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submitted to

Delaware State Personnel Office

by



Institute for Public Administration
College of Human Services, Education & Public Policy
University of Delaware

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**Delaware State Personnel Office
Research Project
Phase II:**

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BACKGROUND

In May 2002, the Institute for Public Administration (IPA), University of Delaware, completed the *Delaware State Personnel Office Research Project: Phase I*. The research project centered on three human resources management areas:

- Examining employment-related services provided by the State Personnel Office (SPO) to state agencies;
- Reviewing recommendations and suggestions from previous studies, reports and other relevant documents as they might relate to state employment practices; and,
- Searching for emerging trends and best practices in employment related activities among selected public and private employers.

The *Report* generated by that *Phase I* research project included eleven recommendations that have been consolidated into eight recommendations for use in this report. The eight recommendations center around three themes:

- Expanding the SPO training and expert consultant role to state agencies;
- Implementing a system of greater agency accountability for human resource (HR) functions; and,
- Adopting strategies and procedures to streamline employment practices across the state at both the SPO and agency levels.

Those eight recommendations, along with proposed Action Steps for implementation, are included as Component II in the latter portion of this report.

The IPA project team's *Phase I Report* also stressed the importance of implementing strategies to insure greater continuity between SPO internal operations, its relations with agencies, and the implementation of quality practices such as those contained in the *Baldrige Criteria for Performance Excellence*. Specifically, the report highlighted a major movement in the field of human resource management -- a shifting from the traditionally centralized "command and control" mentality toward one involving a stronger "customer-driven" emphasis reflecting a partnership between the central personnel office and state agencies. This pattern of shared responsibility, team-based work activities, utilization of extensive performance measurement systems and linking unit/agency/organizational goals were identified as emerging trends in human resource management practices for both private and public organizations.

COMPONENTS OF THE *PHASE II* RESEARCH PROJECT

In June 2002, the State Personnel Office commissioned a *Phase II* research project with the Institute for Public Administration, University of Delaware. Building upon the findings and recommendations of *Phase I*, the *Phase II* project

centered on two components to strengthen the professional competencies of human resource practitioners in Delaware state government, while broadening the role of SPO as 'business partner' and consultant to agency HR units.

Component I: Develop the curriculum for an SPO-sponsored Human Resource Management Certificate Training Program by researching "best practices" models of HRM practitioner certificate training programs offered through professional associations, federal and state agencies or higher education institutes.

In completing this component, the IPA research team:

- Met with SPO staff and the SPO Leadership Team to ascertain potential topics for the HRM certificate program;
- Reviewed the content and frequency of HRM and Merit System training programs offered by the SPO;
- Conducted two focus groups meetings with SPO staff and agency HR managers to ascertain potential topics for the HRM certificate program;
- Evaluated the research findings and curriculum content comments from SPO staff members and agency HR managers; and,
- Developed a Human Resources Certificate Training Program curriculum proposal in collaboration with the SPO Training and Development Unit and agency HR representatives.

Component II: Formulate proposed Action Steps to implement the major recommendations contained in the Phase I Report.

In completing this component, the IPA research team:

- Reviewed the current SPO strategic plan and *Phase I* recommendations with the Leadership Team to ascertain the potential for alignment with implementation priorities;
- Reviewed implementation strategies with SPO Leadership Team and agency HR representatives;
- Researched impacts other entities have experienced when implementing similar changes;
- Coordinated action steps with activities being undertaken following the December 2002 Leadership Team Retreat during which key values were identified and other steps designed to impact the culture of SPO.

COMPONENT I: DEVELOP CURRICULUM FOR SPO-SPONSORED HUMAN RESOURCES MANAGEMENT CERTIFICATE TRAINING PROGRAM

RATIONALE FOR THE TRAINING PROGRAM

As envisioned by the IPA research team, the Human Resources Management Certificate Training Program serves two major purposes.

First, it acknowledges the changing nature of human resources in the private and public sectors. It recognizes the human resource profession's migration from a highly centralized "command and control" function to a more flexible system based on the principles of continuous improvement, collaboration, shared vision and a greater sense of interdependent job duties/responsibilities between the central personnel office and state agencies.

In such a transitional environment, the traditional "stove pipe" operational structure in which a central personnel office—with individual units enforcing their narrow areas of responsibility with little regard for the activities of others or the needs of the agencies—must undergo a culture change. Such change can be expedited more consistently through an SPO sponsored Certificate Training Program in which *all* state of Delaware HR professionals are expected to participate.

Just as a well-constructed building begins with a blueprint detailing the structure's foundation, bearing walls, interior design and roofing, the Certificate Training Program outlined below consists of four "levels" of courses and experiential activities:

- **Mandatory courses** in which *everyone* in the State's Human Resources Career Ladder must participate;
- **Preparatory courses** that stress communications, personal development and problem-solving;
- **Specialized courses** (some required and some elective) that stress the strategic and technical roles involved in HRM; and,
- A team-based **capstone activity** utilizing the full range of the knowledge and skills developed during the Certificate Training Program.

Ideally, these course offerings will be made available in a sequence that builds upon concepts and information presented in earlier sessions. This will not only spawn greater interactions among SPO staff and agency HR representatives, but should provide myriad opportunities for in-depth conversations among peers to formulate common principles upon which to base long term cultural change.

Second, a Human Resources Certificate Training Program supports the professional development and ongoing functioning of the most populated portion of the State Human Resources career ladder series (HR Technician through HR Specialist V). These are particularly critical personnel classes since these individuals form the “front line” for contact information/service with prospective state employees, current workers, unit supervisors and retirees. Striving to maintain these many personnelists as competent and forward-thinking staff members serves both to meet the expectations of diverse “customer groups” and the needs of their colleagues.

TARGET AUDIENCE

There are approximately 205 individuals in the State of Delaware’s Human Resources career ladder series. These include personnel classes Human Resources Technician, Senior Human Resources Technician, Human Resources Specialists I-V, Human Resources Manager I-III and Human Resources Administrator. As noted above, the process of expediting cultural change within the ranks of the State’s human resource professionals involves mandatory courses for everyone in the State’s Human Resources Career Ladder. However, the Certificate Training Program is intended primarily for the 175 state employees in the following personnel classes:

<u>Class/Grade Level</u>	<u>Incumbents</u>
Human Resource Technician (Grade 7)	16
Senior Human Resources Technician (Grade 9)	61
Human Resources Specialist I (Grade 10)	14
Human Resources Specialist II (Grade 13)	30
Human Resources Specialist III (Grade 15)	35
Human Resources Specialist IV (Grade 16)	10
Human Resources Specialist V (Grade 17)	9

SERVING HUMAN RESOURCES MANAGERS AND ADMINISTRATORS

While those with position titles Human Resources Manager I-III and Human Resources Administrator (approximately 30 persons) should certainly participate in the Human Resources Certificate Training Program, as management level positions they should also be included as a unique sub-set within the Management Certificate Training Program currently under consideration by the SPO. These managers and administrators could, in fact, be part of a “Human Resources Track” within the Management Certificate Training Program.

EMERGING ROLES FOR ALL STATE OF DELAWARE HR PROFESSIONALS

In 1999-2000, the federal Office of Personnel Management (OPM) issued a three-part study entitled *An Occupation in Transition: A Comprehensive Study of the Federal Human Resources Community*¹. The study was commissioned, in large part, because the federal government recognized that (1) the demographics of the American workforce are changing dramatically in terms of age, race, ethnicity and quality of work-life issues, (2) a more customer-oriented approach to the provision of goods and services, linked with greater organizational accountability, must drive management decision-making, and (3) the incredible growth of information technology and knowledge-based operations have increased the need for competent, flexible workers who understand their organization's mission and goals and utilize that knowledge in their dealings with others.

As an 'Occupation in Transition,' human resource professionals must take on new roles that stress the importance of organizational vision, customer-focused practices, managerial flexibility and worker empowerment, while remaining true to the more traditional responsibilities associated with attracting, retaining, motivating and compensating employees at the work site.

To function most effectively in both the "new" and "old" worlds of human resource management, workers in these areas must acquire and/or strengthen the knowledge and skills needed to perform competently. This report recommends that the SPO Human Resource Certificate Training Program stress five² inter-related roles (and associated competencies) that will be expected of every HR professional:

Human Resources Technical Expert – Possesses a high level of knowledge in all the requirements of human resource management, federal and state laws, merit rules, the major components of PHRST (Delaware's Payroll Human Resources Statewide Technology), and office practices and their application either at the SPO level or in an agency setting.

Business Partner – Functions as a partner with agency management by sharing responsibility and accountability for achieving successful outcomes. Understands the importance of organizational results and collaborates with line managers to analyze and devise solutions to organizational problems while maintaining adherence to necessary HR rules and requirements. Is aware of the strategic goals of both the SPO and line agencies and works in partnership with those agency managers to achieve those goals.

¹ The reports are available through <http://www.opm.gov/studies/main2.htm#Transition>.

