



U.S. DEPARTMENT OF
ENERGY

2016-2020 Strategic Human Capital Plan



Office of the Chief
Human Capital Officer

Cover Photo Description

Beyond Double-Pane Windows

While the invention of double-pane windows dates back to 1935, a true turning point in the technology came in the 1980s with a collaboration between the Department of Energy, private industry, and Lawrence Berkeley National Lab. Initial research and development by Berkeley Lab and a start-up company, Suntek Research Associates (now called Southwall Technologies), led to the commercialization of low-emissivity coatings, a technology applied to glazing layers that allows visible light to pass through a window while trapping heat. Today, more than 80 percent of residential windows and nearly 50 percent of commercial windows sold every year in the U.S. have “low-e” coatings, saving consumers billions of dollars in energy costs.

Image: Roy Kaltschmidt, Lawrence Berkeley National Lab

Source: <http://www.energy.gov/photos/4-energy-department-inventions-saving-consumers-energy-and-money>

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1. INTRODUCTION

The purpose of strategic human capital planning is to help organizations optimize their resources for efficient and effective mission achievement by using long-term, data-supported planning and management of the workforce.

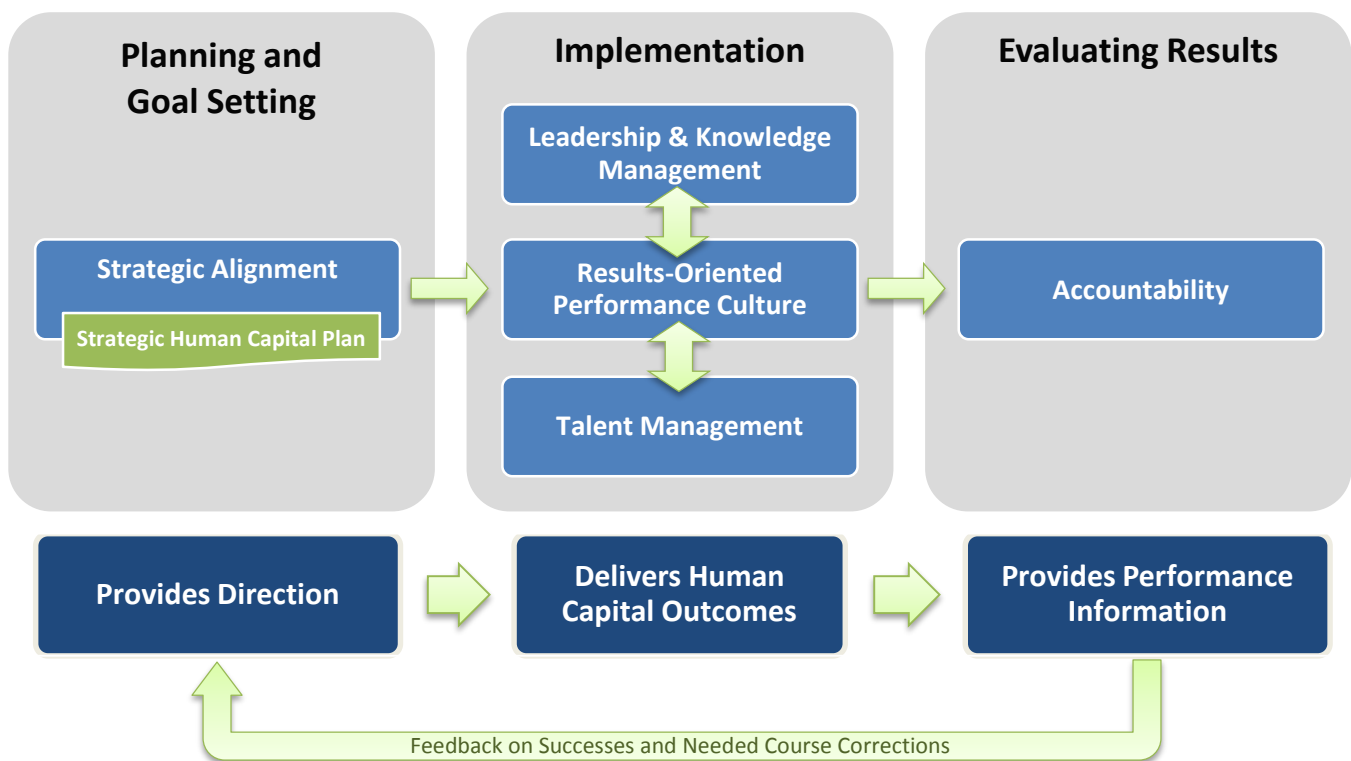
The 2016-2020 Strategic Human Capital Plan (2016-20 SHCP) sets forth the human capital goals and strategies to support the mission and goals of the Department of Energy (DOE). It follows the 2011-2015 Strategic Human Capital Plan, and will be updated as needed.

The 2016-20 SHCP comes at a time when DOE has undergone significant organizational changes designed to better align the workforce to meet the Department's current and future mission requirements. This SHCP supports senior leaders, managers, and employees in achieving the DOE

mission by providing goals and strategies designed to grow our leaders, strengthen our workforce, and improve the delivery of our human resources. Used together, the goals and strategies of the 2016-20 SHCP will ensure that DOE has the ability to attract, manage, develop, and retain the best federal workforce to meet DOE's mission needs. In addition, this plan aligns with the pillars and goals of the President's Management Agenda.

As depicted in **Figure 1-1**, the foundation of the 2016-20 SHCP is the Strategic Alignment system of the federal government's Human Capital Assessment and Accountability Framework (HCAAF). An annual human capital planning process will be used to implement and evaluate the 2016-20 SHCP at an operational and tactical level.

1-1: Federal Human Capital Assessment and Accountability Framework (HCAAF)



2. DOE MISSION AND STRATEGIC PLAN

The Department of Energy’s (DOE) mission is to enhance U.S. security and economic growth through transformative science, technology innovation, and market solutions to meet our energy, nuclear security, and environmental challenges.

The [DOE Strategic Plan for 2014-2018](#) guides the execution of the agency's mission using three distinct goals for Science and Energy, Nuclear Security, and Management and Performance. The plan organizes these goals into twelve objectives that represent the cross-cutting and collaborative efforts taking place across the DOE headquarters, site offices, and national laboratories (**Figure 2-1**).

The Department’s three Under Secretaries, as well as its four Power Marketing Administrations and portfolio of Departmental Offices, carry out these goals and objectives. The total DOE workforce consists of nearly 14,000 federal employees and over 90,000 contractor employees. The Department currently has 85 sites spanning 28 states, including DOE headquarters locations in Washington, D.C.

The Department’s federal workforce is highlighted and supported in Strategic Objective 12 under the goal of Management and Performance: “Attract, manage, train, and retain the best federal workforce to meet future mission needs.”

2-1: Departmental Goals and Objectives in the DOE Strategic Plan for 2014-2018

DOE Mission: Enhance U.S. security and economic growth through transformative science, technology innovation, and market solutions to meet our energy, nuclear security, and environmental challenges.



3. OCHCO MISSION AND ORGANIZATION

The mission (**Figure 3-1**) of the Office of the Chief Human Capital Officer (OCHCO) is to support DOE's mission through workforce services, solutions, and innovations. The vision of the OCHCO is to be the premier organization for human capital solutions. The OCHCO values guide the execution of its mission and vision.

The OCHCO organization (**Figure 3-2**) supports DOE's mission accomplishment by providing and implementing human resources services and human capital management solutions. The OCHCO is implementing a new human resources service delivery model that partners with DOE's Under Secretaries, Departmental Offices, and Power Marketing Administrations to establish shared service centers (SSC) for the full range of transactional services and HR advisory offices (HRAO) for human capital management services.

OCHCO human capital management solutions include: human capital analysis and strategy; workforce and succession planning; recruitment and hiring; engagement and retention; competency development, training, and learning; and diversity.

