Office of the Auditor General

Follow-up to the 2011 Audit of the Human Resources Master Plan

Tabled at Audit Committee – October 8, 2015
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Executive Summary

Introduction
The follow-up to the 2011 Audit of the Human Resources Master Plan was included in the Auditor General’s 2013 Audit Plan.

The key findings of the original 2011 audit included:

- The City’s Human Resources (HR) Department should provide a more prescriptive and integrated approach to HR planning.
- Standardized methods and processes for medium and longer-term workforce planning should be used and that workforce data should be more formally identified and analyzed for planning purposes.
- The Human Resources Department should lead a workforce needs analysis across all departments to develop a City-wide long-term workforce plan.
- Analysis and reporting are required to support longer term workforce planning. More robust analytical and reporting capabilities would serve to enhance regular information provided to departments about their current and future workforce needs, targets and results.
- Corporate HR should lead a City-wide workforce planning needs analysis.
- The City should implement three- and five-year workforce plans and identify critical positions in all departments.

Summary of the Level of Completion
The table below outlines our assessment of the level of completion of each recommendation as of January 31, 2014.

Table 1: OAG’s assessment of level of completion of recommendations

<table>
<thead>
<tr>
<th>Category</th>
<th>% Complete</th>
<th>Recommendations</th>
<th>Number of Recommendations</th>
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<td>Little or no action</td>
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</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>9</td>
<td>100%</td>
</tr>
</tbody>
</table>
The table below outlines management’s assessment of the level of completion of each recommendation as of December 10, 2014 in response to the OAG’s assessment. These assessments have not been audited.

**Table 2: Management’s assessment of level of completion of recommendations**

<table>
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<tr>
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**Conclusion**

At the time of this follow-up work, we found that 44% of the recommendations could be considered substantially complete or complete. The remaining 66% remain in progress with either little or no action or action initiated.

Human Resources should continue to implement the remaining recommendations and establish a revised timeline for implementation.

**Acknowledgement**

We wish to express our appreciation for the cooperation and assistance afforded the audit team by management.

The following section is the detailed follow-up report.
Detailed Follow-up report

Introduction
The follow-up to the 2011 Audit of the Human Resources Master Plan was included in the Auditor General’s Audit Plan.

Key Findings of the Original 2011 Audit

Summary of Key Findings
The primary means of information gathering was through interviews with Human Resources staff and management, Corporate Planning staff, and leadership and mid-managerial input from four unique departments: Information Technology Services, Real Estate Partnership and Development Office, Transit Services, and Emergency and Protective Services. Information was supplemented by a review and analysis of documentation where available.

Based on information gathered, each of the audit criteria was assessed by the audit team and a conclusion for each related audit objective was determined. Results of the audit fieldwork include both observed strengths and areas for improvement concerning the workforce planning practices within the City of Ottawa and are summarized in the sections that follow.

Strengths
Throughout the audit fieldwork, the audit team noted several examples of workforce planning strengths which are provided below (cross-referenced to the relevant audit objectives).

Audit Objective: Program Governance and Leadership
Strengths:

- Based on interview discussions, roles and responsibilities related to annual workforce planning for the Human Resources function and the departments are well understood by both parties.

- A Client Relationship group within Human Resources includes Consultants who are assigned to be a liaison for all Human Resources-related matters to specific departments. This model provides departments with consistent and direct access to Human Resources expertise and engages Human Resources specialists as required depending on the nature of the departmental needs/requests.
Audit objective: Strategic Business Needs and Context

Strengths:
The Corporate People Plan is a foundational document which provides analysis of Human Resources challenges and priorities over a time horizon aligned with the Term of Council. Broad internal and external workforce trends are identified at a “high-level” within the Corporate People Plan.

Audit Objective: Core Workforce Planning Processes

Strengths:
- Short-term workforce planning in the context of the annual budget process is a formal and clear process for departments to identify their short-term workforce needs and to have these resource levels approved by Council.
- The City of Ottawa identified a need for longer-term succession planning, and has developed a process and enabling tools for departments to use in the creation of formal succession plans. Based on interview discussions, implementation of this process is in its early stages and varies by department.

