

WEST VIRGINIA  
Department of

# Health & Human Resources



OFFICE OF HUMAN RESOURCES MANAGEMENT

2013 Transition Report



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## Director's Welcome

The following document will provide an update concerning the Strategic Human Resources Plan developed by the Office of Human Resources Management (OHRM) for the West Virginia Department of Health and Human Resources (DHHR). This plan was initially prepared by OHRM in the spring/summer of 2010. It was presented for implementation to the top 3% of DHHR's leadership via a PowerPoint presentation at the Department's annual Leadership Conference in October 2010. The plan is designed to ultimately address the underlying human resources deficiencies (ie. workforce instability and employee management defects) that are driving DHHR's personnel problems (ie. absenteeism and performance shortcomings) and detracting from the effectiveness of DHHR's service delivery.

Some revisions have been made to the plan during the three years it has been in implementation. This update will indicate those adjustments. Nevertheless, the fundamentals of the plan remain intact, including the reasons for its development, the approach it follows and the goals and objectives it is designed to achieve. The information provided here will also report on the status of the plan's implementation by presenting a status report from each of OHRM's five organizational sections, in which they report on initiatives that have been undertaken, the progress that has been made, and the work yet to be done.



The DHHR Strategic Human Resources Plan focuses on the factors impacting the human resource challenges that are internal to the Department. The most salient of those factors fall under the categories of management development, employee engagement, and employee recruitment and selection. As this update will reflect, OHRM has several initiatives in progress to deal with those issues. Despite DHHR's internal efforts, some of the factors influencing DHHR's workforce issues are external to the agency (ie. salaries, career opportunities, and processing efficiency) and will require outside assistance.

Still, as this document indicates, OHRM is committed to moving forward with strategic goals and tactical approaches in mind, in order to affect those areas which are within the Department's control and to reign in the HR deficiencies that challenge our Agency.

Harold Clifton  
Director, Office of Human Resources Management

# The Department of Health & Human Resources Strategic Human Resources Plan

## OVERVIEW

Assessment of the data related to the Department of Health and Human Resources' (DHHR) personnel and human resources activity indicates that deficiencies in the husbanding of the agency's workforce are impairing the Department's ability to effectively deliver its health and socio-economic services. Essentially, much of the Department's time and resources are being diverted to dealing with workforce inadequacies, which detracts from the application of that time and those resources toward the mission of the agency.

This determination is based on an appraisal of the Department's workforce situation conducted in 2010 by DHHR's Office of Human Resources Management (OHRM). Based on that appraisal, OHRM has developed and implemented a strategic plan to address the Agency's personnel and human resource deficiencies and reduce their negative impact on the Department's service delivery capacity.

The following report will detail the general findings of the aforementioned appraisal of the Department's human resource deficiencies, summarize the Strategic Human Resource Plan designed to remedy those shortcomings, and provide a status report on the progress made toward implementation of the plan as of July, 2013.

## ANALYSIS OF THE ISSUES

DHHR's workforce dysfunctions essentially fall into two general categories, personnel problems and human resource deficiencies. Of the two, personnel problems are more immediate in nature, involving employee performance issues and personnel processing inadequacies. A satisfactory resolution of these issues mandates a tactical approach and calls for the development of effective and efficient processes and protocols involving Department-wide standardization and consistency.

As inhibiting as these day-to-day personnel problems may be, our assessment indicates that they are in fact simply manifestations of two fundamental human resource deficiencies which have historically plagued DHHR, the instability of the workforce and the ineffectiveness of the Agency's managers and supervisors. Not only are these two deeply-rooted HR deficiencies driving DHHR's personnel problems, but they also feed on each other, leading to the perpetuation of the Department's workforce dysfunctions.

DHHR's high turnover rates, particularly in social services/protective services management and in patient care supervision, lead to the promotion of unseasoned and relatively inexperienced workers into managerial/supervisory positions. Moreover, those untested managers, for the most part, have not been provided with any management training or orientation as a prelude to assuming their new roles.

This lack of preparation for management and leadership frequently leads to an employee management approach that is not conducive to retaining the skilled and professional employees required to deliver DHHR's services, and the staff turnover problem is further compounded as a result.

## PERSONNEL PROBLEMS

As indicated above, DHHR's personnel problems stem from issues related to Employee Performance and Personnel Processing. The key factors identified in these two areas are as follows.

### *Employee Performance Issues:*

#### *Attendance/Absenteeism*

In 2010 DHHR typically lost approximately 300 work years of productivity each calendar year due to employee absenteeism. Although there were overarching rules and regulations in place providing leave and attendance control authority, at the time of this plan's inception in 2010, the Agency did not have a standard, Department-wide attendance management program.

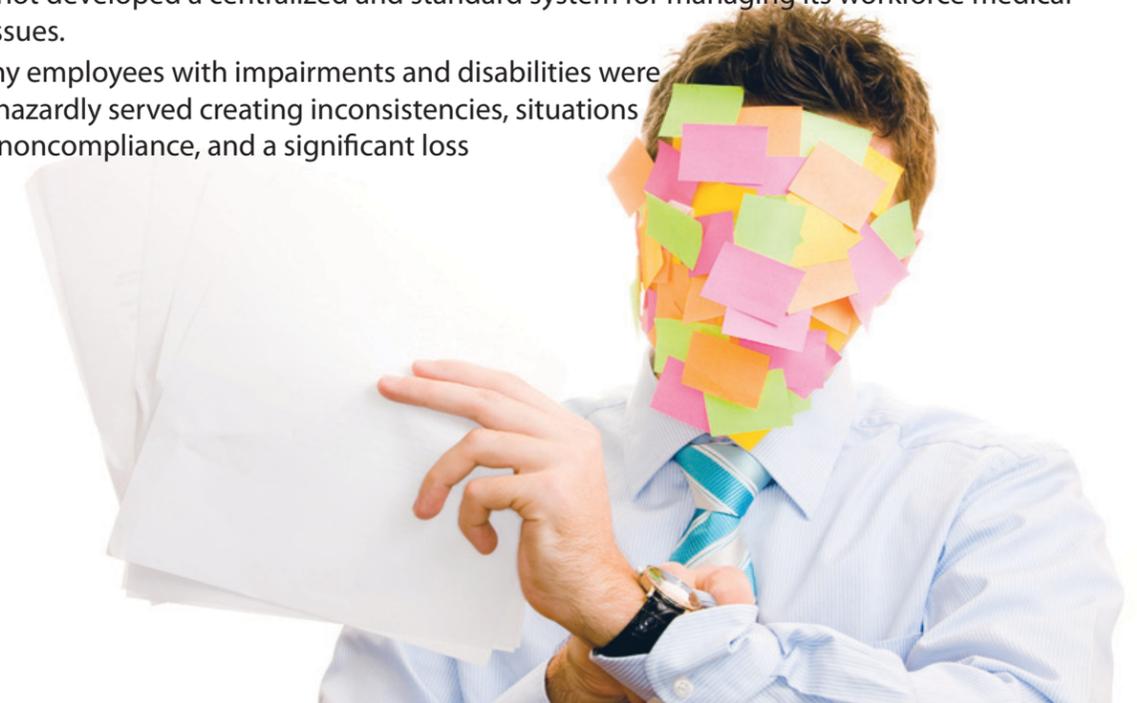
#### *Employee Conduct Issues*

A 2010 review of disciplinary actions on the part of DHHR management staff revealed that in 70% of all disciplinary situations the employee's behavior had been a reoccurring issue before any action was initiated. The review also indicated significant inconsistencies between bureaus and within respective bureaus concerning the implementation of progressive discipline. There was no mechanism in place for enforcing a Department level compliance review of disciplinary actions.

