

## Guidance for Labor-Management Forum Metrics

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## Scope of Guidance for Forums

The guidance in this document was drafted on behalf of the National Council on Federal Labor-Management Relations (Council). Each Labor-Management forum, whether at the Department or Agency level, or at a level of recognition in the field, should use the following guidance to inform its metrics development and reporting process.

Executive Order 13522 on Creating Labor-Management Forums to Improve Delivery of Government Services tasked the Council in “developing suggested measurements and metrics for evaluation of the effectiveness of the Council and department or agency labor-management forums in order to promote consistent, appropriate, and administratively efficient measurement and evaluation process across departments and agencies.”

Section 3(a)(iii) of the Executive Order states that agencies will:

evaluate and document, in consultation with union representatives and consistent with the purposes of this order and any further guidance provided by the Council, changes in employee satisfaction, manager satisfaction, and organizational performance resulting from the labor-management forums.

Metrics should be practical and easily understood. If they require a lot of explanation and definition, then turning data into action becomes more difficult. In that regard, the National Council identified three distinct, but complementary, objectives about which metrics should be collected:

- (1) improve the agency’s ability to accomplish its mission and deliver high quality products, services, and protection to the public;
- (2) improve the quality of employee worklife; and,
- (3) improve the labor-management relations climate.

Category	Recommendation of Metrics Working Group
<b>Issue Identification</b>	Track significant issues addressed by the forum. This information will provide useful context for understanding the metrics selected and measurements collected and allow for the Council to track progress across forums.
<b>Mission Accomplishment and Service Quality</b>	Track at least one relevant metric appropriate to the issue addressed by the forum that reflects mission accomplishment or improvements in service delivery or cost-effectiveness in an area affected by the forum’s work.
<b>Employee Satisfaction and Engagement</b>	Track at least one metric that captures an aspect of employee satisfaction and engagement that is relevant to the issue(s) addressed by the forum.
<b>Labor-Management Relationship</b>	Track descriptive information with respect to each issue on which pre-decisional input was provided by or through the forum, and at least one metric pertaining to perceptions of the forum’s effectiveness, including a survey of forum participants and if applicable, those

	affected by the forum. See Appendix C for examples.
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In each of the categories listed, the Metrics Working Group recommends that each forum identify and report at least the following:

### Goal and Metrics Development, Data Collection, and Reporting Mechanisms

Forums should begin by identifying an issue (or issues) on which the forum will focus for improvement and for which it will make decisions about actions or steps to be taken to make these improvements. After a forum has identified the steps and actions to be taken on each issue, it should identify the metrics it will use, related to the issue, to monitor progress implementing forum-suggested actions and to assess the impact of those actions.

Appendix A includes a template that forums can use to document their issues, metrics, and actions. Appendix B includes a sample of a completed template.

Forums should report identified issues, goals, and metrics to their agencies by December 31, 2010 and update their agencies on the data collected at least bi-annually thereafter. Agencies should report annually on the metrics they receive from their forums to the Council. By March 31, 2011 agencies should report to the Council on the measures that will be included in their baselines. The first full agency report, based on forum baseline data, should be sent from agencies to the Council by December 31, 2011.

#### **Schedule for Tracking and Reporting**

- December 31, 2010 – All forums will have identified issues, goals and metrics internally for reporting on a baseline
- March 31, 2011 – Agencies will report to the Council on what their forums have chosen to measure as a baseline and the feasibility of reporting on each predecisional issue
- September 30, 2011 – Forums have six-month report due to Agencies on their performance against their identified metrics
- December 31, 2011 – Agencies will report to the Council on their forum’s performance against identified metrics using the September forum reports and available updates

## **1. Mission and Service Delivery Metrics**

**\* Forums should select appropriate metrics from the list below, related to issue(s) identified.**

### Overview

Executive Order 13522 aims to promote satisfactory labor relations and “improve the productivity and effectiveness of the Federal Government.” Section 1(b)(ii) of the Executive Order states that the Council is responsible for “collecting and disseminating information about, and providing guidance on, labor-management relations improvement efforts in the executive branch, including *results achieved*.” (emphasis added)

