

**State University of New York  
Internal Control Testing Program - Workforce & Succession Planning**

	Yes	No
<p><b>1.</b> Has the campus adopted policies, procedures, plans and organizational structures to ensure vacancies in critical positions, and positions requiring highly specialized knowledge, skills and abilities, can be filled with qualified and capable individuals in a timely manner, without significant disruption to campus/departmental operations?</p> <p><i>Test: Review criteria used to identify critical positions and the list of positions identified as critical.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>a.</b> Has consideration been given to the number of employees eligible to retire and the timing of such retirements?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>b.</b> Has a strategy been developed to address the anticipated vacancies?</p> <p><i>Test: Obtain a listing of all employees eligible to retire under the various retirement plans, considering any anticipated incentives and review campus/departmental plans.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>2.</b> Has the campus identified the critical positions and positions requiring highly specialized knowledge, skills and abilities, where vacancies could have a significant detrimental effect on campus/departmental operations?</p> <p><i>Test: If available, obtain a listing of positions that if they became vacant, would have a significant detrimental effect on the operations under review.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>a.</b> Are policies, procedures, plans and organizational structure current and consistent with the campus strategic plan and memorandum of understanding?</p> <p><i>Test: Obtain and review relevant policies, procedures, plans and organization structures to determine if they are current and allow for manageable transitions.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>3.</b> Has the campus required, where appropriate, that the position descriptions of critical positions include training, development, and mentoring of subordinate staff to ensure a smooth transition should the critical position become vacant?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>a.</b> Are departing staff debriefed to ascertain the status of critical projects, as well as to identify, locate and transfer applicable files (including computerized information)?</p> <p><i>Test: Obtain and review positions descriptions for a judgmental sample of critical positions. Examine procedures and correspondence regarding knowledge management and transfer strategies. Review training, development and/or mentoring programs established.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

Tested by: \_\_\_\_\_

Date tested: \_\_\_\_\_

## **Checklist Information**

This checklist, adopted from information provided by the N.Y.S. Department of Civil Service and the Governor's Office of Employee Relations (<http://www.cs.state.ny.us/successionplanning>), is a self-evaluation tool to provide campuses a testing guide as to its preparedness to deal with human resource challenges related to a declining number of qualified candidates in the workforce. Given the State University is not as reliant upon classified civil service lists to fill positions within its workforce as that of other State agencies, and recognizing that the University has more flexibility than other State agencies, input for the checklist was also provided by Campus Human Resource Directors as to its applicability.

### **"Yes" Criteria**

The "Yes" box following each item should be checked if the particular item has been fully addressed / implemented and can be documented as such. Documentation supporting the "Yes" response should be assembled and available for post review. If the criteria cannot be documented as met, the "No" response should be checked.

### **"No" Criteria**

Generally a "No" answer indicates a deficiency which needs to be addressed or an alternative control procedure needs to be established, based upon a cost/benefit analysis or vulnerability assessment.