#### *Disability Management*

44% of DHHR workers are over fifty years old, and like many employers, DHHR must deal with the medical and health issues associated with an aging workforce. Furthermore, in 2010 some of DHHR's bureaus were functioning with 12% of their workforce on less-than-full-duty work restrictions. Despite the obvious need, as of that time DHHR had not developed a centralized and standard system for managing its workforce medical impairment/disability issues.

As a consequence, many employees with impairments and disabilities were often neglected or haphazardly served creating inconsistencies, situations of legal and regulatory noncompliance, and a significant loss of productivity.



## Performance Evaluation

A 2011 effort to improve the effectiveness and efficiency of DHHR's Employee Performance Appraisal (EPA) process suggested that the majority of managers were not utilizing that process to manage their subordinates. OHRM's assessment of EPA completion rates revealed that in 2010 EPAs were completed for approximately only 35% of the Agency's employees. That result indicates that a majority of DHHR employees were not informed of the expectations of their jobs or evaluated on the degree to which they did or did not meet job expectations.

## Personnel Processing Inadequacies:

### Volume

OHRM processes between 12,000 and 15,000 Personnel Action Forms (WV-11s) annually for DHHR's 6,100 position allocations. The sheer volume of that processing necessitates the greatest possible degree of accuracy in completing the forms in order to avoid disruption of personnel actions; however, prior to the implementation of this plan, 38% of the WV-11s submitted to OHRM from field locations were so fraught with errors that they had to be returned for correction. That 38% error rate does not include those WV-11s with errors minor enough to be corrected by OHRM before being forwarded on the Division of Personnel for further action.

### Organization

Prior to the implementation of this plan, DHHR's field personnel processing system consisted of approximately 100 personnel specialists and timekeepers stationed in various locations throughout the Department. These personnel had only received haphazard training in how to perform their duties. Furthermore, there was little provision for bureau-level review of their work prior to submission for final processing. That relatively unorganized and loosely structured system created a counterproductive personnel processing environment that invited errors and processing delays.

### Infrastructure

DHHR lacks the HR/Personnel infrastructure required for an organization of its size (6,100 staff allocations) and scope (\$4.2 billion in expenditures). In 2010 DHHR's Office of Human Resources Management had only 29 personnel to serve the central HR needs of the entire Agency. In comparison, the Division of Highways, with a staff allocation of 5,600, had a central Human Resources Office of 42 staff during the same time period. The understaffing of OHRM did not allow for sufficient specialization to handle the complex array of human resource and personal processing needs involved in the State Personnel system.

### Protocols

Prior to 2010, DHHR's Human Resources system lacked an established mechanism for bureau and field-level managers to obtain information, guidance, and direction about how to handle personnel and human resource issues. Consequently, many DHHR managers applied their own interpretation of complex rules and regulations, sought answers from their peers and colleagues, or circumvented OHRM and contacted the State Division of Personnel on their own. That environment led to inconsistencies within the Department concerning employee management and personnel processing as well as many situations of noncompliance.

## HUMAN RESOURCE DEFICIENCIES

As mentioned, DHHR's Human Resources deficiencies are at the heart of the Department's workforce challenges. No real and permanent progress in addressing the agency's workforce inadequacies can be made until these chronic and fundamental issues are resolved. As also indicated earlier, DHHR's Human Resource deficiencies are comprised of two major ailments, Workforce Instability and Ineffective Management.

### Workforce Instability

No other statistic is more indicative of the instability of DHHR's workforce than the volume of Personnel Action Forms (WV-11s) processed annually for the Agency.

To grasp the significance of that volume, one must first understand that WV-11s are only processed to implement a change in the relationship between the Agency and the employee.

Although some of those relationship changes are related to disciplinary actions and salary changes, the vast majority of WV-11s processed for DHHR employees indicate that the employee has either come to work for the Agency, changed positions within the Agency, been placed on a leave of absence, or has left the Agency's employment.

The fact that DHHR typically processes between 12,000 and 15,000 WV-11's annually indicates a workforce that is constantly in motion. Simple logic will indicate that it is extremely difficult to achieve consistent and effective service delivery from a workforce that is almost constantly in motion.

Although a general view of DHHR's workforce may imply wholesale staffing commotion, a clearer understanding of the situation requires more specific analysis. While there is some degree of workforce instability throughout the agency, the bulk of the staff movement and turnover is centered in five key positions related either to patient care or to socio-economic services. The 2010 turnover rates for those positions are as follows:

- **Child Protective Services Worker turnover was 25%.**
- **Child Protective Services Worker trainee turnover was 37%.**
- **Economic Services Worker turnover was 20%.**
- **Nurse II turnover was 10%.**
- **Social Services Worker III turnover was 21%.**

Although efforts to deal with the instability of DHHR's workforce must be comprehensive and Department-wide, the statistics above indicate that these five positions must take high priority in any staff retention effort.



## *Ineffective Management*

As we have previously mentioned, the staff turnover situation and the deficiencies in employee management have a mutual negative impact on each other. In what become a damaging cycle, high turnover begets the promotion of unseasoned managers, which in turn contributes to an unrewarding work environment that perpetuates staff turnover.

DHHR has approximately 1,000 mid-level managers and approximately 1,200 line supervisors. Between 1998 and 2011 DHHR did not offer any preparatory orientation or training to transition new managers into their roles. Many of those currently serving in one of the 2,200 mid-level management or line supervisory positions were victims of that period of neglect.

The workforce instability problem is not the only factor impacted by ineffective management. Management inadequacies are also reflected in many of the other issues cited in this update. The absenteeism rates, the improper application of progressive discipline, and inappropriate management of employee disability situations are all related to supervisory and management deficiencies.

Perhaps the most revealing statistic concerning the need for improvement in managerial competence is the fact that DHHR's grievance rate has increased by 280% since 2010.



## SUMMARY OF THE PLAN

OHRM determined that due to the complexity of DHHR's human resource issues, successful resolution of them would require development and implementation of a comprehensive strategic plan. The dynamics of the plan involve the immediate application of several **tactical** initiatives to contain and reduce DHHR's ongoing personnel problems while more **strategic** programs are developed and launched to ultimately address the management deficiencies and stabilize the agency's workforce. The dynamics of the plan involve multiple factors and can be divided into two overarching approaches:

- A Systems Improvement approach that requires tactical maneuvering.
- A Workforce Enhancement approach that calls for strategic initiatives.



# SYSTEMS IMPROVEMENT

The Systems Improvement approach requires us to address both Employee Management and Personnel Processing.

## Employee Management

The operative factors in improving the effectiveness of the management of DHHR's employees are consistency and compliance. Specifically, progressive employee management involves the development and application of systems and processing that assure consistent treatment of employees in compliance with the rules, regulations and laws that govern the state and national labor force. To meet that objective this plan calls for enactment of the following measures.

- Progressive Discipline:** Develop and establish standard processes and practices regarding the application of the progressive disciplinary process throughout DHHR that will assure non-discriminatory and effective treatment of employees requiring corrective action.
- Attendance Management:** Implement Department-wide attendance management controls and procedures to identify leave abusers and remedy DHHR's chronic absenteeism rate.
- Disability Management:** Centralize the handling of DHHR's employee disability situations (ie. medical leave, workers' compensation, FMLA and ADA issues) within OHRM to guarantee appropriate and compliant administration of those circumstances.
- Equal Employment Opportunity (EEO) Compliance:** Initiate a system concerning the Agency's EEO compliance obligation that will:
  - Train and educate workers and managers about their responsibility to manage and serve employees and clientele in a respectful and non-discriminatory manner.
  - Provide a mechanism to receive, respond to and remedy employee and clientele EEO complaints.
- Workplace Safety:** Develop and enforce policies that set standard practices and expectations regarding worker safety and workplace behavior to reduce injuries and diminish hostile and violent worksite situations.

