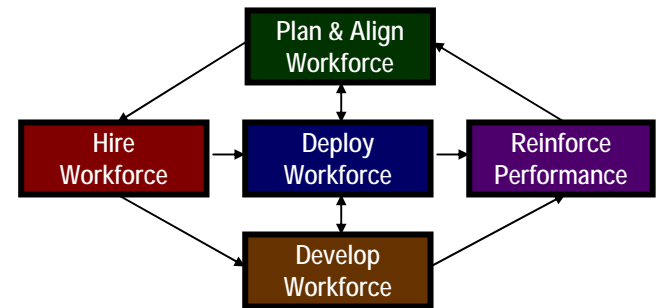


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State of Washington  
Washington State Ferries  
Merit 5 Employees Only

Human Resource  
Management Report

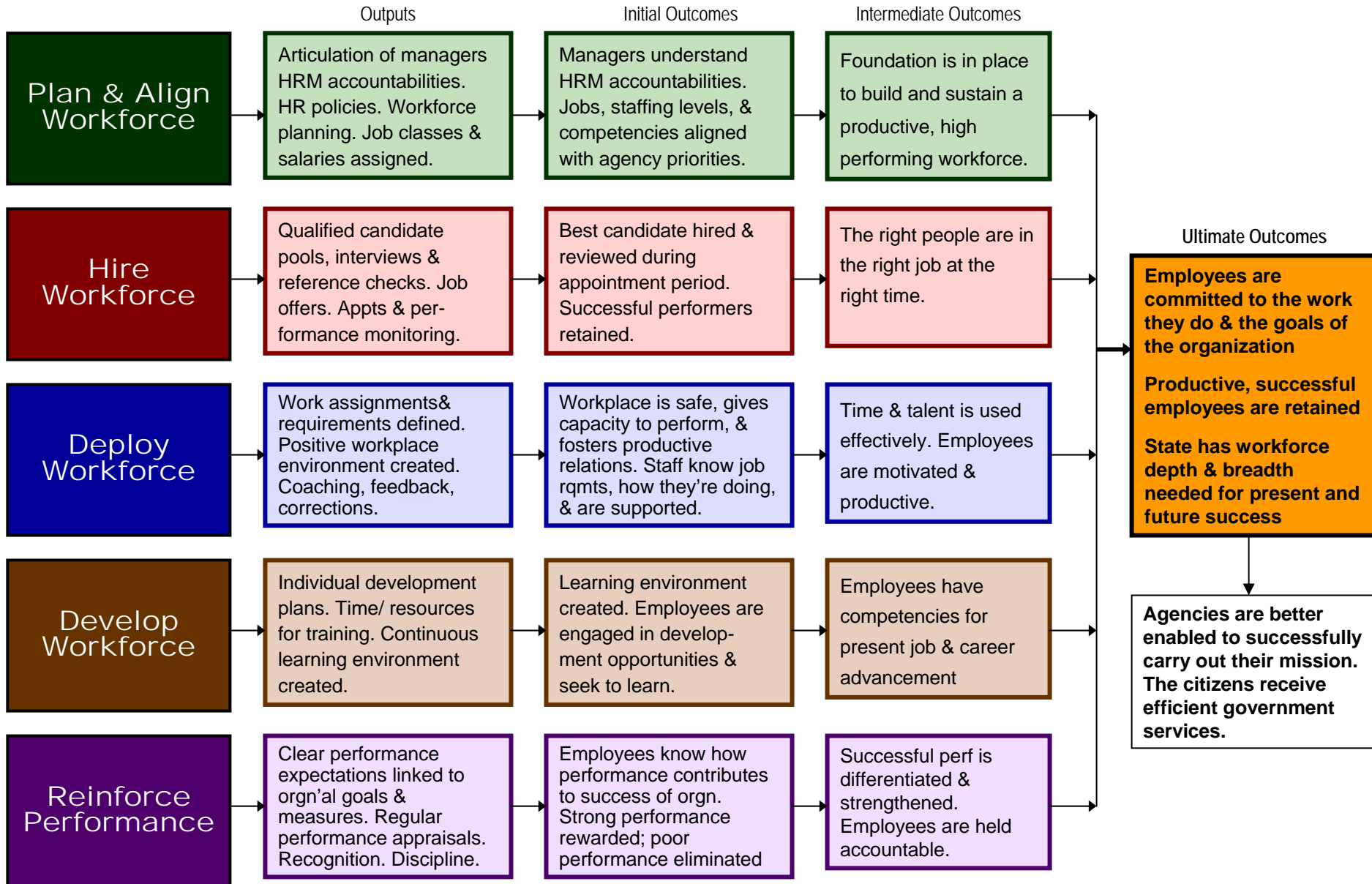
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**October 2007**

FY2007 07/01/06 to 06/30/07

# Managers' Logic Model for Workforce Management



# Standard Performance Measures

## Plan & Align Workforce

- Percent supervisors with current performance expectations for workforce management
- Management profile
- Workforce planning measure (TBD)
- Percent employees with current position/competencies descriptions

## Hire Workforce

- Time-to-fill funded vacancies
- Candidate quality
- Hiring Balance (Proportion of appointment types)
- Separation during review period

## Deploy Workforce

- Percent employees with current performance expectations
- Employee survey ratings on “productive workplace” questions
- Overtime usage
- Sick leave usage
- Non-disciplinary grievances/appeals filed and disposition (outcomes)
- Worker safety

## Develop Workforce

- Percent employees with current individual development plans
- Employee survey ratings on “learning & development” questions
- Competency gap analysis (TBD)

## Reinforce Performance

- Percent employees with current performance evaluations
- Employee survey ratings on “performance & accountability” questions
- Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)
- Reward and recognition practices (TBD)

## Ultimate Outcomes

- Employee survey ratings on “commitment” questions
- Turnover rates and types
- Turnover rate: key occupational categories
- Workforce diversity profile
- Retention measure (TBD)

# Plan & Align Workforce

## Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

## Performance Measures:

**Percent supervisors with current performance expectations for workforce management**

## Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

## Workforce Management Expectations

**Percent supervisors with current performance expectations for workforce management = 100%**

**Total # of supervisors with current performance expectations for workforce management as of 06/30/07 = 187**

**Total # of supervisors as of 06/30/07 = 187**

**Only FASPAA, MEBA Licensed, MM&P, and Metal Trades Collective Bargaining Units (CBU's) have Supervisory positions:**

**FASPAA: Terminal Supervisor; MEBA Licensed: Staff Chief Engineer, Chief Engineer; MM&P: Staff Master, Master; Metal Trades: General Foreman**

