

OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY

Human Capital Management Strategic Plan

Readiness Diversity
Readiness Diversity

Excellence
Excellence



September 2006



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EXECUTIVE SUMMARY

The Office of Electricity Delivery and Energy Reliability (OE) is a young organization, established in May 2005 to modernize the Nation's electric grid, enhance security and reliability of the energy infrastructure, and facilitate recovery from disruptions to the energy supply. The nature of OE work is applied research, senior policy analysis, and infrastructure security. OE is a streamlined, nimble organization that performs its work with mission-focused employees. The workforce, whose demographics mirror private sector senior policy and applied research organizations, is comprised of a largely white, male, senior technical staff that is aging and retirement eligible. OE accomplishes its work with limited resources by leveraging administrative flexibilities, and works to grow future leaders by transferring and sharing knowledge.

In October 2005, OE completed and implemented its first Human Capital Management Strategic Plan (HCMSP). Since then, OE has developed detailed Division Workforce Staffing Plans for each of its three divisions and the Resource Management (RM) staff. Each Division Plan describes its recruitment/retention, succession, training and development and transition activities. The Division Workforce Staffing Plans, in turn, were used to update and improve the September 2006 HCMSP. OE plans to continue this cycle of constant improvement as the way we manage our human capital.

The FY2006, HCMSP identified three workforce goals: Workforce Readiness; Diversity, and Workforce Excellence. The plan identified eight strategies to enable OE to accomplish its goals. The following are the highlights of OE's FY2006 goals, Strategies, and accomplishments.

Goal – Workforce Readiness – Strategy 1 – Strategic Alignment

Achievement: Linked our human capital strategies and plans by forming the Human Capital Planning Group (HCPG), chaired by the Chief Operating Officer. Integrated HC planning in our day-to-day operations through the implementation of our Human Capital Planning Implementation process. Aligned our performance plans and expectations with DOE and OE strategic goals and objectives.

Goal – Workforce Readiness – Strategy 2 – Workforce Planning and Deployment

Achievement: Maintained nimble organization through flat structure and 1:11 supervisory ratio. Began reshaping the workforce through early retirement and buyout incentives. Leveraged HC data to manage HC resources. Maintained two-way communication through weekly staff meetings and annual OE Planning meeting.

Goal – Workforce Readiness – Strategy 3 – Leadership

Achievement: Used developmental assignments, e.g., presentations to stakeholders including senior industry officials, to build leadership capability. Identified FY2007 succession positions, candidates, and appropriate training as reflected in the FY2007 Succession Plan.

Goal – Workforce Readiness – Strategy 4 – Knowledge Management, Knowledge Sharing, Training and Development

Achievement: Transferred knowledge through shadowing, rotations, and details. Enhanced knowledge sharing between Forrestal and Morgantown through visualization link. Developed a DOE-compatible OE website. Identified FY2007 training needs and documented these in the FY2007 Training Plan.

Goal – Workforce Readiness – Strategy 5 – Talent, Recruit, Hire, Retain

Achievement: Developed OE Workforce Staffing Plan that identifies FY2007 planned HR actions, position by position. Leveraged administrative flexibilities, e.g. details from PMA and FERC to acquire talent to accomplish work. Report on a weekly basis the status of HR actions to OE management. Hired three junior staff, all under 40, in mission-critical occupations.

Goal – Diversity – Strategy 6 – Workforce Diversity

Achievement: One of the three new hires is a disabled veteran. All OE staff completed annual Diversity Awareness and Sexual Harassment training.

Goal – Workforce Excellence – Strategy 7 – Performance Culture

Achievement: All OE performance plans link to OE mission goals and objectives. Twenty-six percent of OE staff received monetary rewards in FY2006. OE Director established and selected an Employee of the Year.

Goal – Workforce Excellence – Strategy 8 – Human Capital Management Accountability

Achievement: Established process for measuring progress against HCMSP.

Looking Ahead in 2007

Based on the foundation we established in FY2006, in 2007 we plan to take the following actions to continue building towards our vision – “The Office of Electricity Delivery and Energy Reliability sets the benchmark for performance excellence through workforce competence, flexibility, and continuity.”

We plan to:

Goal – Workforce Readiness – Strategy 1 – Strategic Alignment

- * Continue integrating human capital management into our day-to-day decision-making through the Division Staffing Plans.
- * Our FY07 performance goal is to maintain our total program support at less than 12 percent.
- * Maintain our streamlined, nimble, and cost-effective operation through our flat organizational structure and 1:9 or higher supervisory ratio.

Goal – Workforce Readiness – Strategy 2 – Workforce Planning and Deployment

- * Continue to identify and implement appropriate competitive/outsourcing opportunities by developing measures for competitive/outsourcing as a percent of OE's total budget.

Goal – Workforce Readiness – Strategy 3 – Leadership

- * Implement our succession plan designed to assure leadership continuity.
- * Identify candidate for Senior Executive Service training.

Goal – Workforce Readiness – Strategy 4 – Knowledge Management, Knowledge Sharing, Training and Development

- * Mitigate our knowledge management challenges through our ongoing activities that transfer and share knowledge, e.g., transfer of emergency response knowledge in ISER.
- * Implement our training and development plan that identifies and prioritizes our training needs.
- * Enhance our teamwork to continue the solidification of OE as an organizational unit.

Goal – Workforce Readiness – Strategy 5 – Talent, Recruit, Hire, Retain

- * Within the timeframes and requirements outlined in our Staffing Plan, we will increase our infrastructure and cyber security expertise, analytical capability, and expertise in modeling and visualization.
- * Continue use of administrative flexibilities, e.g., details to perform work, and the outsourcing of program assistance, project performance work, and administrative support to maintain our streamlined operation.

Goal – Diversity – Strategy 6 – Workforce Diversity

- * Strengthen our diversity awareness through training and modeling activities, and by building applicant pools through outreach activities outlined in our recruitment plan.

Goal – Workforce Excellence – Strategy 7 – Performance Culture

- * Assure that our human capital decisions support the DOE mission, strategy, and goals by cascading performance elements from the DOE and OE goals and objectives in OE performance plans.
- * Acknowledge jobs-well-done at weekly staff meetings and similar staff meetings.

Goal – Workforce Excellence – Strategy 8 – Human Capital Management Accountability

- * Use the success measures and success indicators to track our progress.

CHAPTER I—PROGRAM SUMMARY

Mission

The mission of the Office of Electricity Delivery and Energy Reliability is to lead national efforts to modernize the electric grid; enhance security and reliability of the energy infrastructure; and facilitate recovery from disruptions to energy supply.

Program Focus

OE accomplishes its mission through three programmatic divisions: Research and Development; Permitting, Siting, and Analysis; and Infrastructure Security and Energy Restoration. The Resource Management staff provides the support, planning, performance oversight, and integration that facilitates office-wide achievement of OE's mission. Seven FTE within the National Energy Technology Laboratory (NETL) provide ongoing technical and project management support.

Enhancing the security and reliability of the energy infrastructure and modernizing the electric grid are inextricably linked. While new technology can help reduce vulnerability, at the same time developers of new technology must be concerned with how it will impact energy infrastructure vulnerability and the ability to recover from disruptions. In pursuing an integrated approach to the synergies involved in modernizing the grid while enhancing its security and reliability and facilitating recovery, OE strives to leverage limited resources to achieve significant results in all three arenas.

The Office of Electricity Delivery and Energy Reliability is committed to accomplishing the following strategic goals.

Energy Security (DOE Strategic Theme 1)

Work with FERC and other agencies to improve opportunities for investment in electricity generation and transmission.

Strengthen grid stability and reduce the number and duration of operational disturbances (reliability).

Increase energy efficiency of the electric delivery system through reduced energy losses (energy efficiency) (Also DOE Goal 1.4 Energy Productivity).

Reduce peak prices and price volatility of electricity, increasing asset utilization, and improve accessibility to a variety of energy sources for electricity generation (system efficiency) (Also DOE Goal 1.4).

Strengthen the energy infrastructure security, resiliency and reliability.

Facilitate recovery from disruptions to the energy supply.

Assist in developing policies that advance improvements in the electric grid.

Scientific Discovery and Innovation (DOE Strategic Theme #3)

OE accomplishes its work with limited resources by leveraging talent and resources from other DOE program offices,

the academic community, industry, and stakeholders to achieve major scientific discoveries. OE's sought-after senior expertise in power systems, energy storage, distributed energy, and superconductivity provides a catalyst that facilitates specialists from all areas to work together to drive U.S. competitiveness and to revolutionize approaches to the Nation's energy, national security, and environmental quality challenges. (DOE Goal 3.1)

OE helps to integrate basic and applied research to accelerate innovation and to create transformational solutions for energy and other U.S. needs. (DOE Goal 3.3)

Management Excellence (DOE Strategic Theme #5)

OE strives for management excellence by pursuing best practices with an integrated approach to management, planning, performance, human capital, and financial resources. (DOE Goals 5.1, 5.2 and 5.4)

FY2007 OE Budget Priorities¹

Research and Development

High Temperature Superconducting

Complete six months' operation of superconducting cable operating on a grid at greater than 10 kilovolts.

Visualization and Control

Demonstrate the automatic control of reactive power on a utility grid using real time data from a phasor measurement-based system and publish a report on the findings.

Energy Storage and Power Electronics

Complete data collection and monitoring on four pioneering energy storage

systems in collaboration with the California Energy Commission and New York State Energy Research and Development Authority.

End-Use Systems Integration and Interface

Develop second packaged CHP system, which operates at 70+ percent efficiency.

Permitting, Siting, and Analysis

EPACT Requirements

Begin the process to designate National Interest Electric Transmission Corridors.

Complete regulations on implementing DOE's lead agency role in coordinating all federal agency permits and environmental reviews for electricity transmission facilities.

Identify areas of major energy transmission congestion.

Monitor and analyze actions for the Electric Reliability Organization (ERO).

Policy Analyses and Technical Assistance

Conduct technical analyses in partnership with State, regional, and national organizations that have roles in electric markets and regulations.

Serve as a clearinghouse to assist and inform State and regionally based policymakers on electricity market policies and programs.

Assist stakeholders to develop approaches to a more reliable and efficient supply and delivery system for retail electric service and portfolio management.

Provide technical assistance to existing and emerging regional electricity organizations responsible for wholesale power systems operations and coordination.

¹ Source: FY2007 Congressional Budget, Energy Supply and Conservation Office of Electricity Delivery and Energy Reliability

Permits

Conduct ongoing work to review and issue permits for the construction, operation, maintenance, and connection of electric transmission facilities at U.S. international borders and authorize export of electric energy.

Assist in developing policies that advance improvements in the electric grid.

Infrastructure Security and Energy Restoration

State/Local Government Partnerships

Assist States with energy security activities and energy disruption plans.

Exercises and Outreach

Conduct exercises, education, simulations, and outreach that will permit State and local governments to improve energy security practices and emergency planning and response capabilities.

Visualization

Develop visualization and modeling capabilities to create simulations for use in State and local government exercises and for tracking in real-time emerging energy sector problems.

Criticality/Vulnerability Assessment

Partner with States, industry, and DHS to facilitate in-depth vulnerability assessments, and prioritize critical assets and nodes in oil, gas, and electricity sectors.

CHAPTER II—2006 HUMAN CAPITAL ACCOMPLISHMENTS AND WORKFORCE SUMMARY

Human Capital Framework

The Department of Energy (DOE) Human Capital goal is:

The Department of Energy's human capital management goal is to have the right people in the right place at the right time to efficiently and effectively advance the national, economic and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.

OE Human Capital Vision

We established this vision to lay out the road we plan to drive with our workforce goals to enable DOE's workforce goal by ensuring our workforce is ready and diverse, and our practices are excellent.

The Office of Electricity Delivery and Energy Reliability sets the benchmark for performance excellence through workforce competence, flexibility, and continuity.

OE Business Vision

Within three years, we will have strengthened our ability to deliver consistent performance readiness and results by fortifying investment in our employees through integrated planning and systems, and cost-effective processes and operations.

In addition, we established a business vision to guide our human capital business processes.

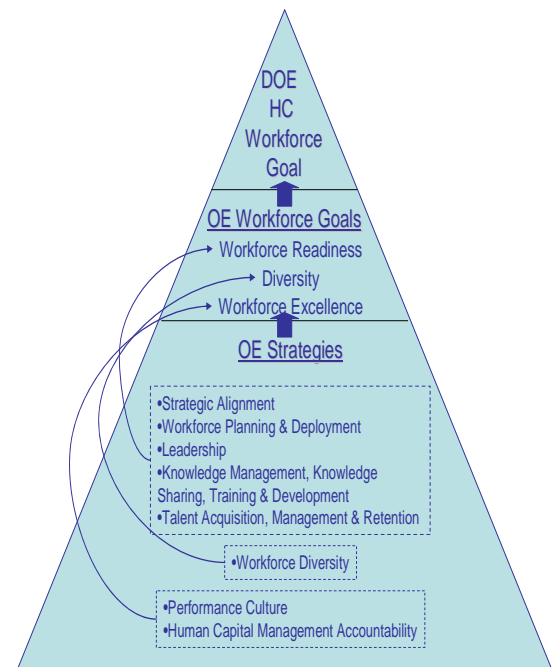
OE Workforce Goals

To enable DOE to meet its human capital goal and OE to reach its human capital vision, in FY2006 OE established three workforce goals

- * Workforce Readiness
- * Workforce Diversity
- * Workforce Excellence

To facilitate accomplishing these goals, we identified eight workforce strategies. The following graphic illustrates how OE's goals link to DOE's capital goal, OE's human capital goals, and the specific strategies that enable goal accomplishment.

Graphic 1, DOE and OE Human Capital Linkages



FY2006 Accomplishment Summary

To solidify our transition to a single organization and ensure inclusion of human capital planning in our decision-making process, we are integrating our human capital management strategic plan (HCMSP) into our day-to-day operations. The process is detailed in [Appendix A](#).

The result of this process is a detailed OE Workforce Staffing Plan² that outlines our planned human resources (HR) actions for the fiscal year and informs the OE budget process by identification of new or restructured positions. These planned actions form the foundation of our recruitment, succession, training and development, and transition plans, as well as direct the timing and content of our Personnel Action Requests (SF-52s).

We plan to share these results in September 2006, and every September thereafter, with our Department of Energy (DOE) HR team to enable the annual OE HR workload plan. We anticipate the Workforce Staffing Plan will facilitate significant improvement in our hiring—times, as well as other HR service delivery by providing the DOE HR Department with our planned actions, action priority, and projected timeframes.

In addition, we implemented our FY2006 Action Plan, contained in the FY2006 HCMSP. [Appendix B](#) outlines the specific goals, actions, schedule, success measures, and our accomplishments. In FY2006, one of our significant accomplishments was the establishment and implementation of the Human Capital Planning Group (HCPG). The purpose of this group is to identify human capital priorities, ensure coordination and integration with the budget process, implement agreed upon HC solutions, and notify and/or brief senior OE leadership

and/or appropriate DOE staff of issues, challenges, and proposed solutions beyond the scope of the group.

Headed by the OE Chief Operating Officer (who is accountable for the linkage of this plan to the Department of Energy mission, strategy, and goals), the group includes the Program Manager (HR), Program Analyst (Strategic Plan, PMA, and Budget Integration), and contract support.

The following provides a summary of our FY2006 strategy accomplishments.

Strategic Alignment

To ensure workforce readiness, increase competence, flexibility, and continuity, our FY2006 strategic alignment strategies/initiatives included:

- Develop/regularly update a Human Capital Management Strategic Plan (HCMSP) linked to program goals and strategies.

- Establish ongoing OE-wide collaboration on HC planning through crosscutting planning and business practices.

Our actions resulted in the following accomplishments:

- Ensured the linkage of our program goals and strategies by forming the Human Capital Planning Group (HCPG) chaired by the Chief Operating Officer, responsible for, among other duties, the integration of human capital strategies and solutions with other OE planning activities, e.g., budget planning, strategic planning, and performance planning.

- Integrated human capital management strategic planning into OE's day-to-day operations through the Human Capital Planning Implementation Process.

² The FY2006 Workforce Staffing Plan results will be provided separately due to the sensitivity of the information.

Baselined our workforce efficiency measure to be used as an Annual Performance Target in FY07.

Included a management excellence goal in the draft OE Strategic Plan.

Established and maintained management guidance and reference tools, e.g., electronic integrated calendar.

Aligned employee performance standards with DOE's and OE's mission, goals, and objectives.

Tracked, assessed, and reported performance against the OE HCMSP.

Revised the HCMSP.

Saved on IT support costs by using the CIO's prime contract to acquire two full-time personnel.

Developed improved detailed financial and performance analysis and reporting from STARS strengthening OE's workforce management capability.

Deployed the HC Planning Implementation Process, which integrates the HCMSP with OE's day-to-day operations through structured one-on-one meetings with OE management regarding, among other issues, how to leverage current talent and identify tomorrow's talent requirements.

