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Integrated Workforce Planning

A Facilitation Guide for Office Directors

Office of the Chief Human Capital Officer

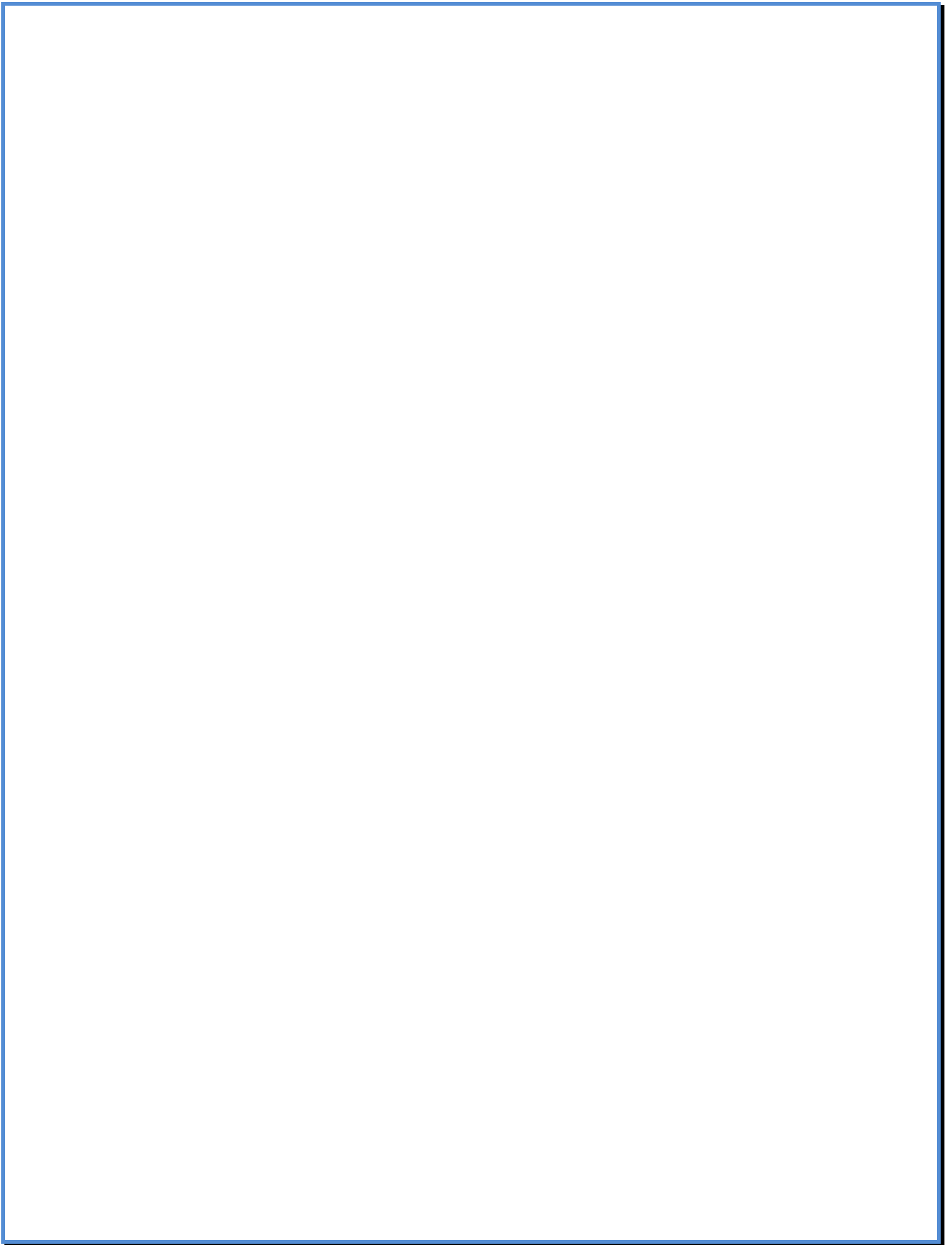


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Executive Summary

During the climate of shrinking agency budgets, and increased scrutiny by the Office of Management and Budget, workforce planning places the Department of Energy in the best possible position to receive the funding it needs. The process outlined in this facilitation guide provides DOE office directors with a methodology to follow to align their human resource needs with the mission requirements and program priorities of their organization.