### Performance Expectations Functional Equivalents

- New Hire Orientation
- Tracking and Publication of WSF System Wide Metrics
- Quick Notices
- Fleet Advisory
- Fleet Focuses
- Weekly Meeting with Staff
- Staff Master, Staff Chief Meetings
- Attendance Records (quarterly reports)
- Safety Management Systems (SMS) (including internal audits)
- Training Records
- Safety Management System (SMS) (including annual internal audits)
- Bi-Monthly Training log
- "Initial Vessel Familiarization" for licensed deck personnel
- "Detailed Vessel Familiarization List" for specified deck personnel
- "Performance notifications"
- "Performance Log" for terminals employees

Data as of June 2007

Source for data: HRMS, Org Charts

Source for performance appraisal equivalents information: Operating Departments; Communications Department; HR Department Records; Safety Management System (SMS), Automated Operating Support System (AOSS) Dispatch System.

### Analysis:

- The methods which are utilized are adequate for communication expectations
- However, whether the methods utilized, in the frequency utilized, are sustained adequately, needs to be tracked

### Action Steps:

- Line HR Representatives assigned to Deck, Vessel Preservation & Maintenance, and Terminals are tracking the frequency of use of a sampling of areas to help determine sustainability. At this point in time we see no issues

# Plan & Align Workforce

## Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

## Performance Measures:

Percent supervisors with current performance expectations for workforce management

## Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

## Management Profile

**Number of WMS employees = 0**

**Percent of WSF (Merit 5) workforce that is WMS = 0%**

**Number of all Managers = 0**

**Percent of WSF (Merit 5) workforce that is Managers\* = 0%**

\* Headcount in positions coded as "Manager" (includes EMS, WMS, and GS)

### Analysis:

- There are no "Manager" positions (EMS, WMS, GS) in Merit 5
- All management oversight of Merit 5 employees is performed exclusively by Merit 1 employees

# Plan & Align Workforce

## Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

## Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

**Percent employees with current position/competency descriptions**

## Current Position/Competency Descriptions

**Percent employees with current position/competency descriptions = 100%**

Total # of employees with current position/competency descriptions as of 06/30/07 = 1,649

Total # of employees as of 06/30/07 = 1,649

Job Descriptions are Available in the following Formats:

- **Position Descriptions (including Essential Job Functions)**
- **Classification Questionnaires**
- **Safety Management System Documents**
- **Collective Bargaining Agreement Language**

## Analysis:

- We have adequate numbers/methods of job descriptions (at least two types per position in each of nine collective bargaining units)

## Action Steps:

- Line HR Representatives will determine last updates of each job description and method by which they are updated and make determination as to whether frequency is adequate, and whether it is sustainable. At this point in time we see no issues for this area

Data as of June 2007

Source for data: HRMS

Source for all descriptions: Operating & HR Departments; Safety Management System (SMS), Collective Bargaining Agreements (CBA's)

# Hire Workforce

## Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

## Performance Measures

### Time-to-fill vacancies

### Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

## Time-to-fill / Candidate Quality

### Time-to-fill Funded Vacancies

July 1, 2006 – June 30, 2007

Average Number of Days to fill\*: 30.54

Number of vacancies filled: 276

\*Equals # of days from job posting/advertisement (or equivalent) to start date

### Analysis:

- Time-to-fill for first six months depends primarily upon bid timing process for each bargaining unit, because numbers for first six months of fiscal year was weighted toward internal bids
- Number for second six months of fiscal year was weighted toward external hires, so time to fill number for complete year is higher than first six months
- Office jobs were 80+ days in first six months and has grown to 99+ days for year
- Recent realignment of HR department to assign HR generalists for each work group may help reduce the time to fill number for fleet employees

### Action Steps:

- Have assigned HRC-Recruiting to analyze data to track: 1) internal, 2) external, and 3) combined numbers, for ability to perform more detailed analysis
- Have assigned to the Office HR Manager to analyze and develop plan to track office separately and develop plan to lower these numbers. Will analyze whether “start on 1<sup>st</sup> or 16<sup>th</sup> of month only” has affected/will affect the numbers. Preliminary work to be presented at “Recruiting Retreat” on October 23rd
- A “Recruiting Plan” template is being developed by the HRC-Recruiting and office HR Manager to be utilized as a base to develop written recruiting plans for office positions; more management/professional input will be gained for sourcing and screening ideas
- Labor Relations Manager will continue to analyze numbers bargaining unit-by-bargaining. Example: eliminating IBU closed shop on 07/01/07 could reduce their number; continuing to have a MEBA closed shop will help to maintain their low number

## Hiring Balance / Separations During Review Period

# Hire Workforce

### Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

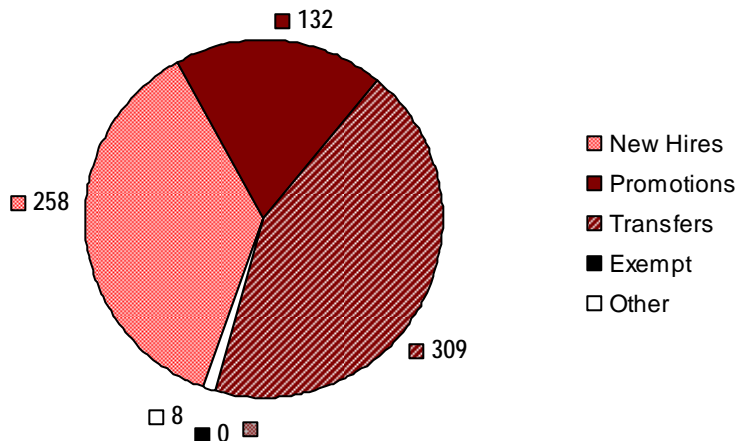
Time-to-fill vacancies

Candidate quality

**Hiring Balance (proportion of appointment types)**

**Separation during review period**

### Types of Appointments



**Total number of appointments = 707**

Time period = 7/06 through 06/07

Includes appointments to permanent vacant positions; also permanent transfers to vacant positions through the bidding process.