Leveraged HC data to manage HC resources as reflected in detailed OE Workforce Staffing Plan.

Ensured ongoing two-way communication in weekly staff meetings open to all employees and attended by OE's senior management.

Organized annual OE Planning Meeting with opportunity for all staff to discuss program strategy, workload, and workforce issues.

Workforce Planning and Deployment

Our FY2006 organization and workforce planning strategies/initiatives included:

Complete transition to the new organization and consolidation of initiatives.

Leverage opportunities for competitive sourcing.

Strengthen OE's workforce planning and analysis capability.

Maximize use of electronic capabilities to manage human capital strategically.

Our actions resulted in the following accomplishments:

Maintained a 1:11 supervisory ratio.

Reshaped the workforce through a buyout to reduce surplus positions and competencies and target essential skills and competencies to focus on mission-critical work.

Leadership

Our FY2006 leadership strategies/initiatives included:

Develop and update OE's Succession Plan using DOE's Leadership Competency Model.

Strengthen SES and mid-level training and development based on identified succession planning needs.

Strengthen participation in DOE and other leadership programs.

Our actions resulted in the following accomplishments:

Completion of leadership training by one OE employee.

Used developmental assignments for PMF employees; e.g., presentations to OE stakeholders, including senior industry officials and other senior officials, regarding OE products and services.

Identified FY07 succession positions, candidates, and appropriate training to be reflected in the FY07/08 Succession Plan.

Knowledge Management, Knowledge Sharing, Training and Development

Our FY2006 knowledge management, sharing, and training and development strategies/initiatives included:

Continue enhancement of OE's website and electronic library.

Continue input into DOE KM Portal.

Link Forrestal and Morgantown visualization capabilities.

Expand use of DOE knowledge management/resource management systems.

Develop and implement a comprehensive OE training plan.

Implement training and retraining to fortify OE knowledge and skills in leadership and mission-critical and identified core competencies.

Develop training and development evaluation process, including metrics, to determine impact on employee and OE performance.

Develop new OE orientation briefing, materials, and transition support.

Our actions resulted in the following accomplishments:

Developed a DOE-compatible OE website that posts current information as it becomes available.

Initiated OE Intranet with contractor support acquired to develop Intranet infrastructure and begin organizing information and knowledge-sharing content to deploy on Intranet.

Ensured ongoing sharing of knowledge through strengthened collaboration between Morgantown and Forrestal via the visualization link.

Transferred knowledge through shadowing. New staff members shadowed senior staff and developed talent to address real-time issues and challenges by participation as presenters of EPACT information to stakeholders; participating in senior level infrastructure meetings and other activities; and, pairing junior technical staff with senior, retirement eligible experts, to transfer knowledge.

Trained 35 employees from other DOE components in emergency response.

Used details to broaden knowledge base of junior staff by rotating details of junior staff to perform broader range of duties.

Identified all detailed training needs and funding for FY07 to be reflected in the FY07/08 Training and Development Plan.

Talent; Recruit; Hire and Retain

Our FY2006 talent, recruit, hire and retain strategies/initiatives included:

Develop/update Staffing Plan.

Develop/update comprehensive recruitment plan.

Expand use of administrative flexibilities to recruit, hire, and retain mission-critical-talent.

Our actions resulted in the following accomplishments:

Developed current OE Workforce Staffing Plan and Division Staffing Plans that reflect position-by-position planned actions for FY07.

Created current OE comprehensive recruitment plan that indicates positions for external recruitment, potential sources, and targets.

Reassigned four employees from the Office of Energy Efficiency and Renewable Energy to consolidate DOE's Distributed Energy activities.

Made extensive use of administrative flexibilities to acquire talent and provide expertise; e.g., contract with a renowned expert in energy storage and power systems to increase knowledge and assist with EPACT deliverables; details from FERC, PMA, and WPA for knowledge exchange; DHS rotational assignment to increase understanding of the interdepartmental relationships.

From FY2005 to date, completed three external hires, targeted young talent to diversify age, decrease retirement eligibility, and provide internal applicant pool. Targeted an additional PMF hire for FY07 to reduce hiring time and increase

internal talent pool, and continue to target young talent.

Provided OE management weekly HR action reports to keep them aware of HR action processing.

Established HC Planning Group, comprised of senior OE management, to review and address HCM issues and challenges.

Implemented the HC Planning Implementation Process that integrates HCMSP with OE's day-to-day operations through structured one-on-one meetings with OE management regarding, among other issues, talent acquisition and retention.

Workforce Diversity

Our FY2006 workforce diversity strategies/initiatives included:

Strengthen OE diversity awareness.

Strengthen OE diversity in underrepresented groups, emphasizing those underrepresented in management and mission-critical positions.

Our actions resulted in the following accomplishments:

One of three new FY06 external hires is a disabled veteran.

Implemented the HC Planning Implementation Process, which integrates HCMSP with OE's day-to-day operations through structured one-on-one meetings with OE management regarding, among other issues, strategies and approaches to increase awareness of OE diversity challenges and issues.

All OE employees completed the annual diversity awareness and sexual harassment training.

Performance Culture

Our FY2006 performance culture strategies/initiatives included:

Create a clear, uniform message for communicating the link between program and individual performance.

Implement new DOE performance management guidance.

Strengthen use, visibility, and uniformity of recognition and awards.

Develop and communicate a process for improving low performance during the performance cycle.

Invest in manager/supervisor training related to performance management.

Our actions resulted in the following accomplishments:

Provided written guidance to all employees explaining performance program and performance expectations.

Created performance plans for all OE employees that link program goals and individual performance.

Held supervisor-employee meetings to clarify performance expectations, and progress in meeting these expectations.

Acknowledged jobs-well-done at weekly staff meetings and formally acknowledged award recipients. Monetary awards were given to 26 percent of OE staff. OE Director established and selected an Employee of the Year to recognize outstanding achievement.

All staff participating in DOE workplace flexibilities, e.g., DOEFlex and AWS, met and maintained eligibility requirements.

Implemented the HC Planning Implementation Process, which integrates HCMSP with OE's day-to-day operations through structured one-on-one meetings with OE management regarding, among other issues, strategies and approaches to identify performance issues and challenges.

Human Capital Management Accountability

Our FY2006 human capital management accountability strategies/initiatives included:

Develop/update performance indicators for measuring progress.

Establish process for tracking, monitoring and reporting progress in meeting HCM goals, including cost-effectiveness and impact on program results.

Our actions resulted in the following accomplishments:

Established HC Planning Group (HCPG) to review and address HCP issues and challenges and integrate HC into all OE planning processes. The HCPG is responsible for establishing priorities, ensuring coordination with OE planning processes, and notifying senior OE leadership and DOE of issues beyond the scope of the group.

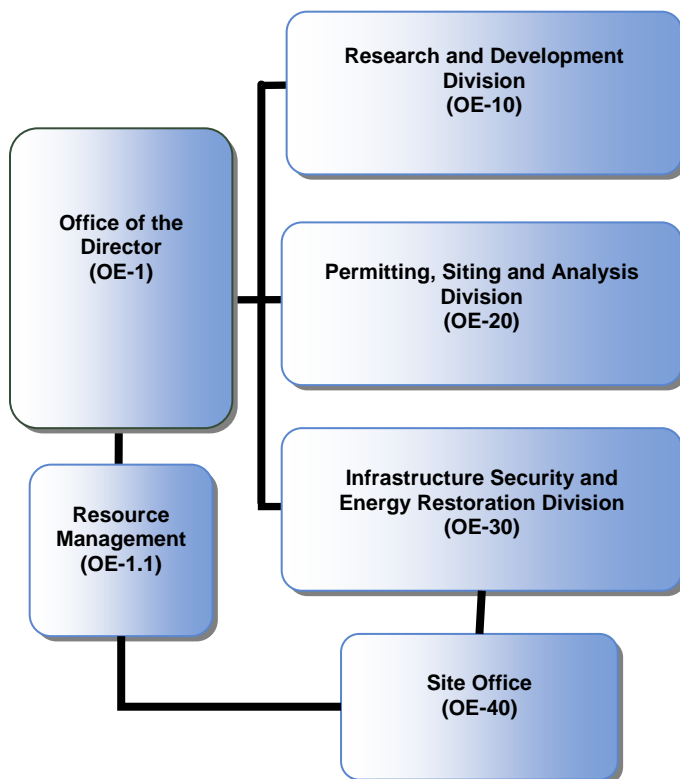
Implemented the HC Planning Implementation Process, which integrates HCMSP with OE's day-to-day operations through the engagement of management in the development of their business line Staffing Plans.

Workforce Summary

Organization

As illustrated in the following chart, the organization consists of the Office of the Director and three mission-focused divisions. A field component, located at the National Energy Technology Laboratory (NETL) in Morgantown, West Virginia and Pittsburgh, Pennsylvania, provides technical and project management support. These field employees report to OE's Deputy Director for Infrastructure Security and Energy Restoration and the Chief Operating Officer in Resource Management. The Resource Management Staff provides matrix support to, and an integrating impact upon, the entire organization.

Chart 1, OE Organization Chart



Research and Development (R&D) Division

Research and Development supports a portfolio of research on advanced electricity technologies that will influence the future of all aspects of the electric transmission and distribution system. Research in Visualization and Controls, High Temperature Superconductivity, Distributed Energy, Energy Storage, and Power Electronics is laying the groundwork for the future electric grid.

Permitting, Siting, and Analysis Division

Timely, accurate, and defensible policy and market analysis is a key ingredient to building and sustaining successful programs at DOE. The Permitting, Siting, and Analysis division coordinates OE policy-related activities including the implementation of selected provisions of the Energy Policy Act of 2005.

Infrastructure Security and Energy Restoration (ISER) Division

Leads the federal government's effort to ensure a robust, secure, and reliable energy infrastructure by improving the ability of energy sector stakeholders to prevent, prepare for, and respond to threats, hazards, and supply disruptions. ISER directly implements Homeland Security Presidential Directives 7 and 8.

Resource Management (RM) Staff

The small staff provides the support planning, performance oversight and integration management that facilitates office-wide achievement of OE's mission and improved alignment with DOE's strategic goals.

Analysis Summary

The nature of OE work is applied research, senior policy analysis, and infrastructure security. A streamlined, nimble organization, OE performs its work with mission-focused employees. The workforce, whose demographics mirror private sector senior policy and applied research organizations, is comprised of a largely white, male, senior technical staff that is aging and retirement eligible. OE accomplishes its work with limited resources by leveraging administrative flexibilities, and works to grow future leaders by transferring and sharing knowledge.

The following is a quick summary of our workforce analysis. For a more detailed look, including charts and graphs, see [Appendix C](#), OE Workforce Analysis.

OE Workforce Profile

- * Our on-board account is 56 and projected to be 58 by the end of FY2006 with the addition of two political appointments.
- * Our authorized full-time-equivalent (FTE) for FY2006 is 60; for FY2007 our authorization is 70. We are actively recruiting for 17 positions; 10 targeted to external hires, 5 targeted to internal hires, and two additional recruits are proposed. We are working with the Department of Energy Office of Human Resources (OHR) to establish timeframes by which to complete these hires based on our detailed Workforce Staffing Plan.
- * Mission-critical occupations total 79 percent of our workforce. The following lists the occupations and the number of current employees in each occupation.
 - o Social Scientist (0101) = 1
 - o Director, Policy Advisor, Program Specialist (301) = 7
 - o Program Manager (0340) = 2
 - o Program Analyst, Management and Program Analyst (0343) = 3
 - o General Engineer, Electrical Engineer (0801, 0830, 0850) = 16
 - o Infrastructure Systems Analyst, Energy Trade Analyst, Electricity Import/Export Analyst, Security Assistant (1101) (086) = 12
 - o Physical Scientist, Physicist (1301,1310) = 3
- * Our Federal Activities Inventory Reform (FAIR) inventory designates 100 percent of OE positions as inherently governmental, which illustrates our streamlined, mission-focused workforce.
- * We are a flat and nimble organization as illustrated by our supervisory ratio of one supervisor for every eleven employees, which empowers employees to make on-the-spot business decisions.
- * One hundred percent of our workforce occupies full-time-permanent positions, which also illustrates our streamlined, mission-focused workforce, as our support and project work is accomplished through administrative flexibilities, e.g., details, rotational assignments, and outsourcing.
- * We use administrative flexibilities to transfer and share knowledge as well as a means to accomplish work; 23 percent of our employees participated in details to other work.
- * Thirty percent of our workforce is female, up from 27 percent at the end of FY05, illustrating our commitment to increase female representation.
- * Twenty-nine percent of our workforce is minority.
- * Our average grade is GS-13, which illustrates the highly technical and complex mission of applied research

and senior policy analysis, as well as our streamlined organization; we have limited room for junior staff.

- * All FY06 hires were in mission-critical occupations; we targeted junior staff to improve our age profile and internal applicant pool. We hired one Security Assistant, GS-086 -7; and two Infrastructure Systems Analysts, GS-1101-09.
- * As of August 2006, we lost no staff. However, our ongoing workforce analysis identified surplus competencies and skills. Based on an analysis, thirteen positions were targeted for buyout and early out authority. We project three losses from the buyout.
- * We take care of our employees as illustrated by the promotion of 16 percent of our staff; 7 percent of the staff received merit promotions and 9 percent career ladder promotion.
- * 26 percent of our staff received monetary awards; 16 percent Quality Step Increases ; 13 percent On-the-Spot; and 7 percent Special Act, including our employee of the year.
- * The average age of our staff is 49; the average age of our leadership and knowledge pool is 51.
- *

- * A large percentage of our workforce is retirement eligible. In FY2006, 32 percent meet the requirements for optional retirement, and 41 percent meet the requirements for early and/or optional retirements. In FY2007, without any additional hires or losses, our workforce retirement eligibility increases to 34 percent of staff that meet the requirements for optional retirement, and 43 percent that meet the requirements for early and/or optional retirements. In addition, these employees represent our senior management and technical leadership, and a large percentage of these groups are females and minorities..

Gap Analysis Summary

The findings of the workforce analysis depict a strategically aligned, highly motivated, high performing workforce. Training, development, and advancement are aggressive. The workforce gaps diminish OE's ability to strengthen the reliability of the energy infrastructure, including cyber security and emergency response and R&D that will modernize the infrastructure.

Workforce Gaps

- * Programmatic expertise is missing in cyber infrastructure, infrastructure counter terrorism, visualization, and market modeling.
- * Surplus positions and skills exist due to shifting mission requirements and solidification of OE as an organizational unit.
- * Increasingly complex laws and regulations and increasing consultative requirements require stronger communication, analysis, and consulting skills.
- * The continued solidification of OE as an organizational unit requires teamwork training and development.
- * Increasingly complex R&D and Resource Management contracts require stronger project management skills.
- * The talent pipeline is top-heavy and aging.
- * The workforce is top-heavy, aging, and vulnerable to losing skills and institutional memory.
- * Retirements in grades 13 – 15 will affect females and minorities.
- * Females are underrepresented in leadership as well as in Science and Engineering Occupations in general.

CHAPTER III—NEXT STEPS

Readiness

Readiness

Readiness

The cornerstone of our Plan is workforce readiness. Workforce readiness means filling critical skill and knowledge gaps through successful recruitment, development, transition of surplus skills, and retention of employees in order to build workforce competence, flexibility, and continuity that match our mission-critical needs. Our Plan builds on the actions we took in FY2006. Our strategies to enable this goal are:

Strategic Alignment; Workforce Planning and Deployment; Leadership; Knowledge Management, Knowledge Sharing, Training and Development; and Talent Acquisition, Management and Retention

Diversity

Diversity

Diversity

Our Plan includes workforce diversity, that is, organizational wellbeing that derives from the principles of fairness, inclusiveness, and respect. We are committed to modeling and accountability for behavior that values and respects the diversity of ideas, gender, race, and culture. We are responsible for actions that translate meaningful employment goals into recruitment and training actions in order to build and sustain workforce diversity. Our Plan builds on the actions we took in FY2006. Our strategy to enable this goal is:

Workforce Diversity

Excellence

Excellence

Excellence

Our Plan establishes four objectives for our performance management process: Clarity, high performance, accountability, and recognition. A major goal is to strengthen our performance management process by placing greater emphasis on meaningful inter-personal communications about organizational goals, expectations, performance, results, and career development. Our Plan builds on the actions we took in FY2006. Our strategies to enable this goal are:

Performance Culture and Human Capital Management Accountability

In FY2007, to address our workforce gaps and ensure we move down the road to reach our vision and attain our workforce goals, we will implement, track, monitor our actions, and measure our success against each of our eight workforce strategies. Our FY2007 Action plan, including our goals, strategies/initiatives, actions, success measures, and quantitative success measures are outlined in detail in [Appendix D](#), Human Capital Management Action Plan FY2007, and Quantitative Success Measures.