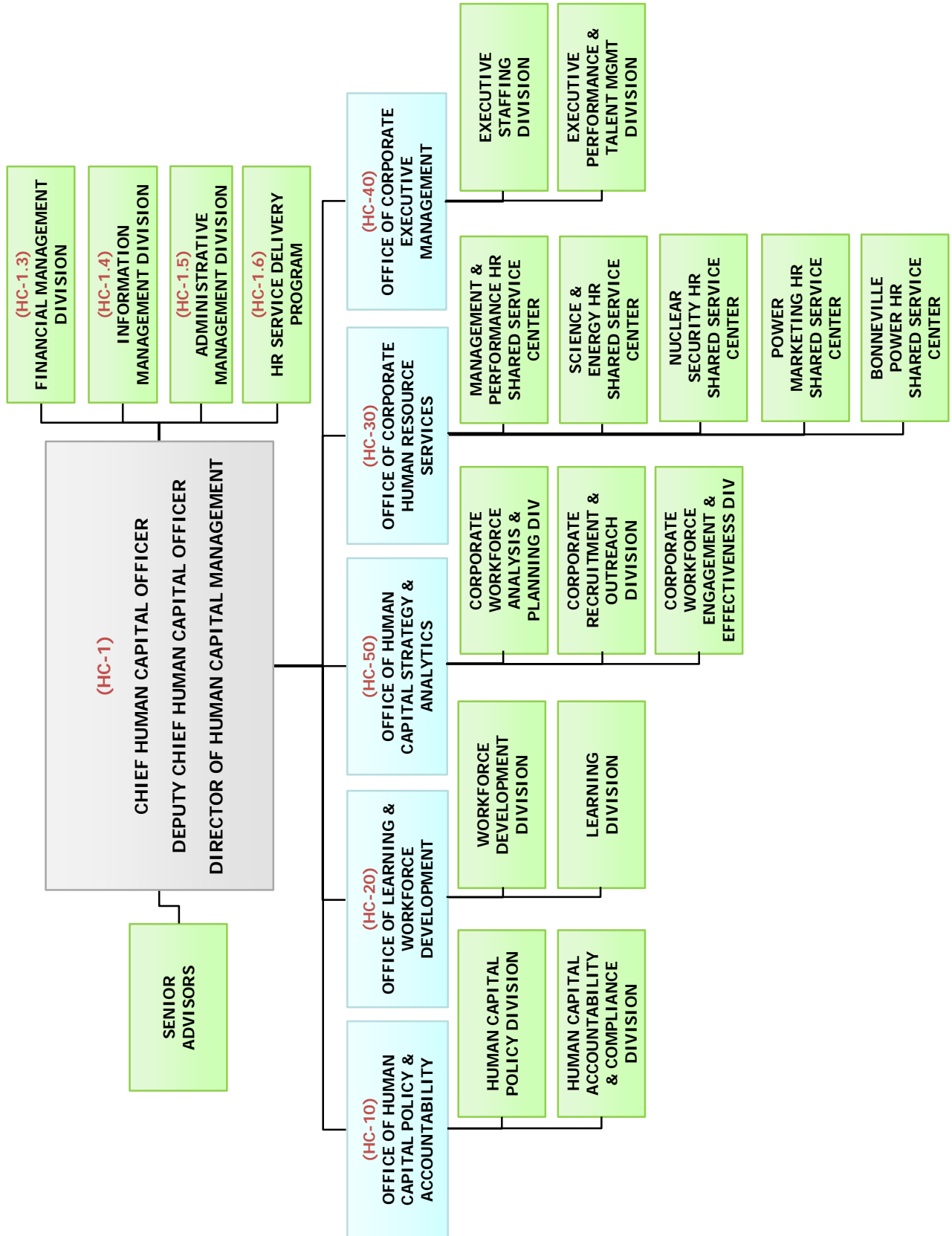
The Department's Chief Human Capital Officer (CHCO) is accountable for the strategic alignment of the Department's workforce to its mission and derives authority from the Secretary of Energy and the Chief Human Capital Officer Act of 2002 (Public Law 107-296). The CHCO advises and assists the head of the agency and other agency officials in carrying out the Department's responsibilities for selecting, developing, training, and managing a high-quality and productive workforce in accordance with Merit System Principles (5 U.S.C. 2301). The CHCO is the chief policy advisor on all human capital management issues and shares responsibility and accountability for the Department's performance and mission results.

In addition, the OCHCO provides Departmental leadership and direction in interfaces with the Office of Personnel Management (OPM), Government Accountability Office (GAO), Merit Systems Protection Board (MSPB), Federal Labor Relations Authority (FLRA) and other Federal/non-Federal organizations relating to human capital programs and policies.

3-1: OCHCO Mission, Vision, and Values



3-2: OCHCO Organization Chart Effective October 4, 2015



4. STRATEGIC HUMAN CAPITAL GOALS AND ALIGNMENT

Human Capital Goals

The 2016-20 SHCP focuses on three strategic human capital goals (**Figure 4-1**) relating to leadership, people, and human resources (HR) to help the Department overcome its workforce challenges and improve support for DOE mission achievement. As stated in the DOE Strategic Plan for 2014-2018, the Department faces serious workforce challenges over the coming decade.

Over 35% of today's DOE federal employees will be eligible to retire by 2020, including many of its most experienced and highly skilled professionals. The Department needs to engage in workforce planning and improve its outreach and recruitment programs in order to sustain a federal workforce with the science, technology, engineering, and mathematics (STEM) skills and experience required to accomplish its highly technical mission.

The Department must significantly improve the quality and efficiency of its human resource

operations in comparison to government-wide benchmarks. DOE is committed to improving human capital policies, programs, and systems through a corporate approach that reduces organizational redundancies and uses capable and cost-effective HR information technology systems.

The goals and strategies for this SHCP were developed as a result of:

- stakeholder engagements with DOE management and employees;
- evaluations of the DOE external and internal environments;
- reviews of current human capital programs and policies;
- workforce analysis, research and benchmarking; and
- Identification of new and innovative approaches for addressing the challenges facing the Department.

This work is further elaborated upon in section five.

4-1: DOE Strategic Human Capital Goals

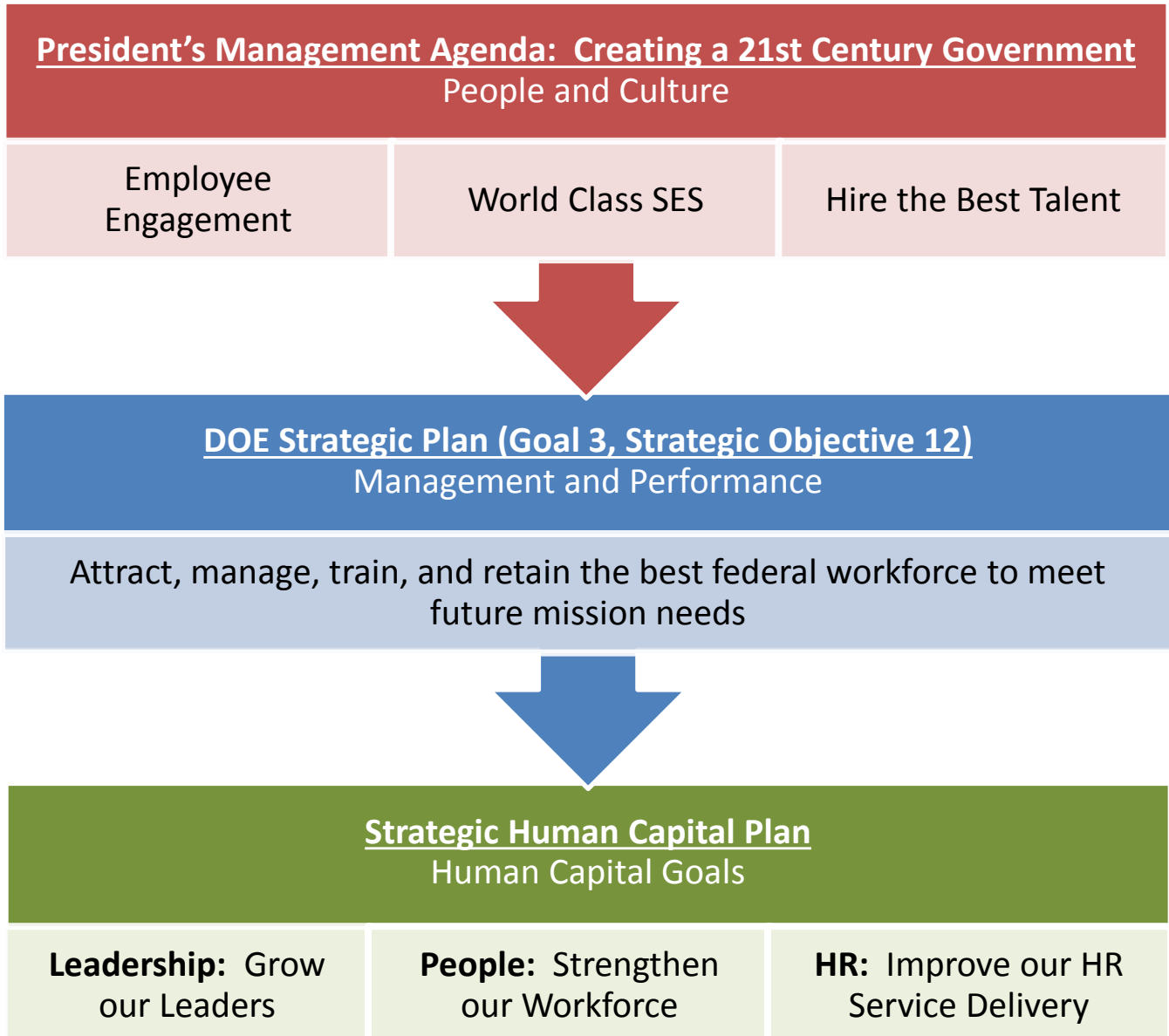
- **Leadership: *Grow our Leaders***
 - We will improve leadership competency and strengthen accountability for achieving mission results, while improving executive hiring and onboarding processes and preparing the workforce for future mission needs
- **People: *Strengthen our Workforce***
 - We will hire the best talent, develop our employees, and optimize performance with a renewed emphasis on employee engagement, workplace improvement, and workforce flexibilities
- **Human Resources (HR): *Improve our HR Service Delivery***
 - We will improve HR competency, processes, and systems to provide effective, efficient results and excellent customer service to the Department's federal workforce

Alignment

Figure 4-2 illustrates the strategic alignment of the goals of the 2016-20 SHCP with the goals and objectives of the DOE Strategic Plan and the

President’s Management Agenda. The tactical paths to implementing the goals, strategies, and actions within this SHCP will be administered through the priorities, commitments, and measures identified in Annual Human Capital Plans.

4-2: Strategic Alignment of Human Capital, Departmental, and Administration Goals



5. DEVELOPING THE STRATEGIC HUMAN CAPITAL PLAN

Stakeholder Engagement

The OCHCO led stakeholders from across the Department through a series of focus group sessions designed to examine the current state of human capital management within DOE. This engagement began in July 2013 with the development of the DOE Strategic Plan for 2014-2018, which the Secretary issued in April 2014.

Stakeholder engagement continued with the development and incorporation of the three strategic human capital goals for leadership, people and human resources (HR) into the reporting and accountability processes of the Deputy Secretary's Business Quarterly Review. Using top-down and bottom-up approaches, employees from across the Department assembled to discuss the challenges they face while working to achieve organizational priorities and to help develop actionable strategies to address challenges in leadership, people, and HR. Major considerations that drove the focus group activity and agenda were the Department's recent Federal Employee Viewpoint Survey results and environmental assessments of the DOE. To ensure understanding and agreement of the key challenges and establish buy-in of the strategies, senior leadership was briefed during the development of specific strategies included in the 2016-20 SHCP.