"Other" = Demotions, re-employment, reversion & RIF appointments

### Analysis:

- WSF HR recently began to distribute, once per month, a "Probationary Employee Status Chart", to ensure visibility to directors of the status of probationary employees, highlighting when they will complete probation. We need to track to see if this may actually raise the "involuntary" separation numbers of employees during their probationary periods

### Action Steps:

- Line HR Representatives will continue to analyze detail of the probationary separations. With the HR Director, will develop action plan by 12/31/07, if they determine action plan needed beyond current action being taken
- Task force being developed by HR Director to examine options, including financial aspects and legal issues of "on call" positions. If eventually move to a "guaranteed minimum hours of work" system, may help to reduce overtime by having more readily available employees. Process for task force to be set up at planned October 23rd "Recruiting Retreat"

### Separation During Review Period

Probationary separations - Voluntary	24
Probationary separations - Involuntary	15
<b>Total Probationary Separations</b>	<b>39</b>
Trial Service separations - Voluntary	0
Trial Service separations - Involuntary	0
<b>Total Trial Service Separations</b>	<b>0</b>
<b>Total Separations During Review Period</b>	<b>39</b>

Time period = 7/06 through 06/07

Data as of June 2007  
 Source: ACCESS Reports, AOSS

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

### Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Current Performance Expectations

### Percent employees with current performance expectations = 100%

Total # of employees with current performance expectations as of 06/30/07 = 1,649

Total # of employees as of 06/30/07 = 1,649

### Performance Expectations Functional Equivalents:

- New Hire Orientation
- Tracking and Publication of WSF System Wide Metrics
- Quick Notices
- Fleet Focuses
- Weekly Meeting with Staff
- Staff Master, Staff Chief Meetings
- Attendance Records (quarterly reports)
- Safety Meetings & Records
- Training Records
- Safety Management System (SMS) (including annual internal audits)
- Bi-Monthly Training log
- "Initial Vessel Familiarization" for licensed deck personnel
- "Detailed Vessel Familiarization List" for specified deck personnel
- "Performance Notifications"
- "Performance Log" for terminals employees

### Analysis:

- The methods which are utilized are adequate for communication expectations
- However, whether the methods utilized, in the frequency utilized, are sustained adequately, needs to be tracked

### Action Steps:

- Line HR Representatives assigned to Deck, Vessel Preservation & Maintenance, and Terminals will track the frequency of use of a sampling of areas to help determine sustainability. Does not appear to be an issue at this point in time

Data as of June 2007

Source for data: HRMS, Org Charts

Source for performance appraisal equivalents information: Operating Departments; Communications Department; HR Department Records; Safety Management System (SMS), Automated Operating Support System (AOSS) Dispatch System.

# Deploy Workforce

Outcomes:  
 Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

## Employee survey ratings on "productive workplace" questions

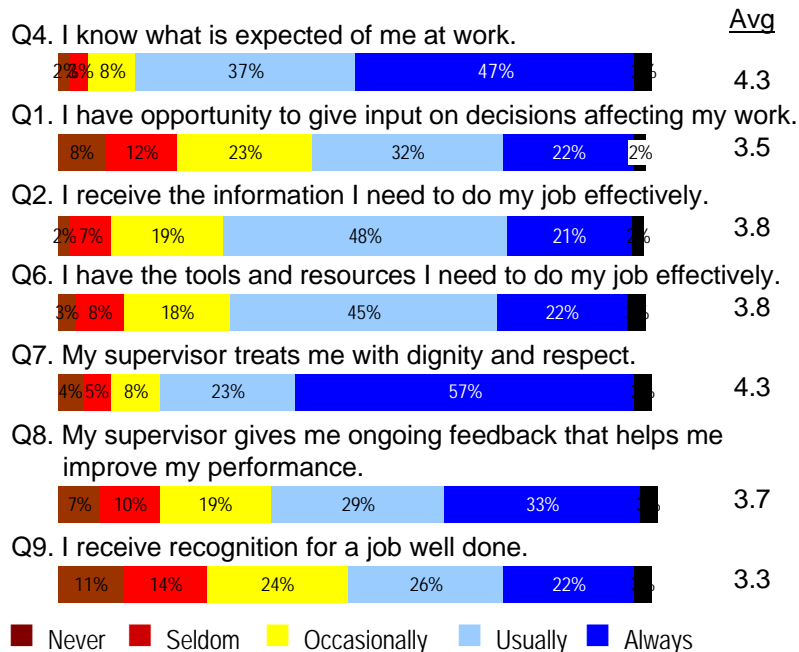
Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Employee Survey "Productive Workplace" Ratings



### Analysis:

- These results are a combination of Merit System 1 and Merit System 5. Therefore, we anticipate the ratings will improve when the number of Performance Evaluations completed increases.

### Action Steps:

- Action steps identified in other areas (e.g. "Workforce Management Expectations", "Current Position/Competency Descriptions", "Current Performance Expectations", "Non-Disciplinary Grievances", "Individual Development Plans", and "Turnover Rates") should all be factors in potentially improving these numbers

# Deploy Workforce

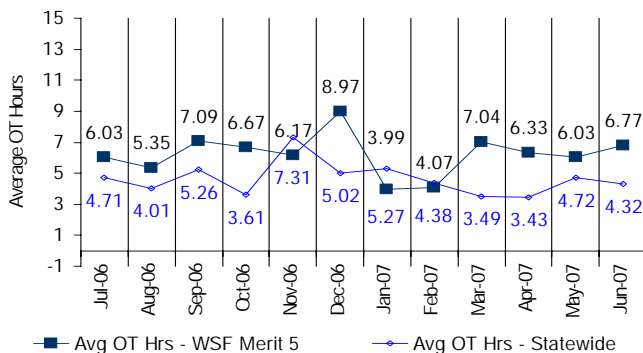
Outcomes:  
 Staff know job expectations, how they're doing, & are supported.  
 Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures  
 Percent employees with current performance expectations  
 Employee survey ratings on "productive workplace" questions

Sick leave usage  
 Non-disciplinary grievances/appeals filed and disposition (outcomes)  
 Worker safety