Looking ahead to FY2007

- * We will continue integrating human capital management into our day-to-day decision-making through OE management developing and implementing their Division Staffing Plans, and the implementation of HC solutions through our Human Capital Planning Group (HCPG), chaired by the Chief Operating Officer.
- * We will ensure that our human capital decisions support the DOE mission, strategy, and goals by cascading performance elements from the DOE and OE goals and objectives, as outlined in our FY07 budget and performance documents, in OE performance plans.
- * We need to increase our infrastructure and cyber security expertise for OE's lead federal role to reduce the vulnerability of the Nation's critical energy assets; we need analysts to assist with the ever-increasing complexity of energy market laws and regulations; and we need expertise in modeling and visualization to increase industry, stakeholder, and public understanding of energy delivery and reliability issues and challenges. Our detailed Workforce Staffing Plan, to be shared with DOE OHR in September, outlines the number, specific competencies, and improved hiring timeframes for workers we need to acquire. (See [Appendix E](#), Critical Skills Gap Analysis for additional information.)
- * To assure workforce leadership continuity, we identified succession positions and succession candidates, identified learning tracks, shadowing activities, and learning programs to fortify leadership skills, and prioritized these activities in our succession plan.
- * To mitigate our knowledge management challenges, we plan to continue our knowledge management activities of transferring knowledge through shadowing activities, i.e., assignment of young talent to senior staff, and rotational assignments, i.e., acquiring staff from and rotating OE staff to FERC, PMA, DHS, and other stakeholders. In the fourth quarter of FY2006, we began a project to share staff knowledge by capturing staff publications and technical documents and making these available and searchable via the Intranet. In addition, we need to prepare our staff to meet our future leadership needs, communicate effectively with our stakeholders and the public, and assist States, local governments, and international customers. Our Training Plan documents our training needs and priorities.
- * To address under representation by women and minorities, we plan to strengthen our diversity awareness through training and modeling activities, and by building applicant pools through outreach activities outlined in our recruitment plan.
- * In order to continue the solidification of OE as an organizational unit, we need to enhance our teamwork. In addition, we need to continue to grow and develop our staff to meet the ever-increasing complexity of our projects, and the laws and regulations that govern transmission and delivery, and to ensure the reliability of our infrastructure.
- * Our plan is to continue our success, as represented by our response to Hurricane Katrina and our EPACT deliverables, by maintaining OE as a streamlined, nimble organization. Our flat organizational structure and 1:9 or higher supervisory ratio, continued use of administrative flexibilities (e.g., details to increase knowledge and perform work), and the

outsourcing of program support, project performance work, and administrative support assures that we maintain our streamlined operation. We plan to continue to build our technical expertise in our program work, ensure that our contracting officer representatives have the knowledge and skill to obtain the products and services for which we contracted, and that we are good stewards of the public's money.

- * Our FY07 performance goal is to maintain total program support at less than 12 percent.

The Department of Energy (DOE) guidance issued July 31, 2006, requested that the Program Plans addressed the following areas. This table links the OE strategy to the DOE human capital requirements.

OE Strategy and DOE Workforce Priority Matrix
Table 1

OE Strategy(ies)	DOE HC Area
1, 7	Integrate HCM Plan into decision-making processes; Insure that the Plan is linked to the DOE Mission, strategy and goals, and that it designates an accountable official
5	Demonstrate improvement in meeting hiring-time goals; Plan should address what the Program is doing to improve hiring time. Discuss auditable system for collecting and analyzing hiring data
2, 4, 5	Significantly reduce skills gaps in mission-critical occupations <ul style="list-style-type: none"> o identify mission-critical skills, needs, no. available, and gaps o address certification needs by level for project managers, contract, and information technology managers o develop strategies to create workplace that attracts talent o integrate the results of competitive sourcing and e-Gov o identify top three organizational critical skills and discuss progress toward closure of gaps
3, 4	Implement succession strategies: include executive development programs, leadership talent pool, continuously updated to assure continuity of leadership and knowledge and employee development efforts
4	Discussion on Knowledge Management effort
6	Implement strategies to address under-representation of women and minorities in all levels of the workforce, particularly in mission-critical occupations and leadership. Establish processes to improve and sustain diversity.
1, 2	Analyze and optimize organizational structures for service and cost; use redeployment and de-layering as necessary, integrate competitive sourcing and e-Gov solutions, put processes in place to address future needs for change, and highlight monetary savings or others that have resulted in these changes.
7	Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of workforce (HQ and Field); discuss difference between various levels of performance, discuss consequences based on performance
8	Use outcome measures to make Human Capital decisions; discuss how your program has linked HCM Plan to Program Plan(s) and Budget (FY08).

In addition, [Appendix D](#) provides the OE FY2007 Action Plan, Success Measures, and Quantitative Measures.

Human Capital Management Strategies and Initiatives

Goal 1: Workforce Readiness

Strategy 1. Strategic Alignment

OE's human capital management is aligned with DOE's and OE's mission, goals and performance objectives and is integrated into our strategic plan, performance management system and budget process.

OE Initiatives

- Continue ongoing OE-wide collaboration on HC planning through crosscutting planning and business practices.

FY2007 Planned Actions

- Fully integrate human capital planning into OE core business practices.
 - OE HR actions are planned, tracked, monitored, and reported for timeliness, quality, and linkage to OE mission, goals, and objectives.
 - Reflected in budget documents and program performance goals as coordinated by the HCPG.
 - Reflected in Strategic Plan.
- Develop a strategic alignment performance standard for supervisors and managers that evaluates participation in OE Human Capital Management process.
- Assess HCMP alignment against performance indicators to determine effectiveness.
- Revise HCMP to ensure continuing alignment.
- Continue to assess the organization's structure and opportunities for cost-effective position utilization.

Success Measures

- HC targets are established and tracked within OE through monthly performance reports, and reported in OE's Annual Performance Plan. Our FY07 performance goal is to maintain our total program support at less than 12 percent.
- OE's Strategic Plan, Budgets, and Workforce Staffing Plan are effectively coordinated and integrated together through the HCPG.
- OE management meets regularly with RM to update and complete their Division Workforce Staffing Plan.
- Management is an agenda item in staff meetings.
- Management is provided regular performance and schedule updates vis-à-vis HCMSP metrics.
- Performance metric contained within performance standards.
- Monthly performance reports track progress for OE management's oversight.
- Reports submitted to DOE management as required.
- HCMSP is revised and submitted to DOE.
- Maintain supervisor-to-employee ratio of 1:9 or higher.

Goal 1: Workforce Readiness

Strategy 2. Workforce Planning and Deployment

OE's organization is mission focused; structured to provide optimal service at lowest cost; and reflects delayering, competitive sourcing and e-government.

OE Initiatives

- Leverage opportunities for competitive sourcing and outsourcing.
- Strengthen OE's workforce planning and analysis capability.
- Strengthen OE workforce communication.

FY2007 Planned Actions

- Continue to identify and implement appropriate competitive and outsourcing opportunities when cost savings are demonstrated.
- Base HR action requests, e.g., recruitment, training and development, restructure, promotion, retention, and similar, on OE Workforce Staffing Plan, resulting in formal OE Recruitment, Succession, Training and Development and Transition Plans.
- Continue to foster and conduct two-way communications with employees and union representatives.
 - Conduct regularly scheduled staff meetings.
 - Encourage employee input/feedback on work and workplace matters.
 - Maintain full compliance with Collective Bargaining Agreement (CBA).
 - Continue annual planning meeting for entire office to share information on roles, responsibilities, and actions across OE.

Success Measures

- Develop a measure for competitive sourcing/outsourcing as a percent of OE's total budget.
- Planned HR decisions are data-driven.
- Regular and recurring meetings with OE management result in the documentation of current and projected OE HC requirements that result in formal OE and Division level Workforce Staffing Plans.
- Regular staff, all hands, and similar meetings are held and employees report two-way communication.
- Full compliance with CBA maintained.

Goal 1: Workforce Readiness

Strategy 3 . Leadership

OE has a plan for continuity of forward-thinking leaders.

OE Initiatives

- Update OE's Succession Plan.
- Strengthen SES and mid-level training and development based on identified succession planning needs.
- Strengthen participation in DOE and other leadership programs.

FY2007 Planned Actions

- Continue implementation of leadership development strategy based on DOE's Leadership Competency Model.
 - Continue training and development for identified candidates.
 - Identify additional succession candidates.
 - Identify and document learning tracks.
- Update Succession Plan for leadership and mission-critical positions based on OE Workforce Staffing Plan data.
- Participate in DOE, OPM, USDA Graduate School, Federal Executive Institute and other leadership development programs, including DOE's Mentor Program.

Success Measures

- Leadership training priorities documented.
- Identify candidate for Senior Executive Service training; additional candidates, if appropriate, identified.
- Learning tracks identified and documented.
- Fortified leadership pool.
- Appropriate training and development programs targeted (funds permitting).

Goal 1: Workforce Readiness

Strategy 4. Knowledge Management, Knowledge Sharing, Training and Development

OE uses knowledge management activities and technologies for gathering, sharing and transferring knowledge, and provides funding and activities to ensure OE staff have the appropriate knowledge and skill to perform current and projected OE work.

OE Initiatives

- Continue knowledge sharing and transfer, and begin knowledge capture.
- Implement comprehensive OE training plan.
- Implement training and retraining to fortify OE knowledge and skills in leadership, mission-critical and identified core competencies.
- Develop Training and Development evaluation process, including metrics, to determine impact on employee and OE performance.
- Develop new employee orientation briefing, materials, and transition support.

FY2007 Planned Actions

- Continue activities to transfer and share knowledge.
- Continue enhancements to OE's website and electronic library.
 - Use Intranet to capture and share staff publications and technical papers and to transfer knowledge (e.g., placement of standard operating procedures, roles and responsibilities, contact information, staff expertise and other information that assists in the capture, transfer, and sharing of information).
- Implement training and retraining to fortify OE knowledge and skills in leadership, mission-critical and identified core competencies, in order of identified mission priorities.
- Implement a comprehensive OE training plan based on data from OE Workforce Staffing Plan.
 - Establish learning tracks for identified positions.
 - Focus on fortifying identified skills.
- Develop Training and Development evaluation process, including metrics, to determine impact on employee and OE performance.
- Develop new employee orientation briefing, materials, and transition support.
 - PowerPoint Presentation.
 - Written summary of workplace, program, and knowledge management processes, contacts, tools, etc.
 - Copy of performance management policy/guidance.
 - Copy of training plan.
 - Assign OE staff member "sponsor" to respond to questions during new employee transition.

Success Measures

- OE staff participates in details, shadowing activities, and rotational assignments, e.g., the transfer of emergency response knowledge in ISER.
- Internal library is current; staff papers and publications are available for staff review on the common drive and Intranet; Intranet is used and effective in sharing and transferring technical and administrative knowledge.
- Training and retraining conducted in priority order.
- Training Plan developed and implemented.
- Evaluation process developed to determine performance impacts and return on investment for selected training programs.
- Training improves skill gaps.
- Briefings and materials are prepared.
- Orientation briefings provided for new employees.
- "Sponsors" are accessible and responsive.

Goal 1: Workforce Readiness

Strategy 5. Talent Acquisition, Management, and Retention³

OE closes critical gaps by acquiring, managing, and retaining employees with the skills needed to achieve its mission.

OE Initiatives

- Update and monitor OE's staffing plan.
 - Develop and implement comprehensive recruitment plan.
 - Use administrative flexibilities to acquire and retain mission-critical talent.
-
- Update OE Workforce Staffing Plan.
 - Prepare and distribute OE Division Workforce Staffing Plans.
 - Update plan as input to FY08 HCMSP.
 - Develop detailed FY07 recruitment plan that reflects identified needs and priorities from OE Workforce Staffing Plan.
 - Plan links to specific mission-critical priorities
 - Plan includes recruitment targets—Occupations, skills, grade levels, underrepresented groups.
 - Plan includes recruitment outreach actions.
 - Develop position and recruitment documentation for new positions.
 - Prepare position documentation, including QuickHire competency questions.
 - Identify/use appropriate recruitment and retention financial incentives.
 - Continue to use all available flexibilities to acquire and provide essential expertise, e.g., contractor support, IPA Appts, Temp/Term Appts, details, and other.
 - Participate in DOE talent programs, i.e., PMF, CIP, Summer Intern Program, etc.
 - Update and maintain electronic tracking process for all recruitment and related actions.

Success Measures

- OE Workforce Staffing plan drafted; HR action requests reflect items in planned action column.
- HCMSP and Workforce Staffing Plan are coordinated.
- Recruitment Plan prepared and implemented.
- Agreed upon timeframes for hiring based on OE Workforce Staffing Plan established.
- Recruitment and assessment documentation developed according to established deadlines.
- New hires close significant expertise gaps.
- Recruitment, relocation, and retention incentives used as appropriate.
- Administrative flexibilities used to strengthen surge capacity and fill knowledge gaps.
- Action tracking documented and reported to OE management on a monthly basis.
- Participation in at least one DOE talent program, funds permitting.

³ The detailed Workforce Staffing Plan outlines the number and types of employees required to perform both current and projected work.

Goal 2: Diversity

Strategy 6. Workforce Diversity

OE has a plan to address under-representation of women and minorities in all levels of the workforce, and to promote and encourage workforce diversity across the organization.

OE Initiatives

- Strengthen OE diversity awareness.
- Strengthen OE diversity in underrepresented groups, emphasizing those underrepresented in management and mission-critical positions.

FY2007 Planned Actions

- Ensure diversity planning and strategies are included in OE's overall Workforce Staffing Plan and subsequent recruitment, succession, training and development, and transition plans.
- Attend scheduled diversity awareness and sexual harassment prevention training.
- Promote DOE diversity events.

Success Measures

- OE Workforce Staffing Plan implementation (i.e., recruitment, succession, training and development, and transition plans) help close identified gaps.
- Strategies and approaches improve OE workforce diversity.
- Annual formal Diversity Awareness and Sexual Harassment Prevention training is scheduled and attendance tracked for all employees.
- Training improves workforce understanding of diversity.
- Leaders promote DOE diversity events by attending events and encouraging employees to attend events.

Goal 3: Workforce Excellence

Strategy 7. Performance Culture

OE management ensures clarity of the link between employee performance expectations and recognition of OE's mission; identifies developmental needs to address poor performance; and ensures fairness and accountability.

OE Initiatives

- Create a clear, uniform message for communicating the link between program and individual performance expectations.
- Implement new DOE performance management guidance.
- Strengthen use, visibility, and uniformity of recognition and awards.
- Develop and communicate a process for improving low performance during the performance cycle.

FY2007 Planned Actions

- Use meetings, coaching and written guidance to ensure that employees clearly understand the performance results that are expected, and poor performance addressed.
 - All hands meetings are used to explain performance framework.
 - Written guidance for all employees is provided.
 - Supervisors follow consistent procedures in meeting with each employee.
 - Supervisors are responsible for clarity of expectations and for addressing poor performance (to be considered in supervisor performance ratings).
- Ensure link of program goals to all performance plans and implement DOE's strategic cascade from SES to all positions, including NETL site office performance plans.
- Implement new SES and GS performance management guidance for FY2006.
- Provide information and guidance to support timely use of the mix of recognition and award tools.
 - Provide supervisors and managers an inventory of recognition/award options.
 - Encourage use of monetary and non-monetary recognition.
- Identify/acknowledge jobs-well-done and award recipients to all staff.
- Review award trends. Ensure that the highest awards are for highest performers.

Success Measures

- Performance plan clarity contributes to heightened understanding.
- All hands meetings to explain performance framework held.
- Performance management written guidance provided.
- Supervisors meet with each direct report.
- Supervisors held accountable for results.
- All plans are in place, including those for NETL site employees.
- Standards reflect different performance levels.
- All plans address mission-critical work.
- SES standards cascade to EJ and all GS-15 positions.
- All new plans in place per DOE guidance.
- Performance management information and guidance provided.
- Increased timeliness and improved range of reward and acknowledgement options used.
- Job-well-done acknowledgements made at weekly staff meetings as appropriate.
- Award trends identified, highest amounts go to highest performers.

Goal 3: Workforce Excellence

Strategy 8. Human Capital Management Accountability ⁴

OE uses a formal process for measuring and reporting progress to support OE's mission through human capital management decisions and investments.

OE Initiatives

- Update performance indicators for measuring progress in supporting OE's mission.
- Track, monitor, and report progress in meeting human capital management goals, including cost-effectiveness and impact on program results.

FY2007 Planned Actions

- Finalize Human Capital Management Plan performance indicators.
 - Track and document progress.
 - Submit reports to DOE.
 - Evaluate results and revise/modify success indicators.

Success Measures

- Performance indicators are in place.
- Progress and trends tracked.
- Reports submitted.
- Revision included in FY08 Plan.

⁴ Appendix C, page D-10 outlines quantitative measures.

Opportunities and Constraints

Several factors will influence implementation of OE's Human Capital Management Strategic Plan.