## Personnel Processing

Endeavors to improve DHHR's personnel processing network and repair the Agency's personnel processing deficiencies will need to focus on making incremental improvements to both accuracy and efficiency. Efforts to accomplish those goals will require multiple components falling into the two general categories of *Accuracy Improvement* and *Communication Effectiveness*.

## Accuracy Improvement

- Personnel Process Training:** Provide an ongoing program of training courses for the Agency's one hundred-plus personnel and human resources staff that enhances and updates their skills and job knowledge.
- Annual HR Conference:** Initiate the practice of holding an annual conference for all of DHHR's staff who handle the Agency's human resource and personnel issues. The conference should function as a seminar to update HR/personnel staff on new approaches to their work, inform and instruct them regarding changes and revisions to state personnel processes, procedures, rules and regulations, and provide opportunities for networking and relationship development.
- Specialization:** Reorganize the OHRM Employment Services Unit to provide subject matter experts and specialists in the various personnel processing functions. This effort should be especially concerned with the drafting of position descriptions, the posting of job vacancies and requests for employee discretionary pay increases.

## Communicative Effectiveness

- Human Resources Infrastructure:** Develop sufficient human resource staff within DHHR to serve the Agency's human resource needs. This will involve the addition of dedicated human resource positions assigned to strategic locations within DHHR's bureaus and offices to assure human resources/personnel issues are effectively and efficiently handled.
- Protocol Development:** Establish internal and external protocols for exchanging information with key parties involved in the processing of DHHR's human resource/personnel information. The protocols should be developed in a manner to support the standardization of processes and procedures and enhance consistency in employee management.

# WORKFORCE ENHANCEMENT

The Workforce Enhancement approach calls for addressing both Employee Development and Staffing Stabilization.

## Employee Development

One of the highest priorities of Employee Development efforts regarding human resources issues will be to implement a remedial course of training to make up for more than a decade of neglect in preparing DHHR's incumbent management staff for taking on supervisory and management roles. Secondary to that will be the establishment of a long-term, continuous management training program that assures that future DHHR managers are adequately equipped to take on the responsibilities of their new roles. Concurrent with those initiatives, the employee development agenda will need to service the knowledge management needs of all DHHR staff.

**•Management Training/Leadership Development:** As indicated above, management training requires both a remedial and a proactive approach to address the needs of the neglected incumbent managers and fulfill the future requirements of both incumbent managers and new appointees.

**•Remedial Management Training:** Develop and implement a series of seminars and course work that addresses the management skill deficiencies of DHHR's current pool of managers with particular attention to those at the midlevel of the management hierarchy.

**•Continuing Preparation:** Create a permanent and continuous program of leadership/management development that:

- Identifies and grooms potential managers for future promotion into management/leadership positions.
- Provides newly appointed managers with the skills needed for their new roles as a prelude to assumption of their positions.
- Provides ongoing management enhancement and leadership development opportunities for incumbent managers.

**•Training Support:** Develop and operate an online, face-to-face and blended training delivery system to support the needs of the various components of DHHR in their staff skill development efforts, supported by policy at the Department level.

**•General Staff Development:** Provide basic staff development services to all DHHR employees to include a New Employee Orientation program, external education and training opportunities, and basic employment information.

## Staff Stabilization

The instability of DHHR's workforce is at the heart of most of the agency's human resources difficulties. It is unlikely that any of DHHR's other personnel and human resources issues can be resolved or even contained as long as the Department continues to experience so much turmoil in its staffing situation. The primary factors to be addressed in any workforce stabilization effort are the issues of retention and recruitment.

The foremost of those factors is the challenge of retention. Retaining trained and competent employees is the primary key to steadying DHHR's ever shifting labor pool; any increase in the employee retention rate will result in a decrease in the need to recruit new employees.

Because workforce instability is at the root of so many of DHHR's human resources issues and because it most directly detracts from the effectiveness of the agency's service delivery capability, it is the most challenging of all of the human resource problems this plan endeavors to resolve. Consequently, resolution of this issue will require a comprehensive effort, involving multiple and interrelated components as indicated below:

**•Employee Selection Process:** Develop and implement a scientifically based and objectively applied employee selection process that promotes the hiring of staff that are the best suited for the positions to be filled and the duties that need to be performed.

**•Employee Engagement:** Develop and implement a comprehensive employee engagement program that will enhance the effectiveness of manager/employee interaction, communication and understanding.

**•Recruitment Network:** Establish a Department wide recruitment network that is proactive and competitive in bringing talented and suitable employees into the DHHR workforce.

**•Data/Statistical Collection:** Procure and utilize a data/statistical collection and analysis system that will specifically track and analyze DHHR's employee turnover rate regarding positions, geographic location and department setting to accurately determine the nature and scope of DHHR's workforce instability issues.

**•Employee Satisfaction Determination:** Design and conduct regularly scheduled surveys and interviews aimed at identifying the factors driving DHHR's turnover situation.

**•Hiring Process Coordination:** Establish a cooperative arrangement with the Division of Personnel (DOP) to expedite the processing of prospective DHHR employees through the DOP Applicant Services and employee hiring processes.

**•Onboarding Program:** Design and initiate a Department-wide onboarding program that will facilitate the transition of newly hired employees into the DHHR workforce.

## OVERVIEW OF IMPLEMENTATION

Although the DHHR Strategic Human Resource plan is outlined in a segmented and segregated fashion, it is designed to be a comprehensive, integrated, and dynamic endeavor. No piece of this plan will by itself remedy the Department's human resource deficiencies. The Agency's workforce problems are complex and interrelated; consequently, any attempt to resolve them must likewise be comprehensive and integrated. Despite the complexity of this plan it strives to deal with the basic and fundamental issues driving DHHR's personnel problems. The assessment that prefaced the development of the plan and upon which it is built identified the base factors at the heart of DHHR's workforce issues. The plan therefore seeks to ultimately strike directly at those issues in a strategic fashion while tactically fencing off the symptoms that cause daily havoc with the Agency's functionality.

The various parts of the plan laid out above are being carried out by the five organizational sections within OHRM. While these sections all work together symbiotically to advance the overall plan, certain aspects of the endeavor naturally fall into the areas of operation of the individual sections. The Systems Improvement portion of the plan is largely being carried forward by the *Employee Management, Employment Services, and Employment Litigation* units, while the Workforce Enhancement portion is the purview of the *Employee Development and Employee Recruitment & Retention* units.

These five sections within OHRM, working in concert, have reached different stages in the implementation of their respective portions of the plan. On the following pages, each unit will describe its mission, structure, issues and challenges, and will discuss the impact they have had on moving the plan forward.

## THE OFFICE OF HUMAN RESOURCES MANGEMENT *Section Reports*



# EMPLOYMENT SERVICES

## Mission & Structure

The Employment Services (ES) section provides competent and professional assistance to all Human Resources Staff by focusing on the Department's most valuable asset, its employees. The section provides Human Resource direction, technical assistance, and training to Human Resources Coordinators, managers, and supervisors involved in administering changes in employment status for the Department's employees. ES is committed to providing innovative services that will allow for process improvements and increased effectiveness and efficiency. The section plays a vital role in partnering with the Bureaus to develop and identify solutions and restructure and redesign the Agency's personnel services.

## Organization

As indicated in the plan summary, one of the chief elements of the plan to deal with personnel processing issues has been to increase the level of specialized expertise within Employment Services. This has largely been accomplished by reorganizing ES into two specialized units, the Personnel Operations unit and the Personnel Transactions unit.

