

WORKFORCE PLANNING	
KEY ELEMENTS	SUGGESTED PERFORMANCE INDICATORS
<i>The agency's workforce planning system includes a workforce analysis process that:</i>	
<ul style="list-style-type: none"> • Identifies mission-critical occupations and competencies essential to achieving strategic goals • Analyzes current strengths and weaknesses regarding mission-critical occupations and competencies • Identifies competency gaps and deficiencies, including current and future competency needs and losses due to voluntary attrition • Systematically defines the size of the workforce needed to meet organizational goals • 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 • Bases decisions related to restructuring, redeployment, and reorganization on current empirical and workforce analysis • Conducts risk assessments to minimize adverse impacts on workforce due to restructuring • Documents and assesses key supporting functions of all business areas • Regularly evaluates customer/citizen needs and incorporates these needs into workforce plans, organizational goals, and functions 	<p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • Studies indicate which occupations and competencies are essential to achieving the agency's strategic goals. • Mission-critical occupations and competencies are identified in the agency's strategic plan and/or performance plan, and its strategic human capital plan. • A methodology exists for determining mission-critical occupations and competencies based in part on professional qualifications (e.g., certifications, licenses). • Trends in mission-critical occupations are analyzed in terms of the following suggested factors in order to continually adjust the agency's recruitment and retention strategy to its current state of need: <ul style="list-style-type: none"> – Number and distribution of positions by pay plan/grade or pay band/series and geographic location – Average age – Average length of service – Diversity trends – Average grade/band – Retirement eligibility (current and expected) – Turnover (e.g., separations, resignations, transfers, retirements) – Surpluses in occupations and competencies.

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<i>The agency's workforce planning system includes a workforce analysis process that:</i>	<ul style="list-style-type: none"> • Competency and/or staffing models have been developed and there is analysis of gaps between the current and desired competencies for mission-critical occupations. • Documentation indicates workforce analysis occurs on a periodic basis and is used to drive human capital policy and decisions. • The agency uses a documented, systematic strategic workforce planning process that addresses the following issues: <ul style="list-style-type: none"> – The link to the agency's strategic plan and the strategic human capital plan – The link to the agency's annual performance/business plan – Work activities required to carry out the goals and objectives of the strategic plan (long term) and performance plan (short term) – How to structure the organization (e.g., determine what must be done for continuance of Government operations, determine necessary layers, streamline functions, consolidate organizational elements) and its work processes/workflow to carry out work activities – How to continually update the process to reflect mission changes, technology advances (e.g., e-Government), funding levels, competitive sourcing, and other change drivers – Analysis and assessment of the current workforce (e.g., skills, demographics, attrition) to meet long-term and short-term goals and objectives

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<i>The agency's workforce planning system includes a workforce analysis process that:</i>	
	<ul style="list-style-type: none"> – Workforce analysis including indicators such as size and distribution of workforce (including Senior Executive Service (SES)) by grade, series, geographic locations, types of positions occupied, pay plan, veteran representation, etc. – How to develop current employees, recruit to fill long-term and short-term goals, and provide for continuity of leadership through succession to key positions – How to minimize the adverse impact on the workforce in restructuring the organization and its work processes. • The agency uses multi-faceted techniques to close competency gaps within the organization (e.g., strategic recruitment, mid-career hiring, training). • The agency conducts regular assessment of its need for, and deployment of, executive resources.

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<p><i>The agency's workforce planning system includes a workforce analysis process that:</i></p> <ul style="list-style-type: none"> • Forecasts future business changes in the work of the agency and how the changes will affect the workforce • Regularly tracks established performance measures, workforce trends, and technological advances to ensure updated models for meeting citizen and organization needs. 	<p style="text-align: center;"><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • Line managers and key staff, including HR, consider and prepare for possible workforce changes in areas such as mission/goals, technology, program additions or deletions, functions, and outsourcing initiatives. • The agency's strategic plan and/or performance plan and its strategic human capital plan reflect forecasts of the human capital implications of future business plans, including expectations and trends concerning: <ul style="list-style-type: none"> – Future workload and staffing needs – Workforce demographics in mission-critical occupations – Changing competency requirements – Industry benchmarking for similar occupations – Availability of competencies within applicable labor markets. • The forecast is shared widely and used within the agency by those who are responsible and accountable to meet human capital needs.

