# Human Capital Planning

## *BFA's Efforts, a Work in Progress*

B&O Advisory Committee

May 29-30, 2008

# Why Ask B&O Advisory Committee to Review Now?

- **BFA Human Capital Plan is a work in progress**
- **Mid-point correction time**
  - **Allow time for BFA staff to review and comment on the draft Plan**
  - **Consider Committee's recommendations**
  - **Incorporate changes**
  - **Include justification in the FY 2010 budget request for appropriate levels of resources**
  - **Utilize as a "case study" for use by the rest of NSF**

# Questions for the Committee

- Is this the right approach?
- Is the model conceptually accurate for NSF, in form, format, and content?
- Does the plan reflect where/how the Divisions fit within BFA and NSF?
- Are resource needs for the future clearly articulated?
- How should we address
  - Knowledge management
  - Knowledge transfer
  - Succession planning
  - Diversity planning
  - Resource Allocation planning
- What other factors or assumptions should we consider?
- What's missing from the plan?
- What are your recommendations to strengthen the Plan?

# BFA Human Capital Plan: Purpose

- **Develop and retain capability to empower BFA's**
  - **Mission: to provide business, financial, and analytical services to diverse stakeholders and customers.**
  - **Vision: to be leaders in business practices in a dynamic environment which encourages individual and organizational excellence.**
  - **Core Values: to achieve success through teamwork; mutual respect; integrity; creativity; responsibility; initiative; professionalism; and a sense of humor.**
  - **Customer service**
- **Provide a process by which BFA assesses specialized needs through FY 2014**

# BFA Human Capital Plan: Purpose (cont'd)

- Develop data and tools that will assist in identifying staffing requirements and funding needs
  - People, space, equipment, training, travel
  - Develop a "fully loaded model"
- Tie budget requests to workload data and systematic assessments of qualitative and quantitative factors
- Tie human capital decisions more directly to business decisions
- Keep complementary core strength of valued staff
- Recognize and embrace the unique and inter-related functions of BFA Divisions/Offices
- Create standardized and rigorous process to guide BFA in development of its workforce
- Guide BFA in working with common goals and values using a common language

# Basis for BFA's Human Capital Plan

- **Results of BFA's overall planning activities**
  - **BFA Senior Management Retreats of December 2006 and June 2007 focused on a workforce planning theme**
  - **Subsequent discussions with Senior Staff to examine Divisional issues**
  - **BFA Senior Management Retreat of December 2007 identified a need to develop a BFA Human Capital Plan**
  - **Individual assessments by each BFA Division/Office**

