

# INSTRUCTIONS FOR COMPLETING REPORT TEMPLATE

RESPONSE TO OFFICE OF MANAGEMENT AND BUDGET BULLETIN 01-07

## PLEASE PRINT, READ, AND FOLLOW THESE INSTRUCTIONS BEFORE PROCEEDING

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## PURPOSE OF THIS REPORTING TEMPLATE

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This template is been designed to guide bureaus through meeting the requirements of Office of Management and Budget (OMB) Bulletin 01-07, "Workforce Planning & Restructuring," May 8, 2001. It provides a standardized format for submitting each bureau's five-year restructuring plan as required by Bulletin 01-07.

The Department of Commerce is providing this template and set of instructions to assist in the preparation of workforce restructuring plans. Before proceeding with this restructuring plan, **all bureaus should carefully review the following documents** that will serve as the baseline for this report:

- The Department of Commerce Strategic Plan
- The Bureau's Annual Performance Plan
- The Department of Commerce Workforce Analysis, June 2001
- The Department of Commerce Competitive Sourcing Management Plan, with a special emphasis on the bureau's plan.

Each bureau's report should be directly linked to initiatives, plans, targets, goals, and measures identified in these documents. Bureaus should review these documents to determine how retirements, attrition, seasonal workload changes, skill gaps, specific mission changes, new programs, elimination of programs, etc. will impact the workforce, and thus, impact the plan. Bureaus should also review specific goals enumerated in the Strategic Plan or the Annual Performance Plan and incorporate these goals into the development of the workforce restructuring plan.

**The development, implementation, and success of a workforce restructuring plan that does not meet the mission, vision, and goals of the Department of Commerce and its bureaus, is a meaningless exercise. Thus, bureaus must ensure that the restructuring plan will enhance the organization's ability to accomplish its mission, realize its vision, and achieve its goals.**

Bureaus are urged to follow the instructions carefully and provide information as requested. Most required information can be entered directly into this template at the spaces provided. In some cases, bureaus may need to provide more detailed information or attach additional pages, previously completed reports, plans, A-76 studies, or organizational charts.

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## HOW TO OPEN AND BEGIN USE OF THIS TEMPLATE

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The template is built in Microsoft Word 2000. To begin completing the report, follow these steps:

- 1) Save the file to your desired directory
- 2) On the menu bar, click "File"
- 3) Click "Open"
- 4) Locate the drive in which you saved the file
- 5) Highlight the file
- 6) Click "OK"
- 7) You are now ready to begin editing the template and inserting bureau-specific information
- 8) Word will launch the template and your cursor will default to a text block that says, "CLICK HERE AND TYPE NAME OF THE BUREAU SUBMITTING THIS PLAN."

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### HOW TO ENTER INFORMATION AND EDIT TEXT

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1. The document will automatically guide you through the text entry fields.
2. The simplest way to navigate from box to box is by using the "Tab" to move forward, or "Shift+Tab" to move backwards.
3. You can also navigate the template with your mouse and scroll bars
4. Text may be entered in the gray text boxes by typing directly in the box and by pasting text from previously created documents. As soon as you enter any text into the gray text box, the help text for that box is deleted. It is recommended that you save the template with a new filename to preserve the text box prompts for possible use later.
5. "Cut & Paste" text into this template by copying the desired text from the source document, placing your cursor in the gray box and selecting "Edit, Paste," using the "Paste" icon, or pressing Ctrl+V to paste.
6. "Check Boxes" can be marked by clicking with your mouse, or pressing the "Space Bar" while in the box.
7. To save the document at any time
  - On the menu bar, click "File"
  - Click "Save As"
  - Under "Save In" select the directory or folder to save your document
  - Under "File Name" name the file
  - Under "Save As Type" make sure that "Word Document" is selected
  - Click "OK"

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## HOW IS THIS REPORT LINKED TO THE ORGANIZATION'S MISSION?

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There is a unique inter-relation between mission, vision, goals, strategies, actions, and the workforce. Any disconnect in these relationships will diminish, minimize, disrupt, or completely block an organization from success.

