

*U.S. Department of Transportation*



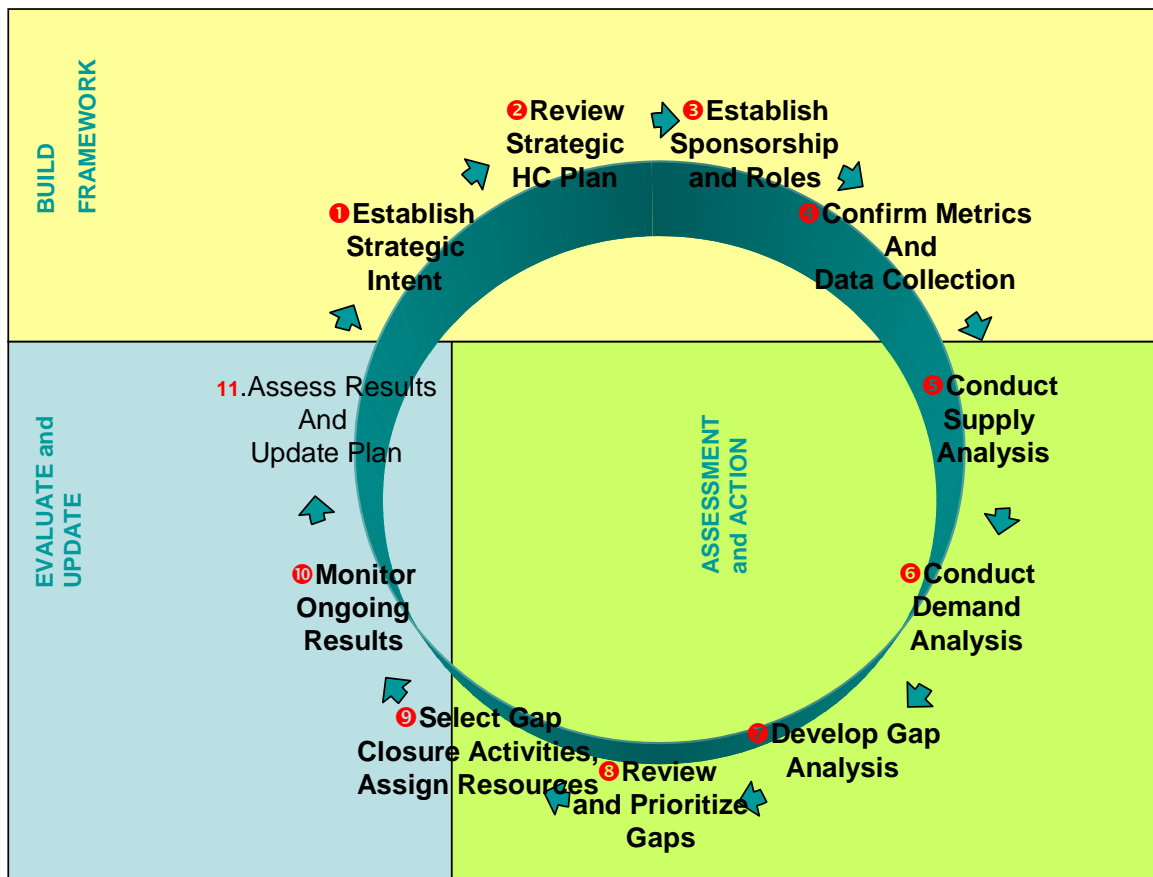
*Human Capital Management*

# **GUIDE TO WORKFORCE PLANNING**

Revised June 2008



## DOT's WORKFORCE PLANNING PROCESS CYCLE





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## INTRODUCTION

### WHAT IS WORKFORCE PLANNING?

The U.S. Office of Personnel Management's website features a straightforward description of Workforce Planning:

*"Simply stated, workforce planning is the process of ensuring that the right people are in the right place, and at the right time to accomplish the mission of the agency. More specifically, workforce planning is a systematic process for identifying and addressing the gaps between the workforce of today and the human capital needs of tomorrow."*<sup>i</sup>

In subsequent years, multiple authorities that focus on effective practices for government have developed progressively more nuanced definitions of Workforce Planning:

- "A systematic process for identifying the human capital required to meet organizational goals and for developing the strategies to meet these requirements."<sup>ii</sup> - National Academy of Public Administration (NAPA)
- "Workforce planning is the strategic alignment of an organization's human capital with its business direction. It is a methodological process of analyzing the current workforce, identifying future workforce needs, establishing the gap between the present and the future, and implementing solutions so the organization can accomplish its mission, goals, and objectives"<sup>iii</sup> - International Association for Management Administrators (IPMA-HR)
- "Workforce planning is an organizational activity intended to ensure that investment in human capital results in the timely capability to effectively carry out the organization's strategic intent. We define *strategic intent* as an expression (sometimes explicit, but often implicit) of what business the organization is in (or wants to be in) and how the organization's leaders plan to carry out that business... A major task for workforce planners is to identify explicitly those elements of strategic intent that workforce characteristics help accomplish."<sup>iv</sup> - RAND Corporation
- "The organization identifies the human capital required to meet organizational goals, conducts analyses to identify competency gaps, develops strategies to address human capital needs and close competency gaps, and ensures the organization is appropriately structured." - OPM Human Capital Assessment and Accountability Framework (HCAAF)<sup>v</sup>
- "Workforce planning, a key component of strategic human capital management, is about aligning an organization's human capital—its people—with its business plan to achieve its mission; in other words, ensuring that an organization currently has and will continue to have the right *people* with the right *skills* in the right *job* at the right *time* performing their assignments efficiently and effectively."<sup>vi</sup> - IBM Center for Business Intelligence

These definitions reflect the increasing awareness of the linkage between organization strategy and all human capital strategic planning; and the increasing complexities of planning in a world of constant change. Yet OPM's first definition may still be the best. It combines the "what, how, and why" of Workforce Planning into one memorable goal that applies equally to Agency Leaders, Managers and Human Capital professionals:

**WORKFORCE PLANNING IS PUTTING THE RIGHT PEOPLE IN THE RIGHT PLACE, AT THE RIGHT TIME TO ACCOMPLISH THE MISSION OF THE AGENCY**

## WHY THIS GUIDE?

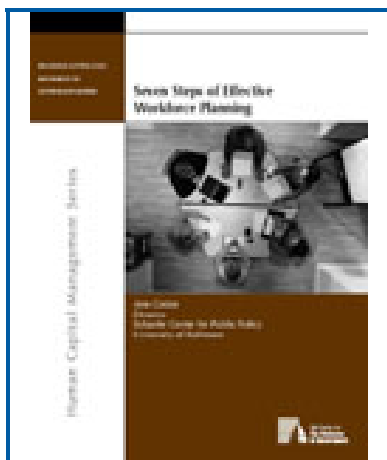
The Department’s strategic plan recognizes that, for DOT to achieve its mission, it must continue to attract, develop, and retain a skilled and ready workforce:

***Conduct workforce planning to identify both mission and workforce trends, assess mission-critical core competencies, and implement plans to close gaps through vigorous learning and knowledge management approaches, targeted recruitment, and succession planning.***

- DOT Strategic Plan 2006-2011  
Organizational Excellence Goal, Strategy 9

In 1999, DOT/OST issued a Workforce Planning Guide to provide the Operating Administrations (OAs) with a blueprint for workforce planning:

*A systematic approach to workforce planning can facilitate more efficient and accurate alignment of the workforce to meet its organizational goals, commitments, and priorities. If done well, the result can be more effective utilization of employees, which will increase the overall effectiveness of DOT. Systematic workforce planning can help organizations implement cross-organizational placement and retraining as alternatives to reduction-in-force actions, do a better job of career counseling and development, training or retraining, and recruiting; and assess and improve their diversity profile.<sup>vii</sup>*



Each year, DOT has gained additional experience and insight about what works and what doesn’t for our Department. In 2007, the Department was recognized by the IBM Center for Excellence in Government for managing a highly effective Workforce Planning process.<sup>viii</sup>

Although each Operating Administration (OA) develops an annual Workforce Plan aligned with its specific strategic goals, DOT/OST updates and publishes the annual Department-wide picture of DOT’s current workforce, projected workforce requirements, anticipated gaps, and strategies in the “DOT WORKFORCE ANALYSIS.”<sup>ix</sup> The DOT Workforce Analysis provides DOT leaders with a picture of the current and emerging “supply and demand” for talent across the Department.

As the interdependency and strategic alignment among the OAs increase, so does the need for consistent processes to manage strategic resources across the Department. This Guide has been updated to ensure that the Department can conduct workforce planning with consistent processes, while allowing for differences in the challenges and workforce composition of each OA. This Guide is designed to:

- Outline uniform metrics that form a common “language” of workforce readiness;
- Enable efficiency in the face of scarce resources; and
- Enable the potential for shared resources: not only workforce planning tools and expertise, but also cross-business competency and career development opportunities for the workforce itself; and
- Ensure that the entire Department has the tools and methods, goals, plans, and tests for ongoing effectiveness to maintain a workforce ready and able to carry out the mission of the Department.



## Human Capital Management – Guide to Workforce Planning

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Although there is no one perfect model or process, following many of the steps outlined in this Guide will help your Operating Administration to develop and maintain a consistent gauge of your workforce needs. This gauge will enable you to respond if the OA's mission and focus change, if there is a significant downsizing, a reorientation that makes some skill sets obsolete, or a change that creates a demand for new skills. Following the structures and processes outlined in the Guide will ensure that the Department has consistent, focused, actionable plans with which to manage resources and insure talent development.

### WHO SHOULD READ THIS GUIDE?

This Guide has been developed for Leaders, Managers, *and* Human Capital Professionals at DOT.

**Senior Leaders** in each OA define the strategic direction and goals, so that the OA may identify and maintain the requisite talent required to achieve the goals:

*"Accomplishing strategic intent is the central goal of workforce planning. The leaders' strategic intent focuses workforce planning. Because strategic intent is best defined and articulated by corporate and business unit executives and line managers, the clarity and quality of their input represents a critical factor in successful workforce planning".<sup>x</sup>*

**Managers** make daily decisions about workload, work assignments and the skills of their employees. They provide the ongoing input into the "supply" and "demand" analysis that is the heart of Workforce Planning

**The Human Capital professionals and Workforce Planners** in the OAs carry the responsibility of planning and analyzing programs to recruit, develop, and retain the workforce. They document the status and future of the workforce, aligned with the input and strategic direction that senior leadership provides.

### HOW THIS GUIDE WAS DEVELOPED

This Guide has been developed using DOT's 1999 Guide to Workforce Planning as a base, and adding templates, processes and data developed by DOT and OPM in subsequent years. The Guide also incorporates suggestions and strategies from publications and guides by "good for government" organizations and Federal authorities including the GAO and Office of Personnel Management.

Many standards for Workforce Planning originally published in the Strategic Alignment system of the Human Capital Assessment and Accountability Framework (HCAAF) have been codified in 5 CFR Part 250

# 1. WORKFORCE PLANNING AS A STRATEGIC TOOL

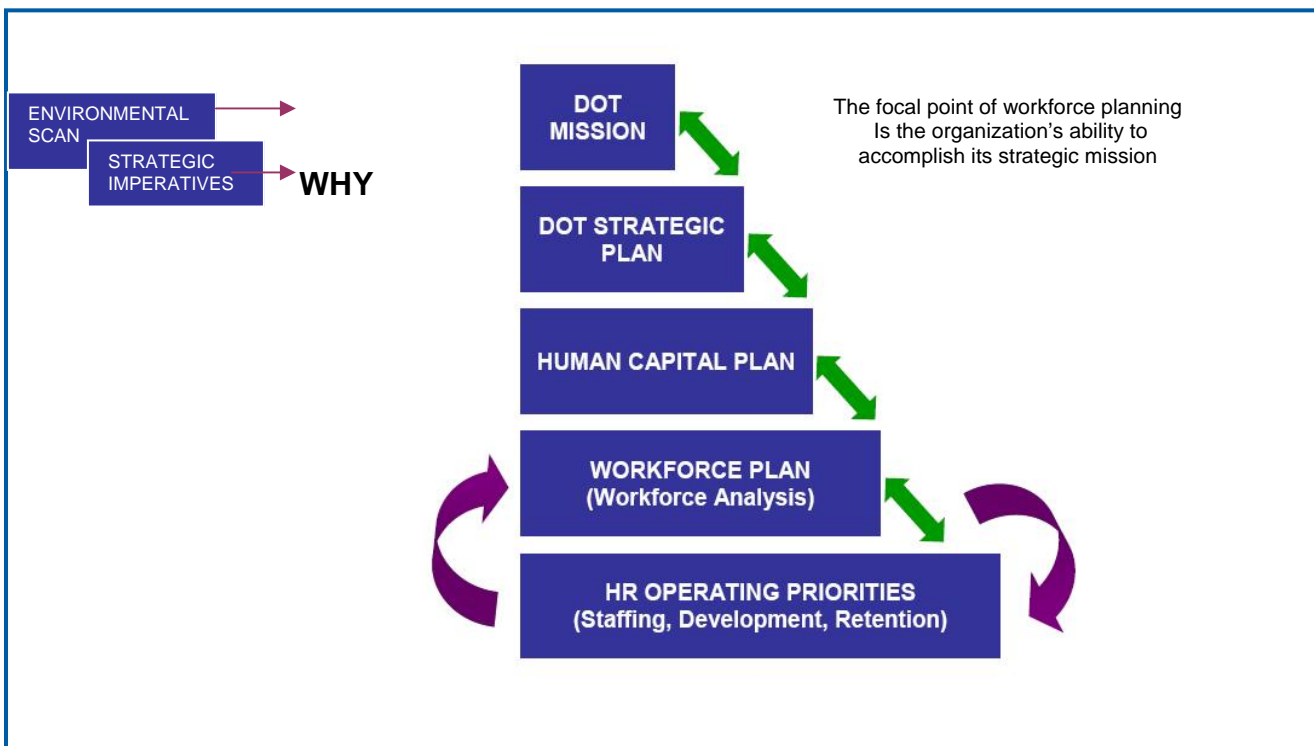
*In our view, an explicit consideration of the nature of the business the organization wants to be in and how it wants to carry out that business is what makes human capital planning — and workforce planning—strategic.<sup>xi</sup>*

This section describes the linkages between the Department’s Strategic Plan, its workforce plan, and the implementation plans in all Human Capital operating systems (recruitment, development, and retention.)

## 1.1 THE PLANNING CONTEXT: UNDERSTANDING STRATEGY AND GOALS

Understanding the linkage between the vision, mission, strategic goals and objectives of DOT and your OA’s goals is vital to the Workforce Planning process. The occupations your OA selects as “mission critical,” and the strategies (“make/rent/buy” ) that your OA selects for acquiring talent, must be linked to the overall goals to insure that budgeting, resource allocation, and daily activities all support and reinforce each other. Figure 1.0 illustrates the linkage from DOT’s mission and strategy to Workforce Planning.

*Figure 1.0 DOT Mission and Strategic Goals Provide the Context for Workforce Planning*



## 1.2 THE BUSINESS CASE FOR WORKFORCE PLANNING

If DOT could be assured that skilled and talented people, ready and willing to work for the Department, would be available in unlimited numbers into the foreseeable future, and if delivering effective and efficient service to the American public were not imperative, there would be no need for a workforce plan.





## Human Capital Management – Guide to Workforce Planning

Because the Federal Government operates within resource constraints, there must be a business case for investing in workforce planning. Leaders and workforce planners must first assess the “WHY” factor of the business case: WHY has the organization shaped its mission and strategic intent into its current form?

When the 20<sup>th</sup> Century began, workforce planning was virtually unnecessary. Most of the American economy revolved around manufacturing. On-the-job learning was easily and cheaply accomplished. The domestic birth rate and immigration provided a ready pipeline of workers. Most large organizations operated under an unwritten “contract” that the employee-employer relationship was stable and would last for the employee’s working lifetime. Even as national transportation systems expanded, many Americans worked close to home and spent their working lifetimes in the same city and state.

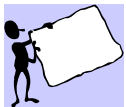
Today the US has transitioned to a service-based economy, with knowledge workers in high demand. Complex work requires levels of preparation and education that cannot be quickly duplicated. Employers do not offer “lifetime employment” as a commonplace, and employees evaluate their own marketability and exercise high degrees of mobility in every employment sector. (Inside the Federal government, an average of 15% of employees switches agencies each year.) Technology has made the marketplace for talent truly global, and also unpredictable: communication systems, information exchanges, and jobs that exist today were only ideas 20 years ago. Skill requirements change and the demand for talent surges in almost unpredictable waves. It seems paradoxical that as the planning environment and time horizons are less knowable than ever, employers find that workforce planning has become a necessity, not only to grow, but simply to remain competitive.

The business case translates the WHY into specific implications, from the strategic imperative at the broadest level to planning for numbers of employees with a specific skill set in the most specific detail. The following statement illustrates a succinct business case for workforce planning:

*During FY 2006, rates of hiring were not high enough to effect a 1:1 replacement of employees at the ongoing rate of departure... Modeling, based on “steady state” assumptions, projects that if the recent pattern of losses and gains continues, the total DOT workforce will decline by about 8% over the next four years. MCOs, including Leaders, Program Managers, and Engineers, will be most heavily impacted.*<sup>xii</sup>

IBM’s report “*The Seven Steps of Effective Workforce Planning*” reiterates the importance of the business case:

*“In the knowledge economy, the collective set of knowledge, skills, abilities, and competencies developed by an organization’s workforce are arguably the most important determinants of an organization’s ability to sustain long-term success. In federal and state government agencies, the workforce investment is tremendous—the federal government employs 2.7 million people and state governments employ another 4.6 million people.”*<sup>xiii</sup>



The Worksheet ***Developing the Business Case***, at the end of this chapter, provides a set of questions to help determine the business case for workforce planning.

### 1.3 HUMAN CAPITAL SYSTEMS

The DOT Mission and Strategic Plan provide the context – the WHY - for the Department’s workforce plan.

In its *Strategic Human Capital Plan*, DOT has set out the HOW for workforce planning: *How* Human Capital will define the support required, and prioritize the approaches to development of the organizational culture, work management systems, and workforce required to deliver on DOT’s mission.

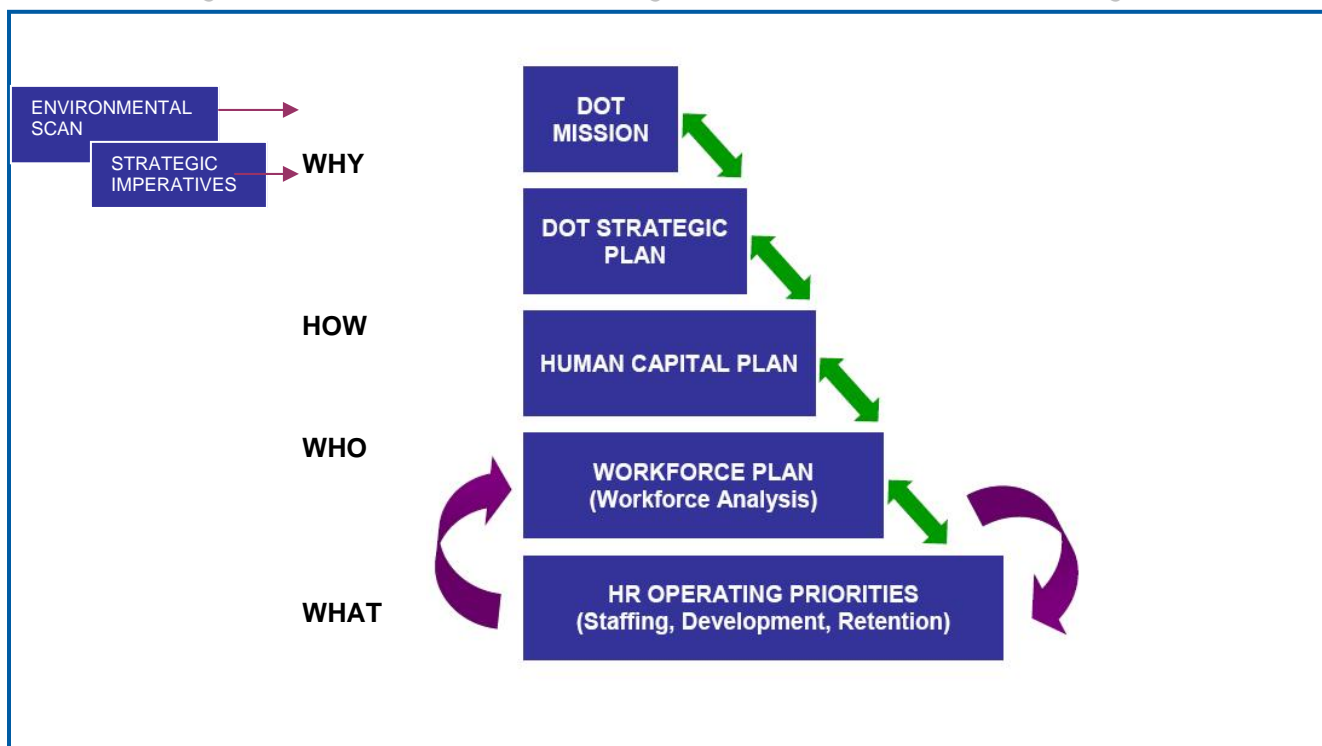
## Human Capital Management – Guide to Workforce Planning

With its *Workforce Plan*, the Department defines the WHO: who will be needed – the numbers, organization structure, placement, and skills – to carry out the Strategic Human Capital Plan. A key function of the Workforce Plan is to create the “talent inventory” and “talent shopping list” for the future of the Department, and to establish the priorities and a basis for the risk/reward calculations of the benefits and consequences of action or inaction.

However, it is critical that the Workforce Plan include connections and mechanisms to convert the “shopping list” into implementing systems. These are the WHAT – what programs and functions will be relied on to contribute to Recruiting, Retaining and Developing talent.

The WHAT of Human Capital management – what programs are funded and managed – deliver the talent requirements in the strategic “shopping list.” The Human Resource coordinating councils play a critical role at DOT because so many of the programs for recruiting and staffing, development, and retention are managed “on the ground” by individual OAs. This makes it critically important that the OAs have the systems and “common language” of accountability to set goals, plan coordinated activity, and evaluate results in a “common language”

*Figure 1.1: The Who /What/ Why and How of Workforce Planning: <sup>xiv</sup>*



Integrated planning, goal setting, accountability and review insure that our human capital operating systems support and reinforce each other and our overall objective: placing the right workforce with the right skills in the right jobs at the right time.

### 1.4 WORKFORCE PLANNING AND SUCCESSION PLANNING

Workforce Planning and Succession Planning are both gauges for measuring and managing the readiness of the workforce. Both enable an agency to predict and respond to operating realities and also to forecast and prepare for changing “climate.”

## Human Capital Management – Guide to Workforce Planning

However, the agency deploys these tools in different ways. While a Workforce Plan creates a strategic view of the whole organization and measures overall workforce supply and demand, a succession plan becomes an operating tactic to address specific needs for specific positions.

The **Workforce Plan** develops trends and forecasts about the entire workforce so the organization may plan for gaps or oversupply *in the aggregate*. Workforce plans typically contain information on the following:

### Strategic Alignment

- Agency Mission and critical competencies
- Reorganizations, Workforce Reshaping, Strategic Vacancy Management

### Current Workforce: Overall Profile

- Demographic Facts: level, personal demographics, tenure, education, etc.
- Analysis of changes and trends: Retention/ attrition, Time to hire, etc.
- Mission Critical Occupations: Representation, Competency Assessments

### Future Workforce: Overall Profile

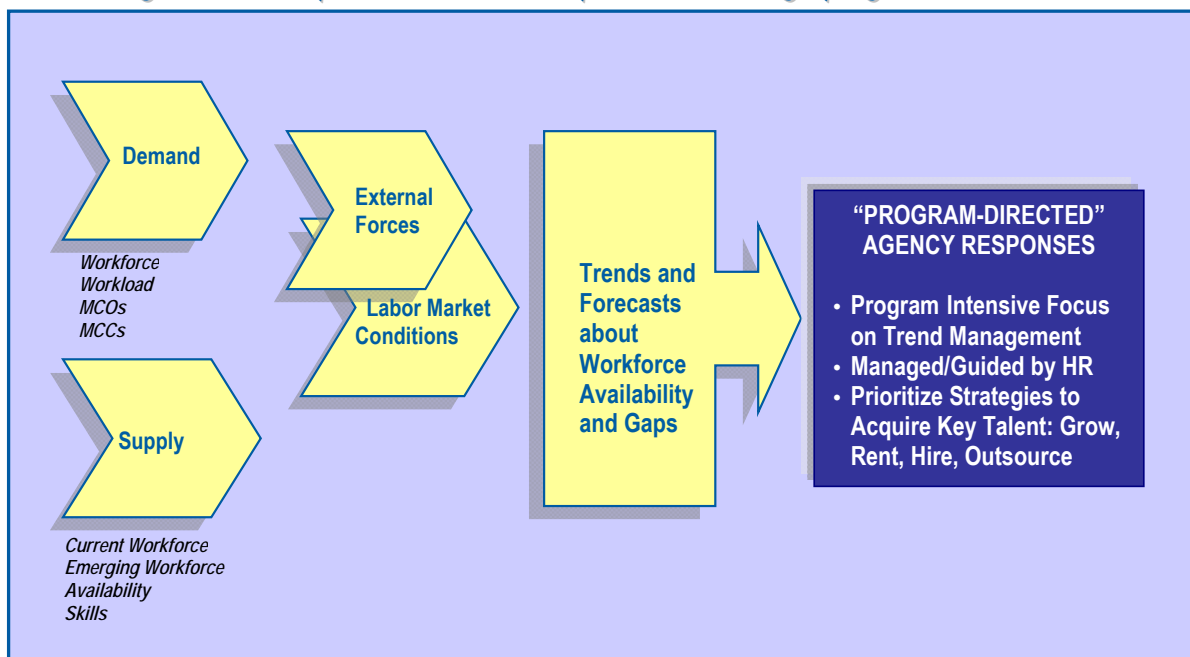
- Anticipated Needs
- Workforce Projections (overall and by MCO or MCC)

### Gap Analysis and Recommendations

- Talent Management Programs: challenges, approaches, results

The response to workforce planning issues is usually “program directed” and may include, for example, recruiting campaigns, retention and reward strategies, and monitoring responses including turnover, employee survey data, and the like.