Outlining a seven step process, the Facilitation Guide will offer recommendations for the type of data to review and the types of questions office directors should be asking themselves as they identify their workforce needs. After completing the process, office directors and Program Element Heads will be able to clearly align FTE/resource requests with existing and emerging priorities in their organizational budget submissions.

A key component of this workforce planning process is the creation of integrated workforce planning teams (IWPT) to provide consultative services to the office directors and Program Element Heads. The teams will consist of individuals with human capital expertise, human resource expertise, learning and development expertise and budgetary expertise. The IWPTS will help guide office directors and Program Element Heads through the seven step process.

The remainder of the Facilitation Guide is dedicated to explaining the seven steps of the workforce planning process. The Facilitation Guide will outline the significance of each step and how it supports the other proceeding steps. Additionally we will identify any data office directors should examine while working their way through the current step providing templates where applicable.

The process is defined in the following steps:

1. Step 1 - Identify Strategic Direction: Mission requirements and organizational priorities are announced/communicated to office directors.
2. Step 2 – Align Workforce with the Work Requirements of the Strategic Direction: Office directors & resource managers meet with workforce planning team to identifying the workforce needed to satisfy work requirements needed to meet mission requirements and organizational priorities.
3. Step 3 - Inventory Existing Workforce: Workforce planning team consults with office directors & resource managers to identify existing gaps between the current workforce (size/skill) and workforce needed to meet future demands; develop strategies to close those gaps.
4. Step 4 – Building Budget Requests: Office directors align their staffing requests to organizational priorities, submit proposals to the Program Element Heads.
5. Step 5 – Prioritize Organizational Workforce Needs: Program Element Heads reviews all staffing proposals and makes decision on which proposals to approve.

6. Step 6 – Submit Budget Proposal: Program Element Heads communicate staffing decisions to Office Directors & Resource Managers and submits Office budget request to CFO.
7. Step 7 – Execute Staffing/Development Strategies: Office Directors are provided hands on support by the workforce planning team and HR to implement staffing and development plans created in Step 2.

I. Identifying the Strategic Direction



The intent of every workforce planning effort is to ensure that organizations have the resources necessary to meet mission requirements and program priorities. To achieve this intent, organizations must first identify and understand those mission requirements and program priorities; typically through Strategic Planning. . These goals and objectives not only provide the basis for determining necessary financial resources, but they also provide the basis for determining workforce needs.

Roles:

- **Senior Leaders** - Set the direction and define mission requirements for its program leaders and office directors.
- **Office Directors** - Quantify what the stated future direction means in terms of workforce resources, both workforce size and workforce skill, so they can align their existing workforce with future requirements and identify what additional workforce resources is needed.

Below is a list of key data that can be reviewed to help quantify the future direction as well as key questions to be answered as office directors begin to review their role in the direction of the organization.

Key Data:

- **Agency Strategic Plan** – Clearly identifies the mission of the organization and expected programmatic outcomes.
- **Organizational Management Plans** – Set specific annual targets for programmatic goals and can be used to help set baseline resource levels for continuous program requirements.
- **Agency Annual Performance Plans** –Performance metrics and targets established in Organizational Management Plans are assigned to organizational sub-components. This data can be used by the sub-components to help set baseline resource levels for continuous program requirements.

- **Agency Performance and Accountability Reports (PAR)** – Measures agency performance against established targets and goals; can be reviewed to determine if previous resource levels were sufficient to meet identified targets.

Key Questions:

- What essential work must be accomplished?
- What direction is the agency taking? What are the key performance indicators?
- What changes in work requirements are expected over the next 2-3 fiscal years?
- What actions is the Office performing that it could/should stop performing?
- What federal legislation is being considered?