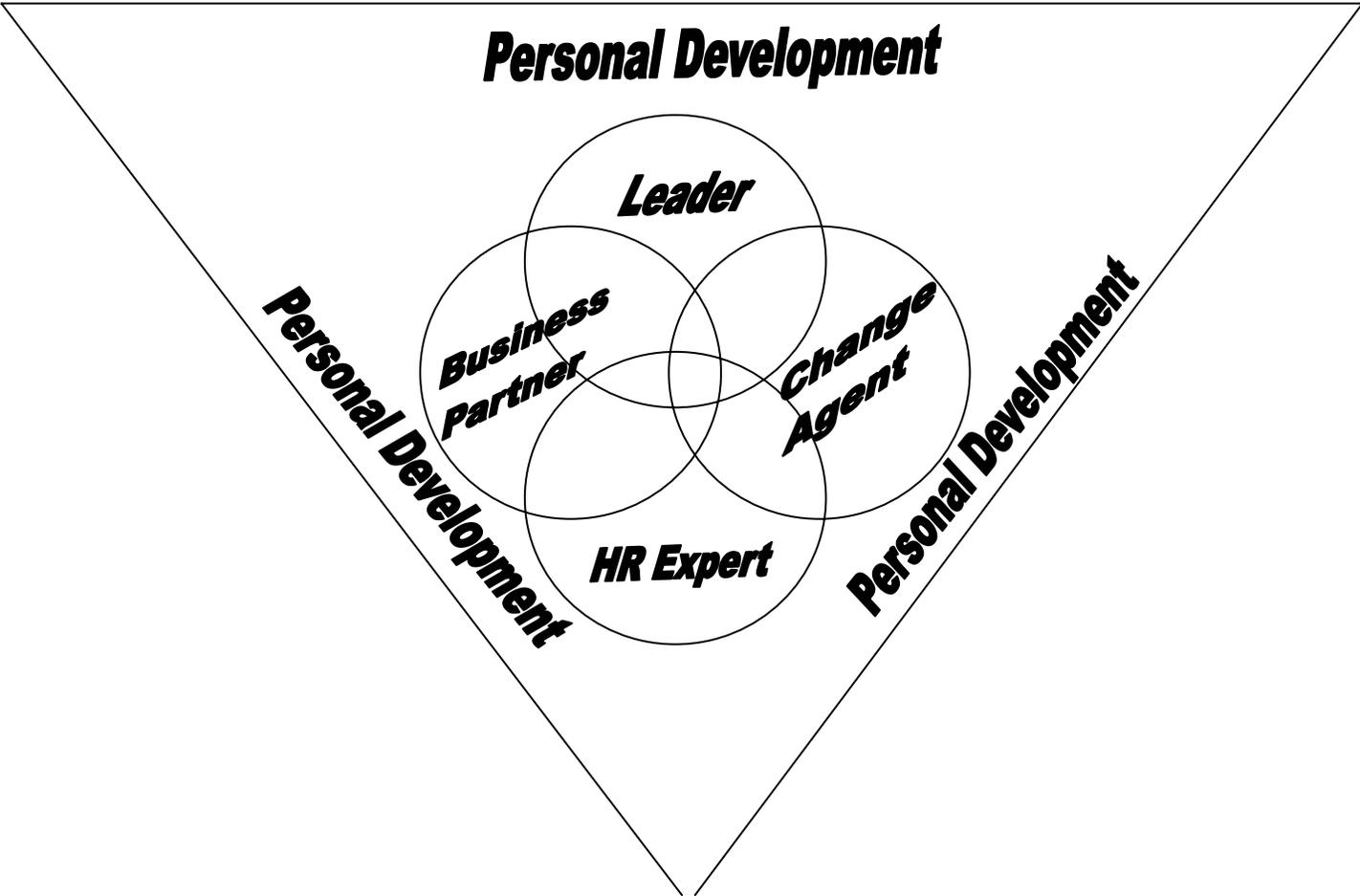
² These competencies reflect recommendations gleaned from the International Personnel Management Association's HR Competency Model <http://www.ipma-hr.org/index.cfm?navid=187&id=2474&tcode=nws3&search=1> and the U.S. Office of Personnel Management's HR Competencies described in "The HR Workforce: Meeting the Challenge of Change" MSE-99-7 <http://www.opm.gov/studies/change.pdf>.

Change Agent – Serves as a catalyst for change by supporting organizational missions, emphasizes customer needs/expectations and adjusts operations to achieve positive change. Works with the organization’s leadership in striving to align organizational culture and HR systems with changing missions and goals.

Leader – Balances traditional job duties with an ethical sense to do the “right things” in supporting co-workers, addressing client needs/expectations and championing workplace diversity. Understands the importance of balancing employee satisfaction with organizational goals.

Continuing Personal Development – Recognition that personal growth, increased professional knowledge and attention to the needs of the organization are ongoing responsibilities. Encourages supervisors, co-workers and subordinates to provide meaningful feedback on personal performance.

STATE PERSONNEL OFFICE
HR Role Relationship Model



LINKS TO OTHER SPO CERTIFICATE PROGRAMS

Recently, the SPO announced implementation of a Supervisory Development Certificate (SDC) Program built on six core competencies—Personal, Interpersonal, Critical Thinking, Organizational, Customer Focus and Technical. The SDC consists of 15 days of required and elective courses and up to three days of discussion and assessment exercises; participants are expected to complete the program within five years. Direct benefits for successful participants include credentialing for selection and promotion, opportunities for career advancement and enhanced eligibility for the Management Fellows Program. The IPA research team believes there is the potential for strong instructional and professional links between the SDC and the proposed Human Resources Certificate Training Program. This linkage should be exploited in advertising training and/or opportunities for career advancement within the State service. Further, the SPO and their agency partners should explore allowing some training program “cross-over” between those enrolled in the SDC, the Human Resources Certificate Program or other comparable offerings.

RESOURCE REQUIREMENTS

Completing a detailed curriculum design and the actual launching of the Human Resources Certificate Training Program will require an extensive resource commitment. (Some detail on this point is included with the Action Steps Framework later in the Report). The IPA research team strongly recommends that such commitments—both human and monetary—be drawn from both the SPO and participating agencies.

Currently there are several agencies offering supervisory skills and HR technical training “in house” to their employees; several agency HR staff also serve as SPO trainers. In addition, the SPO through its Training and Development Unit and other offices provides a wide range of supervisory, personal enrichment, career advancement and HRM training. Combining the technical expertise, enthusiasm and professional commitment of these two groups will not only contribute to a positive, customer-oriented cultural shift within state government but it will also represent an efficient redirecting of a limited set of resources toward a common goal.

TECHNOLOGY AND THE HUMAN RESOURCES CERTIFICATE PROGRAM

With the rapid development and implementation of information technology (IT) by government, public sector managers face significant issues concerning how to utilize IT to improve their work processes efficiently, equitably and openly while functioning within the financial and staff resources available. Human resources professionals are often involved in the design, project management, selection,

and implementation of information technology, yet they may or may not have the technical and political skills to insure optimum outcomes.

In order to be successful in managing projects and individual tasks involving IT, a range of skills and competencies will need to be included in the Human Resources Certificate Training Program. Therefore, training focusing on IT literacy should be provided in a comprehensive manner. The skills necessary to meet the demands of an evolving e-government involve the ability to: 1) understand governmental/agency missions and processes; 2) evaluate and utilize technology in a manner appropriate for public sector applications; 3) remain sensitive to customer expectations; 4) advocate for continuous improvement practices among human resources staff members; and 5) integrate technology decision-making with personnel, organizational and financial management practices. It is essential that such training be a component of the overall Human Resources Certificate Training Program. At this time, however, due to the major realignments in the technological resources available to the SPO and individual agencies, the IPA research team believes it may be best to postpone inclusion of a more detailed technology component into the overall program.

Level I: Mandatory Courses for Everyone in the State HR Career Ladder

***Title:* HR 101 – The Big Picture**

General Content: This course serves as a ‘roadmap’ for the HR professional in understanding the roles and major dimensions of Human Resource Management in the Delaware state system. Basic knowledge of Merit Rules, ethical issues as well as HR law and policy, will be utilized to illustrate the interrelationships and interactions at play in Delaware’s HR system. The changing relationship between the central State Personnel Office and state agencies will also be explored.

Recommended Length: Half day

Competencies Addressed:

- HR Processes & Procedures
- Federal and State HR Laws
- Basic Principles of Public Administration
- Basic Ethics Concepts and Laws
- HR Management Theories
- Functions of State Government
- Operations and Major Activities of State Government
- Emerging Trends in HR

***Title:* HR as a Business Partner**

General Content: With the transition and evolution of the field of Human Resource Management underway, the HR professional will need to become not only a technical expert in HR but a business partner to agency managers as well. By serving both internal and external customers through the utilization of problem-solving skills, ethical decision-making, conflict resolution and strategic planning, the HR professional shifts from a passive to an active role in any organization. Examples of how this partnership is envisioned for the State of Delaware, as well as how it has been employed in other states, is integrated throughout the course.

Recommended Length: Half day

Competencies Addressed:

- Customer Focus
- Organization Mission
- Quality Service
- Effective Workplace Relationships
- Application of Systems Thinking
- Ethics in the Decision-Making Process
- Systemic Problem-solving and Decision-making
- Conflict Management
- Basic Strategic Planning Principles

Title: Introduction to the PHRST System

General Content: Offered by PHRST practitioners, this course allows the HR professional to customize the e-system to better address specific agency and management needs. While the technical components of PHRST will be addressed, the emphasis will be on the practical applications that HR professionals face everyday. HRM-specific functions and features will be highlighted, possibly through a look at Delaware pilot programs, in this hands-on course.

Recommended Length: Half day

Competencies Addressed:

- IT Tools
- PHRST Applications
- Management Decision-Making using PHRST
- Ethics and Privacy in IT Systems
- Standard Office Practices

Title: Introduction to HR for HR Professionals

General Content: This overview course is intended for all levels of HR Professionals and presents in greater detail the course content of “HR Basics for Supervisors” (a course in the Supervisory Development Certificate Program). Taken as either an introduction to HR topics for HR Technicians and Senior HR Technicians, or as a refresher for HR Managers and Administrators, a special emphasis will be placed on identifying problems, working beyond the “stovepipes” of traditional agency functions, considering alternatives, determining appropriate and ethical actions, communicating with both internal and external customers, and implementing solutions. In the future, this course will serve as an orientation for new HR Managers and Administrators entering the personnel system from outside of Delaware. Extensive practitioner-based resource materials will be provided to familiarize the HR professional with all HRM areas in the state of Delaware’s personnel system.

