Cornerstones for Kids

# Workforce Planning Tool Kit:
## Environmental Scan and
## SWOT Analysis

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**Submitted by:**

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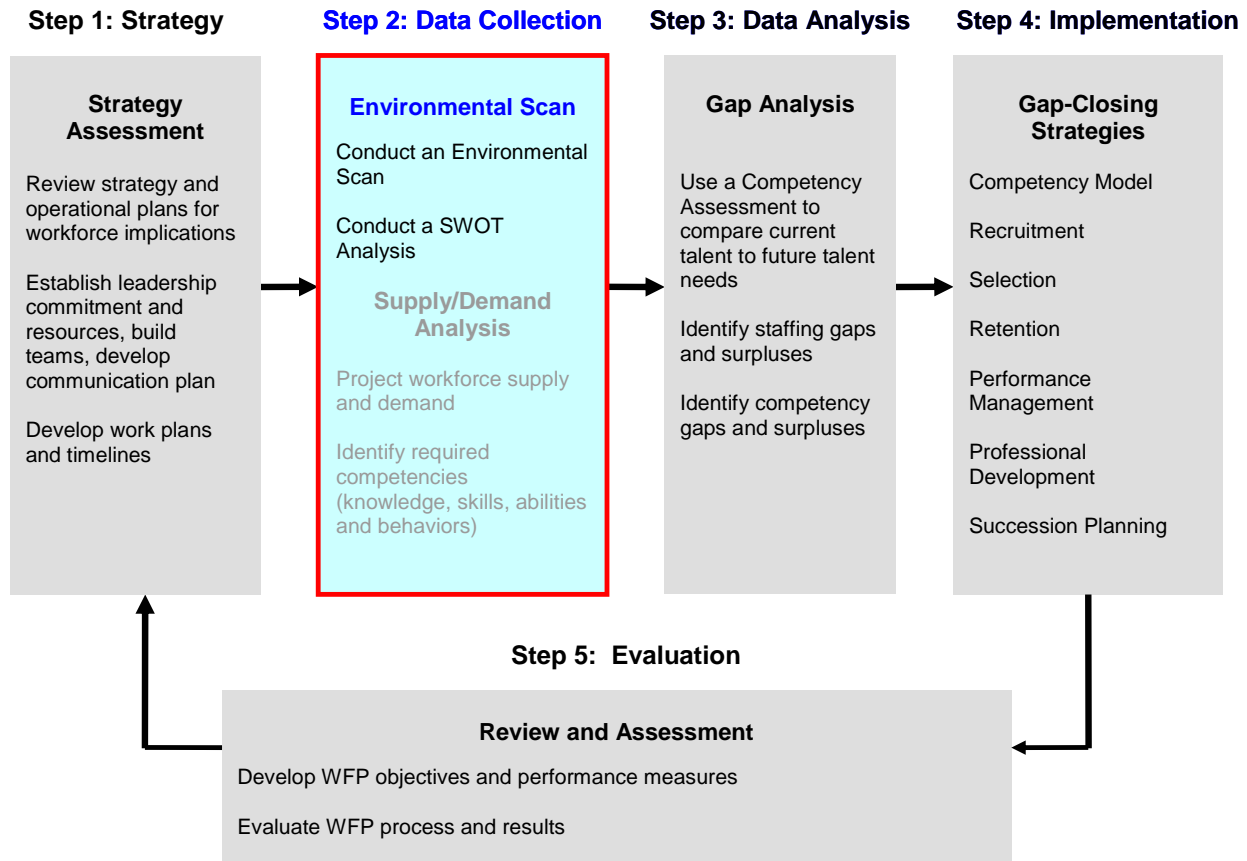(608) 536-3590

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**Step 5: Evaluation**

**Review and Assessment**

Develop WFP objectives and performance measures

Evaluate WFP process and results

We designed this Tool Kit for public-sector and non-profit human services administrators and human resources professionals who want to take a comprehensive approach to addressing workforce issues. The information and guides in this Tool Kit can be used whether you employ an all public-sector and non-profit workforce, a contracted-out service delivery workforce, or a combination of private and public workforce. Similarly, this Tool Kit and the principles of the Workforce Planning model will work in agencies of all sizes – although you may have to modify slightly some of the concepts in a smaller organization.

The *Environmental Scan/SWOT Analysis Tool Kit* will help you:

1. Understand what an Environmental Scan and SWOT Analysis are.
2. Conduct an Environmental Scan and a SWOT Analysis.

A key to success for any agency is planning, and successful planning requires that the people involved have a comprehensive understanding of their current environment. This is true whether you're developing an information technology plan or workforce plan.

Environmental Scanning and SWOT Analysis are sometimes referred to as strategic assessment tools and are commonly used to establish the level of understanding needed for a successful plan, regardless if it is strategic plan or a workforce plan. SWOT is an acronym for **Strengths, Weaknesses, Opportunities and Threats**.

An Environmental Scan and a SWOT Analysis can help confirm or refute common perceptions. Conducting an Environmental Scan involves collecting pieces of external and internal information to assist the agency in focusing on the appropriate short and long-term goals.

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**Workforce Planning: How Step 2 Fits**

Your Environmental Scan will help you understand your agency's internal needs and assets, and the external environment in which you're operating. The Environmental Scan provides information that can help your agency form its vision and identify its Strengths, Weaknesses, Opportunities and Threats (SWOT). This information is necessary in order to complete the Gap Analysis in Step 3 of the Workforce Planning model. Your Environmental Scan and SWOT Analysis will help you assess whether your agency has the internal resources it needs to achieve its goals, and/or whether you can obtain them.

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## What's in the *Environmental Scan/SWOT Analysis Tool Kit*?

- A five-step *Environmental Scan and SWOT Analysis Overview* with links to the appropriate tools.
- Step-by-step instructions on how to complete a successful and useful Environmental Scan and SWOT Analysis.
- Easy-to-apply, hands-on tools to assist your agency in understanding its future workforce needs.
- Sample SWOT Analysis results.
- Further reading and online resources.

## Five Steps to Completing Your Environmental Scan and SWOT Analysis

| To Complete this Step: | Use this Tool: |
|---|---|
| 1. **External Scan**: Identify the types of external information to collect for your Environmental Scan and potential sources of this information. | *Checklist: External Factors* |
| 2. **Internal Scan**: Identify the types of internal (within your agency) information to collect for the Environmental Scan and sources of this information. | *Checklist: Internal Factors* |
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Throughout the Tool Kit, we've used this symbol to indicate the steps and tools listed in the overview table above.

## Introduction to Environmental Scanning and SWOT Analysis

An **Environmental Scan** can be commonly defined as:

> *Environmental Scan is an analysis and evaluation of internal conditions and external data and factors that affect the organization.[1]*

In workforce planning, environmental scanning helps an agency develop the understanding of the internal and external environment needed to determine whether the business needs of the agency are in sync with the availability and competency of the workforce.

Environmental scanning was originally a concept from the business management world by which businesses gathered information from the environment to give themselves a competitive

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[1] *Saskatchewan Finance.* 2006. www.gov.sk.ca/finance/accountability/2006/keyterms.htm.

advantage. Environmental scanning is now widely used by the public and private sector as part of any strategic or business planning process. Environmental scanning can help your agency shape its workforce plan in response to rapid workplace changes and create a vision of your future workforce. For example, environmental scanning can assist a Human Resources manager understand the availability and competency of the workforce and the factors that may be important in the recruitment and retention of the workforce.