# BFA Human Capital Plan is consistent with

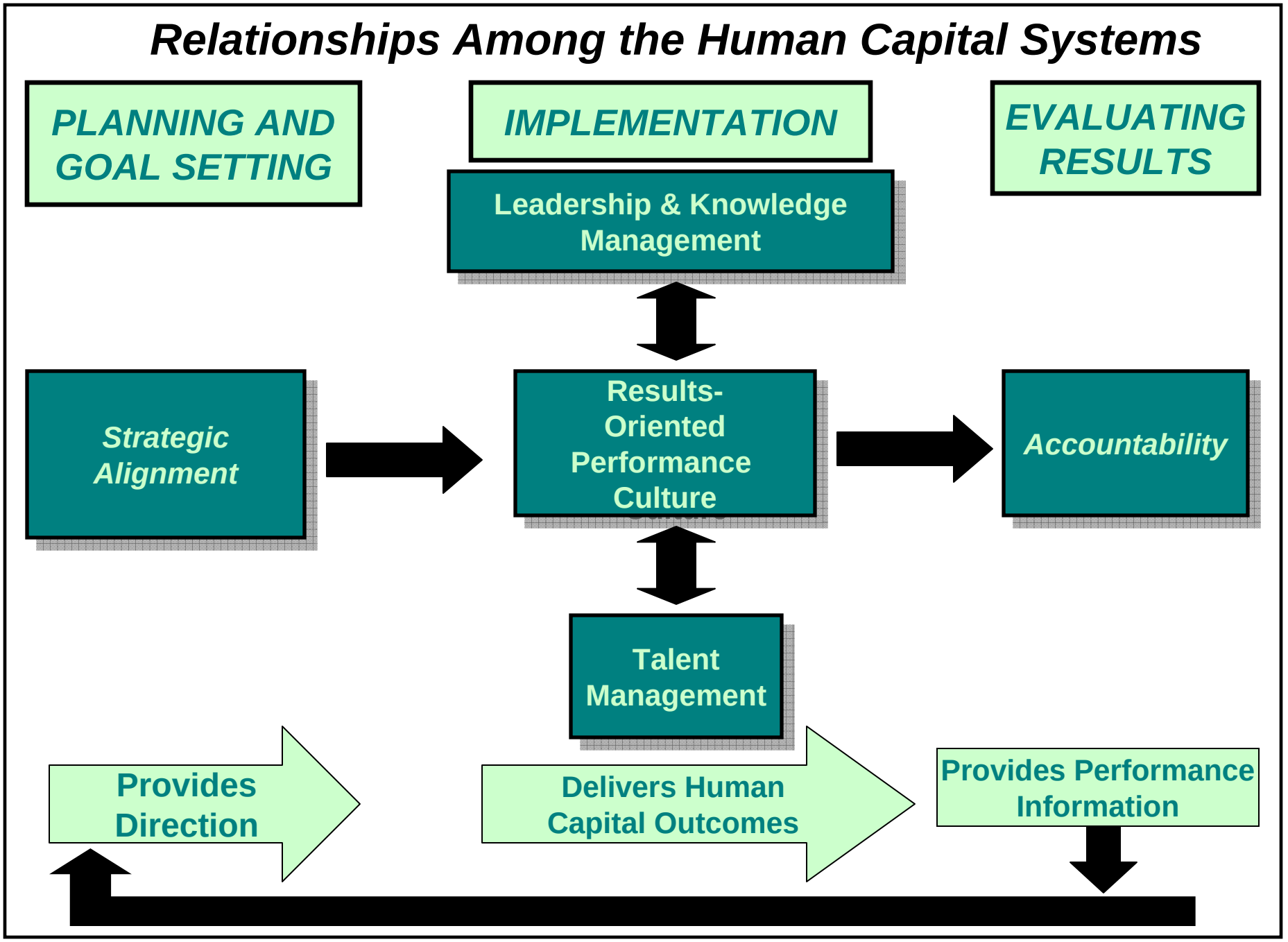
- **NSF and BFA mission, goals, and objectives**
- **NSF Strategic Plan *Investing in America's Future,* 2006-2011 (stewardship)**
- **NSF Human Capital Strategic Plan**
  - **reflects principles of Federal Government Human Capital Initiatives; includes key principles/policies articulated in the President's Management Agenda, the Human Capital Assessment and Accountability Framework developed by OPM, and GPRA**
- **Annual Performance Goals**