Recommended Length: 4-5 days

Competencies Addressed:

- HR Processes & Procedures
- Federal and State HR Laws
- Selection Interviewing
- Basic Principles of Public Administration
- Collective Bargaining
- Contract Administration
- Systems Thinking—Beyond the Stovepipe Mentality
- Customer Focus
- Basic Problem Solving and Analytical Skills
- Developing Ethical Strategies and Solutions
- Labor Relations and Negotiation Skills
- Valuing and Encouraging Diversity
- Conflict Management
- Basic Strategic Planning Principles
- Emerging Trends in HR
- Risk Taking and Innovative Thinking

Title: Knowing and Managing Yourself

General Content: The power of personal vision is encouraged and developed in this course through an in-depth assessment of self. Questions such as “Where am I going?” and “How do I get there?” are addressed with the verification and implementation of acquired knowledge of self. An inventory of personal values, ethical preferences, interpersonal orientation and locus of control is generated, evaluated and discussed. Through this exercise, the HR professional is better able to understand how best to serve his or her organization.

Recommended Length: Half day

Competencies Addressed:

- Employee Empowerment
- Personal Preferences in Decision-Making
- Understanding Multiple Ethics Perspectives
- Personal Values and Moral Maturity
- Interpersonal Style
- Orientation toward Change

Level II: Preparatory Courses

Title: Basic Oral and Written Communication Skills

General Content: Aimed at the HR Technician and Senior HR Technician levels, this course introduces HR professionals to the basic techniques of effective oral and written communication skills. Areas such as technical writing, punctuation, grammar, presentation skills and basic customer service skills will be covered with the realization that much of the learning will come from on-the-job experience. This course may be followed with an advanced level offering, *Put It In Writing*, at a later stage in the Certificate Program.

Recommended Length: One day

Competencies Addressed:

- Basic Oral and Written Communication
- Elements of Effective Communications
- Introduction to Effective Listening Skills
- Principles of Public Presentation

Title: DiSC

General Content: All of us have developed behavioral patterns--distinct ways of thinking, feeling, and acting. The Personal Profile system, DiSC, presents a plan to help you understand yourself and others in a specific environment. By focusing on the work environment, this course will increase your understanding of your work behavioral style and identify the environment most conducive to your success. At the same time, you will learn about the differences of others and increase productivity and teamwork in your work organization.

Recommended Length: One day

Competencies Addressed:

- Employee Empowerment
- Behavioral Work Styles
- Organizational Environments
- Strategies for Personal Growth

Title: Introduction to Problem-Solving Skills

General Content: Problem-solving is a skill exercised daily at all levels in HRM. Topics including finding answers to clients' questions, analyzing data and basic conflict resolution are addressed in this hands-on course. Experiences drawn from real work situations are used to demonstrate and develop the techniques introduced by the instructor. Both oral and written communication skills are emphasized in this introductory course.

Recommended Length: One day

Competencies Addressed:

- Basic Problem Solving and Analytical Skills
- Conflict Management
- Consensus and Coalition Building Skills
- Group Facilitation Skills

Level III: HR Specialization Courses (Required and Elective)

Title: Managing Organizational Change (Required)

General Content: Because of both technological and cultural changes occurring within most organizations, it is important for HR professionals to assume the role of change agent. This course emphasizes the competencies needed for an HR change agent to operate effectively within an organization, focusing on the technological, political, social and human management factors at play in the workplace. Different approaches to planned change will be compared and contrasted and discussion will include the steps change agents take—such as diagnosis, change strategy and interventions—to manage change. Individual management styles will be emphasized and considered so as to personalize the course content for each HR professional.

Recommended Length: One day

Competencies Addressed:

- Systems Thinking
- Systemic Problem-solving and Decision-making
- Problem-solving and Analytical Skills
- Design and Implementation of Change
- Consults with Others to Identify Resources
- Risk Taking and Innovative Thinking
- Ethics in the Decision-making Process
- Developing Ethical Strategies and Solutions
- Personal Preferences in Decision-making
- Understanding Multiple Ethics Perspectives
- Interpersonal Style
- Orientation Toward Change

Title: Strategic Planning (Required)

General Content: This practical course focuses on designing and executing strategic plans within the typical constraints of government agencies, such as budget, limited staff resources and regular changes in administrations. Long-term vision and customer focus are imperative for any strategic plan to be successful when implemented, and a linkage of goals across agencies discourages competition for resources and promotes success. Performance measurement is crucial to the realization of an effective strategic plan and should be integrated into the design from the beginning. Overall, the objective of the course is to convey the importance of strategic planning and the most valuable and successful mechanisms of its operation.

Recommended Length: One day

Competencies Addressed:

- Organization Mission
- Customer Focus
- Results-Driven Management
- Problem-solving and Analytical Skills
- Basic Strategic Planning Principles
- Emerging Trends in HR
- Effective Oral and Written Communication Skills
- Valuing and Encouraging Diversity
- Promotes Ethical Behavior in Organizations

Title: Performance Measurement and Quality-Based Operations (Required)

General Content: This course presents a “big picture” overview of the utilization of Quality Principles in all organizational operations and an understanding of the barriers that prevent the implementation of the Total Quality Management approach in Human Resources. A review of the *Baldrige Criteria* will provide the context for the examination of quality principles. The importance of business strategies and the development and implementation of performance management tools is stressed throughout this client-oriented course, emphasizing and cultivating the role of the HR professional as business partner.

Recommended Length: One day

Competencies Addressed:

- Quality Service
- Customer Focus
- Results-Driven Management
- Emerging Trends in HR

Title: Building and Managing Effective Teams (Required)

General Content: One of the principles of continuous quality improvement is the use of a “team approach” to address and solve organizational issues. This course will concentrate on: the major elements of team synergy; the characteristics of an effective team; creating an organizational culture that supports teams; and reinforcing positive team performance. HR professionals will learn coaching and counseling in the context of a team environment and dispel the myths and stereotypes associated with groups and teams in the workplace. Conflict management and consensus building, as well as personal values, are just some of the competencies addressed in this course.

Recommended Length: One day

Competencies Addressed:

- Effective Oral and Written Communication Skills
- Employee Empowerment
- Team Building Skills
- Consults with Others to Identify Resources
- Negotiation Skills
- Team Applications
- Conflict Management
- Creates Diversity in Groups
- Group Facilitation Skills
- Consensus and Coalition Building Skills
- Understanding Multiple Ethics Perspectives
- Personal Values and Moral Maturity
- Interpersonal Style

Title: Elective Courses in Human Resource Management

General Content: Each participant must complete three one-day elective courses that focus on specific elements of HRM at the agency/unit level. These are the traditional “nuts and bolts” components of the human resources field; elective courses should be taken **after** Level III required courses have been completed.

These courses should be used to enhance and personalize each participant’s careers. Courses provide in-depth knowledge of specialized areas and should utilize practical rather than theoretical applications.

Recommended Length: One day for each course; total of three days

- Employment Law
- EEO/AA
- ADA/FMLA
- Workplace Safety
- Communication Skills
- Sexual Harassment Awareness
- Customer Service
- Leave Accountability
- Benefits
- Pension & Retirement
- Labor Relations
- Classification
- Compensation
- Organizational Development
- Discipline/Grievances
- Succession Planning
- Selection/Interviewing
- Policy Exceptions
- Budget Process/Position Management
- Overview of Systems Navigation
- Employee Development/Mentoring
- Bargaining Agreements for New Managers
- Knowing/Understanding Merit Rules
- Understanding of State Structure
- Performance Evaluations
- Diversity
 - Age
 - Gender
 - Race
 - Culture
 - Organizational
 - Positional

Level IV: Capstone Activity

Title: The Team Capstone Activity: A Demonstrated Mastery of HR Applications in a Real-Life Environment

General Content: This project-based experience requires participants to utilize all of the knowledge, tools and resources acquired throughout their training. This team-based activity will measure the participants' competencies with all components encompassed in the curriculum. It will require participants to examine a contemporary HR issue in Delaware, present the implications of the issue on such factors as staffing, budget, ethics, unit collaboration, interpersonal orientation, the application of Merit Rules, etc.

Knowledge, skills and abilities addressed will include written and oral presentation/communication skills, problem-solving, HR processes and procedures, basic strategic planning, principles of public administration and emerging trends in HR. This interdisciplinary approach will employ teams of assessors (both from within the SPO as well as agency representatives). The assessors will assess, offer feedback and evaluate participants at both the individual and team levels.

Completion of the HR Certificate Program will be based on both prerequisite courses and a satisfactory assessment by the team of assessors. HR professionals may use this course as a stepping-stone to national HR certification from a recognized professional association such as IPMA or SHRM.

