address distinct business improvements that have a direct impact on HR LOB performance goals
Standardization	Developed through a set of common and repeatable processes and tools that are compliant with the Federal Enterprise Architecture guidance
Outcomes	
Reusability	The ability to utilize a business asset in more than one context – by multiple organizations or across multiple processes
Interoperability	The ability to exchange assets for like assets without undue impact

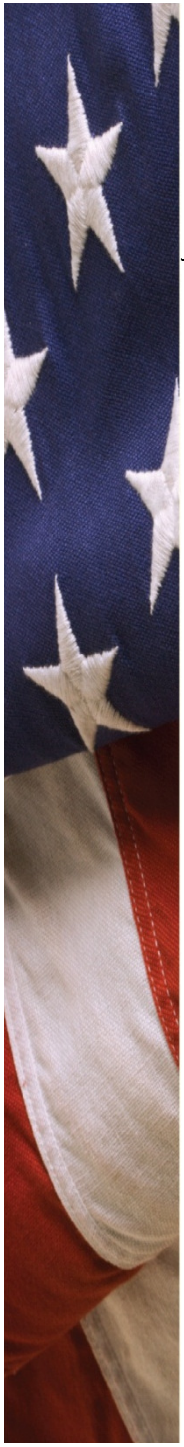
HR LOB Business Reference Model
Enterprise Architecture





HR LOB Business Reference Module
Sub-function View





HR LOB Business Reference Module

Process View

Human Resources Life Cycle Process View

Strategize, Organize and Plan

- 1.1 Conduct Internal Environment Analysis
- 1.2 Conduct External Environment Analysis
- 1.3 Develop HC & HR Strategies
- 1.4 Establish HR Policy and Practices
- 1.5 Manage Competency Model
- 1.6 Conduct Workforce Planning
- 1.7 Conduct Succession Planning
- 1.8 Manage HR Budget
- 1.9 Provide HR Consultative Support
- 1.10 Measure and Improve HR Performance
- 2.1 Administer Organization and Position Management

Acquire

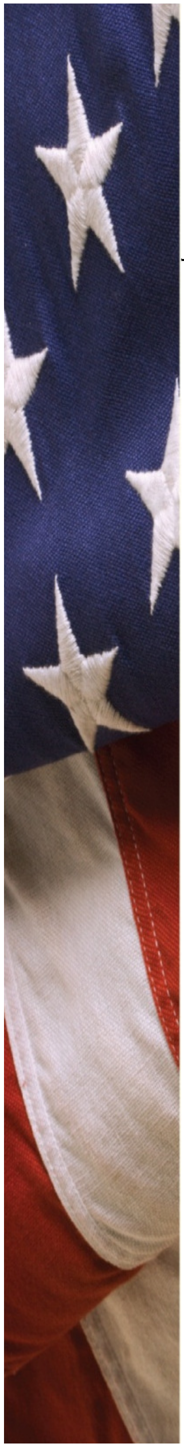
- 3.1 Develop SA Strategy
- 3.2 Develop SA Plan
- 3.3 Establish Evaluation Approach
- 3.4 Source Candidate
- 3.5 Evaluate Candidate
- 3.6 Hire Employee

Sustain

- 4.1 Establish Agency Performance Management Strategy
- 4.2 Establish and Implement Performance Management System and Programs
- 4.3 Manage Employee Performance
- 4.4 Evaluate Performance Management Effectiveness
- 5.1 Adopt Compensation Programs
- 5.2 Administer Bonus and Awards Programs
- 5.3 Administer Pay or Leave
- 5.4 Manage Time and Labor
- 5.5 Manage Payroll
- 6.1 Establish Benefits Programs
- 6.2 Process Benefits Actions
- 7.1 Establish Agency HR Development Management Strategy
- 7.2 Conduct HR Development Needs Assessment
- 7.3 Develop HR Development Program
- 7.4 Implement HR Development Program
- 7.5 Manage HR Development
- 7.6 Evaluate HR Development Program Effectiveness
- 8.1 Address Employee Misconduct
- 8.2 Address Employee Performance Problems
- 8.3 Manage Administrative Grievances
- 8.4 Provide Reasonable Accommodation
- 8.5 Administer Employee Assistance Program
- 8.6 Participate in Administrative Third Party Proceedings
- 8.7 Determine Candidate / Employee Suitability
- 9.1 Manage Labor Relations
- 9.2 Manage Negotiated Grievances
- 9.3 Participate in Negotiated Third Party Proceedings

