LRD Human Capital Plan

3 June 2008

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1.0 Purpose

To define procedures for development of the Human Capital Plan (HC Plan). The HC Plan identifies short and long-term civilian workforce requirements. The objectives of the HC Plan are to:

- Ensure sufficient personnel strength and capabilities to execute projects and programs
- Facilitate a responsive, rapid recruitment process
- Provide a process for evaluating, guiding and maintaining technical competencies
- Ensure sufficient personnel strength to meet income and manpower utilization targets

2.0 Applicability This is a regional process for use throughout the Great Lakes and Ohio River Division (LRD). It applies to all LRD Districts and the Division Office.

3.0 References

3.1 Memorandum, Secretary of the Army, 4 September 2007, subject: Policy for Civilian Workforce Management and Service Contracts

3.2 Memorandum, Secretary of the Army, 23 February 2006, subject: Army Policy for Civilian Hiring and Initiation/Continuation of Contracts for Service Personnel

4.0 Related Procedures

Short-Range Workforce Planning

Long-Range Workforce Planning

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Regional Command Operating Budget

Regional Civilian Recruitment Process

5.0 Responsibilities

5.1 Division and District Leaders

5.1.1 Great Lakes and Ohio River Division (LRD) Commander. The LRD Commander is the designated General Officer (GO) accountable authority who is authorized to approve the HC Plan. In accordance with Secretary of the Army Guidance, 4 September 2007 (referenced above), the LRD Commander is responsible for approving a human capital strategy that:

- addresses both short and long-term workforce requirements;
- wisely utilizes resources in execution of mission priorities;
- preserves enduring capabilities in our core competencies;
- and improves the pace of civilian hiring to fill critical needs.

5.1.2 District Commanders. District Commanders are responsible for the development and submission of district HC Plans in accordance with procedures and timeframes described herein. Commanders develop HC Plans that enable their districts to accomplish their missions, meet income and manpower utilization targets, and maintain required technical competencies. Commanders are also responsible for tracking execution of these plans and ensuring that civilian hiring actions are consistent with approved plans. Their goal is to maintain 90-100% personnel strength (percentage of approved positions filled).

5.1.3 Division Deputy Commander. The Division Deputy Commander provides oversight for Functional Boards in the General and Administrative staff (specifically resource management, office counsel, public affairs, safety, equal employment opportunity, internal review, and security). He approves all functional area guidance and assessments from these boards or offices.

5.1.4 Director of Regional Business. The Director of Regional Business (DRB) is the HC Planning process owner and provides overall direction for executing the process. The Director serves as chair for the Regional Management Board (RMB) and Regional Program and Budget Action Committee (RPBAC). The Director also provides direction and oversight for the development of action plans to address workforce issues.

5.1.5 Functional Board Chairs. The Functional Board (FB) Chairs are responsible leading their Functional Boards in developing and reviewing HC Plans. Functional Boards have a key role in evaluating risks to technical competencies throughout the region. FB Chairs identify technical competencies that are at risk and recommend action plans to the RMB. FB Chairs also monitor and evaluate workload and make recommendations to the RMB on retaining work in-house (where appropriate) in order to promote technical competencies.

5.1.6 HQUSACE/LRD HR Advisor. The HQUSACE HR Advisor is responsible advising commanders and regional staff members as well as assisting in the development and implementation of action plans to address workforce issues. The HR Advisor reviews and coordinates out-of-cycle requests for civilian hiring actions that were not identified in the

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approved HC Plan. This person is also responsible for providing monthly strength reporting to the LRD Manpower Analyst along with a short narrative review of reasons for monthly fluctuation in numbers.

5.1.7 LRD Chief, Business Management Division (BMD). The Chief, BMD serves as executive director of the HC Planning process. He/she coordinates guidance for development of HC Plans. He/she provides oversight for the development of action plans and coordinates their presentation to the RMB and/or RCC.

