

Office of Science-Chicago Office  
Human Capital Management Plan

Fiscal Year 2007-2012



*U.S. Department of Energy*  
**Office of Science**

**Fiscal Year 2007**

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## FOREWORD

I am pleased to present the Office of Science-Chicago Office (SC-CH) Human Capital Management (HCM) Plan. This Plan provides a framework for our office to achieve best-in-class services to our customers, in alignment with the President's Management Agenda (PMA), the Department's strategic plans and priorities, SC's goals and objectives and SC-CH and Site Office's Fiscal Year (FY) 2007 annual performance plans.

FY 2006 was a year of many accomplishments and challenges. The year brought a management change and with it a new beginning for the Office. SC-CH became an Integrated Support Center (ISC), and along with the Site Offices, support the SC mission to foster, formulate and support forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish Department of Energy (DOE) missions.

This SC-CH HCM Plan is built through a collaborative effort led by the SC-CH Manager and the Human Capital Officer, which allowed for input and discussion by SC-CH and Site Office managers and supervisors. I am confident that this Plan will enable us to obtain our vision to become the DOE leader in providing effective and efficient delivery of essential support services for SC and our other program sponsors. This Plan reflects that SC-CH is an integrated team devoted to accomplishing our agency responsibilities and programmatic commitments expected of our team. Importantly, this Plan also links to the SC-CH and Site Offices annual performance plans.

This Plan provides a comprehensive snapshot of our Chicago-serviced workforce and outlines recommendations that should be taken in addressing our future staffing needs. I have reviewed this Plan and commit to the steps necessary to ensure that during the upcoming years we remain a high performing and technically-skilled organization.

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Robert C. Wunderlich, Manager  
Office of Science-Chicago Office

## EXECUTIVE SUMMARY

The purpose of the Office of Science, Chicago Office (SC-CH) Human Capital Management (HCM) Plan for FY 2007–2012 (covering the Chicago Office and supported Site Offices – Argonne, Ames, Brookhaven, Princeton, Fermi, Berkeley and Stanford) is to provide the framework for our organization's efforts to achieve best-in-class services for our customers, in alignment with the PMA, the Department's strategic plans and priorities, and SC's goals and objectives. This SC-CH HCM Plan identifies current critical skills and those Federal occupations and functions that over the next five years will be needed to perform known mission objectives and related support activities and to recommend strategies that will address the expected gaps in technical and non-technical competence, as well as corporate knowledge.

SC-CH and Site Offices support the SC mission to foster, formulate and support forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish Department of Energy (DOE) missions. SC-CH provides business, technical and administrative support to SC Laboratory Site Offices and SC-Headquarters (HQ) elements. At the time of this analysis, the human resources support for the Stanford Site Office had not been transferred to the SC-Oak Ridge Office (OR). Consequently, the Site Office analysis was included in this Plan. As a strong partner and service support leader, SC-CH provides similar assistance to other DOE offices and other Federal agencies that execute programs through SC-CH based on agreements with those organizations. SC-CH also manages assigned DOE Centers of Excellence.

Our vision is to become the DOE leader in providing effective and efficient delivery of essential support services for SC and our other program sponsors. SC-CH is an integrated team devoted to accomplishing our agency responsibilities and programmatic commitments expected of our team and this Plan will help us move forward to attain this vision.

This SC-CH HCM Plan is built through a collaborative effort led by the SC-CH Manager and the Human Capital Officer, which allowed for input and discussion by SC-CH and Site Office managers and supervisors. Top leadership of SC-CH and Site Offices are supportive of the Department's human capital management goals and objectives and work to ensure a corporate approach to strategic human capital management across DOE. Each organization developed a staffing plan to address critical hiring needs, succession planning priorities and training needs to maintain and enhance competencies required to achieve organizational objectives. The Office of Human Resources Services (HRS) conducted a review and analysis of the information provided in the staffing plan and identified action to fill gaps utilizing the workforce analysis data.

The results of this workforce analysis should serve as the primary tool in identifying short- and long-range staffing requirements. Each organization will go through the SC resource approval process for determining staffing priorities in order to best meet SC needs, considering business line priorities, critical needs and the most effective use of limited resources.

## **KEY GOALS/OBJECTIVES**

- Identify SC-CH and Site Offices critical hiring needs and ensure focus is on strengthening current and future organizational capacity.
- Identify funding for various recruitment flexibilities, as well as appropriate training opportunities to address any skill gaps.
- Reinvigorate the student and career intern hiring programs.
- Publicize and educate selecting officials on HRS flexibilities.
- Encourage entry level hiring by establishing targets for positions filled at the entry level.
- Place an emphasis on certification/qualification requirements for employees in a variety of certification programs.
- Develop a plan to retain employees identified with critical skills throughout SC-CH and Site Offices.
- Generate reports to consistently monitor adherence to DOE/U.S. Office of Personnel Management (OPM) hiring timelines.
- Continue to work with supervisors to ensure performance plans adequately link to organization goals and objectives.
- Assist managers and supervisors in workforce planning to ensure appropriate plans encompass succession planning.
- Continue to cross train staff for a variety of professional growth opportunities through SC-CH and Site Offices.
- Reevaluate the mentoring program and commit to reestablishing the program.

This SC-CH HCM Plan establishes the goals and objectives for FY 2007 and beyond, which in turn flow-down to SC-CH and Site Office managers and supervisors. HRS will evaluate progress on implementing the documented Plan recommendations and adjust course as may be necessary to successfully achieve our goals.

## **INTRODUCTION**

The objective of the SC-CH HCM Plan is to provide a systematic approach to develop the organizational capacity so that a fully qualified, technically-competent, diverse workforce is in place to meet the current and future SC mission. Developing organizational capacity includes demonstrating the relationship between SC-CH and Site Offices strategic goals and objectives and workforce requirements; conducting skills assessments of current and future required competencies; effectively utilizing human capital strategies to attract, develop and retain talent while mitigating skill and workforce gaps; and integrating current and anticipated workforce needs and succession priorities into the development of SC programmatic and operational plans.

This SC-CH HCM Plan will assist SC-CH and Site Offices leadership in making decisions regarding the allocation of program direction resources and will also describe specific initiatives in support of the DOE FY 2007 human capital priorities.

### **PURPOSE**

This SC-CH HCM Plan is developed and maintained to understand projected skills gaps and plan intelligently for an optimized future workforce; establish processes to improve and sustain diversity; analyze and align organizational structures; build a results-oriented performance culture; harness institutional knowledge through knowledge management initiatives; and demonstrate improvement in meeting DOE/OPM hiring timeframes.