*Mission:* An organization's mission is, in the broadest terms, the fundamental reason for the organization's existence.

*Vision:* A sense of how the organizational will go about achieving its mission.

*Goals:* Specific targets for delivering the basic organizational mission

*Strategy:* Methods and approaches planned to achieve goals

*Tasks:* Active steps taken to follow, implement, and execute the strategy

*Resources:* The people, tools, funds, and materials that complete the tasks

*Outcomes:* The products of the activities performed by resources

*Success:* The degree to which the activities performed meet the desired outcomes.

*Measures:* The evaluation and comparison of actions performed to desired outcomes.

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## WHERE DOES THE RESTRUCTURING PLAN FIT IN?

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As noted, between the active steps needed to perform tasks and the results of those tasks are resources. The greatest single and most valuable resource an organization possesses is its human capital. In most cases, the majority of funds expended by a typical organization are funds spent locating, attracting, securing, housing, compensating, training, developing, and retaining people. This asset simply cannot be undervalued, overlooked, or taken for granted. In fact, now, more than ever, organizations must focus even greater attention on the careful and accurate maintenance of a highly motivated, trained, and deployed workforce. Failure to do this can rapidly undercut an organization's ability to perform. With this as a backdrop, an organization must proactively look at its mission, determine its goals, develop the strategic approaches to meeting goals, and garner, develop, retain, and grow resources. However, the key, missing element is a clear plan for the types of human capital resources required to execute the organization's mission. The workforce restructuring plan provides that blueprint.

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## HOW IS THE PLAN DEVELOPED?

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By reviewing and summarizing its mission, vision, and goals, the bureau will be able to identify the strategies and tasks that must be performed to carry out the mission. The human capital needed

to carry out the strategies and tasks will require certain competencies.<sup>1</sup> By identifying the competencies required, and comparing them to the competencies the organization possesses, the organization will be able to see where restructuring must occur to position the right people, with the right skills, in the right place, at the right time. These determinations form the plan.

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#### HOW IS INFORMATION CAPTURED IN THIS REPORT?

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The summary of the organization's mission, vision, and goals essentially sets the tone, foundation, and context for the restructuring activity proposed throughout the remainder of the report. Following that, the bureau will provide a summary of organizational changes that have already been made to advance the mission. Next, the organization will summarize and describe any planned changes to be made before the end of fiscal year 2007.

Following the summary information, the proposed specific organizational changes will be listed and, to the extent possible, will be identified by the fiscal year in which they are expected to occur. The bureau will then provide an action plan that describes the timetable and targets for implementing the restructuring. The bureau will then identify, by fiscal year, the specific impact the restructuring will have on the organization and its responsiveness. The bureau will then identify the human resources tools needed to carry out this activity and estimate costs or savings expected. Finally, the organization will identify its methodology for tracking and evaluating the success of the activity and attach any needed supporting documents and organizational charts.

Please refer to the additional instructions and advice that follow for assistance in preparing this report.

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#### ADDITIONAL HELP COMPLETING TEMPLATE

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For questions regarding program or policy issues related to developing a restructuring plan, please contact the Department of Commerce Human Resources Office:

Debra Tomchek 202-482-4807 dTomchek@doc.gov

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Alethea Long-Green 202-482-4451 long\_green@doc.gov

If you are having technical problems completing or using this template, you may contact Greg Keller, with the National Academy of Public Administration (NAPA)

Office: 301-829-8369

Mobile: 301-606-0678

Email: [gpkeller@adelphia.net](mailto:gpkeller@adelphia.net)

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<sup>1</sup> *Competency* broadly includes employee knowledges, skills, abilities, and other qualities and attributes.

## ***Instructions I - A, B, & C***

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### **“OVERVIEW OF PROPOSED ORGANIZATIONAL CHANGES -- FISCAL YEARS 2003 THROUGH 2007”**

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This section will be divided into three parts.