Audit Objective: Outcomes

Strengths:
Interviewees noted that department-specific initiatives have been developed to respond to mid and longer-term workforce needs (e.g., development of apprenticeship programs, encouragement of rotational assignments, etc.). Please note that this observation is based on anecdotal interview findings with a small sample of City departments.

Audit Objective: Enabling Systems and Practices

Strengths:
- Interviewees noted that Corporate Human Resources is functionally emerging as a strategic and operational business partner recognized for value added responsiveness across both transactional and strategic services.
- The Human Resources Information System (HRIS) captures workforce information that is tracked and reported on a regular basis. For example, quarterly city-wide and department-specific Talent Scorecards are issued which include important metrics and demographic information. Based on interview discussions, Business Intelligence software is being implemented to enhance analytical sophistication, timeliness and access to this information (i.e., through Manager Self-Service).

Opportunities for Improvement
The audit team has identified areas where workforce planning practices and processes could be improved. Three overarching areas for improvement were noted, namely:
1. Building on emerging tools and practices, there is an opportunity for Corporate Human Resources to provide a more prescriptive and integrated approach, including standardized methods and processes for medium and longer-term workforce planning. Furthermore, Human Resources should lead integrated workforce planning needs analysis across all departments, and the development of a City-wide long-term workforce plan.

2. Organization-wide workforce segment data (i.e., related to critical and “non-critical” workforce segments) should be more formally identified and analyzed for value-added scenario modeling and planning purposes.

3. Value-added analysis and reporting (e.g., based on HRIS information) are required to support longer term workforce planning. More robust analytical and reporting capabilities would serve to enhance regular information provided to departments about their current and future workforce needs, targets and results.

**Status of Implementation of 2011 Audit Recommendations**

2011 **Recommendation 1**
That Corporate Human Resources provide a more prescriptive and integrated approach, including standardized methods and processes, for medium and long-term workforce planning (i.e., three and five years). Fundamentals of workforce planning include:

a) **Matching strategic business requirements with long-term talent trends**;

b) **Analysis of external labour supply sources/demand influences**; and,

c) **Proactive planning that considers future skills and resources necessary to enable longer-term business plans**.

2011 **Management Response**
Management agrees with this recommendation.

Further to the response to Recommendation 2, HR will develop an integrated workforce planning approach and templates for use by departments by the end of Q1 2013 as part of the Corporate Planning and Performance Reporting Framework and fiscal planning process. The integrated approach will build on current processes being used for short-term workforce planning such as the annual budget process, the succession planning process of identifying critical positions, vacancy reports, and the utilization of the metrics on the Talent Scorecard. HR will ensure integration with the Corporate Planning Framework.

**Management Representation of Status of Implementation of Recommendation 1 as of July 1, 2013**
Management considered purchasing workforce planning tools, however it was determined that the purchase of a commercial solution would be cost prohibitive in terms of return on investment. The exploration of off-the-shelf tools resulted in some delay. As a result, HR is now in the process of developing a strategic workforce planning approach and templates, with the objective of integrating these tools within the Corporate Planning / Risk Management Framework.
The revised estimated completion date is the end of Q4 2013 for use by Departments in Q1 2014.

**Management: % complete** 25%

**OAG’s Follow-up Audit Findings regarding Recommendation 1**

Management indicated that several HR members attended a demonstration of an off-the-shelf planning tool (*SAP Successfactors – Workforce Performance and Analytics*) in Q2, 2013. They determined that the solution would be complex to roll out to departments and was cost prohibitive at $102,500 as it was based on the City's headcount.

Alternatively, Management developed a proposed Workforce planning toolkit using Excel. The toolkit contained sample data only and had not yet been implemented. Management indicated that Corporate Business Services Branch (CBS) was meeting with four departments to obtain their input on the toolkit. They were also going to be meeting with CBS to review the proposed business processes.

Once the toolkit is being used, we would consider the recommendation complete.

We consider this recommendation 75% complete.

**OAG: % complete** 75%

**Management Representation of Status of Implementation of Recommendation 1 as of December 10, 2014**

Management developed a Workforce Planning toolkit that Human Resources (HR) reviewed with Corporate Business Services (CBS) in January 2014. CBS supported the toolkit and proposed process. HR subsequently met with 17 departments in Q1 to review the proposed toolkit and approach. On September 4, 2014, HR presented the proposed approach to SMC. The implementation approach was approved by SMC and the toolkit is now being used.