Another commonly used strategic assessment tool used to establish the level of understanding needed for successful planning is a **SWOT** (**Strengths, Weaknesses, Opportunities** and **Threats**) Analysis. The technique is credited to Albert Humphrey, who led a research project at Stanford University in the 1960s and 1970s. The background to SWOT stemmed from the need to find out why corporate planning failed. The research was funded by the fortune 500 companies to find out what could be done about this failure. The usefulness of SWOT analysis is not limited to profit-seeking organizations. SWOT analysis may be used in any decision-making situation when a desired end-state (objective) has been defined.[2]

A SWOT Analysis is simple to use and the results are easy to understand. As part of a workforce plan, a SWOT Analysis can provide a big picture of the status of the workforce and how that fits with the status and direction of your agency. It can be effective in identifying and evaluating your agency's internal strengths and weaknesses, and is also used to identify and evaluate the external opportunities and threats that may affect your agency.

While the Environmental Scan is about collecting information and data to gain understanding, the SWOT analysis is about categorizing this information into action buckets. Information and trends discovered during the Environmental Scan process can provide the foundation for a SWOT Analysis finding. For example, if the Environmental Scan predicts that there will be a shortage of trained child welfare workers, this shortage would likely be identified as a Threat in the SWOT Analysis.


## Introduction to Workforce Planning

Before walking through the process for developing an implementation and evaluation strategy for your workforce plan, it's constructive to establish a common foundation and understanding of Workforce Planning:

> *Workforce Planning is the process of ensuring that an organization can achieve its mission by having the right people with the right skills in the right places at the right times.*

Operationally, Workforce Planning is a systematic process for identifying the human capital required to meet organizational goals and developing the strategies to meet these requirements.[3] Workforce Planning also includes the logical next step – identifying how to eliminate these talent gaps and develop the competencies needed for success.

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[2] http://en.wikipedia.org/wiki/SWOT_analysis
[3] National Academy of Public Administration. May 2000. *Building Successful Organizations: A Guide to Strategic Workforce Planning*. www.napawash.org/publications.html.

This is particularly important in human services agencies where the introduction of new reforms, changing expectations, refocused program emphasis, new client populations, and the demand to become "outcome oriented" may require the workforce to have new and different skills and competencies.

Workforce Planning is more critical than ever today, to prepare agencies for the workforce crisis that is being created by profound demographic shifts. At the macro level, for example, there are more than 80 million baby boomers in the United States today, accounting for almost 28 percent of our nation's population. As these boomers begin to retire in large numbers, the entire nation will face a workforce crisis because there are only 40 million in the population to replace the baby boomers.

Moreover, as the nation's population and workforce increasingly diversify, agencies will need to adapt their cultures, management and human resources approaches to this diversity. The agencies that do this in a carefully planned way will succeed in attracting and retaining talent. Those that don't evolve face the very real risk of failing to achieve their mission, and their potential.

It's important to keep in mind that WFP is not a one-time event; it's about developing competencies to address workforce issues over time. Agencies that commit to the development of a workforce plan will gain a thorough understanding of their current workforce and will identify the competencies that will move the agency forward. Workforce planning puts the agency "one step ahead", resulting in informed staffing decisions that benefit the agency in both the short term and long term. More importantly, it helps recognize the most effective and efficient use of employees in creating a workforce that is and will continue to be flexible and responsive.

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**Baby Boomers and Public-Sector Workforce Planning**

The crisis of retiring "baby boomers" will hit government first because public sector workers are, on average, older than private sector workers. Plus, most public servants can retire earlier than their private sector colleagues. It is anticipated that over one million baby boomer human service workers will be eligible for retirement.[1] But the workforce challenge is not simply about the overall worker shortage. Many of the baby boomer retirees will be the public sector's most experienced and talented leaders. As these people leave the workforce, agencies will need to retain and transfer their knowledge. To succeed, public sector agencies must build their leadership pipelines now.

[1] *CPS Human Resource Services. 2006.* Workforce Planning Overview.
See also: *CPS Human Resource Services. 2005.* Building the Leadership Pipeline in Local, State and Federal Government.

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# Tool 1 – Conducting an Environmental Scan

## Collecting Data

The first step to conducting an Environmental Scan is to **collect external and internal data relevant to the workforce**. An agency needs to thoroughly understand the external and internal factors, and trends, that may affect its current workforce in order to successfully plan for the future.

An Environmental Scan/SWOT Analysis can be completed by the human resources staff or by a team with membership representing a cross section of the agency.

Using a team with a varied membership to collect the external and internal data shares the workload, encourages participation throughout the agency, and promotes a diversity of perspectives.

A team approach to completing an Environmental Scan includes these steps:

1. Each team member researches one or more of the external or internal factors.
2. Each team member prepares a list of relevant factual data for the individual external or internal factor they are researching. While some of the information collected may be based on perceptions, it is important that the information have its basis in sound data or reasoning so that future planning decisions can be made confidently. For example, it could skew a workforce plan to assume that workers won't retire until at least age 62 because that is the age when the workers may qualify for Social Security benefits. Employees may consider factors other than age in determining when they will retire, including availability of reasonably priced health insurance, financial situation, family considerations, or job satisfaction. It is important to be aware of these motivations so that they can be addressed in the workforce plan.
3. Members share their completed lists of external and internal factors with the entire team – each team member should have a complete list of all of the factors.

**External Factors** – Some of the types of external workforce data that you should collect include:

- Colleges' and educational institutions' enrollments and specialties.
- Changing composition of the workforce and shifting work patterns including demographics, diversity and outsourcing.
- Government influences – policies, laws and regulations affecting the work and workforce.
- Economic conditions that affect available and qualified labor pools, i.e., unemployment rates and housing prices.
- Geographic and competitive conditions, i.e. turnover data, secondary and post-secondary school enrollments, enrollments in curricula needed to support organizational change.

The *External Sources of Information Checklist* on the next two pages provides a template for collecting external data needed for conducting a comprehensive Environmental Scan. It lists potential sources of information, including online resources. Internet resources and search engines can be the most comprehensive and easy to use.

## Checklist: External Sources of Information

| General Area | Types of Information | Sources of Information | Web Address | X |
|---|---|---|---|---|
| **Educational** | • University, college, technical college, and other educational institutions' student enrollments<br>• High school student enrollments<br>• Ethnicity of students<br>• Enrollments in curricula needed to support to support mission of organization | US Department of Education, National Center for Education Statistics (NCES) | www.ed.gov/searchResults.jhtml<br><br>www.ed.gov/index.jhtml | |
| | | State and local Departments of Education or Public Instruction | | |
| | | College and other educational institutions' admission/registrar offices (for example, University of Wisconsin data) | http://registrar.wisc.edu/students/acadrecords/enrollment_reports/ | |
| **Demo-graphic** | • Civilian workforce age, gender, and ethnicity<br>• Changes in occupations and ethnicity in the civilian workforce<br>• Civilian workforce education levels<br>• Current trends in staffing patterns (such as part-time employment or job sharing)<br>• Availability of part-time or volunteer workforce | US Department of Labor, Bureau of Labor Statistics (BLS) provides information on labor market forecasts | www.bls.gov<br><br>www.dol.gov/do/topic/statistics/demographics.htm | |
| | | US Department of Commerce, Bureau of Economic Analysis | www.bea.gov | |
| | | State and local Departments of Labor, Commerce or Business Development, or Workforce Development | | |
| | | State and local Departments of Personnel or Human Resources or professional organizations such as Society for Human Resource Management | www.shrm.org<br>www.ipma-hr.org | |
| **Political/ Govern-mental** | • Employment laws<br>• Trends in lawsuits and court actions<br>• Changes in rules and regulations<br>• Certification requirements | State and local employment statutes and regulations | | |
| | | Internet and political trend watchers | http://www.cookpolitical.com/ | |
| | | National and local newspapers, news magazines (For example, Time Magazine or The Wall Street Journal) | http://www.time.com/time/<br>http://online.wsj.com/public/us | |