**Personnel Operations** deals with the following issues:

- Back wages and Settlement Agreements
- Classification and Compensation
- Job Postings, Positions Descriptions, Pay Plan Implementations
- Increment Pay
- State Personnel Board Proposals
- Liaison to the Governor's Office and Division of Personnel
- Special Projects such as the PLANS Project

**Personnel Transactions** deals with the following:

- Processing Transactions for DHHR's 6,000 employees:
- Dismissals
- Leaves of Absence & Leave Returns
- Resignations of Employment
- Salary Adjustments
- Funding Source Changes
- Suspensions
- Transfers
- Temporary Employment

## Issues & Challenges

This section of OHRM faces the same challenges that confront OHRM as a whole. The constantly moving workforce has made it extremely difficult to standardize processes and effectively communicate protocols and procedures to the Agency's human resource and management staff.

This deficiency is being addressed through the development of a Human Resources Infrastructure that has placed central HR directors within each of the bureaus who work cooperatively with OHRM to more effectively communicate policy and procedure to field-level staff. While this has already led to some clear improvements in the flow of information, more direct accountability to OHRM on the part of these bureau HR contacts would perhaps serve to enhance OHRM's ability to implement some of the key personnel processing changes outlined in this plan.

Another clear challenge facing Employment Services is one that impacts all of OHRM -- a lack of easily accessible historical data related to HR metrics. The fragmented nature of the Department's data-keeping systems have made it difficult for ES to easily track key metrics related to personnel processing issues. The implementation of an HR data tracking system under OHRM would mitigate ES's dependence on other organizational units outside OHRM and would enhance the unit's ability to measure this plan's true impact on key HR metrics.

## STRATEGIC PLAN

As mentioned in the plan summary, the Employment Services long-term plan is focused on the following objectives and goals.

- Improve the accuracy of the Agency's personnel transaction processing through:
  - Training
  - Annual HR Conference
  - Specialization
- Increase the effectiveness of communication between OHRM and bureau HR staff through:
  - Creation of HR Infrastructure
  - Protocol Development



Regina Dayfield  
Assistant Director, Employment Services

# IMPACT & OUTCOMES

ES has had some early successes in implementing its portion of the plan. Through the establishment of a number of personnel processing training programs, we have reduced the Agency's overall transaction processing error rate from 38% in 2010 to 18% today.

These *training programs* include the following.

- WV-11 and Leave & Attendance Reporting System (LARS) Training
- Online LARS training
- WV-11 on-site training at DHHR facilities
- Internal cross-training to establish backup when needed
- Annual DHHR Human Resources Conferences

Additionally, the reorganization of Employment Services into two specialized units has led to improvements in the timeliness and efficiency of the Agency's personnel processes. The two units within Employment Services have each taken some significant steps to move the plan forward.

## *Personnel Processing:*

- Implemented centralization procedures to improve the timely processing of back wages
- Required written justification for filling vacant positions, allowing OHRM to assign criticality to job postings prior to submission to the Governor's Office, thereby reducing the number of corrections required
- Centralized processing of annual increment pay from the field office to Employment Services, leading to efficiency improvements saving over \$10K in the first year
- Centralized initial and final review and approval of position description forms and discretionary increase forms prior to submission to the Division of Personnel

## *Personnel Transactions:*

- Initiated 24 hour turn around for all WV 11 processing
- Improved processes for tracking the progress of each transaction
- Added leave and attendance auditors at each work location to ensure accuracy
- Improved processing of leave and tenure accruals for off-payroll employees
- Enhanced workers' compensation buy-backs to reimburse department for payments to off-payroll personnel
- Converted personnel files to electronic format for on-site storage, to avoid data warehousing fees

As indicated by the significant reduction in the Agency's transaction processing error rate, these steps are having a marked impact. Working in concert with the other sections within OHRM, Employment Services remains committed to continuing this record of improving the Agency's efficiency and effectiveness. We believe that continuing to carry forward the plan while working to address our aforementioned challenges will lead to even greater improvements in standardizing and stabilizing DHHR's personnel processing issues.



# EMPLOYEE MANAGEMENT

## Mission & Structure

The mission of the OHRM Employee Management Section (EM) is to ensure that all employees are treated in a fair, consistent manner and are afforded due process in disciplinary proceedings; to guarantee fortification in EEO and Civil Rights related affairs; and to provide support to Attendance Management, Disability Management and Leave of Absence Programs such as Workers Compensation, Family Medical/Parental Leave, and Medical and Personal Leaves of Absence.

## Organization

EM is divided into three overarching units:

- **Performance Management**, dealing with disciplinary matters, absenteeism, and Employee Performance Appraisals (EPAs)
- **EEO/Civil Rights**, dealing with investigations, ADA accommodations, and Civil Rights training
- **Disability Management**, dealing with workers' compensation, leaves of absence, and safety & loss control



Julie Thomas  
Interim Assistant Director, Employee Management

## Issues & Challenges

Although each of Employee Management's units faces unique challenges, there are some common issues that affect the entire section, if not all of OHRM. As mentioned in the plan summary, there has been little consistency throughout the Department in the way employee management issues are handled, creating vast disparities from bureau to bureau or even between different offices of the same bureau. Additionally, as with other personnel issues, there are no relevant data collection methods, requiring the unit to use ad hoc data collection methods. Lastly, the unit primarily serves the bureaus in an advisory capacity and lacks any real mechanisms for enforcing compliance with established policies and procedures.

Some of the specific challenges facing each of EM's units include:

### **Performance Management:**

- Ineffective channels of communication
- Home-grown policies/procedures not in compliance with State or DHHR policies
- Non-compliance with legal authorities
- Excessive absenteeism within the bureaus
- Lack of accountability from bureau management

### **EEO/Civil Rights:**

- Ineffective channels of communication
- Insufficient ADA compliance
- Inattention to EEO/Civil Rights issues

### **Disability Management:**

- Ineffective channels of communication
- Lack of familiarity with workers' compensation among management staff
- High premiums
- Extended leaves of absence
- Medical leaves granted when ineligible
- Incorrect type of medical leaves granted
- Lack of proper notice of leave rights
- Employees not returning timely from illness/injury
- Employees on restricted duty for years with no improvement

# STRATEGIC PLAN

In accordance with OHRM's overall plan, Employee Management has worked to centralize functions within OHRM to ensure consistency and compliance with State and DHHR policies and procedures and to ensure fair and equal treatment of all employees.

Some specific improvements being implemented by the various units within the Employee Management section include the following.

## **Performance Management:**

- All disciplinary actions affecting employees' property rights must be vetted through Performance Management. We review disciplinary letters to ensure compliance with applicable law and consistent application.
- All Employee Performance Appraisals are routed through Performance Management to ensure compliance with policy.

## **EEO/Civil Rights:**

- All requests for ADA accommodations must be referred to EEO/Civil Rights. We work with supervisors to facilitate the interactive process to ensure the rights of employees with disabilities are protected.

## **Disability Management:**

- All workers' compensation claims filed/managed by a single point of contact for all employees, managers, and insurance personnel with expertise in workers' compensation claims.
- Reduce our experience modifier, thereby reducing our premiums.
- Manage claims to reduce costs and return employees to work in timely manner.
- Employees to receive their benefits quickly, but question benefits to which they employees are not entitled.
- Ensure employees are placed on the appropriate type of leave for their medical situation.
- Reduce the amount of time employees are off of work by better management of leave.
- Place employees in alternative positions to avoid time off-payroll.
- Work conditioning/hardening
- Job modifications
- Continue to research ways to keep employees safe and reduce workplace injuries.

# IMPACT & OUTCOMES

Centralization has helped the Employee Management Section reconnect with the field. Given OHRM's lack of enforcement authority, EM has worked hard to establish a reputation as a valuable resource that can help managers and supervisors navigate the minefield of employment law and policy.

Each of the units can count a number of successes in moving the OHRM Strategic Plan forward:

## **Performance Management:**

- Reduced the length of the monthly off-payroll report from 30 pages to 6 pages by addressing those employees on unauthorized leave to ensure proper disciplinary actions were being taken.
- Created and maintained 25 template letters to be used by bureau management staff when taking disciplinary actions; these are updated regularly to include changes in legal authority and to improve clarity.
- Raised completion of Employee Performance Appraisals for DHHR employees from approximately 35% to 96% through the implementation of a tracking and review system for EPAs.

