

Workforce and Succession Planning Evaluation Tool

What is the Workforce and Succession Planning Evaluation Tool?

The Workforce and Succession Planning Evaluation Tool assists departments in identifying areas of strength and weakness in workforce and succession planning efforts. It also assists with the development of strategies to mitigate potential risks and ensure a department develops a comprehensive workforce plan. The Tool is aligned with CalHR's Five Phase Workforce Planning Model (to be complete August 2015). The completion of this Evaluation assists departments and CalHR in:

- Identifying factors that contribute to the successful completion of your department's workforce plan.
- Identifying factors that hindered the successful completion of your department's workforce plan.
- Identifying training or consultation areas that may be needed.
- Identifying additional improvement areas in the completion of your department's workforce and succession plans, where best practices can be implemented.

When should a department use the Workforce and Succession Planning Evaluation Tool?

The Workforce and Succession Planning Evaluation Tool is used when a department completes and implements their workforce plan and is ready to assess whether all the critical tasks of workforce and succession planning were accomplished. The Tool can also be used at the beginning of the workforce and succession planning process as a way to anticipate the critical milestones that should be addressed through workforce and succession planning.

Who should use the Workforce and Succession Planning Evaluation Tool?

The workforce planning steering committee, or individual(s) involved in workforce planning for a department, should utilize the Workforce and Succession Planning Evaluation Tool.

CalHR utilizes the Tool to evaluate department's workforce and succession planning efforts and provide feedback and consultation based on evaluation results.

How does a department use the Workforce and Succession Planning Evaluation Tool?

The Workforce and Succession Planning Evaluation Tool assesses six areas of workforce planning: Planning, Analysis, Development, Succession Planning, Implementation and Evaluation. The following steps will assist in utilizing the Tool to conduct a thorough analysis:

Development Scale: Not Started = 0; Beginning Development = 1; Moderately Complete = 2; Mostly Complete = 3; Complete = 4

1. Use the Development Scale located in the footer of each page to score workforce and succession planning tasks in each area. The Scale is defined as follows:
 - Not Started (score = 0)—The task has not been started.
 - Beginning Development (score = 1)—The task has been started and is in the beginning phases of planning and/or development.
 - Moderately Complete (score = 2)—The task is past the beginning phases of planning and/or development and work has begun to accomplish the task.
 - Mostly Complete (score = 3)—The task is over fifty percent complete but has not reached full completion.
 - Complete (score = 4)—The task is complete and/or has been implemented.

The following are scoring examples:

- ‘The workforce planning goals have active support from executive staff’—‘Active support’ means sponsorship, participates in training to learn about the goals and leads the elements of the overall workforce plan and its objectives. If the all executive staff are exhibiting active support of all the workforce planning goals, score this task as Complete (score = 4).
 - ‘Managers received training and understand their roles in the workforce planning efforts’—If only 50 percent of your management team has received training regarding their roles in the workforce planning efforts, score this task as Moderately Complete (score = 2).
2. Continue to rate each task accordingly. Remember to do an honest evaluation, as this will help you identify opportunities to strengthen you workforce plan.
 3. Use results to begin making improvements to your workforce and succession planning efforts.
 4. Submit a copy of the completed assessment tool to wfp@calhr.ca.gov. The Statewide Workforce Planning and Recruitment Unit will utilize the results to identify upcoming training opportunities and needs for additional development tools.
 5. Continue utilizing the Workforce and Succession Planning Tool to evaluate and improve workforce and succession planning efforts until a final score of 100% is reached, indicating a complete workforce and succession planning effort.

Note: The Workforce and Succession Planning Evaluation Tool is not an evaluation of the effectiveness of workforce and succession planning strategies. An action plan should be developed for each strategy containing goals that are specific, measureable, achievable, realistic and time-based (SMART).

For Assistance

Development Scale: Not Started = 0; Beginning Development = 1; Moderately Complete = 2; Mostly Complete = 3; Complete = 4

Contact CalHR's Statewide Workforce Planning and Recruitment Unit at wfp@calhr.ca.gov or (916) 322-0742 with any questions or feedback on the Workforce and Succession Planning Evaluation Tool.

| | | | |
|--------------------|--|-----------------------|--|
| Agency/Department: | | Submitter Name/Title: | |
| Director: | | Submitter Phone: | |
| Address: | | Submitter Email: | |

PLANNING

Rate how complete each task is as it relates to the planning process for workforce **and succession planning**.