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| General Area | Types of Information | Sources of Information | Web Address | X |
|---|---|---|---|---|
| **Economic/ Social/ Cultural** | ▪ Unemployment rates, general and specific geographical areas<br>▪ Available and qualified labor pools<br>▪ Competition for human services providers<br>▪ Emerging occupations and competencies<br>▪ Prevalence of outsourcing or privatization<br>▪ Availability of affordable housing, transportation, and health care | US Department of Labor | www.dol.gov/dol/topic/statistics/occupations.htm | |
| | | University of Connecticut, Department of Economics | http://ideas.repec.org/ | |
| | | National Association of State Personnel Executives | www.naspe.net | |
| | | Federal Deposit Insurance Corporation | www.fdic.gov/bank/analytical/survey/index.html | |
| | | National and local newspapers, news magazines | | |
| **Geographic** | ▪ Migration patterns<br>▪ Desirability of key geographic areas | US Department of Labor | www.dol.gov/dol/topic/statistics/geography.htm | |
| | | National Center for Health Statistics | www.cdc.gov/nchs/products/pubs/pubd/hus/state.htm | |
| | | | www.indeed.com/jobtrends.jsp | |
| **Techno-logical** | ▪ Emerging trends in automation and new technology<br>▪ Type of skills needed for new technology | News reports and magazines | | |
| | | Internet searches on technology trends | | |
| | | Technology watch groups | www.trendhunter.com<br>www.gartner.com | |
| | | US Department of Health and Social Services | www.cms.hhs.gov | |

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# Guidelines: Looking for Workforce Data on the Internet

The amount of information available on the Internet can be overwhelming. Most web sites provide links to more specific information, or contain an internal search tool. One of the best sources of information for an environmental scan on the workforce is the Bureau of Labor Statistics (BLS). The BLS web site (www.bls.gov) contains many links in areas including:

- Wages, Earnings and Benefits
- Occupations
- Employment and Unemployment
- Industries
- Demographics

It may take several steps to get to the information you are looking for. For example, to find the number of employees working in the social services profession in Connecticut and their average hourly wage, you would follow these links:

| Step and Web Address | Web Page Title |
|---|---|
| 1. www.bls.gov | Bureau of Labor Statistics' Home Page |
| 2. www.bls.gov/oes/home.htm | Occupational Employment Statistics Page |
| 3. www.bls.gov/oes/current/oes210000.htm | 21-0000 Community and Social Services Occupations (Major Group) Page |
| 4. www.bls.gov/oes/current/oes211021.htm | 21-1021 Child, Family, and School Social Workers Page |
| 5. www.bls.gov/oes/current/oes211021.htm#st | State Profile (Connecticut) for this Occupation Page |

On the final web page you will see that there are 4,660 employees in the Child, Family and School Social Workers occupation in Connecticut earning an average hourly wage of $25.27. If you are interested in further refining your search to specific metropolitan area such as New Haven, Connecticut, you can follow the links to www.bls.gov/oes/current/oes_75700.htm.

Tips for using the Internet to do environmental scan research include:

- In addition to search engines within web sites, use Internet search engines such as Google, Yahoo, or Lycos to find information by entering a question.
- The more specific you can get in your search, the more relevant the results will be to your situation.
- There may be occasions where it will be difficult to find the specific job or academic information you are looking for; in those cases you may need to use broader information, combine information, or use of a similar job title or academic degree. This is acceptable to get a broad perspective of the topic as long as the information is not misrepresented.

**Internal Factors** – Internal data that agencies should look at to conduct a SWOT Analysis include:

- Identify the current workforce skills, looking at education, language skills and competencies for successful performance.

- Identify retirement eligibility projections and patterns for key positions in the agency, specifically to determine where the agency is the most vulnerable to a wave of retirements and a loss of knowledge and the need for succession planning. It can be difficult to forecast retirements; the *Gap-Closing Strategies Tool Kit* can assist you with this process.

- Determine the demographic profiles of current employees – age, race, sex, etc. – to determine the diversity of the workforce and areas for improvement.

- Determine the current state of the agency's union relations – is there a partnership relationship? If not, what will it take to develop a relationship that will support organizational change?

- Assess the organizational climate. Is your staff feeling supported and nurtured, or are they feeling overwhelmed and burnt out, or somewhere in between? This assessment will help the agency understand where they need to begin in implementing change. You can conduct this assessment by developing and distributing an employee satisfaction survey and tabulating the results. The *Likert Organizational Climate Assessment Survey* is an example that would yield similar valuable information about what the employees are feeling. (See Appendix E for sample Likert Climate Assessment Forms.)

- Track turnover data to determine the amount of turnover in the agency, the types of turnover and reasons staff are leaving the agency to determine the impact turnover is having on the agencies ability to provide service. Exit interviews and surveys are a good source of information on why staff may be leaving your agency. Exit interviews are typically conducted by human resources (HR) professionals or some other third party rather than by the departing employee's supervisor. The departing employee is usually more willing to share their thoughts with an objective third party, resulting in a more objective evaluation of the organization. Fore more information on how to develop exit interviews and surveys, see the *Turnover Tool Kit*.

- Understand the budget and the impact organizational change will have on salaries and benefits.

- Know the political environment. What might you expect in terms of possible changes in leadership: Governor, Commissioners, and Agency Director?

The *Internal Sources of Information Checklist* on the next page provides a template for collecting internal data needed for conducting a comprehensive Environmental Scan and SWOT Analysis.

You can usually find the information or data needed for an internal Environmental Scan on your organization's internet or intranet site, the human resources or budget and financial management staff, or from business and strategic planning documents. The goal is to collect as much relevant information as possible. If your agency doesn't tabulate or collect information like turnover data or exit interviews, it makes sense to start this process now so that it is available for future Environmental Scans and SWOT Analyses.

