



U.S. DEPARTMENT OF  
**ENERGY**



EM Consolidated Business Center

Office Of Environmental Management  
*safety ♦ performance ♦ cleanup ♦ closure*

## EMCBC AND SMALL SITES

# WORKFORCE AND SUCCESSION PLAN

## 2015 - 2020

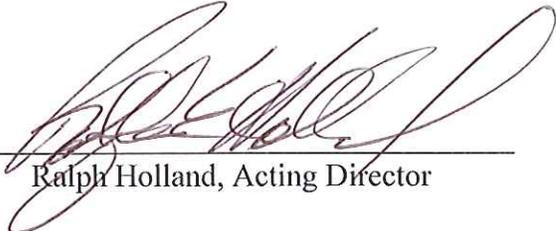
August 1, 2015

## MESSAGE FROM THE DIRECTOR

The Environmental Management (EM) Consolidated Business Center (CBC) was established on June 7, 2004, to provide business and technical support services for the EM Program. The functions of the EMCBC are to support the mission of the Office of Environmental Management by ensuring customer sites are provided with required and improved business support needed to execute their mission. The mission of the EMCBC is to provide exemplary business and technical resources to the EM cleanup program and to provide creative solutions to EM business issues. These resources include financial and project management, human capital management, information management, contracting, cost estimating, legal services, logistics, and technical services.

This 5-Year Workforce and Succession Plan is an important tool in planning and decision making with respect to Human Capital resource utilization, particularly in establishing and maintaining a capable, technically competent, and diverse workforce necessary both now and in the future to support the accomplishment of the EMCBC mission.

My goal is to ensure that the delivery of products and services to our customers is accomplished in a timely and effective manner in accordance with EM's strategic goals and objectives. Our commitment is to deliver the best value products and services to our customers through sound management, innovation, and teamwork.



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Ralph Holland, Acting Director



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Date

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# **THE WORKFORCE PLAN 2015 – 2020**

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## 1. INTRODUCTION

The mission of EM is to complete the safe cleanup of the environmental legacy brought about from 5 decades of nuclear weapons development and government-sponsored nuclear energy research.

The EM program has made significant progress in shifting from risk management to mission completion based on reducing risk and environmental liability. As an established operating cleanup, completion and risk reduction program, EM is demonstrating the importance of remaining steadfast to operating principles while staying focused on the mission.

The mission of the EMCBC is to provide exemplary business and technical resources to the EM cleanup program. These resources include financial, cost estimating, project management, human resources management, information resources management, contracting, legal services, and technical support and asset management services.

The Fiscal Year (FY) 2015 – 2020 Department of Energy (DOE) EMCBC 5-Year Workforce Management Plan, henceforth referred to as the “Plan,” is the tool the EMCBC and Small Site leadership will use in managing its human capital resources. The purpose of the Plan is to ensure that the EMCBC and Small Sites have “the right people in the right jobs at the right time”. EMCBC and Small Sites must conduct workforce planning to identify the skills and resources needed to ensure the successful completion of the work activities defined in its mission.

The Plan is intended to establish a workforce baseline for the EMCBC and Small Sites, and a framework for recruiting and maintaining critical technical and non-technical skills, balancing workforce diversity, and developing a skills pipeline. The Plan identifies staffing and workforce capabilities needed for continued operation of the EMCBC and Small Sites during the period FY2015 through FY2020. It focuses on the EMCBC mission and potential changes thereto; expected changes in resource requirements, including levels and types of competencies as well as on enhancement of organizational performance. Identifying strategies to address expected skills gaps in the key professional and administrative occupations is particularly important.

The Plan establishes challenging objectives for EMCBC and Small Site leadership to manage the workforce creatively and efficiently preserving competence, maintaining diversity, and accomplishing the objectives identified in the EM Five Year Plan. This Plan supports and implements workforce-related strategies and/or objectives found in the following:

- President’s Management Agenda
  - DOE Human Capital Strategic Plan 2011 - 2015
  - DOE Diversity Inclusion Strategic Plan 2012 – 2015
  - DOE 2014 Strategic Plan
  - EM Human Capital Management Plan
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- EM Human Capital Assessment and Accountability Framework
  - FY14 Annual Performance Agreement – Office of Environmental Management
  - EMCBC Strategic Plan 2011-2016
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## 2. PRODUCTS AND SERVICES

EMCBC products and services continue to include business and technical resources including financial, cost estimating, project management, human resources management, information resources management, contracting, legal services, and technical support and asset management services.

The West Valley Demonstration Project is a unique operation within the Department of Energy and the largest of the Small Sites under line management authority of the EMCBC. It came into being through the West Valley Demonstration Project Act of 1980. The Act requires that the Department is responsible for solidifying the high-level waste, disposing of waste created by the solidification, and decommissioning the facilities used in the process. The land and facilities are not owned by the Department. Rather, the project premises are the property of the New York State Energy Research and Development Authority (NYSERDA) and represents only 200 acres of the larger Western New York Service Center, which is approximately 3,300 acres, also owned by NYSERDA. After DOE's responsibilities under the Act are complete, the Act requires that the premises be returned to New York State.

In addition to the West Valley Demonstration Project (WVDP) in western New York, other sites included under the EMCBC umbrella are the Separations Process Research Unit (SPRU) in Niskayuna, NY; the Moab Uranium Mill Tailings Remedial Action (UMTRA) Project, Moab, Utah; Stanford Linear Accelerator Center (SLAC) National Accelerator Laboratory, Menlo Park, CA; Lawrence Berkeley National Laboratory, Old Town Demolition Project, Berkeley, CA (LBNL); and The Energy Technology Engineering Center (ETEC), Canoga Park, CA.

EMCBC also provides business and technical services in accordance with established Service Level Agreements (SLA) to: (1) DOE Office of Legacy Management (LM); (2) DOE Office of Science (SC) Berkeley Site Office; (3) EM Office of Standards and Quality Assurance (OSQA); (4) EM Carlsbad Field Office (CBFO); (5) EM Portsmouth/Paducah Project Office (PPPO); (6) National Nuclear Security Administration (NNSA) Los Alamos Site Office (LASO); EM Savannah River Operations Office (SR); and other EM Headquarters and Field Office sites on an intermittent basis.

### *Small Sites Closure Status*

The Department of Energy established the Office of Environmental Management for the purpose of completing the safe cleanup of the environmental legacy brought about from five decades of nuclear weapons development and government-sponsored nuclear energy research. Ultimately, the small sites now under the EMCBC umbrella will be decontaminated, cleaned, and dispositioned. The status of these projects is listed as follows:

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- ***The Energy Technology Engineering Center (ETEC)*** – A broad range of energy-related research, testing and development projects have been conducted at Area IV (ETEC). From the 1950s until the late 1980s these activities conducted for the DOE by Atomics International (AI, now part of The Boeing Company) included nuclear energy development. Phasing out nuclear operations began during the mid-1960s. By 1980 all nuclear reactor operations in Area IV at ETEC had ceased, though non-nuclear research continued into the 1990s. As of 2015, there remain 18 buildings and several soil areas to remediate. The approved project completion date is 2020.
  
- ***SLAC National Accelerator Laboratory*** – SLAC is a research laboratory operated by Stanford University (Stanford) for the United States Department of Energy (DOE). Current research at SLAC focuses on basic energy sciences, including astrophysics, and a broad program of atomic and solid state physics, biology, and chemistry using free electron laser X-ray sources and synchrotron radiation from accelerated electron beams. SLAC is located about two miles west of the main Stanford campus in an unincorporated area of southeast San Mateo County on land owned by Stanford that is leased to DOE. Chemicals have been used and waste has accumulated over the last 40 years, as a result of SLAC's research studies. The objectives of EM's remediation project at the SLAC site were to conduct and report necessary response actions to a California Regional Water Quality Control Board (RWQCB), implement necessary long-term groundwater remediation remedies, excavate and dispose of contaminated soils, and transfer responsibility for long-term operation, maintenance, and remedial actions to DOE's Office of Science.

The EM physical transition to the Office of Science (SC) occurred on October 1, 2013. However, some EM activities will continue into FY15 and possibly FY16, These activities include notably development and RWQCB approval of the West SLAC Operable Unit Baseline Risk Assessment which is due October 30, 2015.

Additionally, EM is responsible for the 1-½ mile long SLC Tunnels D&D at a future date yet to be determined.

- ***Lawrence Berkeley National Laboratory (LBNL)*** - LBNL is a multi-program research facility managed by the Office of Science (SC). The site is leased to the U.S. Department of energy (DOE) by the University of California (UC). The laboratory facility occupies approximately 200 acres. The laboratory was founded in 1940 when the Radiation laboratory (LBNL's predecessor) outgrew its main campus facilities. "Old Town" is a cluster of buildings built across approximately 15 acres within the center of LBNL. These facilities were original
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constructed in the World War II era to support the 184-inch cyclotron (subsequently replaced by the Advanced Light Source) and perform radio-chemistry research. Over the years the buildings were repurposed, but they are not constructed to current seismic standards. SC has identified 11 of the remaining structures and concrete slabs at previously demolished buildings that are no longer needed to meet SC's continuing mission and are considered excess.

The Old Town Project will demolish seven buildings, remove four concrete slabs and remove contaminated soil under and adjacent to the buildings/slabs to make available approximately two acres for future SC mission growth.

EM has begun Phase I of the Old Town Demolition Project to demolish 3 of the buildings, remove the four concrete slabs and remove the contaminated soil under and adjacent to the buildings/slabs. Phase I is expected to be complete by early FY 2018. Subsequent project phases will commence as funding becomes available.

- **Moab** – The scope of the Moab UMTRA Project is to relocate mill tailings and other contaminated materials from a former uranium-ore processing facility (mill site) and from off-site properties known as vicinity properties in Moab, Utah, to an engineered disposal cell constructed near Crescent Junction, Utah. The scope also includes active remediation of ground water at the mill site.

The Crescent Junction site is located northeast of the eastern junction of Interstate Highway 70 and U.S. Highway 191, approximately 30 miles north of the Moab site. This location was selected primarily because of its ideal geological setting.

Through a series of temporary withdrawals of public domain land and a permanent land transfer by the Department of the Interior, DOE currently owns 500 acres of land and has another 936 acres in a 20-year withdrawal for the disposal cell and surrounding buffer area, the support area, and access road. The permanent transfer area will be fenced when the cell is completed.

At the Crescent Junction site, the containers carrying tailings are unloaded from the train onto trucks that take them to the disposal cell dumping area. The tailings are dumped through end gates in the containers and placed in the cell in 1-foot lifts to meet compaction specifications. The empty containers are reloaded onto railcars and returned to the Moab site.

Project physical completion is planned for Sept 30, 2025 (FY25). The site will transfer to LM Oct 1, 2025 (FY26).

- **Separations Process Research Unit (SPRU)** is an inactive facility located at the
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Knolls Atomic Power Laboratory (KAPL) in Niskayuna, New York. Built in the late 1940s, the SPRU mission was to research the chemical processes to extract plutonium from irradiated fuel materials. The equipment was flushed and drained, and bulk waste was removed following the shutdown of the facilities in 1953, and the buildings were left in a stable condition to await full demolition at a later time.

The modern KAPL site was built around SPRU, and continues to provide research and support for the U.S. Navy's Nuclear Propulsion Program.

In 2010, cleanup of radioactivity and chemical contamination in the SPRU Lower Level Railroad Staging Area, Lower Level Parking Lot and SPRU North Field areas was completed.

Currently, decontamination and decommissioning (D&D) of the following is taking place: the remaining two contaminated buildings (G2 and H2 buildings), seven inactive waste storage tanks located within H2 tank vaults, a pipe tunnel between G2 and H2, and associated contaminated soil. In 2013 tent enclosures and ventilation systems using High Efficiency Particulate Air (HEPA) filters were constructed around the G2 and the H2 buildings. DOE's contractor is taking a methodical, deliberate approach in completing the remaining work. Project physical completion is estimated for 2017.

There will be remaining site work, currently planned as two operations activities through 2018. One will assess potential contamination in the Mohawk River, and the second activity involves disposition approximately 13 trailers of material and equipment, and releasing the land area from radiological controls requirements and returning it to Naval Reactors' control.

- The *West Valley Demonstration Project* (WVDP) - EM is demolishing and remediating a former commercial nuclear fuel reprocessing facility near Buffalo, NY.

The current contract (with CHBWV) is scheduled to be completed March 2020. Its end-state is completion of Phase 1 Decommissioning – Facility Disposition. This scope includes high-level waste canister relocation; facility disposition, including the demolition and removal of the above-grade portion of the Main Plant Process Building (MPPB), site operations, maintenance, and utilities; waste management; project management, safeguards and security, environment, safety, health and quality management.

Upon completion of the Facility Disposition contract, DOE- intended to award one or more contracts to execute second portion of Phase 1 Decommissioning,

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known as Soil Remediation. During this second step, the below-grade portion of MPPB (including source area of plume), the Vitrification Facility, and the O1-14 Building will be removed. The waste water treatment lagoons and Liquid Waste Treatment Facility (LLW-2) will also be removed. Finally, Waste Management Area – 1 (WMA 1) and WMA 2 soil will be remediated.

In 2020, DOE will issue a Record of Decision for the decommissioning of the underground tanks, and in conjunction with New York State, the final decision on the NRC-Licensed Disposal Area. The Project end date is FY2040. The transportation of the HLW canisters and all TRU Waste will still be on-site at that point and the liability is carried at HQ for this scope.

For each step in the complex process of decontamination, cleanup and closeout, the Consolidated Business Center (CBC) provides a variety of support services ranging from business to technical which fluctuate based on each site's stage in the process.

Additionally, in 2015, EMCBC entered into a service agreement with the *Los Alamos National Laboratory (LANL)*, Los Alamos, NM. As directed by the Secretary of Energy, DOE has a requirement to transition the EM-funded legacy environmental cleanup scope at the Los Alamos National Laboratory (LANL) from the National Nuclear Security Administration (NNSA) to the Office of Environmental Management (EM). The procurement effort to transition the legacy cleanup scope at LANL to an EM-managed contract(s) will be led by the EMCBC OC and is anticipated to occur in two phases.

The first phase is anticipated to result in a non-competitive award of a Bridge contract the second quarter of Fiscal Year (FY) 2015 and the second phase resulting in a competitively awarded contract(s) by the end of FY 2016. The Bridge contract is an interim action that will enable EM to have increased management control and oversight of the EM-funded legacy cleanup activities at LANL. The action will facilitate the successful accomplishment of the necessary near-term work scope and will provide EM the reasonable time to competitively procure a performance-based, incentive contract(s) for the end-state requirements at LANL. The negotiation of the Bridge contract and competitive source selection(s) for the end state contract(s) will involve resources from various EMCBC offices, including the OC, OCC, OCE&PMS, and OTSAM. The Bridge contract performance will be concurrent with the competitive procurement process, which is expected to take approximately 18-24 months to complete. The estimated cost to complete the remaining cleanup scope at LANL is more than \$2 Billion.

*(A more detailed listing of products and services may be found in Attachments A - Products and Services.)*

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### 3. DEMOGRAPHIC PROFILE

This demographic analysis is based on an inventory of employees assigned to the Cincinnati, OH location, as well as the Springdale, OH, locations and the Small Sites it supports as of May 1, 2015. Such information/data was collected through *DOEInfo* which serves as a repository of information relating to the DOE Federal workforce. The inventory provided by *DOEInfo* includes full-time and part-time, permanent and non-permanent employees. These employees consist of those assigned to the EMCBC in Cincinnati, Ohio, the West Valley Demonstration Project (WVDP), the Brookhaven National Laboratory (BNL), and the Separations Process Research Unit (SPRU) in New York, the Stanford Linear Accelerator Center (SLAC) and Energy Technology Engineering Center (ETEC) in California, as well as Moab, Utah, and Grand Junction, Colorado. Unless otherwise noted, all Federal-wide data used in the analysis was obtained from *Fedscope* statistics published by the United States Office of Personnel Management (OPM) at <http://www.fedscope.opm.gov/>.