Recommended Length: Anticipate 4-6 months

Competencies Addressed: Comprehensive and inclusive representation of all competencies associated with the five roles of the HR professional:

- Personal Development
- HR Technical Expert
- Business Partner
- Change Agent
- Leader/Advocate

Additional Notes/Suggestions for Developing the Capstone Activity:

- Entry into Capstone Activity should be based on:
 - Completion of mandatory courses at Level I
 - Completion of HR certificate introductory courses at Level II
 - Completion of HR certificate required and elective courses at Level III
 - Satisfactory evaluations by participant’s supervisor
- Expectations and Standards from the team of assessors will include:
 - Start/End dates of enrollment in certificate program
 - Explicit descriptions of acceptable performance/involvement for groups and individual participants
 - Minimum participant meetings over the 4-6 month period
- Assessor team must articulate HR policy issues that might impact the Capstone Activity prior to the beginning of the activity
- In order that a range of perspectives and areas of expertise can be drawn upon, SPO should consider involving the University of Delaware or other institutions of higher learning when creating the teams of assessors and designing the Capstone Activity
- Ask “student facilitators” from SPO’s facilitation course to serve in the facilitator role during the Capstone Activity. Such an assignment could be included as an assessment activity for students in the facilitation course
- Consider keeping facilitator’s role internal so participants can practice and develop their own “group facilitation” competencies.

COMPONENT II: ACTION STEPS TO IMPLEMENT RECOMMENDATIONS CONTAINED IN PHASE I “IMPLEMENTING BEST PRACTICES” REPORT

Recommendations without action amount to wasted time and effort. In order to implement the recommendations developed through the *Phase I* project it is necessary to develop an Action Plan for the implementation of each of the eight recommendations.

The action plan for each recommendation will be described in narrative following this general format:

Recommendation 1:

Action Step 1.1:

- Leader
- Method
- Timeframe
- Discussion

Recommendation 1: Develop three to five key *strategic goals* consistent with SPO vision, mission, values and strategic plan. These goals should integrate and guide all SPO activities, and each goal should be accompanied by outcome-based performance measures.

By establishing a limited number (3-5) of key strategic goals to be worked toward in the next three to five years, SPO as an organization will enhance its' ability to make strategic decisions about any new initiatives or recommendations it intends to implement. In addition, by having strategic goals that all units within SPO are working toward simultaneously, these goals will further facilitate collaboration and coordination within the organization.

Action Step 1.1: Revisit the current Strategic Plan with a renewed focus on the mission of SPO – *Leadership and Service for a Quality Workforce*. Identify a few key goals that represent a strategy to achieve that mission over the next three to five years.

- Leader – Lisa Blunt-Bradley
- Method – Leadership Team workshop/retreat (led by outside facilitator) sets key goals to be shared and pursued by all units
- Timeframe – Summer 2003

Potential Strategic Goals: Among the strategic goals that the SPO may wish to pursue would be to become “The Employer of Choice in

Delaware.” This will be a driving force since the SPO Leadership Team identified that particular goal during a December 2002 retreat. Another strategic goal to consider is “Implement a Business Partner Approach” to working with agencies. This should be a key strategic goal since it is a primary recommendation of the *Phase I Best Practices* project, and represents a response to the expectations of SPO stakeholders.

Precise statements of these strategic goals, and additional goals consistent with the SPO mission, need to be developed in order to drive strategic decisions and actions over the coming years.

Action Step 1.2: Develop outcome-based performance measures for each of the 3-5 key strategic goals. Utilize *Logic Models* (see sample Logic Models in Appendix I) to think through the outcomes to be achieved and the best ways to measure progress toward those outcomes.

- Leader – Lisa Blunt-Bradley
- Method – Leadership Team workshop/retreat, facilitated by a consultant familiar with outcome-based performance measures and the use of Logic Models.
- Timeframe – Summer 2003

Logic Models: Logic Models are a systematic and visual representation of the relationships among the resources available to operate the program, the activities planned, and the results desired. The terms in Logic Models are defined as follows:

- **Activities** are the processes, tools, events, technology, and actions that are part of program implementation.
- **Outputs** are the direct products of program activities and include services to be delivered by the program.
- **Outcomes** are the specific changes in program participants’ behavior, knowledge, skills, status, and level of functioning.
- **Intermediate Outcomes** are those that are expected to lead to a desired end, but are not necessarily the end in themselves.
- **End Outcomes** are the end results being sought.

Performance Measures: As seen in the sample Logic Models contained in Appendix I, it is possible to create performance measures for activities, outputs, or outcomes. However, only performance measures related to outcomes are very meaningful in terms of whether a desired goal is being achieved. Therefore, outcome-based performance measures should be developed for each key strategic goal.

Action Step 1.3: Data collection systems will need to be developed or adapted to fit the performance measures created for each strategic goal.

- Leader – Dana Jefferson
- Method -- Leadership Team subcommittee, with technical assistance as needed, will design the necessary data system to assure implementation and reporting of the performance measures
- Timeframe – Summer 2003

For each performance measure, it will be necessary to have a data collection system in place that routinely collects and reports data at regular intervals. In some cases, the data may already be available, and only a reporting protocol will need to be developed. In other cases, it may be necessary to design a new instrument or methodology. For example, to measure outcomes related to a goal of “Implementing a Business Partner Approach”, it may be necessary to conduct a survey asking agency HR staff, line managers, and employees how they perceive SPO functioning as a business partner. Whenever possible, the data collection system should be incorporated into existing data instruments rather than placing new reporting demands on stakeholders. For example, the Training and Development Unit currently conducts some surveys of agency staff related to training outcomes, so gathering information related to SPO as a business partner could be incorporated into the same survey.

Action Step 1.4: Data needs to be analyzed and reported to all relevant stakeholders. This is the only means by which progress toward achieving a key strategic goal can be tracked, and adjustments in performance made to enhance progress.

- Leader – SPO Performance Measure “Champion” (new role)
- Method – The SPO Performance Measure “Champion” will oversee the collection, analysis, and reporting of data to all relevant stakeholders
- Timeframe – Beginning Fall 2003 and ongoing

Publicizing the performance measures enhances accountability and tends to motivate further progress, encouraging the entire SPO to align itself more closely with the strategic goals. It is important to publicize results both internally and externally. It is essential that the data be made available to SPO staff members on a regular basis so that they can use the information to make decisions and performance adjustments to more effectively accomplish the outcomes being sought. External publicity might be done on the SPO Website and in annual budget documents. Regular reports of performance data should be made to the Governor, the Cabinet and other senior decision-makers as these are outcomes that are important to the state as a whole. For example, progress toward

becoming “The Employer of Choice in Delaware” will impact agencies across state government through improvements in the quality of applicants and new hires, as well as retention of quality employees. Such reports will not only provide useful information to the Governor and Cabinet, but will also demonstrate the positive impact of SPO’s efforts for state government as a whole.

Recommendation 2: Create a team of Agency HR Consultants within SPO, who will have the primary responsibility for implementing a Business Partner Approach between SPO and state agencies.

The Business Partner Approach represents a change in the fundamental relationships between SPO and state agencies. As such, SPO becomes a true partner with the agencies to help achieve their strategic objectives through more effective human resource decisions and actions. Implementing the Business Partner Approach requires re-thinking how SPO interacts with agencies, what services are provided, and how those services are most effectively provided. Implementing a Business Partner Approach will also require breaking down “stovepipes” within SPO so that agencies can effectively interact with SPO knowing that needs can be addressed through a comprehensive and efficient team approach, rather than through disconnected units across SPO.

Action Step 2.1: A cross-functional design team from within SPO (including PHRST) and including agency HR representatives should work together to outline the new roles and functions of “Agency HR Consultants” who will become SPO’s leaders in implementing the Business Partner Approach between SPO and state agencies.

- Leader – Dana Jefferson or designee
- Method – The cross-functional design team will include expertise about all units in SPO as well as the varying needs and expectations of agency HR representatives and line managers. The team will develop a specific proposal for the creation of a cadre of “Agency HR Consultants” and present this proposal to SPO Director, Lisa Blunt-Bradley for final approval.
- Timeframe – Fall 2003, taking no more than two months to complete the task.

The purpose for having a cross-functional design team is to assure that the newly created cadre of Agency HR Consultants will meet needs of agencies and line managers, and also avoids duplication or conflict of functions within SPO. In addition to describing the role and function of the Agency HR Consultants, the design team will propose job descriptions, minimum qualifications, and strategies for filling the positions internally or externally. The way in which state personnel offices utilize the HR Consultant model varies. Two states, South Carolina and Louisiana, used different methods to transition from stovepipe organizations into

HR Consultant service providers. The South Carolina Office of Human Resources chose to create new positions and job descriptions for Human Resource Management Consultant I & II and conducted an open search of external candidates from among an applicant pool with graduate degrees in Human Resources, Business and other disciplines. In contrast, the Louisiana Department of Civil Service created new Human Resource Consultant positions but conducted an internal search; internal candidates were promoted into the new positions. In both states, agency leaders spearheading the transitions have emphasized the importance of investing in on-going training and mentoring of the employees involved.

Action Step 2.2: Implement the design for a cadre of “Agency HR Consultants”.

- Leader – Dana Jefferson or designee
- Method – Follow the plan proposed by the cross-functional design team and approved by Lisa Blunt-Bradley
- Timeframe – as outlined in approved plan

Recommendation 3: SPO should provide more HR training in order to enable all parties to work more effectively as partners with SPO in carrying out HR functions.

Establishing an effective Business Partner Approach requires effort and expertise in both SPO and the agencies. In an earlier phase of this project, agency HR representatives made strong statements supporting more HR-related training both for themselves and for line managers. SPO has recently developed two new HR training programs – *HR Basics for Supervisors*, and the *HR Certificate Training Program* outlined earlier in this report – that will play a key role in enabling all parties to work together effectively in carrying out HR functions. Effective implementation of these two programs is expected to lead to outcomes that might include agency managers making more effective HR decisions regarding hiring, promotion, utilizing and rewarding human resources, as well as more effective discipline and termination decisions (especially in terms of compliance with merit rules and collective bargaining agreements). Fewer grievances, improved retention of employees, and better performance of employees would be expected, as well as synergistic working relationships between the agencies and SPO with regard to HR functions.