#### **INSTRUCTION IA**

### **Part A: Summary of Bureau’s Mission, Vision, Strategic Goals and Performance Objectives**

Bureaus should include a discussion of the bureau’s mission, vision, and its goals. This information serves as the foundation for the restructuring plan. As noted above, it is useless to develop a restructuring plan that does not assist the agency in carrying out its mission, realizing its strategic vision, or reaching its organizational goals. To this end, clear linkages should be made between the established goals of the agency and the plan to maximum the workforce to reach those goals.

By analyzing the bureau’s mission, vision, goals, and objectives, the bureau can determine the types of competencies required to carry out this work. The bureau should include a summary of the critical competencies required to perform the bureau’s responsibilities.

Bureaus may wish to briefly revisit the history of the bureau in order to explain the evolution of its mission, and detail recent organizational changes that fall outside of the general reporting period.

#### **INSTRUCTION IB**

### **Part B: Summary of Organizational Changes Completed or Underway since January 2001.**

The bureau should summarize any restructuring activity that was undertaken before the preparation of this report. Generally, that involves restructuring that was implemented or begun after January of 2001. However, as noted above, bureaus may wish to provide discussions of restructuring activity that has recently occurred (prior to January 2001) to better illustrate the current organizational structure and future plans for the bureau.

#### **What is “restructuring?”**

Restructuring has no specific definition in law or regulation. However, it is generally used to refer to any activity related to reorganization, consolidation of work, shaping of the workforce, new training, retraining, or development initiatives, significant recruiting activity, reductions in the workforce, redeployment of staff to new duties or responsibilities, organizational changes, elimination of positions, efforts to streamline processes, customer service improvement initiatives, technology improvements, etc.

#### **INSTRUCTION IC**

### **Part C: Summary of Planned or Proposed Changes Between 2003 and 2007**

In this overview, each bureau should summarize and report major restructuring activity proposed or planned over the next five years (between fiscal year 2003 and the end of fiscal year 2007).

Bureaus should include any planned reorganizations, process improvements, staffing structure changes, initiatives designed to improve service delivery, etc.

To the extent possible, provide information in a chronological order, and identify the fiscal year in which the organizational changes or restructuring activities are planned to occur.

**What should this summary look like?**

The following page includes a sample overview extracted from the Department of Health and Human Services Restructuring Plan, November 9, 2001.

## The Secretary's Restructuring Decisions

The Secretary reviewed restructuring proposals and made decisions on a series of cross-cutting activities:

- Consolidation of personnel offices:
  - AHRQ and SAMHSA into the office already serving OS, ACF & PSC (FY 02)
  - 27 NIH personnel offices consolidated into one (FY 02)
  - 6 FDA offices into one (F Y 02)
  - HRSA into consolidated office with OS, ACF, et al. (FY 03)
  - Full Parklawn (Rockville) consolidation in FY 04 brings 40 personnel offices in FY 01 to four: Atlanta, Baltimore, Bethesda, and Rockville
- Consolidation of OS administrative functions, to be implemented in FY 02, with elimination of all STAFFDIV shadow operations by FY 03
- Restructuring of Intergovernmental Affairs regional offices by realigning grades of regional directors, sharing administrative support with Regional Health Administrators, and redeploying current support staff within the same region (FY 02)
- Development of an HHS-wide intern program and consolidation of intern recruiting (F Y 02)
- Development of an HHS-wide strategy for recruitment, retention and redeployment (FY 02)
- Deployment of core human resources functions of the Enterprise Human Resources and Payroll (EHRP) system beginning in FY02
- Consolidation of administrative functions at the OPDIV level (budget, IT, procurement, grants, finance), and across OPDIVs where feasible, with the clear direction that OPDIVs will not create or maintain shadow operations that duplicate functions performed on a consolidated basis (FY 03)
- Execution of an HHS-wide plan for consolidated Information Technology purchases (FY 02)
- Implementation of unified financial management system (FY 05/06)
- Examine payroll operations EHRP, outsourcing (FY 04)

*Department of Health and Human Services Restructuring Plan, November 9, 2001.*

Subsequent sections will provide an opportunity to include more detailed discussions of this summary activity.

