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National Council on Federal Labor-Management Relations

In **GEAR** for the DOE Performance-Based Culture

Presented by

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September 19, 2012

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DOE Pilot of GEAR “5 Recommendations” as of 9/19/12

GEAR	COMPLETED DOE ACTIONS	PENDING / ONGOING DOE ACTIONS
<p>1. ARTICULATE A HIGH PERFORMANCE CULTURE</p>	<ul style="list-style-type: none"> • Agency Strategic Plan (May 2011) • Systems Approach (ALIGNMENT) to Management & Operational Excellence (Jun 2011) • Implemented online Performance Management Training modules for employees and supervisors (FY11 Q4 for FY12 cycle) • Secretary Chu : <ul style="list-style-type: none"> ✓ Issued <u>Statement on Performance-Based Culture</u> (March 2012) ✓ Conducted <u>Town Hall on Improving our Performance-Based Culture</u> (April 2012) – Integrating GEAR, Best Places to Work, Continual Learning, and Diversity and Inclusion strategies • Acculturating High Performance from Day One: <ul style="list-style-type: none"> ✓ For the orientation and on-boarding of new employees, improved employee satisfaction rates from 68% in 2010 compared to 75% in 2012 in Q1/Q2. ✓ In 2012, DOE completed a redesign of Headquarters’ on-boarding process from a one-day transactional in-processing event to a one-year interactive program that includes learning, networking, teaming, and measurement/evaluation. 	<ol style="list-style-type: none"> 1. Continue to improve execution of Systems Approach to drive management reforms through the transparent and visible use of metrics and a commitment to regular senior level management reviews based on those metrics. (see HRstat example, slide 5) 2. For orientation and on-boarding, the CHCO will engage Headquarters Resource Managers and Field HR Directors to build buy-in for participation of new employees in the one-year program, not just the one-day transactional in-processing event. The intent is to ensure a consistent and effective on-boarding experience throughout a DOE complex that is geographically dispersed 3. Finish updating Strategic Human Capital Plan to help communicate and support the DOE Performance-Based Culture and related initiatives
<p>2. ALIGN EMPLOYEE PERFORMANCE MANAGEMENT WITH ORGANIZATIONAL PERFORMANCE MANAGEMENT</p>	<ul style="list-style-type: none"> • Designed and Implemented Progress Review Template (Mar 2011) – to support more frequent and worthwhile, two-way performance-based discussions between supervisors and employees • CHCO has engaged PIO to evolve the Business Quarterly Review Process (Q1/Q2/Q3 FY12) – will provide meaningful and timely data for employee performance discussions in alignment with GPRAMA requirements and in support of GEAR recommendations • DOE selected (May 2012) as a pilot agency for HRstat, which is taking the PIO/CHCO integration process further. The goal of the pilot is to identify the key human resource management (HRM) metrics that help agencies to deliver an efficient, effective, and accountable government. 	<ol style="list-style-type: none"> 1. Identify and implement appropriate linkages for SES performance and organizational results 2. Integrate GEAR and HRstat pilots at appropriate intersections and socialize relevant metrics to DOE senior leaders (see HRstat example, slide 5) 3. In accordance with GPRAMA, the CHCO will continue to use data-driven, evidence-based activities to support further improvements in the DOE Performance-Based Culture and to work toward the Secretary's goal of "<i>improving the performance metrics used throughout the Department to better align human capital planning and management with agency goals and objectives.</i>"

DOE Pilot of GEAR “5 Recommendations” as of 9/19/12 *(continued)*

GEAR	COMPLETED DOE ACTIONS	PENDING / ONGOING DOE ACTIONS
3. IMPLEMENT ACCOUNTABILITY AT ALL LEVELS	<ul style="list-style-type: none"> • Implemented ePerformance Software to support employee performance management processes (Dec 2011) – supports reporting and accountability for SES and non-SES employees • Implemented organizational ePerformance metrics and reporting (Feb 2012) • Implemented Quarterly Performance Discussions and documenting implementation status from ePerformance in real-time • Actively tracking and reporting status of ePerformance milestones to the Chief Operating Officer level and higher as needed • Developed/implemented simplified guidance on expectations and processes for Performance Improvement Plans (PIP) 	<ol style="list-style-type: none"> 1. Continue socializing the real-time reporting of compliance/non-compliance with employee performance management deadlines using ePerformance, which is a new process for DOE. 2. DOE organizations have started to improve their adherence to the frequency and timeliness of progress reviews; however, data indicates that the Department must continue to improve the quality and effectiveness of such reviews to help DOE achieve a Performance-Based Culture 3. Working with PMC, implement a new SES Performance Appraisal System in FY 2013.
4. CREATE A CULTURE OF ENGAGEMENT	<ul style="list-style-type: none"> • Issued Workforce Diversity & Inclusion Strategic Plan (Oct 2011) • Engaged local unions on GEAR pilot (Jan 2012, ongoing) • Secretary sponsored an initiative for six pilot program offices (EE, EM, FE, HC, MA, and CIO) to develop and implement action plans to improve upon the 2011 Employee Viewpoint Survey results for their own organizations and to provide a basis for improving DOE overall. • Conducted GEAR Performance Management Surveys, Focus Groups, and Analyses (Q3 and Q4 2012) to obtain more baseline data • Improved employee participation in 2012 Federal Employee Viewpoint Survey by 21.3%: 47.3% participation in 2012 compared to 39% in 2011. 	<ol style="list-style-type: none"> 1. Continue to engage local unions on GEAR pilot 2. Use EVS data over next two or three cycles – DOE will pursue a strategy to drive cultural transformation and employee engagement in support of the DOE Performance-Based Culture, especially in the areas of Leadership, Diversity and Inclusion, and Teamwork. 3. Improving DOE on-boarding processes to engage employees <i>before</i> Day One, thru Year One, beyond 4. Conduct a follow-up Employee and Manager Performance Management Survey 2nd Qtr FY13 – to measure “before” & “after”
5. IMPROVE THE ASSESSMENT, SELECTION, DEVELOPMENT AND TRAINING OF SUPERVISORS	<ul style="list-style-type: none"> • Partnered with OPM to innovate new approaches to training and development that will support GEAR at both OPM and DOE (May 2012) – using a concept called <i>The 5 Conversations</i> that supervisors must be able to do well with their employees. • Cross-walked existing online and classroom courses to GEAR concepts/recommendations, Executive Core Qualifications, as well as the mandatory requirements for new and experienced supervisors. 	<ol style="list-style-type: none"> 1. Working with OPM, pilot <i>The 5 Conversations</i> approach to improving engagement, diversity, and supervision (supervisors, as well as employees) 2. Develop and implement a communication strategy for the GEAR concepts, including training, job aids, and support resources 3. Promote training curriculum endorsed by executive commitment to improve training, development, and support of both supervisors and employees