#### *EMCBC and Small Site Staffing*

Staffing levels at the EMCBC and Small Sites continue to be impacted by the Federal budget, fluctuating workloads associated with the EM closure schedule, EM hiring controls, the level of support needed by other EM sites, and an aging workforce. The authorized Full-Time Equivalents (FTEs) for the EMCBC for the period from FY 2015 – 2020 (as reflected in the EMCBC FY15/16 Budget Requests) are depicted in the chart below:

**Figure 3.1**

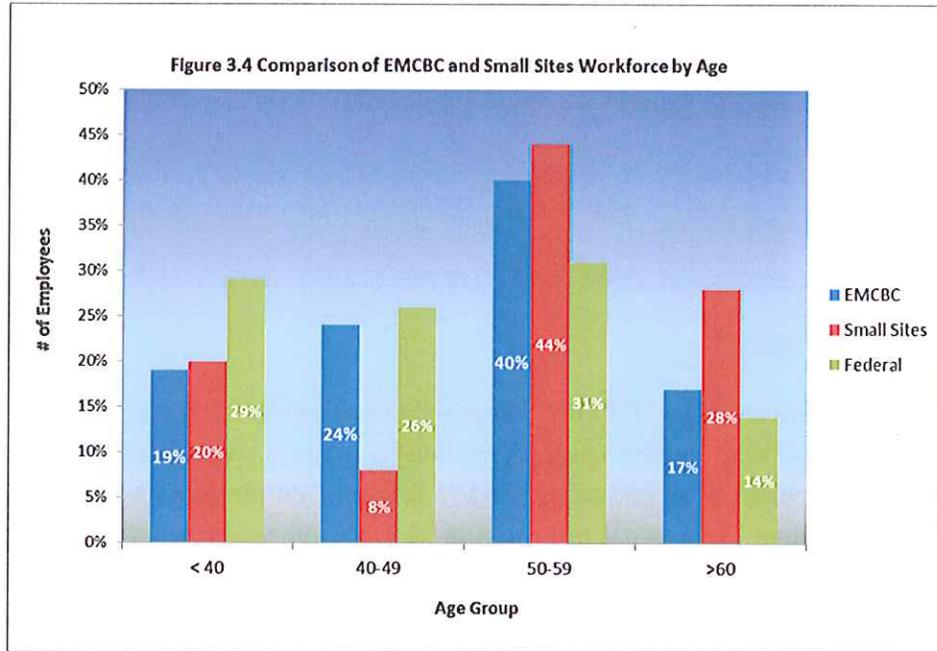
FY15	EMCBC	WVDP	MOAB	SPRU	ETEC SLAC	BNL	Total
Authorized	169	18	5	4	5	0	201
Onboard as of 5/01/2015	150	15	3	3	4	0	175

**Figure 3.2**

**Projected Authorized FTE for EMCBC and Small Sites**

FY15	FY16	FY17	FY18	FY19	FY20
201	201	201	201	201	201

While the employee inventory for 2015 is as 175, the same as the reporting period in 2014, there are currently 33 vacancies. The following chart illustrates attrition rates for both CBC and the Small Sites. The number of vacancies can be attributed to an increase in the number of retirements and the addition of authorized mission critical positions compared to the previous year. Combined retirements of CBC and the Small sites jumped from 6.6% in 2014 to 15.5% in 2015. It should be noted that in addition to these federal employees several critical tasks are performed by contractors not mentioned in these statistics. There are, additionally, 8 temporary Wage Grade (WG) employees who are included in these numbers.



### *Length of Service*

As depicted in figure 3.5 below, 50% of the Federal workforce has less than 10 years of service as compared to the EMCBC at 35% and Small Sites, at 20%. The greatest proportion or 34% of EMCBC and Small Sites employees has 20 to 29 years of service.

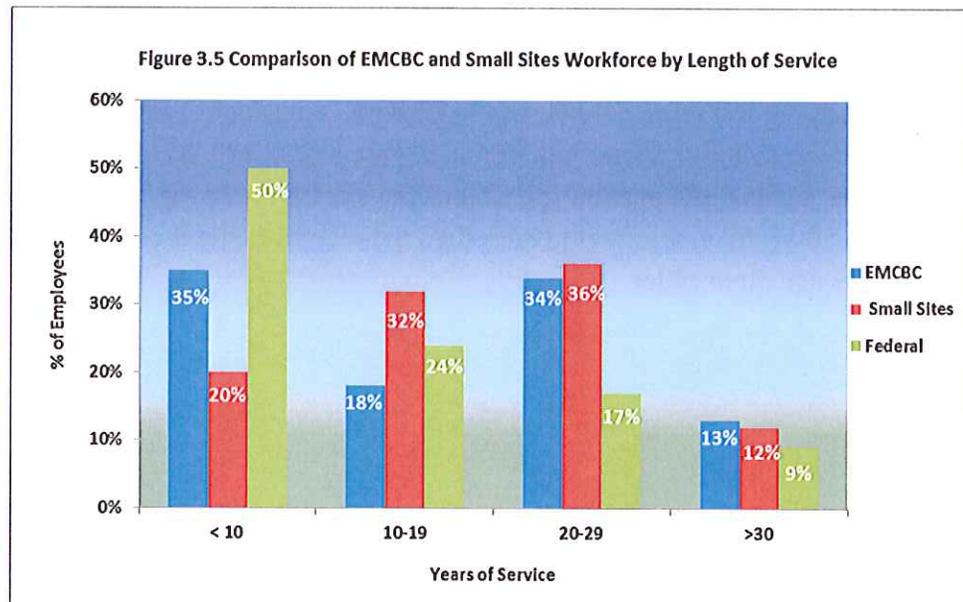


Figure 3.3

Attrition FY14 - FY15	Retirement	Transfer	Resignation Termination	Expiration of Appointment	Death	Total
EMCBC	4.00%	2.00%	3%	4%	0.06%	13.00%
Small Sites	11.50%	0.00%	0.00%	0.00%	0.00%	11.50%

### *Workforce Profile*

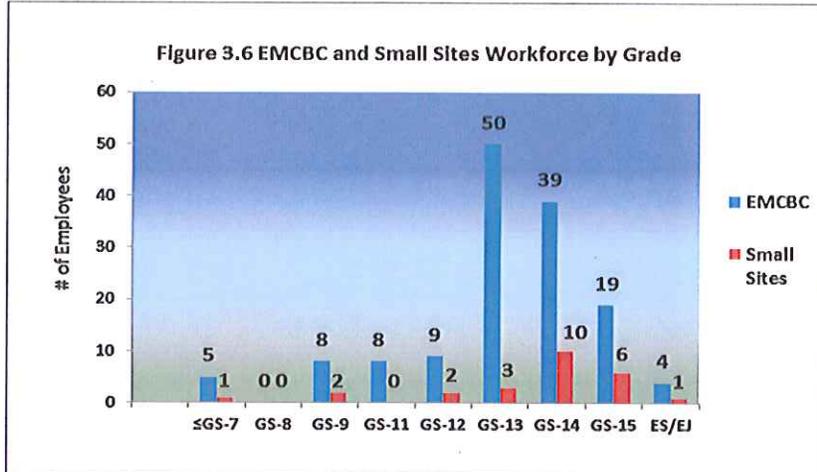
As mentioned above, the DOE employee data used in this Plan was obtained from *DOEInfo*, the Corporate DOE employee data repository. As of May 1, 2015, the EMCBC and Small Sites had a total of 175 full-time employees on-board, 167 permanent and 8 intermittent. As general information, the average supervisory-to-employee ratio for CBC alone is 1:8 and 1:5 for Small Sites. Other significant profile data is reflected below in both narrative and graph/chart format. As a comparative tool, some of the data is contrasted with Federal-wide statistics.

### *Age*

The average age of the combined EMCBC and Small Sites workforce is 51.3 years old (EMCBC = 50.07, Small Sites = 52.58), as compared to the overall average age for the Federal government, at 47.3 years as cited in Fedscope. The average for EMCBC and the Small Sites continues to shift upward due to the hiring of more experienced workers to replace retirees, and the lack of more career-ladder positions and lack of a robust Pathways hiring initiative. As illustrated in Figure 3.4 below, the EMCBC and Small Sites workforce is older than the overall Federal workforce, having higher proportions of workers in their 50's. Fifty-Eight percent (58.5%) of the EMCBC and Small Sites' workforce is age 50 or older, which is greater than the overall Federal workforce, which has 45% age 50 or older.

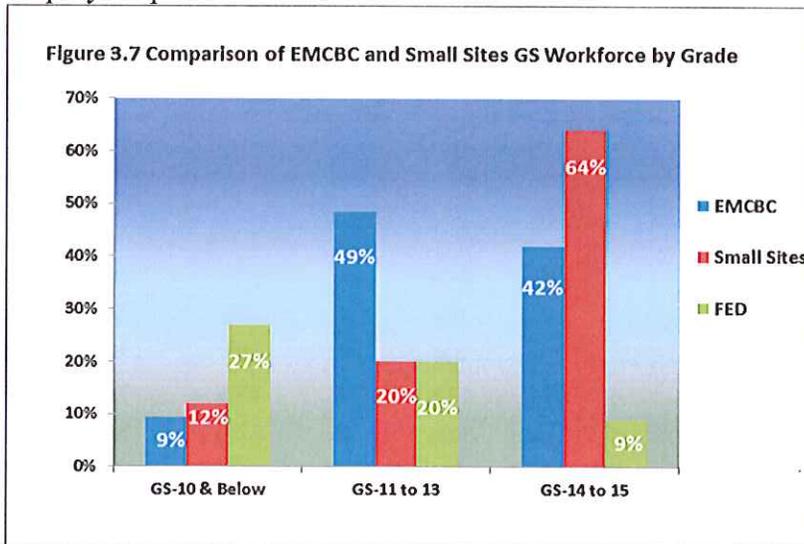
**Grade Level**

Figure 3.6 illustrates the grade structure at the EMCBC and Small Sites. Grades GS-13 (52 employees) and GS-14 (52 employees) together comprise 59.4% of the onboard workforce. The EMCBC and Small Sites have 13 positions in non-GS pay banding grade structure.



EMCBC has 8 employees in WG positions which are not accounted for in this graph.

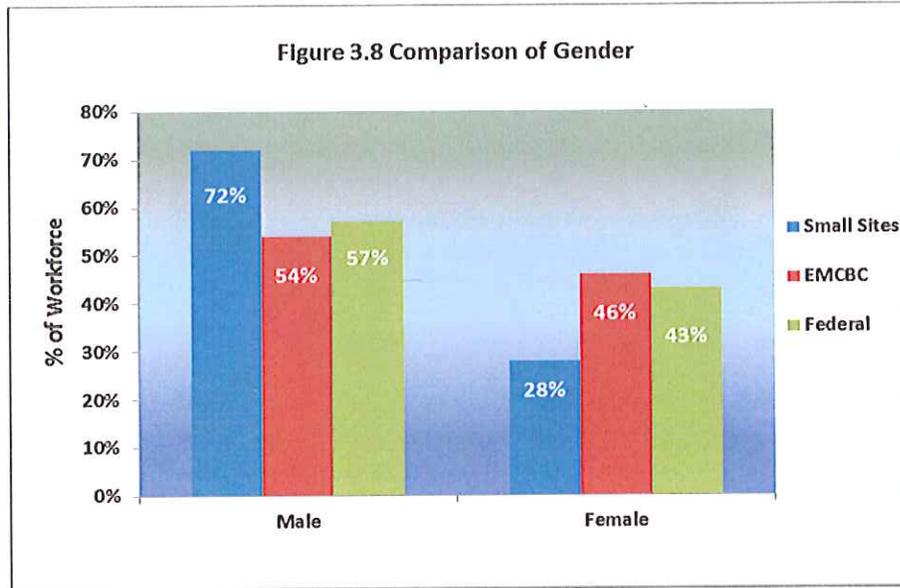
Figure 3.7 below shows that the EMCBC and Small Sites have higher graded employees than the overall Federal workforce. The average grade of an EMCBC employee is GS – 13 Step 5 with the same holding true for the Small Sites. By comparison, the federal workforce average grade is GS – 12 Step 9. This difference reflects the highly specialized work EMCBC and Small Sites employees perform for EM clients.



(Percentages are of employees on the GS scale, but they are percentages of the entire employee base which includes WG grade and ES, EQ, EK, etc. – thus making the total percentages NOT add up to 100%)

**Gender**

According to Figure 3.8, the combined EMCBC and Small Sites workforce is predominantly male at 56% and 43% female reflecting the overall Federal workforce at 57% male and 43% female.

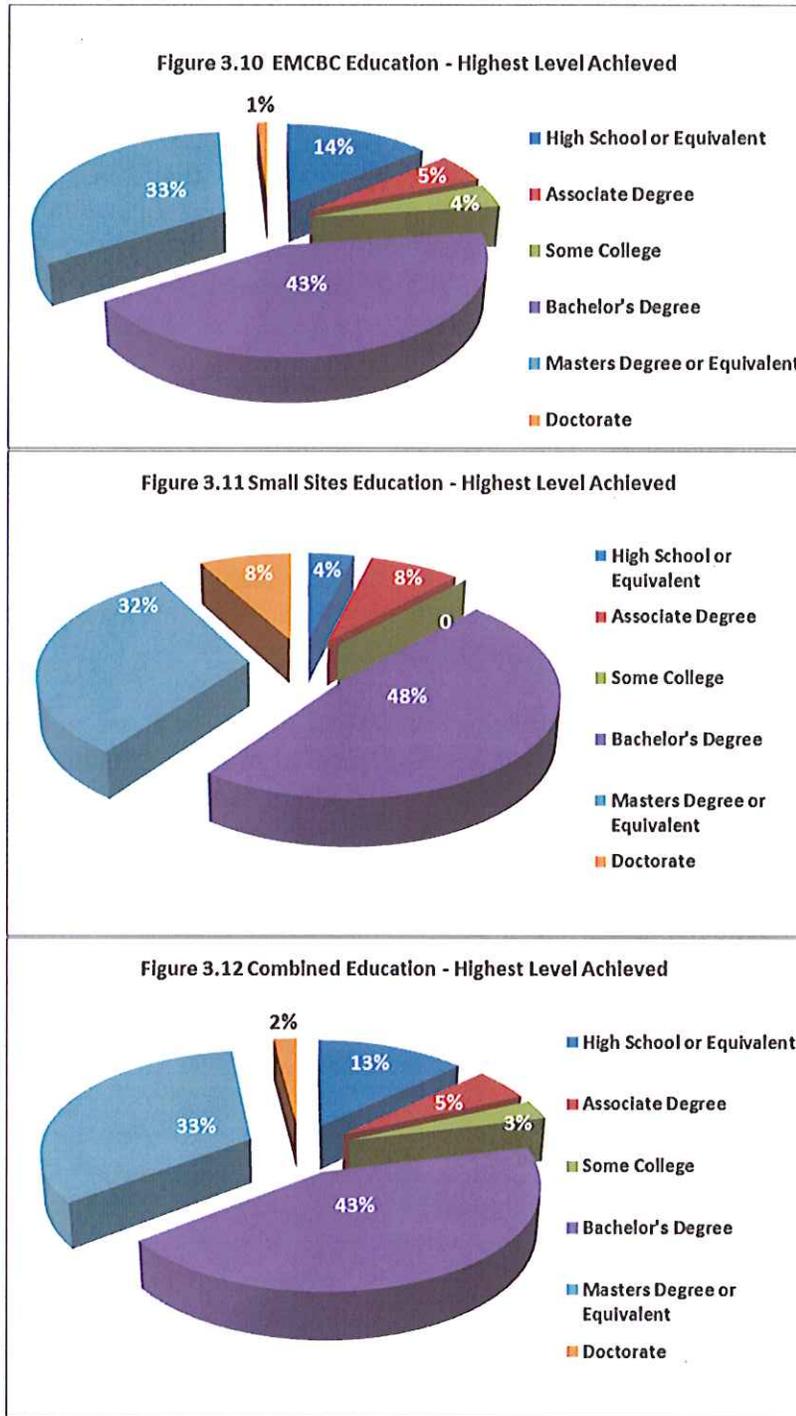


**Education**

The following charts reflect the higher than average educational levels of EMCBC and Small Sites employees as compared to the federal government. A combined total of 78% of EMCBC and Small Sites employees have Bachelor’s degrees or advanced degrees. This is compared to 43% of all federal employees. This higher level of education reflects the level of knowledge required to accomplish the organization’s mission.