5.10 LRD Chief, Business Resources Division (formerly Division Resource Management). The Chief, BRD is the vice-chair of the RPBAC and a member of the RMB. He/she coordinates RCOB development and execution, which sets FTE utilization and other finical targets.

5.11 LRD Manpower Analyst. The LRD Manpower Analyst monitors the Integrated Manning Document (IMD) and provides guidance to District and Division officials on utilization and maintenance of the IMD and official organization charts. This person receives district HC Plans, consolidates, and coordinates Functional Board reviews. He/she also processes service contract requests for Commander approval and submits monthly reports to HQUSACE detailing contractor (CME) and civilian strength execution.

5.2 Boards and Committees

5.2.1 Regional Command Council (RCC). The RCC is the guiding corporate body for LRD. The RCC provides recommendations on approval of HC Plans to the LRD Commander and monitors execution to ensure consistency throughout the region. The RCC also approves long-range strategies, provides command assessment of execution in relation to established targets, and approves action plans that address significant workforce issues.

5.2.2 Regional Management Board (RMB). The RMB is the responsible governing body for workforce planning and provides recommendations to the RCC for long-range plans and strategies to address significant workforce issues. The RMB receives input and assessments from the Functional Boards and makes recommendations on HC Plans, with a specific focus on identifying and maintaining critical technical competencies and ensuring that action plans are developed and implemented for any areas (functions, skills, capabilities, etc) designated "at risk". These action plans are also an integrated part of the division’s short-range workforce planning process. The RMB monitors aggregate civilian hiring actions to ensure effective execution of HC Plans.

5.2.3 Civilian Personnel Advisory Center (CPAC). The LRD Regional CPAC is responsible for timely execution of civilian hiring actions that are consistent with approved Human Capital Plans and assisting in the development of short-range and long-range recruitment strategy plans.

5.2.4 Position Management Committees (PMCs). District level PMCs are responsible for planning and managing execution of HC and civilian recruitment plans. District PMCs will monitor execution of hiring actions in relation to the approved HC Plan. District PMCs can approve interim changes to the HC Plan where such approvals are within the approved positions established by the HC Plan. PMCs are responsible for monitoring the District's hiring actions on a monthly basis and assisting in the development or revision of recruitment strategy plans that

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will enable more timely and effective accomplishment of District targets. District PMCs also oversee implementation of action plans to address workforce issues.

6.0 Definitions

6.1 Terms specific to the HC Planning process.

6.1.1 Full Time Equitant (FTE). For manpower purposes one FTE is equal to 2080 hours and is used to calculate productive available hours.

6.1.2 Position. A position is an approved slot or billet on the HC extract. A position consists of a grade, duty title and series. Positions on the HC Extract are considered "approved" positions once the HC Plan is approved by the LRD Commander. Individuals may overlap in the same approved position to support a transition (outgoing and incoming employees overlap) or when the someone is temporally filling a position when the incumbent is away for an extended time period. This is no requirement to "create" new positions in these cases.

6.1.3 Strength. Is the percentage of filled approved positions. The goal is for every organization to maintain 90-100% strength.

6.1.4 Planned FTE Utilization.

6.1.5 Official Organization Chart

6.1.6 Individual Manning Document

6.1.7 Human Capital Extract.

6.1.8 Action Plans. Actions plans are detailed strategies that address workforce issues. Action plans are developed by Functional Boards and/or districts with the assistance of the Regional CPAC Chief and Chief, BMD. Action plans are usually developed for workforce issues identified by commanders, Functional Boards, RMB or other regional leaders. See _____TBP_____ for further details about action plans.

6.1.9 Income Projections. Income projections are predications of funding for projects and programs over the next five years. Income projections are recorded on "Income Projection" spreadsheets and are maintained by LRD Programs Directorate. The income projections are used for RCOB development, RCOB mid-year review, strategic planning, long and short range workforce planning, and HC Planning. Income projections used in HC Planning must match the approved income for the RCOB and for subsequent years, the approved income projection spreadsheets.