HRstat Background:

DOE Framework for HRstat Pilot with OPM/OMB

➤ **Alignment and Integration:**

- **GEAR Pilot**, Recommendation #2:
 - Align Employee Performance Management with Organizational Performance Management
- **HRstat Pilot** purpose:
 - Identify the key human resource management (HRM) metrics that help agencies to deliver an efficient, effective, and accountable government.

➤ **DOE Framework for HRstat Implementation:**

- Identify trends to improve results
- Flexibility in use of measures supports process improvements
 - sun setting obsolete measures
 - introducing new measures as necessary

➤ **Quantitative approach:**

- each goal uses a set of quantitative measures that are assessed using objective criteria

➤ **Basis for Assessment/Roll-up:**

- **Green** = no reds and more than 50% green (**Achieving Goals**, or “A”)
- **Yellow** = no more than 1 red and 50% or fewer green (“**Making Progress** “B” or **Making Progress with Targeted Improvements Needed**, or “C”)
- **Red** = 2 or more red (“**Significant Improvements Needed**, or “D/F”)

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HRstat FY12 Q3 (Goal 1 Excerpt)

DOE Strategic Plan: DOE Goal 4: Management and Operational Excellence

Objective 4.A: Achieve Operational and Technical Excellence

Priority 4.A.2: Develop the Most Highly Qualified, Capable, and Flexible Federal Workforce

Outcomes and Measures (summary): Improve efficiencies and effectiveness in employee hiring and development

Strategic Human Capital Plan: Goal 1: Improve Federal Hiring Processes throughout DOE

11 Measures	Grading Criteria	FY11Q4	FY12Q1	FY12Q2	FY12Q3	Trend
Speed (GS Hiring Process)						
• DOE Average Time-to-Hire by Year-to-Date	Green ≤ 85 days ; Yellow 86 to 95; Red > 95	99 (YTD)	92 (YTD)	90 (YTD)	86 (YTD)	👍
• DOE Average Time-to-Hire by Quarter	Green ≤ 80 days ; Yellow 81 to 90; Red > 90	100 (Q4)	92 (Q1)	88 (Q2)	77 (Q3)	👍
Quality (GS Hiring Process)						
• Manager Satisfaction with Hiring Process	Green ≥ 8.0 ; Yellow 7.9 to 7.0; Red < 7.0	8.15	7.37	7.98	7.70	👉
• Applicant Satisfaction with Hiring Process	Green ≥ 8.0 ; Yellow 7.9 to 7.0; Red < 7.0	7.31	7.48	7.08	7.27	👉
• New Employee Survey						
- Satisfaction with Hiring Process	Green ≥ 75% ; Yellow 74 to 65%; Red < 65%	74%	79%	82%	(90-day lag in data)	👍
- Satisfaction with Orientation and Onboarding	Green ≥ 75% ; Yellow 74 to 65%; Red < 65% (FY10=68%)	74%	74%	77%		👍
Quality (GS Hiring Results)						
• Manager Satisfaction with Applicants	Green ≥ 8.0 ; Yellow 7.9 to 7.0; Red < 7.0	8.15	8.06	8.03	8.18	👍
• Veterans Hiring (% of hires)	Green ≥ 21.3% ; Yellow 21.2 to 17%; Red < 17%	24.18%	36%	30%	28.3%	👍
• Disabled Veterans Hiring (% of hires)	Green ≥ 9.1% ; Yellow 9 to 7.3%; Red < 7.3%	8.61%	9.6%	11.43%	9.13%	👍
• Persons w/Disabilities Hiring (% of hires)	Green ≥ 7% ; Yellow 6.9 to 4%; Red < 4%	7.83%	10.4%	6.9%	5.8%	👎
• Persons w/Targeted Disabilities (% hires)	Green ≥ 1.25% ; Yellow 1.24 to 0.7%; Red < 0.7%	0%	0%	0%	1.1%	👎

Strategic Human Capital Goal 1 Status for Q3 FY12: Making Progress with Targeted Improvements Needed

[Assessment basis: In total, no measures are red, but 50% or fewer are green among the 9 of 11 measures that currently have data for Q3 FY12]