### **BACKGROUND**

SC-CH has existed throughout the history of DOE and its predecessor agencies as a Regional, Field or Operations Office. Over the years we have distinguished ourselves through excellent stewardship of our assigned responsibilities. We support multiple DOE program and staff offices including the operation of the DOE Centers of Excellence (Office of Acquisition and Assistance (ACQ) and Intellectual Property), oversee the New Brunswick Laboratory (NBL) Residual Organization and Most Efficient Organization (MEO), and are a major provider of support to the SC enterprise.

In March 2005, when SC restructured its organization, the historic relationship was changed between Field Elements, including SC-CH and HQ. The new structure eliminated a layer of management, redefined roles and responsibilities for SC-HQ and Field Managers, and clarified lines of authority and accountability. As part of these changes, SC-CH became part of a new ISC. SC-CH carries out this responsibility as a key component of an ISC that provides business, technical and administrative services to SC-HQ and the Site Offices overseeing national laboratories, several thousand contracts and grants, as well as supporting other DOE programs. The ISC integrates the capabilities of the SC-CH and SC-OR Offices in support of the SC enterprise.

## **MISSION**

SC-CH is a critical element of the SC program execution and implementation capability. In this role, SC-CH supports the SC mission to foster, formulate and support research programs which advance the Nation's science and technology necessary to accomplish DOE missions. SC-CH provides business, technical and administrative support to SC Laboratory Site Offices and SC-HQ elements. As a strong partner and service support leader, SC-CH provides similar assistance to other DOE offices and other Federal agencies that execute programs through SC-CH based on agreements with those organizations. SC-CH manages DOE Centers of Excellence assigned to the Office.

## **VISION**

The SC-CH vision is to be a DOE leader in providing effective and efficient delivery of essential support services for SC and our other program sponsors. Our strategic support enables our sponsors to achieve programmatic success in protecting national, energy, and economic security and advanced science and technology. SC-CH is an integrated team devoted to accomplishing our agency responsibilities and programmatic commitments expected of our team.

## **STRATEGIC GOALS, OBJECTIVES AND MEASURES**

The SC-CH Annual Performance Plan (APP) provides the framework for our organization's efforts to achieve best-in-class services for our customers, in alignment with several resources such as the following:

- The PMA (which addresses major Government-wide initiatives, one of which is Strategic Management of Human Capital) <http://www.energy.gov/pma/pma.htm>
- The DOE Strategic Plan <http://www.doe.gov/about/strategicplan.htm>
- The SC-CH Strategic Plan for FY 2006-2010  
[http://www.ch.doe.gov/docs/adobe/CH\\_SC\\_Strategic\\_Plan\\_Rev\\_05\\_May\\_06.pdf](http://www.ch.doe.gov/docs/adobe/CH_SC_Strategic_Plan_Rev_05_May_06.pdf)
- The SC-ISC Annual Service Plan  
[http://www.ch.doe.gov/html/site\\_info/integrated\\_support.htm](http://www.ch.doe.gov/html/site_info/integrated_support.htm)
- SC-CH APP for FY 2007  
[http://www.ch.doe.gov/docs/adobe/2007\\_CH\\_APP\\_Feb\\_1\\_update.pdf](http://www.ch.doe.gov/docs/adobe/2007_CH_APP_Feb_1_update.pdf)

The SC-CH APP establishes the goals and objectives for FY 2007, which in turn, flow down to SC-CH management and staff performance standards. In this way this structure links individual accomplishments to the commitments in the SC-CH APP.

## **APPROACH**

In December 2005, each SC-CH organization and Site Office receiving human resource support from SC-CH were asked to develop a five-year (FY 2006-2012) workforce management plan to address staffing needs, succession planning priorities and developmental needs required to maintain and enhance organizational competence and ensure mission accomplishment. The plans were required to include an overview of each organization's mission, major strategic business challenges, customer requirements, anticipated resource needs and workload increases/decreases. In addition, the managers of each organization identified gaps in positions or competencies and described any surplus skills.

HRS conducted a review and analysis of the information and prepared staffing profiles for each organization that addressed current and future resource needs, effect of potential retirements, organizational and position management issues, ratio of employee to supervisors and requisite competence levels of current staff to effectively perform the mission. Interviews were conducted with managers and supervisors to validate organizations' current and projected missions, vital functions and expected changes in functions, general changes and human resource impacts of those changes to the organization, skills imbalance areas expected, surplus skills, recruitment and retention strategies used and any expected challenges. This workforce planning process will be completed annually by each SC-CH element and Site Office supported by HRS.

Concurrent with the conduct of the interviews, HRS generated the necessary workforce demographics and retirement statistical reports that were used as the basis for the charts and data tables shown in the plan.

This SC-CH HCM Plan is a composite of conclusions drawn from the analysis of SC-CH and Site Offices past and present workforce statistics and the review of the FY 2006-2012 staffing profiles and workforce plans prepared by each HRS-serviced organization.

The action items in this SC-CH HCM Plan move us forward in accomplishing our SC goals and objectives for this year. This Plan will assist SC-CH and Site Offices leadership in making decisions regarding the allocation of program direction resources and also describe specific initiatives in support of the DOE FY 2007 human capital priorities. On a quarterly basis, HRS will evaluate progress on implementation of these items and adjust course as necessary.

Every year SC-CH and Site Offices will complete updated workforce plans based on current mission and changing goals and objectives, and HRS will prepare staffing profiles to reflect changes in workplace planning.