*Figure 1.2: Responses to workforce plans are usually “program directed”<sup>xv</sup>*



## Human Capital Management – Guide to Workforce Planning

In contrast, Succession Plans move from discussion of the general population to consideration of specific positions and talent pools. Effective succession planning anticipates supply and demand and enables the organization to plan for replacements of specific, key leverage positions. The responses to succession planning are usually “individual directed”: that is, requiring active management of development and selection programs for specific individuals and groups of individuals. Responses may include, for example, Individual Competency Assessments, and assignments for specific employees to Leadership Development Programs or Individual Developmental Assignments. Typically, succession plans contain the following:

### Inventory of Key Leverage Positions (Demand)

- Competencies Today/Tomorrow
- Incumbents: Competency/ Vulnerability to Loss
- Replacement Strategy
- Identification of Replacements “Now” and “Later”

### Inventory of Key Talent (Supply)

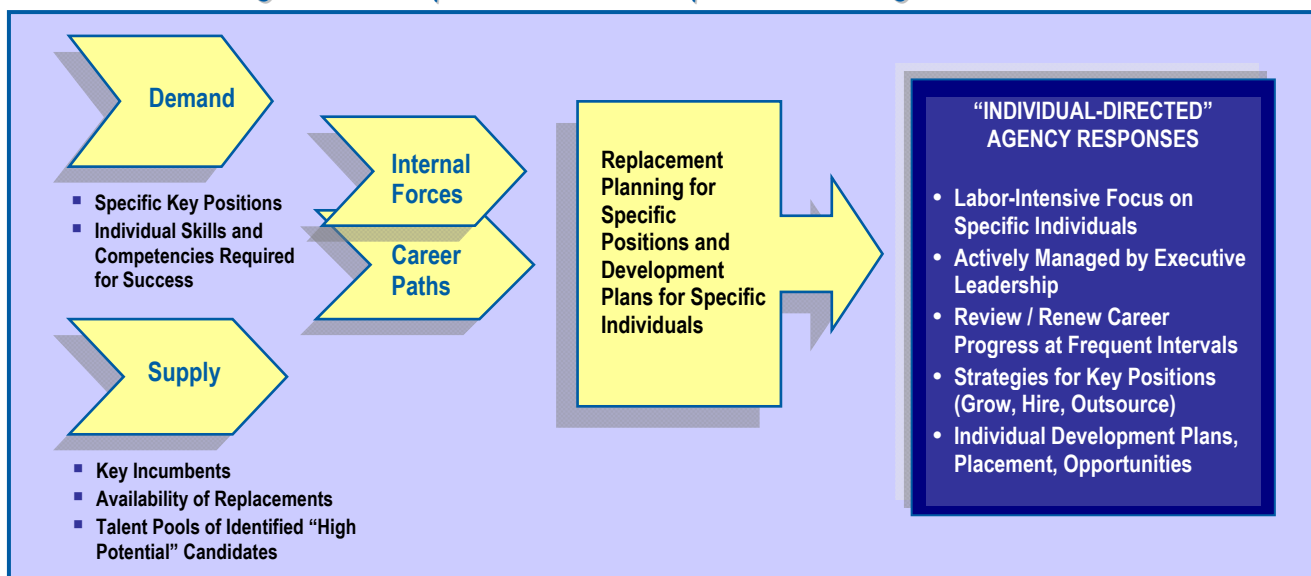
- Incumbents in Key Positions and in Talent Pools
- Skills and Readiness
- Availability/ Vulnerability
- IDPs

### Recommendations (Path Forward)

- Roles and Responsibilities in Succession Management
- Individual Actions
- Tracking Results and Effectiveness

With a succession plan in place, the Department continues to offer development opportunities to all employees through the electronic Learning Management System, but offers additional development opportunities to selected high potential employees.

*Figure 1.3: Responses to succession plans are usually “individual directed”<sup>xvi</sup>*



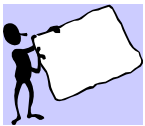


## Human Capital Management – Guide to Workforce Planning

DOT's Guide to Allocation of Executive Resources (FY 2008) is provided in the **RESOURCES** section at the end of this Chapter.

Workforce plans may elevate a trend – for example, the pending retirement of many employees in a Mission Critical Occupation – that signals the need for more rigorous succession planning. And succession planning can create feeder pools to respond to the supply/demand gaps identified in a workforce plan.

For Workforce Planning and Succession Planning, success depends on considering the systems and data as delivery tools – not the “end result” of the project; and on keeping the focus on the Agency's mission-critical growth and management goals.



A worksheet for integrating workforce planning and succession planning processes may be found in the RESOURCES section at the end of this chapter.

To develop implementation plans and strategies, OAs should review the potential for using a variety of tools, including restructuring, downsizing, and strategic outsourcing.

### Organization re-structure including VERA and VSIP

OPM provides the following description and guidance for VERA and VSIP<sup>xvii</sup>

As agencies conduct workforce planning, they often develop model organizations that reflect the competencies required to carry out evolving mission-critical activities. Their model organizations may not match their current structures. Consequently, they need tools to help restructure the organization and reshape the workforce to implement their model organizations. Two key tools are available to Federal agencies to help them do this – Voluntary Early Retirement Authority (VERA) and Voluntary Separation Incentive Payments

Agencies may now request approval from OPM to use VERA to help reshape the workforce and correct skill imbalances. Approval for VERA may be obtained for as long as it can be justified, making it easier for agencies to carry out long-term restructuring plans.

### VERA and VSIP eligibility criteria

When an agency has received VERA approval from OPM, an employee who meets the general eligibility requirements may be eligible to retire early. The employee must:

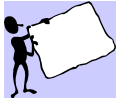
1. Meet the minimum age and service requirements -
  - o At least age 50 with at least 20 years creditable Federal service, OR
  - o Any age with at least 25 years creditable Federal service;
2. Have served in a position covered by the OPM authorization for the minimum time specified by OPM (usually 30 days prior to the date of the agency request);
3. Serve in a position covered by the agency's VERA plan; and
4. Separate by the close of the early-out period.



## RESOURCES: WORKFORCE PLANNING AS A STRATEGIC TOOL

### QUICK LINKS

<b>Federal Workforce Planning Model:</b> A graphic representation of the Federal Workforce Planning cycle	<a href="https://www.opm.gov/comconf/postconf01/position/wthomas.pdf">https://www.opm.gov/comconf/postconf01/position/wthomas.pdf</a>
<b>Competitive Sourcing Guidelines:</b> Please refer to OMB Circular A-76, Performance of Commercial Activities, Attachment A, Inventory Process, B. Categorizing Activities Performed By Government Personnel As Inherently Governmental or Commercial for a description of what may be designated as inherently governmental at	<a href="http://www.whitehouse.gov/omb/circulars/a076/a76_incl_tech_correction.html">http://www.whitehouse.gov/omb/circulars/a076/a76_incl_tech_correction.html</a> for more information.
OPM Workforce Planning Index	<a href="http://www.opm.gov/workforceplanning.index.htm">http://www.opm.gov/workforceplanning.index.htm</a>
Further information on the use of <b>VERA</b>	<a href="http://www.opm.gov/employ/vera/vera01.htm">http://www.opm.gov/employ/vera/vera01.htm</a>
Detailed information and guidance on workforce restructuring can be found in the <b>OPM Restructuring Information Handbook</b>	<a href="https://www.opm.gov/rif/handbook/rih.asp">https://www.opm.gov/rif/handbook/rih.asp</a>
<b>DOT's Succession Plan</b>	<a href="http://dothr.ost.dot.gov/succession_plan.doc">http://dothr.ost.dot.gov/succession_plan.doc</a>
<b>DOT Human Capital Strategic Plan</b>	<a href="http://dothr.ost.dot.gov/pdf/dot200711strathcplan.pdf">http://dothr.ost.dot.gov/pdf/dot200711strathcplan.pdf</a>



## **WORKSHEET: DEVELOPING THE BUSINESS CASE**

Working in tandem, Transportation executives and Human Capital leaders can create the business case for workforce planning by asking and answering the following questions:

**What are the overarching goals and imperatives that the Department must meet in order to deliver on its mission to the nation?**

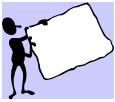
**To accomplish those goals, what strategic competencies will the Department need, and what specific skills and talents will the Department’s employees need?**

**Can the Department assure itself today that these competencies are and will remain in place, in sufficient quantity to accomplish the goals?**

**What would be the risks to the mission or consequences to the Department if employees with those skills and talents were not available or fully ready when they are needed?**

**Could the risks be high enough to jeopardize the success of the Department’s mission?**

The answers to these questions must justify the investment in planning and taking action on those plans, in terms of the potential reward to the agency for success of the plans or risk to the agency for failure to act.



## WORKSHEET: INTEGRATE WORKFORCE PLANNING WITH SUCCESSION PLANNING

### INVENTORY OF KEY LEVERAGE POSITIONS

Select key positions that support the overall mission

For each Key Position, What Skills and Competencies are required now...and in the future?

Are the competencies and skills required gender- and race-neutral?

Incumbents: Vulnerable to Loss? (Retirement is *Only One* Vulnerability)

For each Key Position, what is the replacement strategy? (Make/Rent/Buy)  
... And Why?

For each Mission Critical Occupation, is there an identified “Talent Pool”

- What are their skills? Readiness?
- Future interests?
- Require further skill development?
- IDPs in place?





## 2. ADMINISTERING WORKFORCE PLANNING

This section describes the authorities, responsibilities, and roles of the leadership and Human Capital staff in OST/HR and the OAs in developing and managing the Workforce Planning program.

### 2.1 WORKFORCE PLANNING IN DOT

In “Seven Steps for Effective Workforce Planning”, the IBM Center for Excellence in Government recognized the importance to multi-component organizations like DOT of having a common data base and methodology. IBM cited these factors as key to DOT’s successful management of this interdependence:

- An organization-wide human capital plan that offered flexibility for the individual administrations to identify their own human capital gaps and implement their own strategies
- The establishment of a human capital council working group that addresses key workforce planning issues that cut across the department
- The implementation of the workforce analysis system/civilian forecasting tool to their operating administrations in order to forecast their mission-critical occupations (MCOs)

Each of DOT’s Operating Administrations has unique challenges and unique characteristics in its workforce that impact how it defines mission critical occupations and skills, and its talent pipeline. Some key indicators of the status of the workforce may be relevant to many, but not all, of the OAs. Some OAs have internal HC staff dedicated to Workforce Planning; others engage consultant help. The following chart of roles and accountabilities is presented to insure that the workforce planning information that each OA develops may be shared and used across the Department.

*Figure 2.0: Roles and Accountabilities in Workforce Planning*

<b>Office of Personnel Management (OPM)</b>	<ul style="list-style-type: none"> <li>◆ Creates the Federal calendar for workforce planning</li> <li>◆ Develops Success Factors for Workforce Plans and reporting and content requirements for Agency Workforce Plans</li> <li>◆ Provides technical expertise</li> </ul>
<b>DOT CHCO</b>	<ul style="list-style-type: none"> <li>◆ Provides leadership for the Department-wide Human Capital Strategic Plan and coordinates the Human Capital leadership of the OAs via the Human Capital Planning Council</li> </ul>
<b>DOT OST</b>	<ul style="list-style-type: none"> <li>◆ Develops Department Budgets and sets goals and targets for Competitive Sourcing, VERA/VSIP, and other workforce restructuring activities</li> </ul>
<b>HUMAN CAPITAL PLANNING COUNCIL</b>	<ul style="list-style-type: none"> <li>◆ The Council serves as a subcommittee of the Human Resource Council. The Council is charged with major responsibilities for workforce and human capital planning.</li> </ul>
<b>DOT OFFICE OF HUMAN RESOURCES Office of Human Capital Planning and Solutions</b>	<ul style="list-style-type: none"> <li>◆ The Office of Human Capital Planning and Solutions oversees and manages the Departmental Workforce Planning Program. Responsibilities include:</li> <li>◆ Developing and updating the Departmental Workforce Plan;</li> <li>◆ Ensuring the implementation and reporting of workforce planning initiatives. The Office of Human Capital Planning and Solutions works through the Human Capital Council, composed of representatives from the operating administrations, to ensure that expectations are communicated between the Office of the Secretary and the Operating Administrations and Departmental Offices and that work activities in this area are accomplished. Of significance is the identification, assessment and development of competencies for mission critical occupations; leadership levels; and, other occupations. The Departmental Succession Plan is managed by the Office of Human Capital Planning and Solutions</li> </ul>
<b>OA Administrator</b>	<ul style="list-style-type: none"> <li>◆ Articulates the OA strategic intent in terms of its human capital implications</li> <li>◆ Integrates workforce planning into organizational strategic planning</li> <li>◆ Sets the strategic agenda for the OA</li> <li>◆ Reviews workforce planning dashboard of key metrics and indicators</li> <li>◆ Sponsors OA Workforce Planning activities</li> </ul>



OA HR Department

- ◆ Formulates the organization-centric human resource management strategy
- ◆ Promotes partnership between line managers and HR managers
- ◆ Monitors and interprets workforce trends and established program goals
- ◆ Manages human capital programs including recruitment, development, and retention
- ◆ Participates in Departmental Human Resource Council (HRC) and its subcommittees including the Workforce Planning Council

## 2.2 PROCESSES AND PROCEDURES IN A MULTI-COMPONENT ORGANIZATION

The following section addresses key aspects of integrating the workforce planning process.

- ❑ **Key Milestones.** Every milestone in the development and implementation of the plan should be determined by each organization to meet its needs and to tie directly to the strategic planning process. Typical milestones would include the completion of the remaining steps of workforce planning methodology, integration of workforce planning data in the strategic plan, and submission of required workforce planning data to management.
- ❑ **Accountabilities.** The plan should include identification of specific individuals or teams responsible for the accomplishment of plan milestones, for communicating the plan, and for carrying out necessary integration efforts in accordance with the plan schedule (see “Integration Issues” below).
- ❑ **Integration Issues** There are two types of integration issues-- internal and external. Internal integration issues relate to items such as union involvement, training plans, recruiting plans, and coordination of gap and surplus issues across the organization’s sites and offices.

A particularly significant **internal** integration issue is the integration of the development and implementation of the workforce plan with the development and implementation of the organization’s strategic plan. Ideally, the workforce plan will be developed so that all its significant elements are extracted from the strategic plan or can be a stand-alone document even if it is not included in the strategic plan.

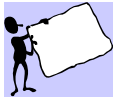
**External** integration issues will occur primarily in connection with the roll up of the organization’s plan to the DOT plan, but can include coordination with other groups or operating administrations (OAs).

***Where the plan calls for joint efforts with other groups or OAs, integration efforts should be direct (OA-to-OA), without waiting for roll up to the DOT plan.***

To help integrate plans, the Office of Human Resource Management (M-10) is available to crosswalk your plan with other OA plans and identify common workforce planning issues and needs.

- ❑ **Development and Implementation Schedule.** The schedule for the development of the workforce plan should be tied to the schedule for the development of the organization’s strategic plan.

Organizations with significant issues to be dealt with should communicate up-front with the appropriate organization or OA for assistance during the plan development phase of the schedule rather than waiting for the roll up for first contact.

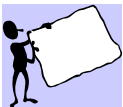


## RESOURCES: WORKFORCE ANALYSIS ACTIVITY MATRIX

The Workforce Analysis Activity Matrix suggests appropriate points of involvement for participants in Workforce Planning at the OST and OA levels

Activity	Input	Output	Participants
<b>Strategy Development</b>	<ul style="list-style-type: none"> <li>Gap Analysis summary</li> </ul>	<ul style="list-style-type: none"> <li>Develop strategies for workforce transition</li> </ul>	<ul style="list-style-type: none"> <li>Executive management</li> <li>Program managers and supervisors</li> <li>HR staff</li> </ul>
<b>Supply Analysis</b>	<ul style="list-style-type: none"> <li>Workforce levels, demographic information, hiring, and turnover trends</li> <li>Workforce skills/experience data collection</li> </ul>	<ul style="list-style-type: none"> <li>Current workforce profile (include relevant information about number of workers, salary, skill assessment, classification, tenure, supervisory ratio, and diversity)</li> <li>Trends/predictors (turnover, retirement rates, and replacement patterns)</li> <li>Workforce skills inventory</li> </ul>	<ul style="list-style-type: none"> <li>Program managers, supervisors, and staff</li> <li>HR staff</li> </ul>
<b>Demand Analysis</b>	<ul style="list-style-type: none"> <li>Management assessment of agency program direction and budget plans</li> <li>Analysis of jobs needed</li> <li>Analysis of skills needed</li> </ul>	<ul style="list-style-type: none"> <li>Future workforce profile (include relevant information about types of jobs needed, number of workers needed, and worker skills needed)</li> </ul>	<ul style="list-style-type: none"> <li>Executive management</li> <li>Planning and budget staff</li> <li>Program managers and supervisors</li> <li>HR staff</li> </ul>
<b>Gap Analysis</b>	<ul style="list-style-type: none"> <li>Supply Analysis and Demand Analysis summaries</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of difference between present workforce and future needs; establish priorities for addressing change</li> </ul>	<ul style="list-style-type: none"> <li>Program managers and supervisors</li> <li>HR staff</li> </ul>
<b>Evaluate</b>	<ul style="list-style-type: none"> <li>Workforce changes over time</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of impact of programs to mitigate workforce gaps</li> </ul>	<ul style="list-style-type: none"> <li>Executive management</li> <li>HR Staff</li> </ul>

*Adapted from: U.S. Department of Health and Human Services, Building Successful Organizations: Workforce Planning in HHS, November 1999.*



## THE DOT ANNUAL WORKFORCE PLANNING CALENDAR (KEY EVENTS)

To coordinate the annual cycle of workforce planning data collection and analysis, DOT/OHRM manages a calendar of input, meeting, and data collection.

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<b>Q 1</b> <b>Oct 1 – Dec 31</b>	OAs set annual operating goals and HR goals for recruiting, development, and retention  OST sets annual operating goals: <ul style="list-style-type: none"> <li>◆ Recruitment</li> <li>◆ Workforce Planning</li> <li>◆ Training</li> <li>◆ Diversity</li> </ul> Human Capital Management Report (HCMR) that includes Systems, Standards, and Metrics (SSM) charts  Succession Plan evaluation and update <ul style="list-style-type: none"> <li>◆ Workforce Plan Update</li> </ul>	
<b>Q2</b> <b>Jan 1 – Mar 30</b>	Workforce Plan Update	



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<b>Q3</b> Apr 1 – Jun 30	Government-wide MCO competency assessment results/proof of gap closure, action plans, competency profile chart, and resource charts  Leader Bench Strength chart  DOT MCO competency assessment results/proof of gap closure, action plans, and competency profile and resource charts	
<b>Q4</b> Jul 1 – Sep 30	OST publishes annual Workforce Assessment (data as of 9/30 of the previous year)	

### 3. DOT'S WORKFORCE PLANNING PROCESS

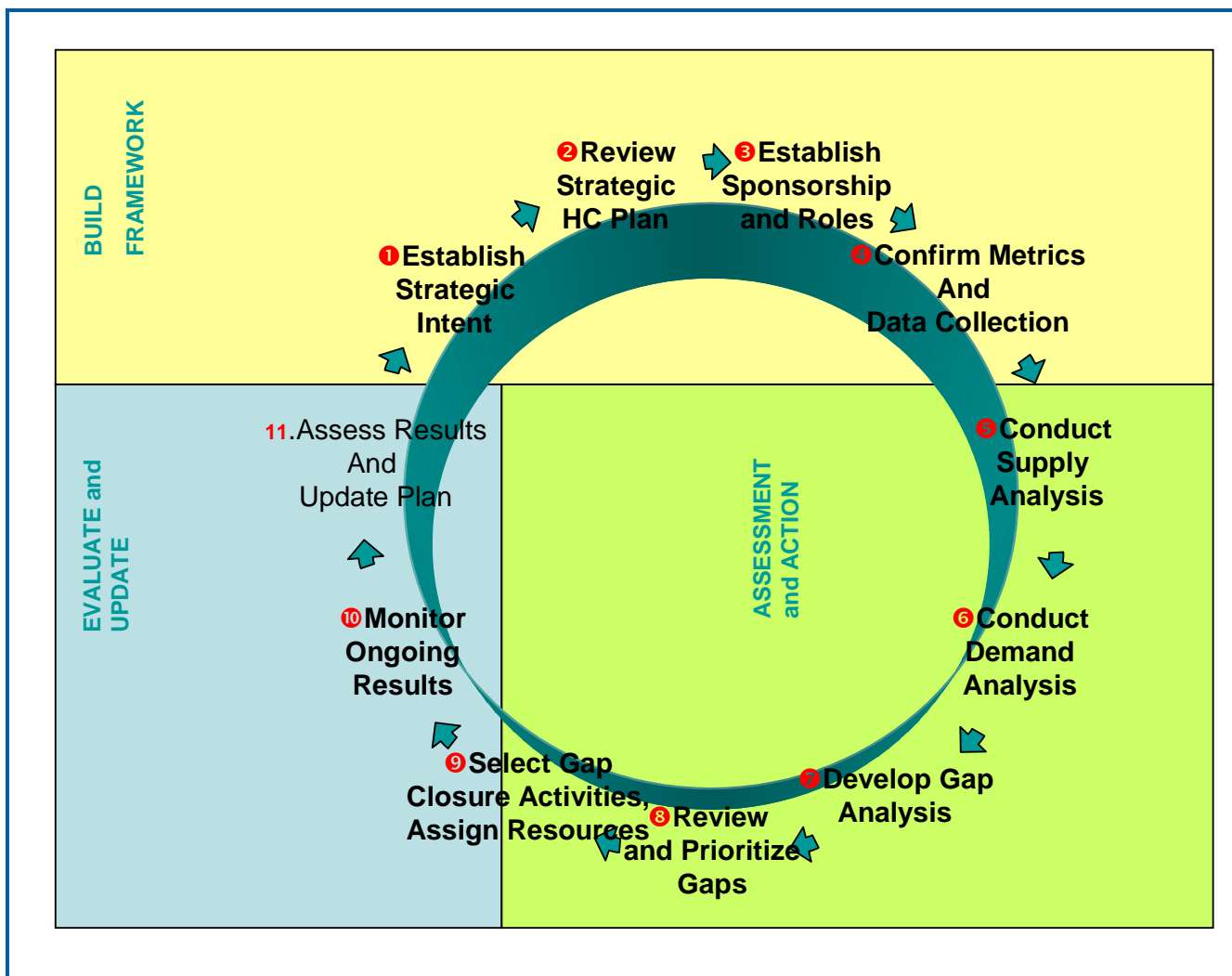
This section outlines and defines DOT's three-phase process for workforce planning. It includes a process map, a listing of the required data elements, questions for analysis, and a description of how to access and use workforce data from CPDF

Worksheet pages for each phase are provided in the **RESOURCES** section at the end of this Chapter.

#### The Key Phases of Workforce Planning

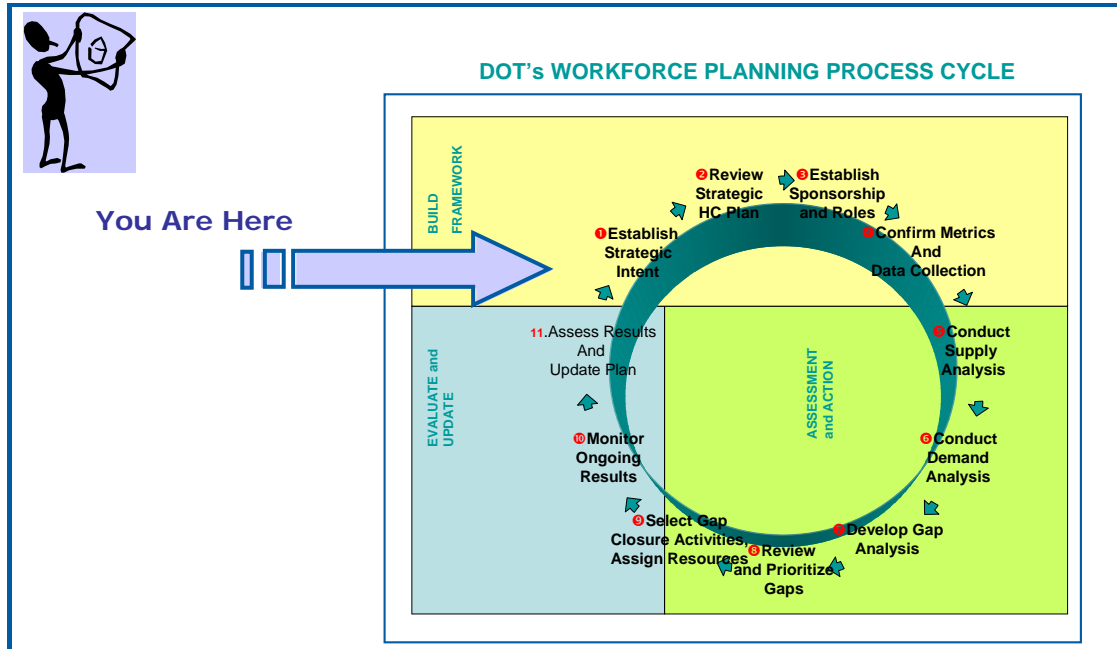
There are three key phases to DOT's workforce analysis planning model: Build the Framework; Assessment and Action; and Evaluate and Update. These phases, and the steps in each phase, are illustrated in **Figure 3.1**, below.