Separate

- 10.1 Manage Employee Separation

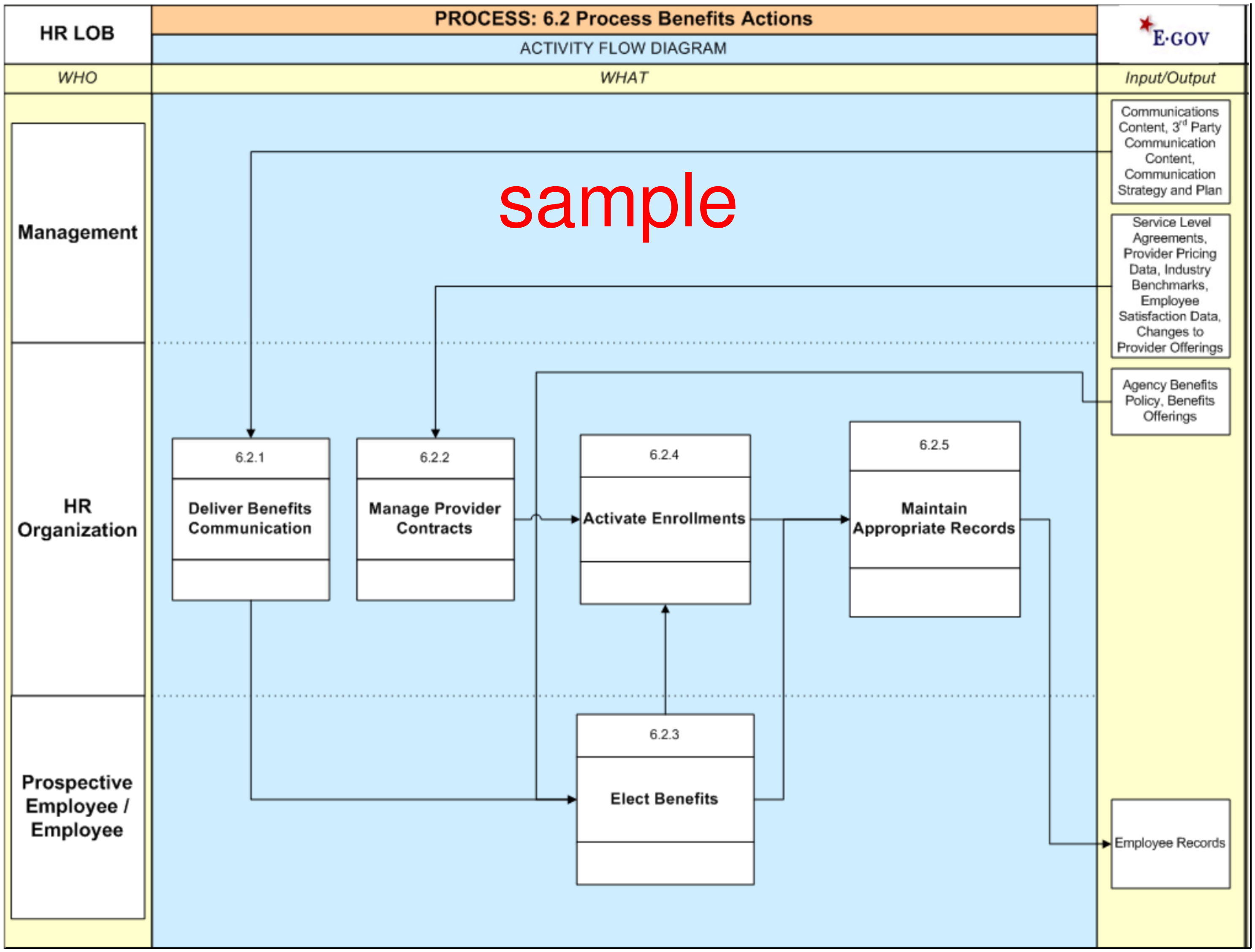


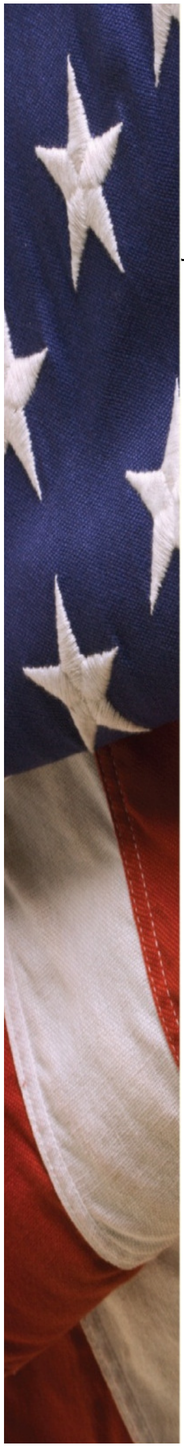
HR LOB Business Reference Module
Process Dictionary

Process	6.2 Process Benefit Action	
ID	***Activity Name***	***Activity Definition***
6.2.1	Deliver Benefits Communication Role: HR Organization	Inputs: Communication Content, Third Party Communication Content, Communication Strategy and Plan Make benefits communication content available via various media (e.g., websites, brochures, one on one counseling) Outputs: Communication Materials
6.2.2	Manage Provider Contracts Role: HR Organization	Inputs: Service Level Agreements, Provider Pricing Data, Industry Benchmarks, Employee Satisfaction Data, Changes to Provider Offerings Provide benefits data to external and internal benefits providers. Monitor service levels and price with providers. Track performance over time. Renegotiate Service Level Agreements as necessary. Outputs: Benefits Provider Performance Results, Revised Benefits Provider Service Level Agreement

HR LOB Business Reference Module

Activity Flow Diagram

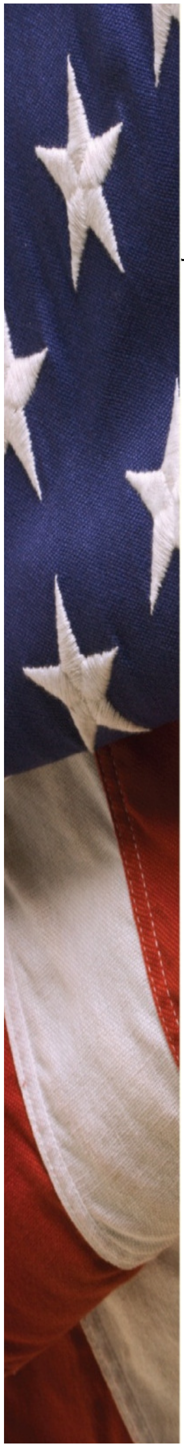




Federal Human Resources Process Model

Agenda

- OPM Overview
- The Role of the HR LOB in Process Standardization
- HR LOB Business Reference Model (BRM)
- Practical Application of the BRM
- Business Value of Process Standardization