The focus of metrics in this category is evaluating and documenting changes in results achieved, specifically whether the forum is contributing to improved mission achievement, service quality, or cost-effectiveness. The Council recognizes that Federal employees are engaged in a wide variety of tasks, working to achieve results for the American people in different ways. Creating metrics that capture the richness of missions across the government, or even within some Departments and agencies, is a challenge. Still, the Council believes that creating and collecting measures of results achieved through the forums is a critical task for those engaged in this effort and will be a valuable source of information for evaluating how the entire effort is functioning. In many cases, agencies may have already developed metrics for evaluating mission achievement, service quality, or cost-effectiveness through their strategic plans. Forums may decide to use existing metrics, as appropriate, or may develop new metrics that are more relevant to the issues being addressed by the individual forums.

### **Varied Missions, Varied Measures**

The Council recommends that forums select measures from the following nine categories:

1. General or Specific Outcomes
2. Process / Cycle time
3. Error Rate / Quality
4. Public Responsiveness / Problem resolution / Customer Satisfaction
5. Internal Resource Management
6. Cost Savings / ROI
7. Revenue Collected
8. Agility
9. Other

Definitions and examples of these metrics include:

1. **General or specific outcomes** – These metrics include broad deliverables to outside stakeholders that employees and management may collaborate to achieve. An individual forum may find it useful to specify a subset of people or businesses that will be the focus of the forum’s attention. Examples of these from agency strategic plans include:
  - a. HUD – percent of total mortgagors that complete counseling for resolving or preventing mortgage delinquency who successfully avoid foreclosure
  - b. Commerce – private sector dollars invested in distressed communities as a result of EDA investments
  - c. Justice – escapes from secure Bureau of Prison facilities
  
2. **Process / Cycle Time** - These metrics gauge progress streamlining or otherwise improving internal processes to achieve better cycle times. Examples of these include:
  - a. NTSB – percentage of Emergency Opinions and Orders Submitted on Time
  - b. State – number of days to process background investigations for State Department personnel
  - c. Energy – percentage of land special use permit applications for energy related facilities that are completed within prescribed timeframes
  - d. Commerce - average Patent Pendency (patent processing time)
  
3. **Error Rate / Quality** – Attention to error rates and other aspects of quality when a forum focuses on improving processes and efficiency, ensures that acceptable quality is not sacrificed for speed or cost reductions. Some examples of error rate and quality measures include:
  - a. SBA – erroneous payment rates
  - b. HUD – rate of program errors and improper payments in HUD’s rental housing assistance programs
  
4. **Public Responsiveness / Problem resolution / Customer Satisfaction** – Every Federal government organizational unit deals with individuals and groups of people outside the organization and addressing their needs can be paramount to organizational success. Establishing public responsiveness metrics to gauge whether government is meeting the needs of outside stakeholders is particularly important for forums dealing with issues where there is direct contact with customers. Some examples include:
  - a. NTSB – number of successfully implemented Federal Most Wanted List of Transportation Safety Improvement recommendations within the last 5 years

- b. DOD – percentage of beneficiaries satisfied with military health care (to be compared to the percentage satisfied with civilian health care)
  - c. NARA – percentage of requests delivered within the target response deadline
  - d. Interior – Facilities Condition: Condition of priority NPS buildings as measured by the Facilities Condition Index (FCI)
- 5. Internal Resource Management** - These measures improve internal agency resource management to serve the needs of internal stakeholders and to improve transactions with suppliers or delivery partners.
- a. NTSB – percentage of employees who are satisfied or very satisfied with effectiveness of communications
  - b. Defense – percentage of renewable energy produced or procured based on DoD’s annual electric energy usage, compared to target
- 6. Cost Savings / Return on Investment** – Finding ways to cut costs while keeping outcomes and service quality high is extremely important in the current Federal budget environment. Forums are encouraged to quantify costs to find ways to reduce the cost of effective program delivery practices and increase the return on government investment. Some cost-related metric examples include:
- a. PBGC – cost per participant in trusteed plan
  - b. NTSB – cost recovery rates for NTSB Training Center
  - c. Energy – Weatherization Assistance Program benefit-cost ratio excluding non-energy benefits (ratio of value of energy saved to program cost)
- 7. Revenue Collected** – These metrics are only applicable to forums where participants are involved in collecting revenue, but can be important indicators supporting mission success. Some examples include:
- a. PBGC – percentage of new claims pursued for post-termination premium payments where former plan sponsors emerge from bankruptcy
  - b. SEC – percentage of debts where a payment has been made within six months of the due date of the debt
- 8. Agility** – These metrics are focused on the ability of the forums or the agency to make decisions and execute plans and strategies requiring short turn-around collaboration, in order to quickly implement the agreed-to solution.
- a. Number of days it takes to decide on a new telework policy
  - b. Number of meetings required to change the procedure for approving annual leave