II. Aligning the Workforce with the Strategic Direction

Once the organization’s mission requirements and program priorities have been identified and communicated to office directors it is time to start thinking about what type of workforce is needed to achieve the stated goals. The intent of this step in the process is to identify the type of workforce needed, in both workforce size and workforce skill, to meet identified requirements. This is an important step in the process because it creates the justification for the resources requested in the budget submission. A starting point for this step is to identify any mission changes from the current year. Any changes in work requirements should lead to changes in resource needs.

Roles:

- **Office Directors** - Perform a needs assessment based on the strategic direction of the organization to identify the types of employees, occupational series, grade, and skill sets, needed to meet mission requirements and program priorities.
- **Integrated Workforce Planning Teams** – Facilitates the needs assessment through meetings with office directors, helping them identify the resources needed to meet identified mission requirements.

Office directors should guard against assuming the existing workforce is best situated to meet new mission requirements and program priorities. This can lead to a workforce plan that mirrors the existing workforce even though work requirements will be changing. Below is a list of key data that can be reviewed and questions to be answered to help perform the needs assessment.

Key Data:

- **Resource Management Analysis & Tools** - Help quantify the amount of time an employee needs to complete tasks that support program requirements. (See Appendix A for an example)
- **Competency Models** – Help to identify the types of competencies needed to perform the work needed to meet mission requirements.
- **Comparable Industry Standards** – Help to quantify the workforce size and skill typically employed by comparable industries with comparable functions and mission requirements.

Key Questions:

- What type of workforce will be needed to meet identified mission requirements and program priorities? (occupation/grade/skill)
- What methodology was used to determine need?
- What are the timelines for the major program requirements? What time of year does most of the work occur?
- How might technology change the way you work?

III. Inventory Existing Workforce



During this step of the process, office directors begin to examine their existing workforce to evaluate its strengths and weaknesses. The intent of this step is to identify workforce gaps by comparing the existing workforce profile to the future workforce profile identified in Step II. The gaps identified help to formulate the gap closure strategies office directors should explore and provide the basis for resource requests in the budget submission.

The current workforce profile refers to the workforce available to perform the work. Profile analyses are a measurement of the number and type of staff office directors estimate to have now and in the future to perform the work. Both demographic and competency data need to be part of the review conducted by office directors. Examining these different components will identify workforce gaps by revealing if future workforce needs match existing workforce capabilities.

Roles:

- **Office Directors** – Evaluates the existing workforce for its ability to achieve stated mission requirements and program priorities; identifying existing competencies and forecasting the availability of those competencies based on retirement projections and attrition rates.
- **Integrated Workforce Planning Teams** – Supports the office directors' evaluation of existing strengths and potential threats present in the current workforce profile.
 - Helps evaluate the demographics of the existing workforce profile and highlight potential changes that may occur due to impending retirements or historical attrition rates.
 - Evaluates current competency profiles and help identify gaps between what is currently present in the organization and what is needed to meet future mission requirements.
 - Recommends strategies for closing identified workforce gaps; advising on what skills to hire, which to develop in existing staff and which to contract for.

It is also at this point in the process that office directors can plan to address human capital challenges identified during the analysis of the existing workforce profile; challenges such as an aging workforce, race/ethnicity/gender imbalances, and low veteran employment and so on. Addressing these challenges can help the overall human capital health of the organization and lead to increased productivity and engagement among employees. Below is a list of key data that can be reviewed and questions to be answered to help perform the evaluation of existing staff capabilities.

Key Data:

- **Workforce Profile Data** – Quantifies the existing workforce providing a snap shot of strengths and weaknesses (See Appendix B for an example).
- **Competency Assessments** – Quantifies the skill set and skill level of the existing workforce profile.
- **Workforce Ceilings** – Budgetary guidance on current and future year resource level estimates help to identify potential vacancies.

Key Questions:

- How does the staff align with current organizational priorities? How does it align with future priorities?
- What is the skill level of the current workforce?
- What current employees are impacted by the changing role of the organization?
- What can the organization do with current workforce no longer needed?
- Can future mission requirements be met with existing staff?
- Can required skills be obtained through sharing resources?
- Can contracting be cost-effective?