Environmental Assessment

Since May 2013, OCHCO has conducted internal assessments to help identify areas of needed improvement in the Department's HR line of business. The results of these assessments have triggered significant changes to the way DOE will provide HR and human capital management services to its customers. These changes are reflected in the strategies included under the goal for HR.

In addition, human capital professionals within OCHCO regularly participate in government-wide, interagency workgroups to address different priority areas of human capital management. The OCHCO uses this exposure to government-wide collaboration to benchmark against similar challenges within DOE.

Key areas of concern for the Department that have emerged through these assessments and collaborations are the Department's leadership capability, workforce optimization, and the effectiveness and efficiency of HR operations.

Benchmarking

The OCHCO conducted research and benchmarking to support an informed approach for the 2016-20 SHCP. The OCHCO researched publications from leading industry and public sector organizations, including the Corporate Executive Board, Bersin by Deloitte, the Government Accountability Office, and the Merit Systems Protection Board. In addition, OCHCO reviewed ten STEM agencies' SHCPs and previous DOE strategic plans and SHCPs to identify best practices and apply lessons learned.

Workforce Trends and Challenges

While developing the 2016-20 SHCP, the OCHCO analyzed the Department's human capital data and found key challenges related to trends in the DOE federal workforce. Where feasible, DOE's trends were benchmarked with the rest of Government. **Table 5-1** identifies the key workforce trends and challenges which impacted development of the goals and strategies for the 2016-20 SHCP. Examples of the analysis and metrics behind these trends is provided as data appendices in section ten (**Figures 10-1** through **10-12**).

5-1: Key Challenges for the DOE Federal Workforce:

Workforce Challenges	Representative Analysis/Metrics
<p>1. Workforce Size & Utilization: Steady decreases in size as measured by allocated Full-Time Equivalent (FTE), while underutilization of those FTE has accelerated</p>	<ul style="list-style-type: none"> • Trends in allocation and utilization of FTE (Figure 10-1) • Historical profile of on-boards, gains and losses (Figure 10-2)
<p>2. Attrition Risks: Increasing number of resignations from federal service, while risk of losses from increased retirement eligibility continues to increase</p>	<ul style="list-style-type: none"> • Historic profile of on-boards, gains and losses (Figure 10-2) and types of losses (Figure 10-3) • Trends in retirement eligibility, retirement deferment, and actual number of retirements (Figure 10-4 through Figure 10-7)
<p>3. Recruitment & Succession Risks: New generations are greatly underrepresented, while overall succession readiness is unclear</p>	<ul style="list-style-type: none"> • Trends in recruitment demographics and positions filled (Figure 10-8)
<p>4. Employee Engagement: Steady declines in measures of employee engagement and employee perceptions of agency leadership</p>	<ul style="list-style-type: none"> • Trends in Federal Employee Viewpoint Survey (FEVS) results (Figure 10-9) • Trends in Best Places to Work (BPTW) rankings Figure 10-10) • Other employee feedback mechanisms (e.g., focus groups, town halls, management discussions)
<p>5. HR Service Delivery: Costly and inefficient delivery of HR services compared to Government benchmarks</p>	<ul style="list-style-type: none"> • Cost: HR cost per employee (Figure 10-11) • Efficiency: HR servicing ratio (Figure 10-12); Time-to-hire • Transactional error rates • Customer feedback

Action Planning

Following the efforts to assess DOE’s HR line of business, to engage with the DOE federal workforce through focus groups, and to collaborate with colleagues across government, OCHCO used a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis (**Figure 5-2**) to catalog the factors impacting the ability of the DOE federal workforce to carry out its mission and objectives. While the

strategies in the 2016-20 SHCP capitalize on the Department’s strengths and opportunities, the key driver was addressing the Department’s weaknesses and threats. OCHCO took care to ensure that identified weaknesses and threats would be mitigated by implementing one or more of the strategies included in the SHCP. More detailed descriptions of the strengths, weaknesses, opportunities, and threats identified in the SWOT analysis are contained in **Figures 5-3** through **5-6**.

5-2: SWOT Analysis



5-3: Strengths Analysis

Strengths

- 1. Technically strong workforce** – DOE has a highly educated workforce with the technical/STEM skill sets needed to achieve the Department’s complex mission requirements.
- 2. Employee dedication to mission** – Federal Employee Viewpoint Survey (FEVS) results show that DOE employees believe in the mission of the Department and are willing to put in additional discretionary effort to ensure that mission is achieved. DOE scores highly in questions concerning employee commitment and the importance of their work.
- 3. Knowledgeable workforce** – DOE has a long-tenured workforce with a deep understanding of program and mission requirements and the professional experience to ensure those requirements are met.
- 4. World-renowned research organization** – DOE is recognized as a world leader in STEM-related research and technology, as highlighted by the number of Nobel Prize winning research from its extensive network of national laboratories.
- 5. Acclaimed leadership speaker series** – The Office of Learning and Workforce Development within the OCHCO executes a leadership speaker series that is recognized throughout government for providing learning opportunities for current and aspiring leaders from many different agencies.

5-4: Weaknesses Analysis

Weaknesses

1. **Employee perceptions of leaders** – Employees perceive that DOE’s leaders have weaknesses in critical leadership competencies, which impacts workplace culture and employee engagement as evidenced by a steady decline from 2011 through 2014 in the Department’s scores relating to leadership on the Federal Employee Viewpoint Survey (FEVS) and Best Places to Work (BPTW).
2. **Declining employee engagement** – Employee engagement is widely accepted as a key driver of higher individual and organizational performance. However, the Department has shown a steady decline from 2011 through 2014 in its scores relating to employee engagement on the Federal Employee Viewpoint Survey (FEVS). In 2014, DOE fell to the bottom quartile of mid-size agencies for the first time in the Best Places to Work (BPTW) rankings.
3. **Organizational communication** – DOE has long operated within organizational stove pipes that can hinder the flow of information within program areas as well as across program lines. Stove piping limits collaboration opportunities, hampering employee and mission performance.
4. **HR ineffectiveness and inefficiency** – An internal DOE study in 2013 and ongoing government-wide benchmarking started in 2014 have shown that DOE’s HR line of business poses significant risks, is costly and inefficient, and provides inconsistent and ineffective customer service. This impacts HR’s ability to support the mission as well as the resources available for the mission.
5. **HR information systems** – The Department’s HR information systems are not currently integrated to support HR operational effectiveness and efficiency.
6. **Corporate recruitment and branding** – DOE currently lacks an understanding of the corporate efforts and investments in the HR areas of recruitment and outreach. In many cases, these functions are decentralized and performed independently by program offices with little to no visibility or involvement by the OCHCO.
7. **Decreased entry-level recruitment** – The number of federal employees on board who are younger than 30 has decreased by nearly half from 8.4% in FY 2010 to 4.6% in FY 2015, which reduces DOE’s access to candidates for succession and the innovation that comes with new generations entering the workforce.
8. **Unchanging workforce diversity** – DOE is, on average, 10% less diverse than government over the last five years and has seen fewer changes in diversity compared to government. As of 2014, DOE is also 3% less diverse than other STEM focused agencies, with 76% non-minority compared to 73%.

5-5: Opportunities Analysis

Opportunities

1. **Leadership commitment to improving human capital management** – DOE leadership has demonstrated a commitment to improving human resources operations and human capital management through their support of the HR Service Delivery (HRSD) initiative. There are opportunities to build upon this commitment to make other needed improvements to DOE’s strategic human capital management processes and programs.
2. **Redesigned HR service delivery** – The implementation of the HR Service Delivery (HRSD) initiative is designed to provide major improvements in efficiency, effectiveness, and customer satisfaction for human resources operations and human capital management services.
3. **Deferment of retirement eligibility** – DOE employees on average wait four or more years to retire once they become eligible. This deferment provides the Department with significant windows of opportunity to develop and execute corporate succession planning and knowledge capture/transfer strategies to mitigate risks to the workforce due to anticipated retirements.
4. **Access to new talent pools** – While hiring managers have been able to attract and hire the talent needed to fill organizational vacancies by relying on traditional talent pools, the Department’s workforce profile in specific areas has remained either unchanged (e.g., gender, diversity) or trending toward greater risk (e.g., age, retirements, and unplanned losses) since 2010. The Department needs to expand new potential talent pools and develop additional pipelines of talent to mitigate such risks.
5. **Human capital management infrastructure** – The OCHCO has a solid foundation of human capital management infrastructure in place with programs and policies that can be enhanced to expand the OCHCO’s reach and influence through the HRSD initiative to better execute corporate strategies across the Department.
6. **Changing diversity of U.S. population** – Census data shows that the U.S. population is becoming increasingly diverse, 28% minority in 2010 vs. 25% minority in 2000, which represents potentially greater opportunities to recruit talent with different perspectives, training, and skill sets.

5-6: Threats Analysis

Threats

- 1. Impact of improving U.S. economy on attrition and retention** – As the economy continues to recover, resurgent private sector employers are driving increased competition for qualified candidates. During the recession, individuals who accepted DOE federal positions for greater job security rather than a strong connection to DOE’s mission are more likely to leave in an improving economy for higher paying opportunities in the private sector.
- 2. Climate for federal employment** – Federal employees’ benefits and wages received additional scrutiny during the recession and continue to be a target of those calling for reductions in federal spending, which causes current federal employees to feel targeted and undervalued. In addition, portrayals of federal employees in the media tend to be negative. Such a climate for federal employment makes recruitment and retention more difficult, and increases the risk of attrition due to resignations from federal service.
- 3. Vulnerability to retirements** – DOE has an aging workforce with one in six employees (17%) being eligible to retire today. Over one in three (36%, or more than twice as many) of today’s workforce will be eligible to retire in 2020. In addition, employees may shorten the average of four years of retirement deferment as a result of the improving U.S. economy.
- 4. Vulnerability to unplanned attrition** – From 2010 to 2014, DOE had more losses than hires each year, and trends are changing in the types of gains and losses that are occurring. Unplanned losses have consistently accounted for 40% of all attrition, but transfers out to other agencies have decreased to 14% from 25% and resignations from federal service have increased to 26% from 17%. The overarching trend appears to be an increase in federal employees leaving federal service, not just the Department.
- 5. Loss of institutional knowledge** – As DOE employees leave via retirement, the Department loses a career’s worth of job experience, technical understanding, and relationships among professional networks.
- 6. DOE’s lack of increased diversity** – As DOE’s workforce demographic has been at 24% minority since at least FY 2010, DOE does not reflect the increasing diversity (28% in 2010) of the civilian labor force. This reflects challenges in DOE’s ability to attract diverse applicants and represent the perspectives of diverse communities.

