



## Human Capital Management: Develop and Manage HR Planning, Policies, and Strategies

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**This document should be used as a guide in the offline collection of data. APQC cannot accept submissions using this file. Please contact the APQC helpdesk on [helpdesk@apqc.org](mailto:helpdesk@apqc.org) for more information about offline submission.**

### OSBC DATABASE PRIVACY AND PROTECTION OF PERSONAL INFORMATION

Please refer to APQC's [privacy statement](#) for disclosures relating to the collection and use of your personal information.

### Instructions

#### Research project structure

APQC OSBC research projects are designed to collect a wide variety of information about your entire organization, with a specific emphasis on the particular business entity for which the research is being collected.

Each survey is divided into a number of sections, separated by a block of introductory text. The first section contains questions about your organization as a whole. The second section contains general questions about your particular business entity. Each of the subsequent sections of the research project presents questions about specific processes and activities in your business entity. Each of these process-specific sections corresponds to APQC's [Process Classification Framework](#).

Before each section containing process-specific questions, you are presented with a list of components of the PCF. This list identifies which components of the PCF are addressed by this particular section of the research project. The numbers in the list correspond to the PCF's unique numbering scheme. Questions within the section will address specific activities for the stated component of the PCF.

#### Navigation, saving results, and submitting a survey

The survey is presented in pages. Each page has at least one question on it. Each question on each page should be answered. A survey may also have a question that must be answered in order to proceed. Required questions are identified by the word "Required" in red letters.

Use the buttons at the bottom of each page to navigate throughout the survey. To avoid data loss, do not use the browser "Back" and "Forward" buttons to navigate through the survey. As you navigate through the survey using the "Back" and "Forward" buttons, your data are saved to APQC's secure servers.

The progress indicator at the bottom of each page displays a bar graph and a percentage that indicate your progress in navigating through the survey. The progress indicator does not account for completed questions, only for your relative position in the survey.

To exit the survey before you have completed all questions, click the "Save" button at the bottom of the survey page, then close your browser. The system will present you a link to your particular instance of the survey. Use that link to return to the survey at any time.

Once you have completed the survey, click the "Submit" button on the last survey page. By submitting your survey results, you will notify APQC that your data are ready for validation. You will not be able to create, review, update or delete your answers after you have submitted the survey, so ensure that you have accurately documented your answers before you submit.

#### Cookies, one browser

The APQC OSBC survey tool uses a "cookie" to associate you to a particular survey instance. Your cookie is unique to the computer you used to start the survey and is the only key that you have to access your data. Should you lose your cookie, you will be unable to complete the survey and will need special assistance from APQC. Do not delete your APQC cookies until after you have submitted your survey data.

Because this cookie is unique to the computer you used to start the survey, other users will be unable to contribute results and data to the survey unless they have physical access to the browser you used to start the survey.

Visit the [Browser Setup](#) page for more information about configuring your browser to use cookies.

#### JavaScript

The APQC survey application uses JavaScript for enhanced validation and usability features. In order to complete these surveys, you must use a browser that supports JavaScript, and you must have JavaScript enabled. Visit the [Browser Setup](#) page for more information.

#### Printing

To print a copy of the entire survey, you should use the "Preview" version of the survey. This view consolidates all of the questions associated with the particular survey onto a single printable browser page. No answers or personal data are contained on the "Preview" version of the survey.

As you navigate through the survey, you may print each page to record your answers. There is no facility to review all of your answers on one page.

## Definitions

Each survey has a set of definitions associated with it that are unique to the process grouping covered by the survey. Throughout the survey, questions may have links to survey definitions.

Accurate results depend on a common understanding of the terminology used across survey respondents, so take special care to review the definitions in the glossary thoroughly. Common terms may be defined differently than you expect. When in doubt, contact APQC for guidance.

## Reasonable numbers

The survey asks for a number of detailed pieces of information. If you do not have the exact information that a question asks for, please provide a reasonable approximation. If you cannot provide a reasonable approximation, please leave the answer blank. If you are not sure, contact APQC for guidance.

## Reporting period

All questions in the survey, unless expressed otherwise, request data from the last complete fiscal year of your organization's or business entity's operations. Please be sure to provide the end-date of the fiscal year for which you are providing data. If you have any questions about the reporting period, please contact the OSBC help desk. (Contact information is provided below.)