Management considers implementation of this recommendation to be complete.

**Management: % complete** 100%

**2011 Recommendation 2**

That the City implement mid and longer-term (i.e., three and five year) workforce planning at the departmental level, with departments taking ownership for the development of their mid and long-term workforce plans, supported by Human Resources.

**2011 Management Response**

Management agrees with this recommendation.
The City has adopted an integrated Corporate Planning and Performance Reporting Framework to define strategic priorities for the four-year Term of Council. The Framework includes the development of a City Strategic Plan and departmental plans that coincide with the Term of Council. These plans will influence multi-year staffing needs for departments and impact overall workforce planning for the corporation. Human Resources will support the departments in developing their workforce plans starting in Q2 2013 with a target completion date of Q4 2013.

Management Representation of Status of Implementation of Recommendation 2 as of July 1, 2013
As stated in Management’s Representation of the Status of Implementation for Recommendation 1, time was spent exploring the merit of off-the-shelf tools. The revised estimated start date for Human Resources to support the departments in developing their workforce plans is Q1 2014, with a target completion date of Q4 2014, which will also provide an opportunity to integrate with the Corporate Planning/Risk Management cycle.

Management: % complete 0%
OAG’s Follow-up Audit Findings regarding Recommendation 2
We consider this recommendation 0% complete.

OAG: % complete 0%
Management Representation of Status of Implementation of Recommendation 2 as of December 10, 2014
As stated in Management's Representation of the Status of Implementation for Recommendation 1, the tools have been developed and the implementation approach was approved by SMC on September 4, 2014. The approach takes into consideration that many departments are already undertaking components of workforce planning and have been discussing and working on solutions to address their workforce planning issues. The approach builds upon what has already been done by departments and will integrate the work already underway (e.g. strategic planning and discussion of priorities, risk assessment, succession planning, etc.) Some departments have started to use the workforce planning tools with support from Human Resources. The revised target date for workforce planning completing the gap analysis (Step 2) is Q4 2016. Where the assessment indicates that a departmental workforce plan is required, the revised target completion date is Q4 2018.

Management considers that action has been initiated in the implementation of this recommendation.

Management: % complete 25%
**2011 Recommendation 3**
That Corporate Human Resources lead an integrated (i.e., City-wide) workforce planning needs analysis. This will feed into the development of a multi-year City-wide workforce plan that integrates anticipated workforce needs from across the organization. The plan should identify expected workforce requirements, together with plans for bridging any gaps (in the context of both growth and reduction/rationalization strategies) between the current state and anticipated future needs.

**2011 Management Response**
Management agrees with this recommendation.

Working with departments, Human Resources will conduct an integrated workforce planning needs analysis as a component of the City’s integrated Corporate Planning and Performance Reporting Framework as noted in the management response for Recommendation 2. One of the outcomes of the Framework will be departmental plans that will influence multi-year staffing needs for departments that will impact overall workforce planning for the City. The departments, as the business experts, must outline the service delivery risk areas. Human Resources will utilize the departmental input for the analysis that will identify risks and appropriate mitigation plans which will be completed by the end of Q2 2014. The analysis will provide an enterprise-wide view of workforce needs and mitigation strategies.

**Management Representation of Status of Implementation of Recommendation 3 as of July 1, 2013**
Due to the delay identified in *Management’s Representation of the Status of Implementation* for Recommendations 1 and 2, the analysis that will identify risks and appropriate mitigation plans, which will also align with the Corporate Planning / Risk Management cycle, will also be delayed. The revised estimated completion date is Q2 2015.

**Management: % complete** 0%

**OAG’s Follow-up Audit Findings regarding Recommendation 3**
We consider this recommendation 0% complete.

**OAG: % complete** 0%

**Management Representation of Status of Implementation of Recommendation 3 as of December 10, 2014**
As stated in *Management’s Representation of the Status of Implementation* for Recommendation 2, the completion of workforce planning needs analysis is delayed with a revised target completion date of Q4 2018. In the past year however, HR reporting and workforce analytics has been enhanced with the acquisition of ‘PeopleInsight’, an analytics tool that allows for workforce planning analysis of job categories across the organization. Several job categories and workforce segments have been analyzed to date using this capability.