## SC-CH AND SITE OFFICES WORKFORCE DEMOGRAPHICS AS OF SEPTEMBER 30, 2006

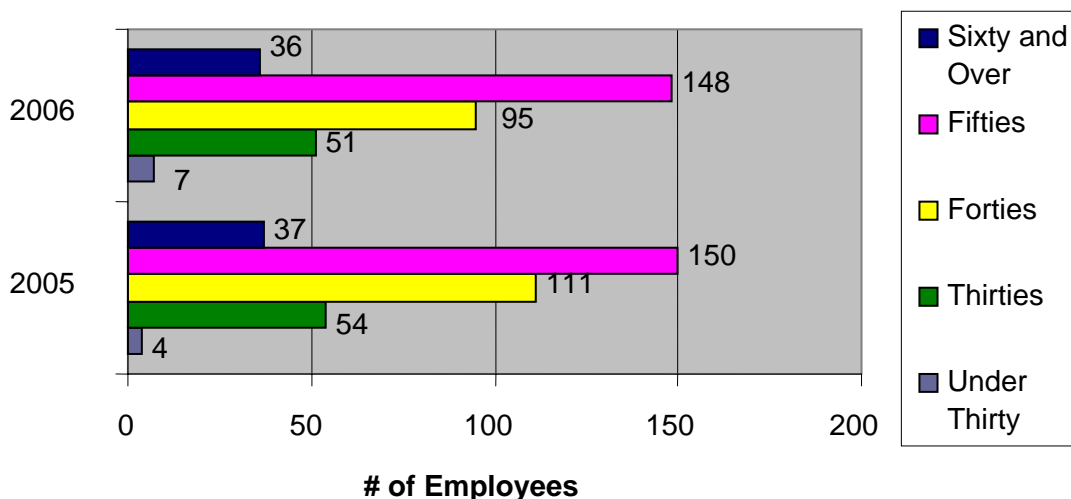
A very important component of workforce planning is analysis of our workforce demographics including average age, age distribution among grade levels, diversity trends, retirement eligibility, turnover, among other demographic areas. The following table provides a snapshot of SC-CH and Site Offices staff at the end of FYs 2005 and 2006:

Workforce Data				
	SC-CH FY 05	Site Offices FY 05	SC-CH FY 06	Site Offices FY 06
<b>Number on Board</b>	240*	116*	221*	116*
<b>Average Age</b>	49	51	49	51
<b>Supervisors/Managers</b>	12.91%	12.06%	9.6%	12.93%
<b>Women</b>	60.4%	36.20%	60.18%	37.93%
<b>Minorities</b>	27.5%	29.31%	27.5%	28.44%
<b>% of Disabled Vets</b>	2.08%	0.86%	2.70%	0.87%
<b>% of Veterans (not disabled)</b>	7.50%	18.97%	7.66%	15.65%
<b>% of Employees with Targeted Disabilities</b>	2.08%	0.86%	1.80%	0.87%

\*Includes all SC-CH and Site Office employees funded under different programs (NN, EM, ETD, OK)

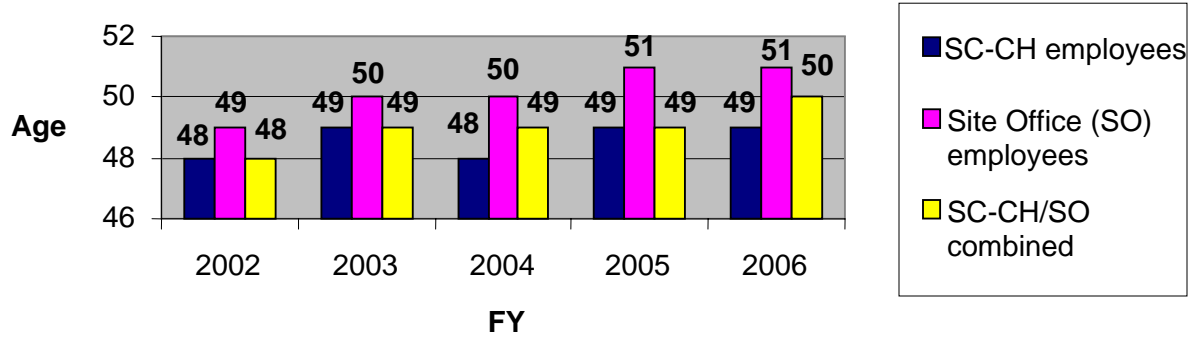
We reviewed and analyzed the SC-CH and Site Offices workforce data and are including the following notable findings which will drive our workforce planning efforts in the future:

### Age Distribution for SC-CH and Site Offices



There was a total of 337 staff within SC-CH and the Site Offices as of September 30, 2006. As you can see in the chart above, 54.5% (184) of this workforce are in their fifties or older, whereas only 17.2% (58) of the SC-CH and Site Offices workforce are younger than 40.

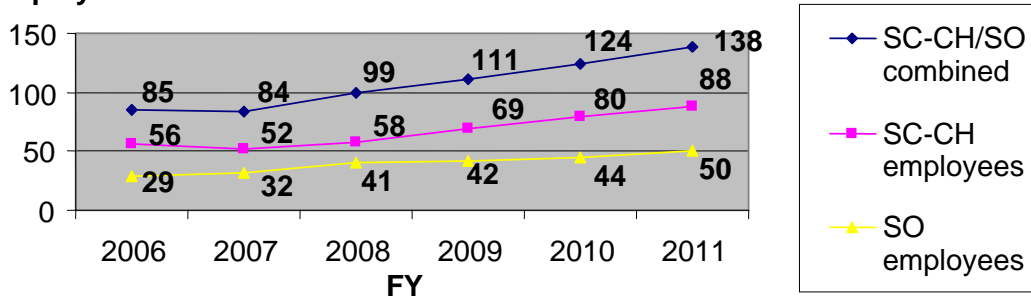
## SC-CH and Site Offices Average Age



The average age of employees within SC-CH and the Site Offices is 50 which is somewhat higher than the DOE average of 48.4. The SC-CH employee average is at 49 with the Site Offices employee average age being slightly higher at 51.

## Number Eligible to Retire through 2011

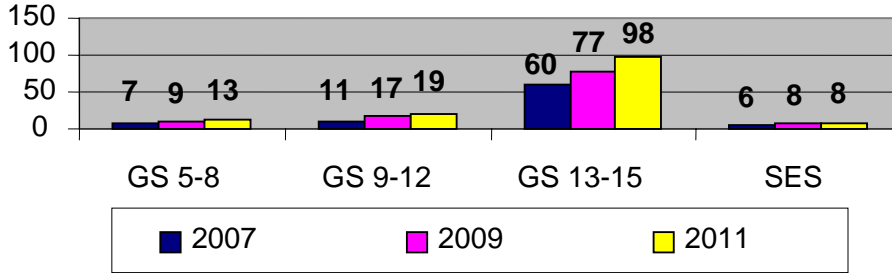
# of Employees



In the chart above, the overall number of employees who are eligible to retire over the next five years will almost double. Of the current SC-CH and Site Offices population, 41% (138) will be eligible to retire within five years, while 25% (85) were eligible to retire by September 30, 2006.