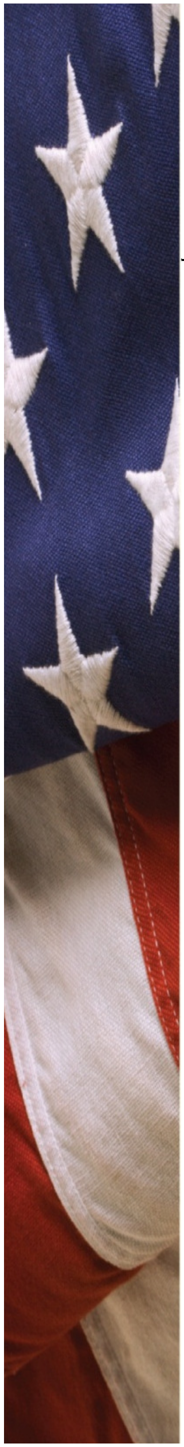


Practical Application of the BRM

Target Requirements for Shared Service Centers (SSCs)

For each BRM sub-function, a set of *Target Requirements for Shared Service Centers* was compiled

- Requirements set expectations about how SSCs should support the sub-function
- 1,200 requirements were compiled for the core and non-core areas. Core areas are Compensation Management, Benefits Management, and Personnel Action Processing
- Each requirement was given a priority designation: Mandatory, Critical, or Useful
- Each requirement was also given a role designation: *SSC only* or *SSC / Agency*



Practical Application of the BRM
Target Requirements for SSCs

Target Requirement

BEN098

Back to top

Description: Model and calculate estimated benefits payments.

Type: Technology

Priority: Critical

Who: Shared Service Center

Primary Reference: HR Policy

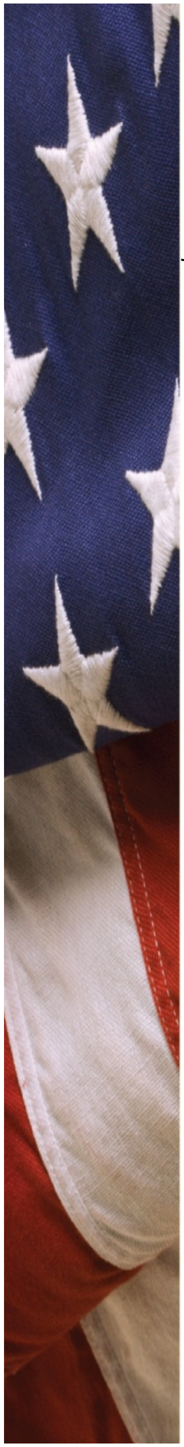
Business Processes from BRM

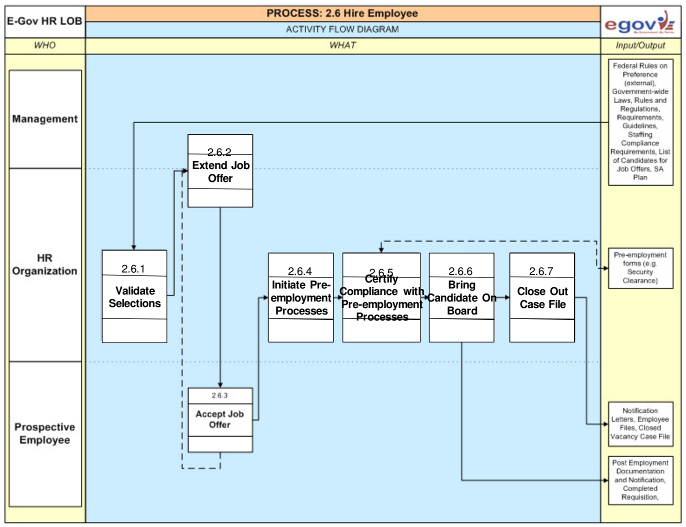
- **Activities (2):**

ActivityId	Activity	Process	Sub Function
6.1.4	Create Benefits Communications Approach and Content	Establish Benefits Programs	Benefits Management
6.2.1	Deliver Benefits Communication	Process Benefits Actions	Benefits Management

Practical Application of the BRM

Target Requirements for SSCs





Target Requirements

	101	Collect all data and information, and process personnel actions in accordance with the Guide to Processing Personnel Actions published by OPM	Policy	Mandatory	
	102	The appointing officer makes final pre-appointment determinations regarding citizenship, veterans' preferences, minimum and maximum age limits (where appropriate), suitability, qualifying experience and education.	Policy	Mandatory	
	103	Collect all data in the format required by the Guide to HR Data Standards published by OPM	Policy	Mandatory	
	104	Utilize automated workflow to route electronic personnel action through pre-determined levels of approval based on role and independent of organization or location	Technical	Critical	
	105	Edit all data in accordance with the Guide to HR Data Edits published by OPM	Policy	Mandatory	
	106	Make system changes to edit data based on changes in the Guide to HR Data Edits within 30 days of publication	Performance	Critical	

Downstream Use –

1. SSC self-assessments against requirements
2. Agency selection of a service provider
3. Designing future solution specifications

Practical Application of the BRM
Service Component Model

- Robust enough to be meaningful / provide enough business value?
- Finite enough to be self-contained?

Business Reference Model

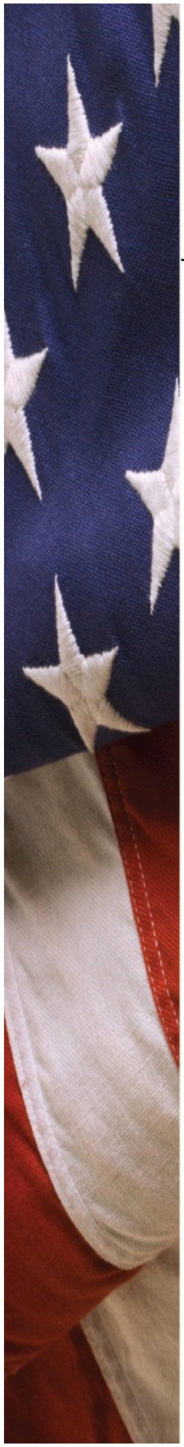
Target Requirements for Shared Service Centers

Service Component Model

Service Delivery Model

What services could be put into place to support the activities in the BRM?