Highest Level Achieved	EMCBC	%	Small Sites	%	Combined	%	All Federal
High School or Equivalent	21	14%	1	4%	22	13%	26%
Associate Degree	7	5%	2	8%	9	5%	6%
Some College	6	4%	0	0	6	3%	14%
Bachelor's Degree	64	43%	12	48%	76	43%	26%
Masters Degree or Equivalent	50	33%	8	32%	58	33%	14%
Doctorate	2	1%	2	8%	4	2%	3%

The following charts depict the breakout between EMCBC and the Small Sites.



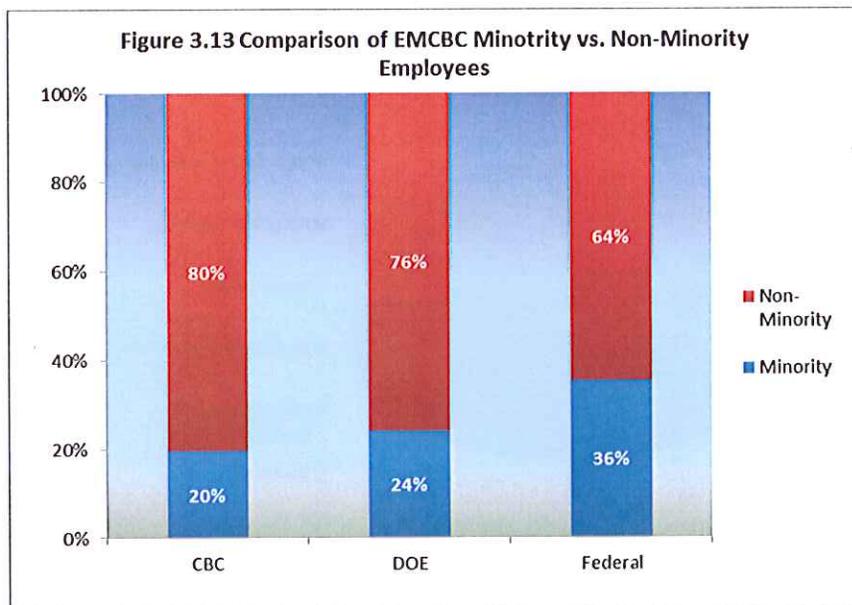
**Diversity**

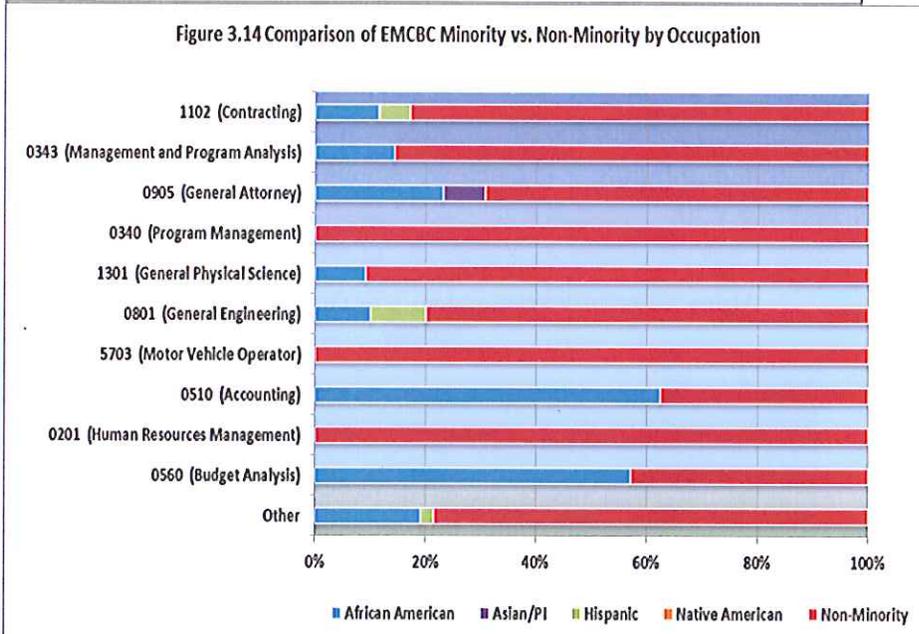
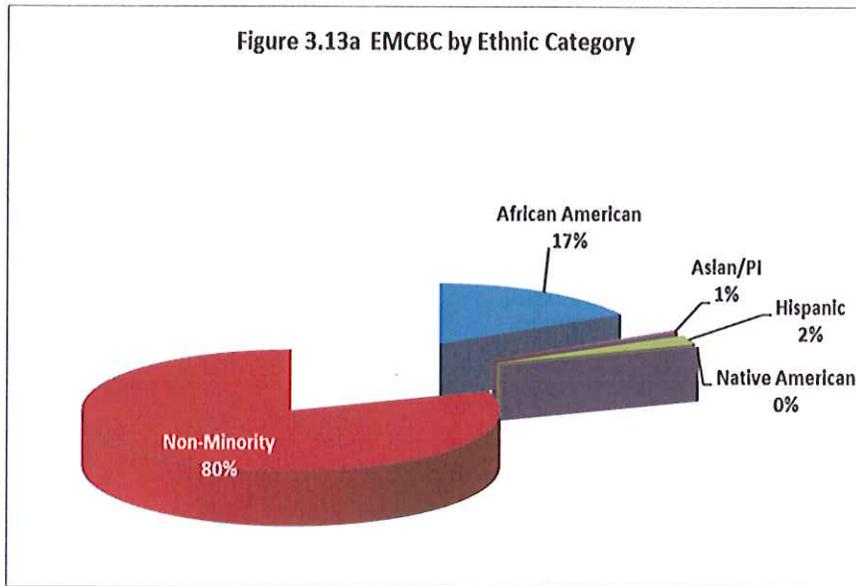
The EMCBC and Small Sites are committed to diversity and inclusion and have made progress in building a highly-skilled workforce that reflects all segments of the American society. Overall, African Americans are represented at 17%, which

is coincides with the Civilian Labor Force Data (CLFD) compared at 17.9%, Hispanics are at 2% compared to the CLFD at 8.1%, Asian/Pacific Islanders are underrepresented at 1% compared to the CLFD at 6.1%, and Native Americans are underrepresented within the margin (i.e. +/- 2%) at 0% compared to the CLFD at 01.97%. Women are within the margin (i.e. +/- 2%) at 43% of the onboard workforce compared to the CLFD at 43.5%, and persons with disabilities are represented at 9.2%, while persons with targeted disabilities are represented at .31% of the onboard workforce. Minorities represent 20% and females represent 43% of the total population.

This Plan will be utilized in conjunction with the EMCBC Diversity Strategic Plan and the annual Equal Employment Opportunity (EEO) reporting, which includes but is not limited to the: Federal Equal Opportunity Recruitment Plan; Disabled Veterans Affirmative Action Plan and Accomplishment Report; Persons with Disabilities Affirmative Action Plan and Accomplishment Report; Hispanic Employment Plan; Presidents Report on Hispanic Employment; Management Directive (MD) 715 Annual Report; and Persons with Disabilities Affirmative Action Plan and Accomplishment Report.

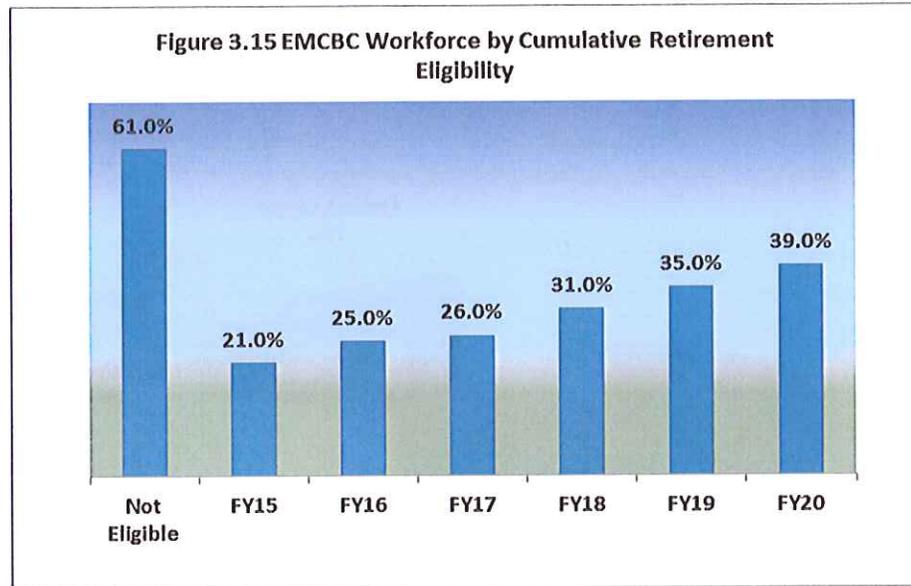
The workforce diversity strategies identified in this Plan are not intended to be substitutes for the diversity strategies identified in those documents. This Plan's strategies are intended to reaffirm EMCBC's commitment to achieving and maintaining a diverse and inclusive workforce.



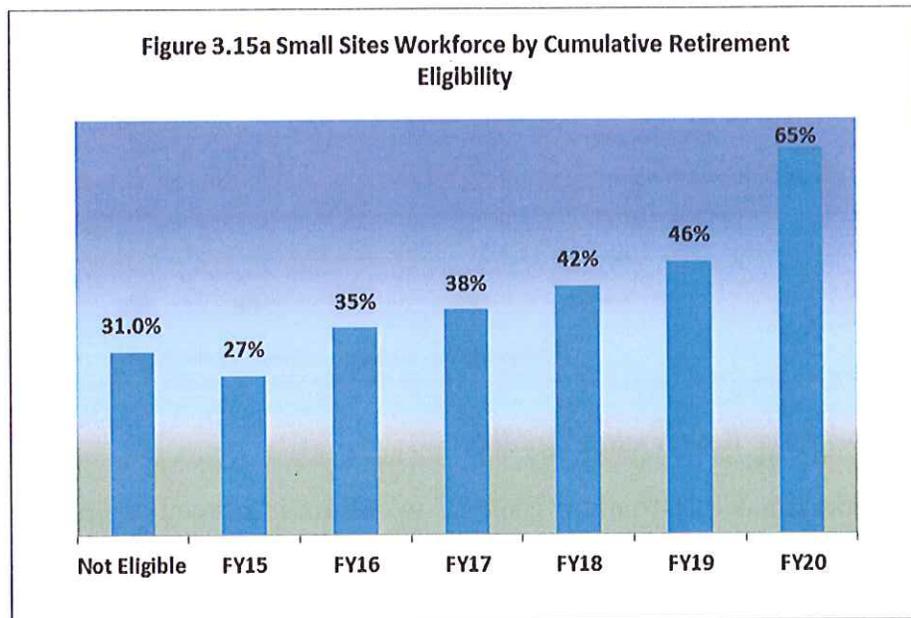


***Workforce Retirement Eligibility***

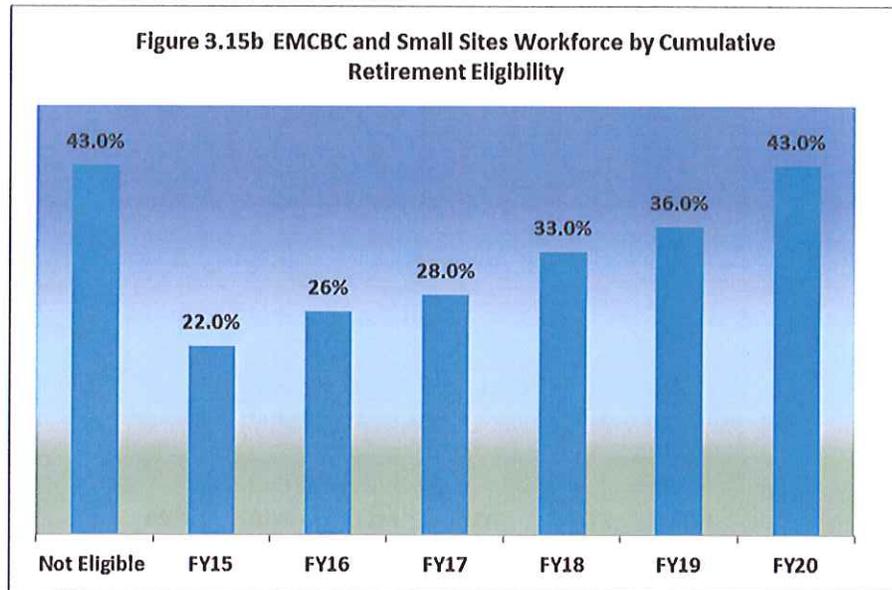
Approximately 21% of the EMCBC workforce is currently eligible to retire as demonstrated in Figure 3.15 below. An additional 18% will become eligible to retire by the end of FY20. A total of 61% will not reach retirement eligibility until after 2020. It is estimated by OPM that 61% of the overall current Federal workforce will be eligible to retire by FY20.



Approximately 27% of the Small Sites workforce is currently eligible to retire as demonstrated in Figure 3.15a below. An additional 38% will become eligible by the end of FY20.



Approximately 22% of the combined EMCBC and Small Sites workforce is eligible to retire in FY15 as demonstrated in Figure 3.15b below. An additional 21% will become eligible by the end of FY20.