**Other** – While the Council created the above categories where metrics had common attributes across organizations, some metrics may be specific to the mission of an individual forum. The Council encourages forums to create relevant specific metrics even if they don't fall into any other categories but are reflective of accomplishing the mission of many forum participants.

## **2. Employee Satisfaction and Engagement Metrics**

**\* Forums should select at least one of the metrics below, related to issue(s) identified.**

### Overview

The focus of metrics in this category is evaluating and documenting changes in employee and manager satisfaction related to the efforts of the labor-management forums. The Council believes that workforce satisfaction can help drive government performance. As part of their collaboration, forums should consider how employees and managers view matters that affect motivation, commitment, and performance, and how Forum efforts can improve attitudes about such matters.

Workforce attitudes can be measured in a number of ways including surveys, group interviews, and factual observations about behaviors and actions.

### **Use of the Employee Viewpoint Survey**

A common, government-wide measurement tool is the annual Employee Viewpoint Survey carried out by the Office of Personnel Management (OPM). The survey is useful at the agency, and in many cases, at the bureau level. Many of the questions have been asked of employees for nearly a decade and therefore can provide a historic baseline for areas of interest at agency level. If forums use the survey itself, or develop their own surveys using some of the same questions, it will be easy to make comparisons with other government entities and within the agency.

Your forum should consider tracking and trying to improve on any questions where employee scores or trends are worrisome and the forum can have an effect. Your forum may want to monitor individual questions or a set of questions as a broader index of attitude.

The following statements and questions are examples from the Employee Viewpoint Survey:

- My work gives me a feeling of personal accomplishment.
- How satisfied are you with your involvement in decisions that affect your work?
- Considering everything, how satisfied are you with your job?
- How satisfied are you with the information you receive from management on what's going on in your organization?
- Creativity and innovation are rewarded.
- Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.
- I am given a real opportunity to improve my skills in my organization.
- Overall, how good a job do you feel is being done by your immediate supervisor/team leader?

### **Other Sources of Data for Metrics**

Depending on areas of emphasis, agencies and forums may choose to use other data collection tools to gauge changes in employee satisfaction. Some behavioral or action-oriented metrics that may tie in with Forum efforts include:

- changes in employee retention rates where turnover has been a problem
- trends in discrimination complaints, and
- availability and use of work-life programs

While the metrics listed above are not tailored to each work environment or organizational need, the Council asks that each Forum select at least one metric concerning employee satisfaction that the Forum will track and aim to improve.

### **3. Labor-Management Relationship Metrics**

**\* Forums should identify issues they seek to resolve and the descriptive information of the issue resolution described below. In addition, forums can track subjective measures related to issue(s) identified.**

#### **Overview**

The focus of the recommended metrics set forth below involves evaluating and documenting improvements in labor-management relations. The goal is to chart changes in labor-management relations resulting from labor-management forums. The metrics are divided into two categories: descriptive information; and subjective views.

#### **Guidelines**

For minimal measurement, it is recommended that both Labor and Management agree on measurements from each category. It is noted that both purely statistical information as well as anecdotal evidence concerning the state of labor-management relations is relevant in assessing whether relationships have improved. Accordingly, reports to the Council should include such anecdotal evidence where the particular forum participants agree that it is instructive.

#### **Descriptive Information**

This data should be collected at the forum levels where specific labor-management relations issues are identified and resolved. Such resolution can include collective bargaining agreements, and should also include general policy determinations that are developed through the collaborative efforts of labor and management at a forum. Accordingly, this data should be collected for forums at all levels within an agency.