IV. Building the Budget Request

The intent of this phase in the process is for office directors to communicate the workforce needs of their Office with the Program Element Heads, by way of the budget submission process. Using all of the data collected in the previous steps, the submissions presented to the Program Element Heads should show clear alignment between the Office's program requirements and the resources they are requesting.

Roles:

- **Office Directors** – Determine the workforce needs to meet mission requirements and program priorities and document the costs



associated with obtaining that workforce. Resource needs should be communicated in a clear and concise manner so the Program Element Heads can make informed decisions on how to best allocate the resources for their organization.

- **Integrated Workforce Planning Teams** – Support the office director in prioritizing workforce gaps closure strategies identified in Step III through a cost benefit analysis.

Office directors should be prepared to include in their budget submissions a discussion on what program requirements they will not be able to meet if the identified resource needs are not approved. Below is a list of key data that can be reviewed and questions to be answered to help evaluate the gap closure strategies and best document future workforce needs.

Key Data:

- **Agency Annual Performance Plans** –Performance metrics and targets established in Organizational Management Plans are assigned to organizational sub-components. This data can be used by the sub-components to help set baseline resource levels for continuous program requirements.
- **Agency Performance and Accountability Reports (PAR)** – Measures agency performance against established targets and goals; can be reviewed to determine if previous resource levels were sufficient to meet identified targets.
- **Workforce Gap Closure Strategies** – The strategies identified in Step IV should be evaluated for cost effectiveness and impact on mission to help prioritize resource requests.

Key Questions:

- What are the projected funding levels for the Office?
- How do the gap closure strategies align with projected funding levels?
- What are the Office's priority programs? Is there funding available to fully support those programs?
- What changes to program requirements (performance targets/metrics) will be needed if requested resource levels are not approved?

V. Prioritizing Organizational Needs

The action at this stage in the process comes at the senior leadership level. Presumably each office director will have completed each of the previous steps and submitted a budget request that clearly identifies the resources needed to meet identified mission requirements and program priorities. With all the data in front of them, the Program Element Heads will be able to make informed decisions about how to best resource their organization.

Roles:

- **Program Element Heads** – Review budget submissions submitted by all of the office directors and make decisions about which funding requests to support.

- **Office Directors** - Defend their resource requests and engage in discussions about realistic performance targets. As stated in Step IV, the budget submission developed by the office directors should clearly state what can and cannot be accomplished if the resources approved do not match the resources requested.

Below is a list of key data that can be reviewed and questions to be answered to help evaluate the budget submissions and make decisions on organizational resource levels.

Key Data:

- **Office Director Budget Submissions** – identify the resources needed to meet mission requirements and program priorities.
- **Projected Funding Levels** – provide a framework against which resource allocation decisions can be made.

Key Questions:

- Does the Program Element Head have enough information to make an informed decision?
- Are resources properly aligned with mission requirements?

VI. Submit Budget Proposal

In addition to formally submitting the program office budget request to the Office of the Chief Financial Officer, Program Element Heads should communicate his/her decisions on the individual office director submissions. The intent of this step in the process is to formalize the priorities of the program office by carefully communicating how resources were allocated and the rationale for the final budget submission. This will help clarify expectations for office directors and increase the transparency of the budget process.

Roles:

- **Program Element Heads** – Submit organizational budget request to OCFO and communicate resource decisions to office directors.

VII. Execute Staffing & Development Strategies

The intent of this entire process has been to help office directors prepare for future mission requirements and program priorities by evaluating their workforce needs and developing strategies to close any identified gaps. The process is forward thinking, impacting future budget requests and identifying resource needs for future requirements with no action taken for at least one Fiscal Year. This delay between planning/evaluating and action allows office directors to prepare the strategies decided on in Step IV.