6. STRATEGIC HUMAN CAPITAL OUTCOMES

The ultimate measure of success for the 2016-20 SHCP will be its overall impact on DOE’s mission results and employees’ ability to achieve that mission.

The 2016-20 SHCP includes one overarching outcome, and three supporting outcomes, that, if realized (**Figure 6-1**), will have a direct impact on organizational success and mission achievement. The overarching outcome measure is the realization

of Strategic Objective 12 from the DOE Strategic Plan for 2014-2018. The three supporting outcome measures are linked to achievement of the three strategic human capital goals in this 2016-20 SHCP.

The outcome statements are intentionally broad; however, section seven of the 2016-20 SHCP includes specific performance metrics and annual targets that serve as indicators of success in achieving these outcomes (**Figure 7-1**).

6-1: Desired Outcomes of the Strategic Plans for DOE and Human Capital

DOE attracts, manages, develops, and retains the best federal workforce to meet its mission needs		
<p><u>Leadership</u></p> <p>Leaders inspire dedication to mission achievement by building trust, developing employees, and demonstrating integrity</p>	<p><u>People</u></p> <p>Employees are supported effectively by well-integrated human capital services relevant to their DOE tenure</p>	<p><u>HR</u></p> <p>HR delivers effective operational and strategic services at lower costs and greater efficiency.</p>

7. DEFINING AND MEASURING SUCCESS

Defining Targets for Success

Strategic performance metrics (**Figure 7-1**) are defined to help the Department measure its progress toward achieving the desired outcomes stated in this SHCP (**Figure 6-1**). DOE will know it is achieving the outcomes by consistently meeting or exceeding the

targets established for these performance metrics. Additional tactical metrics will be developed with each Annual Human Capital Plan (AHCP) to help monitor progress for the actions and initiatives prioritized each year in executing the strategies from this SHCP.

7-1: Strategic Performance Metrics and Targets

Performance Metric	Outcomes Assessed	FY13/14 Baseline	FY15 Target	FY16 Target	FY17 Target	FY18 Target	FY19 Target	FY20 Target
DOE Mission Achievement ¹	Leadership People HR	84% 2014 baseline	85% +1% vs. baseline	86% +2% vs. baseline	87% +3% vs. baseline	88% +4% vs. baseline	89% +5% vs. baseline	90% +6% vs. baseline
FEVS Employee Engagement Index	People Leadership	61% 2014 baseline	64% +3% vs. baseline	67% +6% vs. baseline	68% +7% vs. baseline	69% +8% vs. baseline	70% +9% vs. baseline	71% +10% vs. baseline
FEVS New IQ Score	People Leadership	56% 2014 baseline	57% +1% vs. baseline	58% +2% vs. baseline	59% +3% vs. baseline	60% +4% vs. baseline	61% +5% vs. baseline	62% +6% vs. baseline
FEVS Leadership & Knowledge Management Index	Leadership People	56% 2014 baseline	57% +1% vs. baseline	58% +2% vs. baseline	59% +3% vs. baseline	60% +4% vs. baseline	61% +5% vs. baseline	62% +6% vs. baseline
FEVS Results-Oriented Performance Index	Leadership People	51% 2014 baseline	52% +1% vs. baseline	53% +2% vs. baseline	54% +3% vs. baseline	55% +4% vs. baseline	56% +5% vs. baseline	57% +6% vs. baseline
Job Applicant Diversity	People	47% 2014 baseline	48% +1% vs. baseline	49% +2% vs. baseline	50% +3% vs. baseline	51% +4% vs. baseline	52% +5% vs. baseline	53% +6% vs. baseline
HR Servicing Ratios	HR	1:32 2013 HRSD baseline	1:36 +4 vs. baseline	1:40 +8 vs. baseline	1:43 +11 vs. baseline	1:45 +13 vs. baseline	1:47 +15 vs. baseline	1:49 +17 vs. baseline

¹ Source: Annual DOE Agency Financial Reports (AFR) at <http://energy.gov/cfo/reports/agency-financial-reports>, see "Performance Summary" section. Mission achievement is tied to the percentage of DOE Mission Performance Targets met as reported in the DOE Performance Summary within the AFR.

Measuring and Reporting Progress

Since FY 2012, federal Chief Human Capital Officers (CHCOs) have implemented quarterly data-driven reviews of agency human capital goals. Known as “HRstat,” these data-driven reviews support regular discussions with agency principal leaders in order to drive the following key outcomes:

- Assess current performance in relation to agency human capital goals;
- Follow up on previous decisions and commitments; and
- Determine future actions and course corrections.

At DOE, the OCHCO has integrated key components of HRstat into the Deputy Secretary’s Business Quarterly Review (BQR). The BQR is the Department’s implementation of the quarterly data-driven reviews of performance at the agency level, which are a statutory requirement under Section 1124(a) of the GPRA Modernization Act of 2010 (GPRAMA). The DOE OCHCO’s integration of HRstat

with the BQR process promotes visibility, action, and accountability for DOE’s human capital goals.

HRstat relies on a flexible approach to documenting and reporting human capital data to DOE senior leaders to help inform the decision-making process as it relates to the DOE workforce. Utilizing this flexible approach, the OCHCO aligns its HRstat scorecard to the strategic performance metrics documented in the SHCP in order to provide the most relevant updates, tailored for specific audiences, on progress made and course corrections needed, to achieve performance targets.

In section nine, **Figure 9-1** illustrates the role of HRstat in providing regular feedback to DOE senior leadership on successes and needed course corrections. This feedback helps to inform the development of future Annual Human Capital Plans to ensure progress towards the outcomes desired from this 2016-20 SHCP. The processes driving HRstat and human capital planning will continue to evolve with each Annual Human Capital Plan.

8. IMPLEMENTATION STRATEGIES

Working in partnership with program leadership and employees across the Department, the OCHCO has overall lead accountability and oversight for the execution of the 2016-20 SHCP.

To support achievement of the desired SHCP outcomes, the OCHCO developed implementation strategies, as a result of the collaborative input gathered during focus group sessions with stakeholders across the Department, as described in section five.

The implementation strategies identify the current and future actions that support human capital performance and achieve mission results. The specific steps and actions needed to execute each strategy will be developed by the assigned strategy leads and documented through the development of Annual Human Capital Plans and reported through the HRstat program.

Table 8-1 summarizes the alignment of SHCP goals, strategies, and actions. **Tables 8-2, 8-3, and 8-4** describe and link each strategy to the goals and desired outcomes for leadership, people, and/or human resources.

8-1: Summary of Human Capital Goals and Implementation Strategies

GOALS	IMPLEMENTATION STRATEGIES
<p><u>Leadership:</u> Grow our Leaders</p>	<ul style="list-style-type: none"> Strengthen supervisory skills
	<ul style="list-style-type: none"> Improve DOE leadership skills
	<ul style="list-style-type: none"> Expand professional development support for senior leaders
	<ul style="list-style-type: none"> Strengthen DOE employee engagement
<p><u>People:</u> Strengthen our Workforce</p>	<ul style="list-style-type: none"> Improve Quality of Hires
	<ul style="list-style-type: none"> Better target resources spent on human capital
	<ul style="list-style-type: none"> Improve workforce planning capability
	<ul style="list-style-type: none"> Enhance DOE’s recruitment and outreach
	<ul style="list-style-type: none"> Guard institutional knowledge against retirement losses
	<ul style="list-style-type: none"> Support the career development of DOE employees
	<ul style="list-style-type: none"> Improve collaboration across DOE organizational stovepipes
	<ul style="list-style-type: none"> Increase employee recognition
	<ul style="list-style-type: none"> Better support new employees’ transition into DOE
	<ul style="list-style-type: none"> Increase employee collaboration and awareness of DOE’s skill inventory
<p><u>Human Resources (HR):</u> Improve our HR Service Delivery</p>	<ul style="list-style-type: none"> Improve the effectiveness and efficiency of HR service delivery
	<ul style="list-style-type: none"> Improve consistency of HR operations
	<ul style="list-style-type: none"> Improve the integration, efficiency, and effectiveness of HR information systems
	<ul style="list-style-type: none"> Strengthen the capabilities of the HR workforce
	<ul style="list-style-type: none"> Improve efficiency of HR service delivery
	<ul style="list-style-type: none"> Enhance customer service
	<ul style="list-style-type: none"> Strengthen HR accountability

Goal 1 - Leadership: Grow our Leaders

The human capital goal for leadership supports the following performance goals under DOE's Strategic Objective 12 to **Attract, manage, train, and retain the best federal workforce to meet future mission needs**:

- *Implement a corporate leadership development strategy and framework by 2017 that improves leadership and management at all levels and mission performance, using results from the Federal Employee Viewpoint Survey and other trends analysis.*
- *Ensure accountability for improving employee perceptions, engagement, and performance through the implementation of action items based on the annual Federal Employee Viewpoint Survey results and improved execution of employee performance management in line with the President's Second-Term Management Agenda by FY 2015.*

Challenges

The implementation strategies listed in support of the leadership goal were selected primarily because of their anticipated impact on the weaknesses and threats relating to, or impacted by, DOE's leaders, as identified in the SWOT analysis in section five.