## Number of Retirement Eligibles By Grade Level

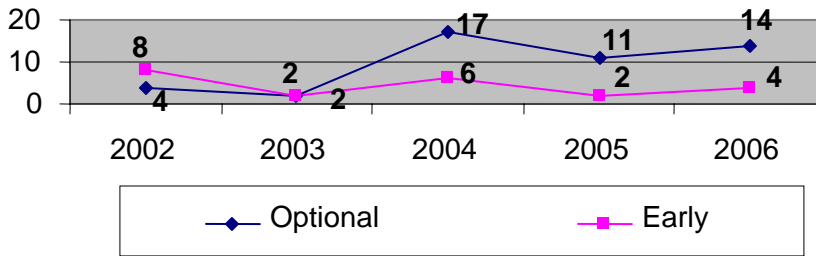
**# of Employees**



As shown above, 73% (8) of the current Senior Executive Service (SES) members will be eligible to retire by FY 2011, while 55% (6) are eligible to retire now. In addition, 44% (98) of employees at the GS-13 through GS-15 grade level will be eligible to retire by FY 2011. This presents potential for immediate and severe loss of leadership, organizational functionality, technical expertise and corporate memory, supporting the crucial need to implement a succession planning program for the development of our next generation of leaders.

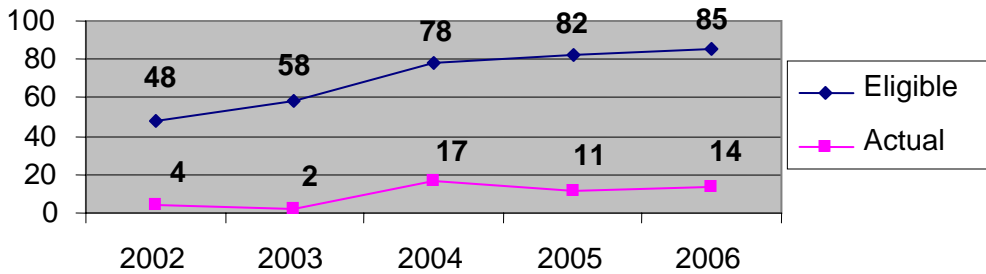
## Actual Retirement Trends

**# of Retirements**



Based on retirement statistics over the last few years, a higher percentage of SC-CH and Site Offices employees opted to retire under optional retirement, whereas a lesser percentage of SC-CH and Site Office employees have retired under early retirement. During FY 2004, buyouts were available which resulted in a higher than usual percentage of employees leaving under early retirement that year. During FY 2006, 4% (14) of the workforce retired under optional retirement and 1% (4) of the workforce retired under the early out option which HRS believes was primarily due to the limited availability of buyout authority.

## Comparison of Number Eligible vs. Actual Retirements



The chart above shows that the number of those who were eligible to retire and those who did retire has increased over the past couple of years. During FY 2006, 16% (14) of those eligible to retire under optional retirement did; whereas during FYs 2002 and 2003, the percentage ranged from 3% (2) to 8% (4). As you can see above, the percentage of those eligible to retire that did was highest during FY 2004 at 22% (17) which was a direct result of employees being able to take a buyout.

Diversity is an integral and critical part of the SC-CH HCM Plan as it relates to the people and culture of SC-CH and the Site Offices. SC-CH proactively advocates diversity. SC-CH and the Site Offices will achieve this goal by creating an inclusive work environment that recognizes and appreciates all employees' perspectives and talents, allows employees to reach their full potential and attracts and retains the most talented employees.

Over the last three years, the diversity mix of the SC-CH and Site Offices workforce has remained fairly constant as depicted in the chart below:

### SC-CH and Site Offices Diversity

Fiscal Year	2004	2005	2006
White	71.4%	71.9%	71.8%
Black	16.7%	16.3%	16.3%
Hispanic	6.4%	6.5%	6.2%
Asian	5.2%	5.1%	5.3%
Native American	0.3%	0.3%	0.3%

As of February 2007, minorities represented approximately 28% (96) of the SC-CH and Site Offices workforce. According to the 2000 National Civilian Labor Force (CLF) statistics, the combined minority labor force is approximately 27%.

While the diversity of the office remains constant and the overall minority representation is about equal to the National CLF, underutilization continues to exist for certain Equal Employment Opportunity groups in the SC-CH workforce. The table below provides a comparison of the representation by race and gender of the SC-CH workforce to the 2000 National CLF:

	SC-CH		2000 CLF	SC-CH Status
	#	%	%	
White Males	132	38.8	39.0	Equal
White Females	112	32.9	33.7	Below
Black Males	11	3.2	4.8	Below
Black Females	46	13.5	5.7	Above
Hispanic Males	6	1.8	6.2	Below
Hispanic Females	11	3.2	4.5	Below
Asian Males	13	3.8	2.0	Above
Asian Females	4	1.2	1.8	Equal
American Indian Males	0	0	.5	Below
American Indian Females	1	.3	.5	Equal

## 1. IDENTIFICATION OF CRITICAL HIRING NEEDS

Each HRS-serviced organization completed an analysis of their current and future staffing requirements which are being used to identify and develop recruitment and employee development programs to provide the skills and competencies needed in the staffing plans submitted to HRS. HRS reviewed the staffing plans which identified their organization's mission goals and objectives, mission critical occupations and skills, skill gaps and current and future critical vacancies as well as surplus occupations or skills. In addition, HRS also reviewed each organization's FY 2007 APP which addresses each organization's priorities, specific goals, objectives, measures, targets and specific resource needs (including human capital) for FY 2007 and beyond.

Through the review of this data, we identified additional needs in staffing which are vital to our continued success in serving SC and the Site Offices. Appendix A summarizes staffing plan priorities and human capital needs, and Appendix B summaries the resources needed to support FY 2007 goals and objectives outlined in the APP.

Based on this data, SC-CH and the Site Offices have identified critical hiring needs in the areas of:

- health physics
- project management
- cyber security
- environment, safety and health
- nuclear safety
- finance and budget

Within the SC-CH organization, there is a need to establish a small project management capability in order to assist Site Offices with project start-up and during periods of significant activity including the start of construction and review phases which will be staffed by two Project Managers. Due to emerging concerns in the cyber security area, additional staffing is needed to provide Site Offices support in the evaluation and testing of contractor cyber systems, responding to cyber security incidents and planning for the future. There is a critical need for Safety and Technical Services to fill health physicist, fire protection and nuclear safety engineering positions due to a glaring lack of staff with the experience or education required to perform the duties of these specialized positions. There is an urgent need to recruit and fill gaps in financial occupations due to increasing fiduciary responsibilities and the upcoming loss of experienced financial talent through planned staff retirements.

Also, there is an immediate need to fill nine specialized vacancies at the NBL MEO. The critical skills being recruited are in the areas of safety and occupational health, nuclear safety, industrial hygiene, environmental protection, chemistry and facility security.