6.2 Components of Human Capital Plan. Each district and the division office will develop HC Plans Position numbers on all charts and documents must match. Specific components of the plans are:

> 6.2.1. "District Human Capital Plan" PowerPoint Presentation (copy attached). The presentation is a reflection of the HC extract and organizational chart. It is used for a

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decision brief to the RCC. It is designed to present a district's HC Plan in an easily understood, simple manner. The presentation requires the following input:

- Income projections for the current year plus subsequent four years
- Planned FTE utilization for the current and next four years
- Commander's Assessment for meeting FTE utilization and strength targets as well as issues related to maintaining critical technical competencies
- Organizational Structure Summary and Detailed Staffing Plans.

6.1.2. Official District Organization Chart (Draft copy). This document shows the district organization and staffing. It is a graphic representation of the HC Extract. Signed organization charts will be issued at the conclusion of this process in October.

6.1.3. HC Extract. The HC Extract is the document that contains the district's approved positions. The HC Extract is the official human capital document reflecting the district's approved human capital plan. All other charts, briefings, and products must match the HC Extract.

6.1.4. "Functional Board Assessment" PowerPoint Presentation (prepared by Functional Boards and RMB). This presentation is used by the Functional Boards to present their assessments to the RMB. Once approved the RMB uses the information to provide an RMB recommendation to the RCC.

7.0 Process/Timeline

The Human Capital planning process is integrated with the development of the Regional Command Operating Budget (RCOB) Process. Figure 1 below shows the general timing for the HC Planning process and its relationship to the RCOB process.

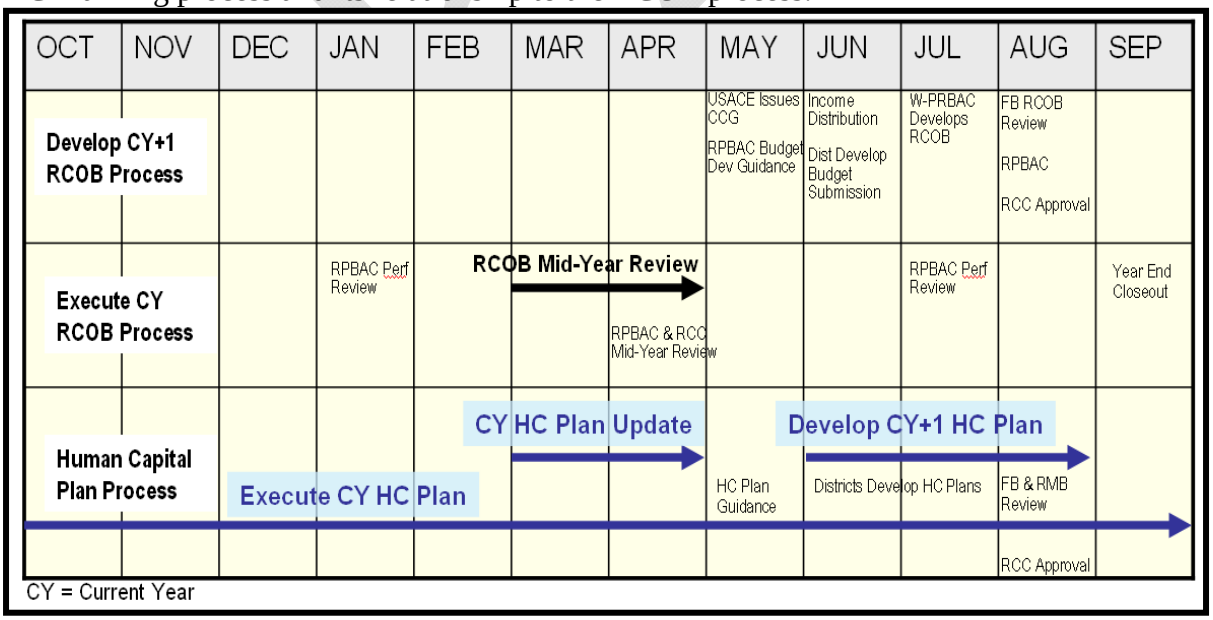

Figure 1. Human Capital Planning Process

Figure 2 below shows the steps for developing the Human Capital Plan. Once the plan is developed and approved, PMCs and the regional CPAC focus on executing the plan with the goal of maintaining at least 90% fill of approved positions.