8-2: Desired Outcomes Supported by Leadership Strategies

Leadership Strategies	Outcomes Supported
<p>Strengthen supervisory skills: Improve the development of new supervisors and managers. Support new supervisors and managers throughout the first two years in their new position as they transition into new roles with different responsibilities and requirements. This support involves but is not limited to supervisory and leadership training, supervisory community of practice, coaching, and mentoring.</p>	<ul style="list-style-type: none"> • Leadership • People
<p>Improve DOE Leadership skills: Execute a corporate leadership development framework. Develop and execute leadership development programs that support DOE's definition of leadership and leadership culture resulting in improved leadership competency, increased knowledge transfer, and better overall leadership.</p>	<ul style="list-style-type: none"> • Leadership • People • HR
<p>Expand professional development support for senior leaders: Establish a senior leader community of practice. Expand on the success of the supervisor/manager community of practice by creating a parallel effort to afford senior leaders the opportunity to support and mentor each other on common leadership challenges.</p>	<ul style="list-style-type: none"> • Leadership
<p>Strengthen DOE employee engagement: Develop and implement employee engagement strategies and tools. Develop, support, and evaluate human capital management strategies and programs to support improved employee engagement and organizational performance.</p>	<ul style="list-style-type: none"> • Leadership • People

Goal 2 – People: Strengthen our Workforce

The human capital goal for people supports the following performance goals under DOE’s Strategic Objective 12 to **Attract, manage, train, and retain the best federal workforce to meet future mission needs**:

- *Improve each year on the speed, quality, and diversity of hiring and on-boarding, as indicated by satisfaction surveys and demographic data, while maintaining an efficient time-to-hire and desired retention rates.*
- *Improve the effectiveness of employee skills assessments, training curricula, delivery methods, and individual development plans to support corporate succession planning, closing skill gaps, and workforce development through FY 2020.*

Challenges

The implementation strategies listed in support of the people goal were identified primarily because of their anticipated impact on the weaknesses and threats relating to, or impacted by, DOE’s workforce, as identified in the SWOT analysis in section five.

8-3: Desired Outcomes Supported by People Strategies

People Strategies	Outcomes Supported
Improve quality of hires: Support hiring managers in making better quality hiring decisions with tools to enhance the evaluation of applicants. Develop and implement a hiring and selection tool kit for hiring managers.	<ul style="list-style-type: none"> • People • Leadership
Better target resources spent on human capital: Fully develop and promote the use of competency models for Mission Critical Occupations (MCO). Develop competency models for each MCO detailing the required competencies and associated behaviors for each occupation at different levels of seniority and integrate related competency data into all aspects of human capital management.	<ul style="list-style-type: none"> • People • Leadership • HR
Improve workforce planning capability: Develop a corporate model to determine manpower requirements in support of improved workforce planning and resource deployment. Implement an integrated workforce planning process that supports data driven budget/resource decisions while ensuring sufficient succession pipelines.	<ul style="list-style-type: none"> • People • HR
Enhance DOE’s recruitment and outreach: Develop and execute strategies to promote DOE as an employer of choice with targeted segments of the U.S. population. Establish a Corporate Recruitment and Outreach function to support corporate recruitment strategies while enhancing marketing and outreach with a strategic focus on STEM occupations.	<ul style="list-style-type: none"> • People • Leadership • HR

People Strategies *(continued)*

Outcomes Supported

Guard institutional knowledge against retirement losses: Engage subject matter experts to promote and encourage corporate knowledge capture and transfer strategies. Support knowledge capture and transfer through enhanced strategies and expanded technological support.

- People

Support the career development of DOE employees: Enhance employee development and career growth through integrated learning strategies. Develop and execute a learning and development framework that supports continuous learning, job related development, and career growth through corporate strategies and programs.

- People
- Leadership

Improve collaboration across DOE organizational stovepipes: Develop and implement opportunities for employees and communities of practice to collaborate in a manner that reduces stove pipes and gains efficiencies across organizations.

- People
- Leadership

Increase employee recognition: Improve awards and recognition of employee and organizational performance. Increase awareness of employee performance within organizations and establish additional DOE awards and recognition programs. Promote opportunities for organizations to showcase mission success and highlight the work performed within their offices.

- People

Better support new employees' transition into DOE: Transform existing employee orientation programs into a corporate employee on-boarding program. Increase engagement, raise retention, and improve performance through a formal onboarding program that provides services and support for new employees throughout their first year with DOE.

- People
- Leadership
- HR

Increase employee collaboration and awareness of DOE's skill inventory: Use strategies and tools, including social media platforms, to develop employee professional networks that support career development and advancement. Increase collaboration among employees using facilitated networking groups and social media platforms where employees can build, maintain, and share their professional profiles.

- People
- Leadership

Goal 3 – Human Resources (HR): Improve our HR Service Delivery

The human capital goal for HR supports the following performance goal under DOE’s Strategic Objective 12 to **Attract, manage, train, and retain the best federal workforce to meet future mission needs:**

- *Reduce the per employee cost of providing human resource services by 50% by reducing organizational HR redundancies and moving to a corporate approach by the end of FY 2016.*

Challenges

The implementation strategies listed in support of the HR goal were identified primarily because of their anticipated impact on the weaknesses and threats relating to, or impacted by, DOE’s human resources service delivery (HRSD), as identified in the SWOT analysis in section five.

8-4: Desired Outcomes Supported by HR Strategies

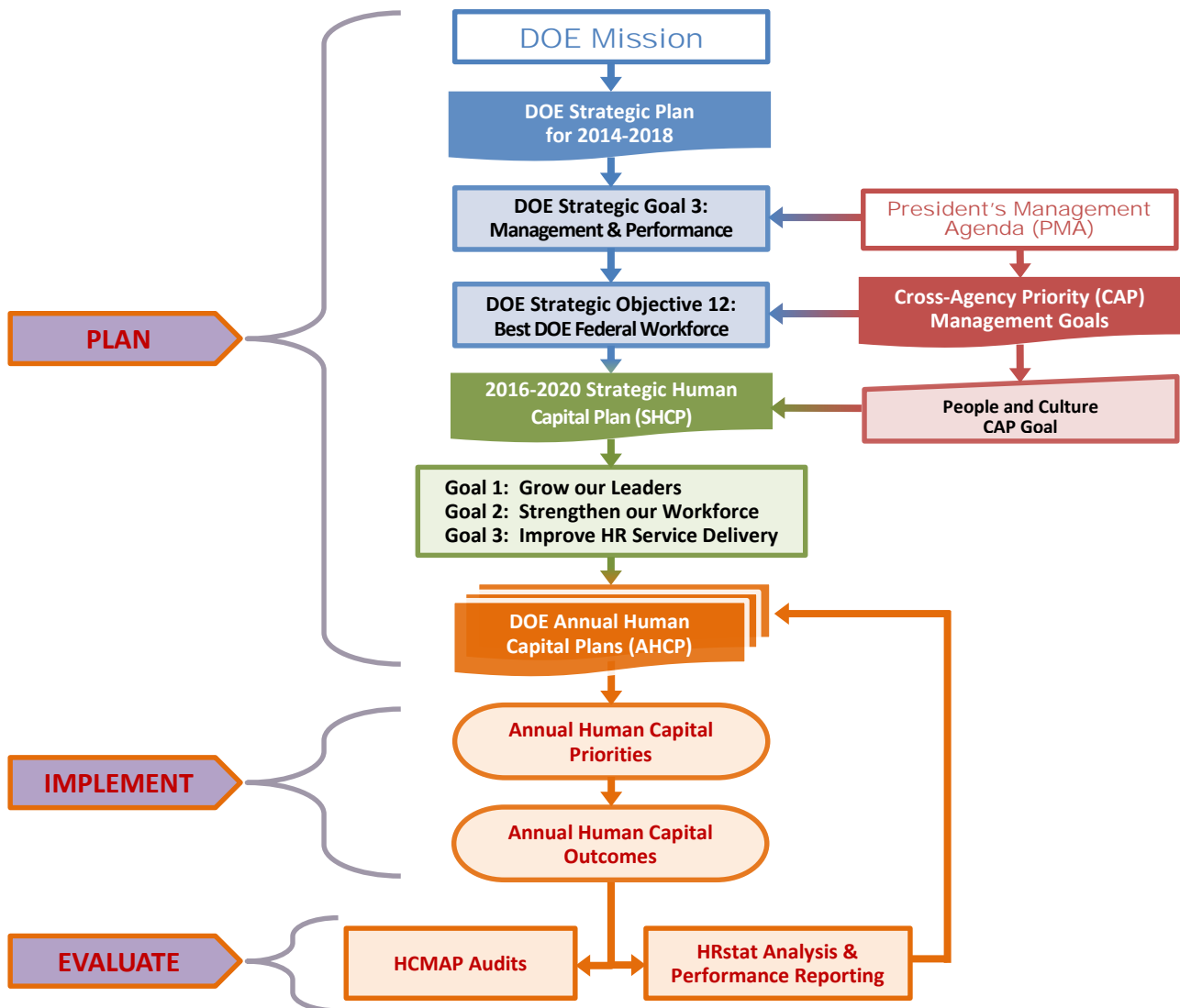
HR Strategies	Outcomes Supported
Improve the effectiveness and efficiency of HR service delivery: Establish a hybrid model of HR service delivery with Shared Service Centers and on-site HR business partners. Consolidate HR operations under OCHCO while aligning HR services along DOE business lines.	• HR
Improve consistency of HR operations: Develop and implement standardized processes for HR operations to improve the consistency and effectiveness of HR operations and human capital management programs.	• HR
Improve the integration, efficiency, and effectiveness of HR information systems – Complete a proactive, long-term plan to implement an integrated, efficient and effective HRIT system.	• HR
Strengthen the capabilities of the HR workforce: Identify, track, and develop the competencies needed within the HR line of business to improve HR competency.	• HR • People
Improve efficiency of HR service delivery: Identify and implement efficiencies to reduce the cost of providing HR services.	• HR
Enhance customer service: Transform HR into a world class customer service organization. Develop a governance structure for HR functions that clearly define and communicate customer service standards and expectations. Ongoing training, service level agreements, and effective performance management processes are key tools within this governance structure.	• HR
Strengthen HR accountability: Improve customer understanding and compliance with HR policies. Execute a HR policy review that simplifies existing policies by eliminating unnecessary barriers and/or restrictions and post all HR policies in a central location. Continue to reinforce accountability through audits by the HC Management Accountability Program (HCMAP).	• HR

9. ANNUAL HUMAN CAPITAL PLANS

The DOE federal workforce operates in a dynamic environment, requiring vision and agility in its human capital management. The 2016-2020 SHCP communicates the vision for DOE’s people while providing a road map through 2020 for leading and strengthening a federal workforce that achieves the DOE mission and advances the President’s Management Agenda.