With the current intensity of workload and pressure on current ACQ staff, another concern is maintaining critical skills in ACQ on a continuous basis without additional resources. If additional staff is not provided, and if the current staff is not being retained, ACQ can expect to lose more staff due to transfer and retirements before their planned/desired date. HRS will work with ACQ and other organizations in developing a plan to retain current critical skills throughout the organization.

In addition, the Site Offices have identified their critical hiring needs. The commonly identified needs across these organizations are in the areas of project management and environment, safety and health.

HRS will continue to work with top SC-CH and Site Office management to articulate identified critical hiring needs and to help organizations justify financial requirements to address their needs (specifically in the areas of training, staff augmentation via support service contractors, recruitment allowances and other hiring flexibilities). The HRS staff is already working on recruitment plans and initiatives in order to assist in filling the current critical hiring needs.

As a result of our human capital planning efforts, the following *Identification of Critical Hiring Needs* recommendations and action items have been developed:

- 1.1 Recommendation: Work closely with the SC-CH Manager and SC Change Control Board to identify SC-CH and Site Offices critical hiring needs and to obtain necessary funding to ensure focus is on strengthening current and future organizational capacity.
  - 1.1.1 Action Item: Provide guidance and information to serviced organizations to assist in their annual review of workforce needs and compilation of workforce management plans for FY 2008.  
Target: March 30, 2007
  - 1.1.2 Action Item: Organizations conduct and complete annual workforce analysis and submit workforce management plans to HRS.  
Target: May 14, 2007
  - 1.1.3 Action Item: Review workforce management plans to identify critical hiring needs as well as skills gaps in order to help mitigate and close the gaps.  
Target: July 6, 2007
- 1.2 Recommendation: Retain the knowledge and skills of employees in SC-CH and Site Offices.
  - 1.2.1 Action Item: Work with ACQ and other organizations in developing a plan to retain current critical skills throughout the organization.  
Target: June 30, 2007
- 1.3 Recommendation: Work with SC-CH and Site Offices management to justify financial requirements to address management needs.
  - 1.3.1 Action Item: Identify appropriate funding is considered and included in organizational budgets to address their needs (training, staff augmentation via support service contractors, recruitment allowances and other hiring flexibilities).  
Target: Ongoing

## 2. RECRUITMENT STRATEGIES

In order to effectively utilize human capital strategies to attract, develop and retain a highly qualified, technically-competent, diverse workforce, SC-CH and the Site Offices will identify a group of positions to be filled at the entry level each fiscal year based on projected critical skills or functions needed to support the SC-CH and Site Offices mission and succession planning goals. The Federal Career Intern Program and the Student Career Experience Program (SCEP) will be the primary tools used to fill these positions. Part-time employment for SCEP students could assist us in workforce planning since two students working part-time could occupy one full-time equivalent position. SC-CH and the Site Offices will continue to use the recruitment incentives that are available to compete with the private sector for highly qualified candidates. SC-CH will establish relationships with local colleges in order to educate faculty and students about DOE and its recruitment possibilities and target individuals in the area. In addition, SC-CH will encourage using a new streamlined authority to increase employment of persons with disabilities.

As the SC-CH mission evolves, some organizations will experience staff surpluses and shortages. HRS will work with managers and supervisors in identifying and tracking those expected shortages and surpluses. The SC-CH Priority Placement Program will continue to enable any surplus employee to be considered for opportunities through SC-CH and Site Offices prior to formal announcement. Also, SC-CH and the Site Offices will provide opportunities for reassignment through internal voluntary solicitations of interest, merit promotion procedures and directed reassignments as needed.

As a result of our human capital planning efforts, the following *Recruitment Strategies* recommendations and action items have been developed:

2.1 Recommendation: Establish relationships with local colleges for recruitment purposes.

2.1.1 Action Item: Select at least one local college to educate faculty and students about DOE and career opportunities at SC-CH.

Target: April 30, 2007

2.2 Recommendation: Encourage entry level hiring by establishing targets for positions filled at entry level.

2.2.1 Action Item: Identify and target a group of positions to be filled at the entry level this fiscal year based on projected critical skills needed to support the SC-CH and Site Offices missions and succession planning goals.

Target: May 1, 2007



- 2.3 Recommendation: Recruit persons with disabilities as defined by the U.S. Equal Employment Opportunity Commission (EEOC).
- 2.3.1 Action Item: Establish a strategy to recruit persons with targeted<sup>1</sup> disabilities.  
Target: September 30, 2007
- 2.4 Recommendation: Examine funding of multiple SCEP appointees.
- 2.4.1 Action Item: Target at least one position to be filled through the SCEP.  
Target: September 30, 2007
- 2.5 Recommendation: Revitalize use of student and career intern hiring programs to establish and maintain a critical skills pipeline for technical and leadership occupations.
- 2.5.1 Action Item: Provide guidance and assistance to hiring officials on the use of these Programs and develop a strategy to recruit a career intern.  
Target: September 30, 2007
- 2.5.2 Action Item: Consider creative uses for existing funds related to the Student Loan Repayment Program for recruitment purposes.  
Target: Each fiscal year
- 2.6 Recommendation: Provide current employees cross training opportunities.
- 2.6.1 Action Item: Revitalize the SC-CH *Job Jar Program* to fill lateral and/or temporary assignments.  
Target: Ongoing

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<sup>1</sup> Targeted disabilities, as defined by the EEOC, are disabilities “targeted” for emphasis in affirmative action planning. These are: deafness, blindness, missing extremities, partial paralysis, complete paralysis, convulsive disorders, mental retardation, mental illness, and genetic or physical condition affecting limbs and/or spine. Although the list of targeted disabilities is meant to include those who are most likely to suffer job discrimination, the EEOC recognizes that some disabilities that are not targeted are nevertheless just as severe or more severe than some of the targeted disabilities.

### 3. MITIGATING SKILLS GAPS

Based on the SC-CH and Site Offices comprehensive workforce planning efforts, a crucial component was to reduce skills gaps in mission-critical occupations by continuing to focus on competency requirements for current and future critical vacancies as well as surplus occupations or skills. SC-CH and the Site Offices have placed a greater emphasis on ensuring that employees are meeting their required certification/qualification levels.

ACQ has a difficult task of closing the skills gaps because the organization is steadily losing and gaining contract specialists. Experienced contract specialists are leaving due to retirements or for greater opportunities outside of the Department. ACQ has an identified skills gap of six individuals. These individuals are newly-hired contract specialists who will need to meet the Level II certification requirements. New employees are given 18 months to meet the required certification level; therefore, this skill gap is expected to be closed by the 3<sup>rd</sup> quarter of FY 2007. Completion of Level II certification requirements for the GS-1102 11/12 employees will close the skills gap at SC-CH.