## ***Instruction II***

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### **“ACTION PLAN AND TIMELINE FOR IMPLEMENTING CHANGES”**

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In this section, each bureau should insert the timeline for implementing the restructuring activity.

This timeline should include:

- Start dates for restructuring activities
- Key milestones
- Target completion or effective dates for the appropriate fiscal year.
  - When providing dates for the timeline, the bureau should provide either known or estimated dates.

Bureau action plans should also discuss and describe how the organization will develop and implement its:

- Five-year recruitment plan. This plan will focus primarily on anticipated attrition and retirement projections, to identify the numbers of employees with the specific critical competencies needed to deliver the mission. Then, specific actions to be taken to recruit employees with those competencies are described. Examples of such actions include: identification of target colleges and universities, identification of targeted recruitment sources, and proposed methods for identifying and using recruitment flexibilities and incentives to ensure job offer acceptance.
- Succession plan. This plan should identify key leadership succession challenges, by looking at SES positions within the bureau that are likely to come vacant over this time period. With this information, a plan is created to prepare for these vacancies. Examples of actions could include development of current high performing senior employees to be prepared to assume these responsibilities or creation of long-term relationships with external organizations to provide a recruitment pipeline.
- Five-year training program. Using the anticipated organizational changes, this plan should address how current employees can continue to be trained to be proficient in critical competencies and/or retrained for re-deployment for new or anticipated critical competencies. Training plans can include training courses, university or academic instruction, e-learning, rotational or detail assignments, self-study, etc.
- Retention plan. This plan will describe how key performers will be identified and methods or incentives provided to retain them to achieve mission goals. This plan may have a specific relationship to the Training Plan, in that training and development may well serve as a retention tool. Or, other incentives, such as retention allowances, can be more fully utilized once appropriate criteria are determined.

## ***Instruction III - A & B***

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### **“ANTICIPATED IMPACT OF CHANGES”**

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This section requires responses in two formats (check boxes and a text box). The section covers six different areas of elements of impact:

- Reduce the Number of Managers
- Reduce Organizational Levels
- Reduce Time Taken to Make Decisions
- Increase the Span of Control
- Increase Staff in Direct Service Delivery Positions
- Enhance Competitive Sourcing of Functions

#### **What do these impact elements mean?**

##### ***Reduce the Number of Managers***

This section refers to changes in the number of managers as compared to the number of managers in the organization as of the end of fiscal year 2000 (September 30, 2000). This date is also the baseline for the Workforce Analysis Report submitted last year in response to OMB Bulletin 01-07.

For purposes of this plan, the terms “manager” and “supervisor” are interchangeable and defined as an employee that encumbers a position that meets all of the following conditions:

- 1) Supervisory duties constitute 25% of the duties of the position.
- 2) The position is titled with the prefix “Supervisory” or has “Officer” or “Manager” in the title such as Budget Officer or Human Resources Manager;
- 3) The work is accomplished through either subordinate Federal civil service employees whether full-time, part-time, intermittent, or temporary, assigned military employees, non-Federal workers, unpaid volunteers, student trainees, or others;
- 4) Representative supervisory duties include, but are not limited to: planning and assigning work to be accomplished by subordinates, evaluating the performance of subordinates, effecting minor disciplinary measures, and identifying developmental and training needs of employees; and
- 5) The supervisory code of the position is 2 as defined in the Guide to Personnel Data Standards (update 11, 3/00).

##### ***Reduce Organizational Levels***

The section refers to changes in the organizational structure as compared to structure as it appeared at the end of fiscal year 2000 (September 30, 2000). These data are also the baseline for the Workforce Analysis Report submitted last year in response to OMB Bulletin 01-07.

### ***Reduce Time Taken to Make Decisions***

OMB has noted that, by reducing organizational layers, in theory, the time it takes for a request, inquiry, or authorization to travel up and down the chain of authority can be shortened. Indeed, there are a number of factors and approaches that can “reduce the time it takes to make a decision.”