What is the recommended first level of contact for service delivery?



Practical Application of the BRM

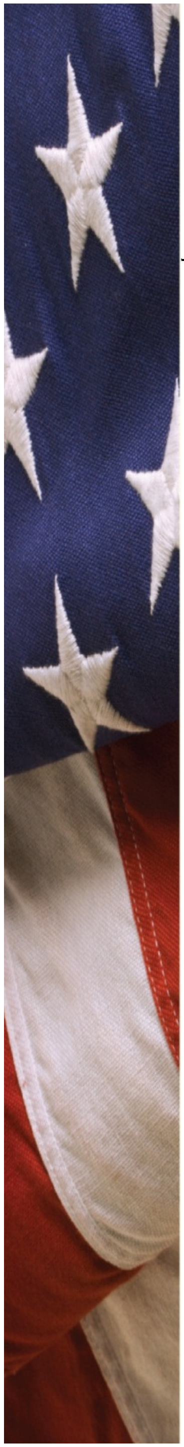
Service Component Model

Human Resources

Payroll Processing
Payroll Reporting
Time and Attendance
Manager Self-service
Employee Self-service
Pay Administration
Benefits Counseling
Benefits Processing
Benefits Reporting
Personnel Action Processing
Position Classification
Recruiting
Application Management
Learning Administration
Workers Compensation
Health and Fitness
Unemployment Compensation

Human Capital Management

Competency Management
Succession Planning
Workforce Planning
Workforce Reshaping
Organization Design
Position Management
Assessment Model
Staffing
Career Development Planning
HRD Needs Assessment
HRD Program Development
Education / Training Delivery
Human Capital Program Review and Assessment
Performance Management
Employee Relations
Labor Relations