## Question numbers may skip

Occasional changes to the survey may result in the addition or removal of questions. Due to this activity, the question numbers in the survey may occasionally skip one or more numbers. Furthermore, some surveys will hide questions depending upon answers to previous questions. If you have any questions about the order of questions in the survey, please contact the OSBC help desk.

## Contacting APQC with questions

For any questions regarding the survey mechanics, the survey content, or general survey inquiries, please contact the OSBC help desk via telephone at +1.800.776.9676 (toll free, U.S. only) or +1.713.681.4020, or via e-mail at [osbc@apqc.org](mailto:osbc@apqc.org).

## Survey Scope

This survey is designed to be modular in nature. The following processes and activities associated with the process group "Develop and manage human resources (HR) planning, policies, and strategies" are addressed by this survey:

- **6.1** Develop and manage human resources (HR) planning, policies, and strategies
  - **6.1.1** Manage/align/deliver human resources strategy
    - **6.1.1.1** Identify organizational strategic HR needs
    - **6.1.1.2** Identify organizational tactical HR needs
    - **6.1.1.3** Define HR and business function roles and accountability
    - **6.1.1.4** Determine HR costs
  - **6.1.2** Develop and implement HR plans
    - **6.1.2.1** Develop workforce plan
    - **6.1.2.2** Develop compensation plan
    - **6.1.2.3** Develop succession plan
    - **6.1.2.4** Develop employee diversity plan
    - **6.1.2.5** Develop other HR programs
    - **6.1.2.6** Develop HR policies
    - **6.1.2.7** Administer HR policies
    - **6.1.2.8** Plan employee benefits
  - **6.1.3** Monitor and update plans
    - **6.1.3.1** Measure realization of objectives
    - **6.1.3.2** Measure contribution to business strategy
    - **6.1.3.3** Communicate plans and provide updates to stakeholders
    - **6.1.3.4** Determine value added from HR function
    - **6.1.3.5** Review and revise HR plans

**Reminder:** Please answer all questions consistently from the perspective of the business entity respondent and from the same time period (the 12-month period for which your business entity will be providing data in this survey).

202.0010 Of your business entity's total number of HR [full-time equivalents \(FTEs\)](#), what was the number of FTEs employed to perform the "[develop and manage HR planning, policies, and strategies](#)" process group for your business entity?

Staff Level	Number of FTEs
a. <a href="#">Senior management/executives</a>	
b. <a href="#">Middle management/specialists</a>	
c. <a href="#">Operational workers/office staff</a>	
d. Total (sum of a through c)	

202.0020 Of your business entity's total number of FTEs for the "[develop and manage human resources \(HR\) planning, policies, and strategies](#)" process group, what percentage are employed to perform each of the following processes? (Must total 100%)

Provide percentages as whole numbers between 0 and 100.

Business Entity	Percentage
a. Develop human resources strategy	%
b. Develop and implement human resource plans	%
c. Monitor and update plans	%

202.0030 Of the total annual cost of your business entity's HR function, what costs are associated with "[develop and manage HR planning, policy, and strategies](#)"?

Cost Category	Cost
a. <a href="#">Internal costs</a>	
b. <a href="#">Outsourced costs</a>	
c. Total	

202.0040 For the "[develop and manage HR planning, policy, and strategies](#)" process group, what was the approximate percent allocation of total annual internal costs (*question 202.0030a*) across the following cost categories? (*Must total 100%*)

Provide percentages as whole numbers between 0 and 100.

Cost Categories	Percentage
<a href="#">a. Annual personnel costs</a>	%
<a href="#">b. Annual systems costs</a>	%
<a href="#">c. Annual overhead costs</a>	%
<a href="#">d. Annual other costs</a>	%
e. Total internal cost ( <i>Must equal 100%</i> )	%

202.0050 For the process group "[develop and manage human resources \(HR\) planning, policies, and strategies](#)," which of the following best describes your business entity's role? (Select only one.)