Figure 3.0: DOT's Workforce Planning Process Cycle



### 3.1 PHASE 1: BUILD THE FRAMEWORK

Figure 3.1: Phase I: Build the Framework



*"The most important consideration is that the skills and competencies identified are clearly linked to the agency's mission and long-term goals developed jointly with key congressional and other stakeholders during the strategic planning process. If an agency identifies staff needs without linking the needs to strategic goals, or if the agency has not obtained agreement from key stakeholders on the goals, the needs assessment may be incomplete and premature." GAO-03, p. 11*

#### 1 Establish Strategic Intent and 2 Review Strategic HC Plan

As discussed in Chapter 1, the specific BUSINESS CASE for Workforce Planning at DOT is derived directly from the DOT Strategic Plan and Strategic Human Capital Plan. The DOT CHCO and/or the HR Council establishes the linkages and develop the business case for workforce planning.

#### 3 Establish sponsorship and roles

Research and reports on best practices in workforce planning overwhelmingly concur: the success of an organization's workforce plan, and its actual impact on the readiness and quality of its workforce, are directly related to the involvement and sponsorship of the senior executives who manage DOT and the OAs.

*We have found that efforts that address key organizational issues, like strategic workforce planning, are most likely to succeed if, at their outset, agencies' top program and human capital leaders set the overall direction, pace, tone, and goals for the effort, and involve employees and other stakeholders in establishing a communication strategy that creates shared expectations for the outcome of the process<sup>xix</sup>*

As with any significant organizational effort, harnessing and developing leadership support is essential. Commitment and active involvement of top leadership are driving factors. Leadership's commitment ensures that sufficient resources will be applied to the process, and that the Plan will be used as an



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ongoing gauge of organizational health. Executive responsibility for workforce planning is made explicit in the 2006-2011 DOT Strategic Plan, which includes the following objective:

*Conduct workforce planning to identify both mission and workforce trends, assess mission-critical core competencies, and implement plans to close gaps through vigorous learning and knowledge management approaches, targeted recruitment, and succession planning.*

### 4 Confirm Metrics and Data Collection

**“Data ...the lifeblood of workforce planning.” (RAND)** *In this step the workforce planner establishes clarity about the data that will be collected, the standardized templates to use for collection, and the sources of data. This ensures agreement among OST and the OAs that workforce plan data collected will:*

- Align with strategic intent;
- Provide usable, actionable analysis;
- Enable overall assessment in order to evaluate trends and opportunities for action; and
- Meet OPM requirements for elements in Workforce Plan (see Appendix D)

The development of data provides the basis for evaluation of human resource needs. The data will include basic population “census” type data, such as personal demographics, location, position type, and organization level of all employees. Other relevant data such as turnover rates and causes, employee opinion survey results, and other issues unique to organizations will provide information with which to forecast future trends. Finally, data about the available workforce outside the OA, the anticipated rate of growth of the OAS and specific functions, and budget considerations, will enable the workforce planner to predict future gaps and surpluses in the workforce.

Analysis of the data provides a knowledge base from which to respond intelligently when unforeseen circumstances dictate that the plan itself must change. *The more uncertain the environment, the more likely the plan is to change.*

All DOT workforce planners should use the Workforce Analysis Support System (WASS) and Civilian Forecasting System (CIVFORS) – the OPM approved tools – as their source of data. WASS/CIVFORS provides data on the current workforce as well as the capability to project future workforce strength. WASS is used to develop the current “supply” analysis while CIVFORS builds the “demand” projections.

WASS contains historic data about the workforce going back to 1974. WASS provides raw data that can be used to develop different analyses including turnover rates, gain/loss analysis, and workforce profiles. Data are available at the DOT-wide level, or at an OA-level. WASS can also break down employee data by state or by occupational series. WASS includes standard queries that may be modified and run to provide data for a particular population. Additional queries may be developed as needed.

WASS is updated every quarter from the Civilian Personnel Data File (CPDF), and uses many of the same variables. Popular variables that are used to do cross-sectional analysis of the workforce are

- Type of Appointment
- Gender
- Race
- Veteran status
- Disability status
- Occupational series
- Retirement eligibility
- Manager/Supervisor status

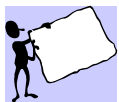
## Human Capital Management – Guide to Workforce Planning

It is important to define what “employee” means for the workforce analysis, so that readers may have a common framework for understanding the report. For the DOT-wide analysis, “employee” is defined as a *full-time or part-time, active, permanent appointment*.

“Executive” includes members of the Senior Executive Service (SES) or its equivalent (identified in pay plans AD, AL, CA, ES, EV, EX, and SL).

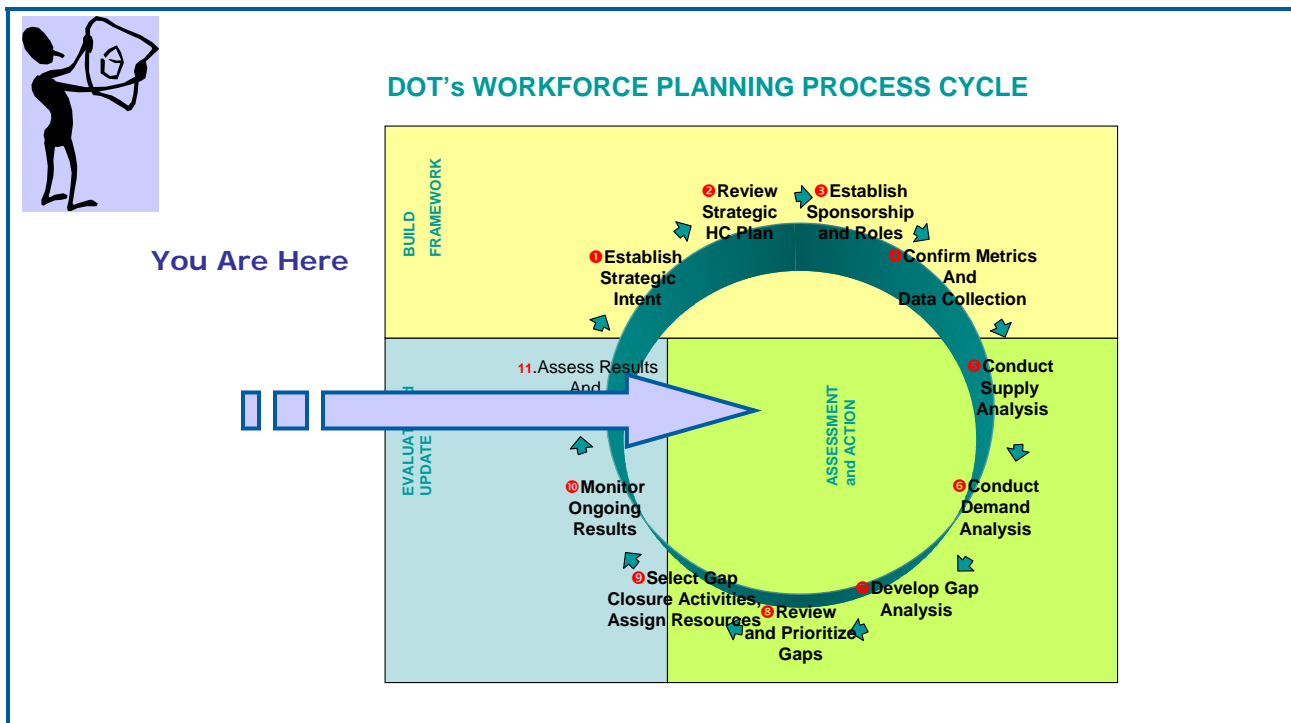
The DOT-wide plan combines “Managers and Supervisors”. Supervisory Codes 1-5 are used to identify this population in the Civilian Personnel Data File (CPDF). However, competencies for managers (i.e., supervisors of supervisors) and supervisors (i.e., those individuals who may have subordinate team leaders but are the responsible official for managing people and work in an organizational unit) are analyzed separately. The General Schedule Supervisory Classification Guide (GSSCG) provides specific guidance for classifying supervisors.

Extensive guidance on the use of WASS/CIVFORS is provided in RESOURCES at the end of this Chapter.



### 3.2 PHASE 11: ASSESSMENT AND ACTION

Figure 3.2: Phase 11: Assessment and Action



*It is essential that agencies determine the skills and competencies that are critical to successfully achieving their missions and goals. This is especially important as changes in national security, technology, budget constraints, and other factors change the environment within which federal agencies operate. GAO-03, p.10*





## 5 Conduct Supply Analysis

The supply analysis answers two basic questions: “Who works for the organization today?” and “To what extent do people with these skills exist in the workforce?”

The DOT Workforce Assessment includes the following data in its Supply analysis:

- **Workforce Profile:** This is a “snapshot” answering the question, “Who works for the OA now?”
- **Age Distribution:** Analysis of the age of the workforce is important for many reasons. In addition to providing a basis for evaluating the OA’s vulnerability to losses due to retirement, it can provide data for modal distribution analyses that may indicate recruiting patterns or recruiting needs.
- **Eligibility for Retirement**
- **Turnover:** Analysis of employee turnover—losses and gains to an organization—makes it possible to assess whether an organization’s people will be positioned to meet its future mission needs. A turnover analysis forms the basis for developing effective workforce plans and associated recruitment plans, succession plans, and career management objectives.
- **Leadership Pipeline**
- **Diversity**
- **Competencies**
- **Mission Critical Occupations**

TEMPLATES for collecting these data are included in the RESOURCES section at the end of this chapter.

### Mission Critical Occupations: Definitions

Focusing the supply analysis on MCO’s insures attention to the pipeline of employees most critical to organization success. DOT and the OAs have performed supply analyses on employees in the following categories designated as Mission Critical across the Government:

- **Leaders** – executives, managers, and supervisors (DOT defines a leader through Supervisory Position [POS\_SPV] code (1 – 5)
- **Information Technology** (IT) professionals
- **Human Capital** (HC) professionals (*occ. series 0201*)
- **Acquisition and Contracting** professionals (*occ. series 1102 and 1105*)

In addition, DOT has designated the following job families as Mission Critical across the Agency. (In some cases, single occupations within a job family, but not the entire job family, have been identified by an OA as Mission Critical). DOT Mission Critical Occupations and Series include:

- **Engineer** (0801, 0802, 0803, 0806, 0807, 0808, 0809, 0810, 0817, 0818, 0819, 0830, 0850, 0855, 0856, 0861, 0871, 0873, 0896)
- **Planning** (0020)
- **Program Management** (0340)
- **Financial Management** (0501, 0505, 0510, 0511, 0525, 0540, 0544, 0560)
- **Legal** (0905, 0935, 0950, 0963, 0986)
- **Physical Scientist** (1301, 1306, 1310, 1320, 1340, 1350, 1361, 1370, 1371, 1373, 1384)
- **Transportation Specialist** (2101)
- **Transportation Industry Analyst** (2110)
- **Transportation Safety** (1825, 2121, 2123, 2125, 2152)
- **Information Technology** (2210, 0334, 0391, 1550, 0854)



Each OA should also include Administration –specific MCO’s that are not listed above to ensure that those mission critical job functions are considered in the OA’s supply analysis.

### Mission Critical Occupations: Competencies

This step requires developing a system to identify the OA’s current workforce competencies. This analysis will create a profile of current intellectual and performance capabilities. In this step, planners will use a variety of identification tools to develop a realistic picture of the OA’s current workforce.

A complete description of Mission Critical Occupations and competencies, with methodologies for identifying and evaluating the competencies of employees in Mission Critical roles, may be found in the DOT *Workforce Analysis Handbook* (February 2008.)

### 6 Conduct Demand Analysis

Workforce Planners need to think about what functions the organization will need to perform in order to accomplish its strategic mission. In this step, Workforce Planners and leaders develop a future business and staffing outlook. They will determine trends, future influences, and challenges for the agency’s business functions, new and at-risk business, and workforce composition. Demand analysis should include information such as:<sup>xx</sup>

- Expected workforce changes driven by factors such as changing missions, goals, strategies, technology, work, workloads, and/or work processes
- Future workforce skills needed
- Anticipated increase or decrease in the number of employees needed to do the work
- Critical functions that must be performed to achieve the strategic plan

#### Additional factors to be considered in developing a demand analysis might include:

- Will new programs be added or old programs deleted?
- How will jobs and workload change as a result of technological advancements; industry changes; and economic, social, and political conditions? What are the consequences/results of these changes?
- Do current workers have the necessary skills to do the work?
- Will the way the work is being done need to change?
- Congressional impacts through budget or workforce legislation.

Developing demand data is determining how far and how fast the organization can move toward the ideal staff envisioned in the staffing assessment. The anticipated level and type of activity reflected in various resources such as the strategic plan, performance agreements, and performance plans are clearly factors, and management judgment may be required on any number of subjective issues.

Areas for decision-making about demand assumptions include:

- Program/operational strategies that will impact staffing levels
- The organization’s diversity objectives
- Level of effort issues such as construction schedules
- New DOT initiatives that will require additional staff (or different skills)
- Pending legislation
- Environmental issues
- Desired skill and experience mix in view of existing workforce demographics



- The impact of special programs, such as a quality initiative, on staffing needs.

Demand data **must** be forecast for the levels at which the organization completes strategic plans. It **may** be forecast at lower levels, if organizations wish to do so for internal analysis purposes.

Demand levels and skill mix are not carved in stone. They will be revised annually as the planning cycle is repeated or more often if unforeseen circumstances dictate.

As these questions are answered, OAs should pay close attention to likely changes in **organizational structure** and **work processes**.

## 7 Gap Analysis

This step is concerned with comparing **demand and supply data** or determining the **gap or surplus** situation that will exist in future years. The expected result of this step should be the identification of future gaps and surpluses in the organization, with particular emphasis on gaps in critical skills and in the identification of “at risk” occupations. In this step, workforce planners identify the estimated over or undersupply of people with critical characteristics in the workforce (the projected future inventory) compared with the future desired distribution.<sup>xxi</sup>

The resulting gaps between current and future functional requirements and between current and future competency requirements result in a matrix of requirements to assist in developing a workforce strategy.

A **gap** (the projected supply is less than the forecasted demand) indicates a future shortage of needed employees, and steps will have to be taken to fill the need. The organization’s critical skills should be identified and analyzed with particular care, as the workforce plan will need to reflect strategies to deal with critical skill gaps.

A **surplus** (the projected supply is greater than the forecasted demand) indicates a future excess in some categories of employees, which will also require action. Surplus data should be analyzed to determine “at risk” occupations. These are occupations where the skills required are no longer going to be needed in the future, or at least will no longer be needed to the same degree. This information needs to be shared to identify possible matches with gaps that may exist in other organizations and to help guide retraining plans.

## 8 Review and Prioritize Gaps

Faced with a potentially large set of gaps, the Workforce Planner should prioritize based on the following questions:<sup>xxii</sup>

1. What critical workforce characteristics will the organization need in the future to accomplish its strategic intent, and what is the desired distribution of these characteristics?
2. What is the distribution—in today’s workforce—of the workforce characteristics needed for the future?
3. If the organization maintains current policies and programs, what distribution of characteristics will the future workforce possess?
4. What changes to human resource management policies and practices, resource decisions, and other actions will eliminate or alleviate gaps (overages or shortages) between the future desired distribution and the projected future inventory?

## 8 Review and Prioritize Gaps

## 9 Select Gap Closure Activities, Assign Resources



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Gap closure activities include the programs, policies and practices that will enable your OA to recruit, develop, and retain the critical staff that you need. It is important to select the gap closure activities that have resources that can reasonably be made available and that have results that can be monitored, measured, and linked to the activities.

The overall result of this step is a workforce plan that provides ways to ensure that the organization will have the appropriate staff and other personnel, e.g., contingent workforce, to do its mission related work.

A TEMPLATE to select gap closure activities may be found at the end of this Chapter.

The workforce plan identifies workforce strategies that resolve issues surfaced during the analysis of demand and supply data (gaps, surpluses, critical skills issues, and "at risk" occupations). The plan should address ways to resolve the unique demographic characteristics of the organization's workforce, e.g., aging workforce, and must respond to the human resource issues of the organization's strategic plan and related performance agreements. Workforce Planners often use a "make/rent/buy" analogy when evaluating strategies for gap closure.

Figure 3.3: "Make/ Rent / Buy" Gap Closure Strategies

	MAKE (Develop existing employees)	RENT (Utilize contract help)	BUY (Recruit and hire)
Time Horizon	Long	Short – Medium	Immediate
Advantage	<ul style="list-style-type: none"> <li>◆ Employee Loyalty</li> <li>◆ Talent Knows the Organization</li> <li>◆ Provides Career Paths</li> </ul>	<ul style="list-style-type: none"> <li>◆ Available for temporary projects</li> <li>◆ Provides "surge" capacity</li> <li>◆ Provides fast-changing expertise</li> </ul>	<ul style="list-style-type: none"> <li>◆ Immediately available</li> <li>◆ Cutting edge skill potential</li> </ul>
Disadvantage	<ul style="list-style-type: none"> <li>◆ Costly</li> <li>◆ No guarantee of success</li> <li>◆ Risk of losing investment</li> </ul>	<ul style="list-style-type: none"> <li>◆ No employee loyalty</li> <li>◆ "Intellectual capital" does not belong to the Department</li> <li>◆ Little/no familiarity with Department</li> </ul>	<ul style="list-style-type: none"> <li>◆ Danger of untested candidate</li> <li>◆ Higher compensation than existing employees</li> <li>◆ Learning curve</li> </ul>
Process Owner	◆ Training and Development	◆ Recruiting/ Contracting	◆ Recruiting

"Make" refers to developing the skills of employees within the organization. Also known as "grow your own", this strategy is usually selected when the organization has a long time horizon, the assurance of a relatively stable staff, and the resources to invest in reliable development programs.

- Training and Development professionals need to be included in discussion of "make" gap closure strategies to enable the OA to develop timelines, milestones, and measures of success. These metrics may include: cost of development/increased skill levels; measurable productivity gains; employee retention.

"Rent" refers to outsourcing the search for talent. Organizations may choose to employ contractors to acquire a skill that will a) only be required for a short time; b) is not part of the organization's "core" business; c) changes quickly and is not worth the organization's investment to keep its own workforce current with new developments.

- Training and Recruiting professionals need to be included in discussion of "make" gap closure strategies to enable the OA to develop timelines, milestones, and measures of success. Selection of the "rent" strategy should be based on the OA's assessment of the relative availability of this skill set in the labor market; duration of the need for this skill set; and the potential cost of efficiency/effectiveness if the OA had to divert staff to fill this need.



## Human Capital Management – Guide to Workforce Planning

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**“Buy”** refers to recruiting from the outside. Organizations select the “buy” strategy when they are a) faced with a short time line to acquire skills; require a highly specialized skill but wish to retain that skill in-house; determine that they cannot develop the skill from the existing talent bank.

- Recruiting professionals should be included in the discussion of the “buy” gap closure strategy to assess the relative potential for success, cost of recruiting and hiring and measures of effectiveness and time lines.



Figure 3.4 shows an example of strategies an OA might select to close identified skill gaps.

*Figure 3.4: Develop Recommendations for Closing Gaps*

“A prioritized development agenda to build a collective mission-critical skills...”

	IMPACT		
	Immediate (<12 mos.)	Near Term (1-3 years)	Long Term (3-5 years)
Increase Knowledge of Agency’s Business	<i>OTJ Reading</i>	<i>Mentors Rotations Workshop</i>	
Improve Teamwork	<i>360-degree feedback Team Coaching</i>	<i>Developmental Placements; ongoing feedback</i>	
Increase Technical Skills	<i>Hire New Employees with Required Skills</i>	<i>Current Employees Gain Professional Certifications</i>	<i>Current Employees Earn Advanced Degrees Intern Programs Yield Results</i>

**Strategies for Specific Internal Issues**

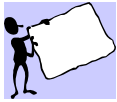
Maximizing the extent to which critical skills needs can be filled internally, including addressing diversity objectives and succession planning.

- a. Ensuring that career development programs reflect the reality of the organization's future skill needs.
- b. Ensuring that learning and development programs make it possible for "at risk" employees to transition to fill skill gaps, and for other employees to train for critical skill areas if they wish.
- c. Ensuring that information on "at risk" employees who cannot be transitioned within the immediate organization is shared to determine if these employees can transition to needed skills in other organizations.
- d. Ensuring the special needs of the organization's employee population are known and addressed in order to enhance retention.

**Strategies for Specific External Issues**

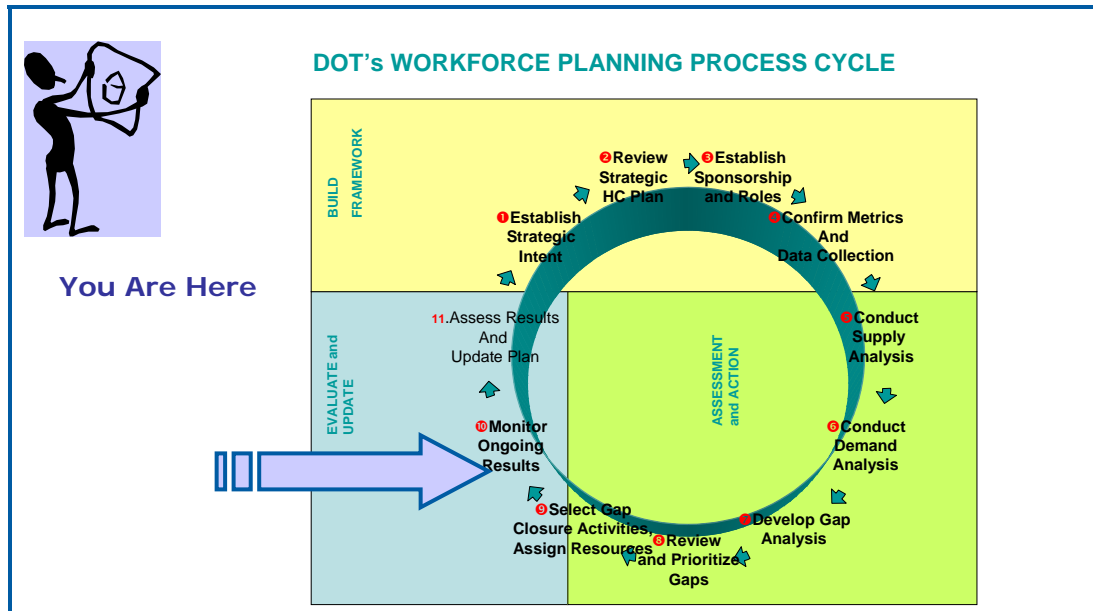
- a. Developing solid demographic data on the external workforce, with particular regard to the future availability of those with the organization's critical skills. Data are needed on the future availability of graduates and experienced employees in all projected skill gap areas ensuring recruiting plans take into account external demographics. For example, projected graduation rates in a critical skill may indicate a shortage of availability at the time needed. It may be necessary to hire at a lower level (or use existing employees) and train internally.
- b. Developing recruiting plans where skill gaps or diversity objectives cannot be met internally, and where "feeder" strategies are necessary due to the aging workforce.

The workforce plan will need to recognize where organizations need to work together. If your OA is depending on other OAs to get the job done (and vice versa), you will need to be planning together. The plan should also support the organization's strategies, performance agreements and schedules.



### 3.3 PHASE III: EVALUATE AND FOLLOW UP

Figure 3.5: Phase III: Evaluate and Update



According to published research, one of the common components of a workforce plan is identifying metrics to determine the effectiveness of workforce planning.... These numbers allow staffing personnel to see if different business units attain their targets and then adjust either their respective forecasts or staffing strategies accordingly<sup>1</sup>

#### 10 Monitor Results

As discussed above, every strategy for staff augmentation (“Make/Rent/Buy”) carries advantages and disadvantages. The workforce planner’s task is to match the best strategy to each skill gap so that the OA can access talent in the most efficient and cost-effective way.

Workforce plans should include performance indicators that will indicate whether or not the plans are achieving the desired results in terms of the critical success factors. As gap closure strategies are selected, timelines, milestones, and measures of success should be developed. These factors will enable the OA to track the effectiveness of the strategy.

The Office of Personnel Management (OPM) maintains the following requirement for monitoring the results of gap closure activities:

**Critical Success Factors.** For each organization, critical success factors relating to the workforce plan should be identified. A critical success factor is something that is essential to carry out the organization’s strategic objectives. Action plans must address these critical success factors. For example, a critical success factor in accomplishing operating objectives is having sufficient numbers of employees with the appropriate skill levels. If all recruiting and training activities are carried out per the plan, but the organization still falls short in this critical success factor, than the recruiting and training action plans were not successful. The issue in determining workforce plan success is not whether activities are carried out but whether or not those activities have met the desired result.<sup>xxiii</sup>

<sup>1</sup> “Managing Workforce Planning”, Corporate Leadership Council, 2004

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Some examples of metrics for the program solutions suggested by workforce planning in use by Federal Agencies are shown below:<sup>xxiv</sup>

*Figure 3.6: Examples of Workforce Planning Metrics*

<b>Time to Fill</b>	Internal or External Days to Fill Internal or External Add + Replacement Hires
<b>Turnover Costs</b>	<i>Per Employee:</i> Cost of benefits + training+ hiring replacement+ on boarding <i>Total Separation Rate:</i> Voluntary + Involuntary Separation (Full + Part-time Headcount)
<b>Skill Gap Rate</b>	5-year 'look-ahead' skill gap 5-year 'look-ahead' requirements
<b>“Fresh-out” Hiring</b>	<i>Percent of recent college graduates:</i>
<b>Supervisory Ratio</b>	<i>Ratio of supervisors to direct reports:</i>
<b>Bench Strength Ratio</b>	<i>Ratio of trained or in-training employees that could fill a vacant leadership role:</i> 3:1 (suggested); ratios such as 10:1 or 1:1, for example, would reveal the need to adjust or reallocate training resources
<b>FTE/FTP</b>	Several agencies track FTE and FTP levels across component organizations as well as employee demographics to understand hiring and separation

Chapter IV “Outcomes and Accountability” reviews specific measures and metrics required by the Department and OPM.