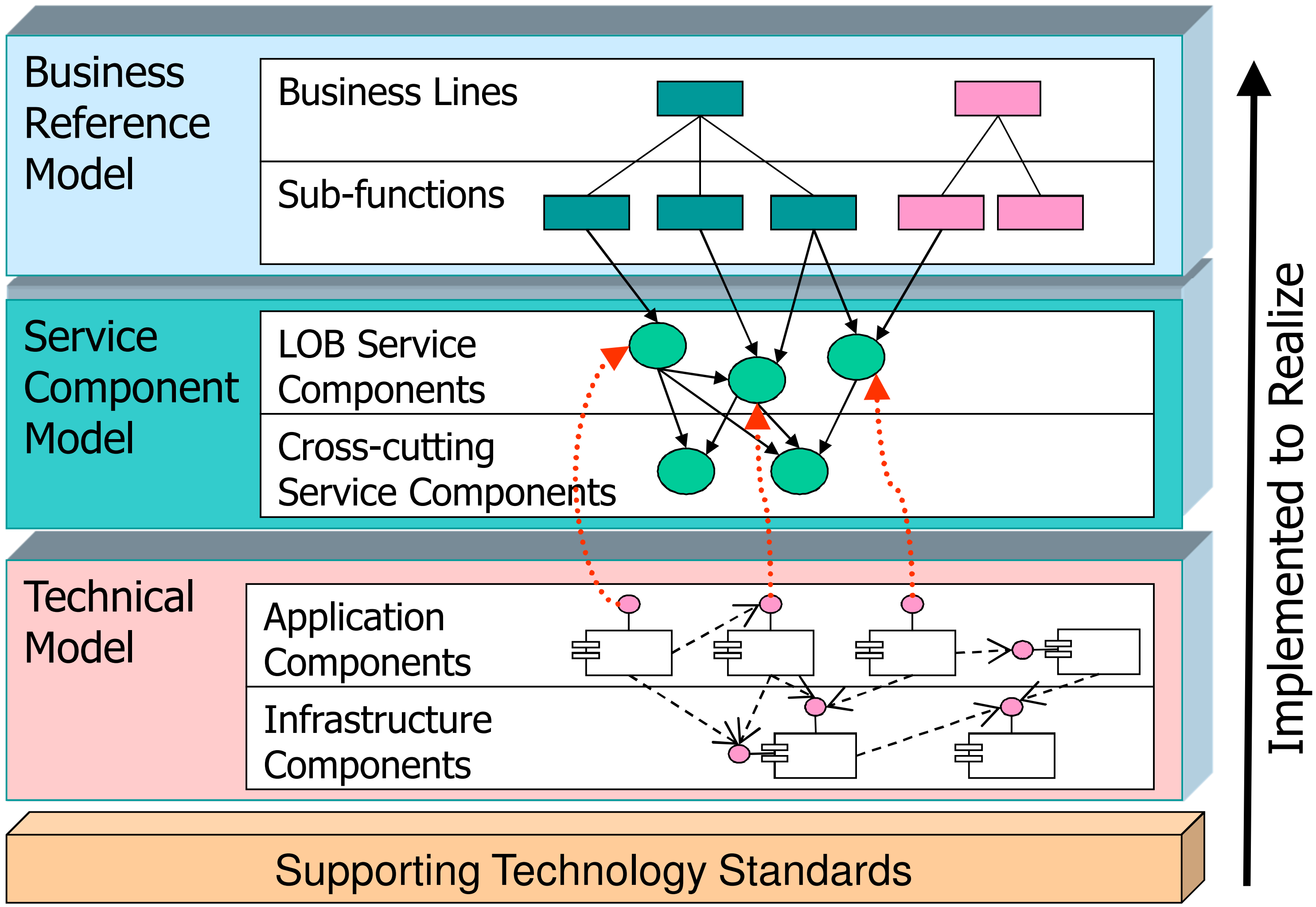
Practical Application of the BRM

Service Delivery Model

Service Domain	Service Type	Service Component	HR Executive	Executive	Manager	Active Employee	Other Employees	Prospective Employee	HR Staff	Other Govt. Staff	Government Agency	External Vendor/ Org	Former Employee	Retiree	Family Member
Back Office Services	Human Resources	Payroll Processing							0	0	0	0			
		Payroll Reporting	0		0	0	0		0	0	0	0	1	1	1
		Time and Attendance			0	0	0		0	0	0				
		Manager Self Service			0										
		Employee Self Service				0	0		0				0	0	
		Pay Administration	3		1	1	1		1						
		Benefits Counseling	2		1	0	0	0	0				0	0	0
		Benefits Processing	0						0	0	0	0	1	1	1
		Benefits Reporting	0						0	0	0	0	1	1	1
		Personnel Action Processing							0	0					
		Position Classification	2	3	0	0		0	0	0	0	0	1	1	
		Recruiting	2	2	2	0	0	0	0						
		Application Management	0	0	0	0	0	0	0						
		Staffing	2	2	2	0	0	0	0						
		Assessment Model	2	2	2				0						
		Education / Training Delivery				0									0
		Learning Administration	2	2	1	0	0		1	0					0
		Career Development Planning	2	2	2	0	0		2						
		Workers Compensation	2	2	2	1	1		2	2	2		1	1	1
		Health and Fitness	2	2	2	1	1	1	2	2			1	1	
		Unemployment Compensation	2		2	0			2	2			0	0	
	Human Capital Management	Competency Management	3	3	2				2						
		Workforce Reshaping	2	2	2				2						
		Succession Planning	3	3	2				2						
		Workforce Planning	3	3	2				2						
		Organization Design	2	3	2				0						
		Position Management	2	3	2				0	0					
		HRD Needs Assessment	2	2	2				2						
		HRD Program Development	2	2	2	2			2						
		Human Capital Program Review and Assessment	2	0	0				2		0				

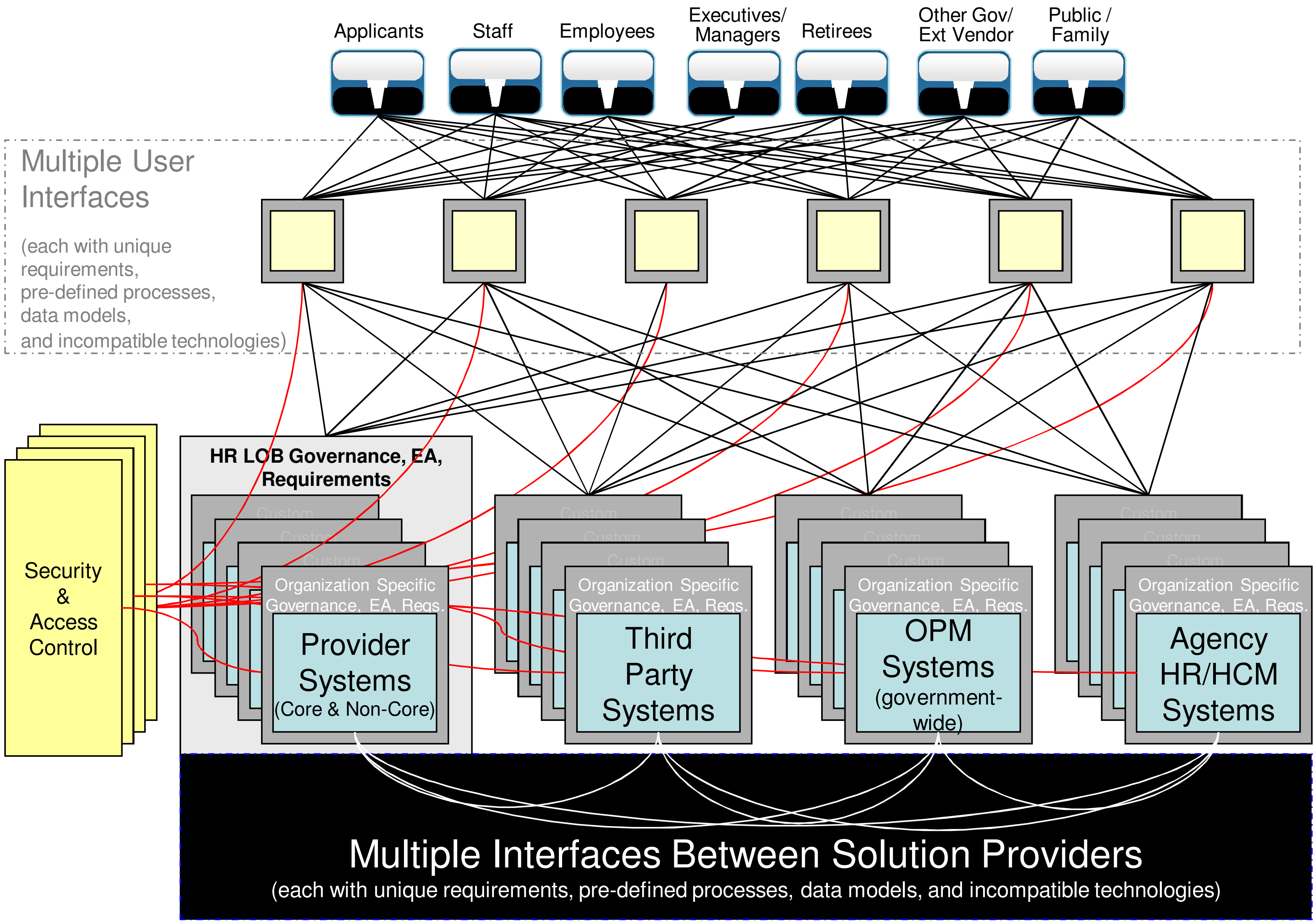
Direct Access 0 **Call Center** 1 **Subject Matter Expert** 2 **Decision Maker** 3