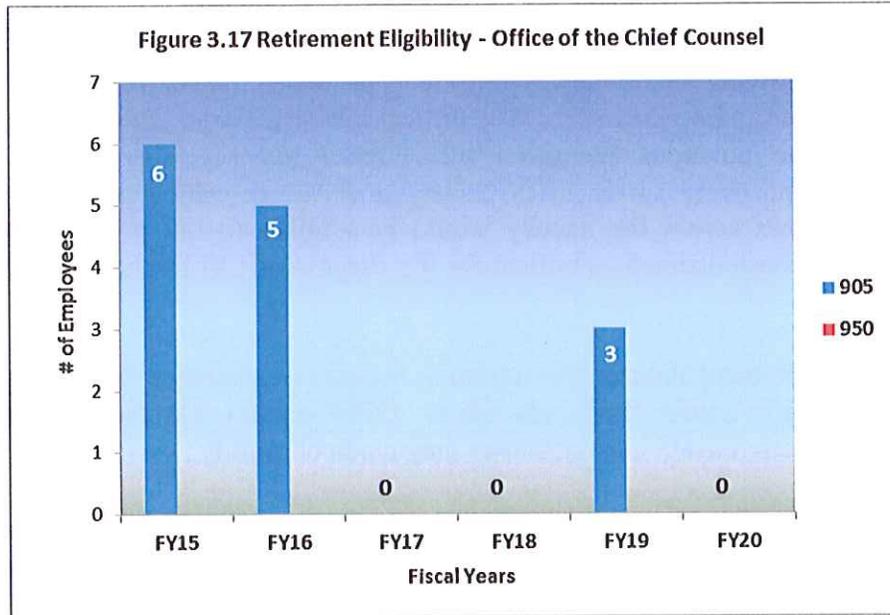
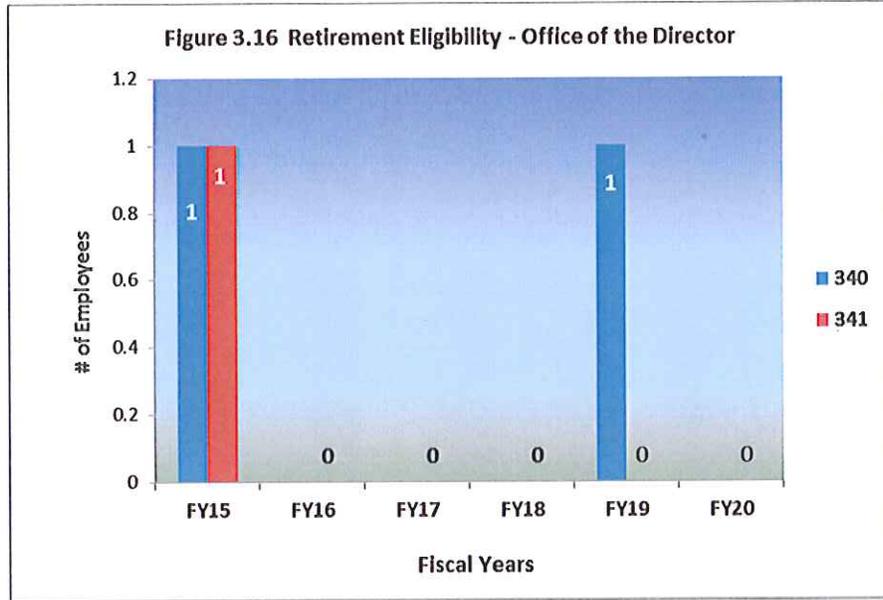


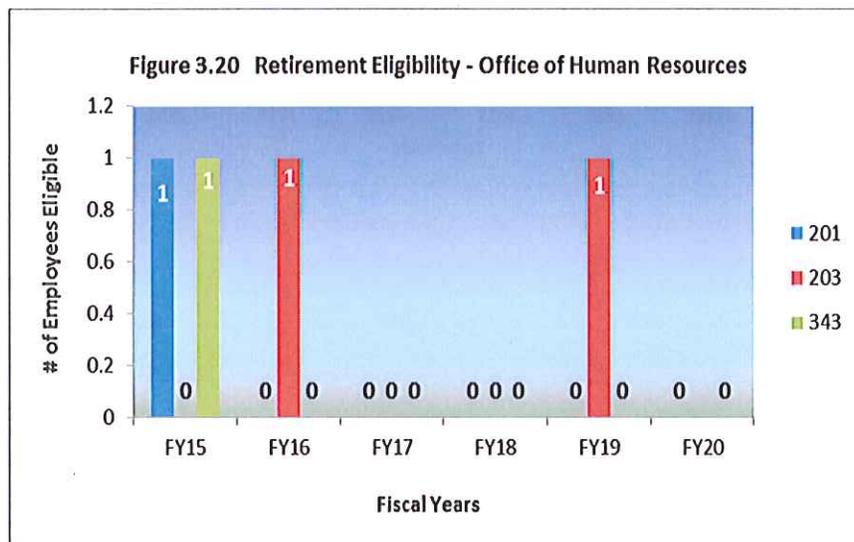
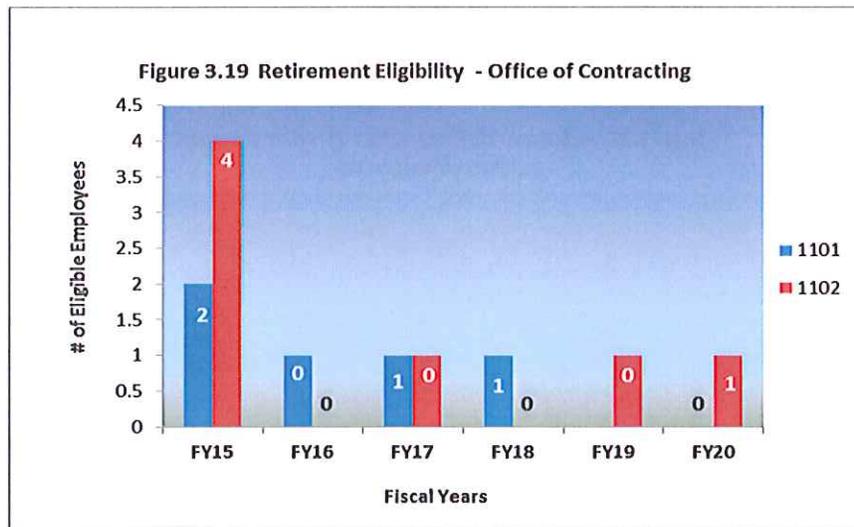
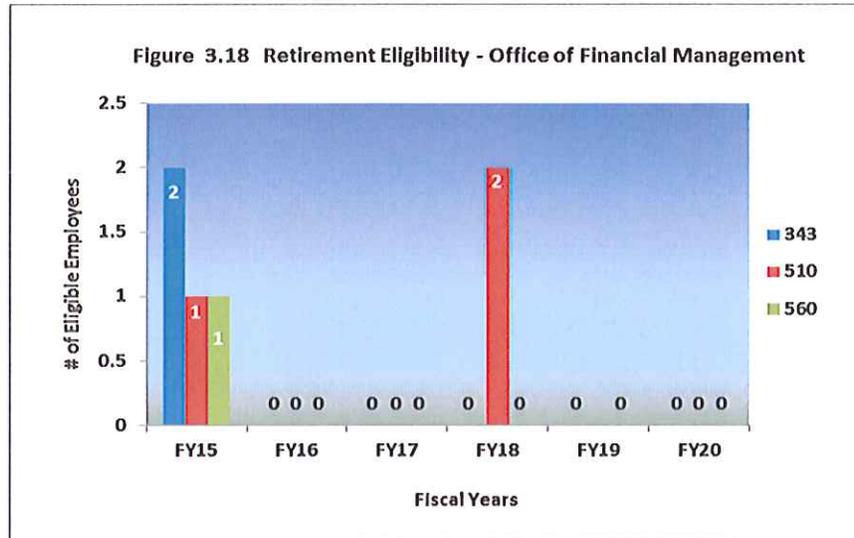
### *Retirement Eligibility by Department*

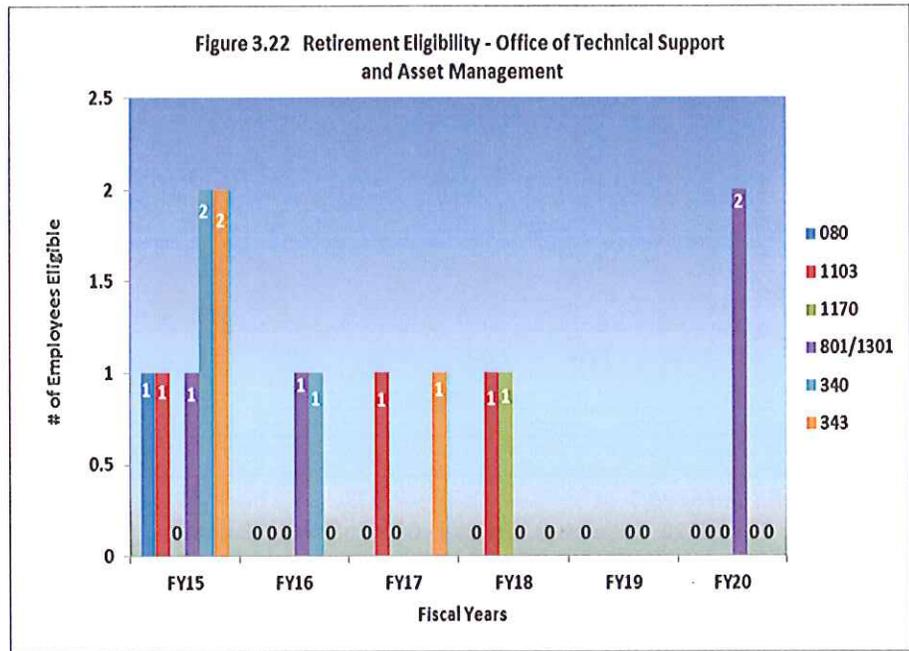
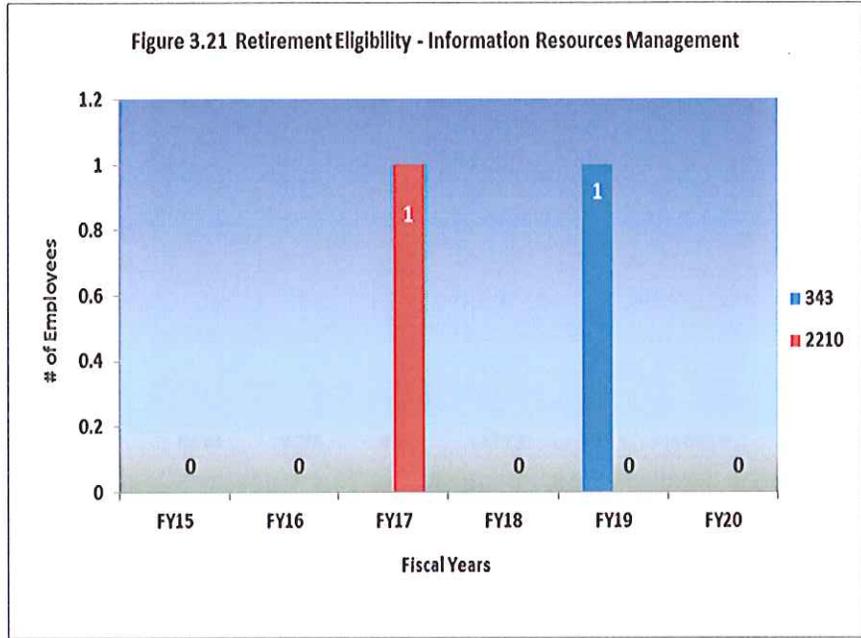
The following charts depict projected FY 2015 - FY2020 retirements by critical job series and organization. The critical job series were determined in accordance with the positions identified by DOE in its Mission Critical Occupations statement (801, 1102, 1301, 2210), a series in which 50% or more of the employees across the agency would be eligible to retire by the end of FY20, and/or those deemed as critical for the success of EM by the Senior Management Team.

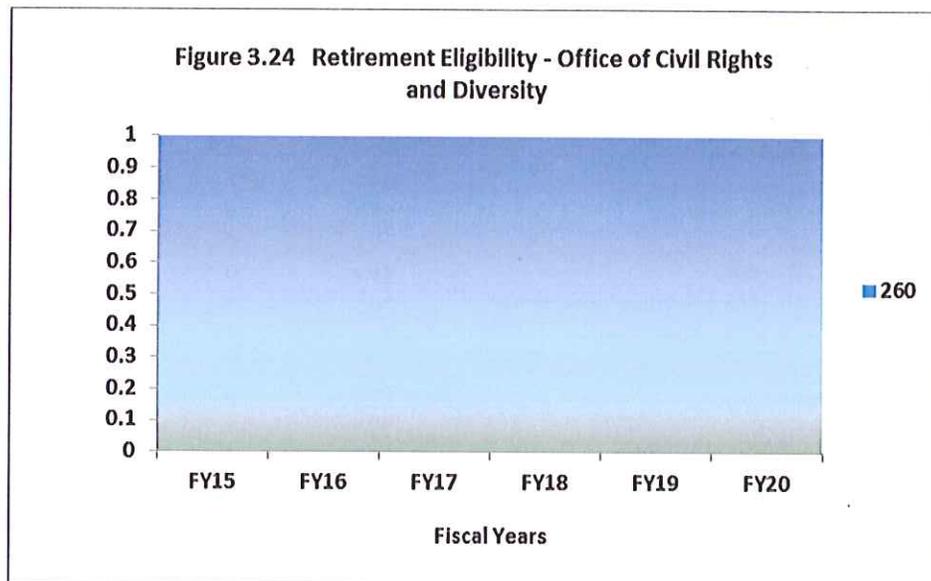
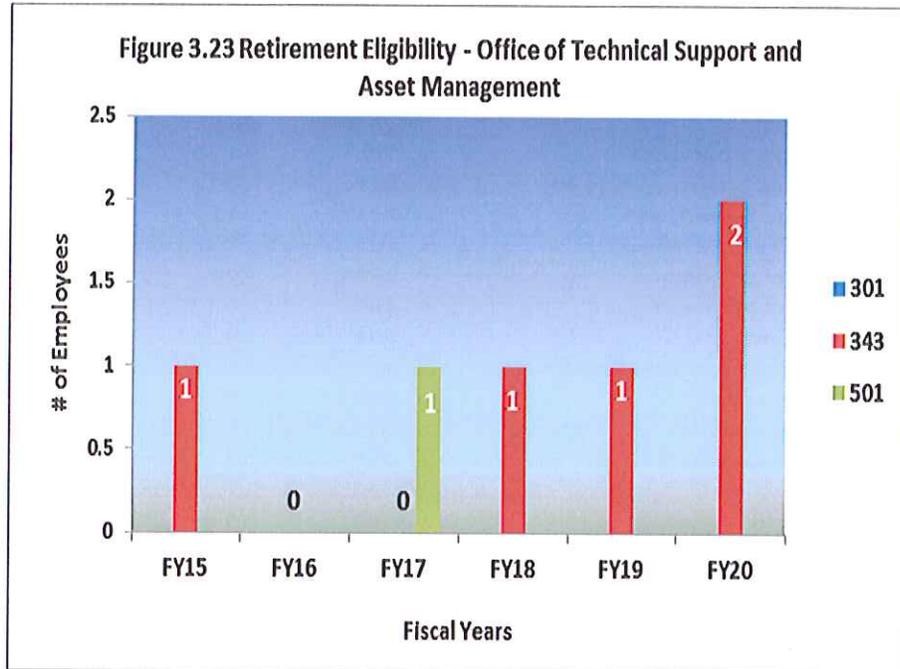
The retirement data in this report is based on employee “eligibility” dates, not necessarily actual retirement dates. OPM reports that the majority of federal employees retire 3 – 4 years after they reach eligibility.

*(For specific information on the methodology involved in determining retirement dates see Attachment C - Computation of Retirement Eligibility.)*









(NOTE: There are no employees eligible for retirement during the 2015 – 2020 reporting period)

The following Figure 3.25 depicts the number of EMCBC employees in all occupations who will be eligible to retire by the end of FY20. As previously depicted, 76 EMCBC and Small Site employees, representing 43% of the current workforce, will be eligible to retire by the end of FY20. Maintaining critical competencies in the identified key occupations (*see table on page 27*) supports the need for continuing utilization of entry-level and other strategies to effectively recruit and retain high quality talent in the EMCBC and Small Site workforce.