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<p><i>The agency's workforce analysis process is based on sources of information such as:</i></p> <ul style="list-style-type: none"> • Current workforce demographic and competitive sourcing studies • Descriptive and documented plans and processes for hiring, recruiting, employment, and retention efforts • Past agency assessments and workforce data • Information about anticipated changes related to e-Government and competitive sourcing, goals, and objectives. 	<p style="text-align: center;"><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • Information systems are in operation which provide human capital data to all appropriate management levels to guide planning, analysis, and decision making. Data integrity is maintained through quality control checks. • The agency conducts and uses management studies to: <ul style="list-style-type: none"> – Eliminate work and interfaces that add no value – Assess the organization's deployment strategies, including identification of situations where competitive sourcing is the most appropriate means to meet their strategic objectives. • Staffing data showing trends in appointments, promotions, conversions, separations, and retirements are analyzed regularly, and management decisions regarding workforce deployment are based on documented data. • Turnover indicators (e.g., transfers, retirements, and separations in each of the last several years, overall, and by professional, administrative, technical, clerical, and other occupations) are monitored regularly.

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<p><i>The agency's workforce planning system includes an organizational structuring process that:</i></p> <ul style="list-style-type: none"> • Utilizes functional analysis to determine appropriate organizational and physical structure • Clearly organizes the agency staffing plan by workflow, organizational initiative, and functional area • Anticipates change in citizen needs by continuously monitoring the evolution of needs, trends, and events affecting workforce planning • Avoids excess organizational layers • Reduces redundant operations • Analyzes internal workforce statistics (e.g., ratio of managers to workforce, distribution of workforce), data, and trends to make the most efficient choices for workforce deployment. 	<p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • Documentation of analyses of organizational functions shows review, planning, design, and, if applicable, implementation and outcome of efforts to realign the workforce. • Functional analyses and data analyses result in specific targets for workforce redeployment, which are reflected in the strategic human capital plan and the workforce plan. • The benefits of proposed changes to the structure and/or the workforce mix are quantified and incorporated into the budget submissions. • Duplications in support areas such as communications, legislative affairs, budget, and personnel and/or duplications in program areas are reduced and programs are streamlined and consolidated wherever possible. • Analysis of data includes statistics such as ratio of administrative jobs (e.g., administrative officer, budget analyst, budget clerk, management analyst, personnel clerk, personnel professional, support services specialist) to the workforce, distribution of administrative jobs by organizational component and geographic location, and trends in numbers and proportions of administrative jobs.

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<i>The agency's workforce planning system includes an organizational structuring process that:</i>	
	<ul style="list-style-type: none"> • A model organization has been developed that: <ul style="list-style-type: none"> – Reflects the numbers of employees needed and their appropriate skill and grade or pay band/level mix – Identifies key leadership positions – Includes specific recruiting and training/development activities. <p><u>Compliance Indicator</u></p> <ul style="list-style-type: none"> • The agency appropriately applies pertinent regulations and statutes to group or individual deployment-related actions as specified in the Talent Management system (Voluntary Early Retirement Authority (VERA), Voluntary Separation Incentive Payments (VSIP), Transfer of Function (TOF), etc.).

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<i>The agency's organizational structuring process demonstrates that it:</i>	
<ul style="list-style-type: none"> • Includes statistics regarding number of supervisors, their series and grade/pay band, geographic location, and ratio of supervisors to employees • Obtains the mix of supervisory and non-supervisory positions to best meet customer needs • Documents the need for redirecting supervisory positions and the planned program design and assessment for the implemented changes • Addresses impediments to restructuring by analyzing solutions found within the current environment • Uses a documented change management strategy. 	<p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • Analysis of data includes statistics related to the number of supervisors, their geographic and organizational location, their series and grades/pay bands, the ratio of supervisors to employees, percent of supervisors in grades GS-12-15 or equivalent, etc. • Supervisory needs are clearly tied to the workflow process and the organizational structure resulting in a staffing plan that indicates the necessary number of supervisors by functional area. • The agency has documented the need to redirect supervisory positions, designed and implemented a program to support their redeployment, and developed an evaluation process to determine if the anticipated outcomes are being achieved. • Impediments are identified and solutions to overcome impediments within the current environment (e.g., title 5 and/or other appropriate systems) are identified and documented. • Through consultation with the Office of Personnel Management (OPM), the agency makes a sound business case for any waivers, exemptions, or regulatory or legislative relief needed to overcome barriers. • The agency has a documented change management strategy, where appropriate, to overcome barriers and facilitate restructuring/culture change efforts. • The agency's restructuring, redeployment, and reorganization decisions are substantiated with empirical evidence.

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<i>The agency's organizational structuring process demonstrates that it:</i>	
	<ul style="list-style-type: none"> • Agency records indicate that, during restructuring, redeployment, and reorganizing, operational disruption is minimized through the use of: <ul style="list-style-type: none"> – Effective internal and external communication plans – Retraining – Reassignment – Placement assistance – Relocation allowances – VERA and VSIP where appropriate.