Management considers that action has been initiated in the implementation of this recommendation.
**2011 Recommendation 4**
That Corporate Human Resources ensure all departments identify critical positions. Critical positions may be those broader than leadership positions that are also considered to be high impact and/or difficult to fill. (“Critical” workforce segments are the segments that have the greatest impact on the organization. They are typically highly skilled roles [and incumbents] that provide a disproportionate degree of value to the organization and are often hard to replace.)

**2011 Management Response**
Management agrees with this recommendation.

City departments are in the process of developing succession plans with support from Human Resources. A key part of this process is identifying critical positions. Departments are currently conducting the assessment and will have completed the process by Q4 2012.

**Management Representation of Status of Implementation of Recommendation 4 as of July 1, 2013**
To date, sixteen of the eighteen departments have identified critical positions; the remaining two will be completed by the end of 2013.

**Management: % complete** 90%

**OAG’s Follow-up Audit Findings regarding Recommendation 4**
Management has illustrated that all eighteen departments have identified critical positions based on leadership or uniqueness to the organization. The preliminary list of critical/key positions was comprised of senior leaders-department heads, branch managers, program managers, supervisory and some non-leadership technical positions. The critical positions would represent approximately 3% of the total full-time equivalents.

We consider this recommendation complete.

**OAG: % complete** 100%

**2011 Recommendation 5**
That Corporate Human Resources “roll-up” the critical workforce segments identified by the departments so that the City of Ottawa has an integrated and enterprise-wide perspective on its critical workforce segments.

**2011 Management Response**
Management agrees with this recommendation.

A database will be developed to capture a corporate-wide “roll up” of the critical positions identified by departments in 2012. The effort to create and maintain the database is currently being explored with the objective of completing the first roll-up by the end of Q2 2013.
Management Representation of Status of Implementation of Recommendation 5 as of July 1, 2013
A database is under development for the corporate-wide “roll-up” of the critical positions. The revised estimated completion date is the end of Q4 2013 to allow time for departments complete their analysis as described in response to Recommendation 4. Completion of this recommendation is contingent on Recommendation 4 being completed.

Management: % complete  25%

OAG’s Follow-up Audit Findings regarding Recommendation 5
The critical positions referenced in Recommendation 4 have been rolled up into a preliminary list as at December 31, 2013.

We consider this recommendation complete.

OAG: % complete  100%

2011 Recommendation 6
That Corporate Human Resources analyze City-wide workforce segment data to gain insights and perspective on both “critical” and “non-critical” workforce segments to support value-added scenario modeling and planning. (“Non-critical” workforce segments represent the majority of the workforce complement, but compared to critical workforce segments, such roles are either easier to staff or have a lesser impact on organizational effectiveness.)

2011 Management Response
Management agrees with this recommendation.

Currently workforce segments are considered in developing resourcing strategies and the Corporate People Plan. As noted in the response to Recommendation 5, Human Resources will have the capability to analyze “critical” and “non-critical” workforce segment data by the end of Q2 2013.

Management Representation of Status of Implementation of Recommendation 6 as of July 1, 2013
As noted in the response to Recommendation 5, the critical workforce database is under development for the roll-up of the critical positions, with a revised estimated completion date of the end of Q4 2013. Upon completion, Human Resources will have the capability to analyze the workforce segment data. The revised estimated completion date for this work is the end of Q1 2014.

Management: % complete  0%

OAG’s Follow-up Audit Findings regarding Recommendation 6
Further to the OAG comments in Recommendations 4 and 5, Management has analyzed the critical positions but not the non-critical positions.

We consider this recommendation approximately 25% complete.