Data should be tracked with respect to each issue on which pre-decisional involvement was provided by or through the forum, as well as any other issues that the forum deems appropriate. The data should include the following, and may be collected and reported in the template provided in Appendix A:

1. The issue or issues identified, including the significance of the issue -- i.e., costs, number of employees impacted, impact on mission performance or delivery of services
  - a. The dates identified and dates resolved (if at all)
  - b. Whether or not resolved
  - c. If yes, the nature of the resolution; If no, explanation for why unresolved
  - d. Nature of any resolution -- i.e., collective bargaining agreement, a resolution or plan
  - e. Manner in which issue addressed -- i.e. pre-decisionally, whether through traditional bargaining, third-part assistance necessary
2. At what level the issue was resolved -- i.e., forum, bargaining teams, before a third party such as an arbitrator, FLRA, EEOC, MSPB
3. Resources associated with addressing issue -- i.e., timeline, money, staff

### **Subjective Views**

This data can be collected from a survey provided to both union and management representatives. Participants should include those with a role in Employee/ Labor Relations, such as supervisors/managers; HR specialists who handle labor and employee relations matters; and union officials/representatives. Ideal measurements should evaluate:

- Whether pre-decisional involvement has occurred
- Whether labor and management has a productive relationship
- Whether information is shared and available to both parties
- Whether there is organizational support for labor-management relations
- Whether bargaining/negotiations are effective

In formatting survey questions, we recommend exploring areas that include the following: (1) general labor-management interactions; (2) nature of dispute resolution -- i.e., the grievance process; (3) negotiations; and (4) general suggestions for improving labor-management relations. Sample questions in each area are set forth in Appendix C.

### **Other Data**

In addition to the information set forth above, it is recommended that Agencies track and/or map grievances, ULPs, and litigation. The following information is particularly relevant: how many disputes per year; nature of disputes -- bargaining, institutional, etc.; and any other information deemed relevant, such as information regarding trends or concentrations of disputes. *It is noted that this data is informational and is intended to supplement the information already described. Without the context provided by the information above, the Council finds that tracking data related to disputes may be helpful for detecting issues that need attention in labor-management relations, but cannot provide an accurate picture of the state of labor-management relations at any particular location.*

*Appendix A*

*Template for metrics submission from Forum*

<b>Date of Report</b>	
<b>Agency</b>	
<b>Bureau/Division Name (if applicable)</b>	
<b>Address</b>	
<b>City</b>	
<b>State</b>	
<b>Zip Code</b>	
<b>Union</b>	
<b>Forum Recognition Level (local, regional, other)</b>	
<b>Name(s) of lead agency representative (and contact info)</b>	
<b>Name(s) of lead union representative (and contact info)</b>	
<b>Comments</b>	

<b>Issue/Date Initiated by Forum</b>	<b>Action/Date of Agreement by Forum</b>	<b>Type and Category of Metric(s)</b>	<b>Metric(s)</b>	<b>Targets</b>

*Appendix B*

*Example of full set of metrics for a Forum*

<b>Date of Report</b>	September 10, 2010
<b>Agency</b>	Department of the Treasury
<b>Bureau/Division Name (if applicable)</b>	Departmental Offices
<b>Address</b>	1500 Pennsylvania Avenue
<b>City</b>	Washington
<b>State</b>	DC
<b>Zip Code</b>	20220
<b>Union</b>	ABC
<b>Forum Recognition Level (local, regional, other, etc)</b>	Local
<b>Name(s) of lead agency representative</b>	J Smith
<b>Name(s) of lead union representative</b>	J Doe
<b>Comments</b>	none