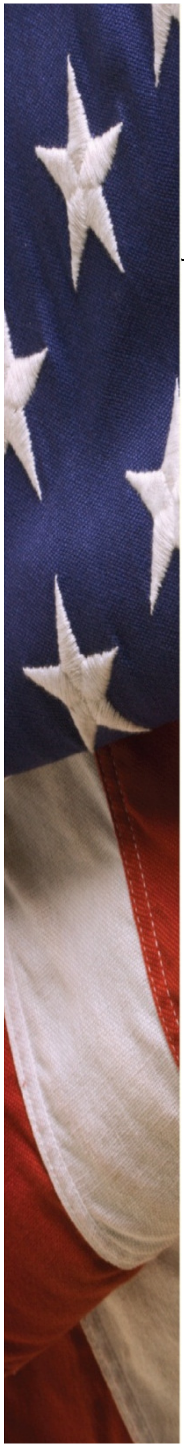
Practical Application of the BRM
Technical Model



Business Value of Enterprise Architecture

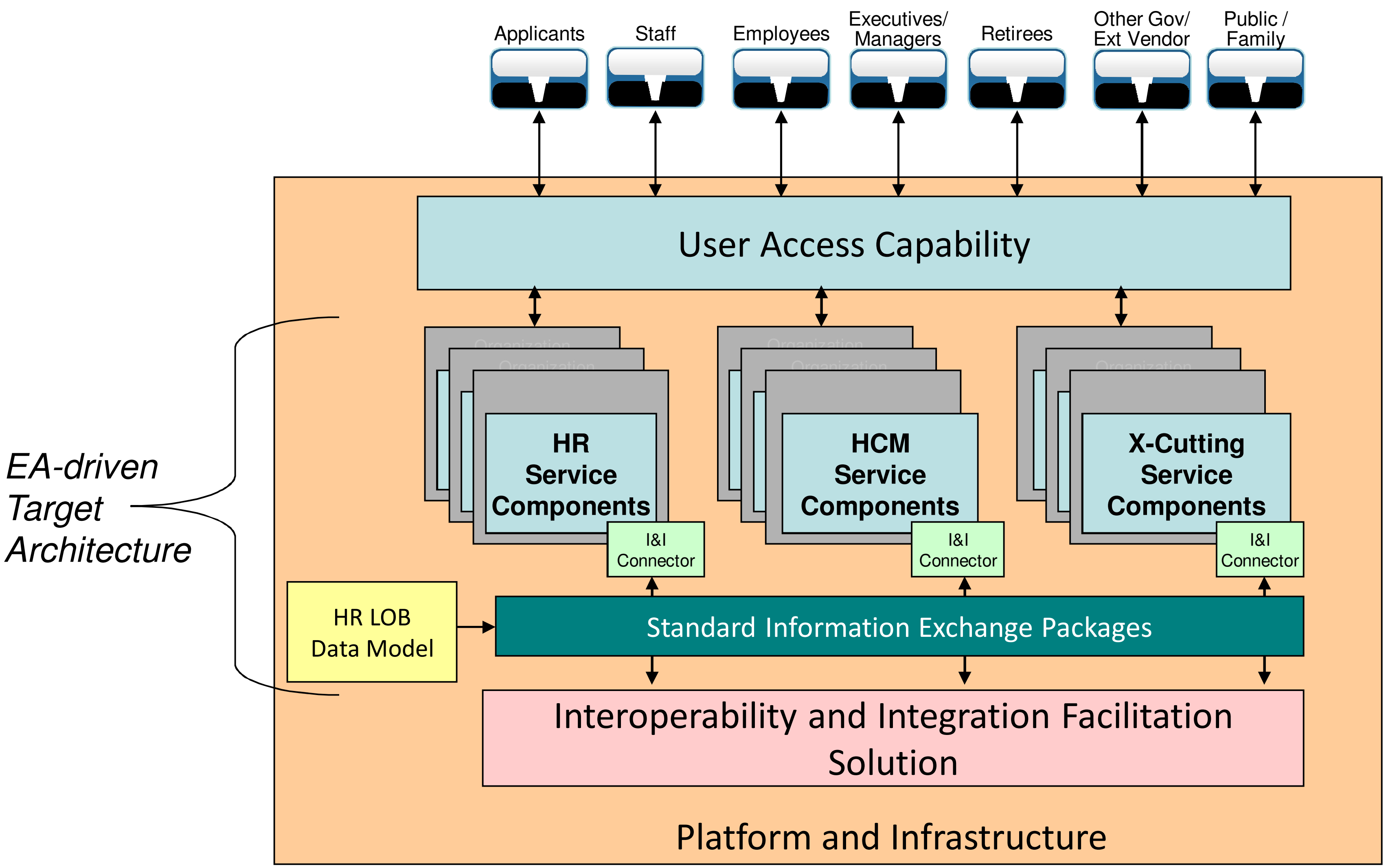
Conceptual Solution Architecture – As-is View