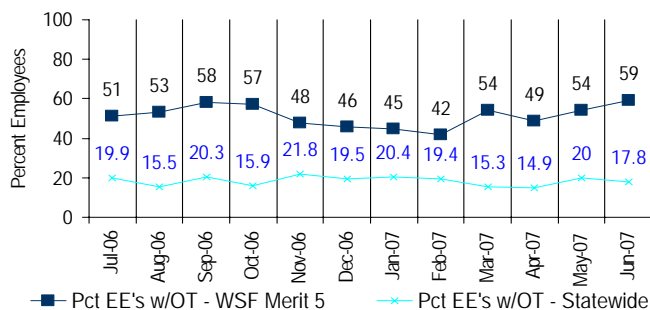
## Overtime Usage

**Average Overtime (per capita) \***



Overall Merit 5 average overtime usage – per capita, per month: 6.21

**% Employees Receiving Overtime**

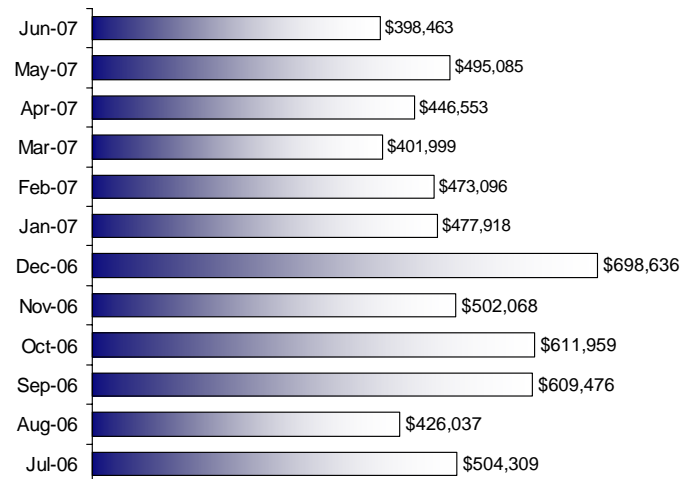


Overall Merit 5 average employees receiving overtime per month: 51

### Analysis:

- Collected Merit 5 overtime data from IT, by month, for FY 2007 and created Excel spreadsheet to calculate the averages
- Note: 100% of Merit 5 employees are eligible for overtime, therefore “% of employees receiving overtime” may not be an appropriate comparator between Merit 5 and other State entities

**Overtime Cost - WSF - Merit 5**



### Action Steps:

- Payroll Manager, with support of Labor Relations Manager and Line HR Representatives, will research, obtain more detailed data, and then analyze further, concentrating on two areas: 1) Breaking down overtime to reflect overtime not directly related to a particular shift issue (e.g. vessel realignments, training assignments), or that are directly related to a particular shift issue (e.g. shift employee covering for an employee who calls in sick), 2) Periodic unpaid time off at request of employees (e.g. in lieu of sick day when calling in sick).
- Other steps are being taken (details mentioned on other pages of report) to address: 1) Negotiations with the IBU on methodology/process used for dispatch of employees in the IBU (recently successfully completed), 2) Task force being developed to examine options, including financial aspects and legal issues of “on call” positions. If eventually move to a “guaranteed minimum hours of work” system, may help to reduce overtime by having more readily available employees

# Deploy Workforce

Outcomes:  
Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

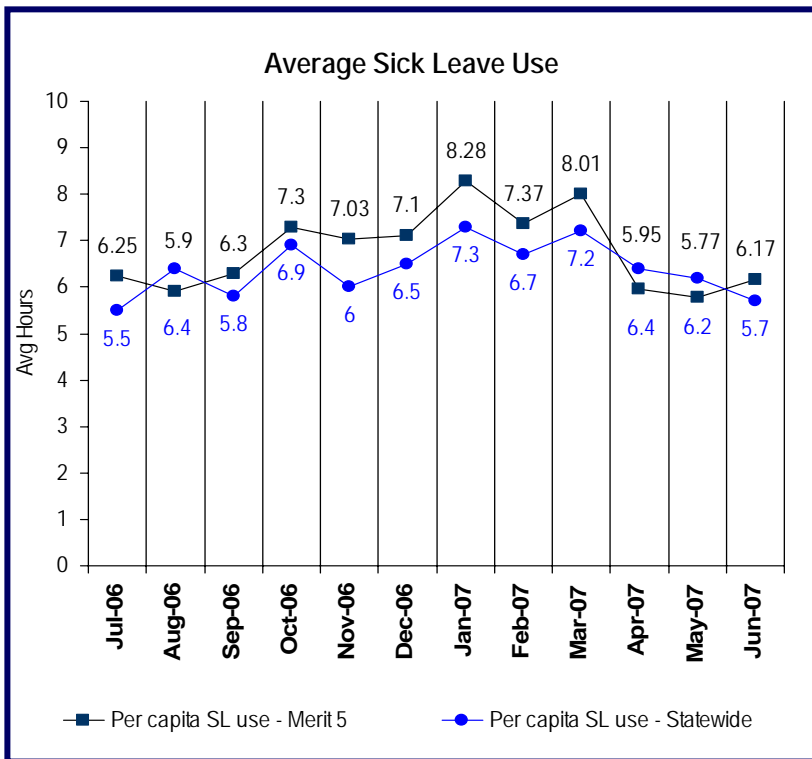
Overtime usage

## Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Sick Leave Usage FY2007



### Sick Leave Hrs Used / Earned (per capita)

Avg Hrs SL Used WSF Merit 5	% of SL Hrs Earned WSF Merit 5	Avg Hrs SL Used Statewide*	% of SL Hrs Earned Statewide*
6.52 Hrs	94.04%	6.4 Hrs	82.5%

### Sick Leave Hrs Used / Earned (those who took SL)

Avg Hrs SL Used WSF Merit 5	% SL Hrs Earned WSF Merit 5	Avg Hrs SL Used Statewide*	% SL Hrs Earned Statewide*
18.51 Hrs	107.60%	11.9 Hrs	148.4%

\* Statewide data does not include DOL, DOR, L&I, and LCB  
Source: Payroll; HRMS & IT Records As of June 2007

## Analysis:

- Note: On Jones Act injuries, employees can utilize full sick days in addition to maintenance payments. L & I employees will only use sick days (hours) to fill in "gap" between their L & I partial wages payment and full salary. May skew numbers somewhat higher for Merit 5
- Note: New IBU employees in "on call" status do not earn sick days until they have worked 1,040 hours. May skew numbers slightly lower for Merit 5

## Action Steps:

- Payroll Manager, with support of Labor Relations Manager and Line HR Representatives, will research, obtain more detailed data, and then analyze further, concentrating on the "periodic unpaid time off at request of employee" issue to see if any impact on these numbers as well as breaking down data by bargaining unit and area.
- Other steps are being taken (details mentioned on other pages of report) to address: 1) Negotiations with the IBU on methodology / process used for dispatch of employees in the IBU (negotiations recently completed), 2) Task force being developed to examine options, including financial aspects and legal issues of "on call" positions. If eventually move to a "guaranteed minimum hours of work" system, may help to reduce sick leave usage by having more readily available employees
- Negotiated new leaves policy into most CBA's. This may ultimately positively affect numbers. Employee Risk Management/HR Services Manager and Labor Relations Manager must complete full implementation (updating, communicating, supervisory education, dissemination, etc.)