**11 Assess Results and Update Plan**

This step involves assessing two factors:

1. How well did the OA implement its workforce plan and
2. How much did the implementation actually contribute to the OA’s strategic goals

**Analyze your workforce model**

The model that was created was simply a best guess at the time of the projection. It uses historic data to predict future behavior. An organization is a fluid entity that has infinite variables that can impact the workforce and in any given year the workforce may not behave as it has in the past. It is important to review your model and make adjusts if necessary. As workforce plans are updated, pervious forecasts should be reviewed to insure that the factors used to develop the forecast are still relevant; and to determine whether variations from the forecast can be explained by identifiable events.

Compare the projections to what actually happened in the workforce. Ask yourself:

- How good was the model at predicting the workforce?
- Were there major discrepancies?
- If there were, what was the cause? Were their behavior changes that differed from historic tendencies within your organization or was the model off?
- Were their impacts to the organization that were outside your control that could have lead to the differences?
- If the forecast differed significantly from subsequent experience, what other predictive elements could be used to make the model better?





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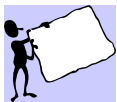
- Were there events in the OA’s history that were out of the ordinary that may have affected the model?

### RESOURCES: DOT’S WORKFORCE PLANNING PROCESS



### QUICK LINKS: WORKFORCE DATA SOURCES

<b>DOT WORKFORCE ANALYSIS</b>	<i>US Department of Transportation, OST/OHRM</i>	<a href="http://dothr.ost.dot.gov">http://dothr.ost.dot.gov</a>
<b>DOT WORKFORCE INFORMATION</b>	<i>US DOT</i>	<a href="http://dothr.ost.dot.gov/workforceinfo/index.htm">http://dothr.ost.dot.gov/workforceinfo/index.htm</a>
<b>US Department of Transportation Strategic Plan, 2006-2011</b>	<i>US DOT</i>	<a href="http://www.dot.gov/stratplan2011">www.dot.gov/stratplan2011</a>
<b>DOT 2007 Workforce Analysis Annual Workforce Plan Update with Data as of 9/30/06</b>	<i>US DOT</i>	<a href="http://dothr.ost.dot.gov">http://dothr.ost.dot.gov</a>
<b>US Labor Statistics</b>	<i>Federal Bureau of Labor Statistics (BLS)</i>	<a href="http://www.bls.gov">http://www.bls.gov</a>
<b>Federal Register notice to 5 CFR, part 250, which details the Human Capital Assessment and Accountability Framework (HCAAF).</b>	<i>OPM</i>	<a href="http://frwebgate.access.gpo.gov/cgi-bin/multidb.cgi?WAI_SdbName=2008_register+Federal+Register%2C+Volume+73+%282008%29&amp;WAI_SqueryRule=%28%24WAI_SqueryString%29&amp;WAI_SqueryString=%225+CFR+Part+250%22&amp;WAI_Stemplate=multidb_results.html&amp;Submit.=Submit&amp;WrapperTemplate=fr_wrapper.html&amp;WAI_SmaxHits=40">http://frwebgate.access.gpo.gov/cgi-bin/multidb.cgi?WAI_SdbName=2008_register+Federal+Register%2C+Volume+73+%282008%29&amp;WAI_SqueryRule=%28%24WAI_SqueryString%29&amp;WAI_SqueryString=%225+CFR+Part+250%22&amp;WAI_Stemplate=multidb_results.html&amp;Submit.=Submit&amp;WrapperTemplate=fr_wrapper.html&amp;WAI_SmaxHits=40</a>
<b>US CPDF (Central Personnel Data File)</b>	<i>OPM</i>	<a href="http://www.opm.gov/feddata/gp58.pdf">http://www.opm.gov/feddata/gp58.pdf</a>
<b>FPDS DATAMART</b>		<a href="http://www.nbc.gov/payroll/datamart.html">http://www.nbc.gov/payroll/datamart.html</a>
<b>OPM provides the Central Personnel Data File (CPDF) and the new Enterprise Human Resources Integration (EHRI) human resources reporting systems, along with a set of tools for trend analysis and forecasting. More details are and links are available at:</b>		<a href="http://www.opm.gov/feddata/guidance.asp">http://www.opm.gov/feddata/guidance.asp</a>



### MODELING THE FUTURE: DOT WORKFORCE PROJECTION GUIDELINES

The DOT-wide Workforce Analysis creates forecasts using the CIVFORS. This is an application available in OPM’s Enterprise HR system. It provides data-mining tools and long range forecasting capabilities to civilian agencies.

Using the knowledge gained from the previous projection efforts, DOT begins with the following predictor elements: Years of Service, Retirement Eligibility Group, PATCOB, (occupational category) Employee Tenure Group, and Sub-Agency. These have been determined to provide an appropriate fit at the 95% confidence level for their effect on the attrition patterns found in historic DOT populations.



## **Human Capital Management – Guide to Workforce Planning**

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The forecast runs using the basic model with 3 years of historical data. The rate generator uses a hybrid method from these three years worth of historic data. The most recent year is weighted 0.6, two years prior is weighted 0.3, and three years prior is weighted 0.1.

## Building a model in CIVFORS

### 1. Select Builders - Create

Populate the general information page as shown below. Select the number of historic quarters to use in the modeling as well as the number of quarters to forecast. Once complete, select “next.”

The screenshot shows the 'Model Builder' interface in Microsoft Internet Explorer. The browser address bar shows the URL: <https://ehrp.opm.gov/opn/mbEditGeneralInfo.action>. The page title is 'Model Builder - Microsoft Internet Explorer provided by SRA International, Inc'. The CIVFORS logo is visible, along with the tagline 'Enterprise Human Resource Integration' and the 'egov' logo. The main content area is titled 'Model Builder' and 'Modify General Information'. The form contains the following fields:

- Model ID: DOT\_EXAMPLE
- Description: Example model for DOT Workforce Guide
- History Quarters: 16
- Projection Quarters: 16
- Population: DOT\_POP

A red arrow points to the dropdown arrow next to the Population field. A yellow callout box contains the text: "Select your population to the forecast that matches your population definition in the Supply analysis. For additional details on creating a population in CIVFORS, see pages 52 – 57 in the users' manual."

### 2. Select Data Elements

*Data Elements* are the pieces of information available about the workforce, including, e.g.: education level, tenure, and race/ethnicity. Select the data elements to be used as predictive elements for your model. Below are the data elements used in the DOT model. Once completed, select “Next.”



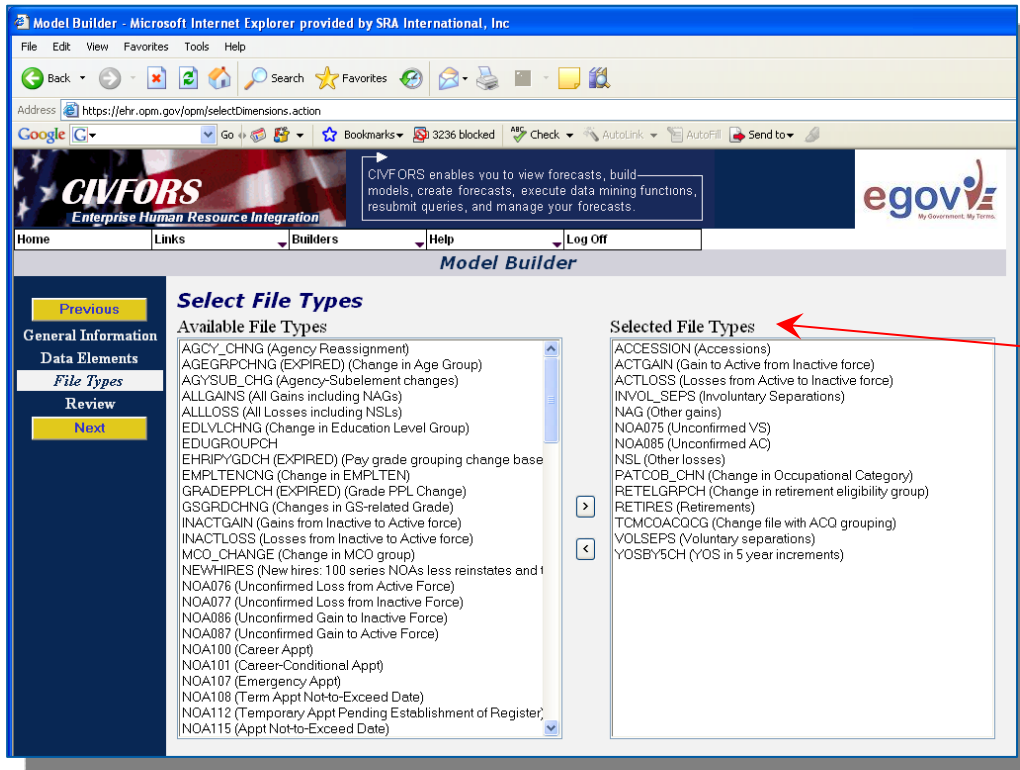
# Human Capital Management – Guide to Workforce Planning

The screenshot shows the CIVFORS Model Builder interface in a Microsoft Internet Explorer browser. The browser address bar shows the URL: https://ehr.opm.gov/opm/mbProcessGeneralInfo.action. The page title is "Model Builder - Microsoft Internet Explorer provided by SRA International, Inc". The browser toolbar includes Back, Forward, Stop, Home, Search, Favorites, and other standard navigation icons. The page content includes a header with the CIVFORS logo and the tagline "Enterprise Human Resource Integration". Below the header is a navigation menu with "Home", "Links", "Builders", "Help", and "Log Off". The main content area is titled "Model Builder" and contains a "Select Data Elements" section. This section is divided into three main areas: "Available Data Elements", "Selected Predictive Data Elements", and "Selected Proportionally Distributed Data Elements". The "Available Data Elements" list includes items such as ACT\_EMPLOYEE (ACTIVE EMPLOYEE), AGE (Age in Years), and EDUCATION LEVEL. The "Selected Predictive Data Elements" list includes AGY\_SUB (Agency Subelement), PATCOB (Occupational Category), and RETEL\_GRP (Retirement Eligibility Group). The "Selected Proportionally Distributed Data Elements" list is currently empty. A red arrow points from a text box on the right to the "Selected Predictive Data Elements" list.

You are able to create additional data elements to use as predictive elements. For additional details on creating a data element in CIVFORS, see pages 62 – 69 in the users' manual.

### 3. Select File Types

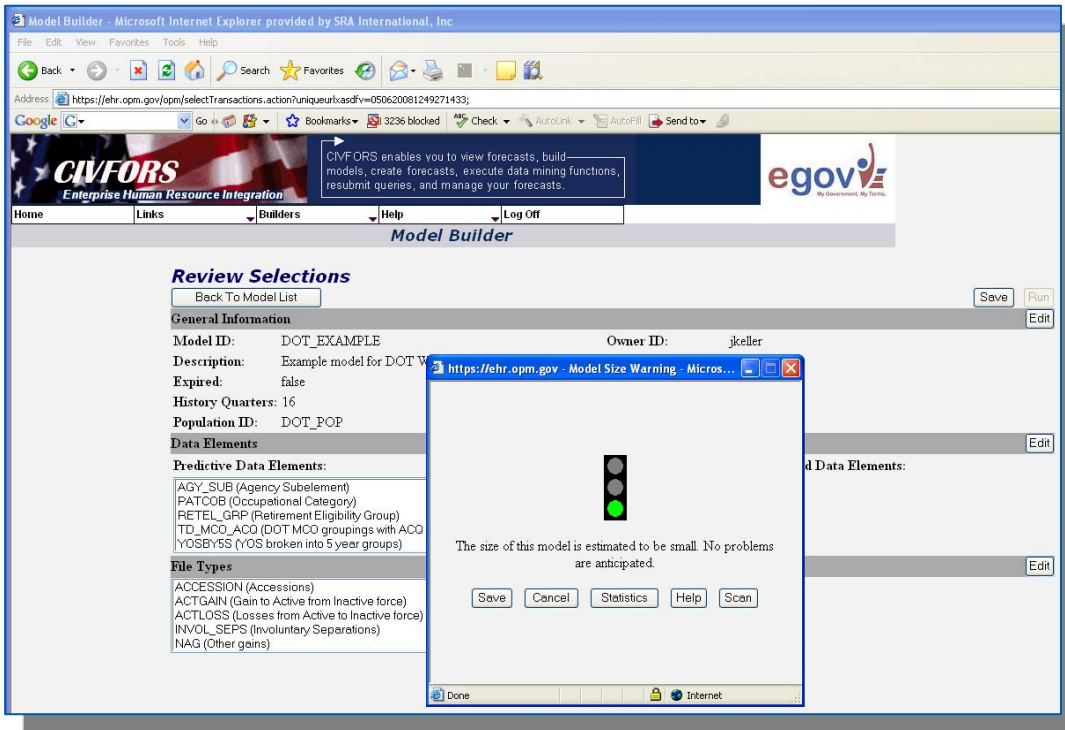
File types designate nature of actions, for example: involuntary separations, retirements



Select the type of files that describe your gains, losses, or migrations within your model.

#### 4. Review

Once you are satisfied with the inputs to the model, select “Save.” Make sure that size of the estimate is “small” as shown with a green light. Save within the dialog box and select “Run” in the top right corner.





## 5. Create a Forecast

A forecast is a predictive model based on the variables you have selected. Name your forecast (e.g., “DOT\_Example”) and select your desired rates for each historic year (weights) and “run options”. Run options include, for example, the selection of your projection start date and the build type. DOT projections for the annual Workforce Analysis use the “non-targeted” build type.

**Forecast Builder - Microsoft Internet Explorer provided by SRA International, Inc**

File Edit View Favorites Tools Help

Address [https://ehr.opm.gov/opm/5B\\_ForecastInformation.jsp?action=displayPage](https://ehr.opm.gov/opm/5B_ForecastInformation.jsp?action=displayPage)

**CIVFORS**  
Enterprise Human Resource Integration

CIVFORS enables you to view forecasts, build models, create forecasts, execute data mining functions, resubmit queries, and manage your forecasts.

egov  
My Government. My Terms.

Home Links Builders Help Log Off

**Forecast Builder**

Previous

**Modify General Information**

General Information

Rate Options

Run Options

Target Options

Optimization Options

Review

Next

Name:

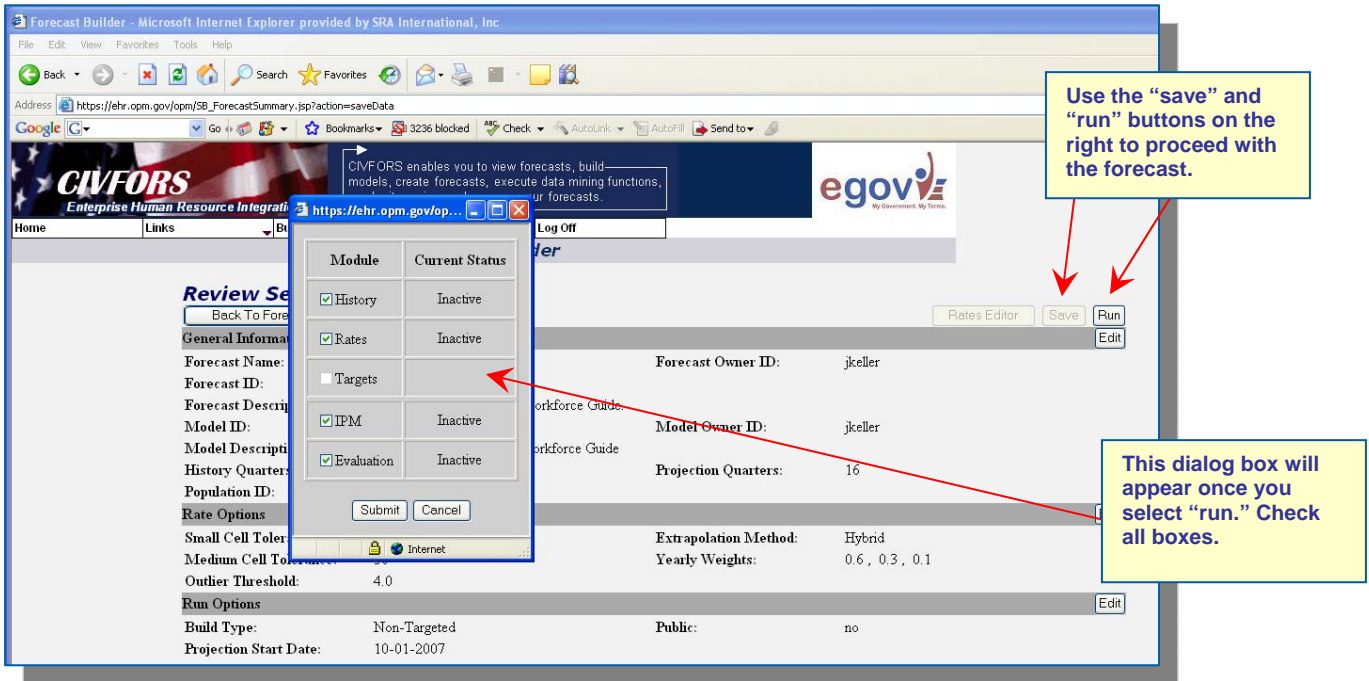
Owner: jkeller

Description:

Model:

Owner	jkeller
Population	DOT_POP
Description	Example model for DOT Workforce Guide
History Quarters	16
Projection Quarters	16

### 6. Save and Run the Forecast



The screenshot shows the CIVFORS Forecast Builder interface in Microsoft Internet Explorer. The browser address bar shows [https://ehf.opm.gov/opn/SB\\_ForecastSummary.jsp?action=saveData](https://ehf.opm.gov/opn/SB_ForecastSummary.jsp?action=saveData). The page title is "Forecast Builder - Microsoft Internet Explorer provided by SRA International, Inc".

On the right side of the page, there are buttons for "Rates Editor", "Save", "Run", and "Edit". A yellow callout box with a blue border points to the "Save" and "Run" buttons, containing the text: "Use the 'save' and 'run' buttons on the right to proceed with the forecast."

In the center of the page, there is a dialog box with the following content:

Module	Current Status
<input checked="" type="checkbox"/> History	Inactive
<input checked="" type="checkbox"/> Rates	Inactive
<input type="checkbox"/> Targets	
<input checked="" type="checkbox"/> IPM	Inactive
<input checked="" type="checkbox"/> Evaluation	Inactive

Below the table are "Submit" and "Cancel" buttons. A red arrow points from the "Run" button on the right to the dialog box. A yellow callout box with a blue border points to the dialog box, containing the text: "This dialog box will appear once you select 'run.' Check all boxes."

The main interface also displays various forecast details:

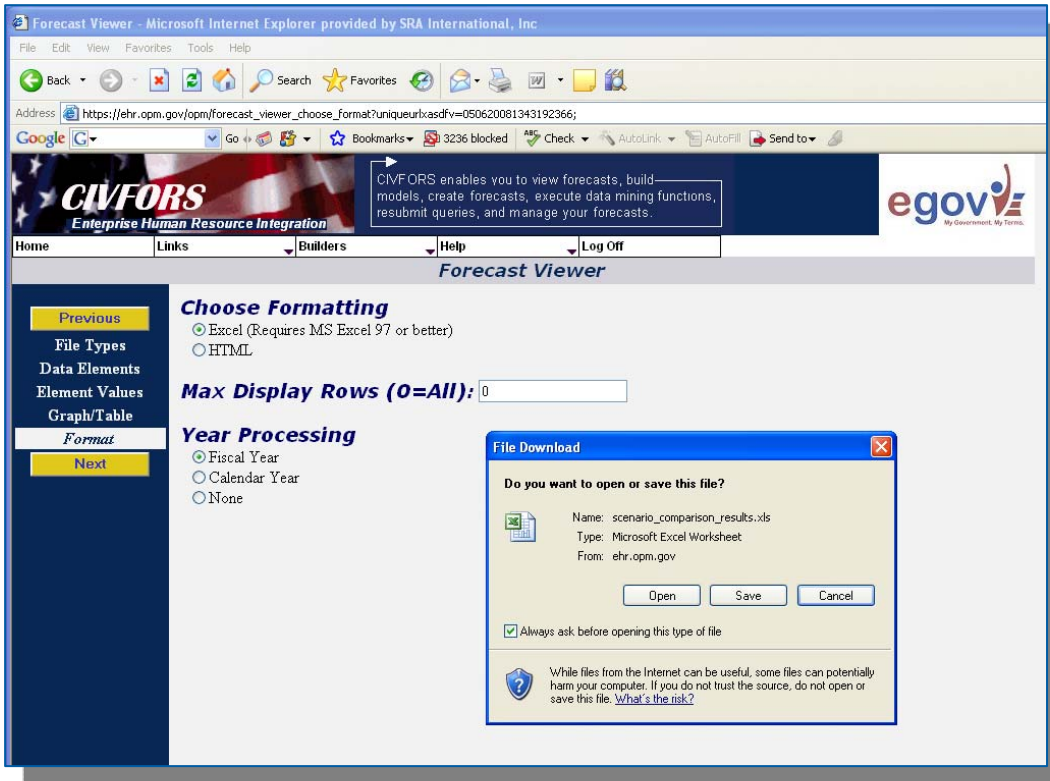
- Forecast Owner ID: jkeller
- Model Owner ID: jkeller
- Projection Quarters: 16
- Extrapolation Method: Hybrid
- Yearly Weights: 0.6, 0.3, 0.1
- Public: no

At the bottom of the page, there are "Run Options" including "Build Type: Non-Targeted" and "Projection Start Date: 10-01-2007".

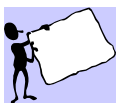


## 7. Viewing Results

Depending on how big your model is, the forecast may take a few hours to run. When it is ready, it will appear in your user forecast menu. Select the forecast to view. Determine which file types and data elements you are interested in viewing. Select Table and Format using Excel. Also select Fiscal Year for year processing.



The previous section is a general guide to building a workforce model in CIVFORS. For additional guidance, please review the user manual under the 'help' menu in CIVFORS. For direct support, please contact OPM.



### WORKSHEET: WORKFORCE PROFILE ANALYSIS\*

This worksheet presents a systematic approach to querying and analyzing the workforce data one characteristic at a time. Although, some of the queries may seem repetitious, this is the nature of analysis. The same data is looked at multiple times in different groupings and contexts. The worksheet shows the same analysis DOT-wide and by OA. In addition, each of the data points is analyzed for trends

Acronyms used in the worksheet:

- **FTE**-Full-time equivalents
- **MCO**-Mission critical occupation
- **PWD**-Persons with disabilities
- **PWD**-Persons with targeted disabilities
- **RNO**-Race/ national origin

***NOTE:** The MCO Leaders include executives, managers, and supervisors; this is different from the queries for SES and Mangers/Supervisors*



***NOTE:** Numbers and percentages are often interchangeable depending on the analysis objectives.*



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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Numbers of FTE Permanent Full-Time, Part-Time</b>	<ul style="list-style-type: none"> <li>- Number of FTE/ trend</li> <li>- Number of FTE by OCC series(job family)/ trend</li> <li>- Number of FTE by MCO/ trend</li> <li>- Number of FTE by location/ trend</li> <li>- Number of FTE by OA/ trend</li> <li>- Number of FTE by SES/ trend</li> <li>- Number of FTE by mgrs/supvrs/ trend</li> <li>- Number of FTE by gender/ trend</li> <li>- Number of FTE by RNO/ trend</li> <li>- Number of FTE by PWD/ trend</li> <li>- Number of FTE by PWTD/ trend</li> <li>- Number of FTE by veteran/ trend</li> <li>- Number of FTE by age/ trend</li> <li>- Number of FTE by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Number of FTE/ trend</li> <li>- Number of FTE by OCC series(job family)/ trend</li> <li>- Number of FTE by MCO/ trend</li> <li>- Number of FTE by location/ trend</li> <li>- Number of FTE by OA/ trend</li> <li>- Number of FTE by SES/ trend</li> <li>- Number of FTE by mgrs/supvrs/ trend</li> <li>- Number of FTE by gender/ trend</li> <li>- Number of FTE by RNO/ trend</li> <li>- Number of FTE by PWD/ trend</li> <li>- Number of FTE by PWTD/ trend</li> <li>- Number of FTE by veteran/ trend</li> <li>- Number of FTE by age/ trend</li> <li>- Number of FTE by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Number of FTE (other than full-time, part-time)</b>	<ul style="list-style-type: none"> <li>- Number of Temp employees/ trend</li> <li>- Number of Temp employees by OCC series(job family)/ trend</li> <li>- Number of Temp employees by MCO/ trend</li> <li>- Number of Temp employees by location/ trend</li> <li>- Number of Temp employees by OA/ trend</li> <li>- Number of Temp employees by mgrs/supvrs/ trend</li> <li>- Number of Temp employees by gender/ trend</li> <li>- Number of Temp employees by RNO/ trend</li> <li>- Number of Temp employees by PWD/ trend</li> <li>- Number of Temp employees by PWTD/ trend</li> <li>- Number of Temp employees by veteran/ trend</li> <li>- Number of Temp employees by age/ trend</li> <li>- Number of Temp employees by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Number of Temp employees/ trend</li> <li>- Number of Temp employees by OCC series(job family)/ trend</li> <li>- Number of Temp employees by MCO/ trend</li> <li>- Number of Temp employees by location/ trend</li> <li>- Number of Temp employees by OA/ trend</li> <li>- Number of Temp employees by mgrs/supvrs/ trend</li> <li>- Number of Temp employees by gender/ trend</li> <li>- Number of Temp employees by RNO/ trend</li> <li>- Number of Temp employees by PWD/ trend</li> <li>- Number of Temp employees by PWTD/ trend</li> <li>- Number of Temp employees by veteran/ trend</li> <li>- Number of Temp employees by age/ trend</li> <li>- Number of Temp employees by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Vacancies</b>	<ul style="list-style-type: none"> <li>- Number of vacancies/ trend</li> <li>- Number of vacancies by OCC series(job family)/ trend</li> <li>- Number of vacancies by MCO/ trend</li> <li>- Number of vacancies by location/ trend</li> <li>- Number of vacancies by OA/ trend</li> <li>- Number of vacancies by SES/ trend</li> <li>- Number of vacancies by mgrs/supvrs/ trend</li> <li>- Number of vacancies by PWD/ trend (if there are designated positions for them)</li> <li>- Number of vacancies by PWTD/ trend (if there are designated positions for them)</li> <li>- Number of vacancies by age/ trend</li> <li>- Number of vacancies by YOS/ trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Number of vacancies/ trend</li> <li>- Number of vacancies by OCC series(job family)/ trend</li> <li>- Number of vacancies by MCO/ trend</li> <li>- Number of vacancies by location/ trend</li> <li>- Number of vacancies by OA/ trend</li> <li>- Number of vacancies by SES/ trend</li> <li>- Number of vacancies by mgrs/supvrs/ trend</li> <li>- Number of vacancies by PWD/ trend (if there are designated positions for them)</li> <li>- Number of vacancies by PWTD/ trend (if there are designated positions for them)</li> <li>- Number of vacancies by age/ trend</li> <li>- Number of vacancies by YOS/ trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>