To implement the SHCP, the OCHCO will use Annual Human Capital Plans (AHCPs) to identify the priorities, actions, and metrics for the coming fiscal year, and closeout or carryover prior year priorities. **Figure 9-1** illustrates how the AHCPs support agility in the Department’s human capital management within the planning, implementation, and evaluation systems of the Human Capital Assessment and Accountability Framework (HCAAF) introduced in section one.

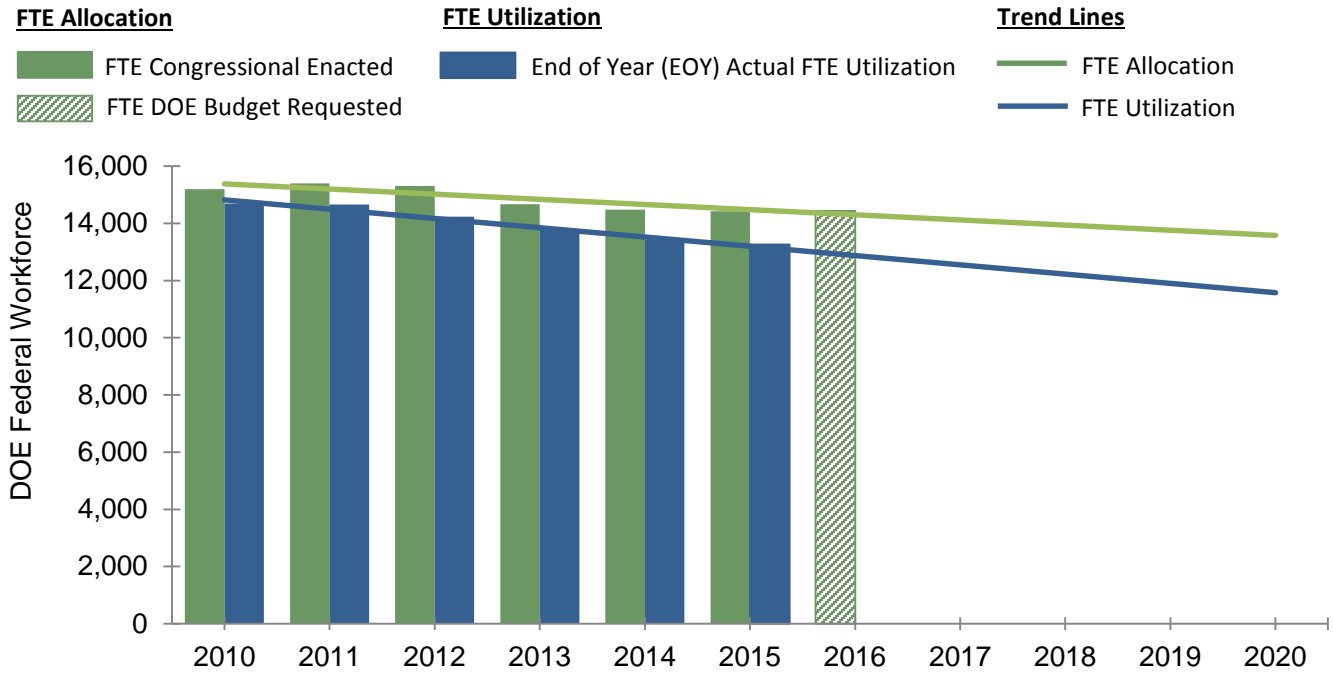
9-1: Alignment of Planning, Implementation, and Evaluation



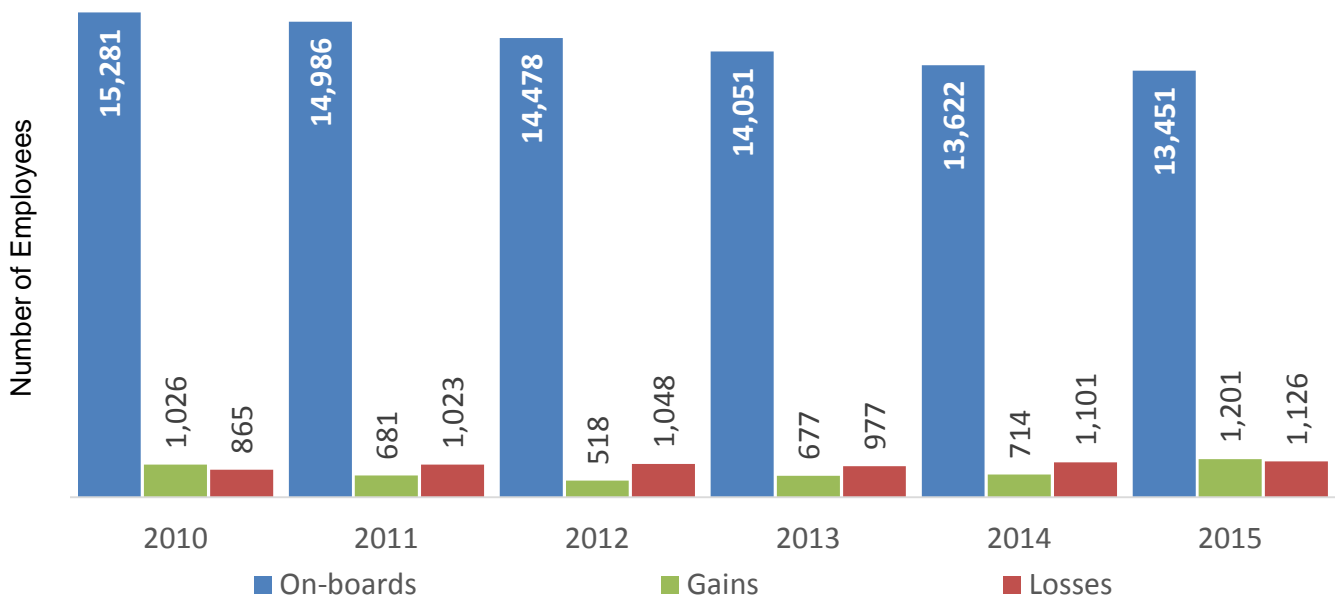
10. DATA APPENDICES

The following data graphs provide supporting information referenced in section five of the 2016-20 SHCP.

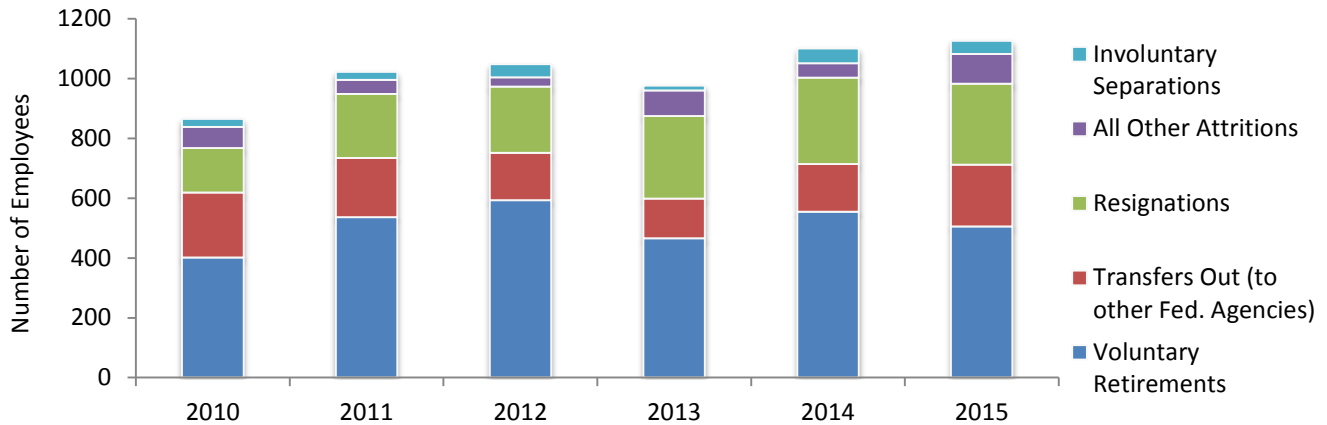
10-1: DOE Federal Workforce Strength of Size in FTE from FY 2010-2020



10-2: Historical Profile of On-boards, Gains, and Losses in the DOE Federal Workforce



10-3: Historical Profile of Trends in Types of Losses in the DOE Federal Workforce