Recruitment efforts are being increased to fill current critical vacancies that were identified as a shortage or as a skills gap. These skills shortages are primarily focused in the areas of:

- health physics
- fire protection
- safety
- electrical
- maintenance engineering
- real property
- cyber security

These hires are expected to be on board by the 4<sup>th</sup> quarter of FY 2007. Due to the retirement of the Supervisory Patent Attorney, the organization has chosen to rotate eligible employees into the supervisory position via 120-day details. Through recent hires in the areas of procurement law, intellectual property and administrative support, the gaps will be closed by the 3<sup>rd</sup> quarter of FY 2007. Appropriate training will be provided to these employees to ensure the closing of all skills gaps.

The Site Offices also have skills gaps in several occupational areas. In the area of contract management there is a skills gap of two contract specialists who need certification at Level III. This gap is expected to be closed by the end of the 2<sup>nd</sup> quarter of FY 2007. Other occupational areas that have skills gaps include facility representatives, program and project management, management officials and other advisors. The facility representative and one of the program and project management skill gaps are expected to be closed by the end of the 1<sup>st</sup> quarter of FY 2007 and the second program and project management gap should be closed by the end of the 2<sup>nd</sup> quarter. The Site Offices are being proactive and identifying future needs for their Project Directors at Level III and Level IV.

HRS conducted their annual training needs assessment for all SC-CH and Site Offices employees. There were two training assessments conducted, one for the professional and administrative staff, and one for the administrative support staff. The results of both surveys will be analyzed. The analysis will assist HRS to focus on the training needs of employees.

As a result of our human capital planning efforts, the following *Mitigating Skills Gaps* recommendations and action items have been developed:

- 3.1 Recommendation: Ensure training budget is adequate to accommodate the training needs of all SC-CH and Site Offices employees.
  - 3.1.1 Action Item: Develop a training budget to accommodate training needs.  
Target: February 28, 2007
- 3.2 Recommendation: Ensure completion of certification/qualification requirements for the Acquisition Career Development (ACDP), Project Management Career Development (PMCDP) and Information Technology (IT) Programs.
  - 3.2.1 Action Item: Track employee's participation in the ACDP, PMCDP and IT Programs and provide updates to management.  
Target: Quarterly
  - 3.2.2 Action Item: Ensure appropriate courses are brought onsite to meet Program requirements.  
Target: Ongoing
- 3.3 Recommendation: Work with supervisors to develop Individual Development Plans (IDPs) to close skills gaps.
  - 3.3.1 Action Item: Use results of HRS training needs assessment to assist in developing IDPs to close skills gaps.  
Target: Ongoing

## 4. LEADERSHIP SUCCESSION AND KNOWLEDGE MANAGEMENT

### Leadership Succession

SC-CH and the Site Offices utilize a variety of succession management strategies to develop the pipeline for critical occupations at all levels of the organization. In addition to utilizing the four formal developmental programs administered by the U.S. Department of Agriculture (USDA) Graduate School and the DOE Senior Executive Service Career Development Program, employees will have opportunities through details to new and/or existing vacant positions. During FYs 2002-2006, SC-CH and the Site Offices have had formal developmental program participation as follows:

- Aspiring Leader Program (GS-5/7) – one participant
- New Leader Program (GS-7/11) – two participants
- Executive Leader Program (GS-11/13) – zero participants
- Executive Potential Program (GS-13/15) – five participants
- DOE Senior Executive Service Career Development Program – six participants

### Knowledge Management

With the average age of employees within SC-CH and Site Offices being 50, there is a pressing need to infuse the Federal workforce with new employees who possess contemporary skills and, at the same time, retain corporate knowledge. Current SC-CH and Site Offices strategies include filling vacancies with lower level employees to groom new staff; developing organizational standard operating procedures to retain history; detailing employees to serve in acting management positions; hiring retirees as part-time contractors to fill gaps; and revitalizing the SC-CH *Job Jar Program* (non-competitive job opportunities) which has been successful for filling lateral reassignments or temporary promotions.

As a result of our human capital planning efforts, the following *Leadership Succession and Knowledge Management* recommendations and action items have been developed:

- 4.1 Recommendation: Incorporate succession planning into workforce management plans.
  - 4.1.1 Action Item: During the workforce planning process, work with managers to incorporate succession planning.  
Target: May 14, 2007
- 4.2 Recommendation: Develop a database to identify employees' interested in developmental assignments.
  - 4.2.1 Action Item: Utilize the SC-OR database which allows employees to volunteer for developmental assignments and provides a means for managers and supervisors to consider a pool of interested staff.  
Target: June 30, 2007

4.3 Recommendation: Retain corporate knowledge.

4.3.1 Action Item: Revitalize the mentoring program to create opportunities between senior and entry level employees to share corporate knowledge and experience.  
Target: September 30, 2007

## 5. DIVERSITY STRATEGY

The key to a successful organization-wide diversity effort is the direct link to the business and strategic future of the office. SC-CH and the Site Offices proactively advocate diversity. Our goal is to create an environment that embraces and values diversity by promoting: (1) recognition of the differences in people, (2) respect for those differences and (3) utilization of those differences to contribute to the success of SC-CH and the Site Offices. The SC-CH Unity Council has been chartered to develop and implement initiatives that encourage the contributions and inclusion of all SC-CH and Site Office employees.

The key principles of respect for the individual, workforce demographics, inclusion and high performance, trust and open communication must be evident. Managers and supervisors will promote and support an environment in which employees are valued, respected and included.

Through creative and innovative use of the administrative flexibilities provided to us under current regulations, SC-CH and the Site Offices will meet diversity goals, meet the needs of the organization and comply with the DOE goals to “build and maintain a diverse, well-trained, highly-qualified and motivated workforce to achieve current and future programmatic missions.”