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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Occupational Series (Job family)</b>	<ul style="list-style-type: none"> <li>- Percentage of FTE by OCC series (job family)/ trend</li> <li>- Percentage of vacancies by OCC series (job family)/ trend</li> <li>- Average grade by OCC series (job family)/ trend</li> <li>- Average salary by OCC series (job family)/ trend</li> <li>- Percentage of RNO by OCC series (job family)/ trend</li> <li>- Percentage of SES by OCC series (job family)/ trend</li> <li>- Percentage of Manager/Supervisor by OCC series (job family)/ trend</li> <li>- Percentage of women by OCC series (job family)/ trend</li> <li>- Percentage of RNO by OCC series (job family)/ trend</li> <li>- Percentage of veterans by OCC series (job family)/trend</li> <li>- Percentage of PWD by OCC series (job family)/trend</li> <li>- Percentage of PWTD by OCC series (job family)/trend</li> <li>- Average age by OCC series (job family)/ trend</li> <li>- Average YOS by OCC series (job family)/ trend</li> <li>- Retirement eligibility by OCC series (job family)/ trend</li> <li>- Turnover by OCC series (job family)/ trend</li> <li>- New Hires by OCC series (job family)/ trend</li> <li>- Compare to DOT-wide</li> <li>- Compare to federal workforce</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of FTE by OCC series (job family)/ trend</li> <li>- Percentage of vacancies by OCC series (job family)/ trend</li> <li>- Average grade by OCC series (job family)/ trend</li> <li>- Average salary by OCC series (job family)/ trend</li> <li>- Percentage of RNO by OCC series (job family)/ trend</li> <li>- Percentage of SES by OCC series (job family)/ trend</li> <li>- Percentage of Manager/Supervisor by OCC series (job family)/ trend</li> <li>- Percentage of women by OCC series (job family)/ trend</li> <li>- Percentage of RNO by OCC series (job family)/ trend</li> <li>- Percentage of veterans by OCC series (job family)/trend</li> <li>- Percentage of PWD by OCC series (job family)/trend</li> <li>- Percentage of PWTD by OCC series (job family)/trend</li> <li>- Average age by OCC series (job family)/ trend</li> <li>- Average YOS by OCC series (job family)/ trend</li> <li>- Retirement eligibility by OCC series (job family)/ trend</li> <li>- Turnover by OCC series (job family)/ trend</li> <li>- New Hires by OCC series (job family)/ trend</li> <li>- Compare to DOT-wide</li> <li>- Compare to federal workforce</li> </ul>
<b>Grade</b>	<ul style="list-style-type: none"> <li>- Average grade/ trend</li> <li>- Average grade by OCC series(job family)/ trend</li> <li>- Average grade by MCO/ trend</li> <li>- Average grade by location/ trend</li> <li>- Average grade by OA/ trend</li> <li>- Average grade by SES/trend</li> <li>- Average grade by mgrs/supvrs/ trend</li> <li>- Average grade by gender/ trend</li> <li>- Average grade by RNO/ trend</li> <li>- Average grade by PWD/ trend</li> <li>- Average grade by PWTD/ trend</li> <li>- Average grade by veteran/ trend</li> <li>- Average grade by age/ trend</li> <li>- Average grade by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Average grade/ trend</li> <li>- Average grade by OCC series(job family)/ trend</li> <li>- Average grade by MCO/ trend</li> <li>- Average grade by location/ trend</li> <li>- Average grade by OA/ trend</li> <li>- Average grade by SES/trend</li> <li>- Average grade by mgrs/supvrs/ trend</li> <li>- Average grade by gender/ trend</li> <li>- Average grade by RNO/ trend</li> <li>- Average grade by PWD/ trend</li> <li>- Average grade by PWTD/ trend</li> <li>- Average grade by veteran/ trend</li> <li>- Average grade by age/ trend</li> <li>- Average grade by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>



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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Salary</b>	<ul style="list-style-type: none"> <li>- Average salary/ trend</li> <li>- Average salary by OCC series(job family)/ trend</li> <li>- Average salary by MCO/ trend</li> <li>- Average salary by location/ trend</li> <li>- Average salary by OA/ trend</li> <li>- Average salary by SES/trend</li> <li>- Average salary by mgrs/supvrs/ trend</li> <li>- Average salary by gender/ trend</li> <li>- Average salary by RNO/ trend</li> <li>- Average salary by PWD/ trend</li> <li>- Average salary by PWTD/ trend</li> <li>- Average salary by veteran/ trend</li> <li>- Average salary by age/ trend</li> <li>- Average salary by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Average salary/ trend</li> <li>- Average salary by OCC series(job family)/ trend</li> <li>- Average salary by MCO/ trend</li> <li>- Average salary by location/ trend</li> <li>- Average salary by OA/ trend</li> <li>- Average salary by SES/trend</li> <li>- Average salary by mgrs/supvrs/ trend</li> <li>- Average salary by gender/ trend</li> <li>- Average salary by RNO/ trend</li> <li>- Average salary by PWD/ trend</li> <li>- Average salary by PWTD/ trend</li> <li>- Average salary by veteran/ trend</li> <li>- Average salary by age/ trend</li> <li>- Average salary by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>SES</b>	<ul style="list-style-type: none"> <li>- Percentage of SES/ trend</li> <li>- Percentage of SES by OCC series(job family)/ trend</li> <li>- Percentage of SES by MCO/ trend</li> <li>- Percentage of SES by location/ trend</li> <li>- Percentage of SES by OA/ trend</li> <li>- Percentage of SES by mgrs/supvrs/ trend</li> <li>- Percentage of SES by gender/ trend</li> <li>- Percentage of SES by RNO/ trend</li> <li>- Percentage of SES by PWD/ trend</li> <li>- Percentage of SES by PWTD/ trend</li> <li>- Percentage of SES by veteran/ trend</li> <li>- Percentage of SES by age/ trend</li> <li>- Percentage of SES by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of SES/ trend</li> <li>- Percentage of SES by OCC series(job family)/ trend</li> <li>- Percentage of SES by MCO/ trend</li> <li>- Percentage of SES by location/ trend</li> <li>- Percentage of SES by OA/ trend</li> <li>- Percentage of SES by mgrs/supvrs/ trend</li> <li>- Percentage of SES by gender/ trend</li> <li>- Percentage of SES by RNO/ trend</li> <li>- Percentage of SES by PWD/ trend</li> <li>- Percentage of SES by PWTD/ trend</li> <li>- Percentage of SES by veteran/ trend</li> <li>- Percentage of SES by age/ trend</li> <li>- Percentage of SES by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Manager/ supervisor</b>	<ul style="list-style-type: none"> <li>- Percentage of mgr/supvrs/ trend</li> <li>- Percentage of mgr/supvrs by OCC series(job family)/ trend</li> <li>- Percentage of mgr/supvrs by MCO/ trend</li> <li>- Percentage of mgr/supvrs by location/ trend</li> <li>- Percentage of mgr/supvrs by OA/ trend</li> <li>- Percentage of mgr/supvrs by gender/ trend</li> <li>- Percentage of mgr/supvrs by RNO/ trend</li> <li>- Percentage of mgr/supvrs by PWD/ trend</li> <li>- Percentage of mgr/supvrs by PWTD/ trend</li> <li>- Percentage of mgr/supvrs by veteran/ trend</li> <li>- Percentage of mgr/supvrs by age/ trend</li> <li>- Percentage of mgr/supvrs by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of mgr/supvrs/ trend</li> <li>- Percentage of mgr/supvrs by OCC series(job family)/ trend</li> <li>- Percentage of mgr/supvrs by MCO/ trend</li> <li>- Percentage of mgr/supvrs by location/ trend</li> <li>- Percentage of mgr/supvrs by OA/ trend</li> <li>- Percentage of mgr/supvrs by gender/ trend</li> <li>- Percentage of mgr/supvrs by RNO/ trend</li> <li>- Percentage of mgr/supvrs by PWD/ trend</li> <li>- Percentage of mgr/supvrs by PWTD/ trend</li> <li>- Percentage of mgr/supvrs by veteran/ trend</li> <li>- Percentage of mgr/supvrs by age/ trend</li> <li>- Percentage of mgr/supvrs by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>



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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Women</b>	<ul style="list-style-type: none"> <li>- Percentage of women/ trend</li> <li>- Percentage of women by OCC series(job family)/ trend</li> <li>- Percentage of women by MCO/ trend</li> <li>- Percentage of women by location/ trend</li> <li>- Percentage of women by OA/ trend</li> <li>- Percentage of women by SES/ trend</li> <li>- Percentage of women by mgrs/supvrs/ trend</li> <li>- Percentage of women by RNO/ trend</li> <li>- Percentage of women by PWD/ trend</li> <li>- Percentage of women by PWTD/ trend</li> <li>- Percentage of women by veteran/ trend</li> <li>- Percentage of women by age/ trend</li> <li>- Percentage of women by YOS/ trend</li> <li>- Percentage of women New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of women/ trend</li> <li>- Percentage of women by OCC series(job family)/ trend</li> <li>- Percentage of women by MCO/ trend</li> <li>- Percentage of women by location/ trend</li> <li>- Percentage of women by OA/ trend</li> <li>- Percentage of women by SES/ trend</li> <li>- Percentage of women by mgrs/supvrs/ trend</li> <li>- Percentage of women by RNO/ trend</li> <li>- Percentage of women by PWD/ trend</li> <li>- Percentage of women by PWTD/ trend</li> <li>- Percentage of women by veteran/ trend</li> <li>- Percentage of women by age/ trend</li> <li>- Percentage of women by YOS/ trend</li> <li>- Percentage of women New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Race/National Origin</b>	<ul style="list-style-type: none"> <li>- Percentage of RNO/ trend</li> <li>- Percentage of RNO by OCC series(job family)/ trend</li> <li>- Percentage of RNO by MCO/ trend</li> <li>- Percentage of RNO by location/ trend</li> <li>- Percentage of RNO by OA/ trend</li> <li>- Percentage of RNO by SES/ trend</li> <li>- Percentage of RNO by mgrs/supvrs/ trend</li> <li>- Percentage of RNO by gender/ trend</li> <li>- Percentage of RNO by PWD/ trend</li> <li>- Percentage of RNO by PWTD/ trend</li> <li>- Percentage of RNO by veteran/ trend</li> <li>- Percentage of RNO by age/ trend</li> <li>- Percentage of RNO by YOS/ trend</li> <li>- Percentage of RNO New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of RNO/ trend</li> <li>- Percentage of RNO by OCC series(job family)/ trend</li> <li>- Percentage of RNO by MCO/ trend</li> <li>- Percentage of RNO by location/ trend</li> <li>- Percentage of RNO by OA/ trend</li> <li>- Percentage of RNO by SES/ trend</li> <li>- Percentage of RNO by mgrs/supvrs/ trend</li> <li>- Percentage of RNO by gender/ trend</li> <li>- Percentage of RNO by PWD/ trend</li> <li>- Percentage of RNO by PWTD/ trend</li> <li>- Percentage of RNO by veteran/ trend</li> <li>- Percentage of RNO by age/ trend</li> <li>- Percentage of RNO by YOS/ trend</li> <li>- Percentage of RNO New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Veterans</b>	<ul style="list-style-type: none"> <li>- Percentage of veterans/ trend</li> <li>- Percentage of veterans by OCC series(job family)/ trend</li> <li>- Percentage of veterans by MCO/ trend</li> <li>- Percentage of veterans by location/ trend</li> <li>- Percentage of veterans by OA/ trend</li> <li>- Percentage of veterans by SES/ trend</li> <li>- Percentage of veterans by mgrs/supvrs/ trend</li> <li>- Percentage of veterans by RNO/ trend</li> <li>- Percentage of veterans by PWD/ trend</li> <li>- Percentage of veterans by PWTD/ trend</li> <li>- Percentage of veterans by age/ trend</li> <li>- Percentage of veterans by YOS/ trend</li> <li>- Percentage of veterans New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of veterans/ trend</li> <li>- Percentage of veterans by OCC series(job family)/ trend</li> <li>- Percentage of veterans by MCO/ trend</li> <li>- Percentage of veterans by location/ trend</li> <li>- Percentage of veterans by OA/ trend</li> <li>- Percentage of veterans by SES/ trend</li> <li>- Percentage of veterans by mgrs/supvrs/ trend</li> <li>- Percentage of veterans by RNO/ trend</li> <li>- Percentage of veterans by PWD/ trend</li> <li>- Percentage of veterans by PWTD/ trend</li> <li>- Percentage of veterans by age/ trend</li> <li>- Percentage of veterans by YOS/ trend</li> <li>- Percentage of veterans New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>



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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Persons with Disabilities</b>	<ul style="list-style-type: none"> <li>- Percentage of PWD/ trend</li> <li>- Percentage of PWD by OCC series(job family)/ trend</li> <li>- Percentage of PWD by MCO/ trend</li> <li>- Percentage of PWD by location/ trend</li> <li>- Percentage of PWD by OA/ trend</li> <li>- Percentage of PWD by SES/ trend</li> <li>- Percentage of PWD by mgrs/supvrs/ trend</li> <li>- Percentage of PWD by RNO/ trend</li> <li>- Percentage of PWD by veteran/ trend</li> <li>- Percentage of PWD by age/ trend</li> <li>- Percentage of PWD by YOS/ trend</li> <li>- Percentage of PWD New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of PWD/ trend</li> <li>- Percentage of PWD by OCC series(job family)/ trend</li> <li>- Percentage of PWD by MCO/ trend</li> <li>- Percentage of PWD by location/ trend</li> <li>- Percentage of PWD by OA/ trend</li> <li>- Percentage of PWD by SES/ trend</li> <li>- Percentage of PWD by mgrs/supvrs/ trend</li> <li>- Percentage of PWD by RNO/ trend</li> <li>- Percentage of PWD by veteran/ trend</li> <li>- Percentage of PWD by age/ trend</li> <li>- Percentage of PWD by YOS/ trend</li> <li>- Percentage of PWD New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Persons with Targeted Disabilities</b>	<ul style="list-style-type: none"> <li>- Percentage of PWTD/ trend</li> <li>- Percentage of PWTD by OCC series(job family)/ trend</li> <li>- Percentage of PWTD by MCO/ trend</li> <li>- Percentage of PWTD by location/ trend</li> <li>- Percentage of PWTD by OA/ trend</li> <li>- Percentage of PWTD by SES/ trend</li> <li>- Percentage of PWTD by mgrs/supvrs/ trend</li> <li>- Percentage of PWTD by RNO/ trend</li> <li>- Percentage of PWTD by veteran/ trend</li> <li>- Percentage of PWTD by age/ trend</li> <li>- Percentage of PWTD by YOS/ trend</li> <li>- Percentage of PWTD New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of PWTD/ trend</li> <li>- Percentage of PWTD by OCC series(job family)/ trend</li> <li>- Percentage of PWTD by MCO/ trend</li> <li>- Percentage of PWTD by location/ trend</li> <li>- Percentage of PWTD by OA/ trend</li> <li>- Percentage of PWTD by SES/ trend</li> <li>- Percentage of PWTD by mgrs/supvrs/ trend</li> <li>- Percentage of PWTD by RNO/ trend</li> <li>- Percentage of PWTD by veteran/ trend</li> <li>- Percentage of PWTD by age/ trend</li> <li>- Percentage of PWTD by YOS/ trend</li> <li>- Percentage of PWTD New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Age</b>	<ul style="list-style-type: none"> <li>- Average age/ trend</li> <li>- Average age by OCC series(job family)/ trend</li> <li>- Average age by MCO/ trend</li> <li>- Average age by location/ trend</li> <li>- Average age by OA/ trend</li> <li>- Average age by SES/trend</li> <li>- Average age by mgrs/supvrs/ trend</li> <li>- Average age by gender/ trend</li> <li>- Average age by RNO/ trend</li> <li>- Average age by PWD/ trend</li> <li>- Average age by PWTD/ trend</li> <li>- Average age by veteran/ trend</li> <li>- Average age by YOS/ trend</li> <li>- Average age of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Average age/ trend</li> <li>- Average age by OCC series(job family)/ trend</li> <li>- Average age by MCO/ trend</li> <li>- Average age by location/ trend</li> <li>- Average age by OA/ trend</li> <li>- Average age by SES/trend</li> <li>- Average age by mgrs/supvrs/ trend</li> <li>- Average age by gender/ trend</li> <li>- Average age by RNO/ trend</li> <li>- Average age by PWD/ trend</li> <li>- Average age by PWTD/ trend</li> <li>- Average age by veteran/ trend</li> <li>- Average age by YOS/ trend</li> <li>- Average age of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>



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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Years of Service</b>	<ul style="list-style-type: none"> <li>- Average YOS/ trend</li> <li>- Average YOS by OCC series(job family)/ trend</li> <li>- Average YOS by MCO/ trend</li> <li>- Average YOS by location/ trend</li> <li>- Average YOS by OA/ trend</li> <li>- Average YOS by SES/trend</li> <li>- Average YOS by mgrs/supvrs/ trend</li> <li>- Average YOS by gender/ trend</li> <li>- Average YOS by RNO/ trend</li> <li>- Average YOS by PWD/ trend</li> <li>- Average YOS by PWTD/ trend</li> <li>- Average YOS by veteran/ trend</li> <li>- Average YOS by age/ trend</li> <li>- Average YOS New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Average YOS/ trend</li> <li>- Average YOS by OCC series(job family)/ trend</li> <li>- Average YOS by MCO/ trend</li> <li>- Average YOS by location/ trend</li> <li>- Average YOS by OA/ trend</li> <li>- Average YOS by SES/trend</li> <li>- Average YOS by mgrs/supvrs/ trend</li> <li>- Average YOS by gender/ trend</li> <li>- Average YOS by RNO/ trend</li> <li>- Average YOS by PWD/ trend</li> <li>- Average YOS by PWTD/ trend</li> <li>- Average YOS by veteran/ trend</li> <li>- Average YOS by age/ trend</li> <li>- Average YOS New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Retirement Eligible Broken out by: Eligibility point CSRS FERS Year (distribution over time)</b>	<ul style="list-style-type: none"> <li>- Retirement eligible/ trend</li> <li>- Retirement eligible by OCC series(job family)/ trend</li> <li>- Retirement eligible by MCO/ trend</li> <li>- Retirement eligible by location/ trend</li> <li>- Retirement eligible by OA/ trend</li> <li>- Retirement eligible by SES/trend</li> <li>- Retirement eligible by mgrs/supvrs/ trend</li> <li>- Retirement eligible by gender/ trend</li> <li>- Retirement eligible by RNO/ trend</li> <li>- Retirement eligible by PWD/ trend</li> <li>- Retirement eligible by PWTD/ trend</li> <li>- Retirement eligible by veteran/ trend</li> <li>- Retirement eligible by age/ trend</li> <li>- Retirement eligible by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Retirement eligible/ trend</li> <li>- Retirement eligible by OCC series(job family)/ trend</li> <li>- Retirement eligible by MCO/ trend</li> <li>- Retirement eligible by location/ trend</li> <li>- Retirement eligible by OA/ trend</li> <li>- Retirement eligible by SES/trend</li> <li>- Retirement eligible by mgrs/supvrs/ trend</li> <li>- Retirement eligible by gender/ trend</li> <li>- Retirement eligible by RNO/ trend</li> <li>- Retirement eligible by PWD/ trend</li> <li>- Retirement eligible by PWTD/ trend</li> <li>- Retirement eligible by veteran/ trend</li> <li>- Retirement eligible by age/ trend</li> <li>- Retirement eligible by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>Turnover (Total)</b>	<ul style="list-style-type: none"> <li>- Percentage of attrition/ trend</li> <li>- Percentage of attrition by OCC series(job family)/ trend</li> <li>- Percentage of attrition by MCO/ trend</li> <li>- Percentage of attrition by location/ trend</li> <li>- Percentage of attrition by OA/ trend</li> <li>- Percentage of attrition by SES/trend</li> <li>- Percentage of attrition by mgrs/supvrs/ trend</li> <li>- Percentage of attrition by gender/ trend</li> <li>- Percentage of attrition by RNO/ trend</li> <li>- Percentage of attrition by PWD/ trend</li> <li>- Percentage of attrition by PWTD/ trend</li> <li>- Percentage of attrition by veteran/ trend</li> <li>- Percentage of attrition by age/ trend</li> <li>- Percentage of attrition by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of attrition/ trend</li> <li>- Percentage of attrition by OCC series(job family)/ trend</li> <li>- Percentage of attrition by MCO/ trend</li> <li>- Percentage of attrition by location/ trend</li> <li>- Percentage of attrition by OA/ trend</li> <li>- Percentage of attrition by SES/trend</li> <li>- Percentage of attrition by mgrs/supvrs/ trend</li> <li>- Percentage of attrition by gender/ trend</li> <li>- Percentage of attrition by RNO/ trend</li> <li>- Percentage of attrition by PWD/ trend</li> <li>- Percentage of attrition by PWTD/ trend</li> <li>- Percentage of attrition by veteran/ trend</li> <li>- Percentage of attrition by age/ trend</li> <li>- Percentage of attrition by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>





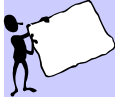
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WORKFORCE CHARACTERISTICS	DOT WIDE ANALYSIS	BY OA ANALYSIS
<b>Turnover Broken out by Nature of Action Codes</b>	<ul style="list-style-type: none"> <li>- Percentage of attrition/ trend</li> <li>- Percentage of attrition by OCC series(job family)/ trend</li> <li>- Percentage of attrition by MCO/ trend</li> <li>- Percentage of attrition by location/ trend</li> <li>- Percentage of attrition by OA/ trend</li> <li>- Percentage of attrition by SES/trend</li> <li>- Percentage of attrition by mgrs/supvrs/ trend</li> <li>- Percentage of attrition by gender/ trend</li> <li>- Percentage of attrition by RNO/ trend</li> <li>- Percentage of attrition by PWD/ trend</li> <li>- Percentage of attrition by PWTD/ trend</li> <li>- Percentage of attrition by veteran/ trend</li> <li>- Percentage of attrition by age/ trend</li> <li>- Percentage of attrition by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of attrition/ trend</li> <li>- Percentage of attrition by OCC series(job family)/ trend</li> <li>- Percentage of attrition by MCO/ trend</li> <li>- Percentage of attrition by location/ trend</li> <li>- Percentage of attrition by OA/ trend</li> <li>- Percentage of attrition by SES/trend</li> <li>- Percentage of attrition by mgrs/supvrs/ trend</li> <li>- Percentage of attrition by gender/ trend</li> <li>- Percentage of attrition by RNO/ trend</li> <li>- Percentage of attrition by PWD/ trend</li> <li>- Percentage of attrition by PWTD/ trend</li> <li>- Percentage of attrition by veteran/ trend</li> <li>- Percentage of attrition by age/ trend</li> <li>- Percentage of attrition by YOS/ trend</li> <li>- Number of New Hires/trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>New Hires (Total)</b>	<ul style="list-style-type: none"> <li>- Percentage of new hires/ trend</li> <li>- Percentage of new hires by OCC series(job family)/ trend</li> <li>- Percentage of new hires by MCO/ trend</li> <li>- Percentage of new hires by location/ trend</li> <li>- Percentage of new hires by OA/ trend</li> <li>- Percentage of new hires by SES/trend</li> <li>- Percentage of new hires by mgrs/supvrs/ trend</li> <li>- Percentage of new hires by gender/ trend</li> <li>- Percentage of new hires by RNO/ trend</li> <li>- Percentage of new hires by PWD/ trend</li> <li>- Percentage of new hires by PWTD/ trend</li> <li>- Percentage of new hires by veteran/ trend</li> <li>- Percentage of new hires by age/ trend</li> <li>- Percentage of new hires by YOS/ trend</li> <li>- Compared to federal civilian workforce/ trend</li> </ul>	<ul style="list-style-type: none"> <li>- Percentage of new hires/ trend</li> <li>- Percentage of new hires by OCC series(job family)/ trend</li> <li>- Percentage of new hires by MCO/ trend</li> <li>- Percentage of new hires by location/ trend</li> <li>- Percentage of new hires by OA/ trend</li> <li>- Percentage of new hires by SES/trend</li> <li>- Percentage of new hires by mgrs/supvrs/ trend</li> <li>- Percentage of new hires by gender/ trend</li> <li>- Percentage of new hires by RNO/ trend</li> <li>- Percentage of new hires by PWD/ trend</li> <li>- Percentage of new hires by PWTD/ trend</li> <li>- Percentage of new hires by veteran/ trend</li> <li>- Percentage of new hires by age/ trend</li> <li>- Percentage of new hires by YOS/ trend</li> <li>- Compared to federal civilian workforce/ trend</li> <li>- Compared to DOT wide/trend</li> <li>- Compared to other OAs/trend</li> </ul>
<b>New Hires (by specific age groups; e.g., under 29)</b>	<ul style="list-style-type: none"> <li>- Number of new hires below the age of 29/ trend</li> <li>- Percentage of new hires (&lt;29) by MCO/ trend</li> <li>- Percentage of new hires (&lt;29) by OCC series (job family)/ trend</li> <li>- Percentage of new hires (&lt;29) by OA/ trend</li> <li>- Percentage of new hires (&lt;29) by location/ trend</li> <li>- Percentage of new hires (&lt;29) by grade/ trend</li> <li>- Percentage of new hires (&lt;29) by salary/ trend</li> <li>- Percentage of new hires (&lt;29) by mgr/supervisor/ trend</li> <li>- Percentage of new hires (&lt;29) by gender/ trend</li> <li>- Percentage of new hires (&lt;29) by RNO/trend</li> <li>- Percentage of new hires (&lt;29) by PWD/ trend</li> <li>- Percentage of new hires (&lt;29) by PWTD/ trend</li> <li>- Percentage of new hires (&lt;29) by veteran/ trend</li> <li>- Compare to federal civilian workforce/trend</li> </ul>	<ul style="list-style-type: none"> <li>- Number of new hires below the age of 29/ trend</li> <li>- Percentage of new hires (&lt;29) by MCO/ trend</li> <li>- Percentage of new hires (&lt;29) by OCC series (job family)/ trend</li> <li>- Percentage of new hires (&lt;29) by OA/ trend</li> <li>- Percentage of new hires (&lt;29) by location/ trend</li> <li>- Percentage of new hires (&lt;29) by grade/ trend</li> <li>- Percentage of new hires (&lt;29) by salary/ trend</li> <li>- Percentage of new hires (&lt;29) by mgr/supervisor/ trend</li> <li>- Percentage of new hires (&lt;29) by gender/ trend</li> <li>- Percentage of new hires (&lt;29) by RNO/trend</li> <li>- Percentage of new hires (&lt;29) by PWD/ trend</li> <li>- Percentage of new hires (&lt;29) by PWTD/ trend</li> <li>- Percentage of new hires (&lt;29) by veteran/ trend</li> <li>- Compare to federal civilian workforce/trend</li> </ul>

\* Source: DOT Workforce Analysis Handbook, Feb 2008



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**FEDSCOPE DATA DEFINITIONS\***

This Appendix provides FedScope Data Definitions for easy reference. Additional information on FedScope can be obtained from <http://www.fedscope.opm.gov>.