Figure 3.25 EMCBC Projected Retirements by Position Title and Job Series 2015 - 2020

Position Titles	Job Series	# Empl Ret Elig	Total # in Series	% Losses
Personnel Security Specialist	80	1	2	50%
Human Resource Officer	201	0	1	0%
Human Resources Specialist	201	1	7	14%
Human Resources Assistant	203	2	2	100%
Equal Employment Specialist	260	0	2	0%
Equal Employment Manager	260	0	1	0%
Executive Assistant	301	0	1	0%
Emergency Management Specialist	89	1	1	100%
General Cost Estimator	301	0	4	0%
Management Specialist	301	0	0	0%
Secretary (Office Automation)	318	1	2	0%
Program Manager	340	3	3	100%
<b>Director, EMCBC *</b>	<b>340</b>	<b>1</b>	<b>1</b>	<b>100%</b>
Deputy Director, EMCBC	340	1	1	100%
Program Manager (Federal Project Director)	340	1	1	100%
Administrative Officer	341	1	1	100%
Program Analyst	343	12	19	63%
Logistics Management Officer	346	0	0	0%
Financial Technician	503	1	1	100%
Financial Manager	505	0	1	0%
Accountant	510	3	8	30%
Supervisory Accountant	510	1	1	100%
Accountant (Internal Review)	510	2	5	40%
Systems Accountant	510	1	1	100%
Accounting Technician	525	1	1	100%
Budget Analyst	560	2	7	29%
Supervisory Budget Analyst	560	0	0	100%
General Engineer	801	0	2	0%
General Engineer (QA)	801	0	1	0%
General Engineer (Facility Representative)	801	1	1	100%
General Engineer (Cost Engineer)	801	1	1	50%
Government Information Specialist (FOIA)	306	0	1	0%
Attorney-Advisor	905	9	13	69%
Chief Counsel	905	1	1	100%
Paralegal Specialist	950	0	2	0%
Acquisition Analyst	1101	0	1	0%
Acquisition Specialist	1101	2	3	66%
Contractor Industrial Relations Specialist	1101	2	2	100%
Supervisory Cost Estimating Analyst	1101	0	0	0%
Contract Specialist	1102	3	23	13%
Contract Price/Cost Analyst	1102	2	8	25%
Supervisory Procurement Analyst	1102	1	1	100%
Supervisory Contract Specialist	1102	0	2	0%
Industrial Property Management Specialist	1103	3	4	75%
Realty Specialist	1170	1	3	33%
Realty Officer	1170	0	0	0%
Physical Scientist	1301	2	2	100%
Information Technology Specialist	2210	1	2	50%

*These positions are considered "Mission Critical" for EMCBC*

*\* Director EMCBC - transferred to Savannah River after May 1, 2015*

Figure 3.26 illustrates Small Sites employees in all occupations who will be eligible to retire by the end of FY20. The largest in terms of employee base is the West Valley Demonstration Project. As of May 1, 2015, there were 25 employees working at these sites. By the end of FY20, 17 individuals will be eligible for retirement. The job series with the greatest number of potential losses is Physical Scientist at 4, followed by General Engineer at 3, and Program Manager with 2 employees eligible to retire by the end of FY20. Note that although the Small Sites now report into and are included in the overall EMCBC Full time equivalent (FTE) count, for the purpose of planning here, they are analyzed separately from the EMCBC.

Figure 3.26 Small Sites Total Projected Retirements by Position Title & Job Series FY2015 - FY2020				
Position Titles	Job Series	# Empl Ret Elig	Total # in Series	%Losses
*Program Support Specialist	0301	0	0	0%
Records Coordinator	0303	1	1	100%
*Secretary (Office Automation)	0318	0	0	0%
Program Manager (Federal Project Director)	0340	2	2	100%
Program Manager	0340	1	2	50%
Director, West Valley Demonstration Project	0340	1	1	100%
Administrative Officer	0341	0	0	0%
Program Analyst	0343	2	3	67%
Industrial Hygienist	0690	2	2	100%
General Engineer	0801	3	6	50%
Physical Scientist	1301	2	8	25%
Health Physicist	1306	0	0	0%

#### 4. SUPPLY, DEMAND, AND GAP ANALYSIS

The most vital component of EMCBC and Small Site’s human capital management efforts is the ability to ascertain which critical skill sets are needed today and in the future (up to 5 years) to meet mission requirements. The EMCBC and Small Sites conduct skill gap assessments on an ongoing basis to ensure that any skills gaps are addressed in an effective manner.

##### *FTE Gaps*

The following chart below depicts an analysis of the projected supply and demand of the EMCBC and Small Sites workforce for the period from FY15 through FY20. As of May 1, 2015, the EMCBC and Small Sites had 175 positions filled.

The current demand of 169 for EMCBC is based on the authorized FTE workforce level to accomplish the current mission. The charts do not depict the effect of reorganization of the Human Resources functions creating Shared Service Centers, the first of which is to be located within EMCBC facilities in Cincinnati. The reorganization will remove a number of FTEs from CBC realigning them reporting directly under the DOE Human Capital Office. The reorganization is to become effective in October 2015, but it remains uncertain as to the exact number of Human Resources FTEs that will remain under CBC.

The calculation for the Small Sites uses a demand of 32 which includes the addition of two hires under the Recent Graduates Program.

The charts below show the FTE “Demand” remaining level from FY15 – FY20 for budgeting purposes. Meanwhile, the level of “Supply” decreases, based on the cumulative number of projected retirements.

**Figure 4.1 EMCBC Gap Analysis FY15 - FY20**

	FY15	FY16	FY17	FY18	FY19	FY20
<b>Demand</b>	169	169	169	169	169	169
<b>Projected Supply</b>	137	132	130	122	117	110
<b>Projected Gaps</b>	32	37	39	47	52	59

Figure 4.1a Small Sites Gap Analysis FY15 - FY20

	FY15	FY16	FY17	FY18	FY19	FY20
Demand	32	32	32	32	32	32
Projected Supply	25	23	22	21	20	15
Projected Gaps	7	9	10	11	12	17

Figure 4.1b Combined EMCBC and Small Sites Gap Analysis FY15 - FY20

	FY15	FY16	FY17	FY18	FY19	FY20
Demand	201	201	201	201	201	201
Projected Supply	162	155	152	143	137	125
Projected Gaps	39	46	49	58	64	76

In the long term, EMCBC and Small Sites' future skills mix will still depend on knowledge transfer and succession planning to leverage the imbalance in mission critical occupations. This gap will decrease as the workforce matures and knowledge transfer is accomplished through succession planning and other developmental programs. Creative initiatives must be used to obtain technical skill sets and to address workforce requirements in the future.

It is important to note that there are no “surplus” positions at EMCBC or any of the Small Sites it supports.

### *Gaps by Organization*

Figure 4.2 shows the projected FTE supply and gap by EMCBC organization for FY15. The total height of each bar indicates the FTE demand for the organization. The organizations with the largest demand is Office of Contracting a 44 FTE, followed by the Technical Support and Asset Management (OTS&AM) with 36, Office of Financial Management (OFM) at 24 FTE, the Office of Cost Estimating and Project Management Support with 21, the Office of Legal Services at 19 FTE, and the Office of Human Resources (OHR) with a demand of 13.

**NOTE:** With the anticipated stand-up of the Shared Service Center in Cincinnati, OH, in October 2015, the Office of Human Resources will change its name to the Human Resources Advisory Office. Additionally, some of the current FTEs will no longer be a part of EMCBC but will be transferred to a direct reporting relationship with the DOE Office of Human Capital. This will also alter the “demand” calculations from October 2015 forward. Those exact numbers are not yet available.

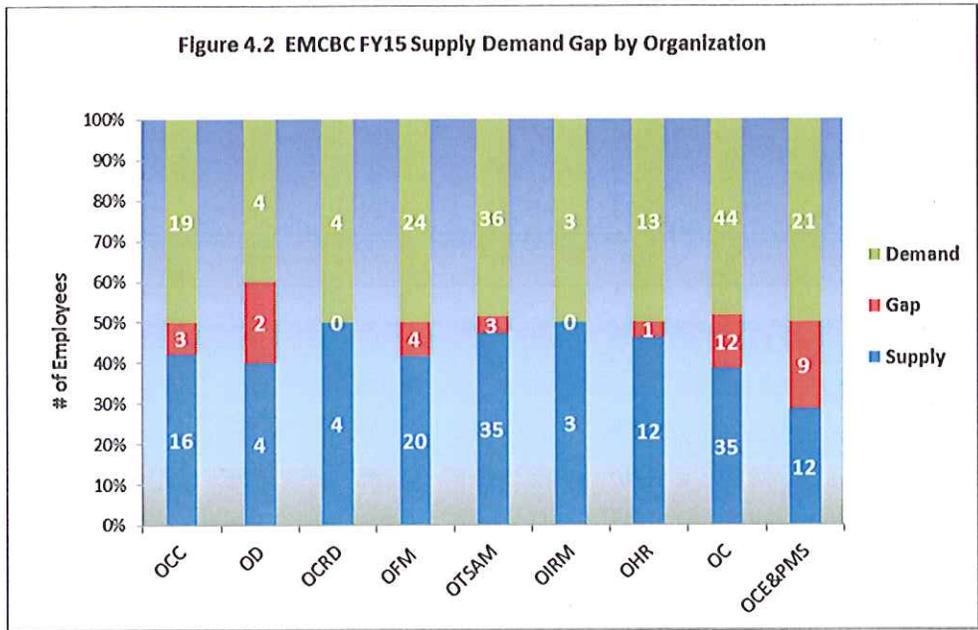


Figure 4.3 shows the total projected FTE supply and gap by organization by FY20. The Office of Contracting (OC) and the Office of Cost Estimating and Project Management Support are projected to have the greatest number of losses due to retirement.

*It should be noted that the changes to come in late 2015 to the Office of Human Resources are not reflected in either chart since the exact impact has not yet been finalized.*

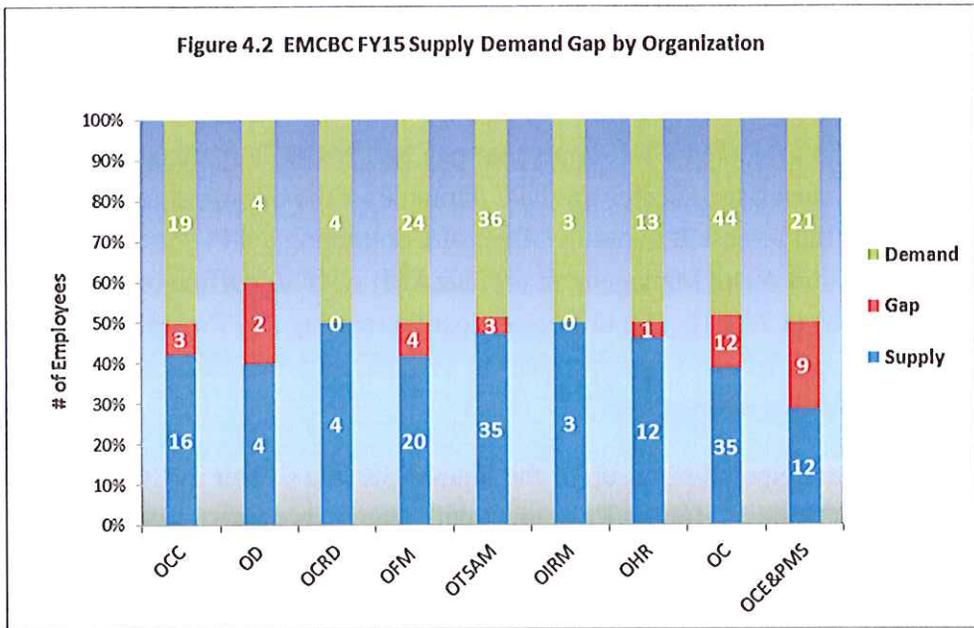
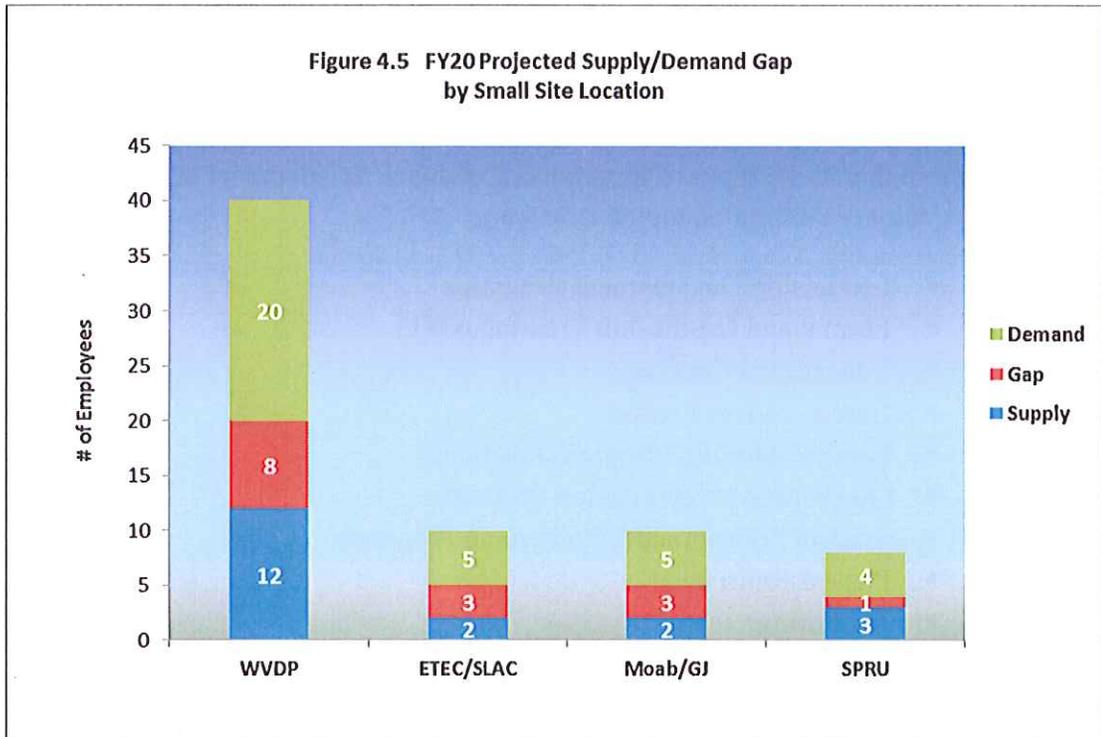
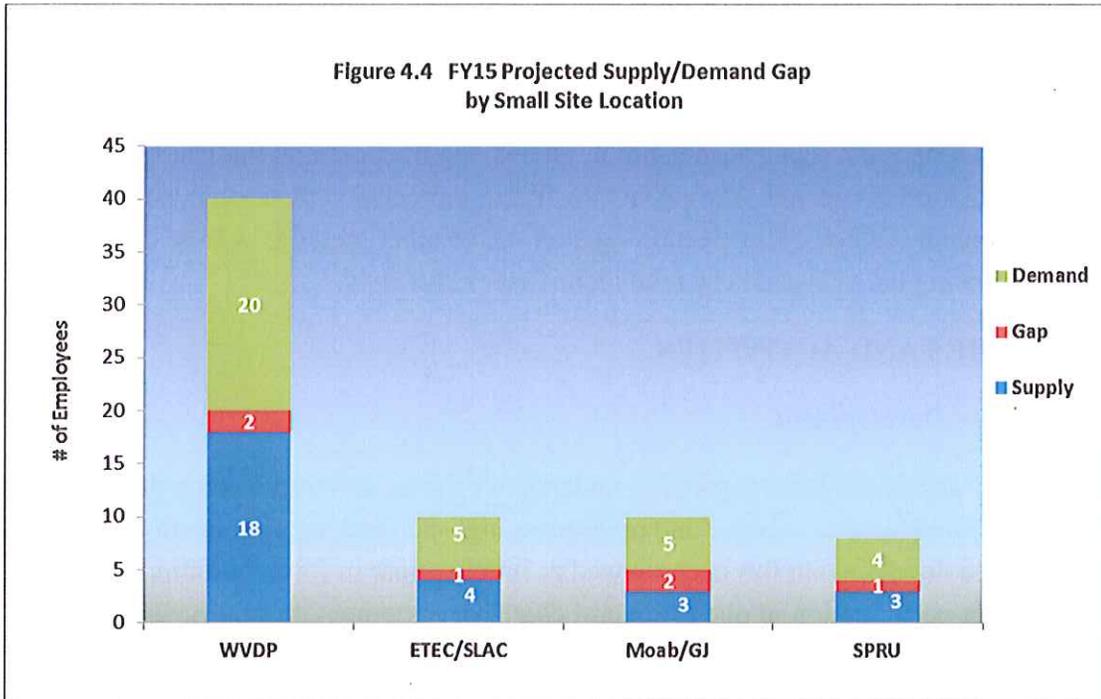


Figure 4.4 shows the projected FTE supply and gap for each Small Sites location for FY15,

while Figure 4.5 shows the total projected FTE supply and gap by FY20.