*Source: NSF Strategic Plan*

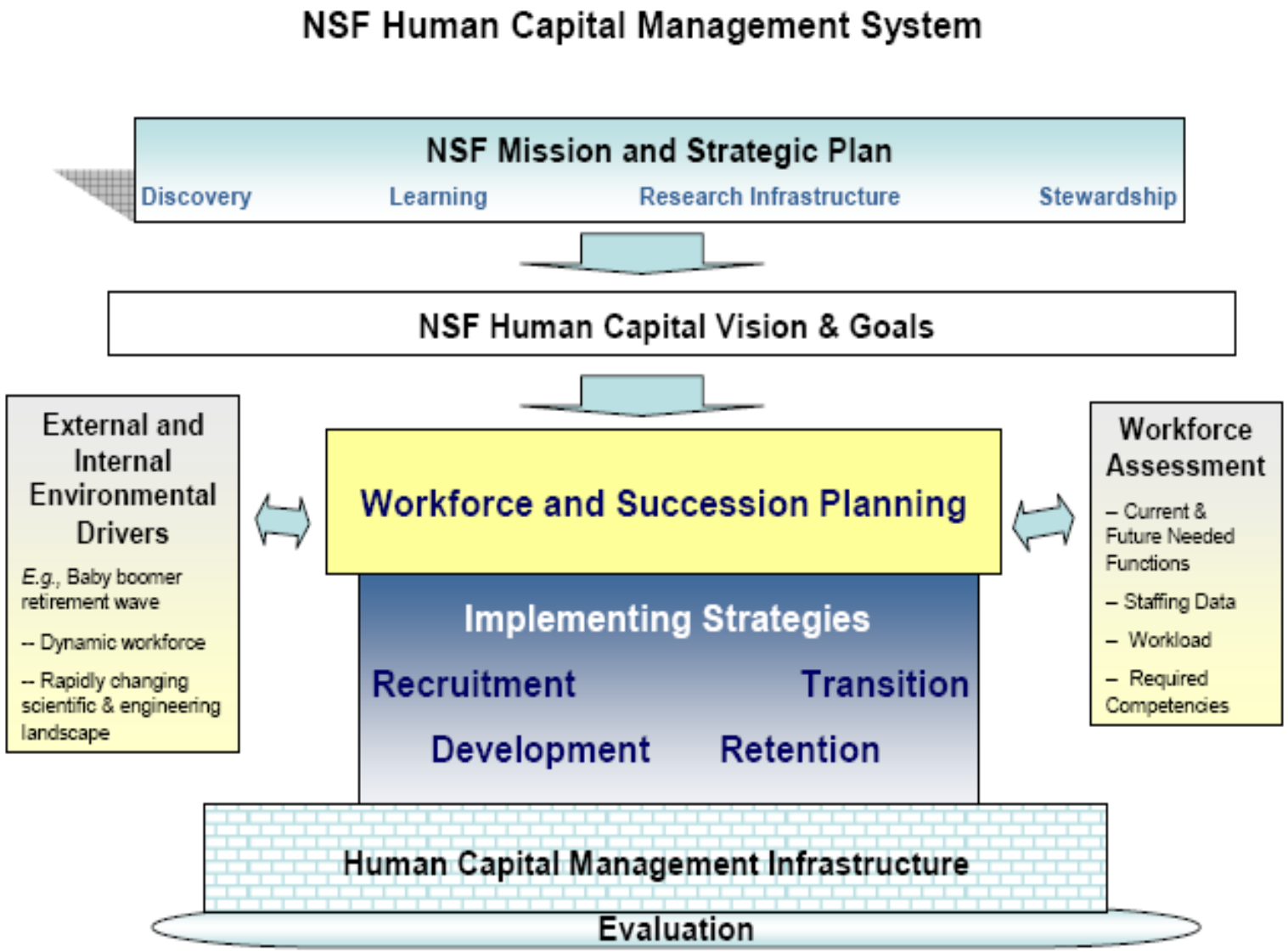
**NSF VISION**: Advancing discovery, innovation, and education beyond the frontiers of current knowledge, and empowering future generations in science and engineering.

**MISSION**: To promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense (NSF Act of 1950)

*Source: OPM*


Relationships Among the Human Capital Systems
PLANNING AND GOAL SETTING
IMPLEMENTATION
EVALUATING RESULTS
Leadership & Knowledge Management
Strategic Alignment
Results-Oriented Performance Culture
Accountability
Talent Management
Provides Direction
Delivers Human Capital Outcomes
Provides Performance Information

***Source: NSF's Human Capital Strategic Plan***



# Process

- Approached in a thoughtful way
- Based on functions, needs and requirements BFA-wide
  - Identification of
    - Priorities
    - Challenges and opportunities
    - Gaps
  - Assessment of capabilities and strengths