Opportunities

- The criticality and immediacy of OE's work has become highly visible to the Administration, Congress, States, the utility industry, the media, and the public.
- OE has established itself as a *can do* organization.
- OE's successful relationships with partner agencies present opportunities for negotiating additional rotational assignments from DHS, the PMAs, FERC, and FEMA to assist with high priority work.

Constraints

- Recruitment for energy market expertise is highly competitive. Our success may be hampered by the pace of the recruitment process and by the limitations of salary, benefits, and bonuses. OE is competing with some of its stakeholders – for example utilities – that are facing similar problems with an aging workforce.
- Funding may limit OE's ability to implement investment strategies, such as hiring for key positions and employee enrollment in executive development programs.
- Inability to resolve surplus competencies and skills may divert management time and energy from future-focused HC Management issues.

APPENDIX A

Office of Electricity Delivery and Energy Reliability

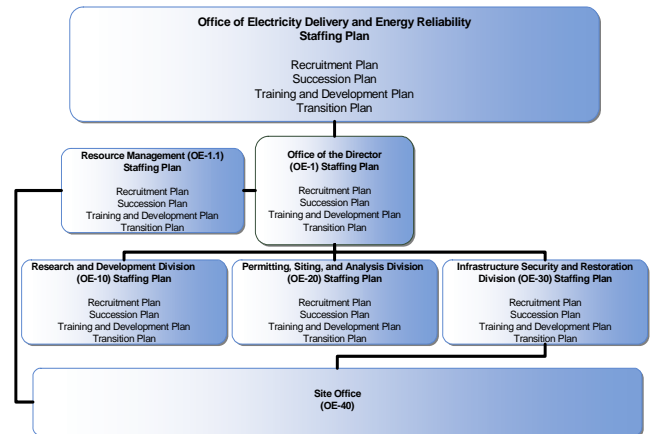
Human Capital Planning Implementation Process

The Office of Electricity Delivery and Energy Reliability (OE) uses the human capital implementation process to integrate human capital management strategic planning into its day-to-day operations. The process foundation is the result of the workforce analysis and the strategies identified to address workforce gaps outlined in the Office of Electricity Delivery and Energy Reliability (OE) Human Capital Management Strategic Plan (HCMSP). Working from the HCMSP, the Resources Management staff (RM) engages OE management in a process to develop detailed Division Workforce Staffing Plans. All three of these division plans and the RM staff plan are combined into an overall OE Workforce Staffing Plan, which is the foundation for the Recruitment, Succession, Training, Development, and Transition Plans.

Graphic 2, Human Capital Planning Process and Timeline

the update of the next fiscal year’s Human Capital Management Strategic Plan.

Graphic 3, Human Capital Planning Process Framework



The HCP process engages management through the development of their Division Workforce Staffing Plan. Each Division’s Workforce Staffing plan provides Division management with specific, concise, current, and projected employee and position data, information, and outlines employee and position plans for the year, including the number and kind of positions that are required to perform both current and projected work.

Resource Management (RM) enables each Division to construct their plan using a standard Workforce Staffing Plan Template. The elements of this template are described below. The plan is developed through structured conversations (see examples provided below), based on the data outlined in the HCMSP and specific Division data provided in the Workforce Planning Spreadsheet.

In order to ensure integration with the OE budget and planning processes, the OE Workforce Staffing Plan is completed in the 4th Quarter of each fiscal year (FY). The Workforce Staffing Plan provides the input for

The Workforce Staffing Plan template includes data from the Department of Energy (DOE) HR Information system that is used to populate the

Division Workforce Staffing Plan Spreadsheet, with the following data elements, except for the last three columns (see highlighted section below):

- Division
- Position Title
- Series
- Grade
- Full performance level
- Type of appointment
- Supervisory/Managerial Position
- Date of Birth
- Age
- Service Computation Date
- Years of Service
- Mission-critical Position
- Incumbent (Includes Vacant Positions)
- Employee gender
- Employee race and national origin
- Employee Optional Retirement eligibility date
- Employee Early Retirement eligibility date
- Date of Last Promotion
- Date Entered On Duty DOE
- **Planned Action (i.e., Planned training and development, reassignments, promotion, details, recruit and other projected actions)**
- **Key Position Purpose and Responsibilities**
- **Competencies/Skills and Sources**

RM reviews the specific Division data in the spreadsheet against the overall workforce analysis contained in the Human Capital Management Strategic Plan, to identify specific areas of Division issue or challenge. RM may populate the “Key Position Purpose and Responsibilities” and the “Competency/Skills and Sources” columns from position descriptions and/or performance plans, resumes, management and/or employee survey, and/or during the management conversations. If the data is not available from sources within RM, then this data is captured during the management conversations.

Upon completion of the data review, RM meets directly with the Division management to share the workforce analysis data from the Human Capital Management Strategic Plan and the Division Workforce Staffing Plan spreadsheet. Using the workforce data analysis, strategies, and recommendations outlined in the Human Capital Management Strategic Plan, RM and management work together to complete the Planned Action, and any other columns, for each Division position.

The Planned Action column captures the Division management’s planned actions for each position for the upcoming year. For example, the planned action column for recruitment should include recommended recruitment sources, key competencies, and other management requirements. For occupied positions, training and development actions should include key development activities, e.g., details, formal training, rotational assignments, and similar, from which formal Individual Development Plans (IDPs) may be constructed. For positions performing tasks that are no longer required, the column should include a listing of the roles, responsibilities, and/or tasks that are surplus, and recommended actions to address the surplus. In positions where employees are eligible to retire within the next year, the planned action column should include a listing of key competencies and skills for capture, and/or transfer, and/or retention, and suggestions for the best method of completing these tasks. Positions identified for restructuring should be annotated with justification for restructuring.

The Planned Action column is completed through structured conversation. The conversation structure is based on the data contained in the Human Capital Management Strategic Plan and the specific division issues and challenges identified from the Division Workforce Staffing Plan data. Questions are structured to assist management and RM to complete this column with actions to further OE’s goals and objectives. Below are a few

examples of situations indicated by the OE workforce analysis and Workforce Staffing Plan data, and structured questions to capture information regarding these situations.

Management decisions are based on the conversation driven by the structured questions and should be documented in the Planned Action column. RM professionals should be equipped and/or should be able to acquire talent and to provide management with

strategies, approaches, and tools to guide the management decision-making process.

The data collected in the Planned Action column is rolled up into an overall OE Workforce Staffing Plan. Human capital issues, challenges, projections, including the number of staff required, and suggested solutions are provided to the OE Human Capital Planning Group (HCPG). This group is comprised of the OE Chief Operating Officer,

Examples of Structured Questions

Situation – OE’s goal is to increase its employee diversity demographics in age, gender, and race/national origin. PSA has XX vacant positions; ISER has XX vacant positions, RM has XX vacant positions.

Examples of Structured Questions – What sources do you suggest we target to create a pool of qualified female/minority candidates? What competencies/skills are required to perform this work from day one? Do you have sufficient ‘bench strength’ to target entry-level candidates?

Situation – OE’s goal is to identify talent sources to ensure continuity for every mission-critical and leadership position. A Division has four of its employees currently eligible for retirement. These employees all occupy mission-critical positions.

Examples of Structured Questions – Are you aware whether or not any of these employees are seriously considering retirement? If these employees were to retire, how would you replace this knowledge: With new FTE employee, with contractor support, detailee, new employee, IPA, detailee? What competencies/skills will you lose if these folks retire? What suggestions do you have for capturing, transferring, and/or retaining this knowledge?

Situation – OE’s goal is to increase performance excellence. A Division has two positions performing work that will no longer be required after 2006.

Examples of Structured Questions – What new work requirements will you have in 2010? What competencies/skills will be required to perform this work? Do you have current staff that can be trained to perform this work? If not, what suggestions do you have for addressing staff surplus competencies/skills? How many, if any, new positions do you need to perform the work?

Situation – OE’s goal is to strengthen the ability to deliver consistent performance and readiness. What are the Division’s current and projected workforce issues and challenges.

Examples of Structured Questions – What work issue/challenge keeps you awake at night? What do you anticipate will be your organization’s greatest challenge/issue in 3-5 years?

the Program Manager for HR issues, the Senior Program Analyst (Strategic Plan, PMA, and Budget Integration), and contract support. The HCPG is responsible for establishing priorities, ensuring coordination and integration with the budget and other planning processes, implementation of agreed upon HC solutions, and notification of senior OE leadership and/or appropriate DOE staff of issues, challenges, and proposed solutions beyond the scope of the group.

The Division Workforce Staffing Plans should be reviewed on a regular basis, at least quarterly, for update. The OE Workforce Staffing Plan updates the OE Human Capital Management Plan. The rollup of this data provides OE with anticipated HR actions from which to estimate and plan the human resources workload for the upcoming year.

The following provides the specific steps to implement the OE Human Capital Planning Implementation Process.

The actions listed in the Planned Action

column typically result in a personnel action request (PAR, also known as the SF-52), e.g., to recruit, establish a new position description, establish a career path, detail an employee, open a vacancy announcement, or similar. To implement the actions, RM should work with Division management to prioritize these actions and establish a reasonable timeframe for completion of the action. The role of the RM is to cut the request, forward to HR, and monitor and report HR progress in processing the request. RM is responsible for updating the Workforce Staffing Plan to reflect completed actions and/or changes in priorities, actions, or requirements. In addition, RM regularly reports the Workforce Staffing Plan progress to OE management.

Human Capital Planning Implementation Process Steps

1. RM meets with Division Management to outline Human Capital Planning Implementation Structure and process steps
2. Using data from the DOE HR Information systems, populate Division Staffing Plan Spreadsheet, develop a separate spreadsheet for each Division
3. Review Human Capital Management Strategic Plan (HCMSP) and the populated staffing data to identify challenges and issues and to develop structured questions for conversations with Division Management
3. Meet with each Division to share HCMSP, Division Staffing Plan Spreadsheet, review, verify, and capture specific, position by position, recruitment, succession, training and development, and transition plans
4. Rollup the data into OE Staffing Plan
5. Division management establish priorities and timelines and submits appropriate requests for action in accordance with established priorities and timelines identified in the Division Staffing Plan, Planned Action Column
6. RM produces action requests, forwards to HR, and monitors HR process to ensure actions are processed in accordance with established priority and timelines
7. RM updates the Staffing Plans to ensure changing workforce requirements are captured and plans, priorities, and timelines are adjusted to reflect changes, and reports progress against the plan.

APPENDIX B

Office of Electricity Delivery and Energy Reliability

Human Capital Management Action Plan

FY2006 Accomplishments

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
		Provide guidance and reference tools to ensure accurate and consistent attention to the integration of workforce strategies, initiatives, and processes with the budget and strategic planning cycle. <ul style="list-style-type: none"> o Develop/implement electronic planning calendar. o Develop written guidance for management team and program managers. 	Q1 Ongoing	Electronic integrated planning calendar is established and maintained. Written guidance is developed and provided for supervisors and program managers.	7/2006 – Completed.
		Develop a strategic alignment performance standard for supervisors, managers, and resource/business staff.	Q1	Performance standard in place.	10/10/2005 – Performance standards for all OE employees and standards for new employees completed.
		Assess HCMP alignment against performance indicators to determine effectiveness. <ul style="list-style-type: none"> o Track progress against measures. o Document and report findings to OE management. o Include findings in quarterly and annual reports to DOE’s Chief Human Capital Management Officer. 	Ongoing Quarterly/ Annually	Tracking conducted. Assessments conducted and reports submitted.	Completed for FY06.
		Revise HCMP to ensure continuing alignment.	Annually	HCMP is revised and submitted to DOE.	HCMP, including, Workforce Plan, revised and submitted 9-1-06.

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
<p>Workforce Readiness</p> <p>Competence</p> <p>Flexibility</p> <p>Continuity</p>	<p>Workforce Planning and Deployment</p> <p>Complete transition to new organization and consolidation initiatives.</p> <p>Leverage opportunities for competitive sourcing.</p> <p>Strengthen OE's workforce planning and analysis capability.</p> <p>Maximize use of electronic capabilities to manage human capital strategically.</p>	<p>Continue to assess the organization structure and opportunities for cost-effective position utilization.</p>	<p>Ongoing</p>	<p>Maintain supervisor-to-employee ratio of 1:9 or better.</p>	<p>8/2006 – Supervisor ratio = 1:11</p> <p>8/2006 – Reshape the workforce through a buyout to reduce surplus positions and competencies and to target essential skills and competencies to focus on mission-critical work.</p> <p>7/2006 – Implemented the HC Planning Implementation Process, which integrates HCMSP with OE's day-to-day operations through structured one-on-one meetings with OE management regarding, among other issues, how to leverage current talent and identify tomorrow's talent requirements.</p>
		<p>Continue to identify and implement appropriate competitive sourcing opportunities when cost savings are demonstrated.</p>	<p>Ongoing</p>	<p>Appropriate opportunities and return on investments are identified.</p>	<p>8/2006 – Used DOE CIO prime contract to acquire 2 full-time IT resources.</p>

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
		<p>Strengthen use of DOE corporate electronic business systems.</p>	<p>Ongoing</p>	<p>Expanded use of I-Manage suite</p>	<p>FY2006 – Using STARS as the foundation for increasingly detailed financial analysis and reporting, strengthening OE's workforce planning capability.</p> <p>FY2006 – Use HR Information to analyze HC data and manage HC resources as reflected in detailed OE Workforce Staffing Plan.</p>
		<p>Continue to foster and conduct two-way communications with employees and union representatives.</p> <ul style="list-style-type: none"> o Conduct regularly scheduled staff meetings. o Encourage employee input/feedback on work and workplace matters. o Maintain full compliance with Collective Bargaining Agreement (CBA). 	<p>Ongoing</p>	<p>Staff meetings held. Employees report 2-way communication. Full compliance with CBA maintained.</p>	<p>FY2006 – Weekly staff meeting open to all staff and contractors with OE Director.</p> <p>FY2006 – Conducted annual OE Planning meeting with opportunity for all employees to discuss program strategy, workload, and workforce issues.</p> <p>FY2006 – No union issues regarding non compliance with CBA.</p>

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments		
<p>Workforce Readiness</p> <p>Competence</p> <p>Flexibility</p> <p>Continuity</p>	<p>Leadership</p> <p>Develop and update OE's Succession Plan using DOE's Leadership Competency Model.</p> <p>Strengthen SES and mid-level training and development based on identified succession planning needs.</p> <p>Strengthen participation in DOE and other leadership programs.</p>	<p>Implement a leadership development strategy based on DOE's Leadership Competency Model.</p> <ul style="list-style-type: none"> o Continue training and development for identified candidates. o Identify candidates. o Identify learning tracks. <p>NOTE: OE anticipates recruitment and hiring of 7 potential succession plan candidates during FY2006. Therefore, development of the full plan will be postponed until leadership candidate roster increases.</p>	<p>Q3-4</p>	<p>Leadership training is conducted for at least 2 leadership candidates. Strategy is in place. More candidates are identified. Learning tracks identified</p>	<p>FY2006 – An OE employee completed two leadership and management-training programs in FY06.</p> <p>FY2006 – Use of developmental assignments for PMF employees; e.g., presentations to OE stakeholders, including senior industry officials and other senior officials, regarding OE products and services.</p> <p>8/2006 – OE FY07 Training needs identified using OE HCP Implementation Process.</p>		
		<p>Develop and implement a Succession Plan for leadership and mission-critical positions.</p>			<p>Q4-Q1 '07</p>	<p>Implementation. Fortifies leadership pipeline.</p>	<p>8/2006 – Identified succession positions and candidates. Succession plan on schedule for completion Q1 FY2007.</p>
		<p>Participate in DOE, OPM, USDA Graduate School, Federal Executive Institute and other leadership development programs, including DOE's Mentor Program.</p>			<p>Q4/Ongoing</p>	<p>Target programs (funds permitting).</p>	<p>8/2006 – 5 employees identified for leadership/management training for FY07.</p>

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
Workforce Readiness Competence Flexibility Continuity	Knowledge Management Knowledge Sharing Training and Development Continue enhancements to OE's website and electronic library. Continue input to DOE's KM Portal. Link Forrestal and Morgantown visualization capabilities. Expand use of DOE knowledge management/resource management systems. Develop and implement a comprehensive OE training plan. Implement training and retraining to fortify OE knowledge and skills in leadership, mission-critical	Continue enhancements to OE's website and electronic library.	Ongoing	Website reflects new information. Internal library is current.	FY2006 – Website is current. 8/2006 – Using DOE contract, acquired full time resource to manage website. Initiated OE Intranet with contractor support to develop Intranet infrastructure and begin organizing information and knowledge sharing content to deploy on Intranet.
	Continue input to DOE's KM Portal.	Ongoing	KM directory updates are submitted.	11/2005 – Entries were submitted.	
	Install/modify systems capability for Forrestal-Morgantown Visualization Center link.	Q2	Visualization link is operative and strengthens collaboration.	4/2006 – Visualization Center link is completed.	
	Expand knowledge and use of DOE knowledge management/resource management systems.	Ongoing	I-MANAGE training conducted for all appropriate staff. Increased use of I-Manage suite.	FY2006 – Appropriate staff training in use of HR Information, procurement, and acquisition tools.	