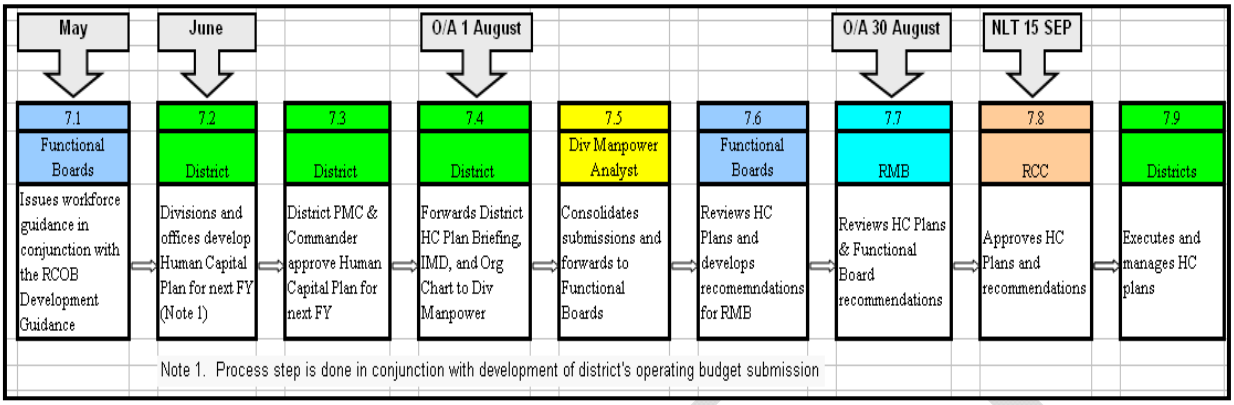

Figure 1. Process Steps for Developing the Human Capital Plan

7.1 In conjunction with development of the RCOB Guidance, Functional Board Chiefs develop workforce planning guidance for their associated functional area. The Chief, BMD consolidates the guidance from the Functional Board Chiefs and issues instructions to begin the HC Planning process. The Director of Regional Business approves the guidance prior to release. Plans will be for the upcoming Fiscal Year (FY). This step normally occurs in May.

7.2 District subordinate divisions and offices develop their recommended HC Plans for the upcoming FY. This step normally occurs in June and July. This step coincides with the development of the district's proposed RCOB submission (part of the RCOB Development Process). Division and office chiefs the following factors as they develop their recommended HC Plans:

- Workforce affordability based on projected income and FTE utilization (from RCOB development process)
- Workload analysis to ensure the organization has the necessary skills and capabilities to accomplish the amount and type of work.
- Positions and skills needed to support expeditionary and disaster response missions.
- Accession planning based on likely retirements, deployments, and employee turnover.
- Grade structure requirements within organizations.
- Need to sustain or improve technical competencies in order to meet a long range workload requirement.
- Individual position or organizational changes needed to more effectively or efficiently execute the anticipated workload

7.3 The district PMC reviews each office submission and recommends a district HC Plan to the commander. The commander approves the district's proposed human capital plan. Throughout the process, the PMC ensures close coordination between the district offices, resource management, and programs. The commander and PMC consider the following factors when reviewing the HC Plan:

- Affordability
- Ability to met workload demands to include expeditionary and disaster response missions

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- Ability to maintain technical competencies needed for the future
- Organizational effectiveness and efficiency to execute the workload and maintain low overhead costs.

7.4 Districts forward their proposed HC Plan briefings, organization charts, and HC extracts to the Division Manpower Analyst. This normally occurs in early August every year. See 8.0 Clarifying Guidance below for information about the HC Extract.

7.5 The Division Manpower Analyst consolidates all district submissions and forwards them to the Functional Board Chiefs.