# Drivers

- New or increased responsibilities or initiatives, such as oversight
- Legislative mandates, such as FFATA (Federal Funding Accountability and Transparency Act)
- Changing requirements, such as OMB Circular A-123, *Management's Responsibility for Internal Controls*
- Changing priorities, such as contracts oversight
- Workload, such as more complex grants and cooperative agreements
- Staff turnover; retirements, such as the recent DGA retirements
- Succession/diversity planning
- Customer service
- Budget Justification

# Overall Plan

- **BFA Human Capital Plan covers five-year period, FY 2010 – FY 2014**
- **Incorporates needs and requirements of all BFA Divisions/Offices**
- **Living process providing flexibility to evaluate and incorporate on-going changes**

# Framework for BFA's Strategic Priorities

| Create BFA 21st Century Business Operations | Improve Stewardship | Create a Gold Standard Recruitment & Retention Program |
|---|---|---|
| • Provide "gold standard" support to the community and NSF<br>• Provide decision makers access to reliable and timely information<br>• Streamline business processes and interfaces across BFA<br>• Strengthen BFA's knowledge management strategy<br>• Strengthen partnerships / collaborations BFA-wide, NSF-wide, and with other agencies<br>• Support human capital development<br>• Invest in current and robust technology for BFA managed systems that support NSF | • Stress accountability and responsibility for decisions and actions supporting both the BFA and NSF missions<br>• Establish BFA-wide performance metrics<br>• Safeguard taxpayer's dollars by monitoring risk through an effective internal control program<br>• Sustain clean opinions and reduce outstanding audit findings<br>• Foster a strong customer service environment throughout BFA | • Develop creative strategies to recruit and retain talent<br>• Invest in the BFA workforce<br>• Create a strategy to ensure leadership development from within current workforce<br>• Support continued training and professional development activities<br>• Initiate succession planning and diversity planning strategies<br>• Leverage applicable government-wide personnel initiatives |

# Framework for BFA's Emerging Challenges and Opportunities

| Increasing and continually changing needs of NSF and BFA | Difficulty with integration, capacity, functionality, capability of systems | Develop, find, reward, and retain talent |
|---|---|---|
| • Presidential Transition<br>• Setting a "gold standard"<br>• Potential increases in NSF budget<br>• Partnerships or collaborations with other agencies<br>• Space limitations | • Aging systems<br>• Changing technologies<br>• Reporting requirements<br>• Tracking and monitoring<br>• Responding to government- wide requirements<br>• Supporting and complying with the OMB lines of business | • Work with HR to improve the recruitment processing time<br>• Institutional knowledge<br>• Knowledge management strategies and implementation<br>• Continual learning<br>• Recognition |

# Common Themes Across BFA Divisions/Offices

- Accountability / integrity
- Customer Service
- Continuous, proactive learning
- Professional development
- Stewardship
- Streamline functions
- System and policy integration and interfaces
- Transparency

# Desired Outcomes

- Integrated BFA Plan
- Develop a model that is conceptually accurate for BFA  in form, format and content
  - Structured for flexibility to incorporate new responsibilities
- Best Practices
- Identify disconnects and gaps

# SWOT of/for BFA

| Strengths | Weaknesses | Opportunities | Threats |
|---|---|---|---|
| • Innovative, creative staff<br>• Recognized leader in many functional areas – policy; finance, budget, performance assessment, etc<br>• Sound customer service orientation and delivery of services<br>➢External (strong)<br>➢Internal (less so)<br>• Known as an agile organization<br>• Culture that values excellence | •Aging systems<br>• Predictions are uncertain<br>• Forecast staffing requirements<br>• Attracting recent college graduates<br>•Space | • Clarify required mix of skill sets<br>• Anticipate and evaluate new activities or functions that BFA must accomplish<br>• Impact of fluctuating budgets<br>• Establish succession plan<br>• Promote knowledge management and transfer<br>• Encourage professional development/training | • Unforeseen and unfunded mandates (laws, regulations, etc)<br>• Staff turnover; retirements<br>• Loss of institutional knowledge |