OAG: % complete  25%
Management Representation of Status of Implementation of Recommendation 6 as of December 10, 2014

As stated in Management’s Representation of the Status of Implementation for Recommendation 3, in the past year HR reporting has been enhanced with the acquisition of ‘PeopleInsight’, an analytics tool that allows for workforce planning analysis of job categories and workforce segments across the organization. Several job categories (including non-critical positions) have been analyzed to date using this capability and this analysis will continue on an ongoing basis. This analysis was presented to SMC on September 4, 2014 and included talent snapshots of Engineers, Engineering Technologists, Urban and Land Use Planners, Information Systems (IS) Analysts/Consultants & IS Data Processing Managers, Bus Operators, Registered Nurses/Head Nurses Supervisors, Community & Social Workers, Manager Level, Program Manager Level, and Portfolio/Section Manager Level. Each talent snapshot displayed demographics, resignation rates, insights and future retirement eligibility.

Management considers implementation of this recommendation to be complete.

Management: % complete 100%

2011 Recommendation 7
That Corporate Human Resources proactively and regularly conduct analysis of workforce planning data (both City-wide and department-specific).

2011 Management Response
Management agrees with this recommendation.

Human Resources will continue to conduct analysis of workforce planning data on a regular basis. This is currently done with existing tools such as the vacancy reports, attrition reports, and the data provided on the Talent Scorecard(s). This will be supplemented with data once the formal workforce planning tools and process have been rolled out by the end of Q2 2013.

Management Representation of Status of Implementation of Recommendation 7 as of July 1, 2013
Human Resources will continue to conduct analysis of workforce planning data on a regular basis with the existing tools as noted in the Management Response above. This will be supplemented with data once the formal workforce planning tools and processes have been rolled out. The revised estimated completion date is the end of Q4 2013.

Management: % complete 75%

OAG’s Follow-up Audit Findings regarding Recommendation 7
Management illustrated the Talent Scorecard(s) which contains data for workforce planning purposes that the Human Resource Consultants review with their respective departments. Although there is not a specific process document, Management indicated that this is expected to occur through a quarterly meeting with branch management.
Further to the OAG comments with Recommendation 1, the workforce planning tools and process which management has indicated would supplement the existing tools, are being developed.

We consider this recommendation 75% complete.

**OAG: % complete**

### 75 %

### Management Representation of Status of Implementation of Recommendation 7 as of December 10, 2014

Human Resources will continue to conduct analysis of workforce planning data on a regular basis with the existing tools as noted in the Management Response above. The tools now include the enhanced capability provided by ‘PeopleInsight’ that allows for the analysis of job categories and workforce segments across the organization. Several job categories (including non-critical positions) have been analyzed to date using this capability and this analysis will continue on an ongoing basis. This analysis was presented to SMC on September 4, 2014 and included talent snapshots of Engineers, Engineering Technologists, Urban and Land Use Planners, Information Systems (IS) Analysts/Consultants & IS Data Processing Managers, Bus Operators, Registered Nurses/Head Nurses Supervisors, Community & Social Workers, Manager Level, Program Manager Level, and Portfolio/Section Manager Level, Each talent snapshot displayed demographics, resignation rates, insights and future retirement eligibility.

This analytical capability supplements reports and the formal workforce planning tools and processes which were approved by SMC on September 4, 2014 and rolled out to departments.

Management considers implementation of this recommendation to be complete.

**Management: % complete**

### 100%

### 2011 Recommendation 8

That Corporate Human Resources provide management-level reports with workforce planning analysis and insights to support longer term workforce planning.

### 2011 Management Response

Management agrees with this recommendation.

Once the process and templates have been developed and put into operation in Q2 2013, Human Resources will develop corporate and department level reports and will work with departments to put into place mitigation strategies for critical positions.

**Management Representation of Status of Implementation of Recommendation 8 as of July 1, 2013**
As noted in the response to Recommendation 1, the development of the process and templates will be completed by Q4 2013 and the mitigation strategies for critical positions will follow in 2014, with analysis completed by Q2 2015 (as noted in Management’s Representation of the Status of Implementation for Recommendation 3).

Management: % complete 0%

OAG’s Follow-up Audit Findings regarding Recommendation 8
We consider this recommendation 0% complete.