# Deploy Workforce

Outcomes:  
 Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

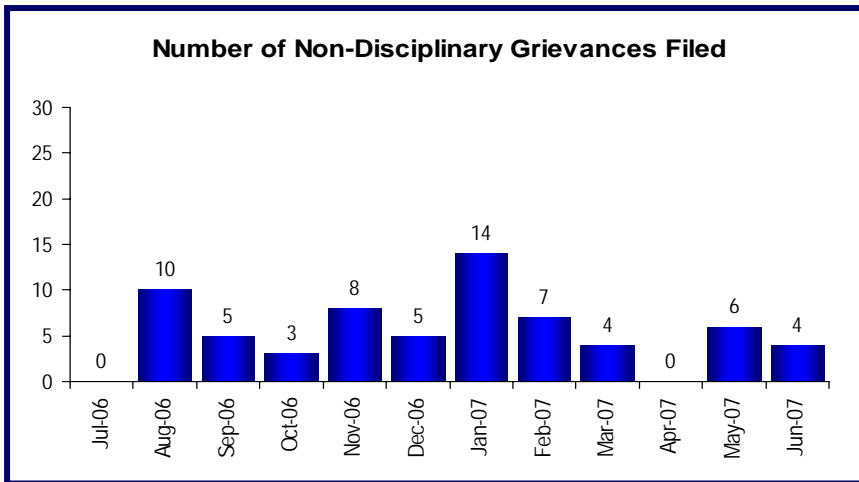
Overtime usage

Sick leave usage

## Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Non-Disciplinary Grievances (Represented Employees)



**Total Non-Disciplinary Grievances = 66**

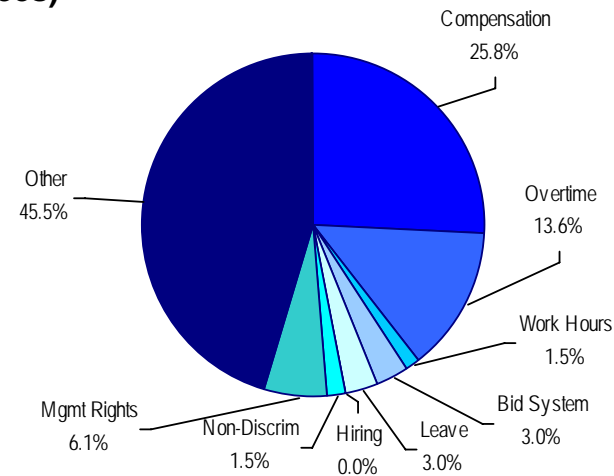
### Disposition (Outcomes) of Non-Disciplinary Grievances

Time period = 07/01/06 through 06/30/07

- **Settled/Resolved: 18**
  - **Withdrawn: 0**
  - **Denied: 40**
  - **Denied, MEC/Private Arbiter Resolution: 14**
    - **Pending: 4**
    - **Withdrawn: 2**
    - **Settled: 7\***
    - **WSF won: 0**
    - **WSF lost: 0**
- \*Two grievances were consolidated into one MEC Case

\* There may not be a one-to-one correlation between the number of grievances filed (shown top of page) and the outcomes determined during this time period. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

## Type of Non-Disciplinary Grievances



### Analysis:

- WSF currently tracks and reports on the progress of every Merit 5 alleged contract violation and disciplinary grievance, resulting from management disciplinary action, from initial filing of the grievance through final resolution which would involve an ultimate appeal in an arbitration decision

### Action Steps:

- LRO will be implementing a statewide grievance tracking system which WSF will adopt when it is fully implemented- bugs need to be worked out for CBU's that are different than state-wide ones. Until the above occurs, WSF will maintain its current system of monitoring the progress of grievances. Although goal for use of system was 07/01/07, issues still need to be resolved which are dependent upon employees outside WSF/WSDOT
- WSF has developed a "Labor/Employee Relations Strategy Framework" to spend more time/effort on non-adversarial/proactive activities. Labor Relations Manager is tracking and analyzing whether this will help us sustain some of the successes we have had over the past 2+ years in grievances and unfair labor practice filings and labor relations climate
- We will keep doing the work we have been doing to build on the success that we have had to sustain our positive momentum

Data as of June 2007

Source: WSF Labor Relations section of WSF HR Department, Grievance Logs

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations  
Employee survey ratings on "productive workplace" questions  
Overtime usage  
Sick leave usage  
**Non-disciplinary grievances/appeals filed and disposition (outcomes)**  
Worker safety

**Not Applicable to WSF Merit 5**

# Deploy Workforce

## Outcomes

Staff know job expectations, how they're doing, & are supported.  
Workplace is safe, gives capacity to perform, & fosters productive relations.  
Employee time and talent is used effectively.  
Employees are motivated.

## Performance Measures

Percent employees with current performance expectations  
Employee survey ratings on 'productive workplace' questions  
Overtime usage  
Sick leave usage  
Non-disciplinary grievances/appeals filed and disposition outcomes

## Worker Safety

**Not Applicable to WSF Merit 5**

# Develop Workforce

## Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

## Performance Measures

**Percent employees with current individual development plans**

**Employee survey ratings on "learning & development" questions**

Competency gap analysis (TBD)

## Individual Development Plans

**Percent employees with current individual development plans =100%**

Total # of employees with current IDP's as of 06/30/07 = 1,649

Total # of employees as of 06/30/07 = 1,649

### Analysis:

- Determined what processes and measures are in place in order for a WSF Merit 5 employee to be able to identify a development plan; determined what is needed for a WSF Merit 5 employee to advance in his/her area
- Development plans exist for positions in each of the nine CBU's
- WSF Merit 5 employees make career advancements primarily through seniority and by training and certifications (e.g. USCG)
- OPEIU employees receive individual development plans through the use of their performance appraisals

### Action Steps:

- Although development plans exist for individual jobs, need to evaluate how well these are communicated to individual employees. Line HR Representatives will develop an informal methodology to do this, to be used for their Vessel, Terminal, Eagle Harbor visits
- Training & Development Manager is leading his department in developing "One Sheeters" on steps necessary for employees to take to advance to the next level, for use aboard vessels and in terminals. Line HR Representatives are developing a "Tick List" of what should be aboard vessels and in terminals, which will include these "One Sheeters". They will monitor use

# Reinforce Performance

## Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened.