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| Workforce planning objectives have active support from executive staff. | | | | | | |
| Workforce Planning Unit/Coordinator position is continuously staffed and funded. | | | | | | |
| A multi-disciplinary steering committee is established. | | | | | | |
| Steering committee members understand their roles and responsibilities. | | | | | | |
| Managers received training and understand their roles in workforce planning. | | | | | | |
| Critical functions of the department have been identified. | | | | | | |
| Mission of the department has been identified. | | | | | | |

Development Scale: Not Started = 0; Beginning Development = 1; Moderately Complete = 2; Mostly Complete = 3; Complete = 4

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|--------------------|------------------------------|----------------------------|------------------------|-----------------|------------------|
| Divisions/program areas have been consulted to identify technical knowledge/skills/positions for future goals. | | | | | | |
| Workforce planning objectives align with department's strategic mission and goals. | | | | | | |
| External factors that impact department's needs have been identified, such as changes to legislation, technology, budget, etc. | | | | | | |
| Potential challenges have been identified to mitigate threats to the workforce planning effort. | | | | | | |
| Workforce planning effort has well established benchmarks/ performance objectives and deadlines. | | | | | | |
| Score: | + | + | + | + | = | Total |

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ANALYSIS

Rate how complete each task is as it relates to gathering and analyzing data for workforce **and succession planning**.

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| Workforce data collection and analysis occurs at least semi-annually. | | | | | | |
| A key resource has been established to monitor and deliver workforce data analysis. | | | | | | |
| A supply analysis has been performed to develop a profile of your current workforce that includes staffing and competencies. | | | | | | |
| Number of employees in each classification has been analyzed. | | | | | | |
| Vacancies and positions being recruited have been analyzed | | | | | | |
| Competencies in each classification have been developed and/or analyzed. | | | | | | |
| Demographic data has been analyzed. | | | | | | |
| Retirement trends (such as age at retirement and length of state service) have been analyzed. | | | | | | |
| Transfer trends have been analyzed. | | | | | | |
| Voluntary separation trends have been analyzed. | | | | | | |

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| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|--------------------|------------------------------|----------------------------|------------------------|-----------------|------------------|
| A demand analysis has been performed to identify current and future workforce needs. | | | | | | |
| A gap analysis has been performed to identify staffing and competency gaps in key classifications to determine current and future workforce needs. | | | | | | |
| A list has been developed to identify classifications by risk level to assist in prioritizing workforce planning efforts. | | | | | | |
| Score: | + | + | + | + | = | Total |

Development Scale: Not Started = 0; Beginning Development = 1; Moderately Complete = 2; Mostly Complete = 3; Complete = 4

DEVELOPMENT

Rate how complete each task is as it relates to the development of the workforce **and succession** strategies and plan.

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| Gap analysis identifies workforce needs that informs strategy development. | | | | | | |
| Workforce plan identifies department's strategic direction. | | | | | | |
| Workforce plan describes history of the department. | | | | | | |
| Workforce plan identifies challenges and trends. | | | | | | |
| Workforce plan describes workforce planning methodology. | | | | | | |
| Workforce plan identifies supply analysis results including workforce profile. | | | | | | |
| Workforce plan identifies demand analysis results. | | | | | | |
| Workforce plan identifies gap analysis results. | | | | | | |
| Workforce plan identifies strategies containing specific, measurable, achievable, realistic and time-based metrics (SMART) to addresses recruitment needs. | | | | | | |
| Recruitment strategies address diversity and talent pipeline. | | | | | | |

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| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| Workforce plan identifies SMART strategies to address retention needs. | | | | | | |
| Workforce plan identifies SMART strategies to address knowledge transfer needs. | | | | | | |
| Workforce plan identifies SMART strategies to address succession planning needs. | | | | | | |
| Strategies ensure Managers complete individual development plans timely and regularly. | | | | | | |
| Strategies ensure Managers provide continuous and effective performance feedback to personnel. | | | | | | |
| Strategies include Managers develop training plans for personnel at least annually. | | | | | | |
| Strategies include Managers engage in effective and ongoing coaching/mentoring with staff. | | | | | | |
| Strategies include Managers are trained in best hiring practices. | | | | | | |
| Strategies include Managers are trained to identify talent within the department. | | | | | | |
| Strategies include department-wide effort to capture critical knowledge and processes. | | | | | | |

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| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|---|--------------------|------------------------------|----------------------------|------------------------|-----------------|------------------|
| Workforce plan identifies SMART action plan for implementing each strategy. | | | | | | |
| Workforce plan encourages networking with other state departments and establishing working relationships with control agencies. | | | | | | |
| Workforce plan strategies and objectives have active support from executive staff. | | | | | | |
| Workforce plan describes the communication plan to share progress and updates with employees and other stakeholders. | | | | | | |
| Workforce plan is current and does not exceed a timeframe of five years. | | | | | | |
| Score: | + | + | + | + | = | Total |

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SUCCESSION PLANNING

Rate how complete each task is as it relates to the development of succession planning strategies.