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
	<p>and identified core competencies.</p> <p>Develop Training and Development evaluation process, including metrics, to determine impact on employee and OE performance.</p> <p>Develop new employee orientation briefing, materials, and transition support.</p>	<p>Implement training and retraining to fortify OE knowledge and skills in leadership, mission-critical and identified core competencies, in order of identified mission priorities.</p>	<p>Q1-4</p>	<p>Training and retraining is conducted in priority order.</p>	<p>FY-2006 – Minimal formal training conducted.</p> <p>FY2006 – Transferred knowledge through shadowing. New staff members shadowed senior staff and developed talent to address real-time issues and challenges as demonstrated by participation as presenters of EPACT information to stakeholders; participation in senior level infrastructure meetings, and other activities; paired junior technical staff with senior, retirement eligible experts to transfer knowledge.</p> <p>FY2006 – Used details to broaden knowledge base of junior staff by rotating details of junior staff to perform broader range of duties.</p>
		<p>Develop and implement a comprehensive OE training plan.</p> <ul style="list-style-type: none"> o Establish learning tracks for identified positions. o Focus on fortifying identified skills. o Identify cost-effective mix of training delivery. 	<p>Q3-Q1 '07</p>	<p>Training Plan developed and implemented. Training mix demonstrates cost-effectiveness.</p>	<p>8/2006 – All OE FY07 Training needs identified using OE Workforce Planning Process. Training plan on schedule for completion Q1 FY2007.</p>

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
		Develop Training and Development evaluation process, including metrics, to determine impact on employee and OE performance.	Q4	Evaluation process developed to determine performance impacts and return on investment. Training improves skill gaps.	8/2006 – Evaluation process and metrics to be included in FY07 Training Plan.
		Develop new employee orientation briefing, materials, and transition support. <ul style="list-style-type: none"> ○ PowerPoint Presentation. ○ Written summary of workplace, program, and knowledge management processes, contacts, tools, etc. ○ Copy of performance management policy/guidance. ○ Copy of training plan. ○ Assign OE staff member “sponsor” to respond to questions during new employee transition. 	Q2-3	Briefing and materials are prepared. Orientation briefings are provided for new employees. “Sponsors” are accessible and responsive.	8/2006 – Deferred to 1 st Quarter FY2007.

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
Workforce Readiness Competence Flexibility Continuity	Talent Acquisition, Management and Retention Develop/update staffing plan. Develop/update comprehensive recruitment plan. Expand use of administrative flexibilities to recruit, hire, and retain mission-critical talent.	Prepare final FY'06 staffing plan. <ul style="list-style-type: none"> Plan links to specific mission-critical priorities. 	Q1	Staffing plan prepared.	10/2005 – FY06 Workforce Staffing Plan completed. 8/2006 – Updated via the OE Human Capital Planning Implementation Process.
		Develop detailed recruitment plan that reflects identified needs and priorities Plan links to specific mission-critical priorities <ul style="list-style-type: none"> Plan includes recruitment targets – occupations, skills, grade levels, underrepresented groups. Plan includes recruitment outreach actions. 	Q2	Recruitment plan prepared.	10/2005 – FY06 Plan completed. 8/2006 – Updated via the OE Human Capital Planning Implementation Process. In FY2006 to date, completed 3 external hires, targeted young talent to diversify age, decrease retirement eligibility, and provide internal applicant pool. Targeted an additional PMF hire for FY07 to reduce hiring time and increase internal talent pool, and continue to target young talent.
		Develop position and recruitment documentation for new positions. <ul style="list-style-type: none"> Prepare position documentation, including QuickHire competency questions. 	Q1-4	Documentation developed according to established deadlines. New hires close significant expertise gaps.	8/2006 – Deferred to Q1 2007.
		Deploy four Distributed Energy Program employees from the Office of Energy Efficiency and Renewable Energy. <ul style="list-style-type: none"> Develop position documentation and 	Q2	Documentation developed.	5/2006 – Completed; four employees

reassigned,
performance plans ^{B9}

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
		performance plans.			complete.
		Identify/use appropriate recruitment and retention financial incentives.	Ongoing	Incentives targeted/used.	No bonuses used in FY06.
		Complete FY2005 coordination and implement new rotational assignments, details, shared positions, and IPAs to provide essential expertise to OE.	Q1-4	2 PMA rotational assignments. 1 DHS rotational assignment. 1 FERC detail. 1 IPA from Cornell University. Use of flexibilities strengthens surge capacity and knowledge gaps.	FY2006 – 2 PMA rotational assignments. 1 DHS rotational assignment. 1 FERC detail. Contract support.
		Participate in DOE talent programs, i.e., PMF, CIP, Summer Intern Program, etc.	Q1-4	1 PMF participant. 1 CIP participants. 2 Summer Interns.	8/2006 – Participation in Summer Intern Program deferred to FY2007. 10/2006 – EOD PMF hire/
		Develop, update, and maintain electronic tracking process for all recruitment and related actions.	Ongoing	Process and tracking implemented.	FY2006 – Produce weekly HR action report provided to OE Management
		Include recruitment/staffing as a permanent agenda item for management team and program manager meetings. <ul style="list-style-type: none"> o Prepare and distribute recruitment/staffing status summary. o Prepare and distribute issue summaries/decision options, as needed. 	Ongoing	Agenda item included. Status reports provided. Issue summaries/decision options developed.	7/2006 – Established HCP Group to review and address HCP issues and challenges. Implemented HCM Planning Process

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
Workforce Diversity Quality	Diversity Strengthen OE diversity awareness. Strengthen OE diversity in underrepresented groups, emphasizing those underrepresented in management and mission-critical positions.	Integrate succession and diversity planning into OE's overall recruitment, hiring, and retention plans.	As scheduled Q1-2	OE recruitment planning includes strategies and implementation steps for succession and diversity initiatives. Initiatives result in closing gaps. 3 disabled veterans hired.	7/2006 – Established HCP Group to review and address HCP issues and challenges. Implemented HC Planning Process. 6/2006 – Hired one disabled veteran.
		Schedule diversity awareness and sexual harassment prevention training; promote DOE diversity events.	Annually	All employees attend training. Leaders model and establish expectations for respect.	03/2006 – Annual training completed.

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
Workforce Excellence Clarity Individual Accountability High Performance Recognition	Performance Culture Create a clear, uniform message for communicating link between program and individual performance expectations. Implement new DOE performance management guidance.	Use meetings, coaching and written guidance to ensure that employees clearly understand the performance results that are expected. <ul style="list-style-type: none"> ○ All hands meetings are used to explain performance framework. ○ Written guidance for all employees is provided. ○ Supervisors use uniform context in meeting with each employee. ○ Supervisors are responsible for clarity of expectations (to be considered in supervisor performance ratings). 	Q 1 Q 1 Q 1 Ongoing	Clarity contributes to heightened understanding. Meeting(s) held. Written guidance provided. Supervisors meet with each direct report. Supervisors held accountable for results.	10/2005 – Completed performance plans. Mid-year reviews completed. All new employees have performance plans meetings were held.
	Strengthen use, visibility, and uniformity of recognition and awards. Develop and communicate a process for improving low performance during the performance cycle.	Continue link of program goals to all performance plans and implement DOE's strategic cascade from SES to all positions, including NETL site office performance plans. <ul style="list-style-type: none"> ○ Differentiate between GS performance levels. 	Q 1	All plans are in place, including NETL site employees. Standards reflect different performance levels. All plans address mission-critical work. SES standards cascade to EJ and all GS-15 positions.	10/2005 – Completed.
	Invest in manager/supervisory training relating to performance management.	Implement new SES and GS performance management guidance for FY2006.	Pending guidance	All new plans in place per DOE guidance.	8/2006 – Pending DOE guidance.
		Provide information and guidance to support timely use of the mix of recognition and award tools. <ul style="list-style-type: none"> ○ Provide supervisors and managers an inventory of recognition/award options. ○ Encourage use of monetary and non-monetary recognition. 	Ongoing	Information and guidance is provided. Increased timeliness and range of options used.	FY/2006 – Supervisors provided written guidance on rewards and recognition from the Department.

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
<p>Corporate Excellence</p>		<p>Identify/acknowledge jobs-well-done and award recipients to all staff.</p>	<p>Quarterly</p>	<p>Acknowledgements made at quarterly all hands meetings.</p>	<p>FY-2006 – Well-done performance and formal awards acknowledged during weekly staff meetings. OE Director established and selected an Employee of the Year to recognize outstanding achievement.</p>
		<p>Review award trends. Ensure that the highest awards are for highest performers.</p>	<p>Quarterly</p>	<p>Trends identified. Highest amounts go to highest performers.</p>	<p>7 On-spot awards. 9 QSI awards. 1 Special Act – Employee of the Year. 3 Special Acts – Service Awards – Monetary.</p>
		<p>Identify weakening and low performance; intervene during the performance cycle with coaching, training, and/or retraining.</p>	<p>Q2-3</p>	<p>Timely performance monitoring and intervention. Interventions improve low performance.</p>	<p>FY2006 - No minimally or unsatisfactory employee performance.</p>
		<p>Use workplace flexibilities (DOEFlex and AWS) as performance incentives (programs have minimum performance requirements).</p>	<p>Ongoing</p>	<p>All participants meet/maintain eligibility requirements.</p>	<p>FY2006 – All OE employees participating in workplace flexibility programs meet performance requirements.</p>
		<p>Provide training in performance management techniques/managing performance.</p>	<p>Q1-4</p>	<p>Current and new supervisors take training/retraining.</p>	<p>8/2006 – Training needs identified.</p>

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures	FY2006 Accomplishments
Excellence Clarity Individual Account-ability High Performance Recognition Corporate Excellence	HCM Accountability <ul style="list-style-type: none"> Develop/update performance indicators for measuring progress. Establish process for tracking, monitoring and reporting progress in meeting HCM goals, including cost-effectiveness and impact on program results. 	Finalize FY2006 Human Capital Management Plan performance indicators. <ul style="list-style-type: none"> Establish a HCMP coordination and review team. Define roles and responsibilities, including <ul style="list-style-type: none"> Develop and disseminate guidance; provide assistance. Implement electronic tracking. Track and document progress. Submit reports to DOE. Evaluate results and revise/modify success indicators. 	 Q1 Q1 Ongoing Q1-2 Ongoing Quarterly Annually	Performance indicators are in place. HCMP team established and chartered. Guidance and assistance provided. Tracking system in place. Progress and trends tracked. Reports submitted. Revision included in '07 Plan.	7/2006 – Established HCP Group to review and address HCP issues and challenges. 7/2/2006 - Implemented HCM Planning Process. FY2006 – Semi-Annual reports submitted on-time. 8/2006 – FY2007 Action Plan developed and submitted with revised plan.

APPENDIX C

Office of Electricity Delivery and Energy Reliability

Workforce Analysis

WORKFORCE ANALYSIS⁵

During FY06, OE's ongoing workforce analysis identified surplus skills and competencies due to shifting mission requirements and solidification of OE as an organizational unit. With 41 percent of employees eligible for optional and early retirement, OE was able to offer early retirement and monetary incentives as encouragement to reshape the organization.

In the third and fourth quarters of FY2006, OE requested and received authority to offer selected positions buyout and early retirement opportunities. In order to provide maximum opportunity to employees who meet the qualification requirements, OE identified thirteen positions for buyout and early retirement authority. As of August 30, 2006, we anticipate three employees will take the buyout, and will leave the payroll as of September 30, 2006. As employees leave, we will use these resources to acquire mission-focused talent.

In FY2007, depending upon the continuing workforce analysis, OE may look at additional options to reshape the workforce to meet current and projected mission requirements.

FY2007 funding increases OE's FTE from 60 to 70 positions. The FY2007 budget authorizes 54 full time equivalent (FTE) positions for headquarters (HQ), 13 FTEs for the National Energy Technology Laboratory (NETL),⁶ and 3 FTEs for the Chicago Field Office,⁷ for a total of 70 FTEs. At the end of FY2006, OE's total onboard workforce, and

⁵ Unless otherwise noted, the data is as of 8/30/2006

⁶ Seven of these 13 FTE are occupied by Full-Time-Permanent employees and are included in this analysis. Six FTE are occupied by other than Full-Time-Permanent employees, and may consist of parts of FTE, for example OE may use 25% of one employee FTE and 75% of another. These positions are not included in this analysis.

⁷ These positions are reflected in CH's workforce planning efforts; therefore, they were not included in this analysis.

occupied FTE is projected at 58 employees.⁸ This includes seven NETL field positions reporting to OE. As of the fourth quarter 2006, we are actively recruiting to fill 17 full time permanent (five are targeted to internal candidates) positions as we offer a buyout to reshape our workforce to accomplish our current and projected mission, goals, and objectives.

OE Federal Activities Inventory Reform (FAIR) inventory, completed in accordance with the FAIR Act, PL 105-270, designates all OE positions as inherently governmental. The designation indicates OE's limited federal resources and ability to participate in competitive sourcing activities. In addition, this designation reinforces OE's highly complex and technical work as well as its streamlined organization.

OE's streamlined organization, i.e., large percentage of the workforce focused on mission-critical work, flat organizational structure, and 1:11 supervisory ratio, facilitates the use of administrative flexibilities, e.g., details, IPAs, and contract support, to meet its surge workload needs and to transfer knowledge. Currently, OE outsources support for program planning, communication and outreach, management tools and analysis, policy and market analysis, and technical analysis. In addition, OE participates in DOE-contracted services to provide information technology (IT) support and assistance, as well as for the use and maintenance of automated management tools such as the I-MANAGE suite.

Accomplishing OE's mission requires the program integration of science and engineering research and development, energy market and infrastructure security analytics, and policy development. In FY2006, we began our work to build the capability to deliver an integrated program by reshaping our workforce to

⁸ Since all employees occupy full-time equivalent positions, the projected OE FTE is 58.

eliminate surplus skills and competencies as we focused our talent acquisition on integrated analytical skills and competencies.

As we move forward into FY2007, our plan is to continue to:

Acquire analytical talent,
Align and clarify roles and responsibilities,
Share and transfer knowledge, and to
develop and enhance our integrated
teamwork, project management,
leadership, and management capability.

This workforce analysis is based on 56 employees. Eighty-seven percent of OE employees (49 individuals) are located at headquarters.⁹ The remaining 13 percent of the staff (7) are located at the NETL locations.

Hires and Losses: OE hiring in FY06 consisted of three external hires in mission-critical occupations, i.e., Security Assistant and Infrastructure Security Analyst. These hires were junior, one at the GS-7 level and two at the GS-9 level.

To date, OE had no losses; however, at least three losses are anticipated by the end of the FY due to the buyout and early out authority.

Occupations: OE mission-critical work is mapped to the current position classifications in order to identify mission-related/mission-critical occupations.¹⁰

Seventy-nine percent of the current workforce is classified in these mission-critical occupations:

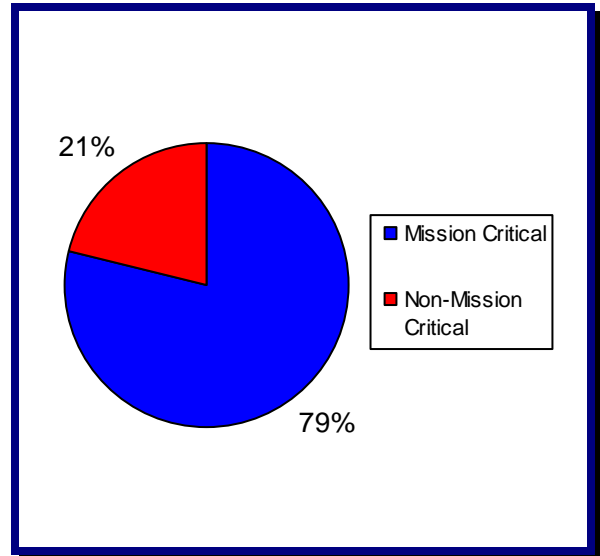
Social Scientist (0101)
Director, Policy Advisor, Program Specialist
(301)
Program Manager (0340)

⁹ All percentages used in the findings represent the percentage of the workforce unless otherwise indicated. All percentages are rounded.

¹⁰ OE used the General Accounting Office (GAO) definition for mission-related occupations, i.e., "occupations that most directly affect [the organization's] ability to accomplish its mission."

Program Analyst, Management and Program Analyst (0343)
General Engineer, Electrical Engineer (0801, 0850)
Infrastructure Systems Analyst, Energy Trade Analyst, Electricity Import/Export Analyst (1101)
Physical Scientist, Physicist (1301,1310)

Chart 2, Mission-critical Workforce Distribution



OE is actively recruiting talent essential for carrying out current and projected program priorities in data modeling and visualization and infrastructure security operations:

Sophisticated analytics capability for characterizing electricity and natural gas markets, and visualization and market modeling.
Expertise in concept of operations-type planning and standard operating procedures for counterterrorism and natural disaster recovery.

