

Appendix B Field Study Survey Questionnaire

Office of Personnel Management Special Study on Title 5-Exempt Organizations Telephone Survey

Introduction:

The Office of Personnel Management (OPM) is conducting this Special Study to better understand how organizations that are fully or partially exempt from civil service personnel laws and regulations create and manage their HRM systems and services to meet the needs of the organization and its employees within the framework of the merit system principles. This information is important for addressing the challenges that organizations government-wide are facing as they reinvent the HRM role in the organization and develop more business-like management practices.

Study Objectives:

- Identify how Title 5-exempt organizations build the values and principles of merit, efficiency, and effectiveness into their HRM policies and practices, and
- Identify innovative HRM practices that might be adapted for use government-wide.

This telephone survey will take approximately 60 minutes to complete.

Survey Questions

Section I: Organizational Demographics and Background Information:

1. Please provide the following demographic information:
 - a. Number of employees _____
 - b. Number of bargaining units _____
 - c. Number of field units _____
 - d. Number of personnel systems under different authorities (i.e., Title 5 and non-Title 5) _____ and number of employees under each system --
 - 1) Authority _____ Employees _____
 - 2) Authority _____ Employees _____
 - 3) Authority _____ Employees _____
2. How is your HRM Office organized to service the organization (e.g., what functions are centralized vs. decentralized, delegations to line managers)? Describe.
3. Is your organization covered by the Title 5 Merit System Principles?
 - Yes -- How does your HRM system incorporate the Merit Principles generally into your HRM policies and practices?
 - No (or don't know) -- What values/principles form the basis of your HRM system and how are

they are incorporated into your HRM system?

4. Does your organization have written human resources regulations, policies, and operating instructions?
- Yes -- Who develops the regulations and who provides oversight for their implementation?
 - No -- What guidance is available for HR staff and line managers?

Section II: Career Systems--Staffing, Training, and Performance Management

Staffing -- Please respond to the following questions on your recruitment and selection systems and practices:

1. What are your major occupations?
2. What occupations do you have the greatest turnover in, the most difficulty recruiting for?
3. Is your organization covered under Title 5 regulations for recruitment and staffing?
 - Yes -- Skip to question 9.
 - No -- Do you administratively follow Title 5?
 - Yes -- Why? Then skip to question 9.
 - No -- Describe what authorities you have and how you implement them.
4. How do applicants apply for your job openings? (e.g., advertisements, open continuous announcements, recommendations by current employees, other.)
5. Do you rate and rank candidates?
 - Yes -- Describe.
 - No -- How do you differentiate among candidates?
6. How do you apply veterans' preference?
7. Are there any other special preferences applied (e.g. unions, internal candidates)?
 - Yes -- Describe.
 - No
8. How are promotions determined? (e.g., career ladders, competition, competency/skill acquisition)
9. How do your selection and promotion systems protect your organization from discrimination charges?

10. What role do supervisors and managers play in the hiring and promotion process?

11. Please describe any innovative or highly successful practices you are using in the recruitment and staffing areas.

Some possible areas include --

- Electronic application or rating and rankings systems
- Recruitment partnerships with educational institutions
- Recruitment bonuses (What occupations? How effective?)
- Delegations to line managers
- Publicizing job openings (e.g., internet, targeted advertising)
- Other (describe)

Training and Development

1. Do you have a training and development plan for the organization?

- Yes --
 - a. Describe how the training supports the mission of the organization.
 - b. Is training centrally funded or part of operating unit budgets?
 - c. Does the organization designate a certain percentage of the operating budget for employee training?
- No -- What types of training does the organization offer? Require?

2. Describe any innovative or highly successful practices you are using in the area of training and development.

Some possible examples include:

- Automated training request and registration tools/processes
- Training partnerships with educational institutions
- On-site college programs
- Career resources center/counseling
- Training for organizational or occupational competencies
- Other (describe)

Performance Management

1. Is your organization covered by Title 5 regulations for performance management?

- Yes -- Skip to question 5
- No (or don't know) -- Do you have a performance management system in place?
 - Yes -- Answer all of the questions in this section.
 - No -- Skip to question 8.

2. Are there different performance management systems for different occupations or groups of employees?

- Yes -- Describe.
- No

3. Do you have written performance plans and formal appraisals/ratings?
 - Yes -- Describe.

 - No
4. Is the performance management system linked to employee compensation?
 - Yes -- Describe.

 - No
5. Are individual or team performance plans linked to organizational goals?
 - Yes -- How?