Action Step 3.1: Enable all parties to work effectively as business partners by providing necessary training to SPO staff, agency HR representatives, as well as line managers and supervisors.

- Leader – Joe Hickey
- Method – Implement HR Certificate Training Program (see Component I of this report) and HR Basics for Supervisors.
- Timeframe – ongoing

HR Basics for Supervisors – This 2 day course is already developed, and should be modified as necessary to incorporate concepts of the Business Partner Approach. The three SPO/HR staff involved in developing the program will be lead trainers. They will call upon other HR/SPO experts as needed. This program is intended to replace existing training programs that HR staff in larger agencies may be offering, and those staff can redirect their time to assisting in *HR Basics for Supervisors*. The training for supervisors is intended to help develop a business partner relationship between supervisors and SPO (as well as the agency HR office). In addition, the training should result in supervisors making better decisions as they engage in the human resource functions of their jobs.

HR Certificate Training Program –This professional development program includes mandatory and voluntary components for all those in HR related positions, and will be built into the Promotion standards for the State’s Human Resources career ladder occupational series. The Human Resources Certificate Training Program will be taught by a wide range of experienced HR and SPO staff and administrators who have the necessary expertise. The business partners’ philosophy will be a fundamental part of the Human Resources Certificate Training Program. As HR staff (in agencies and in the SPO ranks) become better trained in the full range of HR areas (rather than in narrow specializations) it is expected that there will be a decrease in the number of grievances, problems, questions and crises confronting SPO staff. In turn, the expertise of SPO staff will be focused much more on *preventing problems* through training, rather than *dealing with problems* that result from lack of training.

In Year 1, the five “foundation classes” of the Human Resources Certificate Training Program will be attended by all 205 HR staff and administrators in an effort to introduce the Business Partner Approach into the culture, and to break down traditional “stovepipe” organizational structures. Implementing that training effort would involve the following:

- a. All 205 HR staff will take 6-7 days of training (the foundation classes of the HR Certificate Training Program);
- b. Each class will need to be offered 10 times in Year 1 in order to limit class size to about twenty;
- c. If SPO chooses to have classes designed by consultants, the first three sessions of each class could be co-facilitated by the consultant along with designated SPO and HR staff who would become familiar with the training materials. The remaining seven sessions of each class would be taught by the trained HR and SPO staff;

- d. Consultant costs are based on developing 6-7 unique training days, taught 3 times by consultants at a minimum cost of \$1500 per day. Thus, the total consultant fees would be \$27,000-\$31,500. Those costs would be in Year 1 only; and,
- e. SPO and HR staff who are preparing to take on training would attend at least two classes taught by consultants (once as a participant and once as a co-facilitator) and then conduct the training in the remainder of the seven times it is offered in Year 1. Total trainer days for SPO and HR facilitators would be 48 – 56 days.

The benefits derived from the resources invested in these training programs (both financial and human) are expected to greatly outweigh the costs. For example, more effective supervision could greatly reduce cost of labor grievances; more knowledgeable agency HR staff could be more proactive in preventing or addressing HR related problems; more cross-functional collaboration in SPO could increase efficiency. Effective measures of such benefits should be incorporated into the overall plan and shared with relevant stakeholders periodically.

Action Step 3.2: In order to provide incentives and rewards for achieving higher-level training, build the Human Resource Certificate Training Program into Promotional Standards for HR positions. Build *HR for Supervisors* into Promotional Standards as appropriate.

- Leader – Peggy Henry
- Method – Review all HR positions for appropriate inclusion of the HR Certificate Program in promotion standards. Review supervisory and management positions for appropriate inclusion of *HR for Supervisors* in promotional standards. Make changes as deemed appropriate.
- Timeline – Fall 2003

Recommendation 4: SPO should implement a system of agency accountability (e.g. Delegation Agreements) with selected agencies in order to permit agencies to exercise delegated authority while being held accountable for outcomes to SPO.

The purpose of Delegation Agreements with selected agencies is to permit agencies to exercise delegated authority (e.g. for employment testing, re-classifications, and other responsibilities currently residing with SPO) while being held accountable for outcomes by SPO. This recommendation is likely only to be appropriate for larger agencies with well-established HR functions that desire to exercise more direct authority over HR operations in exchange for agreeing to undergo accountability audits by SPO.

One outcome to be achieved through such an effort would be an increase in the ability of agencies to achieve their missions and goals due to more HR authority being carried out at the agency level. Measures of agency accountability might include number and nature of grievances, as well as audit indicators related to the correct implementation of merit rules, regulations, and collective bargaining agreements at the agency level.

Action Step 4.1: Review Merit Rules statutes to identify any necessary revisions related to delegation of authority to agencies.

- Leader – Dana Jefferson
- Method – Circulate proposed changes to applicable stakeholders for review and comment
- Timeline – Summer 2003

Action Step 4.2: Seek necessary changes in Merit Rule Statutes and other regulatory structures in order to implement delegated authority agreements with agencies, including high levels of accountability.

- Leader – Lisa Blunt-Bradley
- Method – Seek review and approval from the Merit Employee Relations Board (MERB)
- Timeline – Summer 2003

Action Step 4.3: Establish and implement the Delegation Agreements and accountability systems with selected agencies.

- Leader – Dana Jefferson
- Method – Following models such as Utah's Delegation Agreements (see Appendix II), establish a delegation and accountability system for Delaware to be incorporated into the SPO Procedures Manual
- Timeline – Summer 2003

Action Step 4.4: Results of delegated authority should be monitored and evaluated by staff or other independent authority capable of conducting audits, evaluations, and making recommendations about the program's future.

- Leader – Dana Jefferson
- Method -- Since this is a compliance function, the staff member should not be a member of the Business Partner Team since the success of that team depends upon a collaborative relationship between SPO and the agencies rather than a compliance-oriented relationship.
- Timeline – Immediately following implementation of Delegation Agreements and ongoing thereafter

After about two years, the program of Delegation Agreements should be evaluated to determine whether it has achieved the desired outcomes.

Based on that evaluation, a decision might be made to expand or to discontinue the program.

Recommendation 5: In order to enhance experience of job seekers and speed up process of filling vacant positions, eliminate most employment testing.

While maintaining overall validity of selection process and the basic tenets of a merit system, the remaining 38 employment tests should be reviewed to determine which can be replaced with an alternate selection device. According to our study, employment tests in Delaware are a significant impediment to the hiring process because they slow down the process of filling positions, do not always enhance the quality or fairness of the hiring process, and may present a significant logistical barrier to job seekers. In addition, it has not been possible for SPO staff to keep the tests as up to date as desired, and this poses a potential legal liability in the use of the tests. Various options should be considered to replace those employment tests that can be eliminated, and these should be selected based on how well they will serve to accomplish desired outcomes. Those outcomes might include a) reducing time from job announcement to final selection, b) improved hiring decisions as indicated by reduced turnover and/or supervisor satisfaction with hire, c) reducing staff costs to revise, validate, and implement tests.

Other states have dramatically reduced employment testing as a screening mechanism. The Commonwealth of Virginia stopped using employment testing for entrance criteria approximately 20 years ago. This was due primarily to the perception of cultural-bias in the exams. The Commonwealth relies heavily on knowledge, skills and ability listings (KSAs), pre-screening, and interviewing for selection criteria. However, for positions requiring typing/word-processing, specific “skills” tests are applied. North Carolina eliminated testing for positions that were not mandated by the federal standards at least 20 years ago. Like the Commonwealth of Virginia, North Carolina relies on KSAs, pre-screening and panel interviews, primarily in the selection of professional positions. No longer using employment testing for selection as a criterion, the State of Florida’s selection process is based on job analysis of the position, KSAs, pre-screening, interviewing and, in some cases, work sample exercises.

Our recommendation is to keep only those written tests that cannot be effectively replaced by a task-based Training and Experience (T&E) evaluation process. A leading expert in T&E evaluations, Charles F. Sproule³ who designs and conducts T&E rating seminars for the IMPMAAC, indicates that there is very little likelihood of a successful legal challenge to T&E evaluations because these have withstood the test of time. Only broad, general minimum degree or diploma

³ Charles F. Sproule, Sproule & Associates Personnel Assessment Consulting Services, 641 Cambria Avenue, Harrisburg, PA 17111 sproule@sprouleandassociates.com

requirements have been challenged successfully. He further indicates that a task-based T&E assessment would be the most efficient way to automatically screen applicants for most job classifications. While the behavioral consistency method of T&E evaluation is superior to the task-based method, the process is too lengthy and time consuming to be used for all job classifications. The task-based T&E evaluation or rating approach is one that can be partially automated with the implementation of a new on-line application system that includes coordinated systems for receiving, screening and tracking applicants.

Where employment tests are deemed to be preferable to T&E evaluations of applicants (e.g. when they serve as a necessary gateway into entry level jobs involving very large numbers of applicants with little or no expectation of previous training and experience) we recommend that SPO consider purchasing the tests from a reputable national vendor who can supply accurate measures of validity. Obviously, it would be necessary to determine that the national test content is consistent with the Delaware job content, but this could be a far more efficient, cost-effective and up to date method than SPO is able to provide now. In general, however, it is anticipated and recommended that the employment tests would be replaced by training and experience (T&E) evaluations, and that SPO staff time and resources previously spent on developing and administering tests would be redeployed and realigned toward achieving the key strategic goals SPO identifies when implementing Recommendation 1.