This section refers to organizational improvements, staffing structure changes, or work process improvements that lead to improved service delivery, shorter response times to customer inquiries or requests, streamlined operations, technology improvements, program and policy determinations or decisions, removal of unnecessary, non-critical, or duplicative review processes, etc. The section is focused on making organizational, program, or process improvements that yield more rapid, efficient, and effective service. This element can also refer to technology improvements that will speed responsiveness or streamlining measures that will improve process flow or eliminate unnecessary steps.

### ***Increase the Span of Control***

This section refers to the ratio of supervisors and managers to employees supervised. Bureaus should use span of control data from the end of fiscal year 2000 (September 30, 2000). This data is also the baseline for the Workforce Analysis Report submitted last year in response to OMB Bulletin 01-07.

Bureaus should include in the count all managers, supervisors, and non-supervisory employees on-board as of the measurement date. The count does not include positions that are or were vacant. Please use actual headcount of employees, not FTEs. Count part-time employees and full-time employees as a single employee for purposes of calculating this ratio. For example, an employee who supervises one full-time employee and three half-time employees would have a supervisor-to-employee ratio of 1:4, ratio, not 1:2.5. Counts should be made at each level of the organization, combined, and reduced to a ratio (see the example below).

For purposes of calculating the baseline supervisor to employee ratio, bureaus should use the headcount of employees as it stood September 30, 2000 (the end of fiscal year 2000).

#### **Example for Calculating Span of Control**

Bureau “A” has 23 employees, 2 management levels, and a staff level.  
There is a Bureau Director with 2 Supervisors who report directly to the Director.  
Each Supervisor manages 10 employees.

This ratio would be calculated as follows:

Director Level Ratio = 1 : 2 (one director and two direct reports)

Supervisor Level Ratio = 2 : 20 (two supervisors and 20 direct reports)

Staff Level Ratio = 0 : 0 no (direct reports)

Subtotal = 3 : 22

**Span of Control = 1 : 7.33** ( $22 / 3 = 7.33$ )

For purposes of calculating the projected supervisor to employee ratio, bureaus should count all of the managers and supervisors (as defined above under “Reduce the Number of Managers”), and non-supervisory employees targeted to be on-board for each functional area as of September 30, 2007.

### ***Increase Staff in Direct Service Delivery Positions***

In this section, indicate the number of employees who are being deployed to positions that directly serve customer needs or provide front-line assistance to constituents. As a result of reducing organizational levels, reducing the number of managers, increasing the ratio of employees to supervisors, and reducing the time needed to make decisions and improve processes, more employees are expected to be deployed to direct service delivery positions.

### ***Enhance Competitive Sourcing of Functions***

As a continuation of ongoing efforts to identify functions for competitive sourcing, the bureau should identify (through A-76 studies, etc.) opportunities to realize savings or improved quality of service through competitive sourcing of work.

### **Is it necessary to provide specific discussions for each of these impact elements?**

Bureaus should mark all the boxes that are applicable to the bureau’s five-year restructuring plan. As noted in the descriptions of some of the elements, achieving one element may, by default, create impact in another (i.e., reducing organizational levels could lead directly to decreases in decision time, increases in staff in service delivery positions, and increase in the span of control). If this is the case, be sure to mark all that apply, AND include such discussion and clarification in the narrative. There is no specific requirement to address each individual element separately.

## **INSTRUCTION III-A**

### **Part A: Elements of the Organization to be Impacted**

Bureaus will respond to this section by marking all of the elements listed that apply to the five fiscal years covered. Bureaus should read Instruction III-B to determine which of the elements might apply.

## **INSTRUCTION III-B**

### **Part B: Discussion of Impact on the Organization**

Bureaus should use the number of managers at the end of fiscal year 2000 as the baseline for any reductions. The plan should address and describe impact to any of the elements listed above.