The mission-critical occupations needed to close these gaps are:

Natural Gas Market Analyst; Energy Industry Analyst (1101)
Operations Research Analyst (1515)
Infrastructure Systems Analyst (1101)
Information Technology Specialist (ISER Cyber Security) (2210)

In addition to identifying major gaps in crucial expertise, several crosscutting competency areas are targeted for training and development:

- Strategic and analytical thinking
- Systems thinking
- Teamwork
- Information technology
- Project management
- External awareness
- Building coalitions
- Business acumen for leaders
- Communications (effective writing and presentation skills)

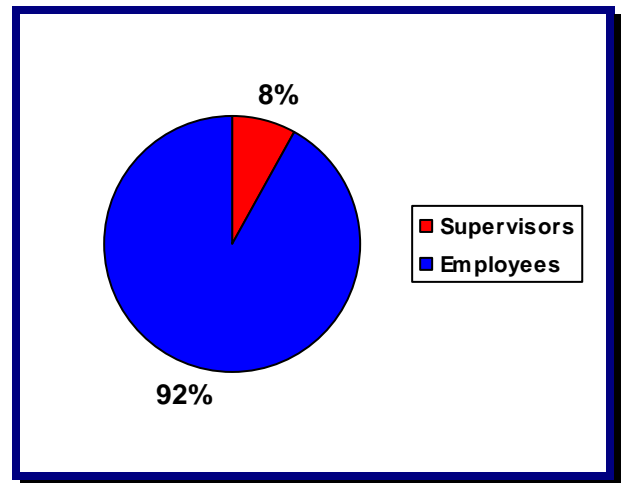
Appointment Type: One hundred percent of OE’s workforce occupies full time permanent positions. OE’s strategy is to maintain a streamlined, flat, nimble, cost-effective organization through outsourcing program support, project work, and administrative support and to increase staff flexibility and knowledge through details and rotational assignments.

In FY2006, 23 percent of OE’s workforce participated in details to other work. These details allowed OE to meet workforce surges, e.g., EPACT deliverables and Hurricane Katrina; transferred knowledge and facilitated staff growth, e.g., from senior analytical personnel to junior staff; and met new organizational requirements, e.g., distributed electricity.

Supervisor-to-Employee Ratio: Eight percent of OE’s current employees are supervisors, resulting in a supervisor-to-employee ratio of 1:11. Upon the entry on duty of the following positions, the supervisory ratio will be 1:9 as projected in the FY2006 Human Capital Management Strategic Plan.

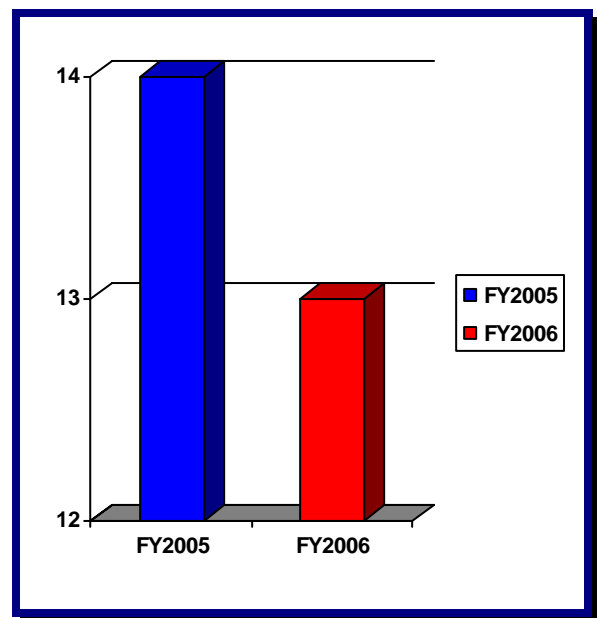
- Principal Deputy Director, (OE-1)
- Deputy Director, Permitting, Siting, and Analysis (OE-20)

Chart 3, Supervisory Workforce



Grade Distribution: The average grade of the workforce is GS-13. The average grade is down from GS-14 in FY2006, reflecting a conscious decision to reduce OE’s average grade by targeting junior staff hires.

Chart 4, Average Grade Comparisons



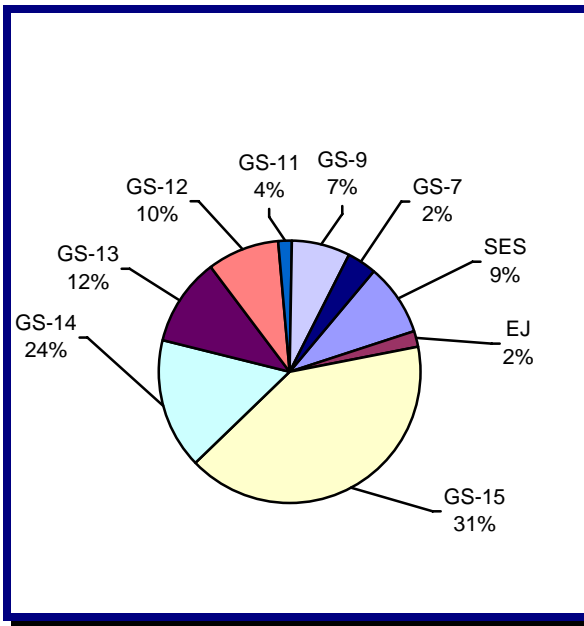
The following table compares the percentage of OE workforce by grade from FY2005 to the end of FY2006. Note the increase in percentage of the workforce in grades 7 – 9 from 2005 to 2006.

Table 2,
Workforce Grade Percentage

Grade	FY2005	FY2006
14 and above	65%	66%
11-13	26%	26%
7 - 9	8%	9%

In FY2006, OE targeted entry-level talent. The acquisition of entry-level talent increased the percentage of the workforce in grades 7 – 9, and reduced the average grade from 14 to 13. Of the three external hires from October 2005–August 2006, two were at the GS-9 level and one at the GS-7 level. The following chart illustrates OE’s grade distribution.

Chart 5, Grade Distribution, 4th Qtr FY2006



However, current recruitments are at the GS-13 and above level. The skew that exists toward the higher-grade levels reflects the highly technical and professional nature of the work and the streamlined operation. The urgency of mission and program priorities requires expert levels of skills and knowledge, and typically requires energy industry experience. Therefore, hiring opportunities for junior personnel are constrained by the need to

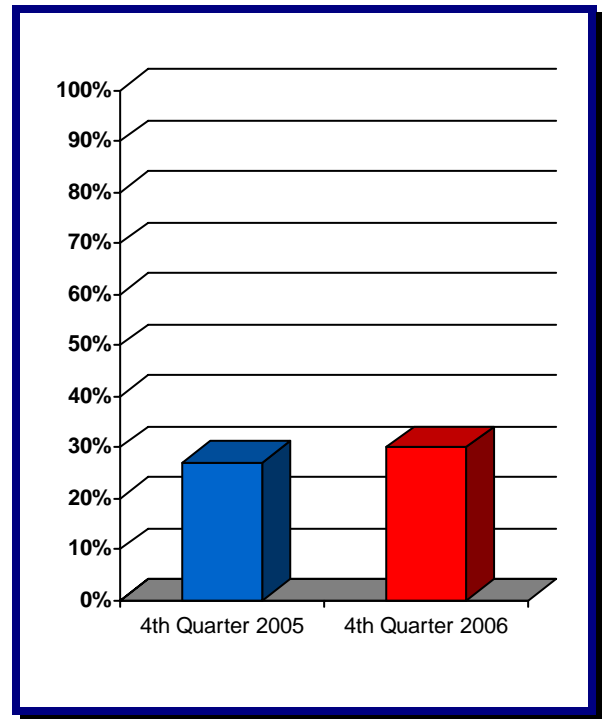
recruit for these critical capabilities to ensure that new employees enter with complete skill sets, expertise and experience in their respective fields. Therefore, FY2007 external recruitment will result in very limited mid-level and negligible entry-level recruitment.

Diversity:¹¹

Female Employees

As anticipated during FY2006, OE increased its representation of female employees from 27 to 30 percent as the following chart displays.

Chart 6, Comparison of Female Employees 4th Quarter 2005 to 4th Quarter 2006



Even with this increase, female representation in the OE workforce is a significantly smaller portion than the DOE-wide female population

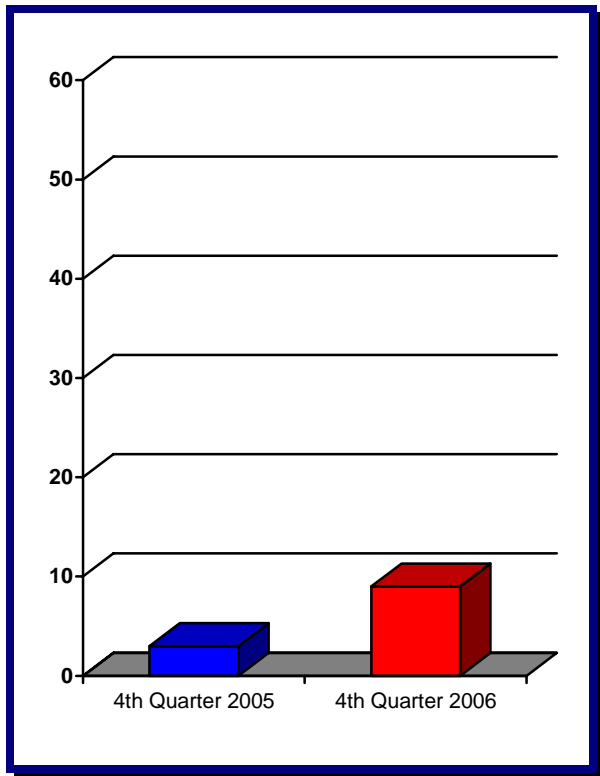
¹¹ This section includes comparisons to DOE and government-wide gender and diversity profiles. Data sources are referenced in appropriate footnotes.

of 38 percent,¹² and the government-wide of 44 percent.¹³

Current OE staffing reflects its scientific and engineering predecessor organizations, staffed with engineers who were hired before these occupations in the federal sector began attracting large numbers of women and minorities. Secondly, unlike agency-wide workforces, OE does not have a broad range of other occupational areas that account for significant percentages of female employees.

As the following chart depicts, during FY2006, OE increased the number of females in higher grades. The following chart compares the number of female employees Grade 14 and above as of the 4th Quarter 2005 to the 4th Quarter 2006.

Chart 7, Comparison of Female GS-14 and Above



12 Source: Fedscope; DOE females = 5,643 / 14,973 total DOE = 38 %

13 Source: Fedscope, All Federal Government females = 824,033/1,860,949 total employment = 44%

The following chart compares OE Female grades from the 4th Quarter 2005 to the 4th Quarter 2006.

Chart 8, Comparison of Females by Grade

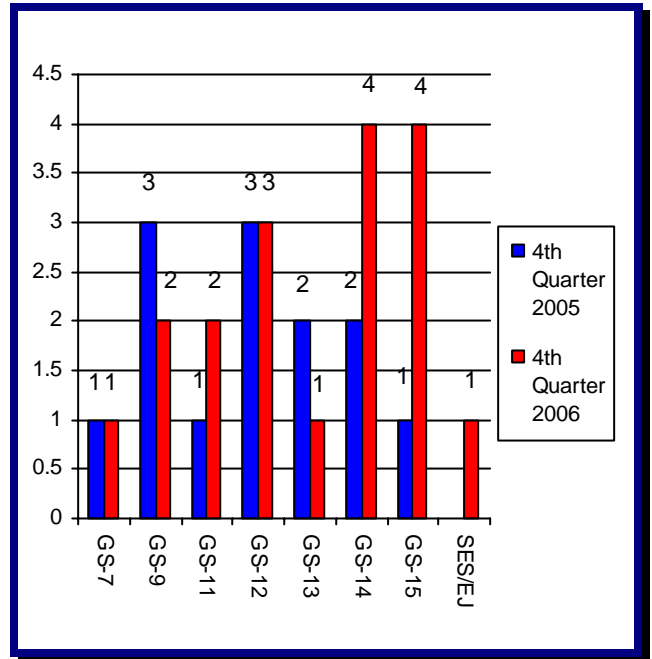
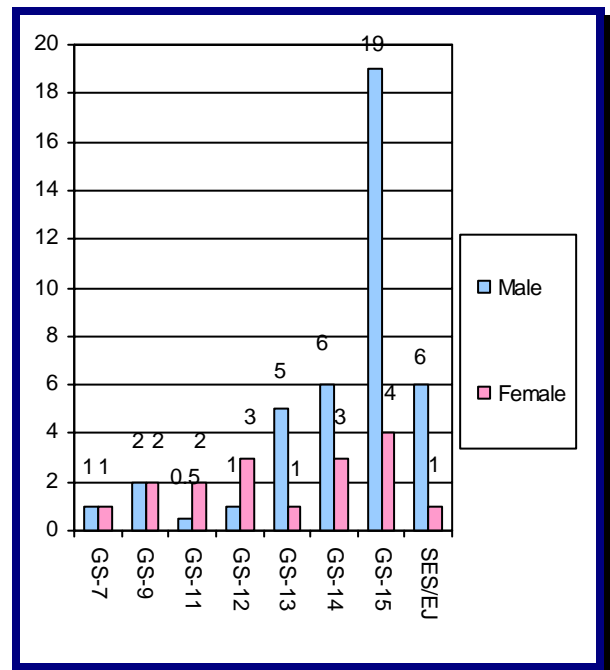


Chart 9, Comparison of Males and Females by Grade



As Chart 9 depicts, men significantly outnumber women in grades 13 and above. Although this represents a gap in women at the higher-grade levels, during FY2006, as charts eight and nine show, OE has improved the number of women in the higher-grade levels. During FY2006, we continued to provide developmental and career advancement opportunities for female employees through the following actions:

Merit promotion actions for three female employees; one to grade 14 and two administrative employees to grades 9 and 11, respectively. (As reflected in Chart 8)

Enrollment by one Asian female employee in the Landmark Education Advanced Course and Self Expression and Leadership Program.

Completion by one Black female of technical training in time management.

Completion by one Black female of management and technical training in public speaking, web page development, and getting results.

Completion by one Black female of a technical training in law seminar.

Completion by one Black female of two technical training courses.

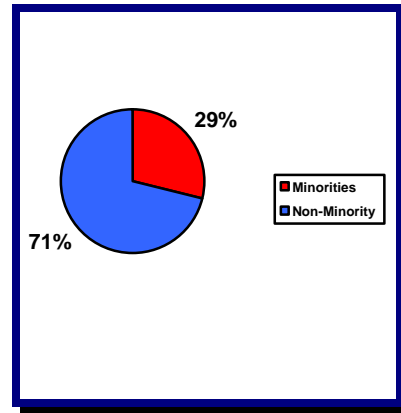
Leadership training for a GS-12 employee through DOE for Leadership transition.

Three female employees, or eighteen percent of all female employees, are eligible for optional retirement by the end of FY2007. By 2012, eight female employees, 47 percent, will be eligible for optional retirement.

Minority Employees¹⁴

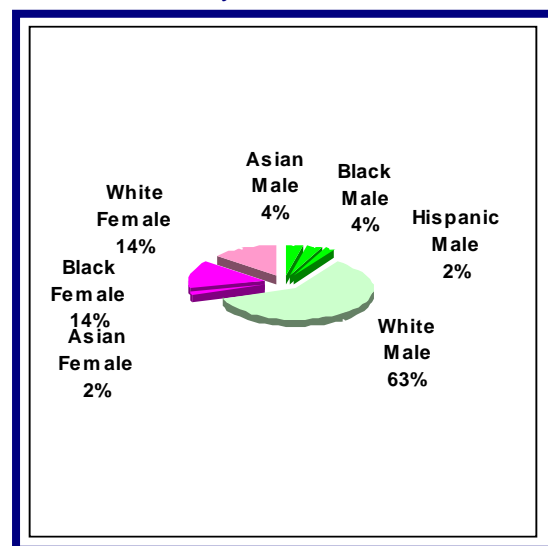
Minorities represent 29 percent of the OE workforce.

Chart 10, Minority Workforce Comparison



The average grade level of minority employees is grade 13, including two GS-15 employees and one SES member. All but one minority employee are located at headquarters. Minority employees represent 20 percent of OE engineers. There is no representation among industry analysts. The following chart depicts OE's minority workforce distribution.

Chart 11, Minority Workforce Distribution



14 Source: [OPM 2005 Fact book](#) provided the government wide comparison statistics. DOE statistics are from the Annual Report to Congress, Federal Equal Employment Opportunity Report, FY2005, Office of Personnel Management

Of the total minority portion of the workforce, black employees, including females, represent 18 percent of OE's workforce. Government-wide, black employees represent 17 percent of the workforce and DOE-wide, 11 percent. The average grade of black employees is grade 12, ranging from grade 7 to 15. Two black male employees are grade 15; one is OE's budget officer, the other is an engineer and a graduate of the SES Candidate Development Program.