# Checklist: Internal Sources of Information

| General Area | Types of Information | Sources of Information | X |
|---|---|---|---|
| Employee Skills and Compe-tencies | <ul><li>Knowledge, skills, and abilities of current employees (often referred to as competencies, with core competencies being those necessary to do the job)</li><li>Courses and training programs offered and attended by employees</li><li>Language skills of employees</li></ul> | <ul><li>Human Resources staff</li><li>Training Officer</li><li>Internal training records or training management system</li><li>Employee surveys</li></ul> | |
| Employee Demo-graphics | <ul><li>Number and location of full-time employees</li><li>Number and location of part-time employees</li><li>Demographic profiles of current employees: Age; Race (to determine the diversity of the workforce); Gender (to determine the diversity of the workforce); Length of service; Retirement eligibility (projections by work units and job classifications)</li></ul> | <ul><li>Human Resources staff</li><li>Payroll records</li><li>Affirmative Action reports</li><li>Workload reports</li><li>Organizational studies</li><li>Organizational charts</li><li>Staffing plans</li></ul> | |
| Labor Relations | <ul><li>Current labor agreement provisions and expiration dates</li><li>Organization's relationship with unions (collaborative or adversarial)</li></ul> | <ul><li>Current labor contracts</li><li>Labor/management meeting minutes</li><li>Labor representatives and labor relations staff</li><li>Human Resources staff</li></ul> | |
| Organiza-tional | <ul><li>Organizational climate (is the staff feeling supported or overwhelmed)</li><li>Experience with change projects</li></ul> | <ul><li>Strategic plan</li><li>Exit interviews</li><li>Focus groups and worker surveys</li><li>Human Resources staff</li><li>Employee Assistance Program administrator</li><li>Change project reports</li><li>Employee surveys, such as a Likert Organizational Climate survey</li></ul> | |
| Turnover | <ul><li>The amount of turnover in the agency</li><li>The types of turnover and reasons for leaving the organization</li></ul> | <ul><li>Human Resources staff</li><li>Exit interviews</li></ul> | |
| Budget | <ul><li>Budget available for new positions, salary increases and additional fringe benefits</li><li>Budget available for training employees</li><li>Budget available for technology tools and organizational change</li></ul> | <ul><li>Strategic and Business Plan</li><li>Organizational Performance Management Plan(s)</li><li>Financial Report(s)</li><li>Budget Reports</li><li>Current and projected biennial budget</li><li>Current and projected annual operating budget</li></ul> | |
| Political | <ul><li>Political environment, possible changes in leadership</li></ul> | <ul><li>Newspaper reports</li><li>Long-time employees who have experienced change</li></ul> | |

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A partial list of Internal Scan factors for employee demographics would include:

- The average age of all employees is 48
- The average age of all managers and supervisors is 54
- 77% of all employees are female
- 12% of all employees self-identified themselves as a racial/ethnic minority
- 68% of all employees have Bachelor's Degree
- 32% of all employees have a Master's Degree or are PhD's

The list for other external and internal factors would look very similar. Once you've collected all of the Environmental Scan information, the next step is to involve others in reviewing this information and participating in the SWOT Analysis process.

# Tool 2 – Conducting a SWOT Analysis

## Step 1: Invite Participation

Once you've collected your external and internal Environmental Scan information, the next step in the process is to share this information with the individuals who will be participating in the actual SWOT Analysis. Information discovered during the Environmental Scan provides a valuable insight to what might be your agency's Strengths, Weaknesses, Opportunities and Threats. The *SWOT Analysis Matrix* provides an illustrative way to display these data that is easy to understand.

### The SWOT Matrix

The end product of a SWOT Analysis is a SWOT Matrix. Use the *SWOT Analysis Matrix* to record the **Strengths, Weaknesses, Opportunities and Threats** of your agency.

Strengths and weaknesses are usually considered to be internal to your agency, while opportunities and threats are usually considered external factors.

> ➤ Tip:

**Six Simple Rules for a Successful SWOT Analysis**

1. Be realistic about the strengths and weaknesses of your organization when conducting your SWOT Analysis.

2. A SWOT Analysis should distinguish between where your organization is today, and where it could be in the future.

3. SWOT should always be specific. Avoid grey areas. Stay focused on the topic being analyzed, in this case, the workforce.

4. Always apply SWOT in relation to your competition, i.e. better than or worse than your competition. It is important to identify who you are competing against for workers; the competition may be private sector employers or other public agencies or non-profits.

5. Keep your SWOT short and simple. Avoid complexity and over analysis

6. SWOT is subjective.

Taken from:
*www.marketingteacher.com/Lessons/lesson_swot.htm*

# Template: SWOT Analysis Matrix

|  | **Positives** | **Negatives** |
|---|---|---|
| **Internal Factors** | **Strengths**<br><br>• | **Weaknesses**<br><br>• |
| **External Factors** | **Opportunities**<br><br>• | **Threats**<br><br>• |

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You'll obtain the best results from your SWOT Analysis by giving participants time to absorb the results of the Environmental Scan and prepare their own draft SWOT Matrix. To give participants a head start in thinking about the data and the process before completing the agency's final SWOT Matrix:

- Provide participants with the collected Environmental Scan information.
- Provide participants with a draft SWOT Matrix with adequate space to record what they see are the agency's workforce Strengths, Weaknesses, Opportunities and Threats. Include a brief description of how your agency will use the information (e.g. to develop a workforce plan for the next five years).

You can share this information by conducting group discussions or distributing it electronically by email or through an online survey. Distributing the environmental scan and SWOT Matrix electronically allows for wider distribution and greater participation within your agency.

**Gathering Agency Feedback**

Appendix B includes electronic tools for obtaining feedback on the Environmental Scan and SWOT information. To receive honest and objective feedback, it is important to assure participants that you will maintain their anonymity. This is especially important when using electronic tools to obtain feedback. Once the promise of confidentiality has been broken it may be difficult to regain the trust of the respondents.

- **Sample email** – to send to a representative number of employees or to all employees of your agency to get their feedback on the agency's Strengths, Weaknesses, Opportunities and Threats. Ask participants to email their responses back. The SWOT Team or human resources staff then document and summarize the responses.
- **Sample web-based survey** – to collect feedback online. (We used Zoomerang in our example.) There are some advantages to using an online survey tool to collect SWOT information:
  - You can assure participants of confidentiality.
  - The web host can summarize survey results or provide a spreadsheet of the results, eliminating the need for team members or human resources staff to perform the tabulation.

Share the Environmental Scan information lists with team members even when using a web-based survey tool. You can distribute these by email or by posting them on an intranet site and referencing the intranet address in the online survey.

Once employees have had the opportunity to participate in the process by submitting draft SWOT information, schedule a meeting to complete the final SWOT Analysis for the agency.

## Step 2: Conduct a SWOT Analysis Meeting

The next step in the Environmental Scan and SWOT Analysis process is to assemble a team to meet and complete the process. The team could consist of the individuals who completed the Environmental Scan, human resources staff, or a different cross section of the agency's

employees. Follow the steps in the *Conducting a Successful SWOT Analysis Meeting Worksheet* on the next three pages to arrange an effective SWOT Analysis meeting.

# Worksheet: Conducting a Successful SWOT Analysis Meeting

## Step 1 – Explain the Process

Since time is usually at a premium for meeting participants, it is important that the participants understand why they are at the meeting and what the expected outcomes of the meeting are.

- Explain that the purpose of the meeting is to conduct a SWOT Analysis of the agency's workforce. Define SWOT Analysis as the ***process of documenting the agency's Strengths, Weaknesses, Opportunities and Threats***.
- Explain how your agency will use the outcome of the meeting – that the results are important because the information will serve as a foundation for the agency's workforce and strategic/business planning.
- Before beginning the business part of the meeting, establish meeting ground rules (an agreed upon set of norms on how the meeting will be conducted):

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### Sample Meeting Ground Rules

Teams meeting to complete a SWOT Analysis should develop ground rules that define how team members want the meeting to be conducted. Ground rules help promote meeting efficiency and member participation. The ground rules should be developed and agreed upon by the team members at the start of the meeting. Ten of the most common meeting ground rules include:

1. Respect each other and refrain from making personal attacks.
2. Acknowledge that it is OK to disagree.
3. Listen to others, don't interrupt.
4. Everyone participates; no one dominates, value the diversity of team members.
5. Honor time limits: be on time, start on time, end on time
6. Recognize that all ideas are potentially good ideas, don't rush to evaluate suggestions; keep an open mind.
7. Stick to the agenda – stay on task. Usually the meeting leader or another designated individual serves as a facilitator and is responsible for facilitating the meeting and keeping it on task and on time.
8. Be prepared for the meeting by reviewing materials distributed beforehand and bringing any requested materials with you
9. Respect confidentiality, what is said in the meeting should stay in the meeting.
10. Make arrangements to not be interrupted during the meeting; turn off cell phones.

