

**OFFICE OF THE CHIEF INFORMATION OFFICER (OCIO)
FY 2014 HUMAN CAPITAL MANAGEMENT PLAN**

Executive Summary: The mission of the Office of the Chief Information Officer (OCIO) is to enable the Department of Energy's urgent missions in energy, science, and nuclear security through the power of information and technology in a manner that balances risk with required outcomes in programs that span from open science to national security.

DOE promotes effective operations by encouraging performance-based management and facilitating the restructuring of mission- and business-related processes, where appropriate, before making significant IT investments to improve the performance and cost-effectiveness of the Department's information management activities. In addition, the OCIO's Office of Cybersecurity implements and maintains a comprehensive cybersecurity program that is effective across DOE's diverse missions and large array of interdependent networks and information systems.

- Strategic Goal 1 - Leverage Existing IT: Leverage existing information technology and expertise to maximize mission accomplishment and reduce costs.
- Strategic Goal 2 - Foster New and Emerging IT: Identify and foster new and emerging information technology to maximize mission accomplishment and reduce costs.
- Strategic Goal 3 - IT Governance, Policy, and Oversight Processes: Provide Departmental IT governance, policy, and oversight processes to ensure secure, efficient, and cost-effective use of IT resources.
- Strategic Goal 4 - Risk-Based Cybersecurity: Strengthen enterprise situational awareness to foster near-real-time risk management and combat the advanced persistent threat; forge interagency and sector partnerships to protect critical infrastructure, promote information sharing, and advance technologies for cyber defenses.

The OCIO Human Capital Management Plan is designed to support the mission of the OCIO. The OCIO received a directive from the Secretary to conduct a 120-day IT Study modeled after the Office of the Chief Human Capital Officer. The OCIO 120-day study is designed to examine the delivery of information technology services across the agency and provide recommendations on conducting business in a more efficient and effective manner. It is anticipated that the outcome of the 120-day study may necessitate some organizational changes in order to support the preferred IT environment end state. The OCIO human capital planning activities will be substantially influenced by the results of the 120-day study.

While we await the outcome of the 120-day study and the specific implementation activities, the OCIO continues its focus on the full range of human capital initiatives, and we continue to align our human capital management to support the mission of the organization. Training needs assessments of the current workforce are conducted and key competencies for development are identified to accomplish the DOE Strategic Plan through appropriate training, mentoring, and developmental assignments. Given a high number of eligible retirees in the near term, succession planning is underway through the utilization of National Defense University Development Programs, appointment to task/working groups, and detail/developmental assignments to ensure employees are better positioned to transition into leadership positions and through initiatives that maximize the use of corporate knowledge management. From an

enterprise perspective, qualification of IT Project Managers identified in the Capital Planning and Investment Control process on Exhibit 300s is an ongoing initiative to ensure that employees managing multi-million dollar IT projects have the necessary skills to manage within cost, on schedule, and within performance targets. Performance plans for Senior Executive Service (SES) members and managers are linked to the DOE Strategic Plan and cascade to non-SES supervisory and employee performance plans/expectations. Outstanding performance is recognized through the use of monetary awards for performance, special act awards, quality step increases, and other innovative awards, including time-off awards and certificates of appreciation. The OCIO continues to support the Departmental initiatives for a flexible workforce.

The OCIO initiated several major restructuring activities, which are currently in progress, to support the Department's priority initiatives such as: Joint Cybersecurity Coordination Center (JC3), efforts to operationalize IT modernization, and policy updates for Mobile Device Management and Records Management.

OCIO's FY 2012-2017 Strategic Plan emphasizes the criticality of partnerships to promote agency-wide innovation and effective operations that provide tangible, positive, high-value outcomes for our nation. The information technology strategy has been transformed to meet the Department's demanding need. Additional changes to the OCIO workforce are underway to enable OCIO to lead the Department's IT reform and to build upon its cyber security talent to meet the emerging demands of this critical Departmental requirement.