## 5. FINDINGS

Based upon the projected retirements in *Sections 3 and 4* the EMCBC and Small Sites could see as many 99 vacancies due to retirements through FY20. In order for the EMCBC and the Small Sites to retain critical knowledge, several key programs will be implemented. The EMCBC Succession Plan will assist senior leadership in identifying the potential knowledge and/or skill gaps before a position is vacated. Provisions for filling projected gaps through consideration of standard recruitment methods, formal training, and use of other methods will be crucial. Other strategies for closing the projected gaps are identified in *Section 6*.

## 6. STRATEGIES AND ACTIVITIES

### *Employee Development*

EMCBC and Small Sites leadership understands the need for enhancing the skills of the existing workforce to achieve and maintain a high-performing organization. Historically, employee development has been viewed as involvement in formal training classes or employee participation in one of several career development programs, such as U.S. Department of Agriculture Graduate School's Aspiring Leader Program, New Leader Program, Women's Executive Leadership Program, and Executive Potential Program, or OPM's Executive Leadership Program. These programs provide high-potential GS-05 to GS-15 level employees with training and developmental opportunities to facilitate exposure to and achievement of team leader or supervisory competencies. Specific grade levels are tied to each of the programs. However, effective employee development involves more than these types of programs. Employee development activities may encompass, but are not limited to, the following:

- Leadership Development Programs
- Formal and On-the-Job Training (OJT)
- Educational Courses
- Career-Ladder Positions
- Upward Mobility Program Positions
- Qualification/Certification Programs
- Student Educational Employment Programs
- Phased-Retirement
- Mentoring

### *Formal and On-The-Job Training (OJT)*

Formal training involves attendance at classroom training that is offered on-site or off-site, with or without tuition and/or travel costs. Formal training must be conducted by a qualified instructor and typically requires validation that the transfer of learning from the

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instructor to the students has occurred. On-the-Job Training involves employees actually performing the work under the tutelage of a supervisor and/or subject-matter expert.

### ***Educational Courses***

EMCBC and Small Sites' employees are eligible to attend college courses and receive tuition reimbursement for courses that support the needs of their assigned position and organization. The colleges and universities must be accredited by a nationally acclaimed body that is recognized by the U.S. Department of Education. The selection of employees for an academic degree training program must follow the requirements of Federal and DOE training guidelines.

### ***Career Ladder Positions***

A career ladder consists of all positions the grades of which range from the lowest level at which an employee may be hired as a trainee, up to the journeyman grade level, also known as the full performance level. It is the normal grade progression through which an employee may advance noncompetitively to reach the full-performance level (top grade of the career ladder) of a particular job. Career ladder positions may be established for one- or two-grade interval positions, depending on the occupation. Career Ladder positions provide progressively more responsible experience and non-competitive promotion potential for incumbents up to the designated full-performance level, provided that performance is at an acceptable level. EMCBC has placed a renewed emphasis on backfilling vacancies with career-ladder positions to allow for bringing new talent into the organization.

### ***Upward Mobility Program Positions***

Upward Mobility Program positions provide and improve career opportunities for those employees who have demonstrated high potential and interest, but lack specific qualifications for assignment to certain career fields, or positions that will extend their career opportunities. Employees selected for Upward Mobility positions are assigned to trainee positions which will enable them, through experience, assignments, and selected job-related training courses, to progress from one position, or occupational series, to another which offers greater career potential. In recent years, EMCBC has placed an emphasis on filling open positions through the Upward Mobility Program.

### ***DOE, EM, and EMCBC Career Intern Programs***

The DOE Career Intern, the EMCBC Career Intern Programs (CIP), and the EM Profession Development Corp (EMPDC), were discontinued effective March 1, 2011, by Executive Order 13562 – “Recruiting and Hiring Students and Recent Graduates,” signed by President Barack Obama on December 27, 2010. EO 13562 established Pathways, a

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comprehensive structure to help the Federal government be more competitive in recruiting and hiring talented individuals who are still in school or who have recently received a degree. EMCBC and the Small Sites plan began hiring new employees under the Recent Graduates program in FY15. Two positions have been filled in spring of 2015 with Recent Graduates. There are currently no plans for additional hires under the program in the near future.

### ***Mentoring***

Mentoring is an expectation and part of the culture at the EMCBC. Assistant Directors and senior employees such as supervisors, managers and Team Leaders are expected to share their experience and knowledge to support the education and development of junior employees. This will ensure there are employees prepared to accept more responsibility. A mentor usually holds a higher position and may or may not be in the employee's chain of supervision. Supervisors are expected to provide continual mentoring, coaching and guidance in their leadership role on a daily basis. Mentor and protégé relationships are expected and encouraged at the EMCBC to ensure the development of talented and skilled staff, to retrain and prepare individuals for a new job or function, and/or to assimilate new individuals into the EMCBC by educating them about the norms, culture, and politics of the organization.

In August of 2011 EMCBC launched the formal Department of Energy Mentoring Program with several employees volunteering to be Mentors. In May, 2013, the EMCBC Mentoring Program was expanded to offer one-time *Flash Mentoring* sessions.

### ***Qualification/Certification Programs***

The following sections discuss additional employee development programs utilized to ensure sufficient emphasis on safety, project management and contracting within the covered career fields. Some of the key qualification and certification programs, including safety-based qualification programs, and project management and acquisition-related certification programs are explained below.

#### ***Federal Technical Capabilities Panel and Technical Standards Program (FTCP)***

Safety is a key component in all EMCBC and Small Sites' activities. The Department of Energy is committed to developing and maintaining a technically competent workforce to accomplish its missions in a safe and efficient manner. The Federal Technical Capability Program (FTCP) provides for the recruitment, deployment, development, and retention of Federal personnel with the demonstrated technical capability to safely accomplish the Department's mission

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and responsibilities. The principles of the FTCP are the following: Federal personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their safety responsibilities; Line managers are accountable and have the responsibility, authority, and flexibility to achieve and maintain technical excellence; supporting organizations (personnel, training, contracts, finance, etc.) recognize line managers as customers and effectively support them in achieving and maintaining technical capabilities; and an integrated corporate approach is required to assure that necessary technical capabilities and resources are available to meet the overall needs of the Department's defense nuclear facility missions. The FTCP and DOE Approved Technical Standards Program sets forth the requirements for the DOE Technical Qualifications Program (TQP).

### ***Technical Qualifications Program (TQP)***

The DOE TQP is a process to objectively determine that individuals performing activities related to the technical support, management, oversight, or operation of nuclear, radiological and industrial facilities possess the necessary competencies to safely perform their assigned duties and responsibilities. The TQP Program has been designated as mandatory for positions such as Senior Technical Safety Manager, Facility Representative, Quality Assurance, Radiation Protection and Emergency Management, while it remains voluntary for other technical staff. EMCBC's TQP has provided its technical staff with the ability to effectively provide assistance, guidance, direction, oversight and evaluation of contractor activities that could affect the safe operations of a nuclear, radiological or industrial facility, or to other employees with similar functions at a non-defense nuclear facility.

### ***Project Management Career Development Program (PMCDP) Certification Program***

On January 17, 2001, the Deputy Secretary of Energy directed DOE to establish the DOE Project Management Career Development Program (PMCDP). The DOE PMCDP encompasses a wide range of developmental, training, mentoring and rotational activities leading to FPD certification. All knowledge, skill and ability (KSA) requirements for each level of certification are competency based, and applicants must demonstrate proficiency against specific performance criteria that is linked to project complexity. The PMCDP is part of DOE's response to the GAO's criticism that DOE needs to commit adequate federal personnel to establish good contract management. DOE is currently assessing how its PMCDP-certified staff will gain certification under the recently-revised Office of Federal Procurement Policy (OFPP) Federal Acquisition Certification for

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Program and Project Managers (FAC-P/PM) program.

The EMCBC and Small Sites employ 5 Federal Project Directors (FPDs)/Deputy FPDs. Of these, 100% are fully certified to the level required under the DOE PMCDP. The EMCBC also has 8 employees certified under this program that are not currently assigned as an FPD at a site. The EMCBC has 6 Operations Activity Managers (OAMs) currently assigned to EM Small Sites who are responsible for managing EM work classified as Operations Activities (OA). EMCBC is preparing for a future demolition project at Brookhaven National Laboratory (BNL). A chimney must be brought down, which is preliminarily estimated at \$10M and multi-years. The planning start date is 2017.

#### ***Acquisition Career Management Program (ACMP)***

DOE certifies its contracting staff against the requirements set forth under the DOE Acquisition Career Management Program (ACMP). The ACMP is a career program established to provide a formal, structured approach to career development for DOE's acquisition workforce. The ACMP is designed to increase the efficiency of the acquisition workforce through competency-based training. Contracting professionals are certified under the Federal Acquisition Certification – Contracting (FAC-C) program at Levels I, II, and III. Certification under the FAC-C is mandatory at DOE. The ACMP Handbook, issued January 2009, spells out the required guidance for this program. Certification is based on education, experience, and training. The ACMP Handbook, issued April 2013, spells out the required guidance for this program. Certification is based on education, experience, and training. There are currently 53 EMCBC employees (EMCBC, PPPO, CBFO and EM-ORO) in the GS-1102 series. Forty-one (41) employees are certified at Level III, 5 employees are certified at Level II, and 2 employees are certified at Level I. Please note there are 6 new EMCBC 1102s who are currently actively pursuing certifications.

#### ***Personal Property Management Career Development Program (PPMCD)***

Consistent with the intent of Policy Letter 97-01, the Department of Energy (DOE) has identified personal property management as a critical acquisition-related career field. Accordingly, the DOE/National Nuclear Security Administration (NNSA) Personal Property Management Career Development (PPMCD) Program is a mandatory certification program.

The PPMCD Program has established three levels of training, each with a core curriculum of personal property management courses. The program will provide the opportunity for employees to apply course knowledge and skills to analyze

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and resolve on-the-job issues. Completion of core courses in a logical sequence is necessary so that the appropriate level of knowledge is available for performance at a particular level and that later courses can build on the knowledge gained from earlier courses.

Currently, there are 4 EMCBC employees in the 1103 series, comprised of the Team Leader/Organizational Property Management Officer along with three Personal Property Administrators. All four employees maintain the Program's Level III certification.

### ***Recruitment and Retention***

Over the next several years, the EMCBC and Small Sites leadership will continue to implement recruitment strategies that ensure a sufficient number of skilled and diverse employees are available to transition into critical skill positions as they become vacant. When recruiting externally, strategies will target Interagency Career Transition Assistance Program (ICTAP) employees in the local commuting area, if applicable, and surplus/displaced employees from EM sites. Consideration will also be given to employees of other DOE organizations and/or other Federal agencies and employees hired under special hiring authorities. When no candidates from ICTAP or closure sites have been identified, management is committed to utilizing recruitment strategies focusing on veterans, and hiring at the entry level, where appropriate, in all occupations. This strategy establishes a skills pipeline and targets recruitment of underrepresented groups through educational and outreach programs (i.e. Historically Black Colleges and Universities, Hispanic Serving Institutions, and community-based organizations) to meet projected needs.

Traditional recruitment methods, including internal recruitment under local Merit Promotion procedures, will continue to be utilized and the Merit System Principles will be applied. OPM and DOE flexibilities will be used as appropriate to remain competitive in recruiting and retaining technical skill sets.

*In view of critical gaps in such mission critical occupations such as Contract Specialists and Cost Estimators, EMCBC has implemented recruiting strategies under newly obtained Direct Hiring Authority to hire new employees in these occupational series beginning in the spring of 2014. This recruiting push continues in spring of 2015.*

In the wake of ongoing retirements, budget and sequestration limits on EMCBC's ability to maintain skilled employees, management has taken a proactive stance in closely monitoring employee satisfaction levels through the annual Employee Viewpoint Survey (EVS). This effort continues in FY15 and it is expected that the results of this effort should help solidify employee retention.

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SUMMARY AS OF MAY 1, 2015 EMCBC and Small Sites	
FTE Ceiling	201
Head Count	175
Desired Head Count	201
Supervisor to Employee Ratio	1:7.6
Average Grade of Workforce	13
Average Years of Service	17.9
% Workforce Eligible to Retire	22%
Mission Critical Occupations (MCO)	GS-801 General Engineer; GS-1301 Physical Scientist; GS-1102 Contract Specialist; GS-501/301 Cost Estimator; GS-2210 Information Technology Specialist.
Mission Status	Expanding in scope and depth of technical support; Volume of work has increased in areas such as Contracting and Cost Estimating, Staffing and Recruiting.
Conditions Relating to Mission Status	Unforeseen situations at sites (i.e. Carlsbad Field Office); expansion in scope of support to Los Alamos National Laboratory.
Strategies to Close Competency Gaps	Direct Hiring Authorities were used to address gaps in Cost Estimating and Contracts; FTEs have been moved to areas where gaps existed to more efficiently and effectively address mission needs. Training channels have been expanded to include web-based programs to expedite bringing new hires up to speed.
Recent Graduates Request	Two Recent Graduates have come onboard in April and May 2015; Sites are unsure as to the exact number of Recent Graduates will be hired beyond 2015.
Plans for New Hires and Graduates	Majority of hiring will be backfilling existing positions as retirements increase.
Challenges	Increased requests for support from sites.
Strategies to Address Challenges	EMCBC has 1) expanded both the Contracting and Cost-Estimating areas; 2) carefully managed workload to provide more resources for areas with the highest need; and 3) increased the emphasis and opportunity for leadership training.

# THE SUCCESSION PLAN 2015 – 2020

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## INTRODUCTION

Contained in this section are the results of the annual update to the U.S. Department of Energy (DOE), Environmental Management Consolidated Business Center (EMCBC) and Small Sites 2015 – 2020 Succession Plan. The objective of succession planning is to ensure that EMCBC and the Small Sites continue to operate effectively when individuals occupying critical positions depart. The primary focus is on assuring that appropriate bench strength is in place for replacing critical positions. For purposes of this assessment a critical position is defined as requiring an expert level incumbent.

The information in this plan was obtained from EMCBC and the Small Sites senior management, who were asked to validate information using the chart in the back of this plan labeled as *Attachment E - Succession Planning Worksheet Sample*. Information for each position was provided using the following categories:

- Potential to leave current position
- Position criticality
- Strategy for addressing skill gaps
- Succession priority
- Backup capability

In addition, each position is linked to specific products/services developed by the DOE Office of Environmental Management. This identifies the skill sets required for each position to perform assigned work.

EMCBC and the Small Sites participated in the EM Competency Management Initiative. Mission Critical Occupations (MCO) identified along with the competencies required for use in determining current and future gaps. EMCBC will continue using the information gained in the initiative to improve its efforts at Workforce and Succession planning efforts.