7.6 Functional Board Chiefs coordinate with their members for a review of all district HC Plans. Functional Boards assess the HC Plans to identify workforce issues and make recommendations associated with the following:

- Affordability
- Ability to met unique workload demands such as new programs, IIS or other forms of work for others.
- Ability to meet expeditionary and disaster response missions
- Ability to maintain technical competencies needed for the future
- Organizational effectiveness and efficiency to execute the workload and maintain low overhead costs.
- Requirements for or changes to regional organizations or positions that are needed to support regional or national missions/workload. Examples could include regional technical specialists, national mission support, centers, etc.
- Opportunities to gain greater effectiveness or efficiency such as the use of regional work-sharing, technical specialists, centers, or organizational changes.

During their review the Functional Boards also identify technical competencies (series, positions and/or skill sets) considered "at risk." Once workforce issues are identified the Functional Boards analyze the cause(s) of the issue and develop recommendations to the RMB for resolving the issue. Functional Board recommendations may include changes to the HC Plans, development of short or long range action plans, or initiating a more in depth workforce study. The Functional Boards also analyze the projected workload and make recommendations to the RMB on retaining work in-house (where appropriate) in order to promote technical competencies. The results of this assessment are recorded in their Functional Board's portion of the "Functional Board Assessment" PowerPoint Presentation. The Chief, BMD consolidates Functional Board input into a single presentation.

7.7 The RMB reviews the proposed plans and assessments by the Functional Boards in order to make a well-informed recommendation to the RCC. Functional Board leaders attend the designated RMB meeting to present their assessments to the RMB. The RMB may also direct the development of action plans to address workforce issues. The RMB meeting normally occurs in August.

7.8 The RCC, normally held in late August to no later than 15 September, approves the HC Plans and makes other workforce decisions. District commanders review their presentations with the RCC and the RMB Chair person presents the RMB recommendations. The district

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commanders and other RCC members make recommendations and provide input to the division commander. The division commander approves and signs the HC Plans.

7.9 Once approved, the districts update their official organization chart, HC extract, and IMD with any changes that might were directed in the approval process. Organization charts should then be signed and issued. Then district PMCs and the Regional CPAC focus on execution of the approved HC Plans with the goal of maintaining at least 90% fill of approved positions. See Section 8, Clarifying Guidance, for rules about position management on the IMD.

The following steps cover the mid-year review of Human Capital Plans (See Figure 2). The purpose of the review is to adjust plans based on the mid-year review of the Regional Command Operating Budget (RCOB). The mid-year review of the RCOB may result in changes to projected workload (income) and expenses. These changes potentially drive revisions to the HC Plans.

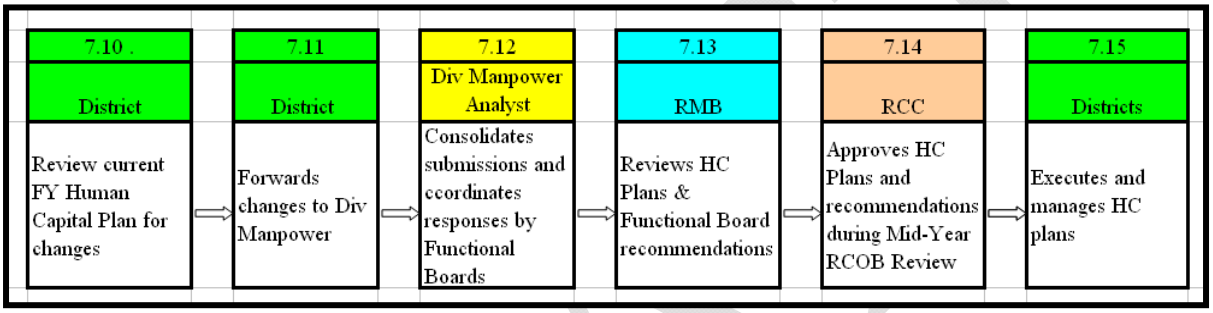

Figure 2. Process Steps for Mid-Year Review of the Human Capital Plan

7.10 In conjunction with development of the RCOB Mid-Year Review Guidance, the Chief, BMD issues instructions to begin the mid-year review of HC Plans. Beginning in March districts review their HC Plans. Districts review their current income projections and workload to assess the need for changes to the HC Plan. The district PMC reviews and recommends approval for changes to the district commander. The district commander approves proposed revisions to the HC Plan.