Employees are held accountable.

## Performance Measures

### Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

## Current Performance Evaluations

Percent employees with current performance evaluations as of 06/30/07

OPEIU 15.25%

Probationary 22.40%

Sellers 100%

All Others N/A

**Total # of OPEIU employees as of 06/30/07= 59**

**Total # of OPEIU employees with current performance evaluations for as of 06/30/07 = 9**

**Total # of Merit 5 Probationary employees as of 06/30/07 = 125**

**Total # of Merit 5 Probationary employees with current performance evaluations as of 06/30/07 = 28**

**Total # of Sellers as of 06/30/07 = 117**

**Total # of Sellers with current performance evaluations as of 06/30/07= 117**

### Analysis:

- The only Merit 5 employees who we can legally do a full official performance evaluation on are the members of the OPEIU Collective Bargaining Unit
- We are allowed to do performance appraisals on the sales performance aspects of the sellers at the terminals, on a continuing basis
- We are also allowed to do full performance appraisals on Probationary employees
- The percents indicated are the total of OPEIU, Sellers, or probationary employees who have a completed performance evaluation 06/30/07

### Conditions:

- The OPEIU CBA allows a performance evaluation to be given and therefore WSF is continuing to process these evaluations as we are for Merit 1 employees
- Metal Trades have performed performance evaluations in the past but a moratorium through 6/09 has been placed on the practice by agreement between the LRO and Metal Trades CBU
- The remaining seven CBU's are silent on performance evaluations, therefore may not be performed as a term and condition of employment unless negotiated into each CBA. Probationary employees do not fall under the CBA in this aspect. There has been a past practice of doing the performance evaluation of the sellers on a quarterly basis

### Action Steps:

- OPEIU members due a performance appraisal are listed on "Due" sheets handed out at director meetings once per month. This is a new practice. HR Director will publish and monitor results from this point on
- Probationary employees due a performance appraisal are listed on "Probationary" sheets handed out at director meetings once per month. This is a new practice. HR Director will publish and monitor results from this point on

# Reinforce Performance

Outcomes:  
 Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened.  
 Employees are held accountable.

## Performance Measures

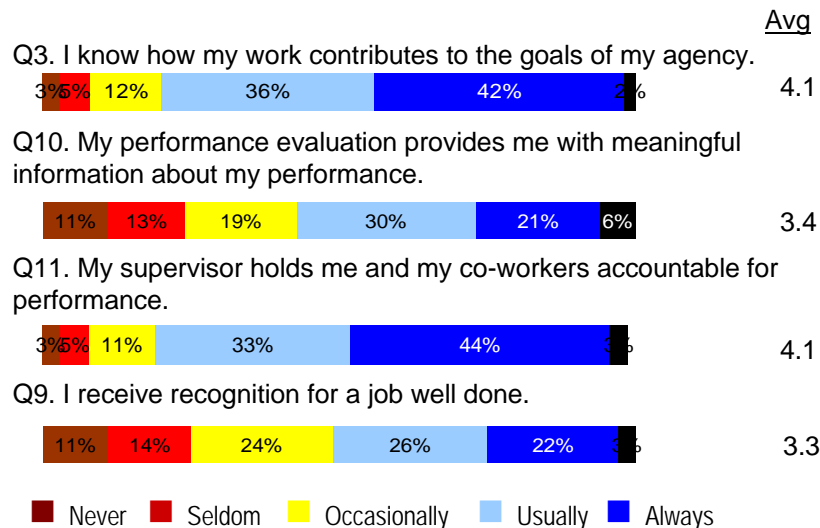
Percent employees with current performance evaluations

### Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

## Employee Survey "Performance & Accountability" Ratings



### Analysis:

- Majority of Merit 5 employees do not receive a formal performance appraisal, therefore, #10 results will be difficult to move up for this group

### Action Steps:

- Action steps identified in other areas (e.g. "Workforce Management Expectations", "Current Position/Competency Descriptions", "Current Performance Expectations"), "Non-Disciplinary Grievances", "Individual Development Plans", and "Turnover Rates") should all be factors in potentially improving these numbers

# Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened.

Employees are held accountable.

## Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on “performance and accountability” questions

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

Reward and recognition practices (TBD)

## Formal Disciplinary Actions

Disciplinary Action Taken Time period = FY2007	
Dismissals	12
Demotions	0
Suspensions	9
Reduction in Pay*	0
<b>Total Disciplinary Actions*</b>	<b>21</b>

\* Reduction in Pay is not currently available in HRMS/BW.

- Issues Leading to Disciplinary Action**
- Attendance
  - Code of Conduct
  - Performance

### Analysis:

- WSF HR Labor Relations department tracks and reports on the condition of every Merit 5 grievance, appeal and disciplinary action from inception to finalization
- There has been a modest reduction in formal disciplinary actions in the second half of the fiscal year
- However, since we are now enforcing, or have begun to enforce newly negotiated provisions in collective bargaining agreements effective at beginning of the present calendar and new fiscal year, the number of formal disciplinary actions may actually rise in the near future

### Action Steps:

- Labor Relations Manager will compile and analyze more detailed information for the 21 disciplinary actions (e.g. what specifically was discipline for, by CBU). Action plan will be developed, if warranted
- Continue to support Operations and Maintenance Departments, along with others, in processing employee discipline – this needs to be recognized as a cultural change at WSF for less than major issues
- WSF will adopt the LRO Statewide tracking system as soon as system issues are identified and resolved. LRO/IT are working on it