*(A listing of the values associated with each of the succession planning categories is provided in Attachment F - Succession Planning Worksheets Guidance/Key.)*

*(The standardized product/service list is provided in Attachment A – Products and Services.)*

EMCBC continues a pro-active approach to filling future competency gaps by continued communications with department heads to discuss in detail various strategies available in dealing with specific succession issues. An emphasis was placed on identifying and preparing future leaders, examining the possibility of restructuring positions and departments, backfilling open vacancies with career-ladder positions, recruiting targeted towards specific mission critical occupations, and the use of rotations and detail assignments. Each department now has a Succession Implementation Plan to be used as a tool in planning to meet its own unique needs for the future.

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## SUMMARY OF SUCCESSION PLAN RESULTS

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### POTENTIAL TO LEAVE CURRENT POSITION

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**Question:** What is the likelihood that an incumbent of a position will leave due to retirement, promotion, another job, long term detail, rotation assignments, etc.?

At the end of FY14 there were 37 employees eligible to retire. A total of 39 employees will be eligible for retirement by the end of FY15. This includes both EMCBC and the Small Sites. The potential for these employees to retire by the end of FY15 is expressed as follows:

- In FY15, 22% of employees are eligible to retire and 14, or 8%, are expected to leave.

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### POSITION CRITICALITY

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**Question:** What is the importance for a new incumbent to "hit the ground running" vs. being fully functional in 6-9 months? Could the position be filled with an entry/mid-level incumbent, or is an expert level incumbent required?

A position is considered critical if at least one of the following conditions exists:

- The position is a key contributor in achieving the organization's mission
- The position performs a critical task that would stop or hinder vital functions from being performed if it were left vacant (never filled)
- The position requires specialized or unique expertise (skill sets) that is difficult to replace
- The position is the only one of its kind in a particular location and it would be difficult for a similar position in another location to carry out its functions

Positions in the same occupational group are in danger of "knowledge drain" due to retirements or high turnover for a variety of reasons.

EMCBC and the Small Sites combined, identified approximately 40% of their positions as being critical (expert level), 32% as important (journey level), and only 28% of the positions as normal (entry/midlevel).

This is representative of the current grade structure of the workforce; however, upon review of the 70 positions identified by EMCBC and Small Sites as critical, 3 (6% of the total critical positions) are shown as potentially being vacated within one year. An additional 19 critical positions (27%) are shown as potentially being vacated within three years. A detailed listing of the critical positions is provided on page 49 in the chart titled "*Critical Positions with Potential to Leave in 1 – 3 Years*".

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## STRATEGY FOR ADDRESSING SKILL GAPS

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**Definition:** What is the most likely strategy for ensuring this position is filled with a qualified and skilled incumbent?

Position Management, recruitment and development are the most common strategies identified for addressing skill gaps.

*Position Management and Realigning Resources:* As projects approach the end of their life cycle, management will need to collaborate with HR Classifiers, assess the position requirements and determine where positions can be utilized within the organization to fill gaps. This will help the areas that show a high gap percentage. HR has developed an analysis tool to assist management in determining the best course of action for a vacant position. EMCBC senior management established a *Position Management Council* to ensure authorized positions are aligned to the mission, used efficiently, effectively, and economically.

*Recruitment:* When using recruitment to address skill gaps, EMCBC and Small Sites managers will collaborate with the HR Staffing Specialist to determine the best recruitment strategy. A recommended strategy would be the creation of a Comprehensive Recruitment Plan with numerous resources to assist in the recruitment process that can be used to reach out and attract diverse candidates. This plan would be updated yearly to ensure it remains current with hiring initiatives, organizational needs and recruitment strategies.

*Development:* EMCBC and the Small Sites have a proactive development strategy as a part of HR's proactive succession monitoring effort. This effort includes a review of positions identified as Important - Journey Level and a recommendation of which positions are natural progressions into the Critical - Expert Level positions; Individual Development Plans (IDPs) which involve a variety of learning options (i.e., formal development programs, subject matter classes, on-line training, etc.) for employees to grow into the expert level positions as they become vacated. The same strategy would apply to those in Normal - Entry/Mid-Level positions and their progression to compete and apply for Important - Journey Level positions.

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## SUCCESSION PRIORITY

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**Definition:** If all the positions in your organization were vacant, how would you set the priority for closing the gaps?

Management identified 40% of their positions as having critical succession priority; 32% as important; and 28% as normal (see page 50). Last year's succession plan was based on 175 encumbered positions; FY15's plan is also based on 175 encumbered positions. The number has remained level in spite of an increase in retirements because of the aggressive recruiting in mission critical positions.

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## BACKUP CAPABILITY

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**Definition:** If the position becomes vacant, to what degree do you have existing backup

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capability to ensure the essential work continues to get done?

On page 50, managers identified 80% of their positions as having partial backup capability, meaning there is short-term coverage available. Only 5% of the positions have full backup capability, while 15% were identified as having no backup capability.

A set of charts summarizing the combined EMCBC and Small Sites succession planning information begins on page 46. Page 49 contains a summary by product/service highlighting the specific areas where there are potential gaps in the next 1-3 years and identifies those positions that are Critical.

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### NEXT STEPS

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The FY14-FY19 Succession Plan provided critical information and was used to make key staffing decisions during FY14 - FY15 involving:

- Restructuring opportunities for positions vacated through retirement or other means;
- Placing some vacant positions in a “hold” status until a future date when total organization FTE’s warrant filling;
- Implementation of a proactive department-by-department succession planning effort;
- Use of the Upward Mobility Program to backfill positions;
- Backfilling of vacant positions with Career-Ladder positions;
- Continuation of a “competed” Leadership Development” Program to provide a pool of future leaders.
- Using “Direct Hire Authority” to fill gaps in mission critical positions such as Contract Specialist and Cost Estimators.

It is recommended that the information in this plan continue to be used for these and other staffing decisions during the remainder of FY15 and into the future. EMCBC and Small Sites are encouraged to partner with HR to review and better define their workforce needs and develop plans for meeting current and future position management and staffing needs.

New Full Time Equivalent ceilings and budget restrictions have resulted in a renewed emphasis on ensuring existing qualified staff within Environmental Management (EM) is considered for positions before going outside of EM to fill positions and exemption requests are required. Ongoing evaluation and adjustments are vital to effective succession planning. Although the Succession Plan covers a five-year period, progress will be monitored, reviewed, and updated annually.

While critical staffing needs will occur, the majority of the EMCBC management has determined to maximize opportunities for training and developing existing human resources, utilizing contracting services, and backfilling with existing EM employees through Merit Promotion over the next fiscal year.

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# SUCCESSION PLAN RESULTS 2015 - 2020

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## POTENTIAL TO LEAVE CURRENT POSITION

### *Results by Organization*

Total Employees = 175 (as of 5/1/2015)

Vacancy Potential						
Organization	Total Population	Expected to Leave within 1 Year	Expected to Leave in >1 Year to 3	Expected to Leave in >3 to 5 Years	Expected to Leave in >5 Years	Current Vacancy
OD	4	1	1	1	1	0
OCRD	4	0	0	1	4	0
IRM	3	0	1	0	2	0
OFM	20	1	7	2	9	4
OHR	11	0	2	2	7	2
OCC	16	0	4	3	9	3
OC	42	3	5	2	31	2
OTSAM	37	12	7	7	11	7
OCEPMS	13	0	4	5	4	9
SS	25	3	6	4	13	6
<b>Totals</b>	<b>175</b>	<b>20</b>	<b>37</b>	<b>27</b>	<b>91</b>	<b>33</b>

#### LEGEND

OD - Office of the Director

OCRD - Office of Civil Rights and Diversity

IRM - Information Management

OFM - Office of Financial Management

OHR - Office of Human Resources

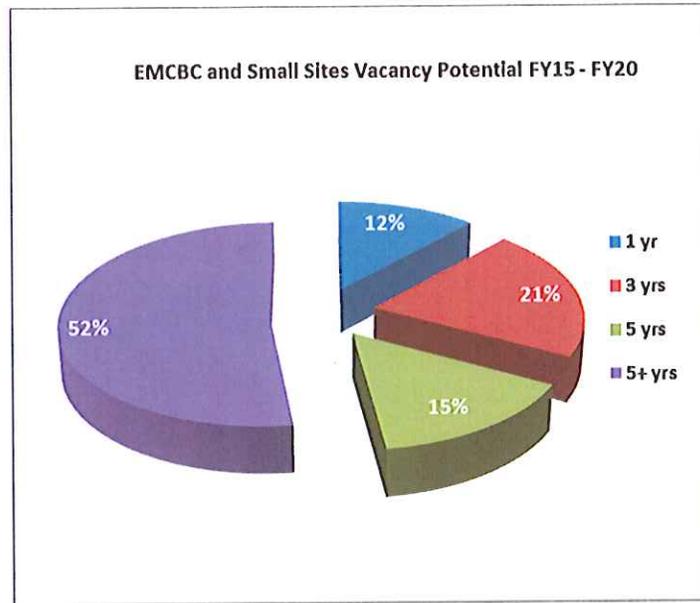
OCC - Office of Chief Counsel

OC - Office of Contracts

OTSAM - Office of Technical Support and Asset Management

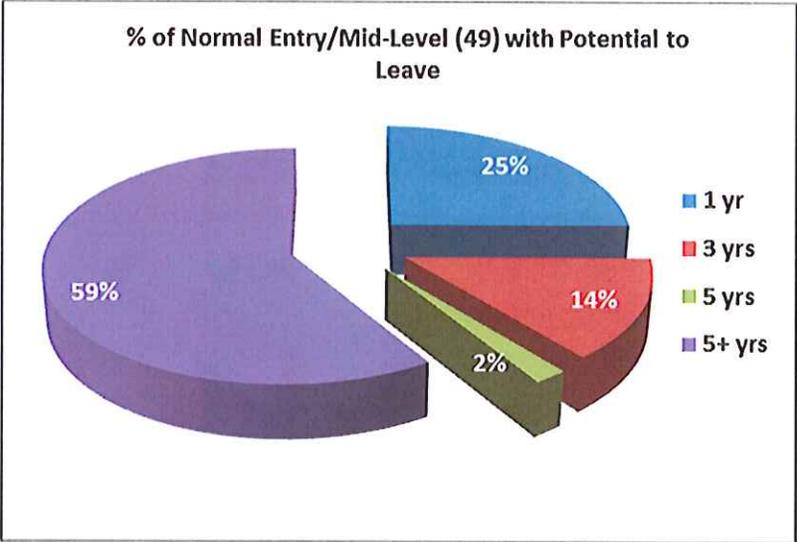
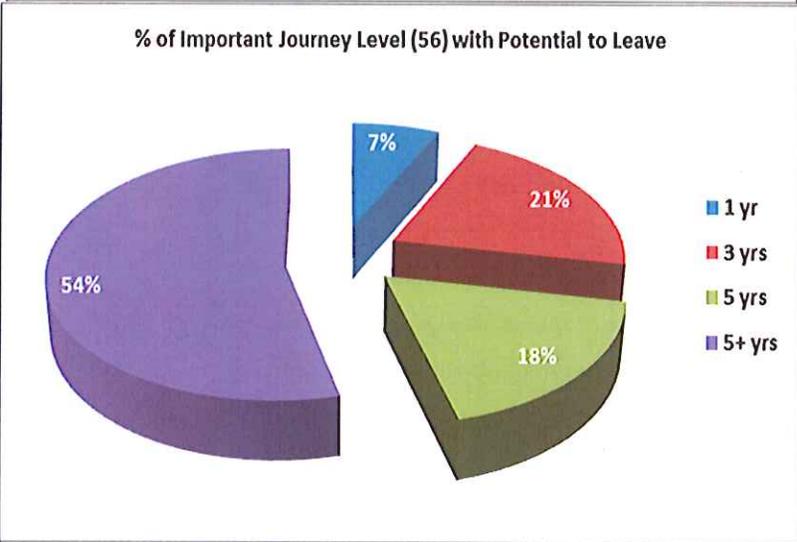
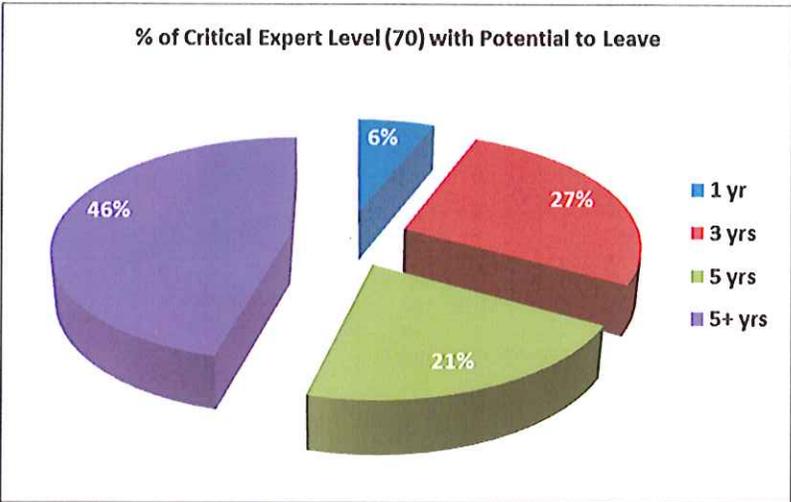
OCEPMS - Office of Cost Estimating and Project Management Support

SS - Small Sites



**POSITION CRITICALITY/ POTENTIAL TO LEAVE**

Position Criticality					
Organization	Total Population	Critical - Expert Level	Important - Journey Level	Normal - Entry/Mid-Level	Current Vacancy
OD	4	2	2	0	0
OCRD	4	2	1	1	0
IRM	3	2	1	0	0
OFM	20	4	8	8	4
OHR	11	7	3	1	2
OCC	16	7	7	2	3
OC	42	16	8	17	2
OTSAM	37	12	9	16	7
OCEPMS	13	7	5	1	9
SS	25	11	12	3	6
<b>Totals</b>	<b>175</b>	<b>70</b>	<b>56</b>	<b>49</b>	<b>33</b>



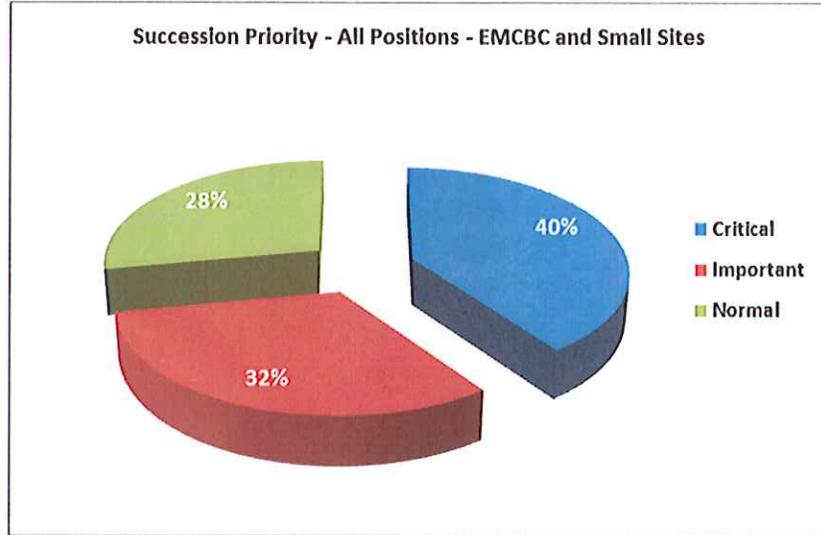
Critical Positions with Potential to Leave in 1 - 3 Years
1.14.02 Information Security (classified)
1.12 Project Control
1.10.02 Federal Human Resources
1.11 Legal Support
1.11.02 Contract Law
1.11.01 General Legal Support
1.02.01 Assessment
1.02 Auditing
1.09.01 General Financial Mgmt
1.09.05 Accounting
1.02 Auditing
1.09.03 Budget Formulation
1.08.19 Operations Safety
1.15.06 Technical Contract Oversight
1.18.01 General Facility Engineering
1.06.07 Property Management
1.08.24 Facility Oversight
1.12.06 Project Integration
1.17.03 Program Oversight
1.08.19 Operations Safety
1.03.01 Strategic Planning
1.06.01 Contract Administration
1.06.11 Acquisition Policy
1.13.01 Contract Execution Oversight (COR)
1.12.05 Planning/Scheduling
1.12.02 Baseline Management
1.13.02 Federal Project Director
1.16.01 General Construction Mgmt
1.08.17 Nuclear Safety
1.08.13 Industrial Hygiene
1.03.03 Management Analysis