Issue/Date Initiated by Forum	Action/Date of Agreement by Forum	Type and Category of Metric(s)	Metric(s)	Targets
<p>Expanding Work/life Balance Programs, including telework</p> <p>Sept. 30, 2010</p>	<p>Pilot to allow all employees to telework to the maximum extent practicable, i.e., except where prevented by mission needs</p> <p>November 21, 2010</p>	<ul style="list-style-type: none"> <li>• Mission/Process Cycle Times; Customer Satisfaction</li> <li>• Employee Satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>• Number of service calls answered in 10 seconds or less</li> <li>• Number of service calls answered per hour worked</li> <li>• (EVS Q#72) Please select the response below that BEST describes your teleworking situation.</li> <li>• (EVS Q#73) How satisfied are you with the Telework program in your agency?</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain improved rate of 95%</li> <li>• Increase by 7%</li> <li>• Increase EVS scores by 5%</li> </ul>
<p>Reduce Time for Review and Approval of Examination Reports</p> <p>October 27, 2010</p>	<p>Eliminate redundancies in review/approval process, to provide a single level of review in normal cases, two levels in exceptional cases, and more than two only in precedent-setting cases. Also, circulate/update lists of best practices and most frequent errors on exam reports.</p>	<p>Mission/Process Times</p>	<ul style="list-style-type: none"> <li>• Number of days to review outgoing reports</li> <li>• (EVS #4) My work gives me a feeling of personal accomplishment;</li> </ul>	<ul style="list-style-type: none"> <li>• Reduce review approval time to 5 workdays or less for normal cases</li> <li>• Increase EVS score by 5% in work units submitting exam reports</li> </ul>

## *Appendix C*

### *Draft Questions for Assessing the Labor-Management Relationship*

#### Subjective Views

This data can be collected from a survey provided to both union and management representatives. Participants should include those with a role in Employee/ Labor Relations, such as supervisors/managers; HR specialists who handle labor and employee relations matters; and union officials/representatives. Ideal measurements should evaluate:

- Whether pre-decisional involvement has occurred
- Whether labor and management has a productive relationship
- Whether there is trust and or respect on both sides
- Whether there is organizational support for labor-management relations
- Whether bargaining/negotiations are effective

In formatting survey questions, we recommend exploring areas that include five areas listed below. Sample questions in each area have also been provided.

#### **Work Unit Discussions**

Work Unit is defined as your immediate work unit headed by an immediate supervisor. These can be questions about workplace issues between union and management, in a work unit.

1. In my work unit, within the last six months, union representatives and management have met to discuss workplace matters:

0 times

1-2 times

3-4 times

5-6 times

7 or more times

I do not know how often meetings have occurred

2. The subjects discussed during formal meetings are important to my work unit.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

3. Agendas are typically set out in advance for each formal meeting.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

4. I am comfortable voicing opinions or asking questions during the meetings.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

**General**

Questions about union and management relations, covering several different areas.

1. Together labor and management address issues relevant to the organization's business and mission.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

2. Joint committees are important decision-making bodies.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

3. I have been provided formal training on collaborative labor relations.

Yes (please provide an approximate date)

No

4. Management keeps union representatives aware of potential changes to employees' working conditions.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

5. Open communication between union representatives and management officials exists in my organization.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

6. A sense of fairness is associated with labor-management dealings.

Strongly Agree

Agree

Neutral

Disagree

Strongly Disagree

I Don't Know

### **The Grievance Process**

Questions about the negotiated grievance process.

1. In the last year, how many grievances have

Been filed in your work unit: \_\_\_\_ (number) -or- I don't know

Reached the last step in the grievance process: \_\_\_\_ (number) -or- I don't know  
Gone to arbitration: \_\_\_\_ (number) -or- I don't know

2. In general, both parties work cooperatively during the grievance process.

Strongly Agree  
Agree  
Neutral  
Disagree  
Strongly Disagree  
I Don't Know

3. The grievance process is an efficient way to resolve conflicts.

Strongly Agree  
Agree  
Neutral  
Disagree  
Strongly Disagree  
I Don't Know

### **Negotiations**

Questions about perceptions regarding negotiations between labor and management.

1. Management and union representatives regularly engage in "good faith" negotiations.

Strongly Agree  
Agree  
Neutral  
Disagree  
Strongly Disagree  
I Don't Know

2. The process for negotiating a collective bargaining agreement is effective.

Strongly Agree  
Agree  
Neutral  
Disagree  
Strongly Disagree  
I Don't Know

**Suggestions**

Open ended question that asks for narrative suggestions about improving labor-management relations.