Data as of June 2007

Source: WSF Labor Relations section of WSF HR Department, Discipline Log

## Disciplinary Grievances and Appeals

# Reinforce Performance

### Outcomes:

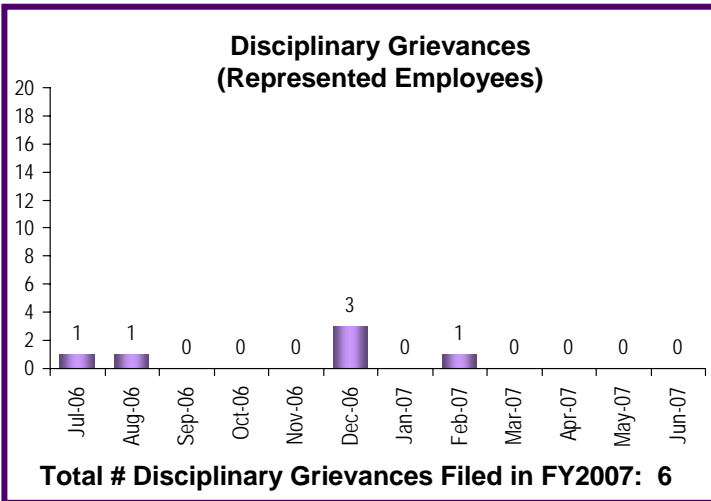
Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures

Percent employees with current performance evaluations  
Employee survey ratings on "performance and accountability" questions

### Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)



### Analysis:

- LRO's statewide grievance tracking system has been put on hold until they can meet and discuss how to make the system more "user friendly". At this point there is no training offered on how to navigate through the many screens of the new tracking system. Until the above occurs, WSF will maintain its current system of monitoring the progress of grievances

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

### Disposition (Outcomes) of Disciplinary Grievances

Time period = 07/01/06 through 12/31/06

- Settled/Resolved: 0**
- Withdrawn: 0**
- Denied: 6**
- Denied, MEC/Private Arbiter for Resolution: 2**
  - Pending: 0**
  - Withdrawn: 1**
  - Settled: 1**
  - WSF won: 0**
  - WSF lost: 0**

Data as of June 2007

Source: WSF Labor Relations section of WSF HR Department, Grievance Log

Note: WSF will be utilizing statewide grievance tracking system, as soon as some "bugs" in system are worked out to reconcile with process for non-statewide unions

# ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

**Employee survey ratings on “commitment” questions**

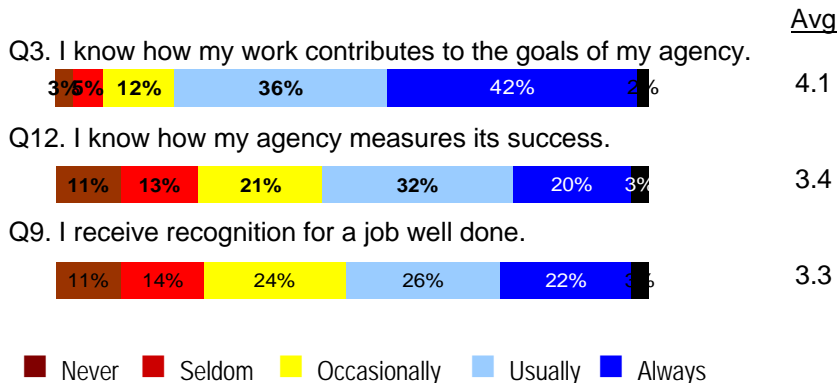
Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

## Employee Survey “Employee Commitment” Ratings



**Action Steps:**

- WSF is currently reviewing and revamping its employee recognition programs, lead by the Office HR Manager
- WSF has developed a “Labor/Employee Relations Strategy Framework” to spend more time/effort on non-adversarial/proactive activities. We believe this will help us sustain some of the successes we have had over the past three years in grievances and unfair labor practice filings and the labor relations climate. This may have a positive influence on the numbers, but is a continuous improvement process with no end date
- In particular, the “Employee Relations” segment and the “Employee Communications” segment of the Labor /Employee Relations Strategy, headed up by the Line HR Rep for Vessel Maintenance & Preservation, and the Director of HR, respectively, are doing continuous improvement work that may improve these numbers
- In short, we need to keep building on the success that we have had to sustain our positive momentum

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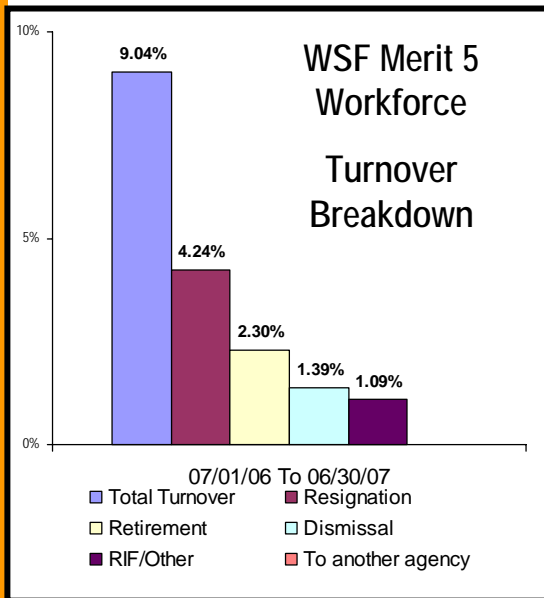
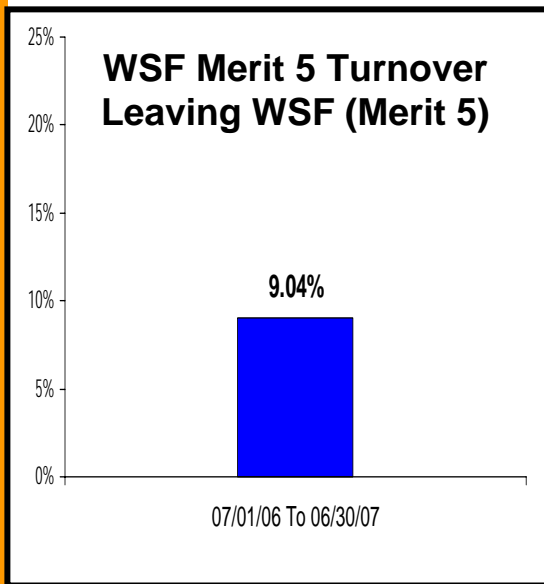
**Turnover rates and types**