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| High risk leadership positions have been identified based on workforce planning analysis. | | | | | | |
| Gaps in current succession planning strategies have been identified. | | | | | | |
| Leadership positions have been prioritized to organize succession planning efforts. | | | | | | |
| Equal opportunity has been provided for any employee to express interest in participating in succession planning strategies. | | | | | | |
| A Talent pool of candidates has been identified. | | | | | | |
| Strengths of potential candidates has been evaluated. | | | | | | |
| A gap analysis of the talent pool has been performed to inform succession planning strategies. | | | | | | |
| Strategies have been developed to address succession planning needs based on gap analysis of the talent pool. | | | | | | |

Development Scale: Not Started = 0; Beginning Development = 1; Moderately Complete = 2; Mostly Complete = 3; Complete = 4

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|---|--------------------|------------------------------|----------------------------|------------------------|-----------------|------------------|
| A strategy has been developed to evaluate employees progress in succession planning strategies. | | | | | | |
| Implementation action plan has been created containing SMART goals for each strategy. | | | | | | |
| Strategies and implementation plan have been re-incorporated back into the succession planning section of the overall workforce plan. | | | | | | |
| Score: | + | + | + | + | = | Total |

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IMPLEMENTATION

Rate how complete each task is as it relates to the implementation of the workforce **and succession** strategies and plan.

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| Steering committee is held accountable to their roles in the workforce plan. | | | | | | |
| Action plan for implementing strategies is adhered to. | | | | | | |
| All parties identified in the action plan have received training and understand their roles in the workforce planning efforts. | | | | | | |
| Strategies addressing recruitment needs have been implemented. | | | | | | |
| Strategies addressing retention needs have been implemented. | | | | | | |
| Strategies addressing knowledge transfer needs have been implemented. | | | | | | |
| Strategies addressing succession planning needs have been implemented. | | | | | | |
| Progress is communicated to all employees and stakeholders, timely and appropriately to maintain engagement and support for the plan's strategies. | | | | | | |

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| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|--------------------|------------------------------|----------------------------|------------------------|-----------------|------------------|
| Successes and small wins are continuously communicated to all employees and stakeholders, timely and appropriately to maintain engagement and support for the plan's strategies. | | | | | | |
| Score: | + | + | + | + | = | Total |

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EVALUATION

Rate how complete each task is as it relates to evaluating the workforce **and succession** strategies, plan and process.

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|---|-------------|-----------------------|---------------------|-----------------|----------|-----------|
| Process has been established for continuous monitoring, reviewing and improving the workforce plan. | | | | | | |
| Process has been established for continuous monitoring, reviewing and improving the workforce process. | | | | | | |
| Each workforce planning strategy contains measurable goals. | | | | | | |
| Each workforce planning strategy contains benchmarks to gauge improvements. | | | | | | |
| Process has been established for continuous monitoring, reviewing and improving recruitment strategies. | | | | | | |
| Process has been established for continuous monitoring, reviewing and improving retention strategies. | | | | | | |
| Process has been established for continuous monitoring, reviewing and improving knowledge transfer strategies. | | | | | | |
| Process has been established for continuous monitoring, reviewing and improving succession planning strategies. | | | | | | |

Development Scale: Not Started = 0; Beginning Development = 1; Moderately Complete = 2; Mostly Complete = 3; Complete = 4

| Task | Not Started | Beginning Development | Moderately Complete | Mostly Complete | Complete | Comments: |
|--|-------------|-----------------------|---------------------|-----------------|----------|--------------|
| Position reviews occur yearly to ensure classification/job specification/duty statements align to department's strategic mission and critical functions. | | | | | | |
| Feedback regarding workforce planning efforts and strategies is collected from all levels of the department. | | | | | | |
| Changes and updates to the workforce plan have been added to the plan as appendices. | | | | | | |
| Lessons learned documentation is recorded to improve workforce planning processes in the future. | | | | | | |
| Score: | + | + | + | + | = | Total |

SCORE

Input the Total from each area to calculate your Total Score.

| Planning | Analysis | Development | Succession Planning | Implementation | Evaluation | Total Score |
|----------|----------|-------------|---------------------|----------------|------------|-------------|
| + | + | + | + | + | = | ÷ 328 = % |

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