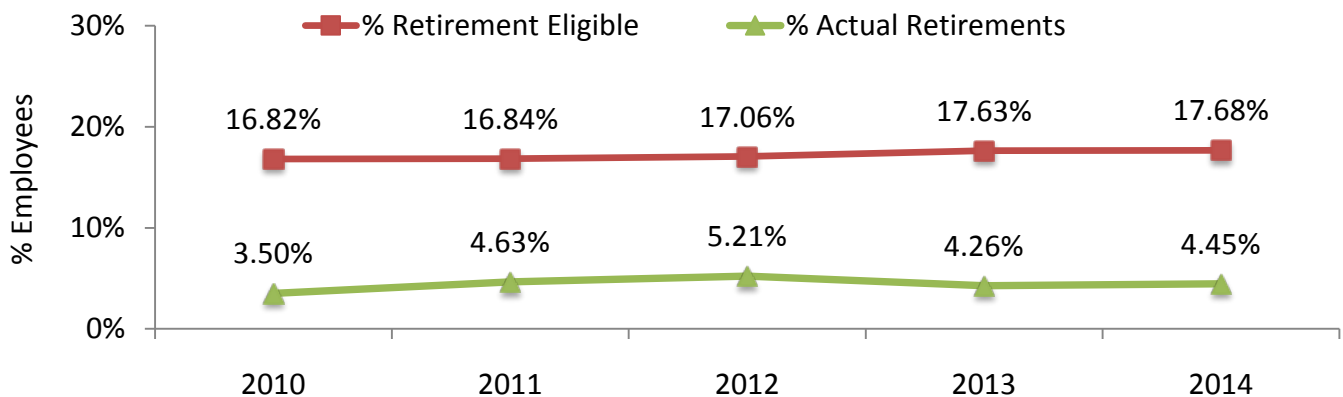


10-4: Retirement Trends

Retirement: Actuals, Eligibility, and Deferment

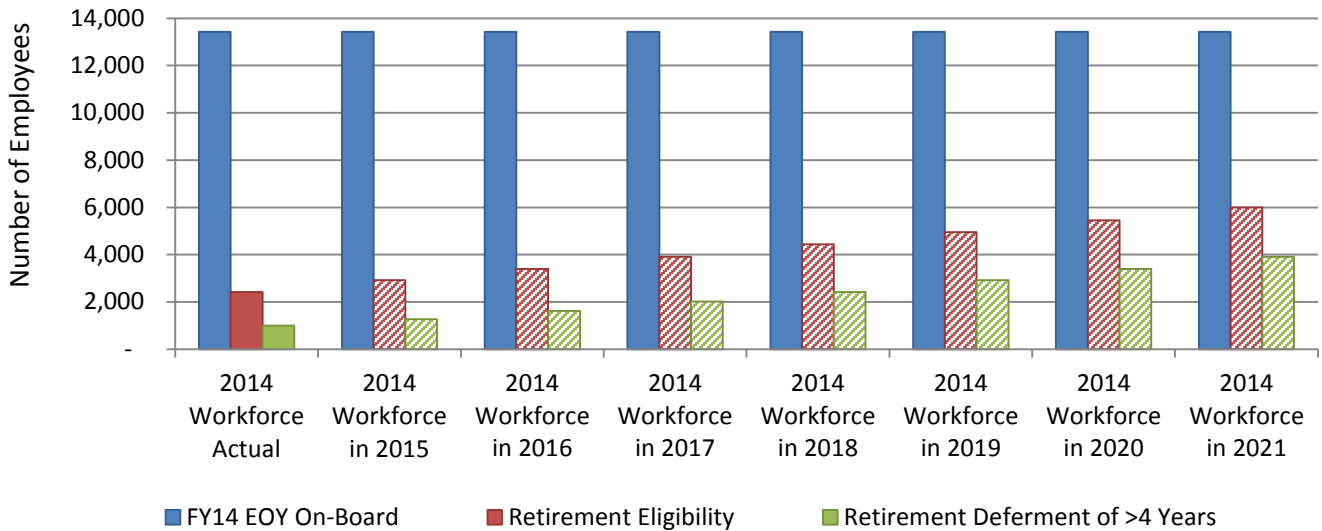
- Retirements have consistently accounted for half of all attrition (51% on average) over the last five years. However, the number of retirement eligible employees among today’s workforce is expected to double over the next five years (FY 2020).
- Employees remain with DOE for an average of four years once becoming retirement eligible:
 - Over 21% of the present day workforce, and 33% of GS-15s and SES, is at risk to retire within the next five years.
 - Based on retirement risk profiles over the last five years, it is likely that 7% of the present day workforce will actually retire.
- Of DOE’s two retirement systems (CSRS & FERS), CSRS employees are more likely to defer retirement for a longer period of time than FERS employees.

10-5: Historical Profile of Employees Retirement Eligible and Actually Retiring

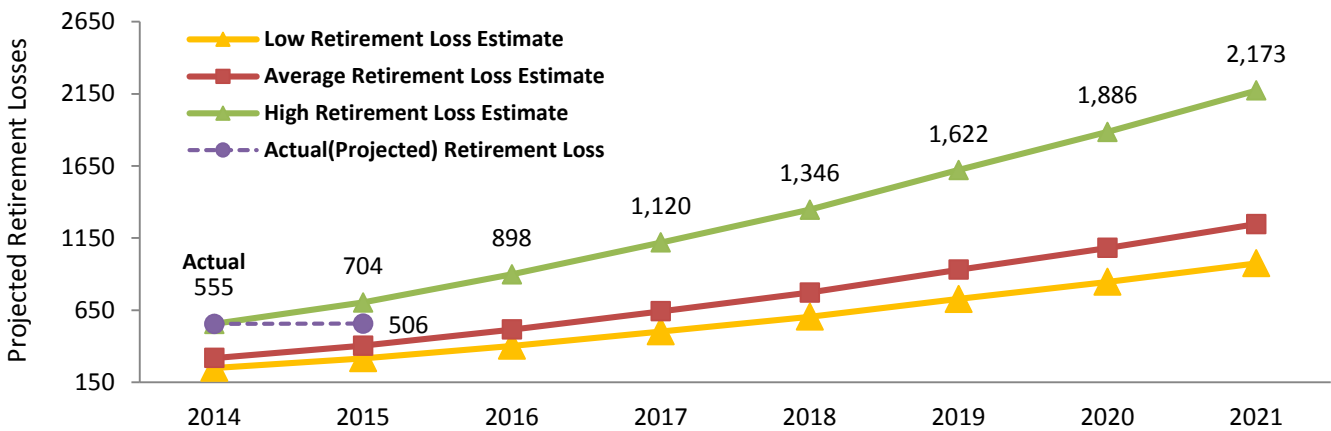


10-6: Cumulative Profile of Retirement Eligibility and Deferment of the DOE Workforce

Basic Assumptive Model: If FY 2014 population of 13,425 as of 9/20/14 were aged through FY 2021



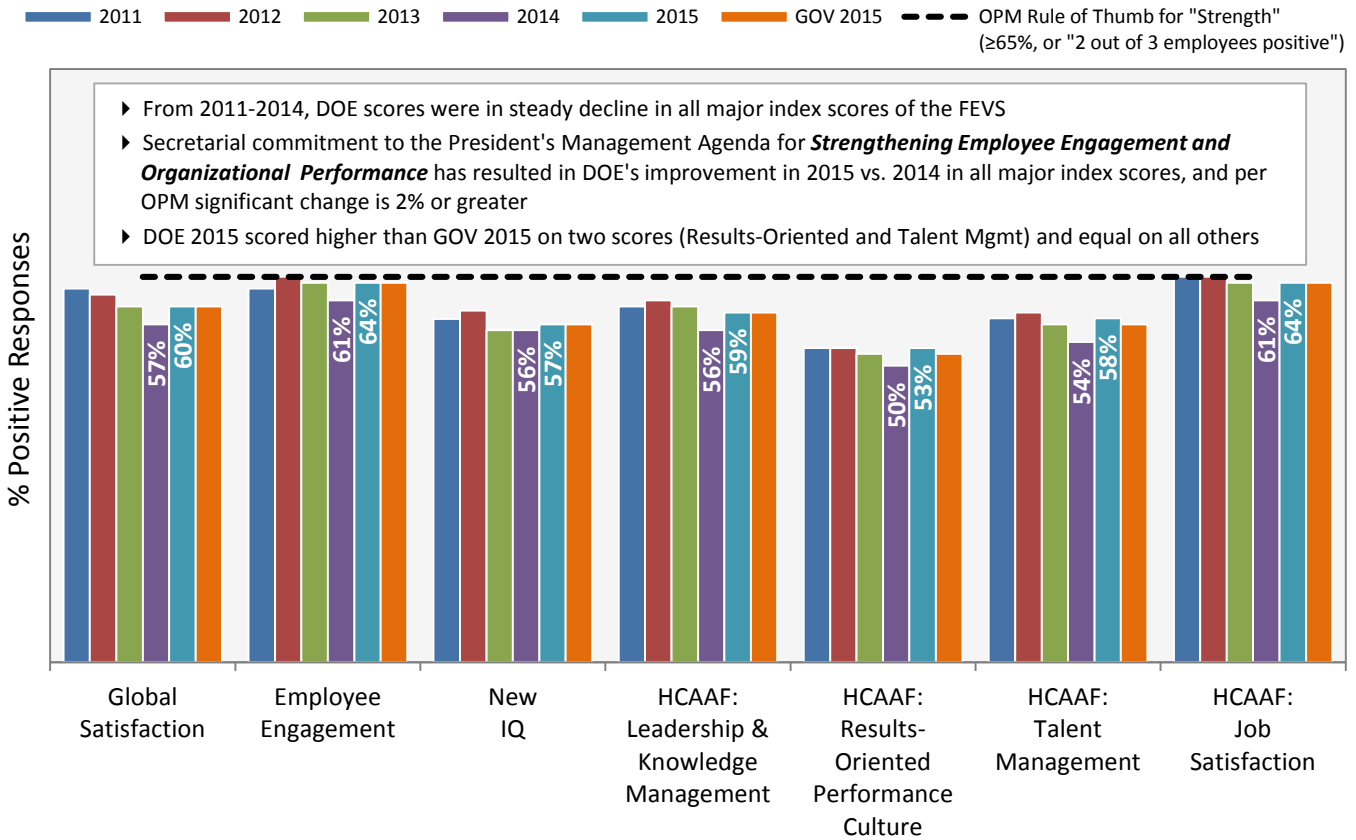
10-7: Predictive Risk Profiles Based on 4+ Years of Deferred Retirement Eligibility