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

## Turnover Rates



## Analysis:

- We have a high concern on retirements and upcoming retirements; however, in this group, about double the number of employees resign or are dismissed

## Action Steps:

- Task force being developed by HR Director to examine options, including financial aspects and legal issues of "on call" positions. If eventually move to a "guaranteed minimum hours of work" system, may help to reduce turnover by sustaining employees' interest in their jobs and WSF
- Recent realignment of HR provides individual HR Reps for Vessel Maintenance & Preservation, Terminals, and Deck, who are intimately involved in this year's recruitment process. They will provide recommendations on the recruiting process, sourcing, screening, and initial retention at a "Recruiting Retreat" scheduled for October 23, 2007. HR Director will assist Line HR Reps in developing statistical screening models to help them predict "applicant-to-hire" ratios
- There is no quantifiable data regarding the reliability and validity of most of our current screening methods for Merit 5 fleet employees. The Line HR Reps and the HRC-Recruiting have been assigned to review the screening devices for possible testing, with goal to identify areas to test before next recruiting season. Will review at "Recruiting Retreat" scheduled for October 23, 2007
- Long-term workforce/manpower planning programs need to be developed on a greater and more in-depth scale. HR Director will work with Line HR Reps to develop models and train in analysis and methodology, so models may be utilized beginning in 2008, in particular addressing analysis of expected retirements over the next 10-15 years
- Several segments of the "Labor/Employee Relations Framework" (e.g. "Employee Communications", "Employee Relations") lend themselves to a continuous improvement process in enhancing the employee relations climate. These are permanent efforts to be proactive rather than reactive

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Turnover rates and types

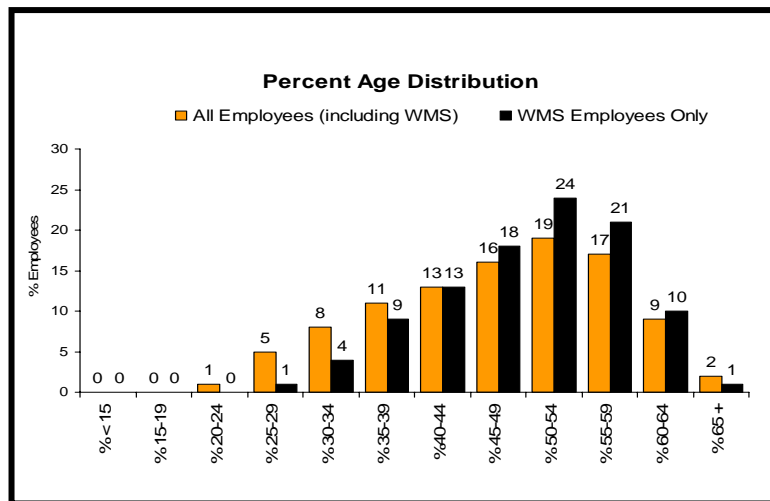
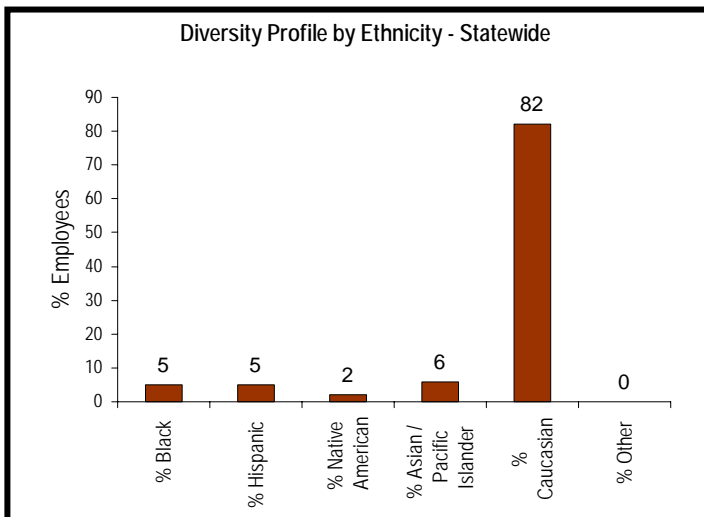
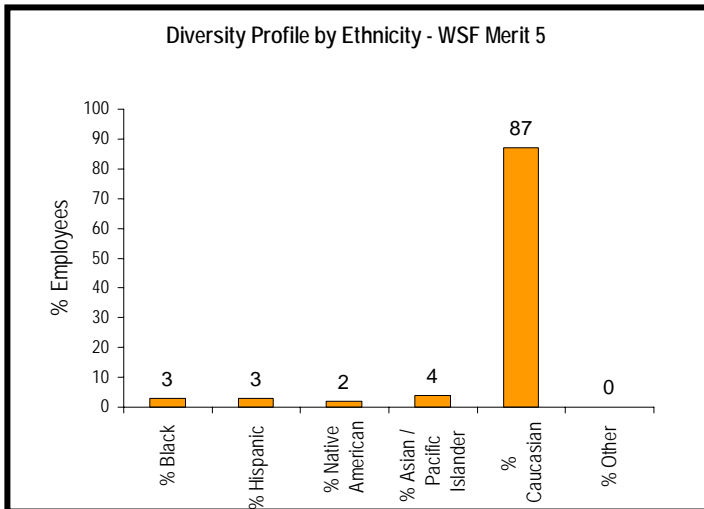
Turnover rate: key occupational categories

**Workforce diversity profile**

Retention measure (TBD)

## Workforce Diversity Profile

	WSF Merit 5	State
Female	23%	53%
Disabled	03%	5%
Vietnam Vet	03%	7%
Disabled Vet	03%	2%
People of color	12%	18%
Persons over 40	86%	75%



### Analysis

- We believe that the number of employees who would self-identify as "disabled" is much higher with employees, currently, than when they were hired, which is the only time they had opportunity to self-identify. That said, most of the fleet positions do not correlate well with "Persons with Disabilities" or "Disabled Veterans"

### Action Steps

- Work with OEO Representative and Fleet Line HR Reps to develop and execute a plan to allow employees to self-identify their current status as disabled, by 12/31/07
- WSF has developed seven "Action Items" from its Affirmative Action Plan (AAP). The HR Director has assigned specific HR personnel to lead each action item, and is conducting quarterly meetings with the assigned personnel, OEO reps, and Line WSF management to evaluate progress. These will remain in affect until/unless next AAP identifies higher importance objectives