The OCIO is committed to build on the foundation already established to make workforce recruitment and retention decisions based on mission needs and customer expectations to close skill gaps in the short-term and long-term in its current and anticipated workforce; to employ a diverse workforce; provide for continuity of leadership through succession planning and professional/career development; continue to develop and foster knowledge management programs to share and transfer institutional knowledge; build a direct line between employee performance expectations and mission accomplishment; and utilize the current administrative tools and flexibilities in combination with innovative strategies to maximize return on investment.

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Business Vision: The OCIO Business Vision aims to affect governance and processes in order to provide access to modern, reliable, and secure IT infrastructure and systems to support and enhance DOE's mission in the 21st century.

OCIO Workforce Plan – FY 2014

Requirement:

Integrate HCM Plan into decision-making processes

- Plan linked to DOE mission, strategy, and goals
- Designates accountable officials

Results:

Human Capital Management is linked to the OCIO's mission and focus points (attached). Specifically, Executive and supervisory mission-related performance plans have been established that track human capital management activities and accountability for line item projects. Performance plans for all OCIO employees link directly to their respective senior executive core performance elements. (Performance plans developed FY 13 Q1.) Performance plans to implement the provisions of the Performance Management and Recognition Program for supervisory/non-supervisory employees established the link to the program mission and supervisory core performance elements. (FY 13 Q1)

Requirement:

Demonstrate improvement in meeting hiring-time goals

- auditable system for collecting and analyzing hiring data

Results:

As of FY 13 Q4, the average "Time to Offer" 9 GS employees a job was 45 days, which is within the 50-day "Time to Offer" goal. The average hiring time for selecting one Senior Executive Service (SES) employee was 176 days, which exceeds the 90-day hiring goal. (Ongoing). This delay was contributed to conflicts in scheduling interviews during the summer months, as well as the extended moratorium based on Secretary Chu's resignation and the swearing in of the new Secretary Moniz.

Specific Goals:

- Maintain personnel status report of all recruit actions, tracking dates of all phases of the recruitment process from the initiation of the personnel action in CHRIS HR Workflow to the entrance on duty (EOD) date; i.e., to determine time spent for subject matter expert (SME) reviews, SES panels, and interviews. (Ongoing)
- The HC specialist serves as the SME for all OCIO recruit actions, unless the technical aspects of the position require an SME from the OCIO. An OCIO SME is provided to HC within 24 hours of request or in advance of the vacancy closing date in order to comply with the Department's hiring reforms. As of FY 13 Q4, OCIO recruited for 9 GS positions. Of these 9 GS positions, none required SME review from the OCIO. (Ongoing)
- Solicit panel members for SES recruitments prior to vacancy closing date so that panel can convene within 2 weeks of closing date (pending completion of HC's qualification review). As of FY 13 Q4, the average time to schedule 2 SES panels were 24 days from the closing date which exceeds the

two-week period by two weeks. (Ongoing). A contributing factor to this delay was due to an error in the USAJOBS on-line application process, which delayed HC's qualification review process.

- Complete selection certificates and return to HC no later than 30 days from receipt, unless circumstances are beyond the OCIO's control; i.e., medical emergencies, travel schedules, etc. As of FY 13 Q4, on average, GS selection certificates have been returned to HC within 11 days of receipt, which is within the 30-day period. As of FY13 Q4, SES selection certificates for one recruit action has been returned to HC within 75 days of receipt. (Ongoing) This delay was due to conflicts in scheduling interviews during the summer months.

Requirement:

Significantly reduce skills gaps in mission-critical occupations

- identify mission-critical skills, needs, number available, and gaps
- address certification needs by level for project managers, contract, and information technology managers
- develop strategies to create workplace that attracts talent
- integrate the results of competitive sourcing and e-Gov

Results:

- OCIO has focused on development of Management/Leadership, Contract Management, and IT Project Management Qualification skills for development. Employees identified as Contracting Officers' Representatives and IT Project Managers have the necessary skills to perform their responsibilities. (Ongoing)
- The OCIO has an effective IT Project Management Qualification process and actively works with the Program Elements to ensure that IT Project Managers for all major IT investments as identified on the DOE Budget Exhibit 300s are qualified by the end of each FY. (Ongoing)
- The OCIO Student Loan Repayment Program is available as a tool to attract recent graduates.
- One manager was enrolled in the Professional Liability Insurance reimbursement. (Ongoing)
- The OCIO continues to promote a flexible workforce providing employees opportunities to participate in the Telework/Flexiplace Program and use of alternative work schedules. The Department's implementation of the Telework Enhancement Act of 2010 along with the Office of Personnel Management's launch of its telework.gov website provides easy access by the OCIO workforce to resources that promote the benefits of this policy. DOE's Online Learning Center (OLC) offers a course entitled "Telework for Government Employees," that provides guidelines on how to evaluate if telework is right for the employee's participation situation, and the telework.gov site offers required training for enrolling in the telework program. The Department's Telework (DOE FLEX) Handbook was revised July 2011 to provide all employees the opportunity to take full advantage of telework arrangements, including employees who serve in supervisory and confidential capacities. An average of 93% of OCIO's workforce participates in the Department's telework program.

Requirement:

Implement succession strategies

- include executive development programs
- result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge and employee development efforts

Results:

- The OCIO has developed and implemented an IT Project Management Qualification process to ensure that project managers for key IT investments as identified on the DOE Exhibit 300s are certified. The IT Project Management Qualification initiative was implemented in accordance with

Office of Management and Budget (OMB) mandates and has been integrated with DOE's Capital Planning Investment Control Program review and oversight activities for all ongoing/new/future major IT investments. IT staff who do not currently manage major IT investments as identified on Exhibit 300s are provided the opportunity to develop project management skills to support future investments. (Institutionalized FY 03 Q4/Ongoing)

- OCIO has developed a cadre of IT Project Managers to support the OCIO succession planning program. Ten employees are Level 1 certified; four employees are Level 2 certified; and one employee is Level 3 certified.
- OCIO tracks and approves DOE IT Project Managers throughout the certification process. The process provides an assessment of project managers' skills, level of project manager-related experience and training, and then follows up with appropriate provision of training to ensure proper certification of DOE IT Project Managers
- The OCIO training and development strategy is based on needed competencies required for mission accomplishment. OCIO encourages employee participation in a variety of DOE developmental training/mentoring programs, both internal and external to the agency, to enhance skill sets and to maximize the use of corporate knowledge.
- One employee was detailed from the U.S. Department of Agriculture under a reimbursable interagency agreement to serve as the IT Project Manager for the transformation of information technology services within the Office of the Associate CIO for Energy IT Services (IM-60). The incumbent provided oversight and management of the IT Transformation Program for the Department of Energy (DOE). (FY 13 Q1 – FY13 Q3)
- Two GS nonsupervisory employees were temporarily promoted into GS-15 supervisory positions for 120 days. (FY 13 Q1 – Q2)
- One GS nonsupervisory employee was temporarily promoted into a GS-15 supervisory position for 120 days. (FY 13 Q1)
- One employee (supervisory GS-15) was detailed for 120 days to serve as the Acting Associate CIO for Cyber Security (IM-30). (FY 13 Q4)
- One employee (nonsupervisory GS-15) was detailed as the Acting Director, Customer Care Office (IM-61). (FY 13 Q1 – Q2)
- Two GS nonsupervisory employees were detailed to the Office of Health, Safety, and Security (HS) as a result of a functional transfer of TEMPEST and COMSEC activities. (FY 13 Q1- Q4)
- One Senior-Level employee was detailed as the Acting Director, Technology Evaluation Office (IM-50). (FY13 Q3 – Q4)
- One GS nonsupervisory employee was detailed to the Customer Account Management Team (IM-611.2). (FY 13 Q1 – Q2)
- One GS nonsupervisory employee was detailed to the Customer Care Office (IM-61). (FY13 Q3 – Q4).
- One GS nonsupervisory employee was detailed to the User Support Division (IM-612). (FY 13 Q3 – Q4)
- One GS supervisory employee was detailed to the Office of the Associate CIO for Cyber Security (IM-30). (FY 13 Q1)
- Executive and Career Development Programs are used to the maximum extent of funding availability to ensure employees are better positioned to transition into leadership positions, linking individual development to improved agency performance. (Ongoing)
 - Two GS-15 supervisory employees attended the Federal Executive Institute (FEI) in FY 13 (Q2). One GS-15 supervisory employee and one EJ-IV employee are scheduled to attend the Federal Executive Institute in FY 14.
 - One GS-14 employee completed the National Defense University (NDU) 10-month Master