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## Step 2 – List Strengths

Develop a list of all of the internal strengths of the agency incorporating feedback from the team members, emails and surveys. Discuss the strengths and clarify any questions or confusion. Examples of strengths could include an experienced staff or good employee training program.

**Step 3 – Identify Weaknesses**

Repeat the process you used to identify strengths to generate a list of the agency's weaknesses. Weaknesses are internal factors that may impact workforce planning negatively. Examples of weaknesses could include an absence of procedural manuals or lack of an employee mentoring program. It is possible that a strength could also be a weakness. For example, long-time employees could be a strength because of their experience, but may be a weakness because it might indicate a workforce close to retirement.

**Step 4 – List Opportunities**

Repeat the process to list opportunities. Opportunities are external factors, as opposed to the internal factors of strengths and weaknesses. Opportunities could include new relevant training programs at educational institutions or an emerging diverse workforce.

**Step 5 – Identify Threats**

Repeat the process to identify threats. Threats are also external factors. Threats could have a negative impact on your workforce planning and could include a projected increase in the cost of employee health insurance or an expected reduction in government funding. Again it is possible that an opportunity may also be perceived as a threat. For example, new technology tools might be an opportunity, but also threaten staffing levels.

**Step 6 – Establish Priorities**

You will have four lists once you've identified your Strengths, Weaknesses, Opportunities and Threats. Use a prioritization process to reduce each of the four lists to five top priorities. Two options for doing this are:

1. Give each person in the group five sticky dots and have them place the dots beside the options they prefer. They can choose five individual options or place multiple dots on an option they feel strongly about. The option with the greatest number of dots will determine the course of action.
2. Ask participants to rank the options using a scale of 1 to 5, where 5 points represents their first choice, 4 their second choice, etc. The desired option is the one that accumulates the highest total score.

On the next page is a *Sample Completed SWOT Matrix* with five top priorities for workforce planning for a human services agency.

## Sample Completed SWOT Matrix

| Strengths (internal) | Weaknesses (internal) |
|---|---|
| 1. The agency has an experienced and dedicated workforce<br>2. There is a good training program for new employees<br>3. Senior management is committed to workforce planning<br>4. Human resource staff are easy to work with and willing to try new recruitment ideas<br>5. 50% of the staff hold a professional certification | 1. Over 50% of the managers and supervisors are eligible for retirement<br>2. The agency does not offer a mentoring program<br>3. The agency lacks the technology tools to be more efficient<br>4. Procedural manuals need to be updated<br>5. The current workforce is not very racial/ethnic diverse |
| **Opportunities (external)** | **Threats (external)** |
| 1. New information technology tools can provide quicker data sharing between agencies and client information retrieval<br>2. There are job sharing opportunities with other agencies<br>3. A large number of retired baby boomers are considering returning to the workforce on a part-time basis<br>4. Federal and state agencies have expressed interest in merging services<br>5. Universities are looking for internship opportunities for their students | 1. The demand for workers in the field exceeds the supply of potential workers<br>2. There is less federal money available for training grants<br>3. Budget and full-time positions have been limited by the legislature<br>4. Educational institutions are reducing the number of courses offered in this field<br>5. The number of residential treatment centers has been declining steadily |

### Step 7 – Discuss Next Steps

The next step begins the process of turning the results of the Environmental Scan and SWOT Analysis into something actionable. Encourage group discussion about the four prioritized lists by asking:

- How can we maximize the use of our strengths?
- How can we overcome the threats identified?
- What do we need to do to overcome the identified weaknesses?
- How can we take advantage of our opportunities?

Explain to the team members that the results of their efforts will be incorporated in the agency's business and workforce planning in the form of action plans.

Appendix D includes more information on conducting effective and efficient meetings.

**CPS** *Human Resource Services*

# Appendix A – Additional Resources

| Organization: | The Leader's Institute |
|---|---|
| Publication: | *Conducting Effective Business Meetings* |
| Web Address: | www.leadersinstitute.com/teambuilding/articles/efficientmeetings.html |

| Organization: | Ontario Ministry of Agriculture, Food and Rural Affairs |
|---|---|
| Publication: | *Successful Meetings* |
| Web Address: | www.omafra.gov.on.ca/english/rural/facts/05-035.htm |

| Organization: | CPS Human Resource Services |
|---|---|
| Publications: | ▪ *Workforce Planning Overview*<br>▪ *The Turnover Tool Kit: A Guide to Understanding and Reducing Employee Turnover*<br>▪ *The RJP Tool Kit: A How-To Guide for Developing a Realistic Job Preview*<br>▪ *Workforce Planning Tool Kit: Supply and Demand Analysis and Gap Analysis* |
| Web Address: | www.cps.ca.gov/ConsultingServices/HSRC/ |

| Organization: | National Association of State Personnel Executives |
|---|---|
| Publications: | ▪ *Workforce Planning Web Conference Series Session 1 Getting Started*<br>▪ *Workforce Planning Web Conference Series Session 2, Creating Action Plans for Implementing Workforce Planning* |
| Web Address: | www.naspe.net |

| Organization: | Queensland Government |
|---|---|
| Topic: | *Conducting a SWOT Analysis* |
| Web Address: | www.smartsmallbusiness.qld.gov.au |

| Organization: | ABARIS Consulting, Inc |
|---|---|
| Topic: | *How To Conduct A SWOT Analysis* |
| Web Address: | www.abarisconsulting.com/ |


| Organization: | Texas Family Services |
|---|---|
| Topic: | *Health and Human Services System Strategic Plan*<br>*For the Fiscal Years 2005–2009*<br>Health and Human Services Enterprise Workforce Plan |
| Web Address: | www.hhs.state.tx.us/StrategicPlans/HHS05-09/final/AppE.shtml |


| Organization: | State of Texas |
|---|---|
| Topic: | *Workforce Planning Guide* |
| Web Address: | www.hr.state.tx.us/workforce/guide.html |


| Organization: | For-Learn |
|---|---|
| Topic: | *SWOT (Strengths, Weaknesses, Opportunities and Threats) Analysis* |
| Web Address: | http://forlearn.jrc.es/guide/2_design/meth_swot-analysis.htm |


| Organization: | US Office of Personnel Management |
|---|---|
| Topic: | *Strategic Alignment and Workforce Planning* |
| Web Address: | www.opm.gov/hcaaf_resource_center/3-1.asp |


| Organization: | BNET |
|---|---|
| Topic: | *Analyzing Your Business's Strengths, Weaknesses, Opportunities and Threats* |
| Web Address: | http://i.i.com.com/cnwk.1d/i/bnet/Analyzing_Your_Business.pdf |


| Organization: | mystrategicplan |
|---|---|
| Topic: | *Internal and External Analysis* |
| Web Address: | http://mystrategicplan.com/strategic-planning-topics/internal-and-external-analysis.shtml |

| Organization: | Wikipedia |
|---|---|
| Topic: | *Performing the SWOT Analysis* |
| Web Address: | http://en.wikipedia.org/wiki/SWOT_Analysis |

| Organization: | NetMBA Business Knowledge Center |
|---|---|
| Topic: | *SWOT Analysis* |
| Web Address: | www.netmba.com/strategy/swot/ |

| Organization: | US Department of the Interior |
|---|---|
| Topic: | *Workforce Planning Instructional Manual* |
| Web Address: | www.doi.gov/hrm/WFPIManual.html |

# Electronic Mail Survey Sample

**Date:**             January 2, 2007

**From:**            Director of Human Resource Services

**To:**                All Employees

**Subject:**        **SWOT** Analysis Survey

**Attachments:**  Environmental Scan Information

Our organization needs to address and plan for the potentially changing workforce. We need your assistance to develop strategies for this planning effort.