FEDSCOPE DATA	
<b><u>Accessions</u></b>	A personnel action resulting in the addition of an employee to an agency's staff. For the purposes of FedScope, restorations and returns to duty are excluded.
<i>Transfers-in</i>	Movement of a single employee, or group of employees, from another agency with a break in service of 3 days or less.
<i>Individual transfer</i>	Transfer-in of an individual employee.
<i>Mass Transfer</i>	Transfer-in of a group whose function was transferred to another agency.
<i>New hires</i>	Appointment of an employee from outside of the Federal government; a transfer-in from an Excepted Service position or a transfer-in from one type of Federal service to another (e.g. left a Competitive Service position in one agency to take an Excepted or Senior Executive Service position at another agency).
<i>Competitive service appointment</i>	Appointment to a position that is governed by civil service law, but not a part of the Senior Executive Service (SES)
<i>Expected service appointment</i>	Appointment to a position that is not part of the Competitive Service or Senior Executive Service. These positions are exempt by law, Executive order, and OPM regulation.
<i>Senior Executive Service</i>	Appointment to a managerial or supervisory position above the GS-15 level in which the employee performs executive functions. These positions do not require Presidential or congressional approval.
<b><u>Age</u></b>	An employee's age. Age is displayed in five-year intervals, except for an initial interval of less than 20 years and a final interval of 65 years or more.
<b><u>Agency</u></b>	The employing organization. Agencies are summarized into four categories: <ol style="list-style-type: none"> <li>1. Cabinet level departments</li> <li>2. Large independent agencies (1000 or more employees)</li> <li>3. Medium independent agencies (100 to 999 employees)</li> <li>4. Small independent agencies (less than 100 employees)</li> </ol> Data for specific agencies are obtained by drilling down within a category.
<b><u>Average length of service</u></b>	A measure representing the average number of years of Federal civilian employment and creditable military service.
<b><u>Average salary</u></b>	A measure representing the average adjusted basic pay, an annualized rate of pay. Adjusted basic pay is the sum of an employee's rate of basic pay and any locality comparability payment and/or special pay adjustment for law enforcement officers. An employee's actual earnings may be more or less than the annualized rate because of factors such as overtime, shift differentials, less than full time work, or leave without pay.
<b><u>Employment</u></b>	A measure representing the number of employees in pay status at the end of the quarter (or end of the pay period prior to the end of the quarter).
<b><u>Ethnicity and Race Indicator</u></b>	An employee's ethnicity and race identification as defined by the Office of Personnel Management (OPM). Ethnicity and Race Indicator (ERI) consists of one ethnicity category (Hispanic or Latino) and five race categories. All applicable categories may be selected, and at least one category must be selected. <ol style="list-style-type: none"> <li>1. <b>Hispanic or Latino:</b> A person of Cuban, Mexican, Puerto Rican, South or Central America, or other Spanish culture or origin, regardless of race.</li> <li>2. <b>American Indian or Alaska Native:</b> A person having origins in any of the original peoples of North and South America, including central America, who maintains tribal affiliation or community attachment.</li> <li>3. <b>Asian:</b> A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.</li> <li>4. <b>Black or African American:</b> A person having origins in any of the black racial groups of Africa.</li> <li>5. <b>Native Hawaiian or Other Pacific Islander:</b> A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.</li> <li>6. <b>White:</b> A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.</li> </ol>
<b><u>Gender</u></b>	An employee's gender (male or female).
<b><u>General Schedule (GS) and related grade</u></b>	The GS grade for pay plans in the GS and Related pay plan category. GS and Related Grade is derived differently for the two groups that make up this category.
<i>General Schedule and identical pay plans</i>	The General Schedule and Related Grade is the actual grade of the pay plan. That is because these pay plans use the General Schedule grade structure to classify jobs.



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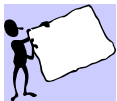
FEDSCOPE DATA	
<b><u>Other related pay plans</u></b>	The General Schedule and Related Grade will probably be something other than the actual grade of the pay plan. That is because these pay plans do not use the General Schedule grade structure to classify jobs. The General Schedule and Related Grade for these pay plans is derived from job analysis studies and/or algorithms that relate the grade and salary of other pay plans to the General Schedule and assign a General Schedule grade.
<b><u>Length of Service</u></b>	The number of years of Federal civilian employment and creditable military service. Length of service is grouped by five-year intervals, except for: a. the initial intervals of less than 1 year, 1-2 years, and 3-4 years and b. the final interval of 35 years or more.
<b><u>Location</u></b>	The official duty station of an employee. Locations in the United States are defined in terms of states and counties (or county equivalents). Locations outside the United States are defined in terms of countries and U.S. territories. Locations are summarized into three categories: 1. United States 2. U.S. Territories 3. Foreign Countries Detailed data are obtained by drilling down within a category. From the United States category, you can drill down to specific states. For security purposes, FedScope does not provide detailed location information for the: 1. Federal Bureau of Investigation (Justice Department) 2. Drug Enforcement Agency (Justice Department) 3. Bureau of Alcohol, Tobacco, and Firearms (Treasury/Treasury and Justice Department beginning in 2003) 4. Secret Service (Treasury/Homeland Security Department beginning in 2003); or 5. Bureau of the Mint (Treasury Department)
<b><u>Metropolitan statistical area (MSAs)</u></b>	The geographic area of an employee's official duty station, where the geographic area consists of a city and the surrounding counties (or portions of counties) that are economically and socially linked to that city, as defined by the Office of Management and Budget (OMB). Metropolitan statistical areas are grouped by name, plus a Not-an-MSA group. Data for a specific MSA are obtained by drilling down within the group. For security purposes, FedScope does not provide detailed location information for the: 1. Federal Bureau of Investigation (Justice Department) 2. Drug Enforcement Agency (Justice Department) 3. Bureau of Alcohol, Tobacco, and Firearms (Treasury/Treasury and Justice Department beginning in 2003) 4. Secret Service (Treasury/Homeland Security Department beginning in 2003); or 5. Bureau of the Mint (Treasury Department)
<b><u>Occupation</u></b>	An employee's occupation as defined by the Office of Personnel Management (OPM). Occupations are categorized by white collar and blue collar. Within these categories, occupations are further summarized by occupation families (i.e., the first two characters of the occupation code that identifies groups of related occupations). Data for specific occupations are obtained by drilling down within a category and family.
<b><u>Occupational Category</u></b>	Occupational categories are defined by the educational requirements of the occupation and the subject matter and level of difficulty or responsibility of the work. For a description of the occupational categories, see <i>The Guide to Personnel Data Standards</i> .
<b><u>Pay plan and grade</u></b>	The pay system and, where applicable, the grade used to determine an employee's basic pay rate. Grade denotes a hierarchical position in a pay plan and is sometimes referred to as level, class, rank, or pay band. Pay Plans are summarized into three categories that are each broken down into two additional categories. Data for specific pay plans are obtained by drilling down within a category. Data for specific grades are obtained by drilling down within a pay plan.
<i>GS and related</i>	
<i>GS and identical</i>	These pay plans use the General Schedule grade structure to classify jobs.
<i>Other related</i>	These pay plans do not use the General Schedule grade structure but their grades can be mapped to General Schedule grades.
<i>Prevailing rates</i>	
<i>Federal Wage System (FWS)</i>	These pay plans are covered by the Federal Wage System (FWS). The FWS covers most blue collar employees, who are paid at rates prevailing in the localities where they work.
<i>Other prevailing rate</i>	These pay plans are prevailing rate but outside the FWS.
<i>Other</i>	
<i>Government-wide or multi-agency</i>	These other pay plans are used by more than one agency.
<i>Single agency</i>	These other pay plans are used by only one agency.



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FEDSCOPE DATA	
<b>Salary level</b>	An employee's adjusted basic pay, which is an annualized rate of pay. Adjusted basic pay is the sum of an employee's rate of basic pay plus any locality comparability payment and/or special pay adjustment for law enforcement officers. Salaries are grouped by \$10,000 intervals, except for an initial interval of less than \$20,000 and a final interval of \$180,000 or more. An employee's actual earnings may be more or less than the annualized rate because of factors such as overtime, shift differentials, less than full time work, or leave without pay.
<b>Separations</b>	A personnel action resulting in the loss of an employee from an agency's staff. For the purposes of FedScope, furloughs, suspensions, leave without pay, and placement in non-pay status for seasonal employees are excluded. The following types of separations are included.
<i>Transfers-out</i>	Movement of a single employee, or group of employees, to another agency with a break in service of 3 days or less.
<i>Individual transfer</i>	Transfer-out of an individual employee.
<i>Mass transfer</i>	Transfer-out of a group whose function was moved to another agency.
<i>Quits</i>	Voluntary resignation by an employee, abandoning one's position, joining the military, or failing to return from military furlough. Quits also include separations by the agency if an employee declines a new position or relocation.
<i>Retirements</i>	Separation entitling employee to immediate annuity.
<i>Voluntary</i>	Employee meets minimum age and service requirements for optional retirement.
<i>Early out</i>	Employee does not meet the minimum age and service requirements for optional retirement, but meets reduced age and service requirements for early retirement.
<i>Disability</i>	Employee is found to be disabled and meets the service requirement for disability retirement.
<i>Other</i>	Employee is involuntarily separated and meets age and service requirements for discontinued service retirement, or employee attains age requiring mandatory retirement.
<i>Reductions in force (RIF)</i>	Employee separation resulting from lack of work or funds, abolition of position or agency, or personnel ceiling restrictions. Employees who resign after receipt of a RIF notice are included in this number.
<i>Termination or removal (expired appointment/ other)</i>	Termination of a nonpermanent employee due to expiration of appointment, work, or funds. This category includes terminations for some re-employed annuitants and Excepted Service employees.
<i>Termination or removal (discipline/ performance)</i>	Employee removal based on misconduct, delinquency, suitability, unsatisfactory performance, or failure to qualify for conversion to a career appointment. Includes those who resign upon receiving notice of action based on performance or misconduct.
<i>Death</i>	Employee loss of life.
<i>Other separations</i>	Separations not classified in one of the categories above.
<b>Type of appointments</b>	An employee's appointment in terms of permanence and competitiveness. Appointments are summarized into two categories: 1. Permanent 2. Non-permanent Data for specific types of appointments (competitive, excepted, and senior executive service) are obtained by drilling down within a category.
<b>Work schedule</b>	The time basis on which an employee is scheduled to work. Work schedules are summarized into two categories: 1. Full-time 2. Not Full-time Data for specific work schedules are obtained by drilling down within a category.

\* Source: DOT Workforce Analysis Handbook, Feb 2008



**WORKSHEET: SELECT GAP CLOSURE ACTIVITIES**

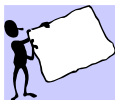
To select Gap Closure Activities, the OA should consider organizational changes including, for example:

♦ What are the greatest opportunities to reduce labor costs?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW
♦ What imbalances exist among grade levels or staff mix?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW
♦ Are there opportunities for increased reliance on contractors or outsourcing?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW
♦ Are there opportunities to reorganize based on this data?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW



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◆ Are adequate controls in place to limit labor cost escalation?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW
◆ Which area poses the greatest risk to your business operations?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW
◆ Are there opportunities to retrain or redeploy the existing workforce to meet future business requirements?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW
◆ Which jobs are of highest importance, most rare and most difficult to replace? Jobs with few incumbents?	<b>IMPACT OF TAKING ACTION</b>
	HI MED LOW



**TEMPLATES: DISPLAYING “SUPPLY” DATA**

OPERATING ADMINISTRATION WORKFORCE PLAN TEMPLATE	
OPERATING ADMINISTRATION:	POINT OF CONTACT:
<p><b>I. INTRODUCTION</b> <i>(General comments from the Head of the Operating Administration.)</i></p> <p><b>II. MAJOR ORGANIZATIONAL MISSIONS / STRATEGIES / OBJECTIVES</b> <i>(from the Performance Agreement) that the Workforce Plan supports<sup>2</sup>.</i></p> <p><b>III. CRITICAL SUCCESS FACTORS</b></p> <p><b>IV. STAFFING DATA<sup>3</sup></b> <i>(Based on three year projections with annual updates and evaluation)</i></p> <ul style="list-style-type: none"> <li>A. Demand Data</li> <li>B. Supply Data</li> </ul> <p><b>V. GAP ANALYSIS</b></p> <ul style="list-style-type: none"> <li>A. Identification of gaps and surpluses</li> <li>B. Critical skills analysis</li> <li>C. Analysis of at risk occupations</li> </ul> <p><b>VI. IDENTIFY AND DEVELOP STRATEGIES TO RESOLVE GAPS AND SURPLUSES</b></p> <ul style="list-style-type: none"> <li>A. Budget Formation and Coordination</li> <li>B. Key Milestones (Action plan with schedule)</li> <li>C. Accountabilities/contingencies</li> <li>D. Integration Issues (collateral issues both internally and intermodal)</li> <li>E. Communication plan</li> </ul>	
STAFFING DATA for MISSION CRITICAL OCCUPATIONS MINIMUM REPORTING CRITERIA <i>(Workforce Planning Template)</i>	
<p><b>Demographics</b></p> <ul style="list-style-type: none"> <li>– Age</li> <li>– Years of Service (YOS)</li> <li>– Education/Certifications (optional)</li> <li>– Grade level</li> <li>– Retirement eligibility</li> <li>– Turnover/Attrition rates</li> <li>– Gender, Ethnicity, and Persons with Disabilities, geographic distribution of Race/Ethnic Groups</li> <li>– Veterans</li> </ul>	

<sup>2</sup> Keep in mind projected changes such as leadership, mission, technology, and labor market.

<sup>3</sup> Address projections on mission critical occupations and competencies (See attached minimum criteria).



**Competitive Sourcing Information**

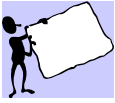
- Results of Fair Act Inventories

**E-Government/Technology Considerations**

**Impact of Retirement Systems (FERS/CSRS)**

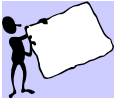
**Competencies (mission critical occupations)**

- Competency sets for occupations (macro level) or individual (micro level)



## WORKSHEET: “DEMAND” ANALYSIS

Assess the likelihood of the following factors and the impact they might have on the future workforce skill requirements:	
Workforce Factor	Impact on Workforce Requirements
<input type="checkbox"/> Changing Goals	
<input type="checkbox"/> Changed Strategies	
<input type="checkbox"/> Changes in Technology	
<input type="checkbox"/> Changes in Work Processes	
<input type="checkbox"/> Relocation of Work	
<input type="checkbox"/> Will new programs be added or old programs deleted?	
<input type="checkbox"/> Will the way the work is being done need to change?	
<input type="checkbox"/> Will technology change jobs and workload?	
<input type="checkbox"/> Will economic, social or political conditions impact the availability of talent?	
<input type="checkbox"/> Do you anticipate increases or decreases in the number of employees needed to do any specific type of work?	



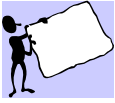
## TEMPLATE: WORKFORCE PROFILE

### Workforce Profile\*

ALL OA	FY xxxx
Total Number On Board	
Average Age	
Average Years of Service	
Average Grade	
Average Salary (\$000) <sup>4</sup>	
Supervisor and Manager	
Women	
All Minorities	
Employees with Disabilities	
Employees with Targeted Disabilities	
Veterans	
Eligible to Retire	

\* All Strength counts and averages should include SES/equivalents (except average grade)

<sup>4</sup> This includes the sum of adjusted basic pay plus any administratively uncontrollable overtime (AUO) pay, availability pay, retention allowance, or supervisory differential after taking into account all pay caps that may be applicable. (WASS User Manual, Appendix A)



**TEMPLATE: AGE DISTRIBUTION**

*Strength by Age Category (FY 1999-2006)*

Age Category	FY 99	FY 04	FY 05	FY 06	% Difference FY 99 & 06
60+					
55-59					
50-54					
45-49					
40-44					
35-39					
30-34					
25-29					
20-25					
<25					
<b>Total Strength (all ages)</b>					

*Mission Critical Occupations by Average Age*

Mission Critical Occupation	Average Age Current Yr	Average Age Previous Yr
Community Planning		
Engineering		
Financial Management		
Information Technology		
Legal		
Physical Sciences		
Program Management		
Transportation Industry Analyst		
Transportation Safety Specialist		
Transportation Specialist		





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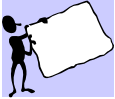
*Employees Eligible for Retirement*

Eligibility Point	Number of Employees <sup>5</sup>	% of total workforce
<b>CSRS</b>		
Age 55 + 30 YOS		
Age 60 + 20 YOS		
Age 62 + 5 YOS		
<b>FERS</b>		
Age 55 + 10		
Age 62 + 5 YOS		
<b>Total Eligible</b>		
Median retirement age: xx		

*Retirement Eligibility by SES, Manager/Supervisor and DOT MCO*

	% Eligible to Retire	Total Category Strength
SES		
Manager/ Supervisor		
		<b>MCO</b>
Program Management		
Transportation Industry Analyst		
Legal		
Engineering		
Transportation Specialist		
Physical Scientist		
Information Technology		
Community Planning		
Financial Management		
Transportation Safety		

<sup>5</sup> Employees that are eligible for early retirement are not included in this count.



**TEMPLATE: LEADERSHIP PIPELINE DEMOGRAPHICS**

*Leadership Pipeline Demographics: Gender and Race/National Origin*

(Permanent Employees, Snapshot for period ending September, FY xx)

Grade	Male	Females	American Indian/ Alaskan Native	Asian/ Pacific Islander	Black, not of Hispanic Origin	Hispanic	White, not of Hispanic Origin	Not Specified
12								
13								
14								
15								
SES								

*Leadership Pipeline Demographics: Gender and Race/National Origin*

(Permanent Employees, Snapshot for period ending 09/30/YEAR)

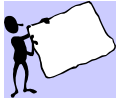
Grade	Male	Females	American Indian/ Alaskan Native	Asian/ Pacific Islander	Black, not of Hispanic Origin	Hispanic	White, not of Hispanic Origin	Not Specified
12								
13								
14								
15								
SES								



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*Race, National Origin, and Gender Representation of Managers and Supervisors*

	Manager/ Supervisor	% of Manager/ Supervisor	Change Since Prev Yr	% of OA population	SES Strength	% of SES	Change Since Prv. Yr	% of OA- wide population
<b>FEMALE</b>								
American Indian/ Alaskan Native								
Asian/ Pacific Islander								
Black, not of Hispanic origin								
Hispanic								
White, not of Hispanic Origin								
<b>Total Female</b>								
<b>Previous Year</b>								
<b>MALE</b>								
American Indian/ Alaskan Native								
Asian/ Pacific Islander								
Black, not of Hispanic origin								
Hispanic								
White, not of Hispanic Origin								
<b>Total Male</b>								
<b>Previous Year</b>								
Not Specified								
<b>Total</b>								



**TEMPLATES: DEMOGRAPHICS**

*Employee Representation by Grade by Race/National Origin*

Grade	Male	Females	American Indian/ Alaskan Native	Asian/ Pacific Islander	Black, not of Hispanic origin	Hispanic	White, not of Hispanic Origin	Not Specified*
0								
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
SES **								
Wage								
Unspecified Grade								
<b>Total</b>								
<b>Average Grade</b>								



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\* Coded "other" in data files \*\* Represents SES and equivalents  
*Representations by Gender/RNO by Grade*

Grade	Male	Females	American Indian/ Alaskan Native	Asian/ Pacific Islander	Black, not of Hispanic origin	Hispanic	White, not of Hispanic Origin	Not Specified*
0								
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
SES **								
Wage								
Unspecified Grade								
Total								
Average Grade								

*Race, National Origin and Gender*

Race/ National Origin	Total Strength	% of Total Strength	Total Strength	% of Total Strength	Total Strength	% of Total Strength	% Change	% of Federal workforce (YR) <sup>6</sup>	% of Civilian Workforce (YR) <sup>7</sup>
	Current Year		Current Yr - 1		Current Yr -2				
American Indian/Alaskan Native									
Female									
Male									
Asian/Pacific Islander									
Female									
Male									
Black, not of Hispanic origin									
Female									
Male									
Hispanic									
Female									
Male									
White, not of Hispanic Origin									
Female									
Male									
Not Specified									
Total									

<sup>6</sup> EECO Annual Report, June 2006

<sup>7</sup> Source: Bureau of Labor Statistics Data for 2005 (<http://data.bls.gov/PDO>). BLS data were used in lieu of Census data because they are more frequently updated and reflect population available to work rather than the entire domestic population.



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*Veterans by Gender and Disability Status*

Equiv Grade	Total Strength	Supv/Mgr Strength		Female		Male		PWD*	
		Number	%	Number	%	Number	%	Number	%
SES									
15									
14									
13									
12									

\* Persons with Disabilities



## 4. EVALUATING EFFECTIVENESS

High-performing organizations recognize the fundamental importance of measuring both the outcomes of human capital strategies and how these outcomes have helped the organizations accomplish their missions and programmatic goals. Performance measures, appropriately designed, can be used to gauge two types of success: (1) progress toward reaching human capital goals and (2) the contribution of human capital activities toward achieving programmatic goals.<sup>25</sup> Identifying both types of measures, and discussing how the agency will use these measures to evaluate the strategies before it starts to implement the strategies, helps agency officials think through the scope, timing, and possible barriers to evaluating the workforce plan<sup>xxv</sup>

### 4.1 IMPROVE EFFICIENCY, EFFECTIVENESS, AND PRODUCTIVITY

Workforce Planning is a continuous process of forecasting, clarifying and identifying organizational workforce needs, assessing competencies, and implementing appropriate interventions. As such, the process should be continuously evaluated to determine how well each of its component parts are functioning and where adjustments are needed.

Updating and revising the plan annually “restarts” the process. The senior management sponsor and oversight group should consider a number of questions:

- Have conditions changed such that strategies need to be revisited?
- Have the strategies upon which the workforce plan is based changed?
- Is another staffing assessment needed for the next year?
- Are the assumptions of the demand and supply models still valid?
- Did the action plan accomplish what was needed?
- Is there a need to modify the planning methodology?
- Is there a need to modify our approach to implementation?

Data collection strategies such as customer satisfaction inventories, program progress reviews, effective placement and development inventories, are a few ways organizations can measure how workforce planning contributes to organizational results.

The planning process should serve the organization’s needs, and is not an end in itself. If, in the middle of the normal cycle, conditions change significantly, there should be no hesitation to modify the plan and its strategies accordingly. A variety of government tools and goals is available to measure the effectiveness of the workforce planning process and its ultimate objective: the effectiveness of the Federal workforce.

### 4.2 GUIDANCE

In developing workforce plans, OAs should review existing reports and guidance to identify areas for attention and insure that planned activities to recruit, develop, and retain the workforce are aligned with and can be measured against standard definitions of results. Federal Agencies are adopting standardized metrics Government – wide, including<sup>xxvi</sup>:

#### Time to Fill

- Internal or External Days to Fill
- Internal or External Add + Replacement Hires



### Turnover Costs

- *Per Employee*: Cost of benefits + training+ hiring replacement+ on boarding
- *Total Separation Rate*: Voluntary + Involuntary Separation
- (Full + Part-time Headcount)

### Skill Gap Rate

- 5-year 'look-ahead' skill gap
- 5-year 'look-ahead' requirements

### “Fresh-out” Hiring

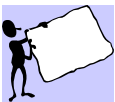
- Percent of recent college graduates: 35 percent (ideal)

### Supervisory Ratio

- Ratio of supervisors to direct reports: 1:10 (ideal)

### Bench Strength Ratio

- **Ratio of trained or in-training employees that could fill a vacant leadership role:**
- 3:1 (suggested!); ratios such as 10:1 or 1:1, for example, would reveal the need to adjust or reallocate training resources
- **FTE/FTP** Several agencies track FTE and FTP levels across component organizations as well as employee demographics to understand hiring and separation.