Automating a rating system by adopting a new on-line application, applicant screening and tracking system does not present opportunities for a legal challenge to the T&E evaluation system itself. The only question would be whether the automated system is any less reliable than human screening of the same resumes. In developing the automated system (e.g. selecting the key words for the system to seek out in the application and resume) the issue of reliability should be addressed by having subject matter experts provide those key words (not just SPO generalists), and by having the applicant self-report qualifications for the specific criteria being used. The result will be a faster, more efficient, more reliable, and more valid screening tool.

The IPA research team could find no examples of any legal challenges resulting from such a change, or any indications that such challenges might be forthcoming. However, since these automated systems are quite new, there is also no research evidence on the reliability of automated screening. Therefore, having applicants self-report their qualification for the specific criteria being utilized in the screening process enhances the likelihood that an automated screening process will not overlook a qualified candidate. As with any self-reporting system it will be essential to confirm all qualifications through the interview process.

Action Step 5.1: Establish a Task Force made up of SPO staff, agency staff, and employee or union representatives as appropriate to review the remaining 38 employment tests for possible elimination by substituting task-based T&E evaluation.

- Leader – To be appointed by Lisa Blunt-Bradley
- Method – Assess effectiveness of current test against expected effectiveness of alternative screening methods based on experiences of other states with similar positions.
- Timeline – Completion by mid-2004

Action Step 5.2: Where elimination of employment test is deemed appropriate by the Task Force, make all necessary modifications in selection process to reflect the chosen alternative screening and selection procedure.

- Leader – Co-leaders from SPO and related agency representative involved in hiring specific position
- Method – Choose screening and selection method deemed appropriate to the job and found to be successful by other hiring authorities.
- Timeline – Have alternative screening and selection procedures in place within one month of decision by Task Force to eliminate specific employment test.

Action Step 5.3: Evaluate outcomes associated with new methods of screening and selection.

- Leader – To be appointed by Lisa Blunt-Bradley
- Method – Collect evaluation data (e.g. time needed to fill vacant positions, satisfaction of job seekers, quality of hires, satisfaction of hiring managers) and evaluate outcomes associated with the new methods of screening and selection
- Timeline – Baseline data should be gathered before elimination of employment test, and evaluation data gathered and analyzed on an ongoing basis after the new methods are instituted.

Recommendation 6: Enhance “client friendly” dimensions of job counseling services for job seekers in terms of the types of assistance provided and the accessibility of those services. Consider partnering with other agencies in order to provide more access points for job seekers and reduce the burden on the SPO Employment Services staff.

Job counseling for prospective applicants for State jobs is done primarily in the Dover and Georgetown offices, and job seekers are encouraged to make appointments for such counseling. These logistical barriers discourage potential candidates from seeking job counseling, and could be depriving the State of Delaware of highly qualified job applicants.

Action Step 6.1: Establish Task Force to explore possibilities of offering job counseling for State jobs in Department of Labor (DOL) offices throughout the state.

- Leader – Dana Jefferson
- Method -- A Task Force consisting of representatives from all stakeholder groups – SPO, state agencies, Department of Labor, and job seekers – should be charged with determining whether providing job counseling through DOL sites would more effectively reach job seekers throughout the state.
- Timeframe – Fall 2004

In addition to utilizing DOL sites, other options for reaching potential job applicants should be explored by the Task Force. The Task Force membership should include all stakeholder perspectives, and should be in existence no longer than two months. It should explore options, make recommendations to the Director of SPO, and then cease to exist.

Action Step 6.2: SPO (and Department of Labor if appropriate) would take responsibility for implementing changes, and evaluating results.

- Leader – Dana Jefferson
- Method – Build evaluation standards into on-going SPO performance measures
- Timeframe – Fall 2004

The desired outcomes of more client friendly job counseling might include a) increased number of qualified job applicants, b) increased satisfaction of job seekers with their ability to access job counseling. (See Logic Model B in Appendix I for an example of an outcome measure utilizing *JobLine*.)

Recommendation 7: Establish a single, strong executive leader to fully integrate PHRST into SPO, including assuring that all HR systems (e.g. applicant tracking system) are fully integrated with PHRST in order to avoid duplication of data entry and lack of access to information.

This recommendation was made to clarify SPO's ownership and leadership of the PHRST system, as well as to enhance the functionality of PHRST. Desired outcomes might include a) elimination of all duplicate data entry into systems that do not interface with PHRST, b) reduced cost and time associated with an upgrade to the web-based version of PeopleSoft. It appears that SPO's "French Vanilla" project is working on elimination of many of the current 170+ modifications to PeopleSoft in preparation for upgrading to the web-enabled

version planned for 2004. We encourage continued support for the work of that project.

Action Step 7.1: Eliminate all or most of the existing modifications in Delaware's PeopleSoft system on which PHRST is based, in preparation for upgrade to web-based version.

- Leader – Lisa Blunt-Bradley
- Method – “French Vanilla” project methodology should continue to be followed
- Timeline – Spring 2003

Action Step 7.2: Examine PeopleSoft functionalities that could be adopted with the next upgrade to determine if any of these could replace aging or redundant systems in SPO (e.g. applicant tracking system).

- Leader – Lisa Blunt-Bradley
- Method – Involve staff from units currently using systems being considered for replacement.
- Timeline – Complete work sufficiently in advance of PeopleSoft upgrade in order to assure a smooth transition.

Recommendation 8: Replace the current applicant tracking system with one that interfaces with PeopleSoft and the on-line application system. The system should have applicant tracking capabilities that are accessible directly by the hiring managers, as well as the capability of receiving resumes on-line or by fax. The system should also have capabilities in automated applicant screening, for example through task-based T&E evaluations.

We recommend that all decisions made about application and applicant tracking systems keep in mind the necessary interfaces to PHRST. While the current applicant tracking system is on its last legs, it would be “penny wise but pound foolish” to invest in another stand-alone applicant tracking system that does not interface with PHRST. SPO might be able to wait until the upgrade to the new version of PeopleSoft to change the applicant tracking system as well as the on-line application process. To the job seeker and to the hiring manager, these systems should be seamless.

Desired outcomes associated with an on-line application system and an automated applicant tracking and screening system might include a) positive experiences of job seekers resulting in more and/or better quality applicants; b) achieving greater consistency and validity in T&E evaluations, c) improved access to applicant information for hiring managers, d) elimination of all duplicate data entry from job application through tracking and selection.

Action Step 8.1: Establish a Task Force to select and implement an automated applicant tracking and screening system that fully interfaces with PHRST, as well as serves to enhance the capacity to automate the initial screening of job applicants.

- Leader – Dana Jefferson
- Method -- Task Force members should represent Employment Services, Agency HR staff, hiring managers, and PHRST in order to assure that the system meets the needs of all parties.
- Timeline – Coordinate with decisions regarding the PeopleSoft upgrade (which could include Applicant Tracking functionality)

Action Step 8.2: Implement new applicant tracking system, including all interfaces with PHRST, training for agency staff, and utilization of functionalities such as task-based T&E screening to aid hiring managers.

- Leader – To be appointed by Lisa Blunt-Bradley
- Method – Work with relevant stakeholders and align actions with the EDP to assure smooth transition to a new system
- Timeline – Simultaneous with upgrade to web-based PeopleSoft system