Please complete the survey below by selecting **"Reply"** to this email and listing your responses in space provided. When you have completed your survey, select **"Send"**.

Please list our organization's Strengths, Weaknesses, Opportunities and Threats (**SWOT**) as they relate to workforce planning. This type of planning tool is often referred to as a SWOT Analysis. Attached for your review is environmental scan information that lists external and internal factors that may be important to our workforce planning.

Workforce planning can be defined as a systematic approach to identifying the workforce required to meet an organization's goals and developing the strategies to meet these workforce needs. **Your name will be kept confidential and no responses will be attributed to you**.

1. What are the strengths of our organization related to the workforce? Strengths are internal factors or attributes of the organization that are helpful to achieving the organization's goals and objectives.

    1.
    2.
    3.
    4.
    5.

2. What are the weaknesses of our organization related to the workforce? Weaknesses are internal factors or attributes of the organization that may be harmful or prevent the organization from achieving its goals and objectives.

    1.
    2.
    3.
    4.
    5.

3. What are the opportunities related to the workforce in our organization? Opportunities are external factors or conditions that would help our organization achieve its goals and objectives.

    1.
    2.
    3.
    4.
    5.

4. What are the threats related to the workforce in our organization? Threats are external factors or conditions that are harmful or may prevent our organization from achieving its goals and objectives.

    1.
    2.
    3.
    4.
    5.

Do you have any additional comments about the challenges of a changing workforce or workforce planning that you would like to share?

Thank you for participating in this survey.

### Identifying Strengths, Weaknesses, Opportunities and Threats in Workforce Planning

Our organization needs to address and plan for the potentially changing workforce. We need your assistance to develop strategies for this planning effort. Please list our organization's Strengths, Weaknesses, Opportunities and Threats (SWOT) as they relate to workforce planning. This type of planning tool is often referred to as a SWOT Analysis. Please review the environmental scan information prior to completing this survey.

Workforce planning can be defined as a systematic approach to identifying the workforce required to meet an organization's goals and developing the strategies to meet these workforce needs.

**Your name will be kept confidential and no responses will be attributed to you.**

**1**

What are the strengths of our organization related to the workforce? Strengths are internal factors or attributes of the organization that are helpful to achieving the organization's goals and objectives.

1.

2.

3.

4.

5.

**2**

What are the weaknesses of our organization related to the workforce? Weaknesses are internal factors or attributes of the organization that may be harmful or prevent the organization from achieving its goals and objectives.

1.

2.

**3**

What are the opportunities related to the workforce in our organization? Opportunities are external factors or conditions that would help our organization achieve its goals and objectives.

1. 
2. 
3. 
4. 
5. 

**4**

What are the threats related to the workforce in our organization? Threats are external factors or conditions that are harmful or may prevent our organization from achieving its goals and objectives.

1. 
2. 
3. 
4. 
5. 

**5**

Thank you for participating in this survey. Do you have any additional comments about the challenges of a changing workforce or workforce planning that you would like to share?

# Appendix C – SWOT Analysis Examples

**State of Minnesota Department of Employee Relations SWOT Analysis**

| Strengths | Weaknesses |
|---|---|
| <ul><li>Existence of previous strategic Human Resources planning efforts offers several innovative solutions</li><li>Tools to improve human resources activities are available (e.g., interview guide and training manual)</li><li>Experienced workforce dedicated to mission. Employees feel "part of the team"</li></ul> | <ul><li>Failure to communicate formally and informally, both cross-functionally and within departments</li><li>No continual evaluation and updating of human resources practices and policies</li><li>Lack of accountability of managers and employees to achieve clear and measurable performance levels</li></ul> |
| **Opportunities** | **Threats** |
| <ul><li>"Personnel" is allowing for more creative and flexible options (e.g., for compensation and staffing)</li><li>Advanced technologies are available to foster more effective human resources activities</li><li>Availability of information about best practices in human resources</li></ul> | <ul><li>Full-time employees (FTE) and budget constraints imposed by legislature</li><li>Government is moving toward privatization increasing the competition for services</li><li>Other organizations may attract employees and business away from us</li></ul> |

Disclaimer: This case study has been compiled from information freely available from public sources. It is intended to be used as an example for educational purposes only.[4]

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[4] State of Minnesota, Department of Employee Relations. 2004.
www.doer.state.mn.us/wfplanning/step1.htm.

## Department of Social Services SWOT ANALYSIS

| Strengths | Weaknesses |
|---|---|
| <ul><li>Experienced, resourceful, dedicated workforce</li><li>Strong community partnerships/collaboration</li><li>Continuous Quality Improvement promotes teamwork</li><li>Proactive management team</li></ul> | <ul><li>Parking for customers</li><li>Diminished Resources – Increased Consumer Demand</li><li>Uniformity across divisions</li></ul> |
| **Opportunities** | **Threats** |
| <ul><li>Leadership training for possible advancement</li><li>Collaborate with community partners</li><li>Promote teamwork across divisions</li><li>Identify/tap into staff hidden strengths</li></ul> | <ul><li>Staff turnover</li><li>Budget</li><li>Privatization</li><li>Fewer people willing to do child welfare</li></ul> |

Disclaimer: This case study has been compiled from information available from public sources. This SWOT is based on an analysis completed as part of the strategic planning process for Washington County (Maryland) social services.[5] It is intended to be used as an example for educational purposes only.

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[5] www.dhr.state.md.us/county/washing/plan06.pdf, Strategic Plan (Revised September 28, 2005 for FY'06) For the period: July 2003-June 30, 2007, SWOT ANALYSIS (Updated September 28, 2005).

## Social Work Education in Canada SWOT Analysis

| Strengths | Weaknesses |
|---|---|
| <ul><li>A holistic practice orientation</li><li>The linkage between theory and practice</li><li>Regulation and certification</li><li>A generalist approach to practice</li><li>Increased cultural relevance of social work education</li><li>High quality social work programs</li><li>A continued demand for social worker</li><li>The values of the profession</li></ul> | <ul><li>Lack of professional identification, or identity crisis</li><li>An inability to promote the profession</li><li>The diffuse knowledge base of the profession</li><li>Conflict between the values of social action and social control</li><li>A lack of preparation to manage the stress of our work</li><li>Insufficient aboriginal, visible minority and multicultural members of the profession</li></ul> |
| **Opportunities** | **Threats** |
| <ul><li>A trend to neoliberalism</li><li>Increasing identification of social workers with the bureaucracy</li><li>Increasing managerialization</li><li>Increased community responsibility for service delivery</li><li>Interdisciplinarity</li></ul> | <ul><li>Design of cost effective programs which meet service user needs</li><li>Exercise of responsibility for social advocacy</li><li>Development of managerial competence in social workers</li><li>Extension of job opportunities through privatization</li><li>Articulation of social work competencies</li></ul> |

Disclaimer: This case study has been compiled from information available from public sources. This SWOT is based on research carried out for a study of human resource needs of social workers in Canada.[6] It is intended to be used as an example for educational purposes only.