## RESOURCES: EVALUATING WORKFORCE PLANS



## QUICK LINKS

Specific workforce goals and metrics:

*HR accountability reports*

[https://www.opm.gov/hcaaf\\_resource\\_center/assets/hcaaf\\_ssm.pdf](https://www.opm.gov/hcaaf_resource_center/assets/hcaaf_ssm.pdf)

*OPM's Key Elements of a Workforce Planning System*

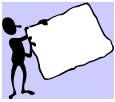
[http://www.opm.gov/hcaaf\\_resource\\_center/3-4.asp](http://www.opm.gov/hcaaf_resource_center/3-4.asp)

*DOT Performance and Accountability Reports*

*HR Flexibilities and Authorities Handbook*

<https://www.opm.gov/omsoe/hr-flex/>

Additional guidance and resources are available from the Government Accountability Office (GAO); the Merit Systems Protection Board; Office of Personnel Management (OPM); and non-profit organizations such as NAPA and the Partnership for Public Service. See APPENDIX A: FOR FURTHER READING for a listing of some of these resources.



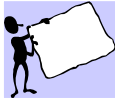
## WORKSHEET: KEY ELEMENTS OF A WORKFORCE PLANNING SYSTEM

The HCAAF Practitioner's Guide (United States Office of Personnel Management, September 2005) outlines the key elements necessary for a workforce plan as required in the IMPLEMENTING REGULATIONS FOR THE CHIEF HUMAN CAPITAL OFFICERS' ACT.. This worksheet can be used to record where and to what extent your OA's workforce plan meets the requirements for key elements.

THE OPERATING ADMINISTRATION'S WORKFORCE PLANNING SYSTEM INCLUDES A WORKFORCE ANALYSIS PROCESS THAT:
<b>Identifies mission-critical occupations and competencies essential to achieving strategic goals</b>
<input type="checkbox"/> Positions identified as Mission Critical: <input type="checkbox"/> Competency assessments launched for all MCOs: <input type="checkbox"/> Participation in competency analysis of government-wide mission critical job families (i.e., Leaders, information technology (IT) professionals, Human Capital professionals, Acquisition professionals) <ul style="list-style-type: none"> <li><input type="checkbox"/> Most recent assessment for each MCO</li> <li><input type="checkbox"/> percent participation for each MCO</li> <li><input type="checkbox"/> Increase/decrease in competencies since previous assessment:</li> </ul>
Attrition patterns for mission-critical positions <input type="checkbox"/> Tracked? <input type="checkbox"/> Issues flagged? <input type="checkbox"/> Operating plans and goals to address issues? <input type="checkbox"/> Collects data on the size and projected requirements for MCO's
<b>Uses workforce planning reports and studies in conjunction with the best practice benchmarks to determine the most effective work levels, workloads, and resources for efficient functioning</b>
<input type="checkbox"/> Bases decisions related to restructuring, redeployment, and reorganization on current empirical and workforce analysis <input type="checkbox"/> Examples:
<b>Conducts risk assessments to minimize adverse impacts on workforce due to restructuring</b>
<input type="checkbox"/> Examples?
<b>Documents and assesses key supporting functions of all business areas</b>
<input type="checkbox"/> Voluntary Early Retirement Authority (VERA)/Voluntary Separation Incentive Payments (VSIP) are based on documented evaluation of effective structures and required ratios of supervisors and managers to employees based on the nature and geographic location of work? Evidence? <input type="checkbox"/> Competitive sourcing as a workplace tool is designed in a joint effort between the (Competitive Sourcing) Procurement and Human Capital functions. Evidence/examples?
<b>Regularly evaluates customer/citizen needs and incorporates these needs into workforce plans, organizational goals, and functions</b>
<input type="checkbox"/> Describe
<b>Forecasts future business changes in the work of the Department and how the changes will affect the workforce</b>
<input type="checkbox"/> How are business changes forecast, and by whom? <input type="checkbox"/> How are additional strategic goals of the OA reflected in Plan Updates?
<b>Regularly tracks established performance measures, workforce trends, and technological advances to ensure updated models for meeting citizen and organization needs</b>
<input type="checkbox"/> How/ Specific data sources relevant to the OA workforce?







## WORKFORCE ANALYSIS METRICS WORKSHEET

### HUMAN CAPITAL ASSESSMENT AND ACCOUNTABILITY DASHBOARD

	DOT STRATEGIC GOALS	Strategic Alignment	Leadership and Knowledge Management	Results Oriented Performance Culture	Talent Management	Accountability
		Measures agency's human capital focused/working directly toward strategic objectives	Measures agency leadership effectiveness (e.g., flat or tall org structure, succession planning)	Measures how the agency gets human capital to focus on results	Measures the agencies ability to attract and retain top talent	Measures the ability of the agency to use human capital cost effectively to achieve agency goals
Vision	Safer, Simpler, Smarter Transportation Solution					
Mission	<p><b>To develop and administer policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with the national objectives of general welfare, economic growth and stability, the national security, and the efficient use and conservation of the resources of the U.S.</b></p>	<ul style="list-style-type: none"> <li>- Ratio of MCO FTE/Cost to total FTE</li> <li>- Employee Commitment Measure</li> <li>- Employee Engagement Measure</li> </ul>	<ul style="list-style-type: none"> <li>- HC Survey - Leadership (11 Questions – 39-49)</li> <li>- HC Survey – Knowledge Management (9 Questions – 50-58)</li> </ul>	<ul style="list-style-type: none"> <li>- HC Survey – Results Oriented Performance Culture (16 Questions – 23-38)</li> <li>- HC Survey – Personal Work Experience (11 Questions – 1-11)</li> <li>- Organization Results Metric (Score for Competency Gaps Closed for Management and Leadership)</li> <li>- Organization Results Metric (Score for Competency Gaps Closed for Mission Critical Occupations)</li> <li>- Merit System Metric (An assessment score given by OPM for compliance with merit system principles and related laws, rules, regulations governing the Results Oriented Culture)</li> </ul>	<ul style="list-style-type: none"> <li>- HC Survey – Talent Management (13 Questions (12-22)</li> <li>- HC Survey – Employee Job Satisfaction (9 Questions (59-70)</li> <li>- Diversity Index (Measures the OA 's level of staff diversity)</li> <li>- Manager Satisfaction Rate (Quantity, Quality and Timeliness of Candidates Filling Vacant Positions)</li> <li>- Demographic Trends (Age, Gender, Race, MCO Skills, Disabled, Veterans)</li> </ul>	<ul style="list-style-type: none"> <li>- SES Organization Metric (Relationship between SES performance ratings and accomplishment of the agency's strategic goals)</li> <li>- Organization Metric – Workforce Performance (Degree of linkage between all employees' performance appraisal plans and agency outcomes)</li> <li>- Ratio of total cost of agency human capital to total US population. [Workload driver]</li> <li>- FHWA—Ratio of FTE/FTE Cost to number of motor vehicles to miles of national highway</li> <li>- FMCSA—Ratio of FTE/FTE Cost to number of motor carriers</li> <li>- FRA could compare to number of rail trips</li> </ul>



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HUMAN CAPITAL ASSESSMENT AND ACCOUNTABILITY DASHBOARD

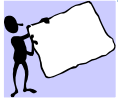
	DOT STRATEGIC GOALS	Strategic Alignment	Leadership and Knowledge Management	Results Oriented Performance Culture	Talent Management	Accountability
Safety	Enhance public health and safety by working toward the elimination of transportation related deaths and injuries.	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade whose primary job function is safety (Top three job functions?)</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade 13 and higher whose primary job function is safety</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of employees who have employee goals linked to organizational safety results</li> <li>Percentage of Performance Appraisals above Fully Satisfactory who have a safety goal</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of new hires (within 1 year) whose primary job function is safety</li> </ul>	<ul style="list-style-type: none"> <li>Ratio of total human capital cost to number of transportation related deaths and injuries (track trends-annually)</li> <li>Ratio of number of total FTE to number of transportation related deaths and injuries (track trends-annually)</li> </ul>
Security	Balance homeland and national security transportation requirements with the mobility needs of the Nation for personal travel and commerce	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade whose primary job function is security</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade 13 and higher whose primary job function is security</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of employees who have employee goals linked to organizational security results</li> <li>Percentage of Performance Appraisals above Fully Satisfactory who have a security goal</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of new hires (within 1 year) whose primary job function is security</li> </ul>	<ul style="list-style-type: none"> <li>Ratio of number of total FTEs to number of security positions</li> </ul>
Mobility	Advance accessible, efficient, intermodal transportation for the movement of people and goods.	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade whose primary job function is address mobility issues</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade 13 and higher whose primary job function is to address mobility issues</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of employees who have employee goals linked to organizational mobility results</li> <li>Percentage of Performance Appraisals above Fully Satisfactory who have a mobility results goal</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of new hires (within 1 year) whose primary job function is to address mobility issues</li> </ul>	<ul style="list-style-type: none"> <li>Congestion measures</li> <li>Travel Accidents (Air/Rail/Highway)</li> </ul>
Global Connectivity	Facilitate a more efficient domestic and global transportation system that enables economic growth and development	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade whose primary job function is address global connectivity issues</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade 13 and higher whose primary job function is to address global connectivity issues</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of employees who have employee goals linked to organizational global connectivity results</li> <li>Percentage of Performance Appraisals above Fully Satisfactory who have a global connectivity results goal</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of new hires (within 1 year) whose primary job function is to address mobility issues</li> </ul>	<ul style="list-style-type: none"> <li>Success Rate (Number of sessions/conferences sponsored or facilitated or coordination of educational issues/publications on these issues)</li> </ul>



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HUMAN CAPITAL ASSESSMENT AND ACCOUNTABILITY DASHBOARD

	DOT STRATEGIC GOALS	Strategic Alignment	Leadership and Knowledge Management	Results Oriented Performance Culture	Talent Management	Accountability
Environmental Stewardship	<b>Promote transportation solutions that enhance communities and protect the natural and built environment.</b>	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade whose primary job function is address environmental stewardship issues</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of FTE by MCO by grade 13 and higher whose primary job function is to address environmental stewardship issues</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of employees who have employee goals linked to organizational environmental stewardship results</li> <li>Percentage of Performance Appraisals above Fully Satisfactory who have a environmental stewardship results goal</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of new hires (within 1 year) whose primary job function is to address environmental stewardship issues</li> </ul>	<ul style="list-style-type: none"> <li>Degree OA was responsible for reducing carbon emissions</li> <li>Sustainability Rating on PSI index or some other index</li> </ul>
Organizational Excellence	<b>Advance the Department's ability to manage for results and achieve the goals of the President's Management Agenda.</b>	<ul style="list-style-type: none"> <li>Employee Percentage at Risk - Measure of likelihood of employee leaving the organization</li> <li>OMB HC Measures</li> </ul>	<ul style="list-style-type: none"> <li>Percentage eligible to retire by grade</li> <li>Percentage eligible to retire by role</li> <li>Ratio of number of supervisors to employee</li> <li>Ratio of cost of leadership salary dollars (GS 13 and above) to the cost of other employees ratio</li> </ul>	<ul style="list-style-type: none"> <li>Number of qualified applicants per position</li> <li>Time to fill vacancies</li> <li>Percentage of workforce that received an incentive award</li> <li>Percentage of workforce routinely working in a self-managed, cross-functional, or project team</li> <li>Ratio of EEO complaints to the total workforce</li> <li>Number of Adverse Actions</li> <li>Number of Grievances</li> </ul>	<ul style="list-style-type: none"> <li>Percentage of jobs filled from within</li> <li>Percentage of workforce covered by a union contract</li> <li>Employee turnover</li> <li>Number of hours of training per new employee (less than 1 year)</li> <li>Number of hours of training per experienced employee</li> <li>Ratio of government salary to private sector salary for similar work</li> <li>Time to fill</li> <li>Fill Rate (new hires to vacant positions ratio)</li> <li>Percent vacant positions</li> <li>Percent positions vacated – includes departures from OA and transfers within DOT</li> <li>Ratio: Terminations/ overall Head count</li> <li>Overtime trends</li> <li>Absenteeism (sick leave, vacation, accumulated leave, use or lose)</li> </ul>	<ul style="list-style-type: none"> <li>Number of employees per HR professional</li> <li>Percentage of HR budget spent on outsourced HR activities</li> <li>Percentage of total OA budget spent on recruiting</li> <li>Percentage of HR budget spent on recruiting</li> <li>Percentage of total budget spent on training and development</li> <li>Percentage of total budget spent on incentives</li> <li>Average salary per employee</li> <li>Ratio of OWCP claims to the total workforce</li> <li>Total Value of Performance Awards</li> </ul>
Other						



## DRAFT OPM WORKFORCE PLANNING PROCESS DEVELOPMENT TIMELINE

This is a guide. OAs may modify tasks and working days based on individual needs.

Major WF Planning STEPS and related tasks	REQMT	Resources
<b>Set strategic direction by linking the workforce planning process with the agency's strategic plan, annual performance/business plan, and work activities</b>	<b>30 days</b>	
<i>Tasks</i> <ul style="list-style-type: none"> <li>Obtain leadership commitment to include champion at executive level</li> <li>Set mission, vision, and objectives</li> <li>Set measures for organizational performance</li> <li>Position HR as strategic partner</li> </ul>	15 days 15 days	Key players within the organization and among customers
<b>Analyze workforce data and identify skill gaps by analyzing the current workforce and then compare needs against available skills</b>	<b>24 days</b>	
<i>Tasks</i> <ul style="list-style-type: none"> <li>Analyze demographics, workforce projections, workforce trends, workforce diversity, educational pipelines</li> <li>Analyze future needs and create future workforce profile</li> <li>Identify gaps with current workforce/workload</li> <li>Conduct competency assessments</li> </ul>	6 days 6 days 12 days	<i>Tools:</i> Central Personnel Data Files, EHRI, Internal Surveys, Current Population Survey Information
<b>Develop Action Plan to identify strategies to close gaps, plans to implement the strategies and measures to assess strategic progress</b>	<b>73 days</b>	
<i>Tasks</i> <ul style="list-style-type: none"> <li>Review mission, strategy, and trend data to develop competency list</li> <li>Work with senior agency and program leadership to refine and select strategic competencies</li> <li>Review positions to identify where those competencies are exhibited/required</li> <li>Develop plan to close competency gaps</li> <li>Create strategies, implementation actions, and timelines to close the gaps</li> <li>Identify critical success factors, measures, and risks</li> <li>Develop HR/HC infrastructure and program support to implement the actions</li> <li>Develop communications strategy</li> </ul>	5 days 30 days 4 days 15 days 4 days 2 days 10 days 3 days	<i>Possible Strategies:</i> <ul style="list-style-type: none"> <li>Outreach, recruiting, and selection</li> <li>Performance mgt</li> <li>Professional develop</li> <li>Retention</li> <li>Work intervention</li> <li>Outsourcing</li> <li>Process redesign</li> </ul>
<b>Implement by ensuring human and fiscal resources are in place, roles are understood, and the necessary communication and coordination is occurring to execute the plan &amp; achieve strategic objective</b>		
<i>Tasks</i> <ul style="list-style-type: none"> <li>Communicate the workforce plan</li> <li>Gain Organizational buy-in</li> <li>Top level buy-in</li> <li>Pilot Initiative</li> <li>Revise based on pilot</li> <li>Recruitment, hiring, placement and retention</li> <li>Succession planning</li> <li>Restructuring where necessary</li> </ul>	2 days 10 days 68days 10 days	
<b>Monitor and evaluate by assuring linkage to accountability system and processes</b>	<b>49 days</b>	
<ul style="list-style-type: none"> <li>Assess success, lessons learned, and failures against the measure/timelines</li> <li>Make adjustments</li> <li>Address new workforce and organizational issues</li> <li>Monitor progress against milestones</li> <li>Assess for continuous improvement purposes</li> <li>Adjust the plan to make course corrections and address new workforce issues</li> </ul>	4 days 15 days Continue 30 days	

### Workload Assumptions

1. Work load requirements based on 8-9 hour work days, not calendar days.
2. Workload requirements based on estimates for large agency at the
3. Department level.
4. There will be variation in time to accomplish tasks due to following:
  - ✓ Executive interest and message to agency, workgroup, etc.
  - ✓ Expertise in workforce planning
  - ✓ Size of agency

Source: Office of Personnel Management



## GLOSSARY

Human Capital Term	Definition
<b>Career Ladder</b>	A hierarchy of jobs consisting of series of more complex duties and responsibilities within a general occupational area.
<b>Chief Human Capital Officers Act of 2002 (CHCO Act)</b>	Title 13 of the Homeland Security Act. The Act establishes Chief Human Capital Officers (CHCO) in agencies, the Chief Human Capital Officers Council led by the Director of OPM, strategic human capital management systems, the relationship of strategic human capital management to agency performance plans and reports, and human resources flexibilities. It clarifies management accountability for managing human resources.
<b>Chief Human Capital Officers Council (CHCOC)</b>	Advises and coordinates activities on the modernization of human resources systems, discusses the impact of legislation affecting human resources operations and organizations, improves the quality of human resources information, and submits an annual report to Congress on its activities.
<b>Commercial Activity</b> (See: <b>Inherently Governmental Activity</b> )	<ul style="list-style-type: none"> <li>- May currently be performed by private sector or government employees, or a combination of both</li> <li>- Involves limited decision making authority               <ul style="list-style-type: none"> <li>- Example test: Limited (one or two) possible courses of action</li> <li>- Example test: Does not involve value judgments</li> </ul> </li> <li>- Example commercial functions               <ul style="list-style-type: none"> <li>- Mail Distribution (e.g., Mail and Files Clerk)</li> <li>- Custodial Services (e.g., Janitor)</li> </ul> </li> <li>- Identified on annual FAIR Act inventory if currently performed by government employees</li> </ul>
<b>Competency</b>	An observable, measurable set of skills, knowledge, abilities, behaviors, and other characteristics an individual needs to perform successfully work roles or occupational functions. Competencies are typically required at different levels of proficiency depending on the specific work role or occupational function. Competencies can help ensure individual and team performance aligns with the organization's mission and strategic direction.
<b>Gap Analysis</b>	An analysis of the gap between requirements that are met and not met; a deficiency assessment.
<b>Human Capital Assessment and Accountability Framework (HCAAF)</b>	The OPM Framework allows agencies to self-assess their performance by (1) applying a common framework with agreed-upon standards for success, (2) determining where their strengths and weaknesses lie, and (3) linking to a library of resources, information, and other support to make and track continual improvements.
<b>Human Capital</b>	Refers to the education, knowledge, skills, and competencies of the personnel of an agency.
<b>Inherently Governmental Activity</b>	<ul style="list-style-type: none"> <li>- May only be performed by government employees</li> <li>- Requires discretionary judgment in decision making               <ul style="list-style-type: none"> <li>- Example test: More than two courses of action</li> <li>- Example test: Making value judgments</li> </ul> </li> <li>- Involves application of statutory authority</li> <li>- Examples               <ul style="list-style-type: none"> <li>- Policy making (e.g., Agency Director)</li> <li>- Enforcement of federal statute (e.g., Federal Law Enforcement Officer)</li> <li>- Obligation of funds (e.g., CFO)</li> </ul> </li> <li>- Identified on annual inherently governmental inventory</li> </ul>
<b>Leadership and Knowledge Management System</b>	A system that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.
<b>Mission Critical Occupations</b>	Occupations agencies consider core to carrying out their missions. Such occupations usually reflect the primary mission of the organization without which mission-critical work cannot be completed.
<b>Performance Appraisal</b>	Any system of determining how well an individual employee has performed during a period of time, frequently used as a basis for determining merit increases.
<b>Performance Culture</b>	Information related to agency efforts to achieve a diverse, results-oriented, high performing workforce, with a performance management system that effectively differentiates between high and low performance, and links individual/team/unit performance to organizational goals and desired results.
<b>Restructuring</b>	Change in the organization of an agency by altering agency management structure.
<b>Fact-based Decision</b>	Decisions made using objective data such as those involving direct observation and calculations.
<b>Skill gap</b>	Identified skills, abilities, or knowledge that are below the level needed to perform job.



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Human Capital Term	Definition
<b>Skill Imbalance</b>	A skill imbalance (shortage/surplus) occurs when the quantity of a given skill supplied by the workforce and the quantity demanded by employers diverge.
<b>Staffing</b>	Personnel required for a program or a project.
<b>Staffing Level</b>	The quantity of manpower assigned to work.
<b>Alignment (strategic)</b>	The positioning of the human capital system's policies, practices, and strategies in relationship to the agency's strategic plan and performance plan, so what is done in the system is in direct support of the agency's mission, goals, and objectives.
<b>Strategic Management of Human Capital</b>	The active alignment of the talent, energy, knowledge, and enthusiasm that people invest in their work, with the strategic objectives of the organization. (Jeanne DiFrancesco, ProOrbis ) Leaders and managers can maximize their human capital assets by leading from the perspective that human capital produces sustained advantage; and by actively advancing the relationships among strategy, organizational design, deployment of talent, and results.
<b>Strategic Objective</b>	A measurable outcome or end state relating directly to the agency mission statement. Strategic objectives typically have one or more associated performance measures.
<b>Strategic Plan, Agency</b>	A formal description of how an agency will carry out its mission over a period of time. The strategic plan must include the agency's mission, its strategic goals, the strategies to be used to achieve the goals (including workforce adjustments, staff skills, and human resource programs), a description of the relationship between annual program performance goals and the agency's strategic framework, key factors that could affect achievement of strategic goals, and a description of program evaluations used in preparing the strategic plan. GPRR requires agencies to develop and maintain strategic plans covering a 5-year period; the plan is updated every 3 years. See <i>Green (Strategic) Competition Plan</i>
<b>Strategic Human Capital Plan</b>	A plan that sets forth how the agency's human capital management strategies will be aligned with the agency's mission, goals, and objectives through analysis, planning, investment, and management of human capital programs. Broadly stated, the plan describes what the agency will do to ensure its employees have the mission-critical competencies required to carry out the agency's strategic goals. This includes workforce planning and deployment, including succession planning; recruiting and retaining talent; achieving performance goals; and addressing unique programmatic challenges. See <i>Green (Strategic) Competition Plan</i>
<b>Succession Strategy</b>	Systematic approaches to ensuring a continuous supply of the best talent through helping individuals develop potential.
<b>Talent</b>	A person who possesses unusual innate ability in some field or activity.
<b>Talent Management System</b>	A system that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.
<b>Workforce Plan</b>	A methodical process of analyzing the current workforce, determining future workforce needs, identifying the gap between the present and future, and implementing solutions so the organization can accomplish its mission, goals, and objectives.