## **EEO/Civil Rights:**

- Established improved lines of communication with field offices to improve understanding of Civil Rights/EEO issues.
- Developed enhanced online Civil Rights training program through DHHR's Distance Learning program.

## **Disability Management:**

- Reduced DHHR's Workers' Compensation Experience Modifier\* from 2.03 in 2008 to 1.28 in 2013, a 37% reduction over the past five (5) years.
- Reduced workers' compensation premiums by over \$1 million in the past five (5) years.
- Worked to reduce employee time off-payroll by correcting leave type, ensuring timely processing, and referring employees on unauthorized leave to Performance Management for disciplinary action.
- Facilitated workplace safety improvements, including replacement of patient lift equipment in hospitals and replacement of aging flooring with non-slip surfaces to reduce accidents

\* The Experience Modifier (or E-Mod) is based on an individual employer's actual incurred loss experience compared to average losses of similarly classified businesses. The resulting modification factor is used to adjust workers' compensation rates to reflect the expected loss experience of an insured. An e-mod factor <1.0 reduces annual premiums, while an e-mod factor >1.0 increases premiums.

The Employee Management Section has made great strides in centralizing and standardizing Performance Management, EEO/Civil Rights, and Disability Management. EM remains committed to working with OHRM's other units as well as with all of DHHR's bureaus and offices to improve the efficiency and effectiveness of the Agency's employee management.

# EMPLOYMENT LITIGATION

## Mission & Structure

The Employment Litigation Section (EL) is dedicated to providing high quality, creative and result-oriented legal services to OHRM and to DHHR, producing effective and practical solutions to employment-related problems in all aspects of human resources development. The Section envisions that all employees are treated fairly and respectfully within the constraints of law and policy, so that employee contributions are maximized, employee morale is high and the citizens receive excellent services.

*The Employment Litigation Section serves three broad functions:*

- Processing DHHR Employee Grievances
- Overseeing other employment-related litigation
- Providing general legal services to OHRM

The **Grievance Unit** within EL is insulated from other functions, as those staff members must remain objective and unbiased in hearing and deciding Level One grievances. Staff process all Level One employee grievances with authority delegated from the Cabinet Secretary, in compliance with W. Va. Code §6C-2-1 et seq. The Grievance Evaluator is an experienced, efficient attorney. That unit also tracks and monitors higher level grievance litigation, bringing to the attention of the Assistant Director any unusual or exceptional cases.

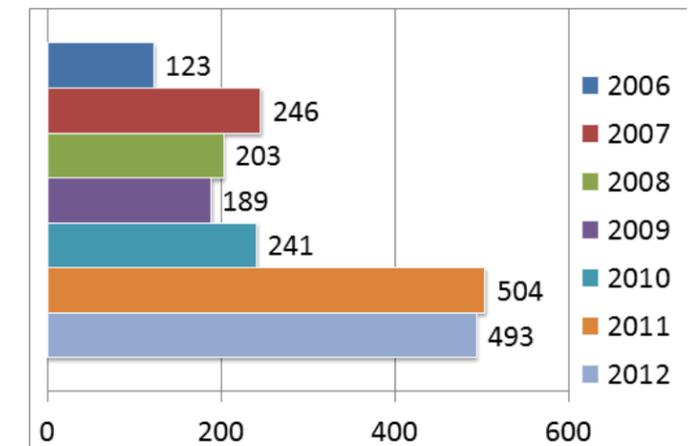
The **Litigation Unit** staff attorney is responsible for overseeing workers' compensation claims litigation and other human resources administrative litigation and appeals, acting as liaison with litigation counsel to ensure that appropriate strategies are developed and pursued, and that proper attention is given to priority litigation. This ensures appropriate DHHR staff remain informed on the status of litigation, and litigation counsel are assisted as needed, in order to minimize harm to the Department's interests and maximize productivity and efficiency in delivery of services. This attorney also serves as the OHRM Privacy Officer.

The **Assistant Director/General Counsel** and the Litigation Unit staff attorney provide other general legal services, including policy and procedure analysis, interpretation, and consultation. One of the section's primary duties is to be knowledgeable of and stay abreast of changes to HR law & policy, and to advise OHRM personnel of changes and developments, such as grievance board or court decisions. They locate and summarize existing legal standards, and provide advice on interpreting and applying HR law and policy in the workplace.

Attorneys assist in developing, revising & retiring DHHR policies. They review records requests for sufficiency, content, & confidentiality issues. The OHRM General Counsel coordinates and consults with General Counsel, the AG's Office, and/or insurance panel counsel regarding HR-related litigation and issues.

## Issues & Challenges

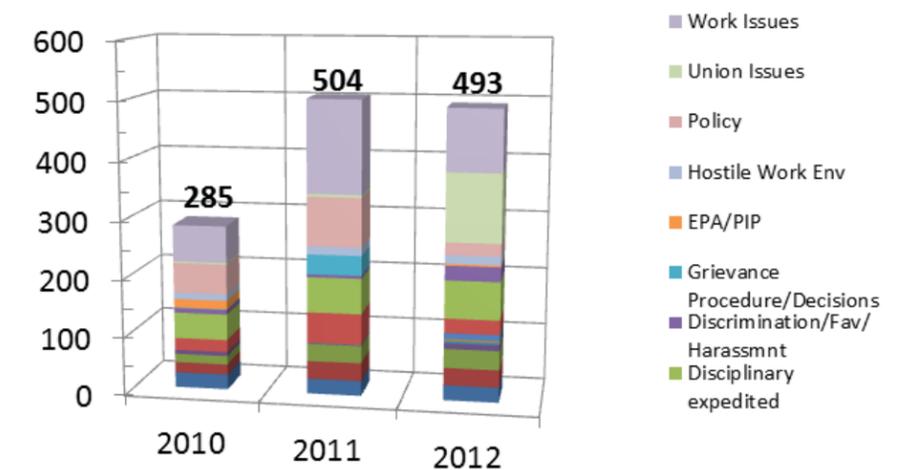
Total number of Grievances per Year



The volume of grievances being filed by employees creates burdens throughout the agency. In years past, the Agency employed 2 attorneys and 2 support staff to hear and decide a much smaller number of grievances. Since that time, the number of grievances has increased drastically. However, a single attorney has been able to handle the Level One grievances adequately, due in part to leveraging videoconferencing capabilities rather than traveling around the State to conduct proceedings on-site. Any further increase in number of grievances will need to be addressed with additional FTE grievance evaluators.

In addition to staff-to-volume challenges, a major challenge is the age and obsolescence of DHHR's videoconferencing equipment. The videoconference units have begun to fail, and replacement parts are not commercially available. Currently, some units are cannibalized to keep other units functional. Replacement videoconferencing capability is urgently needed.