Three Asian employees, including one female, represent six percent of OE's workforce, compared to five percent government wide and five percent DOE-wide. Each is a grade 14 engineer. An Asian male employee is the only minority staff member located in the field.

One Hispanic employee represents two percent of the OE workforce. Government-wide, Hispanic employees represent seven percent of the workforce, and across DOE, five percent. This employee is a SES member and serves in a supervisory position as Deputy Director for Infrastructure Security and Energy Restoration (OE-30).

Native American employees are not represented in OE's current workforce.

OE hired one disabled veteran in FY2006 with experience in security operations pertaining to weapons of mass destruction (WMD).

Developmental and advancement opportunities for minority employees during FY2006 included:

Promotion for two Black Females to GS 9 and 11, respectively.

Enrollment by one Asian female employee in the Landmark Education Advanced Course and Self Expression and Leadership Program.

Completion by one Black male of technical training in acquisitions.

Completion by one Black female of technical training in time management.

Completion by one Black female of management and technical training in public speaking, web page development, and getting results.

Completion by one Black female of a technical training in law seminar.

Completion by one Asian male of a series of five technical training programs.

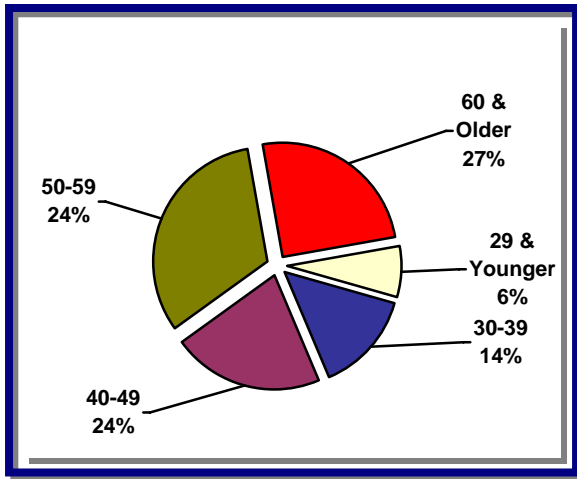
Completion by one Black female of two technical training courses.

Five minority employees (35 percent), including minority females, are or will be eligible for optional retirement by the end of FY2007. During 2012, seven minority employees (50 percent) will be eligible for optional retirement.

Age: The average age of the workforce is 49. Seventy-nine percent of the workforce is age 40 or older; more than half, 57 percent, of the workforce is fifty or older. In addition, the 40 – 49 age group, which represents the mid-level internal candidate pool, is only 24 percent of the workforce, which could present a significant issue in the future.

In addition, the different values between OE's younger and older generation may present some challenges in work relationships due to differing values and goals as OE continues to solidify the organization. To mitigate this challenge, OE will focus on teamwork training and development in FY2007.

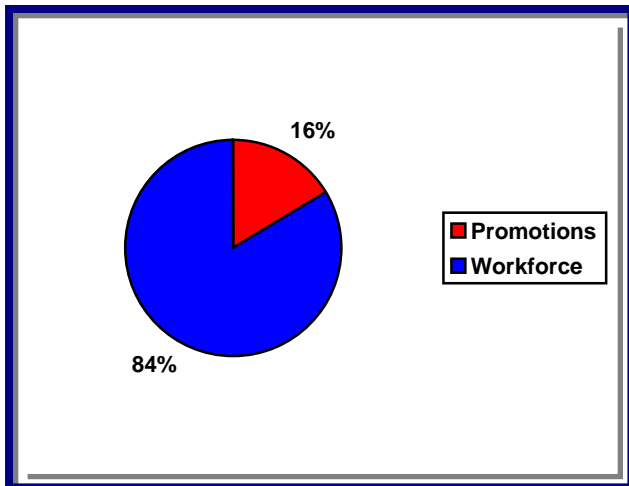
Chart 12, Age Distribution



To diversify our age demographics and increase our internal candidate pool, in FY2006 OE targeted young talent to fill external hires, the 3 external hires for FY2006 were all under 40 years of age.

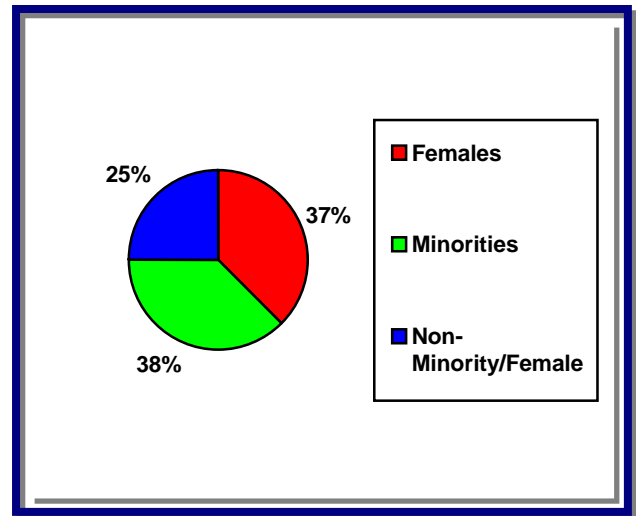
Promotions: OE promoted 16 percent of its workforce in FY2006; 7 percent were merit promotions and 9 percent were career ladder promotions.

Chart 13, Promotions



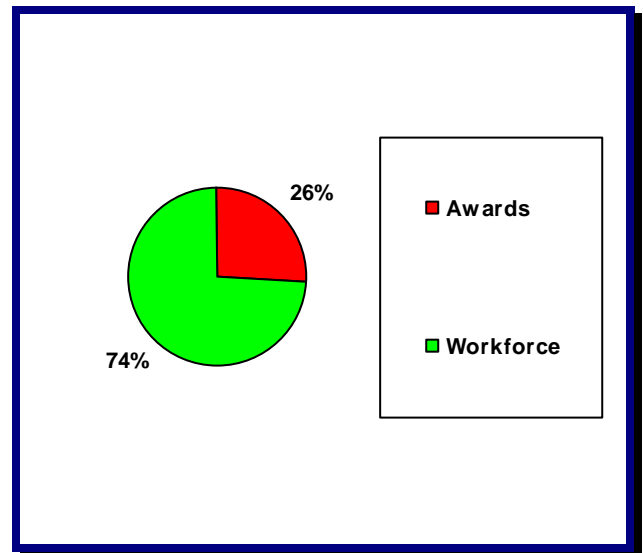
Women and minorities were well represented in these promotions as depicted in Chart 14.

Chart 14, Females and Minority Promotions



Awards: In FY2006, OE acknowledged a high performance by rewarding 26 percent of the workforce with monetary awards.

Chart 15, Awards

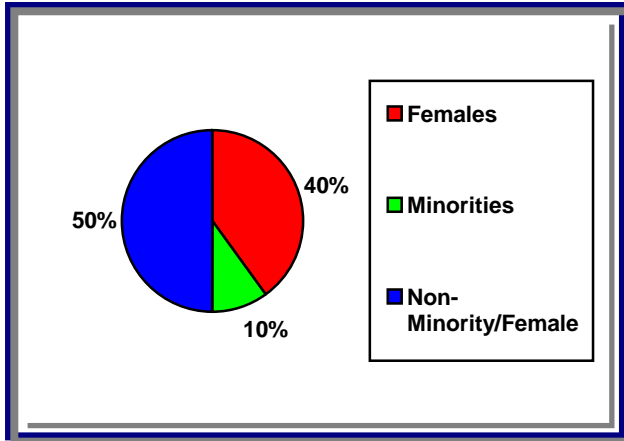


The monetary awards recognized high performing individuals through On-the-Spot, Quality Step Increases, and Special Acts. Seven percent of the workforce received Special Act awards ranging from \$1,000 to \$7,500, 16 percent received Quality Step Increases, and 13 percent received On-the-

Spot awards, which immediately recognize a job-well-done.

Chart 16 below shows women and minorities received 50 percent of OE's monetary awards in FY2006.

Chart 16, Female and Minority Award Distribution



Leadership and Knowledge Pool: For the purposes of the workforce analysis and OE's succession planning activities, the leadership and knowledge pool includes positions grade 13 through SES.

The leadership and knowledge pool represents 79 percent of the total workforce
66% is GS-14 and above

Pool Average Age

- Pipeline: 51
- Grade-14 and 15: 52
- Grade-13: 45
- Female Grade 13 and above: 45
- Male Grade 13 and above: 53
- Minority (including minority female) GS-13 and above: 50

Pool Retirement Eligibility

- 36% optional retirement in FY2007
- 45% early retirement in FY2007
- 52% optional retirement in FY2012
- 64% early retirement in FY2012

Retirement Eligibility:

During FY2006, 18 employees (34 percent of the workforce) were eligible for optional retirement. 23 individuals (or 41 percent of employees) were eligible for either optional and/or early retirement. Thirty four percent of OE's employees are eligible for optional retirement in FY2007.

Chart 17, FY07 Optional and Early Retirement Eligibility

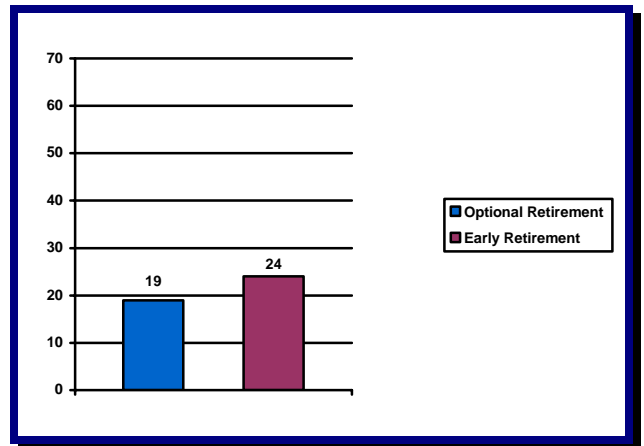
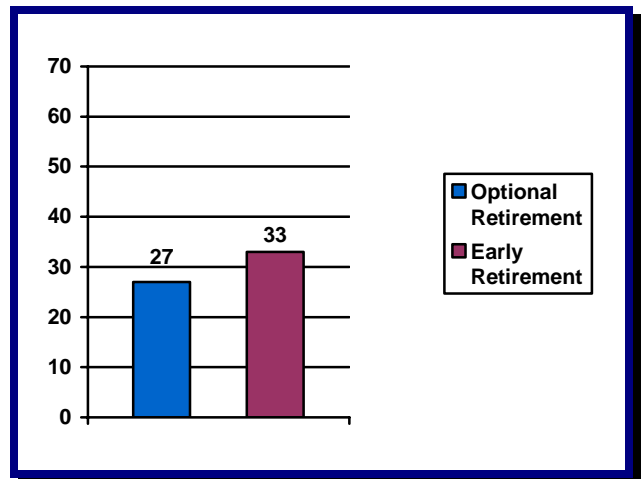


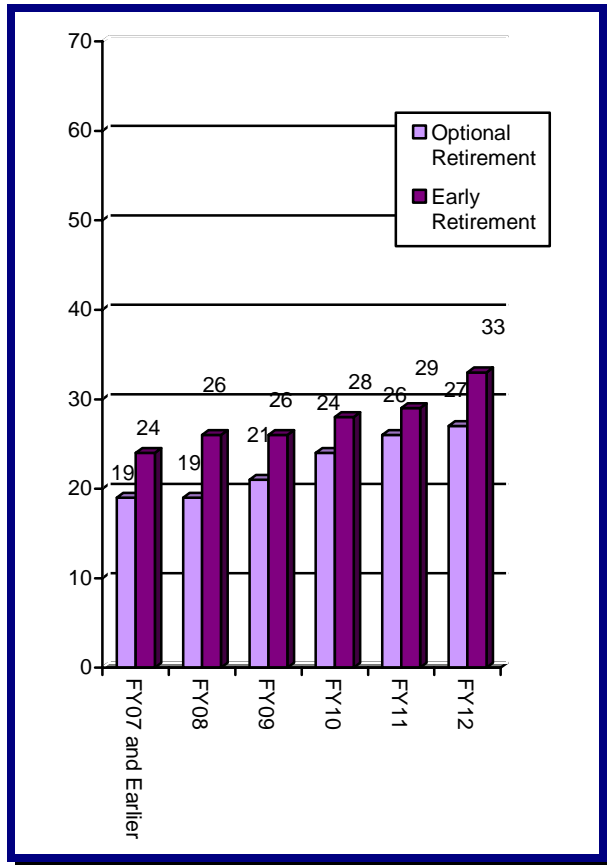
Chart 18, FY12 Optional and Early Retirement Eligibility



As chart 18 displays, based on the current workforce, 27 employees (48 percent) will be eligible for optional retirement in FY2012. 33 employees (60 percent), will be eligible for optional and/or early retirement.

Chart 19 below visually displays the large number of current retirement-eligible OE employees and how that number could cumulate from FY2007 through FY2012.

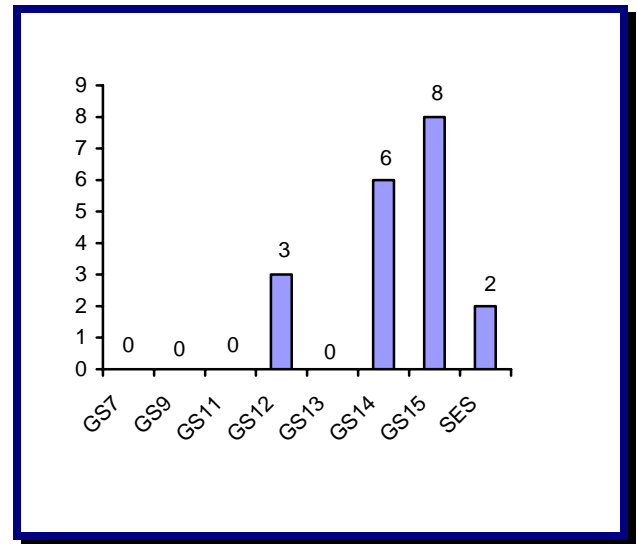
Chart 19, Retirement by Fiscal Year



As expected and displayed in Chart 20, a review of retirement eligibility by grade level shows that during FY2007 the largest number of employees eligible for optional retirement are at the highest grades, SES, GS 14 and 15. This chart assumes no promotions between the end of FY2006 and FY2012. In reality, the current concentration of employees at the higher level will exasperate this issue.

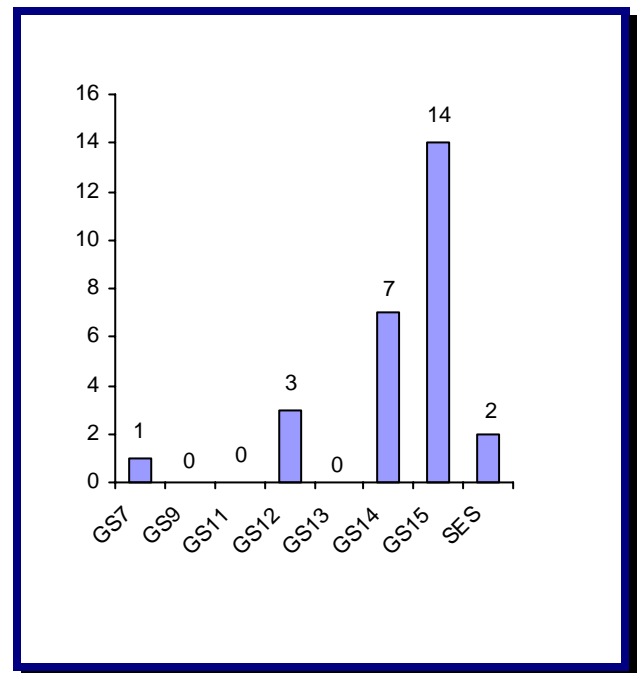
Retirement eligibility concentrated at the highest grade levels challenges OE to rapidly capture and transfer knowledge.

Chart 20, FY07 Optional Retirement by Grade



In FY2012, retirement eligibility is still concentrated in the high-grade levels.