Business Value of Enterprise Architecture

Conceptual Solution Architecture – To-be View



Federal Human Resources Process Model
Agenda

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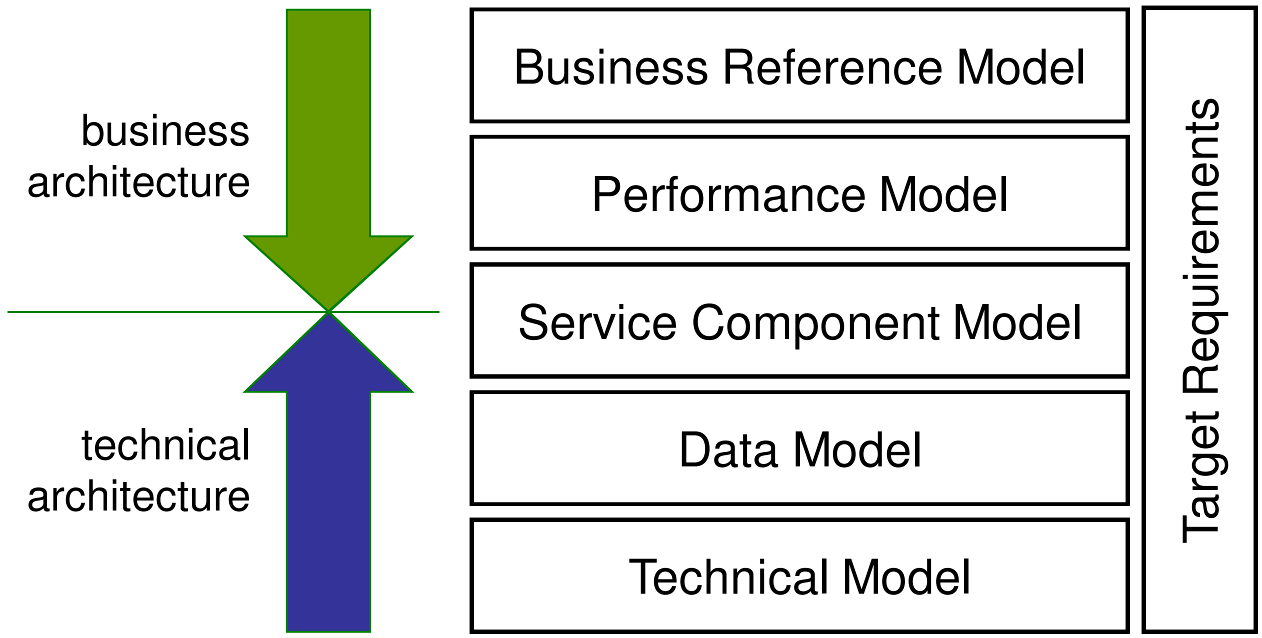
Business Value of Enterprise Architecture
EA is the Basis for Transformation

Any business transformation effort requires a common foundation: a common view of the business and a common vocabulary for talking about that view