Grievance Totals by Issue

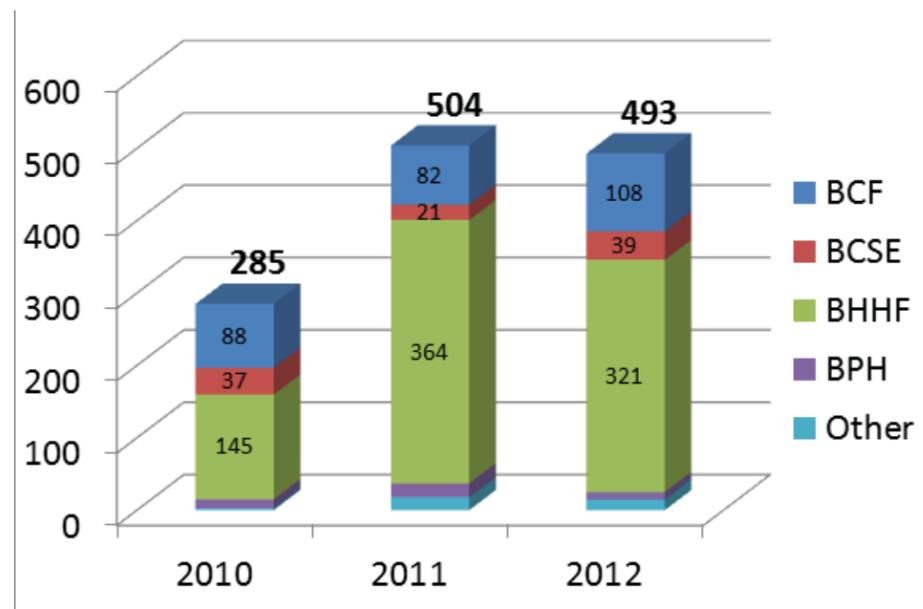


Jennifer Meeks  
Acting Assistant Director, Employment Litigation

# STRATEGIC PLAN

The Employment Litigation Section has been collecting detailed information on grievances and workers' compensation litigation for several years now, and the data is a useful tool indicating potential problem issues and locations. While there are no simplistic causes or fixes, there is data showing, for example, that the BHHF hospitals, primarily Sharpe and Bateman, consistently rank high as locations where employees file grievances, and also that these locations experience a high volume of serious injuries.

Total Number of Grievances by Bureau



The data enables DHHR to identify places to direct resources, in order to assess and address potential problems. The data is expected to also reflect improvement over time, due to numerous factors including management training and safety improvement initiatives.

# IMPACT & OUTCOMES

By compiling and analyzing data, the Employment Litigation Section of OHRM have helped focus efforts and expenditures on locations and issues that are objectively shown to have high levels of negative activity. The same efforts can also be used to validate the impact of other OHRM activities, such as management training and other efforts to improve the workplace atmosphere, safety, and employee engagement, by reflecting a downward trend in grievances and injuries over time.

# EMPLOYEE DEVELOPMENT

## Mission & Structure

The DHHR Employee Development (ED) Section's mission is to provide proactive quality, practical, and innovative employee development services to attract, develop, motivate, inspire, and retain an excellent and diverse workforce within a supportive work environment that strengthens the mission of the WV Department of Health and Human Resources.

As facilitators of learning within DHHR, ED offers tools, guidance, and consulting services to the bureaus and offices that enable the enhanced delivery of programmatic, compliance-based, and soft skills training Agency-wide. In addition, the ED section is tasked with delivering comprehensive management and leadership training to DHHR in order to enhance the quality and caliber of DHHR's management staff.

## Organization

ED is divided into two units, the *Classroom Training Unit* and the *Technical Development & Distance Learning Unit*, each comprised of a manager and three training staff. The unit is supported by an administrative professional who assists the director and the two managers.

## Issues & Challenges

As detailed in the plan summary, the Department's employee development efforts present a number of challenges. Among the greatest challenges faced by OHRM's Employee Development unit are the following:

- No centrally organized formal management training for 10 years
- No existing training policy or guidelines on DHHR employee development
- Around 1000 DHHR mid-level managers with an urgent need for management training
- Lack of a reliable data collection & tracking mechanism



Verena Mullins  
Assistant Director, Employee Development

# STRATEGIC PLAN

- Short-term and long-term solution to address management deficiencies through training
  - Annual Leadership Conference
- Proposed DHHR Training policy and framework

The immediate necessity for comprehensive management training is being addressed by the implementation of two programs:

- Long Term:** The DHHR Management University
- Short Term:** The DHHR Management BootCamps

## Executive Core Qualifications

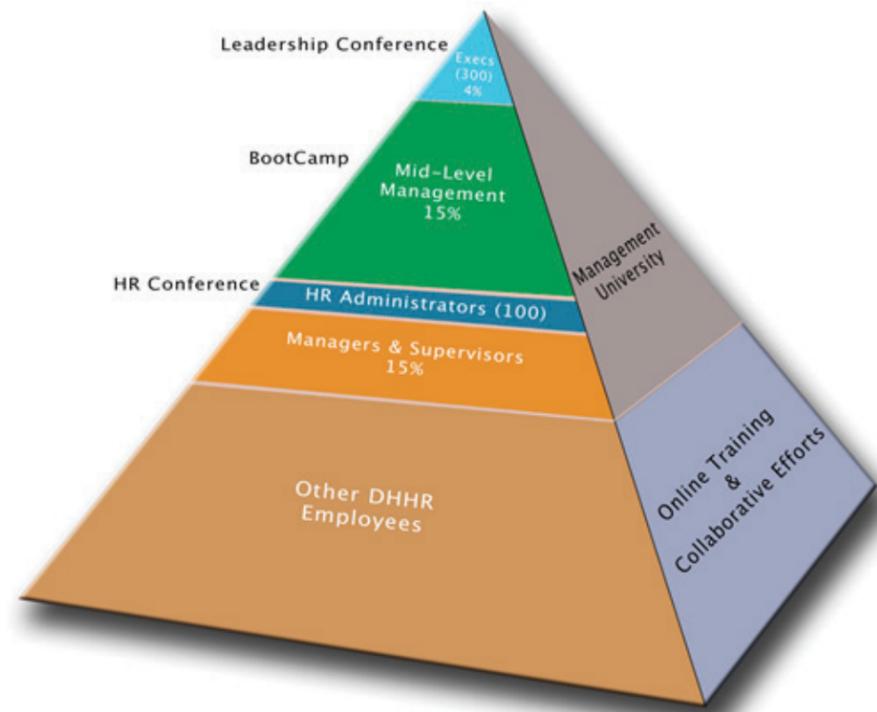


All learning and development activities sponsored and/or provided by the DHHR Employee Development Section are based on the Federal Office of Personnel Management's Executive Core Qualifications (ECQs).



## Overview

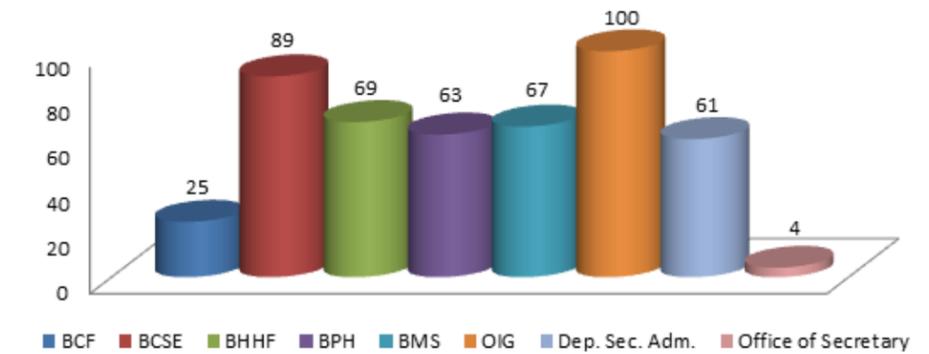
The structure of Management University provides a DHHR-tailored, ECQ-based, comprehensive leadership development curriculum for current and aspiring DHHR managers and leaders, with courses delivered face-to-face, online, and in blended formats. Comprised of both a curriculum of coursework and a series of annual events, the Management University framework is designed to address the training needs of all levels of the Agency's management staff.



## Employee Development Training Framework

Part of DHHR Management University and the short-term solution to DHHR's urgent training needs is the Management BootCamp Training Framework, a three-part series of intensive and condensed workshops for DHHR mid-level managers, designed to improve and balance participants' skills essential to effective management.