- Self supporting; performs most aspects of process
- Relies on other business units for the process
- Relies on shared services center for the process
- Serves as a shared services center for the process
- Outsourced to third party

202.0060 What is the percentage split of how "[develop and manage HR planning, policy, and strategies](#)" services are delivered to the business by the following? (*Must total 100%.*)

Services delivered	Percentage
a. <a href="#">Shared services centercentralized processing unit/</a>	%
b. <a href="#">Third-party provider (outsourced)</a>	%
c. <a href="#">Business-based HR roles</a>	%
d. <a href="#">Corporate HR</a>	%
e. <a href="#">Line managers</a>	%
f. Total	%

202.0070 Which of the following best represents your business entity's use of [service level agreements](#) between the HR function and the businesses it serves? (*Select only one.*)

- Fully implemented
- Partially implemented
- Not used

202.0080 Which of the following systems does your business entity utilize to support the process group "[develop and manage HR planning, policy, and strategies](#)"? (*Select all that apply.*)

- Meta4/Cyborg

HR Access  
SAP  
Rebus/Peterborough  
Lawson  
Oracle (*includes Peoplesoft, J.D. Edwards and other Oracle products*)  
CHRIS  
Micropay/Ingenuity  
Internally developed  
Spreadsheets (*Excel or equivalent*)  
Outsourced to external vendor  
Other

If you selected "Other," please specify.

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202.0090 Which of the following statements best describes your business entity's HR strategy? (*Select only one.*)

HR strategy is formally documented.  
HR strategy exists, but is not formally documented.  
HR strategy does not exist.

202.0100 Which of the following are inputs into your HR planning process? (*Select all that apply.*)

Organization mission/mission statement  
Internal and external analysis  
Organizational long-term objectives  
Corporate and unit strategies  
Employee feedback/employee surveys  
HR customer satisfaction surveys  
Senior management directive  
Other

If you selected "Other," please specify.

202.0110 Which of the following are your business entity's top five human resources priorities for the current year? (*Select up to five.*)

Reduce labor costs  
Increase worker productivity  
Change organization and culture  
Enhance flexibility of workforce  
Develop leadership  
Recruit employees  
Retain employees  
Manage competencies  
Improve compensation and benefits packages  
Implement new appraisal system  
Reduce employee headcount  
Improve internal communication  
Change HR technology (*including e-business*)  
Reorganize HR services, including outsourcing  
Improve training and learning programs  
Other

If you selected "Other," please specify.

202.0120 Which of the following statements best describes the relationship of HR to corporate strategy at your organization? (*Select only one.*)

HR is an important partner in the formulation of our strategy.  
HR is an important partner in the implementation of our strategy.  
Both an important partner in formulation and implementation of our strategy.

HR supports corporate strategy, but is not a partner.

HR is not directly linked to corporate strategy.

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202.0130 Which of the following skills and knowledge are particularly important for HR to possess in order for HR to be an effective strategic partner to the business? *(Select the top three.)*

- Organization change skills
- Content knowledge specific to business partner
- General business acumen
- Systems skills
- Employee relations skills/knowledge
- Talent management skills/knowledge
- Performance management skills/knowledge
- Influence
- Credible activism
- Other

If you selected "Other," please specify.

202.0140 Do you have different labor sourcing strategies/guidelines by function within the organization? *(Select only one.)*

- Yes
- No
- No labor sourcing strategies/guidelines in place

202.0150 What sourcing methods does your business entity use to build flexibility into your workforce? *(Select all that apply.)*

- Subcontractors
- Agencies
- Global labor resources
- Tiered labor systems
- Part-time workers
- Contingent workers
- Other
- No flexible sourcing methods

If you selected "Other," please specify.

202.0160 At what point does your business entity develop/reassess learning plans for its staff? *(Select all that apply.)*

- At the time of hire
- Within the first 90 days of hire *(e.g., at the 90-day review)*
- Within the first 6 months of hire *(e.g., at the mid-year review)*
- At the annual performance review by individual
- Annually reviewed by staff/category level
- Just-in-time
- Based on particular project needs
- Other

If you selected "Other," please specify.

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202.0170 Does your business entity have a formal retention strategy in place for key talent? *(Select all that apply.)*

- Yes, the organization has a formal retention strategy in place for critical leadership talent.
- Yes, the organization has a formal retention strategy in place for critical functional talent.
- Yes, the organization has a formal retention strategy in place for critical technical talent.
- There is no formal retention strategy at the corporate level; retention is the responsibility of the individual businesses.
- No, the organization has no formal retention strategy in place.

202.0180 Who is accountable for the successful adoption of HR programs within your business entity? *(Select all that apply.)*

- HR leadership
- Business leadership
- No accountability

202.0190 To what extent does the organization have tools that allow managers to plan and deploy human capital effectively? *(Select only one.)*

- There are few, if any, tools available for managers to plan and deploy human capital resources.
- Tools exist to help managers to plan and deploy human capital resources, but their capabilities and/or adoption are limited.
- Managers leverage tools that help them to plan and deploy human capital resources and can demonstrate the benefits of using these tools.