Degree Program in National Security. (FY 12 Q4 – FY 13 Q3)

- Two GS-13 employees completed the NDU 14-week Advanced Management Program in FY 13 Q1 and Q2.
- One GS-14 employee is participating in the USDA Executive Potential Program. (FY 13 Q3 – FY 14 Q3)
- The OCIO strives to ensure supervisors, managers, and SES members complete the mandatory supervisory training to ensure the success of the Department's leadership team. (Ongoing)
- The OCIO is committed to improve employee opportunities for career advancement through career-ladder positions. As of FY 13 Q4, two employees currently under career-ladder positions were promoted to the next level. Of these employees, none have reached their full-performance level.
- A full complement of senior-level employees are qualified to fill the management-level positions should vacancies occur or to act in an interim capacity. (Ongoing)

Requirement:

Link Knowledge Management (KM) effort to DOE portal

Results:

The OCIO is focusing on knowledge access, accountability, and control within the Department as follows:

- Identify and authenticate accountable records management program and process support personnel;
- Capture and preserve employee knowledge and Federal records via a robust Records Management Program; and
- Streamline information accessibility and mitigate information access risks.

A brief summary of accomplishments to date and ongoing efforts in these areas is provided below.

Specific Records Management Program forms and processes are in place to properly identify and authenticate persons involved with the records management program and processes involving management of DOE records and activities through Federal Records Centers nationwide. Also, Federal records are being targeted for improved access, accountability, and control across programs to ease and speed retrieval in response to business and mission needs, Freedom of Information Act (FOIA) requests and eDiscovery. Initiatives are underway to develop and deploy targeted program service drives/space for controlled folders and e-mail protocols for improved electronic records management in keeping with the Managing Government Records Directive (M-12-18) issued by the National Archives and Records Administration (NARA) and OMB. (Ongoing)

Records management procedures and guidance have been revised to address (Ongoing):

- Electronic data requests to more appropriately address processing them more efficiently, economically, and effectively;
- Employee and contractor separation processes to help ensure proper accounting for records transfers within organizations before departure of personnel;
- Inconsistencies and risks associated with employee and contractor uses of local hard drives and other dedicated drives generally inaccessible to appropriate program officials and members who require access to the Federal records therein; and,
- Inappropriate and inconsistent identification and authorization of users to records, supporting records management systems, and records resources without proper accountability.

The OCIO leads an agency-wide initiative to identify and improve records management awareness for

improved access, accountability, and control Department-wide. To date, a series of records management forms have been developed and issued to properly identify appropriate and authorized persons for records management oversight and access to Federal records and key records management systems that impact unclassified, sensitive, and classified information. Efforts continue to more fully and accurately identify key Departmental senior-level officials and critical mission programs requiring records management accountability as creators and repositories of DOE Permanent records. Such efforts include review for NARA's capstone initiative identification, proactive records disposition scheduling efforts, and consideration of system requirements and functionality to better segregate key data sets – particularly electronic files and e-mails – for more efficient and effective accountability and control. Additionally, efforts continue with external stakeholders, such as NARA and the Federal Records Council. Efforts target improvements to leverage DOE records management community resources and knowledge towards acquiring or developing a functional electronic records management system for enterprise uses. (Ongoing)

Requirement:

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

Results:

The OCIO continues to embrace and support diversity initiatives. The OCIO currently has 16 vacancies, of which 4 vacancies are in the recruitment process.