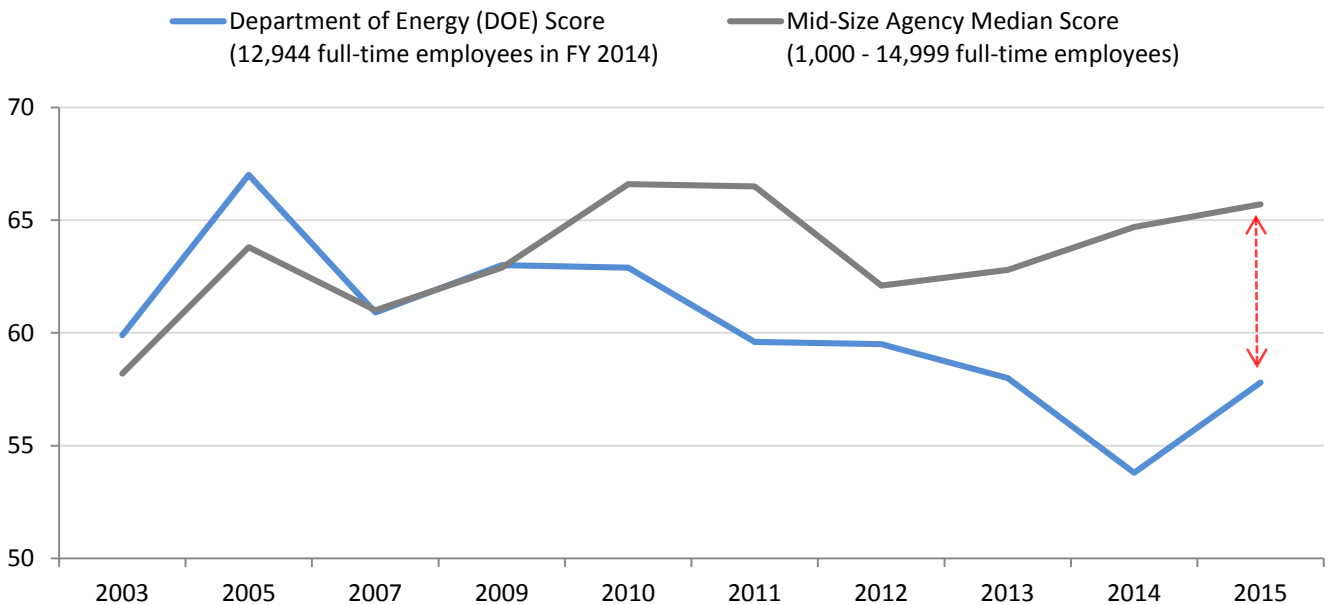
10-8: Trend in DOE Federal Employees under Age 30 in comparison to Average Ages

Fiscal Year	Employees Age < 30		DOE Average Age	Government Average Age
	Total	Percentage		
End of FY 10	1,284	8.40%	48.1	46.2
End of FY 11	1,106	7.38%	48.3	46.4
End of FY 12	839	5.93%	48.5	46.6
End of FY 13	738	5.25%	48.9	46.9
End of FY 14	622	4.63%	49.1	47.0
End of FY 15	623	4.58%	49.0	Not Available

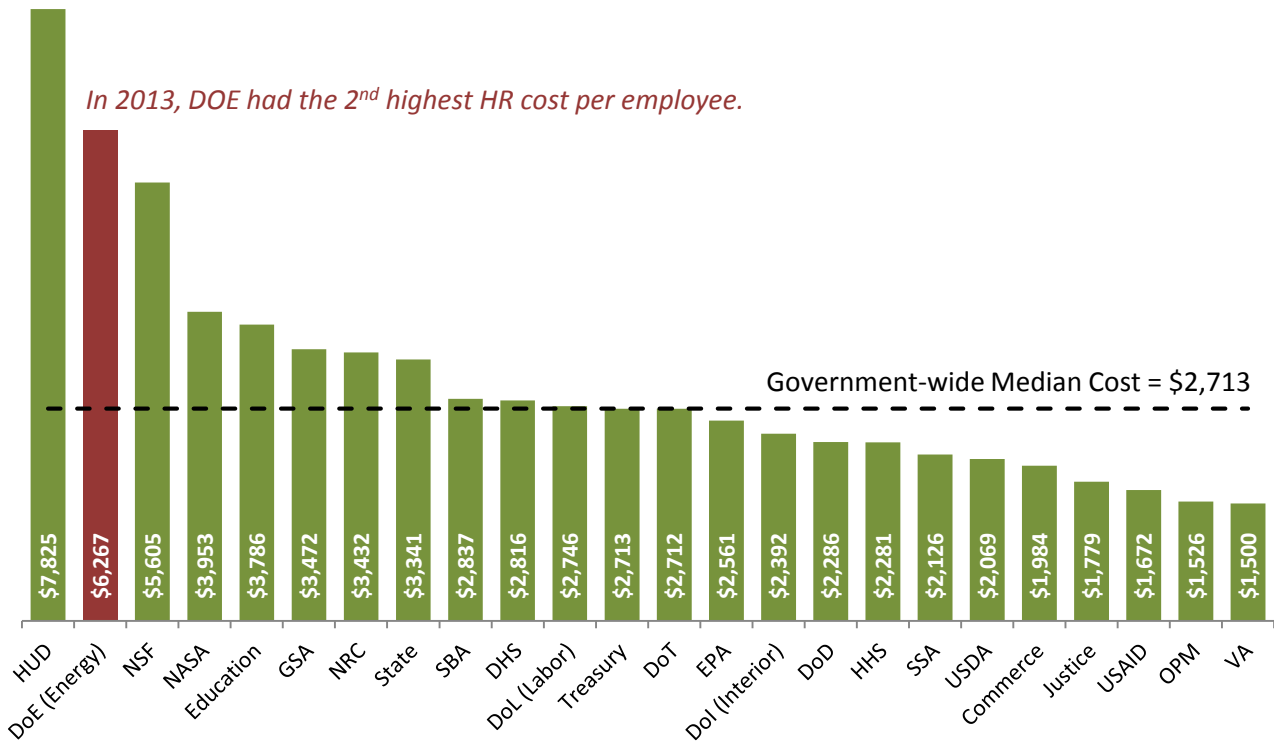
10-9: DOE Federal Employee Viewpoint Survey (FEVS) Results for 2011-2015



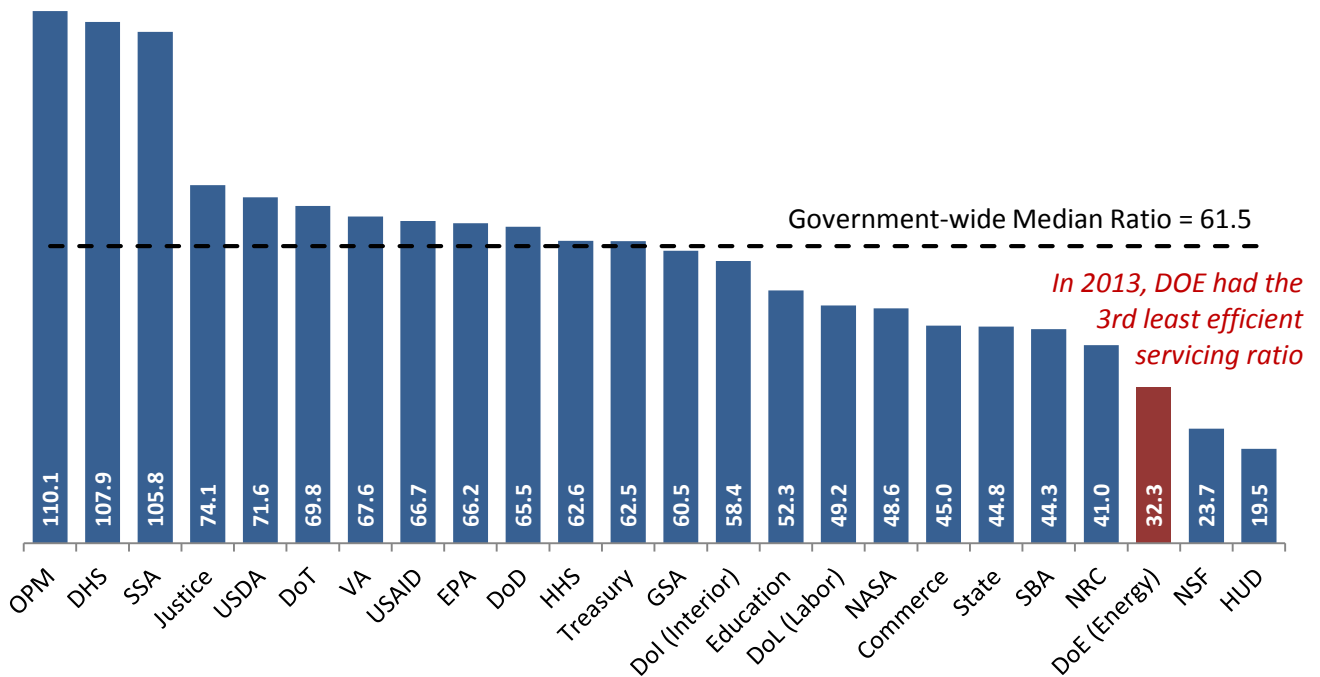
10-10: Trends for DOE and Mid-Size Agencies in Best Places to Work (BPTW) Rankings



10-11: FY 2013 Government-wide Comparison of HC Cost per Employee Served



10-12: FY 2013 Government-wide Comparison of Servicing Ratio



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