Chart 21, FY12 Optional Retirement by Grade



APPENDIX D

Office of Electricity Delivery and Energy Reliability

Human Capital Management
FY2007 Action Plan and
Quantitative Success Indicators

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Readiness	Strategic Alignment Continue ongoing OE-wide collaboration on HC planning through crosscutting planning and business practices.	Fully integrate human capital planning into OE core business practices. <ul style="list-style-type: none"> ○ OE HR actions are planned, tracked, monitored, and reported for timeliness, quality, and linkage to OE mission, goals, and objectives. ○ Reflected in budget documents and program performance goals as coordinated through the HCPG. ○ Reflected in Strategic Plan. 	Ongoing/ planning cycle dates	<p>HC targets are established and tracked within OE through monthly performance reports and reported in OE's Annual Performance Plan. Our FY07 performance goal is to maintain our total program support at less than 12 percent.</p> <p>OE's Strategic Plan, Budgets, and Workforce Staffing Plan are effectively coordinated and integrated together and coordinated through the HCPG.</p> <p>OE management meets regularly with RM to update and complete their Division Workforce Staffing Plan. Management is an agenda item in staff meetings. Management is provided regular performance and schedule updates vis-à-vis HCMSP metrics.</p>
		Develop a strategic alignment performance standard for supervisors, managers, and resource/business staff that evaluate participation in OE Workforce Staffing Plan process.	Q1	Performance metric contained within performance standards.
		Assess HCMSP alignment against performance indicators to determine effectiveness. <ul style="list-style-type: none"> ○ Track progress against measures. ○ Document and report findings to OE management. ○ Include findings in semi-annual and annual reports to DOE's Chief Human Capital Management Officer. 	Ongoing Semi-Annual/ Annually	Monthly performance reports track progress for OE management's oversight. Reports submitted to DOE management as required.
		Revise HCMSP to ensure continuing alignment.	Annually	HCMSP is revised and submitted to DOE.
		Continue to assess the organization structure and opportunities for cost-effective position utilization.	Ongoing	Maintain supervisor-to-employee ratio of 1:9 or higher.

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Readiness	Workforce Planning and Deployment Leverage opportunities for competitive and outsourcing. Strengthen OE's workforce planning and analysis capability. Strengthen OE workforce communication.	Continue to identify and implement appropriate competitive sourcing/outsourcing opportunities when cost savings are demonstrated.	Ongoing	Develop a measure for competitive sourcing/outsourcing as a percent of OE's total budget.
		Base HR action requests, e.g., recruitment, training and development, restructure, promotion, retention, and similar, on OE Workforce Staffing Plan that result in formal OE Recruitment, Succession, Training and Development and Transition Plans.	Ongoing	Planned HR decisions are data driven. Regular and recurring meetings with OE management result in the documentation of current and projected OE HC requirements that result in formal OE and Division-level Workforce Staffing Plans.
		Continue to foster and conduct two-way communications with employees and union representatives. <ul style="list-style-type: none"> o Conduct regularly scheduled staff meetings. o Encourage employee input/feedback on work and workplace matters. o Maintain full compliance with Collective Bargaining Agreement (CBA). o Continue annual planning meeting for entire office to share information on roles, responsibilities, and actions across OE. 	Ongoing	Regular staff, all-hands, and similar meetings held. Employees report two-way communication. Continued full compliance with CBA maintained.
	Leadership Update OE's Succession Plan. Strengthen SES and mid-level training and development based on identified succession planning needs.	Continue implementation of leadership development strategy based on DOE's Leadership Competency Model. <ul style="list-style-type: none"> o Continue training and development for identified candidates. o Identify additional succession candidates. o Identify and document learning tracks. 	Ongoing	Leadership training priorities documented. Identify candidate for Senior Executive Service training. Additional candidates, if appropriate, identified. Learning tracks identified and documented.
	Strengthen participation in DOE and other leadership programs.	Update Succession Plan for leadership and mission-critical positions based on OE Workforce Staffing Plan data.	Q3-Q1 '08	Implementation fortifies leadership pool.
		Participate in DOE, OPM, USDA Graduate School, Federal Executive Institute and other leadership development programs, including DOE's Mentor Program.	Ongoing	Target programs (funds permitting).

Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Readiness	Knowledge Management Knowledge Sharing Training and Development Continue knowledge sharing and transfer and begin knowledge capture. Implement comprehensive OE training plan. Implement training and retraining to fortify OE knowledge and skills in leadership, mission-critical and identified core competencies. Develop Training and Development evaluation process, including metrics, to determine impact on employee and OE performance. Develop new employee orientation briefing, materials, and transition support.	Continue activities to transfer and share knowledge.	Ongoing	Staff details, shadowing activities, rotational assignments; e.g., ongoing details and transfer of emergency response in ISER.
		Continue enhancements to OE's website and electronic library. Use Intranet to capture and share staff publications and technical papers; share administrative information, e.g., roles and responsibilities, standard operating procedures, and similar.	Ongoing	Appropriate website is used to share technical and administrative information. Internal library is current; staff papers and publications are available for staff review on the common drive and Intranet; Intranet is used and effective in sharing and transferring technical and administrative knowledge.
		Implement training and retraining to fortify OE knowledge and skills in leadership, mission-critical and identified core competencies, in order of identified mission priorities.	Q1-4	Training and retraining is conducted in priority order.
		Implement a comprehensive OE training plan based on data from OE Workforce Staffing Plan. <ul style="list-style-type: none"> o Establish learning tracks for identified positions o Focus on fortifying identified skills. 	Ongoing	Training Plan developed and implemented.
		Develop Training and Development evaluation process, including metrics, to determine impact on employee and OE performance.	Q1 - 2	Evaluation process developed to determine performance impacts and return on investment for selected training programs. Training improves skill gaps.
		Develop new employee orientation briefing, materials, and transition support. <ul style="list-style-type: none"> o PowerPoint Presentation. o Written summary of workplace, program, and knowledge management processes, contacts, tools, etc. o Copy of performance management policy/guidance. o Copy of training plan. o Assign OE staff member "sponsor" to respond to questions during new employee transition. 	Q1 - 2	Briefing and materials are prepared. Orientation briefings are provided for new employees. "Sponsors" are accessible and responsive.

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Readiness	<p>Talent Acquisition, Management and Retention</p> <p>Update and monitor workforce staffing plan</p> <p>Develop and implement comprehensive recruitment plan.</p> <p>Use administrative flexibilities to acquire and retain mission-critical talent.</p>	<p>Update OE Workforce Staffing Plan</p> <ul style="list-style-type: none"> o Prepare and distribute OE Division Workforce Staffing Plans. o Update plan as input to FY08 HCMSP. 	Ongoing	<p>OE Workforce Staffing Plan drafted; HR action requests reflect items in planned action column.</p> <p>HCMSP and Workforce Staffing Plan are coordinated.</p>
		<p>Develop detailed FY07 recruitment plan that reflects identified needs and priorities from OE Workforce Staffing Plan.</p> <ul style="list-style-type: none"> o Plan links to specific mission-critical priorities. o Plan includes recruitment targets – occupations, skills, grade levels, underrepresented groups. o Plan includes recruitment outreach actions. 	Q1	<p>Recruitment Plan prepared and implemented.</p>
		<p>Develop position and recruitment documentation for new positions.</p> <ul style="list-style-type: none"> o Prepare position documentation, including QuickHire competency questions. 	Ongoing	<p>Establish agreed upon timeframes for hiring based on OE Workforce Staffing Plan. Documentation developed according to established deadlines.</p> <p>New hires close significant expertise gaps.</p>
		<p>Identify/use appropriate recruitment and retention financial incentives.</p>	Ongoing	<p>Incentives targeted/used.</p>
		<p>Continue to use all available flexibilities to acquire and provide essential expertise, e.g., contractor support, IPA appts, Temp appts, details, and other.</p>	Q1-4	<p>Use of flexibilities to strengthen surge capacity and fill knowledge gaps.</p>
		<p>Participate in DOE talent programs, i.e., PMF, CIP, Summer Intern Program, etc.</p>	Q1-4	<p>Participate in at least one DOE talent program (funds permitting).</p>
		<p>Update and maintain electronic tracking process for all recruitment and related actions.</p>	Ongoing	<p>Action tracking documented and reported to OE management on a monthly basis.</p>

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Diversity	Diversity Strengthen OE diversity awareness.	Ensure diversity planning and strategies are included in OE's overall Workforce Staffing plan and subsequent recruitment, succession, training and development and transition plans.	Ongoing	OE Workforce Staffing Plan implementation (i.e., recruitment, succession, training and development, and transition) help to close identified gaps.
	Strengthen OE diversity in underrepresented groups, emphasizing those underrepresented in management and mission-critical positions.	Schedule diversity awareness and sexual harassment prevention training; promote DOE diversity events.	Annually	Annual formal Diversity Awareness and Sexual Harassment Prevention training is scheduled and attendance tracked for all employees. Training improves workforce understanding of diversity. Leaders promote DOE diversity events by attending events and encouraging employees to attend events.

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Excellence	<p>Performance Culture</p> <p>Create a clear, uniform message for communicating link between program and individual performance expectations.</p>	<p>Use meetings, coaching and written guidance to ensure that employees clearly understand the performance results that are expected, and poor performance addressed.</p> <ul style="list-style-type: none"> o All hands meetings are used to explain performance framework. o Written guidance for all employees is provided. o Supervisors follow consistent procedures in meeting with each employee. o Supervisors are responsible for clarity of expectations and for addressing poor performance (to be considered in supervisor performance ratings). 	<p>Q 1</p> <p>Q 1</p> <p>Q 1</p> <p>Ongoing</p>	<p>Clarity contributes to heightened understanding.</p> <p>Meeting(s) held.</p> <p>Written guidance provided.</p> <p>Supervisors meet with each direct report.</p> <p>Supervisors held accountable for results.</p>
	<p>Implement new DOE performance management guidance.</p> <p>Strengthen use, visibility, and uniformity of recognition and awards.</p>	<p>Ensure link of program goals to all performance plans and implement DOE's strategic cascade from SES to all positions, including NETL site office performance plans.</p>	<p>Q 1</p>	<p>All plans are in place, including NETL site employees.</p> <p>Standards reflect different performance levels.</p> <p>All plans address mission-critical work.</p> <p>SES standards cascade to EJ and all GS-15 positions.</p>
	<p>Develop and communicate a process for improving low performance during the performance cycle.</p>	<p>Implement new SES and GS performance management guidance for FY2006.</p>	<p>Pending guidance</p>	<p>All new plans in place per DOE guidance.</p>
	<p>Invest in manager/supervisory training relating to performance management.</p>	<p>Provide information and guidance to support timely use of the mix of recognition and award tools.</p> <ul style="list-style-type: none"> o Provide supervisors and managers an inventory of recognition/award options. o Encourage use of monetary and non-monetary recognition. 	<p>Ongoing</p>	<p>Information and guidance is provided.</p> <p>Increased timeliness and range of options and used.</p>
		<p>Identify/acknowledge and award jobs-well-done and award recipients to all staff.</p>	<p>Ongoing</p>	<p>Acknowledgements made at weekly staff meetings as appropriate.</p>
		<p>Review award trends. Ensure that the highest awards are for highest performers.</p>	<p>Quarterly</p>	<p>Trends identified. Highest amounts go to highest performers.</p>

OE Goal	Strategy/OE Initiatives	Actions to Implement Improvement Initiatives	Schedule	Success Measures
Workforce Excellence	HCM Accountability <ul style="list-style-type: none"> • Update performance indicators for measuring progress. • Track, monitor, and report progress in meeting HCM goals, including cost-effectiveness and impact on program results. 	Finalize Human Capital Management Plan performance indicators. <ul style="list-style-type: none"> ○ Track and document progress. ○ Submit reports to DOE. ○ Evaluate results and revise/modify success indicators. 	Q1 – Q4	Performance indicators are in place. Progress and trends tracked. Reports submitted. Revision included in FY08 Plan.

HR Quantitative Success Indicators

Strategic Alignment	Workforce Planning and Deployment	Leadership	Knowledge Management, Sharing, Training, Development	Talent, Recruit, Hire and Retain	Diversity	Performance Culture	HCM Accountability
<ul style="list-style-type: none"> • HC Integration % HC targets measured in Annual Performance Plan • Planning Collaboration % of Planned Actions reflected in OE budget • Strategic Alignment % performance plans with strategic alignment performance element. • Cost-Effective position utilization supervisory ratio 1:9 or higher 	<ul style="list-style-type: none"> • HC Operation Cost Effectiveness % savings from competitive sourcing and/or outsourcing • Workforce planning capability # of formal meetings with management to complete OE Workforce Staffing Plan % of OE Division Workforce Staffing Plans that reflect current and projected HC requirements • Workforce communication # of OE all hands staff meetings where employees and management share information. % of non-compliance with Collective Bargaining Agreement (CBA) 	<ul style="list-style-type: none"> • Succession Plan % of succession positions and replacement strategies identified • Leadership % of priority training conducted 	<ul style="list-style-type: none"> • Knowledge transfer/sharing % of OE staff participating in details, shadowing, and rotational assignments. • Training and Development Plan % of priority training conducted. • Return on Investment % of training programs with Kirkpatrick level 2 evaluation. % or programs that show effectiveness in improving performance. . • Orientation # of new hires assigned a sponsor. 	<ul style="list-style-type: none"> • Workforce Staffing Plan % of Planned Actions from OE Workforce Staffing Plan reflected in formal HR action requests. • Competency % Employees hired/retained that possess required Competencies. • Recruitment Plan Baseline % of outreach activities targeted to underrepresented groups % of hires in mission-critical occupations. • Timeliness % of hires executed within agreed upon timeframes. • Incentives # of employees receiving recruitment, retention, relocation bonus. • Flexibilities Ratio of IPAs, Detailees, term/temp appts, or alternatives to full time permanent staff. 	<ul style="list-style-type: none"> • Training % of OE staff that attend Diversity Awareness and Sexual Harassment or similar training. • Improve RNO/female/disability representation in applicant pool Baseline % of females, minorities, and disabled applicants for OE positions. 	<ul style="list-style-type: none"> • Communication % of OE staff that meet directly with supervisor to review performance plan, plan progress and review their rating. % of supervisors with a performance element that makes the supervisor accountable for employee performance results. • Performance linkage % of OE performance plans that link performance expectations to mission-critical work. • Awards All of OE staff with highest performance rating at their grade level receive highest award amounts. 	<ul style="list-style-type: none"> • Reporting % of HCMSP reports submitted on time, that address performance indicators, and provide appropriate level of detail.

APPENDIX E

Office of Electricity Delivery and Energy Reliability

Critical Skills Gap Analysis

Date: 8/25/2006

CRITICAL SKILLS GAP ANALYSIS

Organization Name: Office of Electricity Delivery and Energy Analysis

	Critical Skill by Series	Projected Number of Positions Needing this Skill	Current Number of Positions Having this Skill (thru 4th Quarter)	FY2007 Gap Closure Goal			
				Identified Gap	1st Qtr	2nd Qtr	3rd Qtr
		(d)	(e)	(d-e)	(coincides with PTB IV)		
Contract Management		N/A	0	—			
	Level 1			—			
	Level 2			—			
	Level 3			—			
IT Project Management		N/A	0	—			
	Level 1			—			
	Level 2			—			
	Level 3			—			
Technical Qualifications Program		N/A					

Date: 8/25/2006

CRITICAL SKILLS GAP ANALYSIS

Organization Name: Office of Electricity Delivery and Energy Analysis

	Critical Skill by Series	Projected Number of Positions Needing this Skill	Current Number of Positions Having this Skill (thru 4th Quarter)	FY2007 Gap Closure Goal			
				Identified Gap	1st Qtr	2nd Qtr	3rd Qtr
		d)	(e)	(d-e)			
Other Critical Skills							
	Leadership Director, OETD, ES-301	1	1	0			
	Leadership Principal Deputy Director, ES-301	1	0	1	1		
	Leadership Chief Operating Officer, ES-340	1	1	0			
	Leadership Deputy Director, ES-340	3	2	1	1		
	Technical (Includes 3 field positions) Engineer, GS-801/850/1310	19	19	0			

Date: 8/25/2006

CRITICAL SKILLS GAP ANALYSIS

Organization Name: Office of Electricity Delivery and Energy Analysis

	Critical Skill by Series	Projected Number of Positions Needing this Skill	Current Number of Positions Having this Skill (thru 4th Quarter)	FY2007 Gap Closure Goal			
				Identified Gap	1st Qtr	2nd Qtr	3rd Qtr
		(d)	(e)	(d-e)			
	Policy Analysts Senior Policy Advisor/Management and Program Analyst/Import Export Analyst/Environmental Scientist/Regional Representative/Attorney Advisor/Environmental Protection Specialist, GS-343/1101/1301/301/905/028	17	12	5	3	1	1
	Infrastructure Analysts Infrastructure Systems Analyst/Infrastructure Security Assistant/Social Scientist/Physical Scientist, GS/1101/086/0101	12	7	5	2	1	2
	Program & Management Operations Operations Research Analyst, GS-1515	1	0	1		1	

Date: 8/25/2006

CRITICAL SKILLS GAP ANALYSIS

Organization Name: Office of Electricity Delivery and Energy Analysis

	Critical Skill by Series	Projected Number of Positions Needing this Skill	Current Number of Positions Having this Skill (thru 4th Quarter)	FY2007 Gap Closure Goal			
				Identified Gap	1st Qtr	2nd Qtr	3rd Qtr
		(d)	(e)	(d-e)			
	Program Analysts & Specialists Program Analyst/Management Analyst/ Special Assistant/ Program Specialist/ IT/Security Specialist, GS-343/301	11	10	1	1		
	Clerical/Administrative Secretary/Administrative Support Specialist, GS-318/301/303	4	4	0			
	TOTALS	70	56	14	8	3	3