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[6] Westhues, Anne, Jean Lafrance and Glen Schmidt. Taylor & Francis Group Online Journals. Volume 20, Number 1. February 1, 2001
http://taylorandfrancis.metapress.com/(i3hlye3tvul0xl45kotytg55)/app/home/contribution.asp?referrer=parent&backto=issue,4,13;journal,41,103;linkingpublicationresults,1:104324,1

## Alaska Children Experiencing Homelessness SWOT Analysis

| Strengths | Weaknesses |
|---|---|
| • Alaska is very wealthy. Large amount of natural resources, but we have limited access to them. $30 billion in permanent fund, $2 billion state reserve. Can access interest from fund, but not the principal<br>• Mental health trust authority, AK housing Authority is in better shape than other places. Native corporations can contribute to their regions (some)<br>• Some tribal governments apply for grants, e.g., to refurbish housing in rural areas | • Less local government – less tax revenue. This is often by local choice<br>• Funding allows agencies to stand alone and not require collaboration to accomplish their work<br>• Money is not always tied to outcomes<br>• Multiple funding streams also can lead to lack of coordination<br>• Lack of roads and infrastructure. Costs more to build |
| **Opportunities** | **Threats** |
| • Set up trust funds, because State has wealth<br>• Lot of planning going on and need to integrate all the plans<br>• Involving business or corporate community to address this issue, e.g., housing of their own workforce<br>• Can go to each community for resources that they can bring to the table | • Medicaid match change<br>• Cost of and lack of access health care is a threat<br>• Weakening federal support to states. Contracting block grant funding<br>• Housing costs rise and out-pace wages<br>• Federal funding doesn't cover operating funds. Funding for specific little projects |

Disclaimer: This case study has been compiled from information available from public sources.[7] It is intended to be used as an example for educational purposes only.

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[7] www.hrsa.gov/homeless/pa_materials/pa8/0502.rtf, *Improving Access to Mainstream Services for Families with Children experiencing Homelessness.* Intercontinental Hotel, Houston, Texas, April 20-22, 2005.

## Starbucks SWOT Analysis

| Strengths | Weaknesses |
|---|---|
| <ul><li>Starbucks Corporation is a very profitable organization, earning in excess of $600 million in 2004.</li><li>It is a global coffee brand built upon a reputation for fine products and services.</li><li>Starbucks was one of the *Fortune Top 100 Companies to Work For* in 2005. The company is a respected employer that values its workforce.</li><li>The organization has strong ethical values and an ethical mission statement.</li></ul> | <ul><li>Starbucks has a reputation for new product development and creativity. However, they remain vulnerable to the possibility that their innovation may falter over time.</li><li>The organization has a strong presence in the United States of America. It is often argued that they need to look for a portfolio of countries, in order to spread business risk.</li><li>The organization is dependant on a main competitive advantage, the retail of coffee. This could make them slow to diversify into other sectors should the need arise.</li></ul> |
| **Opportunities** | **Threats** |
| <ul><li>Starbucks are very good at taking advantage of opportunties.</li><li>In 2004 the company created a CD-burning service in their Santa Monica (California USA) cafe with Hewlett Packard, where customers create their own music CD.</li><li>New products and services that can be retailed in their cafes, such as Fair Trade products.</li><li>The company has the opportunity to expand its global operations. New markets for coffee such as India and the Pacific Rim nations are beginning to emerge.</li><li>Co-branding with other manufacturers of food and drink, and brand franchising to manufacturers of other goods and services both have potential.</li></ul> | <ul><li>Who knows if the market for coffee will grow and stay in favour with customers, or whether another type of beverage or leisure activity will replace coffee in the future?</li><li>Starbucks are exposed to rises in the cost of coffee and dairy products.</li><li>Since its conception in Pike Place Market, Seattle in 1971, Starbucks' success has lead to the market entry of many competitors and copy cat brands that pose potential threats.</li></ul> |

Disclaimer: This case study has been compiled from information freely available from public sources. It is intended to be used as an example for educational purposes only.[8]

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[8] www.marketingteacher.com/SWOT/starbucks_swot.htm

## Nike SWOT Analysis

| Strengths | Weaknesses |
|---|---|
| <ul><li>Nike is a very competitive organization.</li><li>Nike has no factories. It does not tie up cash in buildings and manufacturing workers. This makes a very lean organization.</li><li>Nike is strong at research and development.</li><li>Nike is a global brand.</li></ul> | <ul><li>The organization does have a diversified range of sports products. However, the income of the business is still heavily dependent upon its share of the footwear market. This may leave it vulnerable if for any reason its market share erodes.</li><li>The retail sector is very price sensitive. Nike does have its own retailer in Nike Town. However, most of its income is derived from selling into retailers.</li></ul> |
| **Opportunities** | **Threats** |
| <ul><li>Product development offers Nike many opportunities. The brand is fiercely defended by its owners whom truly believe that Nike is not a fashion brand. However, like it or not, consumers that wear Nike product do not always buy it to participate in sport. This creates its own opportunities, since product could become unfashionable before it wears out i.e. consumers need to replace shoes.</li><li>There is also the opportunity to develop products such as sport wear, sunglasses and jewellery. Such high value items do tend to have associated with them, high profits.</li><li>The business could also be developed internationally, building upon its strong global brand recognition. There are many markets that have the disposable income to spend on high value sports goods. For example, emerging markets such as China and India have a new richer generation of consumers.</li></ul> | <ul><li>Nike is exposed to the international nature of trade. It buys and sells in different currencies and so costs and margins are not stable over long periods of time. Such an exposure could mean that Nike may be manufacturing and/or selling at a loss. This is an issue that faces all global brands.</li><li>The market for sports shoes and garments is very competitive.</li><li>As discussed above in weaknesses, the retail sector is becoming price competitive. This ultimately means that consumers are shopping around for a better deal.</li></ul> |

Disclaimer: This case study has been compiled from information freely available from public sources. It is intended to be used as an example for educational purposes only.[9]

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[9] www.marketingteacher.com/SWOT/nike_swot.htm

# Appendix D – Conducting Effective and Efficient Meetings

When meeting to complete a SWOT Analysis or to conduct other business, the most productive meetings are those that are run effectively and efficiently. Below are some universal tips to help any meeting run more smoothly.

1. Distribute the agenda prior to the meeting. Define the purpose of the meeting, list the agenda items and time allotments, and include any reference materials that should be reviewed prior to the meeting.

2. Write the agenda and meeting goals on a blackboard or flipchart in the meeting room. This will help keep the team members focused on the tasks at hand. Follow the agenda, start on time and end on time.

3. Your meeting should have a facilitator, either the meeting leader or another designated individual. The role of the facilitator is to keep the discussion focused on the topic, stay on the agenda, and stay on time. It would be very easy for a meeting on workforce planning to turn into a meeting with participants discussing everything about the organization. The facilitator controls the meeting by establishing time limits, listing specific agenda items, defining the purpose of the meeting, and controlling the discussions.