Participation by Bureau based on % of Allocation Slots Used

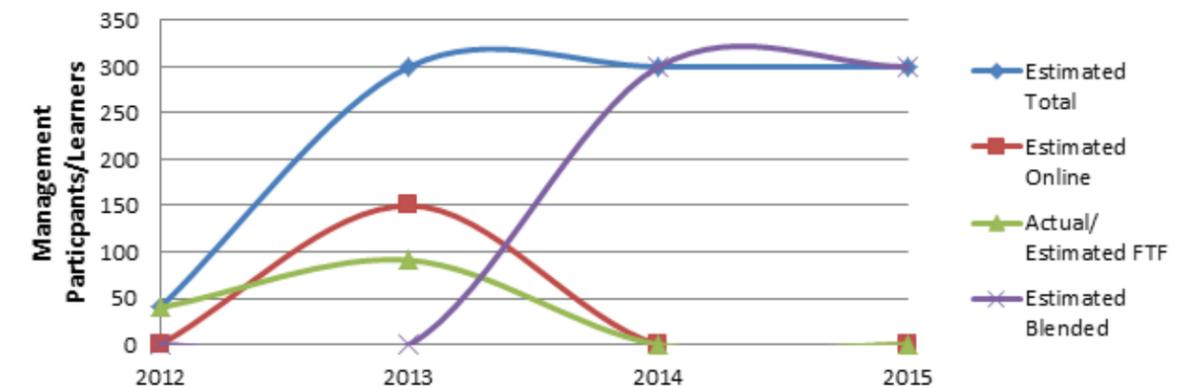


There is a clear trend toward blended learning as the BootCamp program touches the mid-level managers in DHHR and comes to a conclusion in 2015.

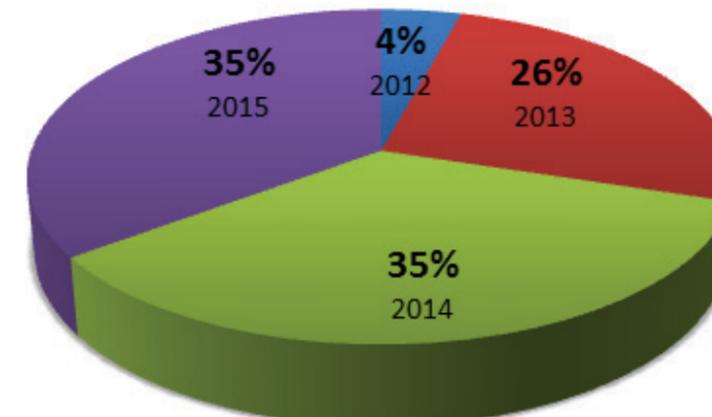


By 2015, a total of 1,000 targeted mid-level managers will have been trained via the Management BootCamp program.

Actual & Projected Bootcamp Completion



% of DHHR Mid-level Management Trained Annually



## Training Policy

To institutionalize a DHHR-specific, effective training framework designed to build a DHHR corporate culture that drives for results, serves customers, and builds successful teams and coalitions within and outside the organization, ED has developed a proposed comprehensive training policy for all levels and areas of the agency.

This policy is ready for review and recommendation from the Cabinet Secretary's Office.

## IMPACT & OUTCOMES

Notionally, verbal feedback and data that we have gathered from surveys tend to indicate that the training is appreciated and useful but due to the lack of a reliable HR data tracking system, ED has not yet been able to draw a clear link between desired outcomes and its training programs.

### EXPECTED OUTCOMES:

- Reduction in staff turnover
- Improvement in employee satisfaction and engagement
- Enhancement of productivity
- Improvement in delivery of DHHR services to both external and internal customers

## Training Program Standards

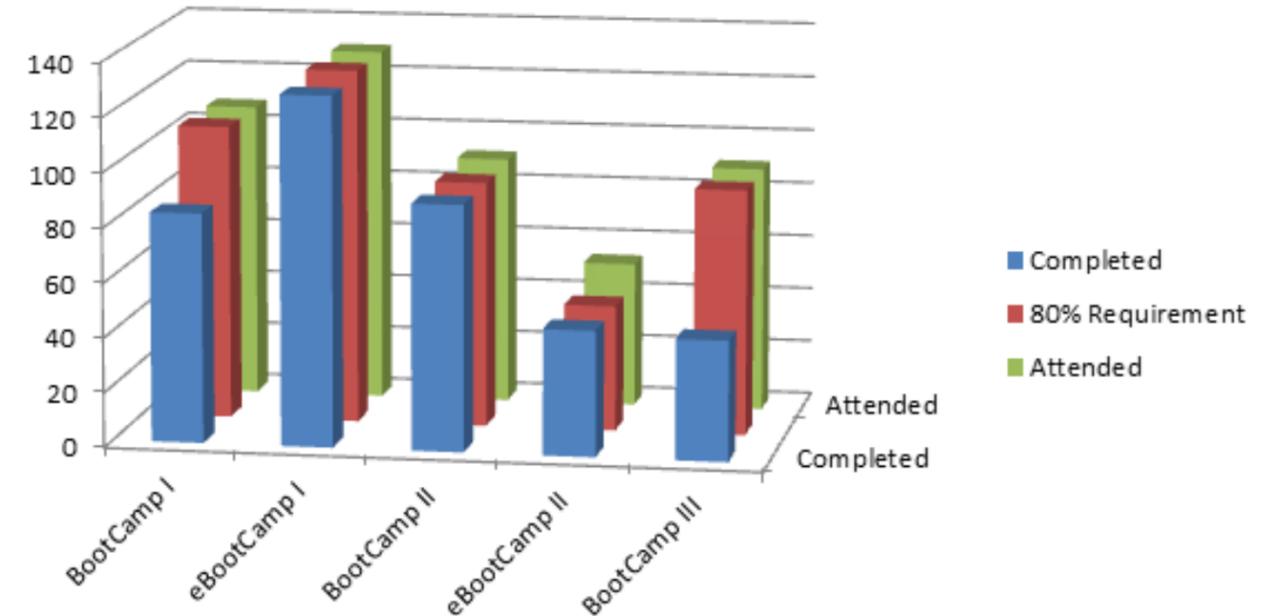
DHHR Employee Development provided training programs are SMART:

<b>S</b> pecific	balanced within and based on the Executive Core Qualifications (ECQs)
<b>M</b> easurable	impact is measured through Action Plans, Impact Maps, surveys, and multi-level commitments to bring about positive change. Data is collected to measure metrics such as turnover rates, job satisfaction, and key performance indicators
<b>A</b> ttainable	supported at all levels of DHHR, provided in various formats via face-to-face, online, and blended learning opportunities
<b>R</b> elevant	tailored to DHHR's mission, goals, objectives, and environment
<b>T</b> ime-Bound	All training programs are completed within specified time-frames to maintain currency, relevance, and attainability

## Job Transfer

Transfer of Learning refers to learning in one context and applying the new knowledge to another or, in our case, it refers to the capacity to apply newly acquired knowledge and skills to the work environment or to "the real world." For the Management BootCamps, ED has attempted to bridge the transfer from learning to application through the use of Action Plans and Impact Maps as final projects.

**BootCamp Completion**  
(note: the initial eBootCamp III is scheduled for August 2013)



ED is currently in the process of determining if the observable indicators (ie. reduced turnover, decreased absenteeism, and a reduction in the number of grievances) are a result of OHRM's training efforts or of some external factors. In time the unit will be able to gather more data concerning expected outcomes and work to validate whether or not any changes in HR metrics are due to the aforementioned training programs.

The Employee Development unit remains committed to moving forward with OHRM's long-term plan and to providing DHHR's management and supervisory staff with the training they need to better perform their essential leadership roles.

# EMPLOYEE RECRUITMENT & RETENTION

## Mission & Structure

The Employee Recruitment & Retention section (ERR) was created in 2011 due to the need for a coordinated effort in addressing DHHR's recruitment & retention issues. The section is designed to help build a stable, effective and efficient workforce for DHHR through creative and consistent recruitment efforts and retention programs designed to support and assist DHHR employees in being successful in their positions.