Source: DOT Workforce Analysis Handbook



**APPENDIX A: FOR FURTHER READING**

Resource	Author	Link (if available)
<i>An Operational Process for Workforce Planning, Prepared for the Office of the Secretary of Defense.</i>	RAND CORPORATION: National Defense Research Institute, 2003	<a href="http://rand.org/pubs/monograph_reports/2005/MR1684.1.pdf">http://rand.org/pubs/monograph_reports/2005/MR1684.1.pdf</a>
<i>Building Successful Organizations: A Guide to Strategic Workforce Planning. Washington, D.C., 2000.</i>	National Academy of Public Administration. (NAPA)	<a href="http://www.napawash.org">www.napawash.org</a>
<i>Workforce Planning Resource Guide for Public Sector Human Resource Professionals. Alexandria, Virginia 2002.</i>	International Personnel Management Association.	<a href="http://www.ipma-hr.org">www.ipma-hr.org</a>
<i>Federal Workforce Challenges in the 21<sup>st</sup> Century<sup>xvii</sup></i>	US Government Accountability Office GAO-075-556T	
<i>Managing Federal Missions With A Multi-sector Workforce: Leadership For The 21st Century,</i>	National Academy of Public Administration (NAPA)	<a href="http://www.acquisition.gov/comp/aap/documents/National%20Academy%20of%20Public%20Administration%20%2012%2016%2005.pdf">http://www.acquisition.gov/comp/aap/documents/National%20Academy%20of%20Public%20Administration%20%2012%2016%2005.pdf</a>
<i>Effective Strategic Workforce Planning</i>	US Government Accountability Office GAO -04-39, 2004	<a href="http://www.gao.gov/new.items/d0439.pdf">http://www.gao.gov/new.items/d0439.pdf</a>
<i>OLDER WORKERS : Some Best Practices and Strategies for Engaging and Retaining Older Workers</i>	US Government Accountability Office GAO-07-433T	
<i>Where the Jobs Are: The Continuing Growth of Federal Job Opportunities</i>	Partnership for Public Service (2/10/05)	<a href="http://www.ourpublicservice.org/OPS/publications/viewcontentdetails.php?id=57">http://www.ourpublicservice.org/OPS/publications/viewcontentdetails.php?id=57</a>
<i>A Golden Opportunity: Recruiting Baby Boomers into Government</i>	Partnership for Public Service (2007)	<a href="http://www.ourpublicservice.org/OPS/publications/viewcontentdetails.php?id=122">http://www.ourpublicservice.org/OPS/publications/viewcontentdetails.php?id=122</a>
<i>Seven Steps of Effective Workforce Planning</i>	IBM Center for the Business of Government, 2007	<a href="http://www.businessofgovernment.org/pdfs/CottenReport.pdf">http://www.businessofgovernment.org/pdfs/CottenReport.pdf</a>





## APPENDIX B: LINKS TO PUBLISHED WORKFORCE PLANNING GUIDES

### LINKS TO SAMPLE PUBLISHED WORKFORCE PLANNING GUIDES

Department of Energy	<a href="http://humancapital.doe.gov/HCM/GuideWorkforcePlan.pdf">http://humancapital.doe.gov/HCM/GuideWorkforcePlan.pdf</a>
Department of the Interior	<a href="http://www.doi.gov/hrm/WFPImanual.pdf">http://www.doi.gov/hrm/WFPImanual.pdf</a>
Department of the Interior	<a href="http://www.doi.gov/hrm/WFPIMappendix.html">http://www.doi.gov/hrm/WFPIMappendix.html</a>
US Marine Corps	<a href="http://www.logcom.usmc.mil/specialstaff/manpower/files/angie%20str%20wf%20plan.pdf">http://www.logcom.usmc.mil/specialstaff/manpower/files/angie%20str%20wf%20plan.pdf</a>



## APPENDIX C: DEPARTMENT OF TRANSPORTATION CAREER DEVELOPMENT PROGRAMS

OPERATING ADMINISTRATION	TARGETED AUDIENCE			PROGRAM(S)		COMPONENTS	FORMS OF COMMUNICATION	WEB LINK
	GS Level(s)	In-House Only	Fed Gov-Wide	Name	Definition	Coursework, Coaching, Rotations, etc.	Newsletters, Websites, Flyers, etc.	Website or Point of Contact
<b>SENIOR EXECUTIVE SERVICE LEVEL TRAINING</b>								
DOT-wide	SES/GS-15	X		Executive Pipeline	A series of 2-hour programs that target competency gaps identified through organizational needs assessments. Examples include Ethics & Conflict Management Training.	<ul style="list-style-type: none"> <li>Seminars</li> </ul>	<ul style="list-style-type: none"> <li>Solicitation by OST via L&amp;D Council</li> <li>Website</li> </ul>	Cora McVey 202-366-7958
DOT-wide	SES	X		Executive Coaching	Executive members can request to be assigned a coach who assists them with building leadership competencies and addressing career issues. This service is purchased from FEI.	<ul style="list-style-type: none"> <li>Coaching</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	Maria Hernandez 202-366-6939
DOT-wide	SES, GS-15		X	Leadership for a Democratic Society (FEI-OPM)	A 4-week DOT-wide program bringing SES members and high-performance GS-15s together for courses that help executives develop broad corporate viewpoints, understand their constitutional roles, and enhance essential leadership competencies.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Fieldwork</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> <li>Written Communication</li> </ul>	Anika Hyatt 202-366-1778 <a href="http://www.leadership.opm.gov/programs/Executive-Leadership-Development/LDS/Index.aspx">http://www.leadership.opm.gov/programs/Executive-Leadership-Development/LDS/Index.aspx</a>
DOT-wide	SES, GS-15		X	Senior Executive Service Forums (DOI)	The Forum provides executives the development and reinforcement of their skills and knowledge in ECQ as defined by OPM. The executives exchange ideas on issues related to leadership, policy, and management and strengthen relationships among SES members across federal departments and agencies.	<ul style="list-style-type: none"> <li>Seminar</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> </ul>	Anika Hyatt 202-366-1778 <a href="http://www.doiu.nbc.gov/forums">www.doiu.nbc.gov/forums</a>
FAA	SES	X		Forum for Executive Excellence (FEE)	A 20-hour series of seminars that addresses an important phase of development for FAA executives: understanding and carrying out responsibilities in the context of today's workplace reality. Participants receive tangible tools, and experience opportunities to make influential connections within their peer group. The interactive format encourages thinking strategically, communicating powerfully, and interacting positively.	<ul style="list-style-type: none"> <li>Networking</li> <li>Seminars</li> </ul>		Kerry M. Lange (202) 267-3272



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OPERATING ADMINISTRATION	TARGETED AUDIENCE			PROGRAM(S)		COMPONENTS	FORMS OF COMMUNICATION	WEB LINK
	GS Level(s)	In-House Only	Fed Gov-Wide	Name	Definition	Coursework, Coaching, Rotations, etc.	Newsletters, Websites, Flyers, etc.	Website or Point of Contact
FAA	SES	X		FAA Executive Series	The series of 1/2-day sessions held at FAA Headquarters and is webcast to executives in the field. Each seminar features a prominent speaker who provides critical success strategies and best practices for leaders. Topics focus on one or more of the FAA leadership dimensions and associated competencies.	<ul style="list-style-type: none"> <li>Distance Learning</li> <li>Seminars</li> </ul>		Kerry M. Lange (202) 267-3272
FAA/Airports	K-L: SES	X		Airports Leadership Development Program (ALDP)	A 3-year program that provides training and continuing education opportunities as well as tools and techniques to help new managers develop management skills and more experienced managers adapt to a changing organization and aviation environment.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Coaching</li> <li>Consulting</li> </ul>		Margarete Berrios 202-267-8757 <a href="http://intranet.faa.gov/arp/aldp/guides.htm">http://intranet.faa.gov/arp/aldp/guides.htm</a>
FHWA	SES, GS-14-15		X	Industrial College of the Armed Forces Master's Program (ICAF)	A 10-month program to train senior leaders in the art and science of developing, applying, and coordinating the instruments of national power with special emphasis on material acquisition and joint logistics.			
RITA/Volpe Center	SES, GS-14-15	X		Management/ Executive Coaching	Enhancing management, personal and executive communication skills.			Deb Cogill Cogill@volpe.dot.gov
FMCSA	GS-14, 15 and SES	X		Supervisory Leadership Program	Biannual 4 ½-day mandatory course training for all supervisors.	<ul style="list-style-type: none"> <li>Coursework</li> <li>360 Degree Assessment</li> <li>Coaching</li> </ul>		Judith Williams 703-235-0513 <a href="mailto:Judith.williams@dot.gov">Judith.williams@dot.gov</a>

GS-13/14/15 TRAINING



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OPERATING ADMINISTRATION	TARGETED AUDIENCE			PROGRAM(S)		COMPONENTS	FORMS OF COMMUNICATION	WEB LINK
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DOT-wide Program	GS-13/14/15	X		Leaders for Tomorrow	The 10-month program designed to engage its participants in heightened levels of learning and organizational development. The program adds value to DOT by enhancing professional leadership skills within the organization, increasing employee job satisfaction and transferring institutional knowledge and corporate expertise, thus establishing a cadre of trained professionals who are prepared to meet the future goals of DOT. Program objectives include management skills development, creating a career plan and networking opportunities.	<ul style="list-style-type: none"> <li>• Coursework</li> <li>• Individual Development Plan</li> <li>• Mentoring</li> <li>• Team Projects</li> </ul>	<ul style="list-style-type: none"> <li>• Written Communication</li> <li>• Website</li> </ul>	Pamela Bell-Payton 202-366-2228
FAA	Senior Managers	X		Senior Leadership Development Program	1-2 year program designed to enhance the pipeline of highly qualified senior managers who could fill projected executive vacancies.	<ul style="list-style-type: none"> <li>• 360 Degree Assessment</li> <li>• Coaching</li> <li>• Individual Development Plan</li> <li>• Rotations</li> </ul>		Sheila D. White 202-267-3417
FAA/ASH	Pay Band I (equivalent to GS 13)	X		Making Opportunities to Develop Employees for Leadership (MODEL)	An 18-month management development program to prepare non-supervisory employees for consideration for future management vacancies. It is designed around the FAA Leadership Success Competencies for managers. Participation in the program is based on a competitive selection process.	<ul style="list-style-type: none"> <li>• Individual Needs Assessment</li> <li>• Mentoring</li> <li>• Rotational Assignments</li> <li>• Shadowing Assignment</li> </ul>		Jesse R. Bennett, <a href="mailto:Jesse.r.bennett@faa.dot.gov">Jesse.r.bennett@faa.dot.gov</a> 202-493-5441
FHWA	GS-14-15		X	AASHTO National Transportation Management Conferences	In a week-long workshop, participants are introduced to the tools, techniques and best practices needed for effectively managing people and projects. For more experienced managers, the workshops update and refine existing skills, challenge current thinking, introduce new concepts, and explore changing employee and customer relationships.	<ul style="list-style-type: none"> <li>• Teambuilding</li> <li>• Negotiation Skills</li> </ul>		
FHWA	GS-13 and above		X	Congressional Fellows Program (USDA)	A 7-month or 1 year developmental program that provides an in-depth understanding of the Legislative Branch process and culture.	<ul style="list-style-type: none"> <li>• Sponsor</li> <li>• Seminars</li> </ul>		



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FHWA	GS-14-15		X	Strategic Planning Through the Power of Vision (FAA CMD)	Strategic planning emphasis; visionary, big picture thinking			
FTA	GS-14-15		X	Building Leadership Competencies for Supervisors	Recent supervisors will complete a comprehensive course that builds on personnel actions and leadership competencies. Seasoned supervisors are provided a review of personnel actions and leadership competencies with completed leadership assessment; nventories.	<ul style="list-style-type: none"> <li>Coursework</li> </ul>		Pamela Bell-Payton 202-366-2228
FHWA-FLH	All Grade levels	X Division Employees Only		Federal Lands Highways Leadership Academy	The Leadership Development Academy (LDA) is an opportunity for FLH employees to improve their Leadership skills. The LDA is designed to elevate competency in the important arena of working effectively with other people to achieve intended results. The primary focus of the Academy is Emotional Intelligence -- self-awareness, self-management, and building relationships.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Group Presentations</li> <li>Myers-Briggs</li> </ul>		Ann Crouch-Rowland Quality Coordinator –Federal Lands Highways 202-366-9492 <a href="mailto:Ann.Crouch@dot.gov">Ann.Crouch@dot.gov</a>
FHWA-Washington Division's	All Grade Levels	X Division Employees Only		Washington Division's Leadership Development Program	The purpose of the program will be to assist all participating employees to develop their leadership skills and to provide opportunities at the local and national level to exercise their leadership talents.	<ul style="list-style-type: none"> <li>Self-Assessment</li> <li>Book Reviews</li> <li>Myers-Briggs</li> </ul>		Daniel M. Mathis, Division Administrator 360-753-9413 <a href="mailto:Daniel.Mathis@fhwa.dot.gov">Daniel.Mathis@fhwa.dot.gov</a>
RITA/Volpe Center	GS-12-15	X		Volpe Fellows Program	Encourages and promotes continuing professional development via graduate and post graduate programs of study that support Volpe's mission and long range goals.	<ul style="list-style-type: none"> <li>Coursework</li> </ul>		John Bonfiglioli 617-494-2737
FMCSA	GS-12-14	X		Introductory to Supervision	5-day course for first time supervisors; part of a new progression FMCSA is implementing to build a supervisory progression of training	<ul style="list-style-type: none"> <li>Coursework</li> </ul>		Judith Williams 703-235-0513 <a href="mailto:Judith.williams@dot.gov">Judith.williams@dot.gov</a>
FMCSA	GS-13, 14		X	Executive Potential Program (USDA)	A 12-month leadership development program that offers training and development experiences for high –potential employees who are moving into leadership positions.			
NHTSA	GS-13-15		X	Congressional Fellows Program (USDA)	Allows senior level employees the opportunity to work in Congressional offices or with Committee staff to develop legislative issues.	<ul style="list-style-type: none"> <li>Sponsors</li> <li>Seminars</li> </ul>		



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OIG	GS-14		X	Supervisory Development Program	40-hour mandatory leadership development training for probationary supervisors.	<ul style="list-style-type: none"> <li>Coursework</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> <li>Written Communication</li> </ul>	James F. Corcoran (202) 260-8540 <a href="mailto:james.corcoran@oig.dot.gov">james.corcoran@oig.dot.gov</a>
MARAD	GS-13-15	X		Transportation Leadership Program	2-year structured program to train a cadre of future managers and leaders who are equipped to assume upcoming leadership roles.			
PHMSA	GS-11-15		X	Introduction to Supervision (USDA)	In a 5-day course you learn strategies to supervise employees while discovering the latest trends in the federal workforce.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Coaching</li> </ul>		
FTA	GS-13-15		X	Change Managers: Facilitating Quality Improvement	Develops the talented workforce through leadership training and participation in agency-wide change processes.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Team Projects</li> </ul>		Pamela Bell-Payton 202-366-2228
FRA	GS-12-14	X		Leadership Development Program	A 16-month program to equip each participant with the key leadership competencies identified by the OPM and prepare them for leadership positions in the agency.	<ul style="list-style-type: none"> <li>360 Assessment</li> <li>Individual Development Plan</li> <li>Developmental Assignments</li> <li>Mentoring</li> </ul>		Kevin Bondesen 202-493-6124
DOT-wide	GS-14-15		X	Excellence in Government Fellows Program	During this 1 year (20 days within a year) program, the fellows build the skills to lead people, communicate effectively, form partnerships, remain focused and flexible in changing work environments and achieve important results.	<ul style="list-style-type: none"> <li>Coaching</li> <li>Forums</li> <li>360 Degree Assessment</li> <li>Team Projects</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> </ul>	<a href="http://www.excelgov.org/">http://www.excelgov.org/</a>
OIG	GS-14-15		X	E-Government Fellows Program	This 21-day program challenges leadership development with an examination of best practices that illustrates the power of technology as a leadership tool to achieve important results. One-on-one interaction with leaders who design and produce the latest technologies, set technology policies, and use technology to deliver significant results.	<ul style="list-style-type: none"> <li>Coaching</li> <li>Site Visits</li> <li>Coursework</li> <li>Individual Needs Assessment</li> <li>Team Projects</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> <li>Written Communication</li> </ul>	James F. Corcoran (202) 260-8540 <a href="mailto:james.corcoran@oig.dot.gov">james.corcoran@oig.dot.gov</a>
OIG	GS-14-15		X	Executive Development Seminar: Leading Change	This 2-week seminar introduces senior Federal and other public sector managers to leading change in government on a macro-perspective.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Oral Presentation</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> <li>Written Communication</li> </ul>	James F. Corcoran (202) 260-8540 <a href="mailto:james.corcoran@oig.dot.gov">james.corcoran@oig.dot.gov</a>



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PHMSA	GS-13	X		PHMSA Strategic Project Program	The Strategic Project Program offers employees the opportunity to be considered for experience working on strategic projects and initiatives in support of the PHMSA Strategic Plan. The projects vary in duration.	<ul style="list-style-type: none"> <li>• Experiential</li> <li>• Mentoring</li> <li>• Team Project</li> <li>• End of project report</li> </ul>	<ul style="list-style-type: none"> <li>• Intranet</li> <li>• Broadcast messages</li> </ul>	Hailu A. Hailu 202-366-8990
<b>GS-11 12 TRAINING</b>								
DOT-wide	GS-11/12	X		So You Want to Be a Leader	The 9-week DOT-wide program offering non-supervisory employees the opportunity to participate in leadership activities prior to applying for supervisory positions at DOT.	<ul style="list-style-type: none"> <li>• Coursework</li> <li>• Team Projects</li> </ul>	<ul style="list-style-type: none"> <li>• Written Communication</li> </ul>	Pamela Bell-Payton 202-366-2228
DOT-wide	GS-9-13		X	Presidential Management Fellows (OPM) Program	The 2-year program is designed to attract outstanding graduate students in a wide variety of academic disciplines to the leadership and management careers in the Federal service.	<ul style="list-style-type: none"> <li>• Coursework</li> <li>• Individual Development Plan</li> <li>• Rotational Assignments</li> </ul>	<ul style="list-style-type: none"> <li>• Website</li> <li>• Job Fairs</li> </ul>	Anika Hyatt (202) 366-1778 <a href="https://www.pmf.opm.gov/">https://www.pmf.opm.gov/</a>
DOT-wide	GS-9-12	X		Career Residency Program	A 2-year program to attract, develop, and retain personnel by means of providing developmental opportunities to improve performance in present job assignments and to prepare for future assignments.	<ul style="list-style-type: none"> <li>• Coursework</li> <li>• Individual Development Plan</li> <li>• Mentoring</li> <li>• Rotational Assignments</li> </ul>	<ul style="list-style-type: none"> <li>• Job Fairs</li> <li>• Written Communication</li> </ul>	Juli H. ynh (202) 366-1779
FWHA	GS-12/13	X		Building a Foundation for Visionary Leadership	A 6-day, project-based course addressing a variety of "problem statements". Through group work, speaker sessions, and round table discussions, participants develop basic leadership competencies such as emotional intelligence, strategic planning, and communication skills.	<ul style="list-style-type: none"> <li>• Coursework</li> <li>• Individual Needs Assessment</li> <li>• Mentoring</li> </ul>	<ul style="list-style-type: none"> <li>• Newsletters</li> <li>• Flyers</li> <li>• Videoconference</li> </ul>	Nicole Hicks 202 366-1202 <a href="mailto:Nicole.Hicks@dot.gov">Nicole.Hicks@dot.gov</a>
RITA/Volpe Center	GS-12, 13	X		Leadership Development Program	12-month program is designed to broaden and deepen leadership skills in high potential staff. The Program supports the Department's and the Volpe Center's objectives for workforce succession planning.	<ul style="list-style-type: none"> <li>• Individual Needs Assessment</li> <li>• Team Projects</li> <li>• Coursework</li> <li>• Mentoring</li> </ul>	<ul style="list-style-type: none"> <li>• Training Calendar</li> <li>• Open Houses</li> </ul>	Elaine Lyte <a href="mailto:lyte@volpe.dot.gov">lyte@volpe.dot.gov</a> 617-494-2555
DOT-wide	GS-12, 13		X	Executive Leadership Potential (USDA)	A 9-month program provides training and developmental opportunities for high potential individuals. Through assessment, experiential learning and individual developmental opportunities, you create a personal framework for practicing leadership.			



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<b>GS-11 AND BELOW TRAINING</b>								
FHWA	GS 4 -7	X Entry-level support with less than 18 months of Federal Government service.		The Support Staff Development Certificate Program	The Certificate Development Program provides for the development of basic competencies including oral and written communication, interpersonal skills, decisiveness, problem solving, self-direction, technical credibility, and customer service. Emphasis is placed on development of competencies through courses in the DOT Electronic Learning Management System (ELMS).	<ul style="list-style-type: none"> <li>Distance Learning</li> <li>Individual Needs Assessments</li> <li>Team Projects</li> </ul>		Joseph Ramseur 202 366-6517 <a href="mailto:Joe.Ramseur@dot.gov">Joe.Ramseur@dot.gov</a>
NHTSA	GS-5-7		X	Aspiring Leader Program (USDA)	A three, 5-day program strengthens basic competencies and managerial skills.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Seminars</li> <li>Team Projects</li> <li>Shadowing Assignments</li> </ul>		
FTA	GS-7-12		X	Competitive Edge Program	A 3-year program that provides the opportunity for employees to compete for positions with greater potential for professional growth. Prospective program participants general encumber positions that lack promotion potential.	<ul style="list-style-type: none"> <li>Coursework</li> <li>Rotational Assignment</li> <li>Individual Development Plan</li> </ul>		James Greene 202-493-0438
FTA	GS-7-11		X	New Leaders Program (USDA)	A 6-month program design to prepare tomorrow's leaders by developing skills necessary to be more effective in the rapidly changing federal environment. The participants are competitively selected through the Competitive Edge Program	<ul style="list-style-type: none"> <li>Shadowing Assignments</li> <li>Rotational Assignments</li> </ul>		Pamela Bell-Payton 202-366-2228
FTA	GS 4-7	X Entry level		Certificate Program for Support Personnel	A 1-year program that consist of ten mandatory eLMS on-line courses plus two electives from a list of other eLMS on-line courses.	<ul style="list-style-type: none"> <li>On-line Courses</li> </ul>		Ranmali Fonseka 202-366-0211
<b>ALL GRADE LEVEL TRAINING</b>								
DOT-wide	All Grade Levels	X		Learning Management System	e-LMS is DOT's learning management system. The course catalog contains Skillsoft (off-the-shelf) training.	<ul style="list-style-type: none"> <li>Distance Learning</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> <li>Pamphlets</li> </ul>	Cora McVey 202-366-7958
DOT-wide	All Grade Levels	X		DOT Rotational Assignment Program	Learning experience geared to broaden employee experiences in transportation systems and offers both managers and employees an opportunity to meet intermodal short term, organizational and individual developmental needs.	<ul style="list-style-type: none"> <li>Rotations</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> </ul>	Cora McVey 202-366-7958





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	GS Level(s)	In-House Only	Fed Gov-Wide	Name	Definition	Coursework, Coaching, Rotations, etc.	Newsletters, Websites, Flyers, etc.	Website or Point of Contact
<b>DOT-wide</b>	All Grade Levels	X		DOT Leadership Program	Assist employees in managing their careers and enhancing their overall professional growth and development	<ul style="list-style-type: none"> <li>Classroom sessions</li> </ul>		Cora McVey 202-366-7958
<b>FAA</b>	All Grade Levels		X	FAA Center for Management and Executive Leadership (CMEL)	Provides non-technical training for team leaders, managers, and executives in the FAA, emphasizing interpersonal, management, and leadership skills. CMEL also works in collaborative partnership with FAA organizations and other government agencies to develop additional customized opportunities for their personnel.	<ul style="list-style-type: none"> <li>Coursework</li> </ul>		<a href="http://www.faa.gov/about/offices/arc/programs/academy/cmel/">http://www.faa.gov/about/offices/arc/programs/academy/cmel/</a>
<b>FAA</b>	All Grade Levels	X		Headquarters Mentoring	6-month program to develop skills, abilities and a goal-oriented career plan for mentees with the help of mentors.	<ul style="list-style-type: none"> <li>Coursework</li> </ul>		
<b>FAA/Aviation Safety</b>	All Levels	X		Aviation Safety Leadership and Enhancement Program (LEAD)	The program is a vehicle used to identify and develop employees for supervisory managerial, or leadership positions. It provides opportunities for employees to demonstrate their skills while participating on assignments that will enhance their qualifications and experience.	<ul style="list-style-type: none"> <li>Details</li> <li>Temporary Promotions</li> </ul>		Janette Ramos <a href="mailto:Janette.ramos@faa.dot.gov">Janette.ramos@faa.dot.gov</a> 202-267-9802
<b>FHWA</b>	All Grade Levels	X Employees with over 18 months of Federal Government service.		The Support Staff Advanced Certificate Program	The Advanced Certificate program supports written communication, personal development, administration, human resources, and finance. The 18 courses will be completed in the DOT electronic Learning Management System (eLMS).	<ul style="list-style-type: none"> <li>Distance Learning</li> <li>Individual Needs Assessments</li> <li>Team Projects</li> </ul>		Joseph Ramseur 202 366-6517 <a href="mailto:Joe.Ramseur@dot.gov">Joe.Ramseur@dot.gov</a>
<b>FHWA-Washington Division Office</b>	All Grade Levels	X Division Employees Only		Washington Division's Leadership Development Program	A-2-year program designed to facilitate the development of Washington FHWA employees' leadership skills and to provide opportunities to exercise their leadership talents at the local and national levels.	<ul style="list-style-type: none"> <li>Individual Needs Assessments</li> <li>Seminars</li> </ul>		Daniel M. Mathis 360-753-9413 <a href="mailto:Daniel.Mathis@fhwa.dot.gov">Daniel.Mathis@fhwa.dot.gov</a>



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	GS Level(s)	In-House Only	Fed Gov-Wide	Name	Definition	Coursework, Coaching, Rotations, etc.	Newsletters, Websites, Flyers, etc.	Website or Point of Contact
FHWA	All Grade Levels	X All Employees		Leadership Discussions: Book Reviews	As a result from employees' suggestions, we have started a leadership book review exchange with the objective of developing leadership skills, achieving greatness, and discover core values.	<ul style="list-style-type: none"> <li>• Book Reviews</li> <li>• Guest Speakers</li> <li>• Quarterly Video conferences.</li> </ul>		Araceli Rivera, Human Resources Specialist Office of Human Resources Training and Development Group 202 366-1209 <a href="mailto:Araceli.Rivera@dot.gov">Araceli.Rivera@dot.gov</a>
FTA	All Grade Levels	X		Leaders for the 21 <sup>st</sup> Century	A program designed to cross train an employee in another functional area to broaden the employee's experience and allow the participant to enhance their knowledge and skills.	<ul style="list-style-type: none"> <li>• Rotational Assignment</li> </ul>		Pamela Bell-Payton 202-366-2228
RITA	All Grade Levels	X		Speaker Series on Innovation	Ongoing series showcasing top leaders in transportation technology industry.	<ul style="list-style-type: none"> <li>• Seminar</li> </ul>		John Augustine <a href="mailto:John.Augustine@dot.gov">John.Augustine@dot.gov</a>



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- <sup>i</sup> OPM's Workforce Planning Website. <http://www.opm.gov/workforceplanning/index.htm>
- <sup>ii</sup> Building Successful Organizations: A Guide to Strategic Workforce Planning, May 2000, p.2.
- <sup>iii</sup> IPMA Workforce Planning Resource Guide, 2002, vi.
- <sup>iv</sup> An Operational Process for Workforce Planning, RAND Corporation, 2003
- <sup>v</sup> [http://www.opm.gov/hcaaf\\_resource\\_center/3-4.asp](http://www.opm.gov/hcaaf_resource_center/3-4.asp)
- <sup>vi</sup> “Seven Steps of Effective Workforce Planning,” IBM Center for the Business of Government, 2007.
- <sup>vii</sup> Workforce Planning Guide, US Department of Transportation, 1999, p.1
- <sup>viii</sup> Op cit
- <sup>ix</sup> <http://dothr.ost.dot.gov>
- <sup>x</sup> An Operational Process for Workforce Planning, RAND Corporation, 2003
- <sup>xi</sup> An Operational Process for Workforce Planning, RAND Corporation, 2003, p5
- <sup>xii</sup> 2007 DOT Workforce Analysis, Executive Summary
- <sup>xiii</sup> “Seven Steps to Effective Workforce Planning, IBM Center for Government p.7
- <sup>xiv</sup> Graphic adapted from DOT Competency Handbook, 2007
- <sup>xv</sup> Workforce Planning and Succession Planning: SRA International, 2006
- <sup>xvi</sup> Workforce Planning and Succession Planning: SRA International, 2006
- <sup>xvii</sup> <http://www.opm.gov/employ/vera/vera01.htm>
- <sup>xviii</sup> “An Executive perspective on Workforce Planning”, Rand Corporation, 2004
- <sup>xix</sup> GAO-04-39 “Effective Strategic Workforce Planning”, p.4
- <sup>xx</sup> <http://www.hr.state.tx.us/workforce/guide.html> #Model Workforce Planning Questionnaire
- <sup>xxi</sup> Definition provided by NAPA
- <sup>xxii</sup> RAND, p.9
- <sup>xxiii</sup> HCAAF Practitioners’ Guide,
- <sup>xxiv</sup> Corporate Leadership Council, Workforce Planning in Federal Government, 2005
- <sup>xxv</sup> GAO-04-39 Effective Strategic Workforce Planning
- <sup>xxvi</sup> WORKFORCE PLANNING IN THE FEDERAL GOVERNMENT, Corporate Leadership Council, February 2003, PAGE 1
- <sup>xxvii</sup> GAO-075-556T