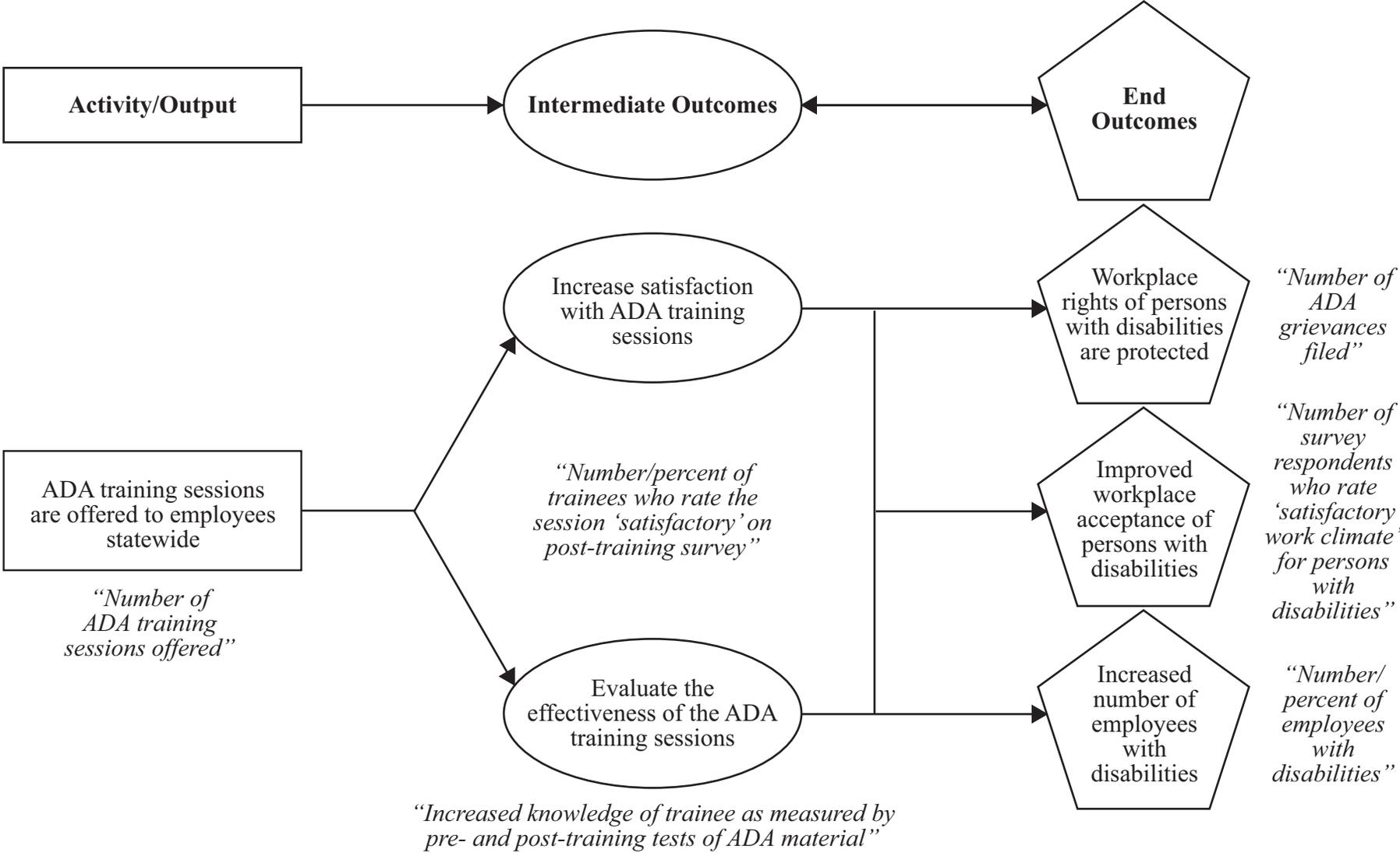
Conclusion

Since the IPA research team began working on *Phase I* of this project nearly a year ago, there have been substantial downturns in state revenues and a renewal of the hiring freeze. While these can be discouraging times for SPO staff (and all state employees) we believe they also offer an opportunity to work on enhancing personnel processes in the many ways suggested in this report. In many cases these activities can be carried out without any additional outlay of dollars, and judging from the experiences of the many other entities that have implemented similar changes, the payoffs will be dramatic. We encourage SPO to undertake this challenge.

APPENDIX I: EXAMPLES OF LOGIC MODELS

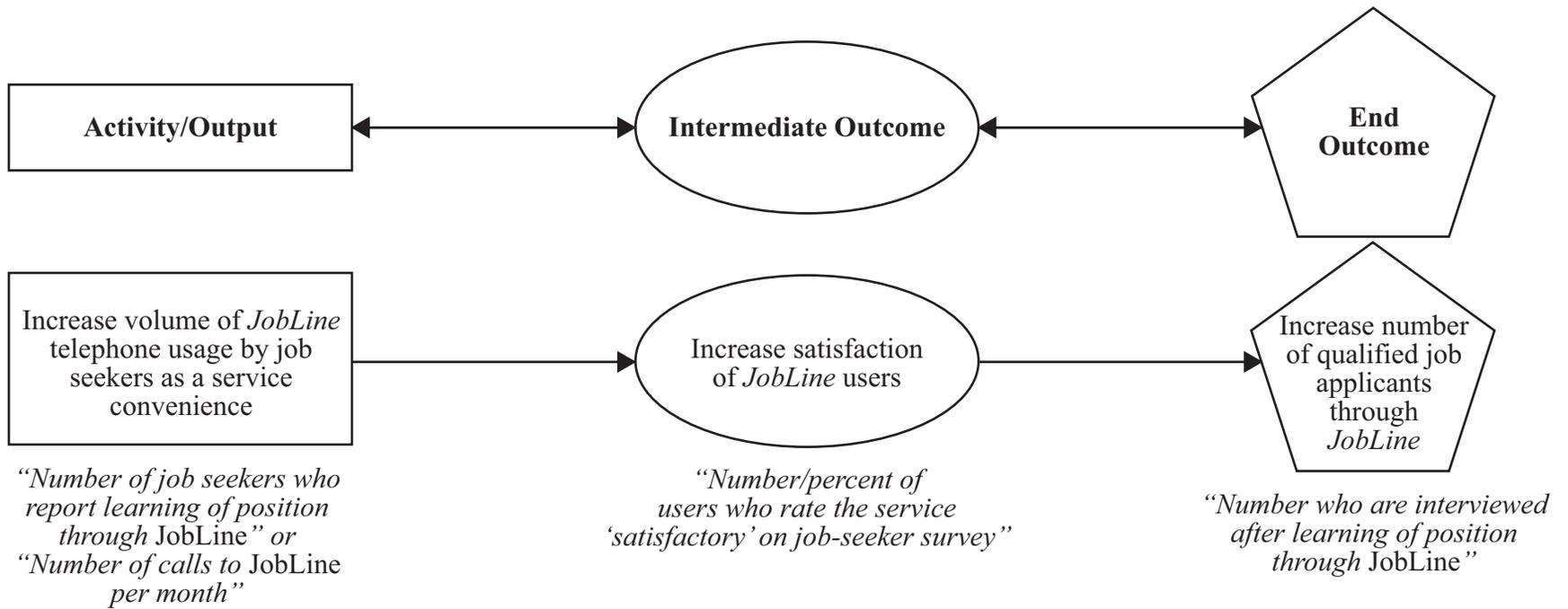
Logic Model A: Employee Relations Objective 2

Implement ADA training for the benefit of state employees.



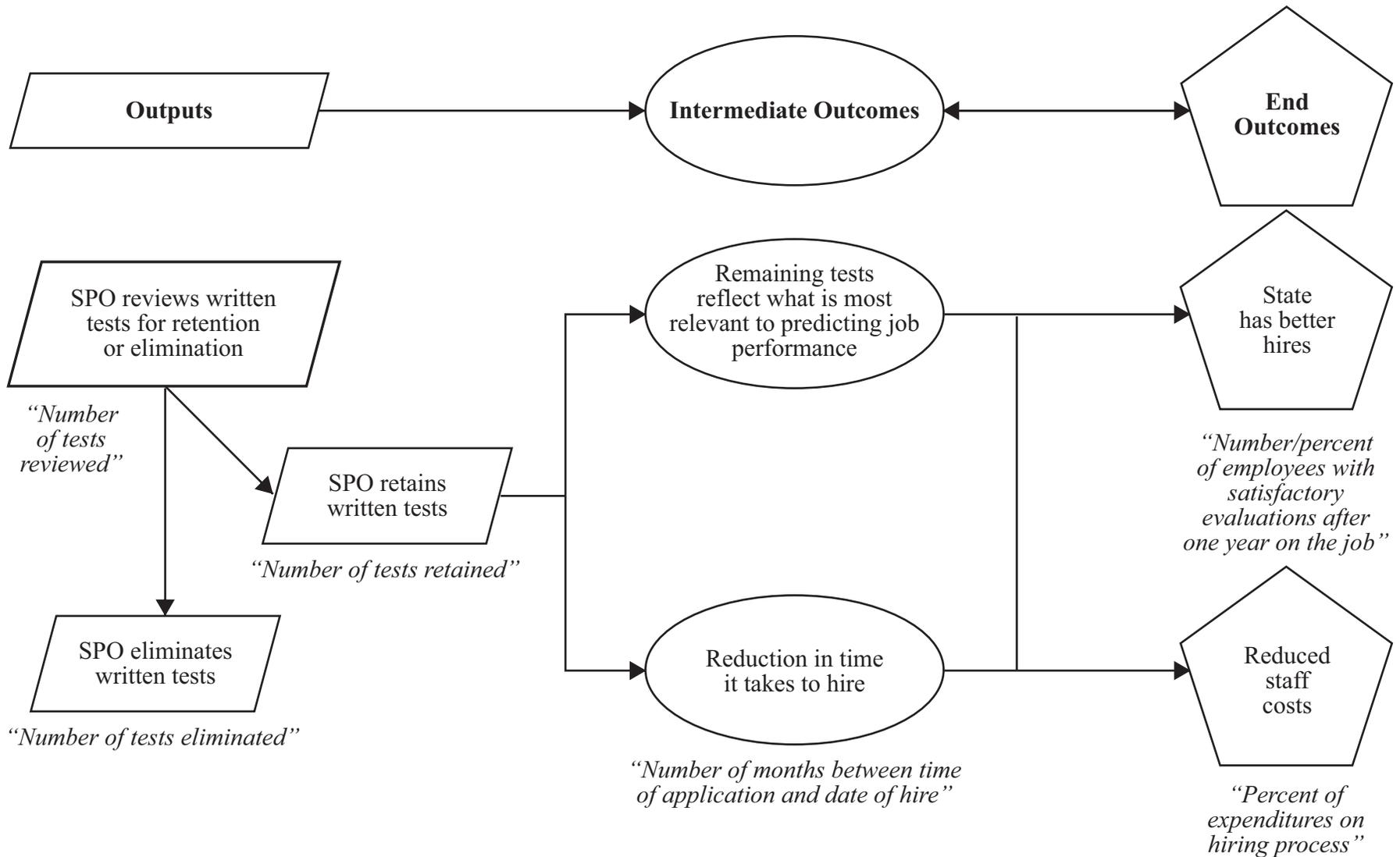
Logic Model B: Employee Services Objective 3

Through marketing efforts, increase volume of 24-hour *JobLine* telephone usage by job seekers as a service convenience and staff productivity measure.