202.0200 Does your organization use the following to manage talent supply and demand? *(Select all that apply)*

- Analysis and evaluation of talent supply/demand issues on an ongoing basis
- Use of analytics that highlight the quantity and availability of specific skills
- A common skills taxonomy
- Forecasting models that link demand for products/services to labor requirements
- Internal labor markets that increase the visibility of job opportunities
- Capability of moving people across business units and divisions
- Capability of moving people across geographies
- Reskilling individuals based on business priorities

202.0210 What is the percentage split of overall HR time spent on the following at your business entity? *(Must add up to 100%)*

	<b>Percentage split</b>
a. Strategic business input/decision making (define the big picture)	%
b. Tactical services (develop a plan to achieve the strategy)	%
c. Administrative/operational services (implement the plan)	%

202.0220 What is the percentage split of overall workforce planning time spent on the following at your business entity? *(Must add up to 100%)*

	<b>Percentage split</b>
a. Strategic business input/decision making (define the big picture)	%
b. Tactical services (develop a plan to achieve the strategy)	%
c. Administrative/operational services (implement the plan)	%

202.0230 What are the biggest challenges confronting your organization today in using workforce analytics to make decisions? *(Please select your top three)*

- HR personnel have lack of skills/experience analyzing data to make decisions
- Human capital systems are poorly integrated (e.g., recruiting and learning)
- Human capital systems not well integrated with other organizational systems (e.g., financial, sales)
- Inability to extract information from our HR systems
- Lack of executive level support
- Managers unwilling to access information
- Metrics not well defined
- Quality level of human capital data is suspect

202.0240 For which of the following do you use social networking and on-line collaboration: *(Select all that apply)*

- Enable global teams to work more effectively
- Enhance the effectiveness of corporate communications
- Enhance the effectiveness of learning programs
- Identify individuals with relevant knowledge and skills
- More effectively spread innovation through the organization
- Preserve critical knowledge
- Target and recruit external candidates

202.0250 Which of the following are the most significant barriers for inhibiting on-line collaboration and social networking approaches? *(Please select your top three)*

- Concerns about intellectual property sharing
- Individuals are not recognized for collaboration and knowledge sharing
- Lack of appropriate technology
- Lack of leadership support

- Lack of middle management support
- Organizational silos
- Other legal concerns
- Perceived lack of time
- Other

If you selected "Other," please specify.

202.0260 To what extent is your business entity able to quickly and effectively modify staffing levels in order to meet changing business demand? *(Select only one.)*

- Our entity is limited in its ability to modify staffing levels.
- Our entity has some flexibility to modify staffing levels.
- Our entity proactively anticipates and modifies staffing levels ahead of market demand.

202.0270 For each of the following staff categories, for what percentage of your business entity's employees is a formal succession planning process in place?

Staff Level	Percentage
a. Senior management/executives	%
b. Middle management/specialists	%
c. Operational workers/office staff	%

202.0280 Does your business entity have a formal diversity plan?

- Yes
- No

202.0290 To what extent does the organization's culture support a diverse and changing employee population? *(Select only one.)*

<b>[1] Supports legal requirements to protect against discrimination in the workplace</b>	<b>[2]</b>	<b>[3] Provides training and guidelines on managing a diverse workforce</b>	<b>[4]</b>	<b>[5] Actively brings together employees from different backgrounds when hiring and staffing projects</b>

202.0300 Does your business entity have individuals specifically focused on attracting diverse candidates?

- Yes
- No

202.0310 What are the areas of focus at your business entity for diversity in the workplace? *(Select all that apply.)*

- Gender
- Race
- Generational
- Lifestyle
- Global
- Other

If you selected "Other," please specify.

202.0320 Which of the following methods does your business entity use to obtain employee feedback on a regular basis? *(Select all that apply.)*

- Employee surveys
- Town hall meetings
- Informal suggestion plans

- Online communications database
- Focus groups
- Formal suggestion plans
- Other
- Do not regularly collect feedback

If you selected "Other," please specify.

202.0330 Do you conduct employee surveys on workplace climate issues (for example, leadership, job satisfaction, rewards, teamwork, etc.)? (Select one for each staff category.)