4. Make introductions, have team members introduce themselves and tell where they work or what they do.

5. Use a warm-up activity, sometimes called an icebreaker. This activity serves two purposes: 1) it promotes participation and communication; and 2) it encourages team work and team building.

6. Have the team members develop and agree upon meeting ground rules. These agreements establish norms for participant behavior and define how the meeting will be conducted.

7. Encourage participation from all team members and ensure that no one team member dominates the discussion. Brainstorming can be used to generate ideas, remember that during brainstorming ideas should not be evaluated or criticized.

8. Determine how decisions will be made. There are a number of methods to make decisions ranging from voting to building consensus. A majority vote decision method requires support from more than 50% of the members of the group and can be accomplished through voting, either by a show of hands or written secret ballot. The following prioritization techniques can also be used to arrive at the option that the majority supports:

   - Give each person in the group five sticky dots and have them place the dots beside the options they prefer. They can choose five individual options or place multiple dots on an option they feel strongly about. The option with the greatest number of dots will determine the course of action.

   - Participants are asked to rank the options using a scale of 1 to 5, where 5 points represents their first choice, 4 their second choice, etc. The desired option is the one that accumulates the highest total score.

- When simple voting may result in some unhappy team members, a consensus decision method strives to avoid "winners" and "losers". Consensus requires that a majority approve a given course of action, but that the minority agree to go along with the course of action. All team members don't need to favor the decision, but all team members need to be able to live with the decision and support it.

9. Keep the discussion focused on the agenda items to avoid investing time where team members discuss items that are extraneous to the agenda. The comments may be interesting, but they are not likely productive to the meeting's goals.

10. Park issues that are important, but unrelated to the specific agenda in a "Parking Lot" by recording them on the flipchart or blackboard for future consideration or agendas.

11. Prior to adjourning the meeting summarize the results and conclusions from the meeting; record any actions or assignments, who is responsible to complete them, and timeline for each action.

12. Use a check-out to end the meeting. A check-out is an opportunity for team members to share their thoughts on how the meeting went, what worked well and what could be done to improve future meetings.

# Appendix E – Likert Organizational Climate Survey Forms

# Implementing Effective Correctional Management of Offenders in the Community
# The Likert Survey

## Background

The National Institute of Correction and the Crime and Justice Institute's initiative *Implementing Effective Correctional Management of Offenders in the Community* is intended to reduce offender recidivism by using an integrated model to implement evidence-based practices in corrections.  The model focuses concurrently on evidence-based practices, organizational development and collaboration.  The Initiative's National Project Team has chosen to conduct Rensis Likert's Organizational Climate Survey with participating organizations as a means to measure organizational productivity and change over time.

Rensis Likert is one of the founders of business management theory and an applied psychologist.  He is best remembered for his research in organizational management and the development of the Likert Survey Scale.  Likert developed the survey scale as a means of measuring attitudes while completing his thesis work at Columbia University in 1932.  In 1967, he published *The Human Organization: Its Management and Value* in which he developed theories of business management.

## The Survey Structure

Likert used his own categorization system, breaking management styles into the four systems described in Figure 1.  These four management systems provide the overall structure for the Likert Organizational Climate Survey.

The fourth system, *participative*, is described as the ideal system for human-concerned organizations.[1]  In this system, leadership has confidence in their staff, personnel at all levels feel real responsibility for organizational goals, there is strong communication, and a substantial amount of cooperative teamwork.

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[1] Likert, R.  (1967). *The Human Organization: Its Management and Value* (New York: Harper and Row).

**Figure 1**
**Organizational and Performance Characteristics of**
**Different Management Systems**

| System | Description | Trust | Motivation | Interaction |
|---|---|---|---|---|
| **System 1:** **Exploitative-Authoritative** | Threats from management serve as the motivation to those in the lower levels of the system. | No trust | Fear, threats, punishment | Little interaction, always distrust |
| **System 2:** **Benevolent-Authoritative** | A less tyrannical system than the first, but one in which there is still a significant lack of communication between the lower and upper levels of the system. | Master / Servant | Reward, punishment | Little interaction, always caution |
| **System 3:** **Consultative** | Marked increase in communication between levels from the previous two groups. | Substantial but incomplete trust | Reward, punishment, some involvement | Moderate interaction, some trust |
| **System 4:** **Participative** *(This is the system that Likert describes as ideal.)* | People on all levels of the system have responsibility and work together to achieve common goals. Value must be placed on each individual and the importance of respect at all levels of the organization. | Complete trust | Goals based on participation and improvements | Extensive interaction, friendly, high trust |

Likert emphasized the importance of the informal structure of the organization and suggested some important aspects of the informal structure that can modify, supplement, or replace the more traditional structural designs used in business and government. His suggestions are based on his research into the following organizational and performance characteristics:

- Leadership processes
- Character of communication process
- Character of motivational forces
- Character of interaction-influence processes
- Character of decision-making processes
- Character of goal setting or ordering
- Character of control process.

These characteristics form the question categories in Likert's Organizational Climate Survey. Each response continuum is divided into four intervals relating to the four management styles / systems (Figure 2). In completing the survey, participants are asked to place an "X" on the

continuum at the point which best describes their organization. Responses which fall to the left of the center of the continuum are indicative of an authoritative system of management while those that fall to the right of center indicate a system which is more participative. Likert found that the lowest productivity organizations fall to the left of the continuum and that the organizations falling to the right of the continuum have the highest productivity.

However, each organization is different and has different productivity indicators. Therefore the assessment is structured so that organizations are measured against their own notion of "ideal" in each of the 18 questions. Each question is answered two ways, first, how things are now and second, the perceived "ideal" for that question. By allowing each organization to set its own benchmark "ideal," the survey honors the specific needs of the specific correctional agency surveyed.

**Figure 2. Likert's Management Systems** [2]
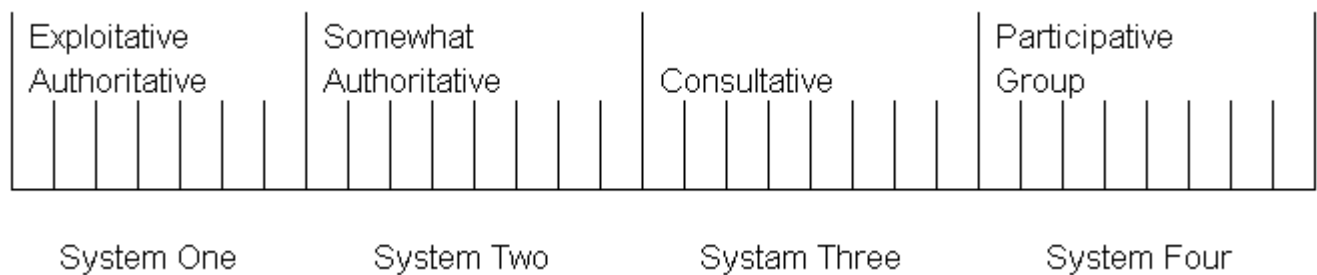


Survey participants are then asked to place an "O" on the continuum at the point which best describes their ideal organization. There is often a gap between survey participants' description of their current organization and their ideal organization. This gap can then be used to identify and prioritize areas in which an agency can focus its organizational development efforts. Survey's conducted at regular intervals can be used to identify trends and measure progress of these organizational development efforts.

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[2] Likert, R. *The Human Organization*.