7.11 The district forwards proposed revisions to their HC Plan to the Division Manpower Analyst. The submission includes changes to the "District Human Capital Plan" briefing. Any new positions to be approved with this submission should be inserted (in Red) on the original HC Extract and briefing.

7.12 The Division Manpower Analyst consolidates the submissions and forwards the revised plans to the Functional Board Chiefs. Functional Board Chiefs conduct a short review and provide only substantive issues and comments back to the Chief, BMD. Generally, Functional Boards only address issues that have a significant impact on their functional area's ability to support the mission and maintain necessary technical competencies.

7.13 The RMB reviews the revised HC Plans and any issues from the Functional Boards during the May RMB. Normally this review is done in conjunction with the RPBAC presentation of the RCOB mid-year review.

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7.14 The RCC approves the revised HC Plans and addresses recommendations from the RMB, as required. Like Step 7.12, the RCC approves the HC Plans during the same Command Council meeting as the RPBAC's presentation of the RCOB mid-year review.

7.15 Once approved, districts continue to execute their HC Plans.

8.0 Clarifying Guidance

8.1 Manpower Guidance. After approval is given to the HC Plan submission (both initial and mid-year), the following guidance is:

- Districts have the authority to move approved positions as long as the position title, grade and series remain the same. For example, if you have a vacant GS-00810-12 Civil Engineer position in Construction, you could move that position to Engineering or Operations as a GS-00810-12 Civil Engineer. The exceptions to this rule are Regulatory, Emergency Management, Contracting and General & Administrative offices (specifically resource management, office counsel, safety, equal employment opportunity, internal review, and security). Any changes to approved positions in these offices require Functional Board review and division commander approval.

- Districts do not have the authority to switch authorizations between position titles, series or grades. For example, Districts cannot move a GS-00810-12 Civil Engineer authorization in Construction and hire a GS-00343-12 Project Manager in Project Management Division.

- Over-hires (these are defined as early recruitment for positions to allow overlap of the departing employee with the newly hired employee). Individual requests for approval of the recruitment action are not necessary as long as the target position is included in the HC Plan, AND the hiring action will not cause the district to exceed its budget targets.

    - Any new position (defined as a position not on the approved HC Plan) will need to be sent separately for LRD Commander approval. See _____ Process for procedures and exceptions.

8.2 Key Process Metric. Each District has a target of maintaining at least a 90% fill of their approved positions.

8.3. Position Planning Guidance. Districts plan the number and type of positions required to execute their workload, meet designated financial targets (FTE utilization, direct charge targets, etc) and maintain technical competencies. Commanders and leaders must be careful not to plan unnecessary positions or "pad" their IMD with additional positions. Any unnecessary positions degrade the accuracy of the strength metric.

8.4 IMD Guidance. Since the IMD is automatically updated with current HR data every two weeks, the IMD should be updated as necessary for the Human Capital Plan and exported to an Excel spreadsheet at a specific point in time. Export date should be within three weeks of plan submission with districts determining the exact date to allow adequate preparation time.

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- IMD “Requirements” – all positions supporting district FTE utilization will be shown as a “Requirement”. This should include all positions except DA Interns.

- IMD “Authorizations” – this includes Full-Time Permanent, Seasonals, Term, Intermittents filling permanent positions, and any other positions working 40 hours per week who do not fall into the “Other than Full-time Permanent” category. (The “Other Than Full-Time Permanent” category includes Full-Time Temporary, Part-Time Permanent, Part-Time Temporary, all students, Intermittents not filling permanent positions, DA Interns, and any other temporary appointments.)

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