Where possible, the bureau should identify the year in which reduction targets, organizational level reductions, span of control changes, etc., are planned or will be effective. If the target is a multi-year target, provide as much detailed explanation for each fiscal year in which the reduction is targeted for completion.

Bureaus should report on any plans to eliminate or consolidate organizational levels in the organization. Using fiscal year 2000 as a baseline, identify organizational levels that will be eliminated or consolidated to flatten the organization.

Bureaus should provide a narrative discussion of the organizational changes that include the purpose of the change the anticipated impact of the change, the manner in which organizational effectiveness or responsiveness will be improved, and the extent to which employees will be impacted. This discussion should also include the proposed effective dates of the organizational changes.

If reductions in managers or in organizational levels will directly lead to changes in the time taken to make decisions or increase the number of employees in direct service delivery areas, the bureau should include the narrative discussion of those impacts here.

If the bureau will eliminate organizational levels, it must include organizational charts depicting the organization as it appeared on September 30, 2000, and the proposed organization structure as it will appear on the effective date. Those charts should be attached to the back of this plan and appropriately identified. See "Instruction VII" for detailed guidance.

## ***Instruction IV –A & B***

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### **“HUMAN RESOURCES MANAGEMENT TOOLS REQUIRED”**

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This section provides an overview of human resources management tools required to permit the organization to implement its action plan. Human resources tools include tools such as voluntary early retirement authority, recruitment bonuses, educational loan repayment assistance, buyouts, special hiring authorities, relocation reimbursement, retention bonuses, etc.

Bureaus may wish to refer to a July 25, 2001, report by the Office of Personnel Management’s Office of Merit System Oversight and Effectiveness. The report, entitled, “Human Resources Flexibilities and Authorities in the Federal Government” provides an extensive summary of Human Resources Management tools available to Federal agencies. The report can be reviewed online or downloaded from the following URLs:

- [http://www.opm.gov/demos/flex/HR\\_flex.txt](http://www.opm.gov/demos/flex/HR_flex.txt) for an unformatted text version of the document
- [http://www.opm.gov/demos/flex/HR\\_flex.pdf](http://www.opm.gov/demos/flex/HR_flex.pdf) for a formatted Adobe Acrobat version.

#### **INSTRUCTION IV-A**

### **Part A: Human Resources Tools Currently Available**

In the text box, provide a list of Human Resources tools the agency expects to utilize as part of its restructuring plan for the fiscal year.

#### **INSTRUCTION IV-B**

### **Part B: New Human Resources Tools or Tools Requiring Approval**

In this section, the bureau should list any human resources tool that it anticipates needing to carry out proposed restructuring for which:

- No authority exists
- Authority exists, but the bureau must seek authority from Commerce Headquarters
- Authority exists, but program restrictions prohibit the use of the tool in the manner the bureau proposes to use the tool.

## ***Instruction V***

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### **“PROJECTED COST OR SAVINGS”**

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Guidance on estimating, capturing, and reporting costs or savings, will be provided as a supplement to this instruction.

## ***Instruction VI***

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### **“PLAN FOR MEASURING PROGRESS”**

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In this section, the bureau will detail the steps it intends to take to monitor and evaluate the extent to which restructuring activity has been planned, implemented, and successful. In general, the bureau should refer to its Annual Performance Plan for the appropriate Performance Objectives and establish monitoring plans that are in coordination with the Performance Objectives.

The plan for measuring effectiveness should include a schedule for checking implementation progress, the organization or individuals responsible for measurement and follow-up, and the key performance indicators identified.

The plan should be developed to ensure that restructuring occurs as planned and that restructuring is contributing to the execution of the bureau’s mission.

## ***Instruction VII***

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### **“ADDITIONAL DOCUMENTS”**

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Bureaus may find it necessary to include copies of studies, reports, A-76 results, strategic or workforce plans, analyses, budget documents, etc., to better illustrate, clarify, define, or explain portions of this plan. Those documents may be included as attachments to the report. Bureaus should identify the attachment in section VII of the reporting form.