As a result of our human capital planning efforts, the following *Diversity Strategy* recommendations and action items have been developed:

- 5.1 Recommendation: Utilize the innovative options identified in the SC HCM Plan to enhance diversity.
  - 5.1.1 Action Item: Partner with SC-OR to assist in implementation of the SC HCM Plan diversity strategies.  
Target: February 28, 2007
- 5.2 Recommendation: Develop appropriate tools to measure progress and performance.
  - 5.2.1 Action Item: Work with the SC-CH Unity Council to identify measures for tracking progress.  
Target: June 30, 2007
- 5.3 Recommendation: Promote diversity awareness and provide a forum for employees to learn and participate in meaningful dialogue.
  - 5.3.1 Action Item: Provide diversity-related articles for the HRS Newsletter.  
Target: Quarterly
  - 5.3.2 Action Item: Provide diversity awareness training.  
Target: Annually

- 5.4 Recommendation: Analyze demographics for SC-CH and the Site Offices working toward a balanced workforce.
  - 5.4.1 Action Item: Review workforce demographics and determine appropriate recruitment strategy.  
Target: Ongoing
- 5.5 Recommendation: Track, monitor and assess hiring, promotions, separations, awards, etc.
  - 5.5.1 Action Item: Consistently monitor and analyze workforce demographics, as well as all hiring, promotion, awards, etc.  
Target: Ongoing
- 5.6 Recommendation: Utilize the strategies identified in the DOE Hispanic Employment Plan to increase Hispanic representation in the SC-CH and Site Offices workforce.
  - 5.6.1 Action Item: Implement recruitment strategies identified in the DOE Hispanic Employment Plan.  
Target: Ongoing

## 6. RECRUITMENT TIMELINES

HRS closely monitors performance against OPM hiring timelines for SES and non-SES positions by entering data each month into the Department's Corporate Human Resource Information System (CHRIS) Standard Form (SF) 52 Tracking System. In accordance with our Delegated Examining Unit (DEU) authority, HRS is also required to input information into a database at the OPM DEU website on a quarterly basis. Overall, HRS continues to improve on the 45 workday hiring timeframe which covers the time from the close of a vacancy announcement to when an offer is made. Recently, OPM established a new 113 day timeframe for filling jobs which encompasses the time between learning about a vacancy to the entrance-on-duty date. HRS needs to review the current data in the SF-52 tracking system to determine how well SC-CH is meeting this new timeframe.

In addition, SC-CH established customer service standards for the timely preparation of vacancy announcements and distribution of Certificates of Eligibles to hiring officials. SC-CH tracks performance against these standards and other metrics monthly and reviews workload indicators to make necessary adjustments in work assignments. During this past fiscal year, HRS faced the challenge of implementation of the new *Hiring Management System* which caused a few delays in vacancy announcements opening and Certificates being issued to hiring officials. Although, the timeframes established in our FY 2006 customer service metrics continues to demonstrate improvement in meeting Departmental hiring timeliness through auditable systems for collecting and analyzing data, HRS needs to review the SF-52 tracking system data and determine if the current customer service standards are appropriate based on our current and new OPM timeframe.

As a result of our human capital planning efforts, the following *Recruitment Timelines* recommendations and action items have been developed:

6.1 Recommendation: Generate reports from the DOE SF-52 Tracking System to monitor OPM hiring timeframes.

6.1.1 Action Item: Establish a team to review reports from the DOE SF-52 Tracking System and determine recruitment timeliness efforts and modify HRS customer service standards and metrics where necessary.  
Target: June 30, 2007

6.2 Recommendation: Ensure timely hiring selections.

6.2.1 Action Item: Work with hiring officials to ensure timely selections are made.  
Target: Ongoing



## 7. RESULTS-ORIENTED PERFORMANCE CULTURE

SC-CH has been and continues to be very supportive of the goals and objectives of the PMA including the objective of attaining a Results-Oriented Performance Culture. The SC-CH Strategic Management System is an integral part of our annual performance planning process. This process incorporates the development of individual employee performance plans by cascading DOE, SC and SC-CH goals and mission objectives down to organizational goals, and ultimately, into the employee's individual performance plans. Employee performance plans describe performance expectations which include specific requirements and measures that focus on individual accomplishments linked to the goals of the organization.

The HRS staff works diligently to ensure employee performance plans are aligned with their supervisor, manager and/or executive's performance goals and objectives. Managers and supervisors are highly encouraged to communicate directly with their employees in order to ensure they are aware of how their individual performance contributes to the accomplishment of organizational goals.

The SC-CH objective of developing a Results-Oriented Performance Culture is focused on having a results-oriented, high-performing workforce, as well as performance management systems that effectively plan, monitor, develop, rate and reward employee performance. As a result, HRS takes an active role in the development of departmental systems including the non-supervisory system which was rolled out in December 2005 and currently with the managerial/supervisory performance system which is expected to be implemented during the FY 2008 performance cycle.

In accordance with Departmental policy, it is expected that performance ratings of executives are directly based on their organization's accomplishment of their goals and objectives and in turn employee ratings are also based on their individual contributions to the achievement of organizational goals and objectives. In addition, supervisors and managers use performance results to offer feedback, identify developmental needs to help improve employee performance and address instances of poor performance.

HRS implemented the new DOE Non-Supervisory Employee Performance Management System in December 2005, discontinuing use of a pass/fail performance management system which was used by most organizations serviced by HRS. As this System was rolled out, the HRS employee relations staff conducted several briefings for all employees (including supervisors and managers) on the requirements of this new System. They provided extensive guidance and assistance to supervisors and managers in the development of FY 2006 performance plans to ensure employee performance plans included adequate performance measures and expectations and to ensure they were in accordance with program requirements.

HRS works with managers and supervisors to ensure that performance expectations are:

- aligned with organizational goals
- clear and understandable
- reasonable and attainable
- measurable and results-oriented

When performance issues arise which are at the “Needs Improvement” or “Fails to Meet” level, managers and supervisors are advised by HRS on how to appropriately deal with these situations in a proactive way through a variety of performance improvement strategies such as performance counseling, mentoring, training and providing effective feedback. If an employee is not successful in improving their performance, appropriate action will be taken.

A member of the HRS staff has been actively participating as part of the DOE team working on the development of a new managerial/supervisory performance management system. This system is being redesigned to cascade some of the same philosophy and requirements as in the new SES system implemented for the FY 2007 performance period. The team is working to ensure that the managerial attributes will be related to those required of the executives.