Human Resources Line of Business

EA Enables Achievement of Significant Cost Savings

COST AVOIDANCE:
Acquiring fewer systems

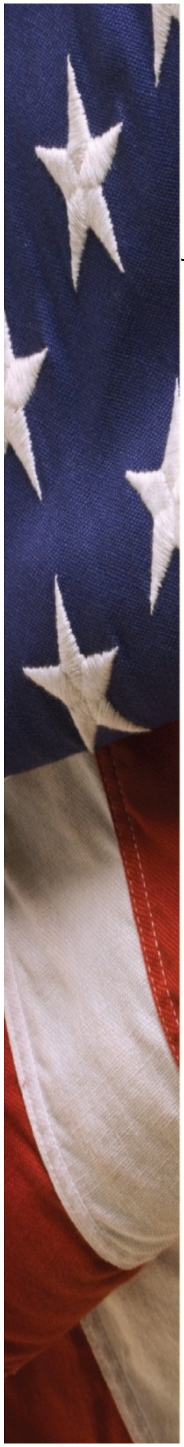
+

COST SAVINGS:
Operating fewer systems

=

$1,373,000,000

Source: 2009 HR LOB Cost Benefit Analysis

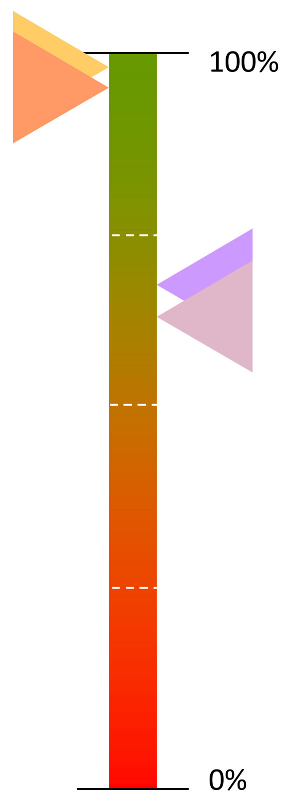


Business Value of Enterprise Architecture

Increasing Agency Alignment

Total Number of Federal Employees	2,113,980
Total Number of Federal Agencies	368

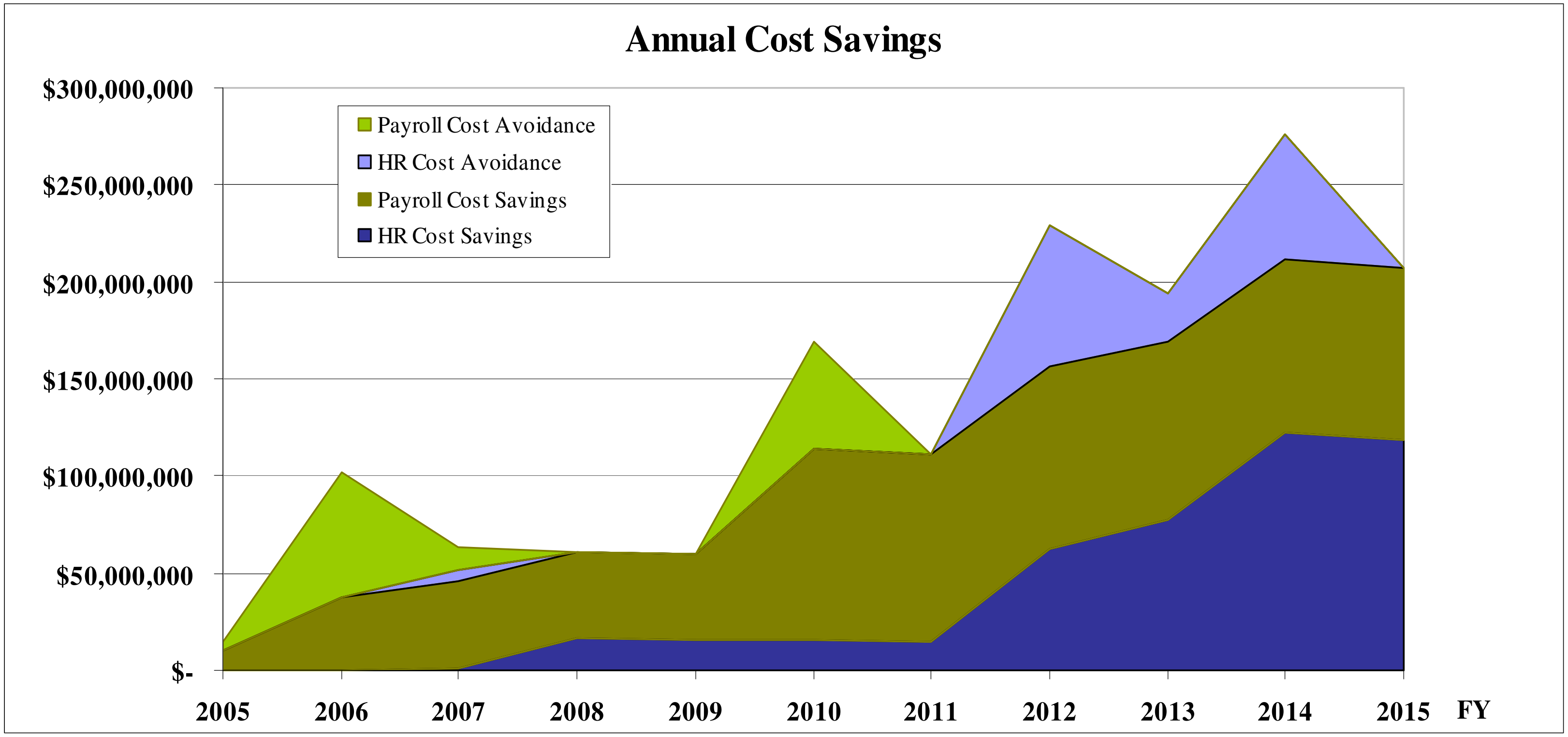
Agency Servicing by an SSC **Payroll** Provider		
Number of Employees	2,102,035	99.43%
Number of Agencies	363	98.64%



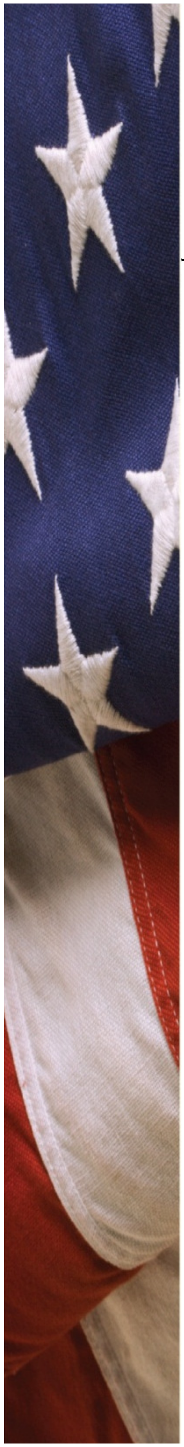
Agency Servicing by an SSC **HR** Provider		
Number of Employees	1,408,663	66.64%
Number of Agencies	222	60.33%

Human Resources Line of Business
Realization of Significant Cost Saving Opportunities

Annual Cost Savings Through FY 2015

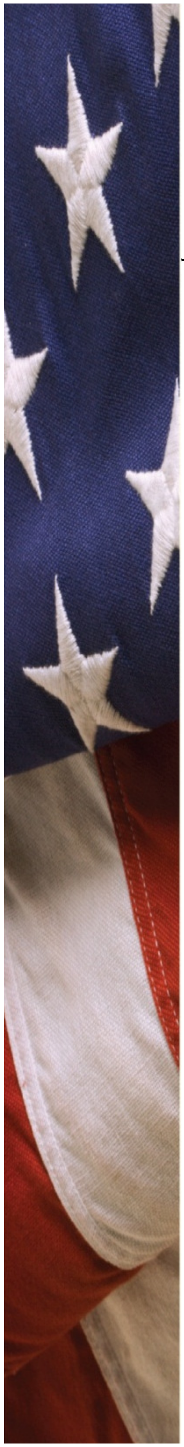


- Annual payroll cost savings peaks at almost $100 million in FY 2010 with the completion of the e-Payroll migrations
- Annual HR cost savings peaks at almost $120 million in FY 2014 when it is estimated that HR migrations will be complete



Business Value of Enterprise Architecture
Use of The Business Reference Model

- Selection of Shared Service Centers – public & private
- Agency SSC selection and migration
- HR and Payroll benchmarking studies
- Agency HR process and organization design
- HR target conceptual solution architecture



Thank you