# Staff Professional Development

- 1 or 2 times/year provide opportunities to visit grantee sites to experience "Science in Action"
  - Award Monitoring and Business Assistance Program (AMBAP)
  - Business Assistance
  - Business System Review (BSR)
  - Outreach
  - Program Office Site Review
  - Review of Grant Financial Activity
- Essential to both NSF and BFA missions

# Next Steps

- **Continue to determine appropriate composition of our workforce**
  - **Function, workload, skill sets, resource needs**
- **Every 6 months BFA will**
  - **Review our Human Capital Plan for updates**
    - **Short-range processes, impact of current appropriations outcomes**
    - **Long-range processes, rolling impacts on future budget justifications**
- **Offer the BFA Human Capital Plan as a "case study" to other Directorates to utilize as they may**

# Follow-on Activities

# Resource Allocation Planning

- **"Request for Resource Allocation"**
  - **Draft in progress**
  - **Addresses requests for FTE's**
  - **Prioritized over the next 5 years**
  - **Supports BFA's budget requests**
  - **Establishes criteria BFA-wide**
    - **Submit request to the Director of BFA/CFO who will evaluate using specified criteria**
      - **Provide narrative supporting the request for resources**
      - **Current and proposed organization charts can be provided as attachments**

## *Request for Resource Allocation draft*

# *Narrative*

- **What's involved in the position?**
  - **Address communication and customer service aspects**
  - **Job function; drivers**
- **What impact will approval of resources have on other BFA divisions/offices? (organizational collaboration)**
- **How will the requested resources further the BFA and NSF strategic plans?**
  - **How would this resource support BFA's Strategic Priorities and the Division's Strategic Priorities?**
  - **How would this resource affect BFA's stewardship goals?**
- **How would the resource support the division's emerging challenges and opportunities?**
- **Cost/Benefit**
  - **How would the resource strengthen BFA?**
  - **What is the cost of not filling the position?**

## *Request for Resource Allocation draft (cont'd)*

**Capture resource specifics.**

***A Request for Resources would address the following***

| Initial Questions | YES | NO |
|---|---|---|
| Is the request consistent with your Division/Office and the BFA Human Capital Plans? | | |
| Is workspace currently available to accommodate new staff? | | |
| Are there resources already performing the proposed function in another division?<br>If so, is there sufficient rationale provided for running functions in parallel?<br>*If not, it may make sense to augment resources in their current division instead.* | | |
| Are the resources for the proposed function more appropriately placed in another division? | | |
| Does the request for resources seem to make sense in terms of efficiency? | | |
| Will the resources enhance customer service? | | |
| Will the resources make sense to our stakeholders? | | |
| Will the resources enhance NSF's government-wide leadership? | | |
| Does the request strengthen BFA in terms of succession planning? | | |
| Does it provide this strength in the highest priority areas? | | |
| Will the proposed resource or proposed upgrade to existing resources affect other divisions – *that is, do other divisions have comparable positions that should also be considered for upgrade.* | | |

# *Brief answers to the following questions*

| **Position-Specific** | **Fill Gap** | **Strengthen Performance** | **New Initiative** |
|---|---|---|---|
| What is the purpose of the resource? | | | |
| Position Grade and Title: | | | |
| **Position-Specific** | **Gap Analysis** | **Alternative Solutions** | **Workload Analysis** |
| Were the following performed or considered? | | | |
| If yes, what were the results? | | | |

## Resource Allocation Planning:

# Questions for the Committee

- **Is this the right approach?**
- **What else should be included in the "Request for Resource Allocation"?**
- **What else should we consider?**
- **Are these the right questions?**

# Recap of questions on the overall BFA Human Capital Plan…

- Is this the right approach?
- Is the model conceptually accurate for NSF, in form, format, and content?
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