As a result of our human capital planning efforts, the following *Results-Oriented Performance Culture* recommendations and action items have been developed:

- 7.1 Recommendation: Ensure SES performance standards are linked to organizational goals and mission and include adequate measures of performance which are results-focused.
  - 7.1.1 Action Item: Rollout revised FY 2007 SES performance management system ensuring SES performance plans are clearly aligned with specific organizational goals and at least one element focusing on measurable business results.  
Target: November 30, 2006
  - 7.1.2 Action Item: Drafted SC Management System procedures and guidelines on the new SES performance management system and forwarded to HQ for review and implementation for the FY 2007 performance period.  
Target: December 31, 2006
- 7.2. Recommendation: Ensure employee performance management systems are implemented appropriately by managers and supervisors, who effectively plan, monitor, develop, rate and reward employee performance.
  - 7.2.1 Action Item: Closeout FY 2006 performance period to include a review of each employee appraisal to ensure the end of year ratings is calculated appropriately, distinguishing adequately between levels of performance. Ensure appropriate measures are taken for employees who receive “Needs Improvement” or ‘Fails to Meet Expectations” overall ratings.  
Target: December 13, 2006
  - 7.2.2 Action Item: Issue guidance on the performance award process for FY 2006 performance and review performance award nominations ensuring highest performers receive larger performance awards in accordance with System requirements.  
Target: December 15, 2006

- 7.2.3 Action Item: Provide guidance on appropriate implementation of Departmental safety standard for all employees.  
Target: 2<sup>nd</sup> quarter FY 2007
- 7.2.4 Action Item: Continue to support DOE efforts to develop and rollout a new managerial/supervisory performance management system.  
Target: Ongoing through FY 2007

## 8. ORGANIZATIONAL EFFECTIVENESS AND EFFICIENCY

### Organizational Effectiveness

SC-CH and Site Office managers conduct organizational analysis in order to ensure appropriate organizational structures and workforce are being used efficiently and effectively. Some examples of organizational effectiveness and efficiencies include:

#### SC-CH:

- In June 2005, SC-CH realigned the Office of the Manager (OM) by abolishing a layer of management. The purpose of this realignment was to focus and improve on the key SC-CH goals and objectives identified in the SC ISC. The functions that were previously reporting to an Assistant Manager were realigned with OM (human resources, information management, and management analytical and administrative services).
- During 2006, the work being performed at NBL went under a competitive sourcing study in accordance with Office of Management and Budget Circular A-76, Performance of Commercial Activities. The Government's Proposal, formally known as the MEO, won the bidding process. This resulted in the creation of the development of the NBL Residual Organization and MEO.
- SC-IT transition to the MEO under a competitive sourcing study of 2002 is still progressing. SC-HQ is currently moving their networking facilities into the DOE Common Operating Environment within the MEO. A SC team is creating a Memorandum of Agreement that will address field units and the impact with regard to this study.
- The DOE training function went under a competitive sourcing study in FY 2003. In accordance with Government requirements, proposals were submitted by private industry, as well as Government organizations to assume responsibility for the Department's training function. The Government's Proposal, formally known as the MEO, won the bidding process in FY 2005. The Enterprise Training Services (ETS) became effective on July 1, 2006. The main focus of ETS is to provide customized services and products, information on improving employee training, organizational needs assessment, assistance with developing IDPs and training plans and identifying resource sharing opportunities with other programs.

#### Site Offices:

- The Berkeley Site Office Manager completed a comprehensive review of roles and responsibilities which resulted in a restructuring of the office staff based on functional area that included five new teams: Projects and Facilities Management; Programs and Institutional; Environmental, Safety, and Health Management; Business and Financial Management; and Contracts Management Team.

## Organizational Efficiencies

### HR Systems

HRS encourages the use of a variety of e-Gov systems designed to provide more efficient processing of human resource services:

- *CHRIS Employee Self Service* – enables employees to view their payroll, personal and training information, update certain personal information, and complete and submit an IDP.
- *CHRIS Training and HR Workflow* – allows employees and managers to request, route, approve and process personnel actions and training nominations online.
- *Rewards and Recognition System* – provides employees with an easy and paperless process for nominating staff, peers and/or internal customers for incentive awards.
- *New Hiring Management* – automates the Federal hiring process and uses the Internet to build and post vacancies directly to OPM's USAJOBS website. Interested applicants can review the vacancy announcement and answer position-specific questions. HRS uses this system to rate, rank, and certify candidates when vacancies close, forwarding this information to the hiring official.
- *GoLearn* – provides web-based learning and development courses, as well as other products and services and functions as a learning management system to track online learning, as well as instructor-led training.
- *USALearning* – the official learning and development site for the Federal Government, and supports the development of the Federal workforce and advances the accomplishment of agency missions through simplified and one-stop access to high quality e-Learning products, information and services.
- *Electronic Questionnaires for Investigations Processing (e-QIP)* – a secure website designed to store personnel investigative forms, such as SF-86, "Questionnaire for National Security Positions"; SF-85P, "Questionnaire for Public Trust Positions"; SF-85P-S, "Supplemental Questionnaire for Selected Positions"; and SF-85, "Questionnaire for Non-Sensitive Positions", and allows clearance applicants to electronically enter, update and release their personal investigative data over a secure Internet connection to their sponsoring agency for review, approval and submission to the investigative agency. Benefits for e-QIP applicants include: convenient and private access; filling out forms only once during a career; and electronic submission speeds up processing. Benefits for agency users include: data validation means less review time; lower rejection rates; faster rework; and easy reinvestigations.

In addition to the above HR e-Gov systems, SC-CH and Site Offices have implemented the following to improve process effectiveness and efficiency:

- *Management Decision Support System (MDSS)* – a management tool providing technical, operational and administrative information to facilitate resource planning and related implementation decisions and monitor organizational performance. MDSS has been developed to meet managers’ needs for accurate, timely, and relevant information to support planning initiatives; predict workloads; develop resource requirements; operate cost-effectively; and to review and compare the historical costs of doing business. MDSS is an easy-to-use system that provides a consistent means of accessing and displaying data related to human resources, budgets, costs, workloads and organizational performance.
- *Chicago Information Portal (CHIP)* – a web-based information portal implemented to aid employees and staff in organizing and accessing information. It also serves as a documentation management tool and provides version and editing controls and certain project management tools. One major contributor to CHIP is HRS, which uses this portal as a repository to store HR-related information for quick reference; the New Employee Orientation Program (a web-based program designed to provide new employees valuable information on SC-CH and Site Offices employment); and the Employee Handbook (for quick reference to across-the-complex topics).
- *Science Management Action and Records Tracking (SMART) System* – a web-based action item tracking system which can be used to track many different types of organizational data.

As a result of our human capital planning efforts, the following *Organizational Effectiveness and Efficiency* recommendations and action items have been developed:

- 8.1 Recommendation: Continuously evaluate organizational structure for efficiency and effectiveness.
  - 8.1.1 Action Item: Assist managers in analyzing their organization’s structure and alignment to optimize efficiency and effectiveness through the workforce planning process.  
Target: Ongoing
- 8.2 Recommendation: Use e-Gov systems designed to provide organizational efficiency and effectiveness.
  - 8.2.1 Action Item: Educate employees on current and future e-Gov Systems and encourage usage.  
Target: Ongoing