- One female employee was temporarily promoted into GS-15 supervisory positions. (FY 13 Q1 – Q2)
- One minority female employee was reassigned into the OCIO from an organization within the Department. (FY 13 Q3)
- One minority male employee was laterally transferred into the OCIO from another federal agency. (FY 13 Q3)
- One female employee was laterally transferred into the OCIO from another federal agency. (FY 13 Q1)
- One minority male employee was hired through the Merit Promotion process into a GS-15 supervisory position. (FY 13 Q2)
- One female employee was hired through the Merit Promotion process into a GS-13 position. (FY 13 Q4)
- One female employee was selected through the Merit Promotion process as a GS-3 summer hire. (FY13 Q3 – Q4)
- One minority male employee was reassigned into another position within the OCIO. (FY 13 Q2)
- One minority female employee was reassigned into another position within the OCIO. (FY 13 Q2)
- Two female employees were reassigned into other positions within the OCIO. (FY 13 Q1, Q2)
- Two minority male employees received an incentive (special act) award. (FY 13 Q1)
- Two minority female employees received an incentive (special act) award. (FY 13 Q1, Q2)
- Two female employees received an incentive (special act) award. (FY 13 Q1, Q2)

Although the OCIO population has increased by 10% since FY 02, 61% of the current population consists of minority and female status employees. The diversity status since FY 02 is as follows:

- Black female employees from 15% to 15% (no change)
- Black male employees from 7% to 9% (an increase of 2%)
- Hispanic female employees from 0% to 0% (no change)
- Hispanic male employees from 2% to 2% (no change)

- Asian female employees from 0% to 3% (an increase of 3%)
- Asian male employees from 0% to 1% (an increase of 1%)
- American Indian female employees from 0% to 1% (an increase of 1%)
- American Indian male employees from 0% to 1% (an increase of 1%)
- The overall female population has increased by 2% (from 47% to 49%), and the overall minority population has increased by 7% based on the total population from FY 02 (104) to FY 13 Q4 (115).

Requirement:

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

Results:

- In FY 12 Q4, OCIO received approval for Voluntary Separation Incentive Payment (VSIP/Buyout) authority and Voluntary Early Retirement Authority (VERA/Early Out) through FY 12 Q4. These authorities were sought to support additional organizational changes following our FY 2011 restructuring and to implement the human capital objectives outlined in the OCIO's FY 2012-2017 Strategic Plan. Both VSIP and VERA support the OCIO goal of transforming the organization to meet the Department's demanding need and to enable OCIO to lead the Department's information technology (IT) reform and to build upon its cyber security talent to meet the emerging demands of this critical Departmental requirement. VSIP specifically serves as a vital tool to address OCIO's human capital needs both now and in the future. Buyouts will be used to: (1) reshape the workforce to meet emerging and changing requirements in information management by providing headroom by eliminating and/or reengineering predominately administrative positions and senior level IT positions (e.g., EJ-4 and GS-2210-14/15) to staff key technical and project management positions enabling OCIO to consistently deliver high-availability, core IT services across the Department; (2) replacing senior level positions with career ladder entry- or mid-level technical positions; and (3) correct skill imbalances resultant of recent transformative initiatives by staffing Integrated Project Teams as well as better match skills to various specialized information management occupations. Specifically, cyber security skills constitute a shortage category across the Federal sector. This specialized skill set is especially critical to focus on threats to the Department and to defend against the growing complexity of cyber attacks to the Department's vital systems. VERA authority was sought to allow employees who would not otherwise qualify for optional retirement to voluntarily separate; to attract the maximum number of employees in targeted positions to accomplish the organization's restructuring goals. VERA will be applied across the OCIO organization while VSIP is specifically targeted in the following occupational groups, which are predominantly located in the Washington, DC/Metropolitan geographic area: general administrative, engineering, business and industry, and information technology. OCIO received OPM approval for extension of the existing VSIP and VERA authorities through FY 14. (FY 13 Q4) To receive the incentive payment, employees accepting buyouts must separate from Federal service within structured windows of opportunity, but no later than September 30, 2014.
- Eleven GS employees (FY 13 Q1, Q2, and Q4) retired under Optional Retirement.
- OCIO will continue to monitor the development and sustainment of mission critical competencies that further strengthen the strategic management of the IT workforce and leverage the use of highly-skilled support service contractor personnel to supplement the federal staff. (Ongoing)

Requirement:

Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the workforce

- differentiate between various levels of performance
- provide consequences based on performance

Results:

- The DOE Supervisory/Nonsupervisory Employee Performance Management and Recognition Program and the DOE Senior Executive Service Performance Management System are used to guide rating officials in assessing performance. These performance systems also provide criteria for award incentives that are based upon the differentiation between high and low performance.
- The Employee Performance Management and Recognition Program was implemented on October 1, 2011, in accordance with DOE O 331.1C, which establishes requirements and responsibilities for the performance management program for all supervisory and non-supervisory employees at grades GS-15 and below or equivalent, employees in EJ and EK pay bands IV and V in the Excepted Services, and all wage grade employees. (FY 2012 Q1)
- Senior executives' performance is differentiated into five levels of ratings (Outstanding, Highly Successful, Fully Successful, Minimally Satisfactory, and Unsatisfactory).
- Performance for employees under the DOE Supervisory/Non-supervisory Employee Performance Management and Recognition Program is differentiated into five levels of ratings (Significantly Exceeds Expectations, Exceeds Expectations, Meets Expectations, Needs Improvement, and Fails to Meet Expectations).

OCIO follows established Departmental guidance to address employee performance issues when needed. Managers/supervisors are encouraged to keep their employees apprised of their performance on an ongoing basis through their daily interactions and performance progress reviews to provide guidance and assistance for improvement.

Performance Plans:

- 100% of performance plans for the SES and supervisory positions are linked to the DOE mission. (FY 13 Q4)
- 100% of the current workforce are under performance plans that align with organizational goals and objectives established under DOE Strategic Goal Management and Operational Excellence (Establish an operational and adaptable framework that combines the best wisdom of all Department stakeholders to maximize mission success) and the SES performance plans. (FY 13 Q4)
- All employees (including GS employees, supervisors/managers, and executives) are eligible for consideration for bonuses based on their performance ratings. Performance ratings are given annually based on employees' responsibility and accountability for mission-related accomplishments.
 - A total of 114 GS employees and supervisors/managers received performance bonuses based on their responsibility and accountability for mission-related accomplishments within FY 2012. (FY 13 Q1)
 - No GS employees and supervisors chose time-off awards in lieu of performance bonuses based on their responsibility and accountability for mission-related accomplishments within FY 2012. (FY 13 Q1)
- Executives receiving an Outstanding rating earned a discretionary performance bonus of 7%-8% of their pay. Executives receiving a Meets Expectations rating earned a discretionary performance bonus of 5% of their pay. (FY 13 Q1)
- Three executives received performance bonuses for mission-related accomplishments within FY 2013. (FY 13 Q1)
- In lieu of performance awards, Quality Step Increases (QSIs) or Time-Off Awards (TOAs) are authorized for employees and supervisors/managers receiving outstanding ratings (QSI/TOA recipients and the number of QSIs/TOAs to be approved are limited to the total number of QSIs/TOAs issued during FY 10).

- Four QSIs were granted based on FY 12 performance. (FY 13 Q1)
- Six special act awards were granted. (FY 13 Q1, Q2)
- For the performance cycle ending FY 13 Q4, GS supervisory and non-supervisory employees with a rating of Meets Expectations or higher are eligible to receive a performance award that is calculated based on their Adjusted Base Pay X Share Factor (SE, EE, or ME) X Share Percentage.
- For the performance cycle ending FY 13 Q4, the SES performance awards pool was set at 4.5% of the total pay for all career SES in each organization as of September 30, 2013. The minimum performance award amount could not be less than 5% of the executive's salary (this is a statutory requirement per 5 USC 5384). The maximum performance award amount could not exceed 8% of the executive's salary. Also, there must be clear distinctions made in performance award amounts (highest amounts must be provided to those with the highest performance ratings).

Requirement:

Use outcome measures to make HC decisions

- link HCM Plan to Program Plan(s) and FY 12 Budget

Results:

- Although OCIO has an approved FY 2013 budget to fund 144 FTEs, current and upcoming budget cuts cannot sustain this number. As a result, the FY 2013 human capital planning and workforce budgeting has been accomplished to ensure funding to support the OCIO's direct operations for 129 full-time equivalents (FTEs). The efficiencies achieved through this level of funding will allow the organization to maintain the high quality of current programs through increased project and contract management and provide needed additional future services while assisting in controlling the growth of increasing costs and full-time equivalents. (Ongoing)
- The OCIO budget contains a line item that demonstrates the investment in employee development programs.