Working closely with the IWPT office directors can take action on three critical outputs of the workforce planning process during the gap between budget planning and budget execution. The three outputs are:

- An organizational staffing plan;
- An organizational development plan and;
- Contracting vehicles needed to purchase any skills or services identified during Step IV.

Organizational staffing plans identify the hiring actions for the Fiscal Year and provide critical information about the type of employees' organizations anticipate recruiting. Staffing plans can provide valuable information on grade, occupational series, competencies and location that can be used to help develop recruitment strategies to ensure high quality applicants. By taking the time to develop the staffing plan ahead of executing the Fiscal Year appropriation, office directors can be counseled by HR Specialists on the hiring and recruitment flexibilities available to provide the best pool of applicants for their specific job vacancies while also acting on current human capital initiatives.

Organizational development plans are used to identify the types of training/learning opportunities individual employees will need to transition from their current roles to the new roles needed to meet identified mission requirements and program priorities. Establishing the development plan ahead of the resources being allocated can position office directors to take advantage of any year end funding that becomes available, allowing employee to get ahead of training requirements needed for future mission requirements. By working with learning and development experts from the IWPT, office directors will be able to create development plans that are competency based and capitalize on blended learning opportunities for efficient use of available resources.

The final piece of the workforce gap closure strategies are the contract vehicles needed to acquire the skills and services that hiring and training cannot adequately provide. With ongoing efforts to reduce support service contracts securing such a contract may take more time to prepare the justification and office directors can use the time available in Step VII to develop a data based need for contracting services. Similar to having an organizational development plan in place early, preparing Statements of Work or Request For Proposals in advance can place office directors in position to capitalize on remaining resources available at the end of the Fiscal Year.

Roles:

- **Office Directors** – Documents workforce needs in the Staffing Plan, Learning and Development Plan and through contract vehicles.
- **Integrated Workforce Planning Teams** – Supports the office directors' through helping to develop action plans (Staffing Plan, Learning and Development Plan, contract vehicles) to implement workforce gap closure strategies.

Below is a list of key data that can be reviewed and questions to be answered to help develop the action plans needed to execute the workforce gap closure strategies.

Key Data:

- **Program Office Budget Submission** – Identifies the resource levels allocated to each Office Director.
- **Competency Assessments** – Quantifies the skill set and skill level of the existing workforce profile.

Key Questions:

- What current employees are impacted by the changing role of the organization?
- What types of training opportunities are available?
- What hiring flexibilities are available?
- What human capital initiatives is the Office trying to implement?

Appendix A

Resource Management Sample Tool

	Employee A (include Occupational Series and Grade)	Employee B (include Occupational Series and Grade)	Employee C (include Occupational Series and Grade)
Weekly Time Needed to Perform Task			
Mission Requirement/Program Priority			
Sub Task 1.			
Sub Task 2.			
Sub Task 3.			
Mission Requirement/Program Priority			
Sub Task 1.			
Sub Task 2.			
Sub Task 3.			
Mission Requirement/Program Priority			
Sub Task 1.			
Sub Task 2.			
Sub Task 3.			

Appendix B

Workforce Profile Sample

Org Code	Total Strength	Average Age	Average YOS	Manager/ Supervisor Strength		People w/ Targeted Disabilities		Veterans		% Retirement Eligible		%Male	%White	Average Grade
				Count	Percentage	Count	Percentage	Count	Percentage	Count	Percentage			
1000	28	44.5	10.1	5	17.9%	0	0.0%	0	0.0%	4	14.3%	50.0%	82.1%	12.3
1300	11	52.1	19.8	2	18.2%	0	0.0%	3	27.3%	6	54.5%	45.5%	18.2%	13.5
1400	38	46.8	15.4	8	21.1%	2	5.3%	1	2.6%	16	42.1%	31.6%	23.7%	12.1
1600	46	48.9	13.6	5	10.9%	1	2.2%	23	50.0%	13	28.3%	84.8%	63.0%	13.8
Total	123	48.1	17.7	20	16.3%	3	2.4%	27	22.0%	39	31.7%	53.0%	46.8%	12.9