*(See Attachment A - Products and Services on page 53 for complete listing)*

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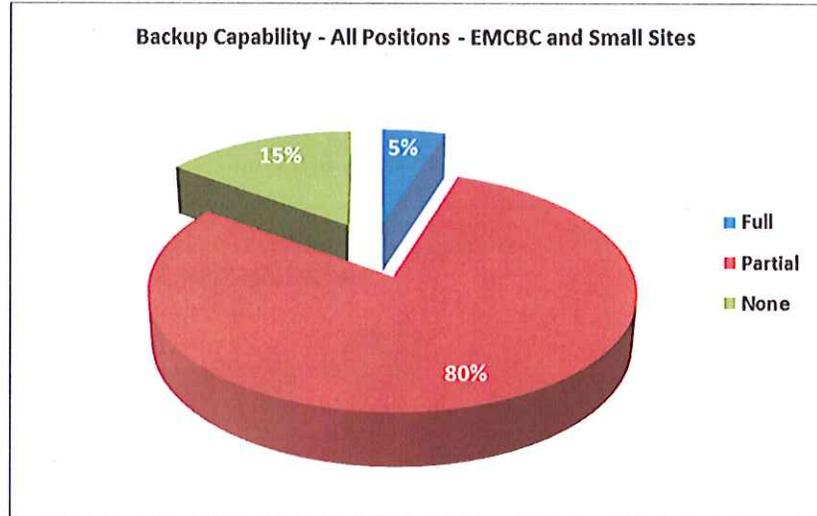
### SUCCESSION PRIORITY OF ALL POSITIONS

Succession Priority		
Critical	70	40%
Important	56	32%
Normal	49	28%



### BACKUP CAPABILITY OF ALL POSITIONS

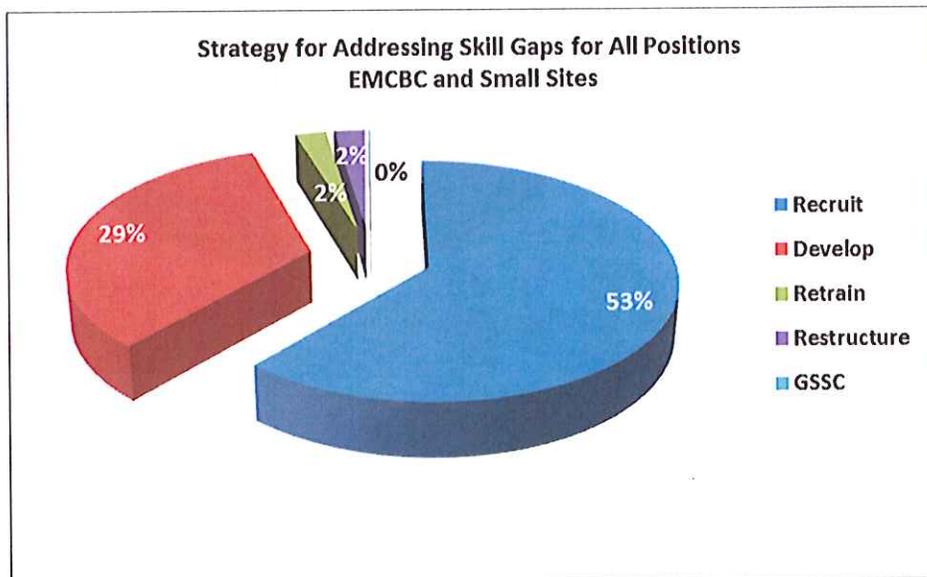
Backup Capability		
Full	8	5%
Partial	140	80%
None	27	15%



Critical Positions with No Backup
1.10.01 EEO/Diversity
1.02.02 Independent Oversight
1.15.05 Quality Assurance
1.18.01 General Facility Engineering
1.06.07 Property Management
1.07.06 NEPA
1.10 Human Resources
1.06.11 Acquisition Policy
1.17.03 Program Oversight
1.02.01 Assessment
1.13.02 Federal Project Director
1.12.02 Baseline Management
1.06.06 Performance Incentives

### STRATEGY FOR ADDRESSING SKILL GAPS

Strategy for Addressing Skill Gap for All Positions										
	OD	OCRD	IRM	OFM	OHR	OCC	OC	OTSAM	OCEPMS	SS
Recruit	0	3	3	10	7	8	20	25	8	8
Develop	4	1	0	10	2	5	20	3	4	4
Retrain	0	0	0	0	0	0	1	0	0	3
Restructure	0	0	0	0	2	0	0	1	0	1
GSSC	0	0	0	0	0	0	0	0	0	1



# *ATTACHMENTS*

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## Attachment A - Products and Services (aka competencies)

EM PRODUCT AND SERVICE LIST		
<b>1.0 Administrative Services</b>	<b>8.0 Safety</b>	<b>15.0 Technical Support</b>
1.1 Administrative Support	8.1 General Safety Management	15.1 General Technical Support
1.2 Clerical Support	8.2 Nuclear Safety	15.2 Engineering Disciplines
1.3 Business Services and Category	8.3 Non-Nuclear Safety	15.3 Quality Assurance
<b>2.0 Auditing</b>	8.4 Industrial Hygiene	15.4 Technical Program Management
<b>3.0 Business Analysis</b>	8.5 Facility Oversight	Disposition
3.1 Strategic Planning	<b>9.0 Financial Management</b>	15.6 Technical Project Support
3.2 Program Management & Analysis	9.1 General Financial Management	<b>16.0 Construction Management</b>
3.3 Management Analysis	9.2 Budget	<b>17.0 Management/Supervision</b>
3.4 Records Management	9.5 Accounting	17.1 Leadership/Supervision
<b>4.0 Information Technology</b>	<b>10.0 Human Resources</b>	17.2 Building Coalitions/Communications
<b>5.0 Public Affairs &amp; Public Participation</b>	<b>11.0 Legal Support</b>	17.3 Program Oversight
<b>6.0 Contracting</b>	<b>12.0 Project Control</b>	17.4 Management
6.1 Contract Administration	<b>13.0 Project Management</b>	<b>18.0 Facility Engineering</b>
6.2 Contracting Assistance	<b>14.0 Security</b>	<b>19.0 Project Execution</b>
6.3 Property Management & Real Estate		<b>20.0 Research and Development</b>
6.4 Other Contracting		20.1 Engineering Disciplines
<b>7.0 Env Oversight/Reg Compliance</b>		20.2 Physical Sciences
		<b>21.0 Collateral Duties</b>
		21.1 Union Representative
		21.2 Long Term Detail
		<b>22.0 Other</b>
		<b>23.0 Unmapped Functions</b>

## Attachment B - DEFINITIONS

- **Attrition Rate:** Employee losses (expressed as a percentage) due to retirements, resignations, reassignments, deaths, etc., in a fiscal year. Retirements are included in the attrition rate, but are analyzed and projected separately.
  - **Baseline:** The total number of staffed permanent positions identified at the beginning of a given period.
  - **Competencies:** Knowledge, skills, and abilities (i.e., underlying characteristics) associated with EM positions or functions. These are observable and measurable expertise needed to perform a task.
  - **FTE (Full Time Equivalent):** A FTE (or work year) equals 2,080 work hours, which is equivalent to one year's full time work schedule (no overtime). A FTE is how many hours are worked - not how many employees do the work.
  - **Mission Critical Occupations (MCO):** Occupations that most directly have an effect EM's ability to accomplish its mission (**Note:** MCO's can vary from EM office. The MCOs are defined by OPM, DOE, or by the specific needs of the project at an office/a site. These are to be addressed.). They are represented by OPM professional/technical and administrative series. Examples of MCOs include (but are not limited to) Contract Specialists (1102 series); General Engineers (0801 series); and Human Resources Specialist (0201 series).
  - **Mission Critical Competencies (MCC):** Key competencies – specifically, the knowledge, skills, and abilities (i.e., underlying characteristics) associated with EM positions or functions (i.e., MCOs). These are observable and measurable expertise needed to perform a task.
  - **Number of Employees/Number of staff:** “Whole people” and equates to how many employees do the work and/or are needed to do the work.
  - **Talent Management Strategy:** A strategy that addresses MCO and MCC gaps by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent consistent with Federal, DOE, and EM policies and other requirements.).
  - **Workforce Planning:** A set of analyses and processes designed to evaluate the following questions:
    - Does EM have the right number of employees/staff and the right type of workforce to perform the organization's current work?
    - Does EM have the right number of employees/staff and the right type of workforce to perform the organization's work in the future?
    - If not, what recommendations can be made to address the future gaps and challenges?
  - **Workforce Demand:** Refers to the workforce required to perform work. It is a measurement of how many staff of a given type is needed to perform EM's work now and in the future.
  - **Workforce Supply:** Refers to the workforce available to perform work.
  - **Gaps and Surpluses:** Calculated differences between workforce demand and workforce supply:
    - *Gaps* indicate a shortage of staff to perform the work. Gaps signal an organization's existing, or possible work “backlogs” (e.g., work waiting to be performed).
    - *Surpluses* indicate an excess of staff for the amount of work available.
-

### ***Attachment C - Computation of Retirement Eligibility***

Retirement eligibility is determined based on factors including type of retirement system, age, length of service, and minimum retirement age, as described below.

*Civil Service Retirement System (CSRS)* employees are eligible to retire if they are:

- a) At least 55 years of age and have at least 30 years of service; or
- b) At least 60 years of age and have at least 20 years of service; or
- c) At least 65 years of age and have at least 5 years of service.

*Federal Employees' Retirement System (FERS)* employees are eligible to retire if they are:

- a) Of minimum retirement age (MRA) and have at least 30 years of service; or
  - b) At least 60 years of age and have at least 20 years of service; or
  - c) At least 62 years of age and have at least 5 years of service; or
  - d) Of minimum retirement age (MRA) and have at least 10 years of service (with a reduced annuity).
-

## **Attachment D - Succession Planning Worksheets Guidance/Key**

### **Key Competency and/or Proficiency Levels for Position (List 3 – 5)**

Enter the certification level required for the job and/or 3 – 5 skill requirements from the attached EM Universal Product and Services List.

#### **Vacancy Potential**

What is the likely timeframe within which the position will be vacated due to retirement, promotion, another job, long term detail, rotational assignment, etc.?

A = 1 year

B = 3 years

C = 5 years

D = > 5 years

#### **Criticality**

What is the importance for a new incumbent to “hit the ground running” vs. being fully functional in 6 – 9 months? Could the position be filled with an entry/mid, journey, or expert level incumbent?

1 = Critical – Expert Level

2 = Important – Journey Level

3 = Normal – Entry/Mid-Level

#### **Strategy for Addressing the Criticality Gap**

What is the most likely strategy for ensuring this position is filled with a qualified/skilled incumbent?

1 = Recruitment

2 = Development

3 = Retrain

4 = Restructure

5 = General Services Support Contract

#### **Succession Planning Priority**

If all the positions in your organization were vacant, how would you set the priority for closing the gaps?

1 = Critical

2 = Important

3 = Normal

#### **Backup Capability**

If the position becomes vacant, to what degree do you have existing backup capability to ensure the essential work continues to get done?

1 = Full

2 = Partial

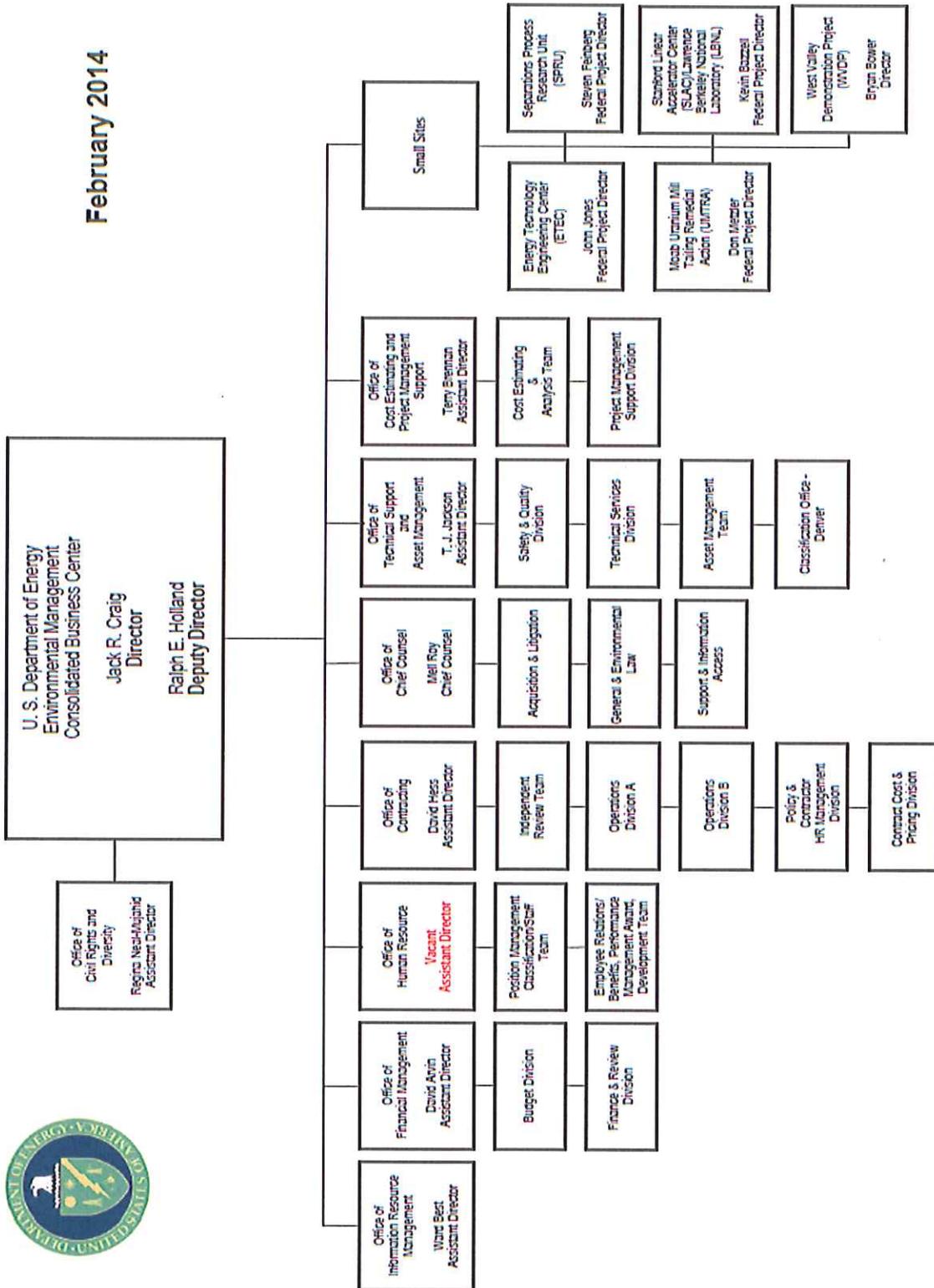
3 = None

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Attachment F – EMCBC Organization Chart

February 2014



*Ralph E. Holland*  
Ralph E. Holland  
Acting Director



ATTACHMENT G - EMCBC and Small Sites Chart Projected FY15 – FY20