	None	Sample (survey <i>SOME</i> employees each time)	Census (survey <i>ALL</i> employees each time)
a. Senior management/executives			
b. Middle management/specialists			
c. Operational workers/office staff			

202.0340 If you measure any of the workplace climate issues from question 202.0330, please select the survey frequency for each one. (Select one for each staff category you measure.)

	Monthly	Bimonthly every other month	Quarterly	Semiannually every six months	Annually
a. Senior management/executives					
b. Middle management/specialists					
c. Operational workers/office staff					

202.0350 How do you use information from your work force climate monitoring at your business entity? (Select only one in each category.)

- a. Communicated to senior leadership for use in organizational strategy setting
  - Positive findings
  - Negative findings
  - Both positive and negative findings
  - Not communicated
- b. Communicated to process owners for process improvement
  - Positive findings
  - Negative findings
  - Both positive and negative findings
  - Not communicated
- c. Used in managerial coaching/Inclusion in relevant manager performance reviews
  - Positive findings
  - Negative findings
  - Both positive and negative findings
  - Not used in managerial coaching/inclusion in relevant manager performance reviews
- d. Informal benchmarking
  - Positive findings

- Negative findings
- Both positive and negative findings
- Not used for informal benchmarking

202.0360 Does your business entity measure overall HR customer satisfaction? *(Select one for each staff category.)*

	Yes	No
a. Senior management/executives		
b. Middle management/specialists		
c. Operational workers/office staff		

202.0370 If your business entity measures overall HR customer satisfaction, what was the most recent rating?

a. Senior management/executives	%
b. Middle management/specialists	%
c. Operational workers/office staff	%

202.0380 Does your HR function develop and present a business case for new HR programs/initiatives? *(Select only one.)*

- Never
- Sometimes
- Always

202.0390 Which of the following measures does your HR function use to evaluate the results of delivered HR programs/initiatives? *(Select all that apply.)*

- Return on Investment
- Manager satisfaction
- Business impact
- Employee satisfaction
- Other
- No measures in place

If you selected "Other," please specify.

202.0400 To what extent do senior managers understand which human capital practices are necessary to drive superior performance in the organization? *(Select only one.)*

<b>Do not understand which human capital practices are necessary to drive superior performance</b>	<b>2</b>	<b>Are aware of human capital practices necessary to drive superior performance</b>	<b>3</b>	<b>4</b>	<b>Leverage the human capital practices that drive superior performance</b>	<b>5</b>
<b>1</b>						

Page Break

202.0410 How many [routine inquiries](#) do you receive each month for the process group "[develop and manage HR planning, policy, and strategies](#)"?

Number of routine inquiries

202.0420 How many [non-routine inquiries](#) do you receive each month for the process group "[develop and manage HR planning, policy, and strategies](#)"?

Number of non-routine inquiries

202.0430 What is the percentage split of how "develop and manage human resources (HR) planning, policies, and strategies" inquiries are received for the following communication channels? (Must total 100%.)

a. Digital	%
b. Non-digital	%
C. Total	%

202.0440 What is the average response time (in hours) for a routine inquiry regarding the process group "develop and manage HR planning, policy, and strategies"? This time should represent the time taken from the point at which the inquiry is received to the point at which the inquiry is responded to (beyond auto-responder, an actual answer) and not the actual time spent by an individual working on the inquiry.

202.0450 What is the average response time (in hours) for a non-routine inquiry regarding the process group "develop and manage HR planning, policy, and strategies"? This time should represent the time taken from the point at which the inquiry is received to the point at which the inquiry is responded to (beyond auto-responder, an actual answer) and not the actual time spent by an individual working on the inquiry.

202.0460 Thinking about your entire "develop and manage HR planning, policy, and strategies" operation, what do you see as the key operational practices or management techniques that contribute to your organization's success, if any? Please list the top three.

202.0470 What additional "develop and manage human resources planning, policy, and strategies" measures would you like to see included in future reports? For a list of current measures, click [here](#).

202.0480 Please indicate whether your organization would like to discuss the benchmarking results to learn more about reasons for possible performance gaps.

- Yes
- No

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You have reached the end of the survey. You can use the **Previous** button to review your answers for accuracy and reasonableness. After pressing the **Submit** button, you will no longer be able to directly edit your data in this survey form.

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Please direct all survey-related questions to the OSBC Helpdesk at (800) 776-9676 or e-mail [osbc@apqc.org](mailto:osbc@apqc.org).