 - No
6. How are performance standards and measures developed for individuals and teams?
7. What approaches do you take for managing poor performance? (e.g., retraining, reduction in pay or status, discipline, termination)
8. Describe any innovative or highly successful practices you are using in performance management.
 - Some possible examples include:
 - Automated systems (please briefly describe)
 - Team-based performance plans and/or assessment
 - Competency-based performance assessments
 - Multi-source Feedback (360 degree)
 - Upward feedback
 - Other (describe)

Recognition Systems (Non-monetary)

1. Does your organization have an established recognition system for employees?
 - Yes -- Describe

 - No
2. Describe any innovative or highly successful practices you are using to recognize employees or teams.

Section III - Classification, Compensation, Awards, and Benefits

Identify if each of the following areas is covered by Title 5:

- | | | |
|----------------|------------------------------|-----------------------------|
| Classification | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Compensation | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Awards | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Benefits | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

(If yes for any item, answer only the last question under that topic.)

Classification

1. Does your organization have a job classification system?
 Yes -- Describe. (e.g., based on graded duties/occupations, competencies)

 No
2. Who has the authority to classify jobs/duties? (e.g., HR only, line managers)
3. Describe any innovative or highly successful practices you are using to classify positions/duties (e.g., automated job requests or position descriptions or grade assignment).

Compensation

1. Does your organization administratively follow the General Schedule? The Executive Schedule? the Federal Wage System (Wage Grade)?
 Yes -- Why? Then skip to question 3.

 No -- Describe the pay systems used (e.g., broad banding, executive level).
2. What is/are the basis/bases for basic pay progression?
 Seniority/length of service (Are there waiting periods?)
 Performance (based on ratings?)
 Acquisition of competencies/skills
 Training Completed
 Other (describe)
3. Describe any innovative or highly successful practices you are using in the pay/compensation area.

Some possible examples include:

- Automated tools (describe)
- Pay Banding or Broad Banding
- Special bonuses plans (describe)
- Variable Pay (describe)
- Other (describe)

Awards

1. Does your organization have an awards system (monetary) for managers and employees?

Yes -- Describe.

No

2. Are awards linked to individual and/or team performance?

Yes -- Describe.

No

3. Describe any innovative or highly successful practices you are using in the awards area.

Benefits

1. Does your organization have authority to create alternative retirement/health/life insurance programs?

Yes -- Describe.

No

2. Describe any innovative or highly successful practices you are using in the benefits area (e.g., cafeteria plans).

Section IV - Employee Relations--Family Friendly Policies, Employee Protections

Family Friendly Policies

1. Describe policies established for employee personal, professional, and family needs and interests.

Some possible examples include:

Child care/Eldercare

Fitness/Health Centers

Flextime

Alternative Work Schedules (AWS)

Leave banks

Family-friendly leave

Other (describe)

Employee Protections

1. Is your organization covered by Title 5 regulations for:

a. Adverse actions -- Yes No

b. Whistleblowing -- Yes No

c. Hatch Act -- Yes No

2. If no for adverse actions -- What procedures/processes are in place for adverse actions (discipline and discharge)?

a. What appeal rights do employees have?

3. If no for Whistleblower protections -- What protections do you have in place?

4. If no for the Hatch Act -- What protections do you have in place?
5. Do you have employee attitude surveys or other data that reflect employee perceptions of fairness in HRM policies and practices?
 - Yes
 - No
6. Describe any innovative or highly successful practices you are using to manage conduct problems. Some possible examples include:
 - Pre-employment clearance
 - Alternative Dispute Resolution
 - Peer Review of Grievances
 - Other (describe)

Section V -- Labor Management Relations (Please answer these questions if your organization has unions; otherwise, skip to the next section.)

1. Is your organization covered by Title 5 regulations relating to labor management relations?
 - Yes -- Skip to question 3.
 - No
2. Which HRM areas, if any, are restricted from negotiations with the unions, e.g.,
 - Pay
 - Benefits
 - Hiring, qualifications, or selection criteria
 - Discipline
 - Other (describe)
3. Describe any innovative or highly successful practices you are using in the labor relations area. Some possible examples include:
 - Formal partnership agreement(s)
 - Joint committee(s) for HRM policies and practices
 - Other (describe)

Section VI - Conclusion

1. What would you describe as your overall best practices in HRM?
2. What are your major challenges in HRM?
3. How do you ensure line-management accountability for managing human resources in achieving organizational results?
4. Have your HRM responsibilities expanded into areas of organizational development, organizational change, strategic planning, conflict resolution or other new areas?
 - Yes -- Describe.
 - No
5. Is there anything else you would like to add about the concept of merit in your HRM system or any other innovative practices that we did not ask about?