*Employee Recruitment & Retention has three separate but inter-operative units:*

- Recruitment
- Retention
- The Educational Reimbursement & Leave Program

The section consists of six allocated positions. Of these six allocations, three are currently filled and three remain vacant at this time.

Stephanie Burdette  
Assistant Director, Employee Recruitment & Retention



## Issues & Challenges

The staff stabilization issues mentioned in the plan summary present the foremost challenges for the ERR section. In addition to the circular nature of the turnover problems caused by ineffective management and supervision, there are a number of other factors directly challenging ERR's ability to affect recruitment and retention within the Department.

### No Established Candidate Pools

- No previous candidate information retained or tracked
- No historical data on recruitment efforts
- Application Process – 1 to 6 weeks to be placed on register
- Timeliness of Hiring Process
- Pay rates are non-competitive with private sector and neighboring states
- No applicant tracking system within DHHR
- Lack of established career paths and advancement opportunities
- Damaged public image

### High Turnover/Unstable Workforce

- Lack of historical retention data
- Current data collection not sufficient
- Exit Survey database – data unusable
- No dedicated staff to assist in data collection and technical development of new programs
- No dedicated staff to work with new, additional retention initiatives/ programs
- Lack of established career paths and advancement opportunities

# STRATEGIC PLAN

## Recruitment Goal:

### Provide DHHR with suitable candidates by...

- Building effective means for tracking recruitment data
- Establishing partnerships with institutions of higher learning
- Ramping up campus recruiting efforts
- Attending area career fairs
- Holding bureau-specific fairs and recruiting for critical positions
- Engaging in online recruiting
- Updating DHHR's online job opportunity website
- Coordinating with OHRM Employee Development to provide hiring process training for DHHR supervisors/managers
- Initiating a New Applicant Tracking System
- Maintaining a pre-screened applicant pool
- Creating realistic job preview videos as a recruitment tool
- Working with Division of Personnel to address DHHR challenges at the state level
- Advertising EER/L program included as recruiting tool
- Creating and training a DHHR internal recruitment team

## Retention Goal: Stabilize DHHR's workforce by...

- Building effective means for tracking retention data to target our efforts and measure progress
- Establishing appropriate data collection & databases
- Exit Surveys
- Bureau-specific Employee Satisfaction Surveys
- Expanding HR Solutions job fit assessment program to all bureaus
- Implementing HR Solutions tools with all bureaus/offices for all phases of employee life cycle
- Using 360 leadership assessment tool for leadership development
- Assisting with career path options through job fit assessments
- Establishing a Department-wide onboarding process
- Furthering Departmental Succession Planning
- Partnering with bureaus for their specific needs

## EER/L Program Goal: Utilize the program as a tool by...

- Raising awareness of the program
- Growing participation of DHHR employees
- Partnering with higher education institutions to establish curricula for critical DHHR positions
- Arranging deferred tuition payments for program participants
- Reporting on program usage to bureaus

# IMPACT & OUTCOMES

## RECRUITMENT:

In 2012, the recruitment manager began using a database created to track job fair participants and began doing follow up with these candidates to help them through the DOP application process. The unit also received approval from DOP for access to the NeoGov system to track all DHHR applicants through the state personnel system.

From January 2012 to May 2013, 592 job fair attendees were provided with DHHR hiring and position information.

The unit has also updated the DHHR Job Opportunities page and currently has MIS working to get DHHR specific job postings on the website for candidates to view.

### *BCF specific assistance:*

- Created a Child Protective Service Worker (CPS) Realistic Job Preview Video for placement on DOP and DHHR Job Opportunity websites. The video will also be used in the interviewing process for BCF.
- Worked with DOP to change the CPS Trainee, Adult Protective Service Worker (APS) Trainee, and Social Service Worker classifications from DOP tested positions to rated positions. This expedites the process of having candidates added to the list of eligible candidates for hire.
- Recruitment blast to external partners resulted in 179 employment inquires for BCF CPS Worker/Trainee. The Recruitment Manager personally coached 79 potential candidates, resulting in 89 new applicants being added to the register.

## RETENTION:

### HR Solutions Program

New processes, procedures and a new hiring policy to guide the use of assessments in hiring/selection have been created. Since July 2010, OHRM began to coordinate the effort of implementing the assessments through establishing the HR Solutions Program. The program was piloted with the Office of the Inspector General (OIG), due to their smaller size and willingness to participate, and with BCF, due to their extensive retention and turnover issues. The limitations imposed by the small number of dedicated staff have delayed the roll-out of the program to other bureaus within DHHR.

The following phases have been implemented for OIG and BCF:

- Assessed all staff members using HR Solutions
- Provided statewide training on use of the assessments
- Built job performance models for all OIG titles and for the BCF field office titles
- Implemented use of the assessments for the hiring process with both OIG and BCF field offices
- Initiated development of performance models for BCF Central Office positions
- Planned a blended approach for on-going training on the assessments for new employees and managers

Following the implementation of the HR Solutions assessment program in BCF field offices, we have seen a significant decrease in the turnover rates in critical BCF positions.

Position Title	FY 2012 Turnover %	FY 2013 as of May Turnover %	Change in Turnover this past FY
Child Protective Service Worker, Trainee	70%	27%	43%
Child Protective Service Worker	35%	19%	16%
Economic Service Worker	24%	19%	5%

*NOTE: Child Protective Service Worker Trainee is an entry level position with promotion to the Child Protective Service Worker title upon successful completion of training period; however, in FY 2012 only 12.5% was promotional turnover. Promotional turnover for FY 2013 was 7.5%.*

*The ERR section estimates that with complete department-wide use of the assessments there is a predictive possibility of reducing termination frequency by 34%, which could lead to a potential reduction of the Department-wide turnover rate from 23% (FY 2013) to 15%.*

## Exit Surveys

The Retention unit has conducted an evaluation of the Department's existing exit interview process and has found no reliable way to make use of the data collected.

The unit is currently working with the Office of Management Information Services (MIS) to revamp the exit interview process in such a way that meaningful data can be retrieved.

## Employee Satisfaction Surveys

ERR began working with BCF in 2013 to create specific surveys for critical positions and to create a bureau-wide survey that will provide essential employee satisfaction data for both BCF and OHRM.

The unit plans to expand this program to each of the bureaus in order to continue collecting retention data Department-wide.

## EER/L Program

The EER/L processes and procedure were updated in 2012 to provide for a streamlining of the reimbursement process while securing the loopholes in the Educational Leave with Pay program. The program currently has 92 active applicants and has disbursed a YTD total of \$131,005.98 in educational reimbursement for 2013.

These early successes are setting the stage for moving forward with the strategic elements of OHRM's long-term plan. Despite a significant number of challenges, ERR is committed to working with OHRM's other units and with all of DHHR's bureaus and offices to stabilize the Agency's workforce through creative and effective recruitment and retention initiatives.



## CONCLUSION

As indicated in the section reports above, OHRM has made substantial progress in the implementation of its plan to mitigate the Agency's human resource deficiencies. By focusing on both day-to-day tactical maneuvers leading to Systems Improvement and on strategic plans leading to Workforce Enhancement, the Office has begun the long-term process of remedying the Agency's personnel issues.

With continued support from the Office of the Cabinet Secretary, particularly in the areas of building an enhanced HR infrastructure for the Agency, increasing bureau accountability, improving OHRM's ability to collect and analyze meaningful human resources data, and delivering critical management skills training Agency-wide, we believe we can further improve the situation for DHHR's workforce, enabling them to better carry out the Agency's mission of promoting and providing appropriate health and human services to the people of West Virginia in order to improve their quality of life.