OAG: % complete 0%

Management Representation of Status of Implementation of Recommendation 8 as of December 10, 2014
As stated in Management’s Representation of the Status of Implementation for Recommendations 1 and 3, in the past year HR reporting has been enhanced with the acquisition of ‘PeopleInsight’, an analytics tool that will allow for the workforce planning analysis of job categories across the organization with management level reports. Several job categories (including non-critical positions) have been analyzed to date using this capability. This analysis was presented to SMC on September 4, 2014 and included talent snapshots of Engineers, Engineering Technologists, Urban and Land Use Planners, Information Systems (IS) Analysts/Consultants & IS Data Processing Managers, Bus Operators, Registered Nurses/Head Nurses Supervisors, Community & Social Workers, Manager Level, Program Manager Level, and Portfolio/Section Manager Level, Each talent snapshot displayed demographics, resignation rates, insights and future retirement eligibility.

This workforce segment analysis, along with the departmental Talent Scorecards, will continue on an ongoing basis and form part of the toolkit available to management to conduct workforce planning.

Management considers implementation of this recommendation to be complete.

Management: % complete 100%

2011 Recommendation 9
That Corporate Human Resources define and clarify a metrics framework for workforce planning with departmental management being responsible for determining applicable targets. The City should then be in a position to have access to related workforce planning performance reports, including variance analysis for practices such as position management, vacancy management, staffing, turnover/attrition planning and productivity analysis.

2011 Management Response
Management agrees with this recommendation.
Many of the data/reports noted are currently provided to managers on a regular basis. As part of the development of the workforce planning framework and processes, Human Resources will work with the Corporate Business Services branch to develop a metrics framework by the end of Q1 2013, with an approach for departments to develop targets to maintain consistency with the Balanced Scorecard approach being used in the Corporate Planning and Performance Reporting Framework.

Management Representation of Status of Implementation of Recommendation 9 as of July 1, 2013
As noted in Management’s Representation of the Status of Implementation for Recommendations 1 and 2, discussions have been held between HR and Corporate Business Services to determine a workforce planning approach that is integrated with the Corporate Planning and Performance Reporting cycle and Framework. The revised estimated completion date is Q4 2013.

Management: % complete  25%

OAG’s Follow-up Audit Findings regarding Recommendation 9
Further to the OAG comments with Recommendations 1 and 2, Management illustrated that a Workforce Planning Toolkit was developed using Excel. Management indicated that meetings were going to be held to review the proposed business process.

The toolkit, at this time, does not address targets or productivity analysis.

We consider this recommendation 25% complete.

OAG: % complete  25%

Management Representation of Status of Implementation of Recommendation 9 as of December 10, 2014
As noted in Management’s Representation of the Status of Implementation for Recommendations 1, discussions have been held between HR and Corporate Business Services (CBS) to determine a workforce planning approach that is integrated with the Corporate Planning and Performance Reporting cycle and Framework. SMC approved the process, tools and approach on September 4, 2014 and departments are starting to conduct workforce planning. The workforce planning process and tool complements other tools and reports noted in this Audit such as position management and Talent Scorecards which include metrics on attendance, vacancy, overtime, turnover rate, retirement eligibility, etc. In combination, these tools and reports enable management to address productivity.
Workforce analytics has been enhanced with the recent implementation of 'PeopleInsight' that allows for the analysis of job categories and workforce segments across the organization. Several job categories (including non-critical positions) have been analyzed to date using this capability and this analysis will continue on an ongoing basis. This analysis was presented to SMC on September 4, 2014 and included talent snapshots of Engineers, Engineering Technologists, Urban and Land Use Planners, Information Systems (IS) Analysts/Consultants & IS Data Processing Managers, Bus Operators, Registered Nurses/Head Nurses Supervisors, Community & Social Workers, Manager Level, Program Manager Level and Portfolio/Section Manager Level. Each talent snapshot displayed demographics, resignation rates, insights and future retirement eligibility.

Management considers implementation of this recommendation to be complete.

Management: % complete 100%
Summary of the Level of Completion
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Table 3: OAG’s assessment of level of completion (Repeat of Table 1 in Executive Summary)

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Table 4: Management’s assessment of level of completion of recommendations (Repeat of Table 2 in Executive Summary)

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</tbody>
</table>

Conclusion
At the time of this follow-up work, we found that 44% of the recommendations could be considered substantially complete or complete. The remaining 66% remain in progress with either little or no action or action initiated.

Human Resources should continue to implement the remaining recommendations and establish a revised timeline for implementation.
Acknowledgement
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