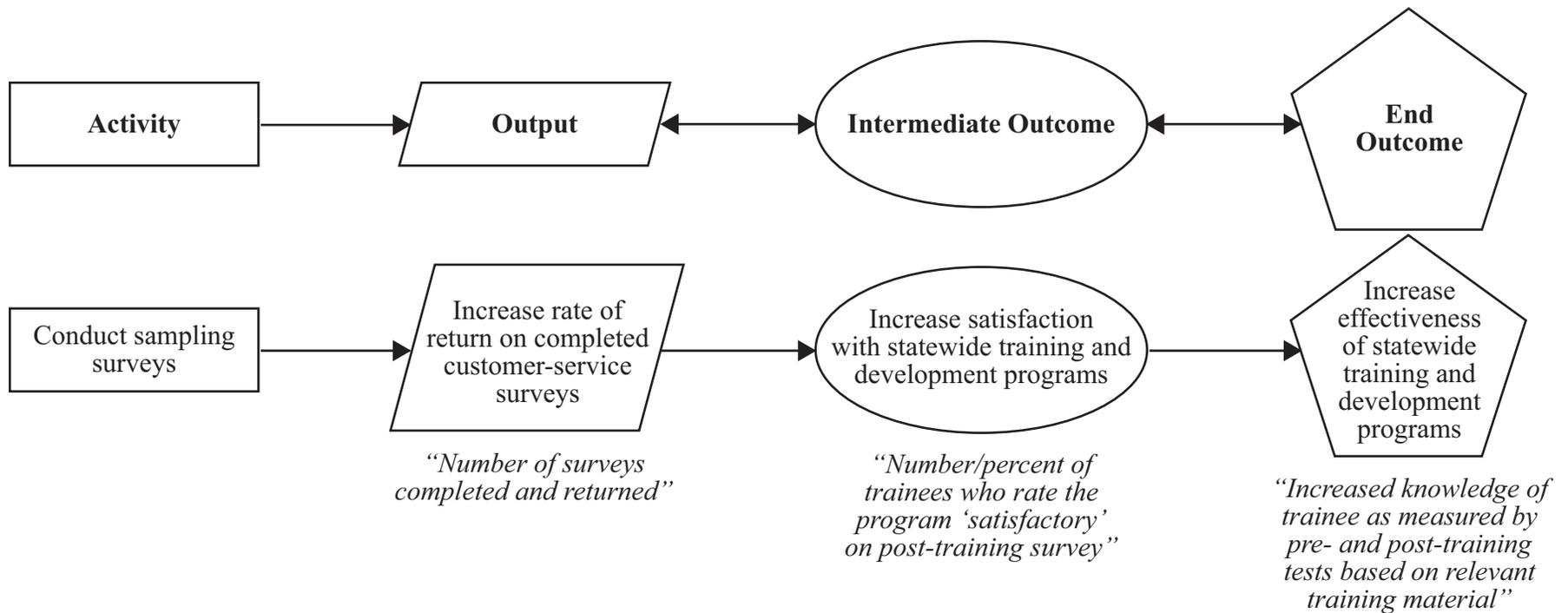
Logic Model C: Employee Services Objective 4

Through application of the Zero-based Job Testing Initiative, review all remaining written tests for retention or elimination.



Logic Model D: Training and Development Objective 2

Implement a customer-service survey to measure the effectiveness of statewide training and development programs.



APPENDIX II: CONTRACT DELEGATION AGREEMENT, STATE OF UTAH

CONTRACT DELEGATION AGREEMENT UTAH DEPARTMENT OF HUMAN RESOURCE MANAGEMENT

- 1 **CONTRACTING PARTIES:** This contract agreement is between the Utah Department of Workforce services, (hereinafter referred to as the “Agency” and the Utah Department of Human Resource Management (hereinafter referred to as “DHRM”)
- 2 **PURPOSE:** To conform to statutory requirements (Code UCA 67-19-10). To strengthen the state human resource program, maintain statewide consistency, and increase the flexibility, accountability and responsibility of the Agency by allowing it to perform specified human resource functions on its own behalf.
- 3 **CONTRACT TERMS:** June 29, 1998 through July 1, 2001
- 4 **DHRM RULES AND REGULATIONS:** The above named Agency agrees to follow all current DHRM business practices and policies, rules, regulations, standards and procedures
- 5 **PERFORMANCE PLAN AND EVALUATION:** The Executive Director of DHRM shall provide input into the performance plan of the agency HR Director, regarding the specific named functions and standards that the agency agrees to in this document. This evaluation shall also include other issues such as identifying and solving agency HR problems, active participation in solving statewide HR problems, general cooperation and general support of DHRM. An official evaluation of the Executive Director shall be submitted to the Agency Head, and shall become part of the annual performance evaluation. The Agency Head shall complete the overall rating
- 6 **UTILIZATION OF HUMAN RESOURCE ENTERPRISE (HRE) AUTOMATED SYSTEM:** The Agency agrees to use and support HRE in accordance with DHRM approved business practices and standards
- 7 **AGENCY INTERNAL POLICIES AND PROCEDURES:** The Agency agrees to develop and follow internal policies and procedures consistent with DHRM rules and business practices.

The following specific functions are delegated to the Agency:

A. CLASSIFICATION:

The Agency shall:

- a. Determine organizational structure
- b. Assign duties and responsibilities to employees
- c. Develop the annual performance plans and job descriptions
- d. Recommend position classification, draft job descriptions, appropriate position schedules, FLSA designation, and safety sensitive status
- e. Assist DHRM in classification studies when requested
- f. Notify employees of classification change.

STANDARDS TO BE MET IN PERFORMANCE OF EACH FUNCTION ABOVE:

- a. The Agency shall provide DHRM with a current organization chart.
- b. The Agency shall ensure that a current performance plan is on file for employees consistent with DHRM rules, policies, standards and current business practices.
- c. Classification recommendations shall be consistent with DHRM approved classification criteria.
- d. Skill requirements in job descriptions shall be consistent with DHRM rules, policies and procedures, standards and current business practices.
- e. Underfill shall only be used consistent with DHRM rules, policies and procedures, standards and current business practices.
- f. Employees shall be notified of their classification change within 10 working days of effective date.

B. COMPENSATION AND FAIR LABOR STANDARDS ACT:

The Agency shall:

- a. Recommend salary range allocations for jobs unique to the Agency.
- b. Manage overtime and related work time issues and documentation including completion of FLSA front-end agreements by every FLSA non-exempt employee, and comply with Fair Labor Standards Act (FLSA).
- c. Ensure salary offers for new employees and re-hires, and the utilization of administrative salary actions is within DHRM rules, standards, policies and procedures.

STANDARDS TO BE MET IN PERFORMANCE OF EACH FUNCTION ABOVE:

- a. The Agency is prohibited by law from conducting and collecting salary survey and benefit data. (Code 67-19-__)
- b. Justification for administrative salary increases/decreases shall be in writing, approved by the agency head

C. BENEFITS:

The Agency shall:

- a. Provide a benefit orientation to all new employees eligible for benefits.
- b. Provide information about changes made to the benefit plan to agency employees.

STANDARDS TO BE MET IN PERFORMANCE OF EACH FUNCTION ABOVE:

- a. New Employee Orientation shall be completed consistent with DHRM rules, standards, policies and procedures.
- b. Employees shall be notified of changes in benefits consistent with DHRM rules, standards, policies, and procedures.
- c. COBRA information and exit interview will be completed consistent with DHRM rules, standards, policies, and procedures.

D. SELECTION AND PLACEMENT:

The Agency shall:

- a. Provide equal opportunity to applicants to be informed of, apply for, and be considered for career service positions.

STANDARDS TO BE MET IN PERFORMANCE OF THE FUNCTION ABOVE:

- a. The following activities will be conducted in accordance with DHRM rules, standards, policies and procedures:
 - Selection and placement
 - Job seeker evaluation
 - Job analysis
 - Development, administration and maintenance of selection devices
 - Construction of hiring lists
 - Documentation
 - Promotion
 - Reduction in force

E. HUMAN RESOURCE DEVELOPMENT:

- a. The Agency shall participate with DHRM in statewide training programs and provide specific training and development opportunities for their employees. Utah Code 67-19-6. (2) gives authority for statewide training and DHRM Rule R477-10-3 governs the establishment of department HRD programs.

STANDARDS TO BE MET IN PERFORMANCE OF THE FUNCTION ABOVE:

- a. The Agency shall appoint a training representative to participate on the state Human Resource Development Training Consortium to develop statewide training programs.
- b. The Agency shall have a comprehensive training plan.
- c. The Agency shall keep records of all human resource development activities in which their employees participate. Training activities shall be entered on the HRE Training Records Management System consistent with DHRM rules, standards, policies and procedures and business practices.
- d. The Agency shall participate in the Certified Public Manager training program, or shall provide for their supervisors and managers alternative management training that meets agency

approved performance proficiencies, in order to ensure that all supervisory staff has training to support professional knowledge and skills. (Governor Executive Order, 30 May 1995).

- e. The Agency shall provide sexual harassment prevention training to all employees. (Governor Executive Order, 17 March 1993 and DHRM Sexual Harassment Prevention Standards).

F. RECORDS ADMINISTRATION

The Agency shall:

- a. Ensure that records are properly maintained.

STANDARDS TO BE MET IN PERFORMANCE OF THE FUNCTION ABOVE:

- a. Agency records shall be created, managed, secured and released in accordance with DHRM policies

8. ADMINISTRATIVE AUDITS:

DHRM will perform periodic compliance review. Failure to remain in compliance with the terms of this agreement may result in the cancellation of this contract. If there is any conflict between the personnel policies of the Agency and the personnel policies required by DHRM, those required by DHRM shall take precedence. The Agency shall provide documentation and access to appropriate records upon request.

SIGNATURES

IN WITNESS WHEREOF, the parties hereto do hereby sign this contract and cause it to be effective.

AGENCY DEPARTMENT DIRECTOR

DATE: _____

AGENCY HUMAN RESOURCE DIRECTOR

DATE: _____

EXECUTIVE DIRECTOR DHRM

DATE: _____

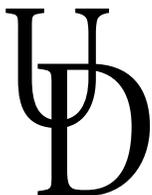


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